



# Daily Compliance Activity Report

Trade Date: 02/21/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	AAI	B	25,000	11.48	n/a	n/a	1,250.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	15,900	7.49	n/a	n/a	636.00	4.0
BEAR STEARNS ASSET MGMT.	033	AME	S	20,000	35.30	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>B</b>	<b>20,000</b>	<b>80.23</b>	<b>2-Feb</b>	<b>16-Feb</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>APC</b>	<b>B</b>	<b>5,000</b>	<b>40.10</b>	<b>n/a</b>	<b>22-Jan</b>	<b>non-brg</b>	<b>5.0</b>
J L F ASSET MGMT	039	ARO	S	27,300	38.62	23-Oct	9-Feb	1,092.00	4.0
BELMONT GLOBAL ADV	248	AVP	B	25,000	38.97	7-Feb	7-Feb	750.00	3.0
SAC TRADING HOWARD	038	BARE	S	8,100	35.10	n/a	n/a	405.00	5.0
ROYCE TRADING	216	BHE	B	5,000	21.94	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>B</b>	<b>5,000</b>	<b>63.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
MERRILL ASSET	032	BJ	B	39,300	33.41	n/a	9-Feb	1,965.00	5.0
PLATTE RIVER CAPITAL	035	BKS	B	2,000	42.58	n/a	n/a	80.00	4.0
NCM CAPITAL MGMT	035	BOL	B	7,150	54.37	n/a	n/a	357.50	5.0
BARR	096	BQI	B	900	3.84	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>Õ Ted Wheeler</b>		<b>BRNC</b>	<b>B</b>	<b>10000</b>	<b>15.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	BSG	S	34,700	13.64	n/a	n/a	1,735.00	5.0
RAINIER INV MGMT	035	BW	S	4,300	47.61	n/a	n/a	215.00	5.0
BELMONT GLOBAL ADV	248	CBK	B	5,000	20.08	11-Dec	16-Feb	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>5,000</b>	<b>50.06</b>	<b>24-Jan</b>	<b>24-Jan</b>	<b>200.00</b>	<b>4.0</b>
PLATTE RIVER CAPITAL	035	COO	B	3,000	47.65	n/a	n/a	120.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>CRI</b>	<b>B</b>	<b>700</b>	<b>23.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>CROX</b>	<b>B</b>	<b>15,000</b>	<b>55.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
MILLENIUM PARTNERS	028	CSCO	B	30,000	27.36	n/a	22-Mar	1,500.00	5.0
AELTUS/ING INVESTMENT MGT	237	CVD	B	12,510	62.80	n/a	n/a	500.40	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>10,000</b>	<b>21.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
WEISS PECK	040	DSW	SS	1,260	42.71	n/a	9-Feb	37.80	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>DSW</b>	<b>B</b>	<b>2,740</b>	<b>42.85</b>	<b>n/a</b>	<b>9-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>DSW</b>	<b>SS</b>	<b>2,740</b>	<b>42.71</b>	<b>n/a</b>	<b>9-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>SCHEINER</b>	<b>037</b>	<b>EFT</b>	<b>B</b>	<b>5,000</b>	<b>19.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST INV MGMT CORP	036	EMC	S	50,000	14.70	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WD PARTNERS ILP	067	EV	B	2,700	36.15	2-Nov	20-Feb	135.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>EV</b>	<b>B</b>	<b>700</b>	<b>36.26</b>	<b>2-Nov</b>	<b>20-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>SS</b>	<b>44,500</b>	<b>30.70</b>	<b>3-Nov</b>	<b>9-Feb</b>	<b>non-brg</b>	<b>5.0</b>
ROYCE TRADING	216	FLE	B	10,000	8.94	n/a	n/a	500.00	5.0
ROYCE TRADING	216	FOSL	S	42,200	28.46	21-Feb	21-Feb	2,110.00	5.0
TRIBECA/DOUG	040	FRO	SS	5,000	36.00	n/a	n/a	200.00	4.0
ROYCE TRADING	216	GDI	B	10,000	35.48	n/a	n/a	500.00	5.0
ROYCE TRADING	216	GRB	S	2,000	12.76	n/a	n/a	100.00	5.0
<b>BACKUS</b>	<b>005</b>	<b>GRT</b>	<b>S</b>	<b>6,000</b>	<b>28.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARROW HANLEY MEWHINNEY	031	HBI	B	39,500	27.04	n/a	n/a	1,580.00	4.0
<b>BUCK</b>	<b>015</b>	<b>ILE</b>	<b>S</b>	<b>4,600</b>	<b>3.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>ITCD</b>	<b>B</b>	<b>1,576</b>	<b>2.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	ITT	S	20,000	60.82	2-Feb	2-Feb	800.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>JADE</b>	<b>B</b>	<b>25,000</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	JBX	S	20,300	71.34	21-Feb	21-Feb	761.25	3.8
SENTINAL CAPITAL	067	JCI	B	2,000	99.55	16-Feb	16-Feb	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J L F ASSET MGMT	039	JOSB	S	31,937	31.55	n/a	n/a	1,277.48	4.0
LEVIN CAPITAL STRATEGIES	012	KCP	SS	10,000	24.20	n/a	16-Feb	400.00	4.0
PLATTE RIVER CAPITAL	035	KO	B	3,000	47.67	n/a	n/a	120.00	4.0
JP MORGAN VENTURES	046	KSS	SS	6,800	73.63	27-Dec	9-Feb	340.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LAVA</b>	<b>B</b>	<b>10,000</b>	<b>10.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
ROYCE TRADING	216	LVB	S	3,000	34.56	n/a	n/a	150.00	5.0
PLATTE RIVER CAPITAL	035	MDT	B	4,100	52.06	n/a	22-Apr	164.00	4.0
ROYCE TRADING	216	MNI	B	5,000	38.14	n/a	n/a	250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MPEL</b>	<b>B</b>	<b>1,000</b>	<b>18.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	035	MRK	B	20,000	44.00	n/a	n/a	800.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>MTRX</b>	<b>S</b>	<b>1,400</b>	<b>18.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	MTZ	S	5,000	12.34	n/a	n/a	250.00	5.0
DSG CAPITAL	225	NLS	B	2,700	18.08	n/a	n/a	135.00	5.0
NCM CAPITAL MGMT	035	NWY	S	18,050	15.72	1-Dec	16-Feb	902.50	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>NWY</b>	<b>S</b>	<b>1,000</b>	<b>15.64</b>	<b>1-Dec</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>PENN</b>	<b>S</b>	<b>1,000</b>	<b>45.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	PRX	B	10,000	25.05	30-Jan	21-Feb	500.00	5.0
RAINIER INV MGMT	035	RTI	S	68,850	86.25	n/a	n/a	3,442.50	5.0
LISTED ERR	035	RTI	S	100	86.25	n/a	n/a	0.00	0.0
WEISS PECK	040	RVI	B	3,500	21.25	n/a	n/a	105.00	3.0
LEDDY	035	SDS	B	500	55.70	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	035	SE	B	7,500	25.28	n/a	n/a	300.00	4.0
ZOLIDIS	011	SHOE	SS	1,000	7.15	n/a	n/a	0.00	0.0
ZOLIDIS	011	SHOO	B	700	29.16	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	035	SLM	S	2,000	44.04	n/a	n/a	80.00	4.0
Õ Ted Wheeler		SPNC	B	10000	11.37	n/a	n/a	0.00	0.0
SCOPUS FUND	039	SSCC	SS	11,000	12.37	26-Oct	25-Jan	550.00	5.0
ROYCE TRADING	216	TRA	S	10,000	17.86	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		TRLG	S	10,000	18.55	n/a	n/a	non-brg	5.0
J L F ASSET MGMT	039	TTWO	S	17,600	20.02	n/a	n/a	704.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	100,000	37.28	22-Feb	22-Feb	4,000.00	4.0
WOOSTER CAPITAL	035	TWB	B	25,000	37.13	22-Feb	22-Feb	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NICHOLAS ADVISORS	034	VMC	S	5,000	122.37	n/a	n/a	250.00	5.0
MILLENIUM PARTNERS	028	VZ	SS	25,000	38.36	22-Dec	12-Feb	1,250.00	5.0
SCUDDER HEDGE	034	WNC	S	25,000	17.01	n/a	n/a	1,000.00	4.0
Ⓕ BUCK CAPITAL MGMT		WRNC	S	50,000	27.97	18-Jan	21-Feb	non-brg	5.0
Ⓕ BUCK CAPITAL MGMT		WTSIA	B	100,000	6.27	n/a	n/a	non-brg	4.0
ACT II PARTNERS	067	XOHO	B	27,000	4.64	n/a	n/a	1,080.00	4.0
CHILTON CAPITAL MGMT.	036	XRX	S	300,000	17.99	n/a	n/a	12,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>53,230.43</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/20	LISTED ERR	099	EV	S	700	36.05	2-Nov	20-Feb	0.00 0.0
AO,CRT	02/20	WD PARTNERS ILP	067	EV	B	5,000	36.25	2-Nov	20-Feb	250.00 5.0
AO,CXL	02/20	WD PARTNERS ILP	067	EV	B	5,000	36.25	2-Nov	20-Feb	250.00 5.0
AO,	02/20	ROYCE TRADING	216	FOSL	S	50,000	26.94	21-Feb	21-Feb	2500.00 5.0
AO,	02/20	MAZAMA CAPITAL MGMT.	035	HPY	B	48,700	25.68	n/a	n/a	1948.00 4.0
AO,	02/20	BANK OF NEW YORK	040	PFCB	B	8,550	45.09	n/a	20-Feb	427.50 5.0
AO,CRT	02/20	DAVIDSON KEMPNER ADVISOR	217	QQQQ	SS	225,500	44.82	n/a	n/a	11275.00 5.0
AO,CXL	02/20	DAVIDSON KEMPNER ADVISOR	217	QQQQ	SS	225,500	44.82	n/a	n/a	11275.00 5.0

**TOTAL (AO, CXL, CRT) :****4,875.50**

TOTAL (Trade Date):

53,230.43

TOTAL (AO, CXL, CRT):

4,875.50

**TOTAL (RUN DATE) / NFS:****58,105.93****MRI Securities with Trade Activity on 21-Feb.****FOSL, JBX**

MRI Securities without Trade Activity on 21-Feb.

BYD, SHPGY, UPL

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 26%

YTD = 18%



Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

Blue: Employee, Affiliate(BCM) and Proprietary Trades.

Red: Trades in stocks with same day Research/MRI.

Type: AO = As Of, CXL = Cancel, CRT = Corrected.

POTENTIAL ANALYST TRADE VIOLATION