



Daily Compliance Activity Report

Trade Date: 10/22/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEHMAN PROPRIETARY TRAD	041	ABD	B	78,775	21.03	n/a	n/a	3,151.00	4.0
LATEFF MGMT	040	ABG	B	3,000	19.73	n/a	8-Oct	450.00	15.0
B BUCK CAPITAL MGMT		AEO	B	200,000	22.67	12-Oct	12-Oct	non-brg	4.0
COUGAR TRADING	044	ANF	B	10,000	77.20	2-Oct	12-Oct	500.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	77.35	2-Oct	12-Oct	500.00	5.0
ADAGE CAPITAL MGMT	030	ANN	B	60,000	32.02	6-Aug	12-Oct	2,400.00	4.0
B BUCK CAPITAL MGMT		ANN	C	20,000	32.22	6-Aug	12-Oct	non-brg	4.0
SARAS CAPITAL	038	AN	SS	10,000	17.69	n/a	8-Oct	500.00	5.0
BASIX	033	AOS	B	19,200	38.13	16-Oct	16-Oct	768.00	4.0
CHARTER OAK	033	AOS	B	30,032	38.15	16-Oct	16-Oct	1,501.60	5.0
B BUCK CAPITAL MGMT	001	ARO	B	200,000	20.65	n/a	12-Oct	8,000.00	4.0
B BUCK CAPITAL MGMT		ARO	B	100,000	20.71	n/a	12-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		ARO	B	100,000	20.83	n/a	12-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		ARO	B	20,000	20.83	n/a	12-Oct	non-brg	4.0
CATAPULT	040	ASCA	SS	20,000	25.08	n/a	2-Aug	800.00	4.0
GENERAL ELECTIC CO	033	ATVI	S	55,896	22.76	n/a	n/a	1,117.92	2.0
HIGHBRIDGE/MS OLDS	041	AUO	SS	48,000	19.86	n/a	n/a	1,920.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	BAC	B	5,000	48.13	19-Oct	19-Oct	200.00	4.0
Õ Glenn Redemann		BDK	B	1	0.34	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BDK	B	1	0.51	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	BEN	SS	7,500	133.41	25-Sep	22-Oct	300.00	4.0
CHILTON CAPITAL MGMT.	036	BYD	C	80,000	41.18	2-Aug	2-Aug	3,200.00	4.0
MORGAN LEWIS/MLH	046	CAT	S	70,000	73.25	n/a	n/a	3,500.00	5.0
Õ Glenn Redemann		CBST	B	2	0.04	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CBST	B	2	0.04	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	CERN	B	100,000	58.51	n/a	n/a	4,000.00	4.0
MKT MAKER	097	CGNX	S	27	17.56	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	CHRS	B	15,000	7.39	n/a	22-Mar	450.00	3.0
MKT MAKER	099	CLMS	S	641	29.95	29-May	22-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	120,000	41.46	15-Oct	15-Oct	4,800.00	4.0
ß BUCK CAPITAL MGMT		COH	SS	50,000	41.01	15-Oct	15-Oct	non-brg	4.0
RHO CAPITAL MGMT	041	COH	B	800	41.52	15-Oct	15-Oct	32.00	4.0
BENCHMARK	028	CYN	B	7,500	65.71	n/a	n/a	375.00	5.0
ß BUCK CAPITAL MGMT		DIA	SS	50,000	134.04	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DKS	S	30,000	31.62	n/a	n/a	1,200.00	4.0
STRATTON	N21	DLIA	B	800	3.70	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DLTR	C	122,700	35.51	10-Aug	22-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DLTR	SS	50,000	34.56	10-Aug	22-Oct	non-brg	4.0
LEDDY	035	DXD	S	400	49.72	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	EAT	B	99,900	27.76	n/a	24-Apr	3,996.00	4.0
AMBER CAPITAL	046	FCBP	B	50,000	47.78	n/a	n/a	2,000.00	4.0
AVESTA CAP	229	FDO	B	25,000	25.50	9-Aug	12-Oct	1,250.00	5.0
CHILTON CAPITAL MGMT.	036	FDO	C	128,894	25.17	9-Aug	12-Oct	5,155.76	4.0
CHILTON CAPITAL MGMT.	036	FHN	C	40,000	24.86	n/a	n/a	1,600.00	4.0
SUNOVA CAPITAL	031	FII	SS	50,000	39.00	n/a	22-Oct	2,500.00	5.0
CATAPULT	040	FRE	S	20,000	52.76	n/a	n/a	1,000.00	5.0
TRELLUS PARTNERS LP	028	F	C	200,000	8.41	n/a	19-Oct	6,000.00	3.0
HIGHBRIDGE/MS OLDS	041	GD	B	41,000	85.33	n/a	n/a	1,640.00	4.0
⌘ BUCK CAPITAL MGMT		GES	S	20,000	53.14	n/a	n/a	non-brg	4.0
LEHMAN PROPRIETARY TRAD	041	GGG	SS	100,000	37.28	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLER	N23	GLW	B	5	24.68	n/a	16-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		GYMB	B	40,000	33.81	10-Aug	18-Oct	non-brg	4.0
LEDDY	035	HON	C	600	57.42	9-Oct	19-Oct	0.00	0.0
CATAPULT	040	HRL	B	40,000	36.76	n/a	n/a	1,600.00	4.0
LISTED ERR	099	HRL	B	5,000	36.76	n/a	n/a	0.00	0.0
U.S.TRUST COMPANY	012	HRS	B	51,400	59.05	9-Oct	9-Oct	1,542.00	3.0
LEDDY	035	HSC	S	300	58.05	9-Oct	9-Oct	0.00	0.0
CATAPULT	040	IBKR	S	25,000	28.34	n/a	n/a	1.42	0.0
TYEE/TYGH	035	IVZ	B	94,219	27.66	8-Oct	22-Oct	3,768.76	4.0
BUCK CAPITAL MGMT	001	JCG	S	85,000	39.19	22-Jun	6-Sep	3,400.00	4.0
⌘ BUCK CAPITAL MGMT		JCG	S	17,500	39.73	22-Jun	6-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JCG	S	47,500	38.84	22-Jun	6-Sep	non-brg	2.0
COUGAR TRADING	044	JCG	B	5,000	39.86	22-Jun	6-Sep	250.00	5.0
HIGHBRIDGE/MS OLDS	041	JNS	B	86,042	31.03	19-Oct	22-Oct	3,441.68	4.0
CATAPULT	040	JNY	SS	10,000	18.45	n/a	13-Sep	400.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	B	70,000	31.51	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	JWN	B	25,000	39.01	12-Oct	12-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	034	JWN	B	7,500	39.14	12-Oct	12-Oct	300.00	4.0
XYLEM GLOBAL	091	KMB	B	50,000	69.41	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		KSS	S	75,000	54.87	27-Sep	12-Oct	non-brg	4.0
DOUBLE V/PBX	045	LBTYK	B	3,700	38.01	n/a	n/a	185.00	5.0
J L F ASSET MGMT	039	LOW	B	63,000	26.78	n/a	27-Jul	2,520.00	4.0
TRUST CO OF THE WEST/NY	040	LPNT	B	6,500	28.55	n/a	19-Sep	325.00	5.0
ACT II PARTNERS	067	LVLTL	B	175,500	4.31	6-Sep	17-Oct	7,020.00	4.0
MKT MAKER	099	LVLTL	B	7	4.31	6-Sep	17-Oct	0.00	0.0
ROTHSCHILD ASSET	040	MAN	S	20,110	70.39	n/a	n/a	904.95	4.5
MS PRINCIPAL STRATEGIES	041	MAR	B	11,000	39.67	n/a	n/a	550.00	5.0
CATAPULT	040	MCD	B	33,500	55.98	n/a	24-Apr	1,340.00	4.0
Õ Glenn Redemann		MCO	B	2	0.16	n/a	n/a	0.00	0.0
Õ Glenn Redemann		MCO	B	2	0.46	n/a	n/a	0.00	0.0
PECONIC PARTNERS	036	MNST	B	20,000	36.36	n/a	n/a	1,000.00	5.0
CHILTON CAPITAL MGMT.	036	MS	B	2,000	62.84	2-Jul	16-Oct	80.00	4.0
Õ Ted Wheeler		MTRX	S	200	25.94	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	SS	80,000	164.71	n/a	n/a	non-brg	16.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	MW	B	20,000	39.83	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		M	S	50,000	30.34	24-Sep	12-Oct	non-brg	4.0
THE JAY GOLDMAN	034	M	S	10,000	31.00	24-Sep	12-Oct	400.00	4.0
GALLEON MGMT LP	033	NLY	S	200,000	16.43	n/a	n/a	10,000.00	5.0
Õ Ted Wheeler		NPO	S	1000	39.49	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	NVT	B	50,000	75.80	n/a	n/a	2,500.00	5.0
ß BUCK CAPITAL MGMT		OIH	C	10,000	182.59	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		OIH	C	20,000	184.64	n/a	n/a	non-brg	1.0
HIGHBRIDGE/MS OLDS	041	OII	B	60,293	70.02	n/a	n/a	2,411.72	4.0
SANDELL ADV	040	OXY	B	176,900	65.20	n/a	n/a	8,845.00	5.0
HIGHBRIDGE/MS OLDS	041	PCLN	B	7,479	88.40	n/a	n/a	299.16	4.0
ASCEND PARTNERS	033	PETM	C	44,000	28.79	n/a	n/a	2,200.00	5.0
CSFB GLOBAL PROPRIETARY	035	PKG	S	20,000	30.83	18-Oct	18-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	60,000	18.28	n/a	n/a	2,400.00	4.0
J L F ASSET MGMT	039	PSS	B	25,700	18.45	n/a	n/a	1,028.00	4.0
BUCK CAPITAL MGMT	001	PTT	S	5,000	9.21	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	47.12	13-Aug	29-Aug	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORMAN	003	QJPLK	S	50	6.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RCL	S	20,000	42.66	23-Oct	27-Jul	non-brg	4.0
WEISS PECK	040	RDEN	C	7,600	26.04	n/a	17-Aug	380.00	5.0
COUGAR TRADING	044	RL	B	5,000	68.02	9-Aug	29-Aug	250.00	5.0
CUMBERLAND	038	RRGB	S	35,000	40.11	n/a	n/a	1,400.00	4.0
ß BUCK CAPITAL MGMT		RTH	SS	75,000	96.25	n/a	n/a	non-brg	1.0
HIGHBRIDGE/MS OLDS	041	SGP	B	100,000	28.91	n/a	n/a	4,000.00	4.0
ROARING BLUE LION MGMT	012	SHOO	B	6,100	22.12	n/a	n/a	244.00	4.0
STRATTON	N21	SIR	B	2,000	0.43	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	21.18	n/a	13-Mar	1,200.00	4.0
ß BUCK CAPITAL MGMT		SPY	SS	50,000	148.95	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TGT	SS	50,000	60.12	n/a	27-Jul	non-brg	4.0
Õ Glenn Redemann		TIF	B	2	0.19	18-Oct	18-Oct	0.00	0.0
Õ Glenn Redemann		TIF	B	2	0.71	18-Oct	18-Oct	0.00	0.0
TRUST CO OF THE WEST/NY	040	TLB	B	28,875	15.90	n/a	10-Oct	1,155.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	150,000	29.45	2-Oct	2-Oct	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PB EXEC/BODRI/MS PRIME	045	UA	B	4,100	53.10	n/a	n/a	164.00	4.0
LEDDY	035	VC	B	2,500	5.33	n/a	19-Oct	0.00	0.0
MATTHES CAPITAL MGMT	033	VFC	SS	4,300	84.28	n/a	n/a	172.00	4.0
CHILTON CAPITAL MGMT.	036	WB	B	5,000	46.76	n/a	n/a	200.00	4.0
NATIONAL BK OF CAN	031	WDR	B	35,000	28.09	5-Oct	22-Oct	1,400.00	4.0
T. ROWE PRICE	243	WFC	S	74,200	33.25	n/a	n/a	2,968.00	4.0
JPMSI/TOM LEDDY	035	WRNC	B	10,000	37.42	19-Sep	28-Sep	500.00	5.0
CATAPULT	040	WWY	B	20,000	67.53	n/a	n/a	800.00	4.0
PB EXEC/BODRI/MS PRIME	045	XMSR	S	6,500	15.56	n/a	n/a	325.00	5.0
CATAPULT	040	YUM	B	56,200	37.29	n/a	24-Apr	2,248.00	4.0
Õ Glenn Redemann		ZUMZ	B	1	0.05	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ZUMZ	B	1	0.35	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ZUMZ	B	2	0.28	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ZUMZ	B	2	0.34	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :							157,075.97		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/18	NORTHPOINT	030	AAWW	S	8,575	56.42	n/a	n/a	343.00 4.0
AO,CXL	10/18	NORTHPOINT	030	AAWW	S	8,575	56.42	n/a	n/a	0.00 0.0
AO,CRT	10/19	CATAPULT	040	AME	B	9,300	45.44	n/a	n/a	372.00 4.0
AO,CXL	10/19	CATAPULT	040	AME	B	9,300	45.44	n/a	n/a	465.00 5.0
AO,CXL	10/19	ROTHSCHILD ASSET	040	ARJ	B	80	45.15	n/a	n/a	3.60 4.5
AO,CRT	10/19	ROTHSCHILD ASSET	040	ARJ	B	80	45.15	n/a	n/a	3.60 4.5
AO,CXL	10/15	BUCK CAPITAL MGMT	001	COH	S	334	42.13	15-Oct	15-Oct	13.36 4.0
AO,CRT	10/15	BUCK CAPITAL MGMT	001	COH	S	334	42.13	15-Oct	15-Oct	13.36 4.0
AO,CXL	10/19	LAGRANGE CAP ADV	048	DIA	B	105,303	135.27	n/a	n/a	5265.15 5.0
AO,CRT	10/19	LAGRANGE CAP ADV	048	DIA	B	105,303	135.27	n/a	n/a	5265.15 5.0
AO,CXL	10/17	GOLDEN TREE	036	GT	S	11,565	30.20	n/a	n/a	578.25 5.0
AO,CRT	10/17	GOLDEN TREE	036	GT	S	11,565	30.20	n/a	n/a	578.25 5.0
AO,CRT	10/19	CATAPULT	040	HNZ	B	43,000	46.23	n/a	n/a	1720.00 4.0
AO,CXL	10/19	CATAPULT	040	HNZ	B	43,000	46.23	n/a	n/a	2150.00 5.0
AO,CRT	10/19	CATAPULT	040	HRL	B	20,000	37.21	n/a	n/a	800.00 4.0
AO,CXL	10/19	CATAPULT	040	HRL	B	20,000	37.21	n/a	n/a	1000.00 5.0
AO,CRT	10/19	CATAPULT	040	KO	B	50,000	59.40	n/a	n/a	2000.00 4.0
AO,CXL	10/19	CATAPULT	040	KO	B	50,000	59.40	n/a	n/a	2500.00 5.0
AO,CRT	10/19	CATAPULT	040	LIZ	SS	10,000	29.32	n/a	14-Sep	400.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/19	CATAPULT	040	LIZ	SS	10,000	29.32	n/a	14-Sep	500.00 5.0
AO,CXL	10/18	BUCK CAPITAL MGMT	001	M	S	10,000	31.25	24-Sep	12-Oct	400.00 4.0
AO,CRT	10/18	BUCK CAPITAL MGMT	001	M	S	10,000	31.25	24-Sep	12-Oct	400.00 4.0
AO,CRT	10/19	STELLIAM INV ADV	040	M	B	15,000	30.68	24-Sep	12-Oct	750.00 5.0
AO,CXL	10/19	STELLIAM INV ADV	040	M	B	25,000	30.84	24-Sep	12-Oct	1250.00 5.0
AO,CXL	10/19	CATAPULT	040	MO	B	43,000	70.84	n/a	n/a	2150.00 5.0
AO,CRT	10/19	CATAPULT	040	MO	B	43,000	70.84	n/a	n/a	1720.00 4.0
AO,CRT	10/18	BUCK CAPITAL MGMT	001	PVH	B	10,000	46.28	13-Aug	29-Aug	400.00 4.0
AO,CXL	10/18	BUCK CAPITAL MGMT	001	PVH	B	10,000	46.28	13-Aug	29-Aug	400.00 4.0
AO,CRT	10/19	CATAPULT	040	TIF	B	5,000	56.47	18-Oct	18-Oct	200.00 4.0
AO,CXL	10/19	CATAPULT	040	TIF	B	5,000	56.47	18-Oct	18-Oct	250.00 5.0
AO,CXL	10/19	MATTHES CAPITAL MGMT	033	VFC	SS	12,000	83.34	n/a	n/a	600.00 5.0
AO,CRT	10/19	MATTHES CAPITAL MGMT	033	VFC	SS	12,000	83.34	n/a	n/a	480.00 4.0

TOTAL (AO, CXL, CRT) :	-2,080.00
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TOTAL (Trade Date) :	157,075.97
TOTAL (AO, CXL, CRT) :	-2,080.00

TOTAL (RUN DATE) / NFS :	154,995.97
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MRI Securities with Trade Activity on 22-Oct.
NONE

MRI Securities without Trade Activity on 22-Oct.
DVN

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 36%
YTD = 17%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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