



Daily Compliance Activity Report

Trade Date: 03/01/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AB	B	250	83.09	24-Jan	28-Feb	12.50	5.0
BARR	096	ACF	SS	250	23.91	n/a	n/a	0.00	0.0
TRIBECA/DOUG	040	AFL	B	25,000	46.88	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	76.96	2-Feb	22-Feb	800.00	4.0
COUGAR TRADING	044	ANF	B	5,000	77.20	2-Feb	22-Feb	250.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	76.04	2-Feb	22-Feb	500.00	5.0
B BUCK CAPITAL MGMT		ANN	C	10,000	35.13	5-Jan	16-Feb	non-brg	5.0
FARBER/WEISS PECK	012	ANN	C	22,000	35.37	5-Jan	16-Feb	1,100.00	5.0
RIDGECRST PARTNERS	035	ARAY	SS	5,000	24.46	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	30,000	36.39	23-Oct	9-Feb	1,200.00	4.0
EFSTATHIOU	044	ATVI	B	400	16.87	n/a	n/a	0.00	0.0
AVESTA CAP	229	AVP	B	25,000	36.61	7-Feb	28-Feb	1,250.00	5.0
B BUCK CAPITAL MGMT		AVZ	B	10,000	23.09	13-Feb	28-Feb	non-brg	5.0
BUCK CAPITAL MGMT	001	AZO	B	5,000	123.86	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		BBW	B	5,000	25.64	8-Jan	21-Feb	non-brg	5.0
CIBC ADV.	060	BBY	S	50,000	45.27	13-Dec	21-Feb	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	BBY	B	16,600	45.52	13-Dec	21-Feb	830.00	5.0
MCCARTAN	028	BBY	B	150	46.87	13-Dec	21-Feb	0.00	0.0
EFSTATHIOU	044	BBY	B	200	46.87	13-Dec	21-Feb	0.00	0.0
LISTED ERR	099	BBY	B	10,000	46.80	13-Dec	21-Feb	0.00	0.0
B BUCK CAPITAL MGMT		BONT	S	5,000	48.07	9-Feb	9-Feb	non-brg	5.0
COUGAR TRADING	044	BONT	SS	10,000	47.62	9-Feb	9-Feb	500.00	5.0
B BUCK CAPITAL MGMT		BSC	B	5,000	148.29	15-Dec	28-Feb	non-brg	5.0
ARIENCE CAPITAL	036	BYD	B	11,630	45.61	21-Feb	21-Feb	581.50	5.0
B BUCK CAPITAL MGMT		CAB	C	5,000	24.65	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		CACH	S	10,000	22.03	n/a	n/a	non-brg	5.0
GRISANTI BROWN & PARTNER	048	CAL	C	5,000	40.45	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	CBS	B	400	30.17	n/a	n/a	20.00	5.0
HIGHFIELDS CAP MGMT	039	CCU	B	15,000	36.00	n/a	n/a	750.00	5.0
PLATTE RIVER CAPITAL	035	CEG	B	1,500	79.11	n/a	n/a	60.00	4.0
MKT MAKER	099	CENTA	S	79	14.10	n/a	n/a	0.00	0.0
GAULT	063	CHSCX	B	60	0.75	n/a	n/a	0.00	0.0
WHITTIER CAP	048	CHS	S	22,315	21.99	5-Jan	16-Feb	1,115.75	5.0
BUCK CAPITAL MGMT	001	CLE	S	20,000	32.19	3-Nov	23-Feb	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BINDER	007	CLX	C	100	63.00	5-Dec	2-Feb	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CMS	B	32,200	17.40	n/a	n/a	1,288.00	4.0
CAPITAL GROWTH MGMT.	241	COH	B	25,000	47.39	23-Feb	23-Feb	1,250.00	5.0
J L F ASSET MGMT	039	COH	B	92,500	48.29	23-Feb	23-Feb	3,700.00	4.0
⌘ BUCK CAPITAL MGMT		COLM	C	5,000	63.00	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CROX	B	5,000	46.49	n/a	n/a	non-brg	5.0
VARDON PARTNERS	035	CTB	S	16,000	17.13	n/a	n/a	800.00	5.0
⌘ BUCK CAPITAL MGMT		CWTR	B	5,000	18.02	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		DBRN	B	40,000	20.87	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		DECK	S	10,000	68.13	n/a	n/a	non-brg	5.0
GALLEON MGMT LP	033	DIA	SS	10,000	122.24	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	DKS	B	5,000	51.41	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	DUK	B	5,625	19.91	n/a	n/a	281.25	5.0
SAC TRADING HOWARD	038	EDA	B	27,600	10.97	n/a	n/a	1,380.00	5.0
GALLEON MGMT LP	033	EEM	SS	10,000	108.76	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		EV	S	159,500	35.00	2-Nov	28-Feb	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		EV	S	500	35.08	2-Nov	28-Feb	non-brg	1.0
ROYCE TRADING	216	EV	S	30,000	35.27	2-Nov	28-Feb	1,500.00	5.0
BUCK CAPITAL MGMT		FDO	C	100,000	29.08	3-Nov	9-Feb	non-brg	5.0
BUCK CAPITAL MGMT		FD	B	15,000	44.04	26-Jan	28-Feb	non-brg	5.0
CENTURION PARTNERS	249	FD	B	10,000	44.47	26-Jan	28-Feb	500.00	5.0
COUGAR TRADING	044	FD	B	25,000	44.30	26-Jan	28-Feb	1,250.00	5.0
J L F ASSET MGMT	039	FD	B	82,800	44.48	26-Jan	28-Feb	3,312.00	4.0
PILOT ADV	038	FD	S	10,000	43.85	26-Jan	28-Feb	400.00	4.0
AVESTA CAP	229	GCO	S	20,000	39.36	n/a	10-Jan	1,000.00	5.0
BUCK CAPITAL MGMT		GIII	B	1,000	20.48	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		GIL	B	40,000	51.83	n/a	n/a	non-brg	5.0
COUGAR TRADING	044	GPS	S	10,000	19.20	n/a	27-Feb	500.00	5.0
BUCK CAPITAL MGMT		GS	B	5,000	197.99	13-Dec	28-Feb	non-brg	5.0
BUCK CAPITAL MGMT		GTRC	B	10,000	43.61	n/a	n/a	non-brg	5.0
WHEELER	008	GYIJJ	S	50	6.42	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	HE	B	11,800	26.25	n/a	n/a	472.00	4.0
MKT MAKER	099	HOTT	B	16	10.84	n/a	9-Feb	0.00	0.0
GARX	030	HPC	S	50,000	19.53	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MKT MAKER	099	IDIX	S	93	9.21	n/a	n/a	0.00	0.0
BARR	096	ITCD	S	1,000	2.70	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		JCG	B	5,000	35.22	25-Jan	25-Jan	non-brg	5.0
COUGAR TRADING	044	JCG	S	5,000	34.77	25-Jan	25-Jan	250.00	5.0
MKT MAKER	099	JCG	B	83	35.88	25-Jan	25-Jan	0.00	0.0
MKT MAKER	099	JCG	S	83	35.88	25-Jan	25-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	B	15,000	79.02	23-Feb	23-Feb	600.00	4.0
BALYASNY ASSET MGMT	044	JNC	B	20,000	48.51	n/a	28-Feb	1,000.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	5,000	52.64	27-Feb	27-Feb	200.00	4.0
COUGAR TRADING	044	JWN	S	5,000	53.60	27-Feb	27-Feb	250.00	5.0
⌘ BUCK CAPITAL MGMT		KBLH	B	4,000	5.60	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KCP	S	10,000	25.74	n/a	28-Feb	non-brg	5.0
GRISANTTI BROWN & PARTNER	048	KFT	C	5,600	32.32	n/a	n/a	280.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	5,000	67.89	27-Dec	27-Feb	200.00	4.0
T. ROWE PRICE	033	KSS	S	6,000	68.12	27-Dec	27-Feb	240.00	4.0
⌘ BUCK CAPITAL MGMT		LAMR	B	5,000	63.35	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		LEH	B	5,000	72.16	6-Dec	28-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		MBFGIM	B	10,000	28.63	n/a	n/a	non-brg	5.7

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MER	B	5,000	82.80	19-Jan	28-Feb	non-brg	5.0
GOLD SACHS SPECIAL SIT	037	MER	B	75,000	83.96	19-Jan	28-Feb	3,750.00	5.0
B BUCK CAPITAL MGMT		MS	B	5,000	74.28	20-Dec	28-Feb	non-brg	5.0
BALYASNY ASSET MGMT	044	MWV	B	10,000	30.36	8-Jan	1-Feb	500.00	5.0
CIBC ADV.	060	MYL	SS	100,000	20.20	n/a	28-Feb	4,000.00	4.0
B BUCK CAPITAL MGMT		NEXC	B	5,000	10.12	n/a	n/a	non-brg	5.0
SUTERA	160	NLS	B	1,000	17.25	n/a	n/a	0.00	0.0
TRIBECA/DOUG	040	NTRS	B	10,000	59.96	n/a	16-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	10,000	14.34	1-Dec	16-Feb	400.00	4.0
MERRILL ASSET	032	NXL	S	19,700	33.21	n/a	n/a	985.00	5.0
B BUCK CAPITAL MGMT		OEF	SS	10,000	63.55	n/a	n/a	non-brg	2.0
BINDER	007	OMX	SS	115	50.89	n/a	15-Apr	0.00	0.0
TRELLUS PARTNERS LP	028	PETM	B	60,000	28.86	n/a	n/a	3,000.00	5.0
MERRILL LYNCH STRATEGICI	034	PLLL	B	100,000	20.58	n/a	n/a	5,000.00	5.0
COLBURN	033	PMU	B	705	1.14	n/a	n/a	0.00	0.0
BLACKROCK/BOSTON	037	PNK	B	6,500	30.87	n/a	n/a	260.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VARDON PARTNERS	035	PSS	B	20,000	30.13	n/a	n/a	1,000.00	5.0
LUCHANSKY1	036	QID	B	1,000	56.90	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		RCII	C	10,000	28.37	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	85.00	2-Feb	16-Feb	400.00	4.0
DENVER INST. ADV	046	SCRX	B	50,000	22.99	20-Dec	27-Feb	2,500.00	5.0
KENNEDY CAPITAL	046	SCRX	S	4,900	23.25	20-Dec	27-Feb	196.00	4.0
⌘ BUCK CAPITAL MGMT		SHOO	B	20,000	28.29	n/a	n/a	non-brg	5.0
AMBER CAPITAL	046	SPLS	B	200,000	25.33	n/a	10-Jan	10,000.00	5.0
WHITTIER CAP	048	SPLS	S	15,270	25.65	n/a	10-Jan	763.50	5.0
GALLEON MGMT LP	033	SPY	SS	10,000	140.54	n/a	n/a	500.00	5.0
ARIENCE CAPITAL	036	STX	B	40,150	26.34	n/a	n/a	2,007.50	5.0
BINDER	007	SWK	SS	90	54.51	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SWN	B	10,000	37.49	1-Mar	1-Mar	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TGT	B	30,000	60.82	n/a	28-Feb	non-brg	5.0
STRAUSS ASSET MGMT	040	TIN	B	10,000	59.19	26-Feb	26-Feb	500.00	5.0
⌘ BUCK CAPITAL MGMT		TRLG	S	10,000	16.88	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		TRLG	S	12,100	17.06	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TSCO	B	5,000	49.55	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	35.77	22-Feb	22-Feb	400.00	4.0
WHITTIER CAP	048	TWTR	B	17,100	1.42	n/a	n/a	513.00	3.0
⌘ BUCK CAPITAL MGMT		TXN	SS	25,000	30.17	n/a	n/a	non-brg	5.0
WHALE ROCK CAP	030	T	B	30,000	36.74	26-Jan	1-Mar	1,200.00	4.0
BARR	096	UNFY	S	9,999	0.44	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	B	30,000	24.83	7-Dec	9-Feb	non-brg	5.0
ACT II PARTNERS	067	VG	SS	92,200	5.32	15-Feb	15-Feb	3,688.00	4.0
HASAN	010	VSL	B	3,000	16.50	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	VZ	B	10,000	36.92	22-Dec	28-Feb	500.00	5.0
PATTEN & PATTEN	067	VZ	B	300	37.02	22-Dec	28-Feb	15.00	5.0
⌘ BUCK CAPITAL MGMT		WTSLA	B	20,000	6.02	n/a	n/a	non-brg	4.0
KAICHER	064	ZHNE	B	500	1.16	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								80,301.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	02/23	PLATTE RIVER CAPITAL	035	AGIX	B	7,500	11.46	n/a	n/a	300.00	4.0
AO,CRT	02/28	DSG CAPITAL	225	AVZ	B	10,000	23.82	13-Feb	28-Feb	300.00	3.0
AO,CXL	02/28	DSG CAPITAL	225	AVZ	B	10,000	23.82	13-Feb	28-Feb	500.00	5.0
AO,CXL	02/28	CIBC ADV.	060	BBY	S	30,000	46.44	13-Dec	21-Feb	1500.00	5.0
AO,CRT	02/28	CIBC ADV.	060	BBY	S	30,000	46.44	13-Dec	21-Feb	1200.00	4.0
AO,CXL	02/28	DAWSON SANBERG & CO	036	FL	B	300	22.66	n/a	9-Feb	15.00	5.0
AO,CRT	02/28	SASCO	038	FL	B	300	22.66	n/a	9-Feb	15.00	5.0
AO,CRT	02/28	MKT MAKER	099	GIII	B	68	20.00	n/a	n/a	0.00	0.0
AO,	02/28	TRELLUS PARTNERS LP	028	GYMB	SS	25,000	37.80	4-Jan	9-Feb	1250.00	5.0
AO,CRT	02/28	ADAGE CAPITAL MGMT	030	JCG	SS	92,800	36.13	25-Jan	25-Jan	3712.00	4.0
AO,CXL	02/28	ADAGE CAPITAL MGMT	030	JCG	SS	92,800	36.13	25-Jan	25-Jan	0.00	0.0
AO,	02/28	MAGNETAR FINANCIAL	247	OSI	B	125,000	40.00	6-Nov	22-Feb	2500.00	2.0
AO,	02/28	MORGAN LEWIS/MLH	046	RDEN	S	20,000	21.48	5-Feb	5-Feb	1000.00	5.0
AO,	02/27	LISTED ERR	999	RTH	B	48,000	103.02	n/a	n/a	0.00	0.0
AO,	02/27	LISTED ERR	999	RTH	S	48,000	103.01	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										7,662.00	

TOTAL (Trade Date):	80,301.00
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TOTAL (AO, CXL, CRT):	7,662.00
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TOTAL (RUN DATE) / NFS:	87,963.00
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MRI Securities with Trade Activity on 1-Mar.
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SWN

MRI Securities without Trade Activity on 1-Mar.

BRL, HET

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

T-Date = 14%

YTD = 16%

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