



Daily Compliance Activity Report

Trade Date: 12/14/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ABC	S	26,460	43.02	n/a	n/a	1,190.70	4.5
BALYASNY ASSET MGMT	044	ABG	B	10,000	15.19	31-Oct	4-Dec	500.00	5.0
LATEFF MGMT	040	ABG	B	2,000	15.09	31-Oct	4-Dec	260.00	13.0
LATEFF MGMT	040	ADM	S	3,500	39.30	n/a	19-Nov	560.00	16.0
BALYASNY ASSET MGMT	044	ANF	B	10,000	81.72	2-Oct	7-Dec	500.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	81.26	2-Oct	7-Dec	250.00	5.0
REICH AND TANG	067	AW	S	18,300	11.13	n/a	n/a	915.00	5.0
INDEPENDENCE INV	039	BA	S	82,900	89.25	n/a	n/a	3,316.00	4.0
CARDINAL CAPITAL	044	BE	S	111,290	2.83	n/a	n/a	3,338.70	3.0
FRIESS MGMT	042	BHE	B	114,200	17.59	n/a	n/a	5,139.00	4.5
BUCK CAPITAL MGMT	001	BJ	B	65,000	36.34	n/a	27-Jul	2,600.00	4.0
B BUCK CAPITAL MGMT		BJ	C	100,000	36.16	n/a	27-Jul	non-brg	4.0
CLOVIS CAPITAL	012	BLL	B	100,000	46.51	n/a	n/a	5,000.00	5.0
ROYCE TRADING	216	BNE	S	5,000	17.81	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		CHCG	S	200,000	3.56	n/a	n/a	non-brg	3.0
HARVEST MGMT	039	COCO	S	25,000	17.48	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		COH	SS	20,000	34.75	24-Oct	24-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		COLM	SS	10,000	44.85	n/a	n/a	non-brg	4.0
FRIESS MGMT	042	CPWR	B	674,400	8.88	n/a	n/a	23,604.00	3.5
⚡ BUCK CAPITAL MGMT		CTRN	S	175,000	13.58	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	CX	S	300	26.81	n/a	n/a	15.00	5.0
CATAPULT	040	C	B	5,000	30.79	5-Nov	13-Dec	250.00	5.0
FIRST NY SEC/CHRIS	041	DAL	B	15,000	15.53	n/a	n/a	900.00	6.0
⚡ BUCK CAPITAL MGMT		DBRN	S	173,300	12.81	n/a	n/a	non-brg	4.0
BARROW HANLEY MEWHINNEY	031	DD	S	578,700	45.38	n/a	4-Dec	23,148.00	4.0
BUCK CAPITAL MGMT	001	DSW	S	73,700	18.82	26-Oct	14-Dec	2,948.00	4.0
⚡ BUCK CAPITAL MGMT		DSW	S	30,000	18.65	26-Oct	14-Dec	non-brg	2.0
⚡ BUCK CAPITAL MGMT		DSW	S	4,800	18.73	26-Oct	14-Dec	non-brg	1.0
PATTEN & PATTEN	067	EWZ	B	65	81.70	n/a	n/a	3.25	5.0
KINGDON ASSET MGMT	041	FDRY	C	150,000	16.56	n/a	22-Mar	7,500.00	5.0
FRIESS MGMT	042	FMC	B	83,000	53.63	n/a	n/a	3,735.00	4.5
MAZAMA CAPITAL MGMT.	035	FMR	S	39,500	22.18	n/a	n/a	1,580.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	FSP	S	300	15.61	n/a	n/a	15.00	5.0
BUCK	015	FXE	B	300	144.46	n/a	n/a	0.00	0.0
MAGUIRE	090	FXP	S	3,500	79.42	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	10,000	41.07	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	30,000	40.48	5-Nov	11-Dec	1,200.00	4.0
B BUCK CAPITAL MGMT		GIL	B	10,000	40.41	5-Nov	11-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		GIL	B	10,000	40.49	5-Nov	11-Dec	non-brg	2.0
B BUCK CAPITAL MGMT		GM	SS	50,000	26.51	n/a	4-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		GM	SS	50,000	26.53	n/a	4-Dec	non-brg	2.5
BALYASNY ASSET MGMT	044	GNTX	B	10,000	17.89	24-Jul	23-Oct	500.00	5.0
LATEFF MGMT	040	GPI	S	1,500	25.48	31-Oct	31-Oct	270.00	18.0
WESLEY CAPITAL	030	GRT	S	67,416	16.27	n/a	n/a	2,696.64	4.0
B BUCK CAPITAL MGMT		HSTX	S	25,000	16.19	n/a	n/a	non-brg	2.0
CHART WELL ADV	243	IBKR	B	629	29.89	n/a	n/a	28.31	4.5
RHO CAPITAL MGMT	041	IMA	S	1,924	55.50	n/a	n/a	76.96	4.0
BARR	096	IOM	B	4,000	3.52	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	IPHS	S	7,100	14.23	n/a	n/a	355.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	IP	SS	10,000	32.98	n/a	5-Nov	400.00	4.0
PROSPECTOR PARTNERS LLC	036	IP	B	25,000	32.83	n/a	5-Nov	1,000.00	4.0
BUCK	015	ISTA	B	1,301	5.36	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ITT	B	150	63.50	n/a	13-Nov	7.50	5.0
BUCK CAPITAL MGMT	001	JAH	B	20,000	24.99	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	150,000	35.16	20-Nov	7-Dec	6,000.00	4.0
B BUCK CAPITAL MGMT		JWN	S	50,000	35.70	20-Nov	7-Dec	non-brg	2.0
REICH AND TANG	067	KCI	B	15,000	51.39	n/a	n/a	750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	KCP	B	40,000	17.83	28-Sep	28-Sep	1,500.00	3.8
BUCK	015	KFT	S	2,000	33.40	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	KSS	B	8,400	47.02	9-Nov	7-Dec	420.00	5.0
KEEFE BRUYETTE WOODS A	031	LM	S	10,000	73.67	21-Nov	10-Dec	500.00	5.0
LATEFF MGMT	040	LOW	B	3,000	22.90	27-Jul	27-Jul	420.00	14.0
B BUCK CAPITAL MGMT		LTD	SS	10,000	18.73	n/a	7-Dec	non-brg	1.0
BUCK	015	MBI	C	700	28.30	n/a	n/a	0.00	0.0
WESLEY CAPITAL	246	MGM	SS	31,562	88.60	n/a	31-Oct	1,262.48	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	MHP	S	400	45.52	n/a	n/a	20.00	5.0
BUCK	015	MO	B	600	77.36	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	MRK	B	123,200	59.71	n/a	n/a	4,928.00	4.0
PATTEN & PATTEN	067	MRK	S	100	59.96	n/a	n/a	5.00	5.0
UBS OCONNOR	031	MS	S	60,000	50.55	5-Dec	13-Dec	1,800.00	3.0
BUCK	015	MS	SS	800	50.54	5-Dec	13-Dec	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	SS	170,000	152.83	n/a	n/a	non-brg	15.3
B BUCK CAPITAL MGMT		M	S	200,000	27.99	9-Nov	7-Dec	non-brg	4.0
COUGAR TRADING	044	M	S	10,000	27.89	9-Nov	7-Dec	500.00	5.0
B BUCK CAPITAL MGMT		NEXC	S	105,300	4.25	n/a	n/a	non-brg	3.0
HIGHBRIDGE CAPITAL	038	PCL	S	106,100	45.55	n/a	23-Oct	5,305.00	5.0
ROTHSCHILD ASSET	040	PEG	S	9,670	96.70	n/a	n/a	435.15	4.5
HIGHBRIDGE CAPITAL	038	PKG	SS	40,000	28.19	18-Oct	8-Nov	2,000.00	5.0
ROYCE TRADING	216	PMC	B	10,000	14.08	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		PNRA	SS	10,000	36.22	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	39.05	5-Dec	5-Dec	400.00	4.0
SARAS CAPITAL	038	QQQQ	SS	250,000	51.38	n/a	n/a	7,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	20,000	64.45	8-Nov	8-Nov	800.00	4.0
BENCHMARK	028	RMBS	B	5,000	20.82	n/a	n/a	250.00	5.0
MKT MAKER	099	SCSS	B	75	6.41	n/a	n/a	0.00	0.0
MAGUIRE	090	SKF	S	5,100	99.53	n/a	n/a	0.00	0.0
KAICHER	064	SNCR	B	1,000	35.18	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	SNDK	SS	50,000	36.29	n/a	n/a	2,500.00	5.0
PRINCIPLE CAPITAL	040	SWK	B	45,992	49.14	n/a	n/a	1,839.68	4.0
BARR	096	SYNP	B	4,000	5.22	n/a	n/a	0.00	0.0
GRUSS CAPITAL	045	TAST	B	15,000	9.85	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	TIF	SS	20,000	45.27	18-Oct	3-Dec	800.00	4.0
GEORGE WEISS	034	TIN	B	10,000	32.79	11-Dec	11-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	250,000	23.42	19-Nov	19-Nov	10,000.00	4.0
BUCK CAPITAL MGMT		TWB	S	71,604	23.51	19-Nov	19-Nov	non-brg	1.0
FIRST INV MGMT CORP	036	TYC	B	7,000	41.85	9-Nov	15-Nov	350.00	5.0
FRIESS MGMT	042	UAPH	S	290,200	38.51	n/a	n/a	13,059.00	4.5
MILTON PARTNERS	060	UAPH	B	25,000	38.50	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRIESS MGMT	042	VRSN	S	474,127	36.73	n/a	n/a	21,335.72	4.5
PATTEN & PATTEN	067	WAG	S	325	36.88	n/a	n/a	16.25	5.0
MERRILL ASSET	032	WDR	S	17,500	36.38	21-Nov	26-Nov	787.50	4.5
BUCK	015	WM	SS	1,000	15.17	n/a	n/a	0.00	0.0
CUMBERLAND	038	YHOO	S	100,000	24.01	n/a	n/a	4,000.00	4.0
WESLEY CAPITAL	246	YSI	S	199,433	9.89	n/a	n/a	7,977.32	4.0
COUGAR TRADING	044	ZQK	B	25,000	9.00	n/a	14-Dec	1,250.00	5.0
TOTAL (Trade Date) :								197,463.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/13	GARDNER LEWIS ASSET MGMT	028	CMI	S	57,810	122.62	n/a	n/a	2890.50 5.0
AO,	12/13	MORRISON & FRASIER	040	CSE	S	45,800	17.01	n/a	n/a	1832.00 4.0
AO,CRT	12/13	MORRISON & FRASIER	040	CSE	S	55,000	17.01	n/a	n/a	2200.00 4.0
AO,CXL	12/13	MORRISON & FRASIER	040	CSE	S	100,800	17.01	n/a	n/a	4032.00 4.0
AO,CXL	12/13	MKT MAKER	099	JBLU	B	24,100	6.95	n/a	n/a	0.00 0.0
AO,CRT	12/13	MKT MAKER	097	JBLU	B	866	6.80	n/a	n/a	0.00 0.0
AO,CRT	12/13	MKT MAKER	099	JBLU	B	23,234	6.96	n/a	n/a	0.00 0.0
AO,CRT	12/13	MKT MAKER	099	JBLU	S	25,000	6.87	n/a	n/a	0.00 0.0
AO,CXL	12/13	MKT MAKER	099	JBLU	S	25,000	6.87	n/a	n/a	0.00 0.0
AO,CXL	12/13	AMBER CAPITAL	046	SSCC	SS	24,800	10.96	n/a	26-Oct	992.00 4.0
AO,CRT	12/13	AMBER CAPITAL	046	SSCC	SS	24,800	10.96	n/a	26-Oct	992.00 4.0
AO,	12/13	GEORGE WEISS	034	TIN	B	18,300	32.89	11-Dec	11-Dec	732.00 4.0
AO,CRT	12/13	CARLYLE BLUE WAVE PR MG	224	WMI	B	5,000	34.01	n/a	n/a	250.00 5.0
AO,CXL	12/13	CARLYLE BLUE WAVE PR MG	224	WMI	B	5,000	34.01	n/a	n/a	250.00 5.0

TOTAL (AO, CXL, CRT) :**3,622.50**

TOTAL (Trade Date) :

197,463.16

TOTAL (AO, CXL, CRT) :

3,622.50

TOTAL (RUN DATE) / NFS:

201,085.66

MRI Securities with Trade Activity on 14-Dec.
NONE

MRI Securities without Trade Activity on 14-Dec.
IFF

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 27%
YTD = 21%

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