



Daily Compliance Activity Report

Trade Date: 09/04/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	30,000	26.22	10-Jul	31-Aug	non-brg	5.0
WYCKOFF	013	AEO	B	500	25.77	10-Jul	31-Aug	0.00	0.0
MATLIN PATTERSON	046	AES	B	20,000	18.43	n/a	n/a	800.00	4.0
CHARTER OAK	033	AG	S	94,441	44.01	n/a	n/a	4,722.05	5.0
BARR	096	AMD	C	800	13.17	n/a	n/a	0.00	0.0
BARR	096	AMR	B	1,500	25.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ANF	B	20,000	79.14	23-Aug	31-Aug	non-brg	5.0
COUGAR TRADING	044	ANF	B	10,000	78.76	23-Aug	31-Aug	500.00	5.0
BALYASNY ASSET MGMT	044	ANN	SS	40,000	30.94	6-Aug	31-Aug	2,000.00	5.0
BALYASNY ASSET MGMT	044	ARO	SS	20,000	20.52	n/a	31-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	20.37	n/a	31-Aug	800.00	4.0
ZOLIDIS	011	ARO	B	500	20.52	n/a	31-Aug	0.00	0.0
RIVER RUN MGMT	031	BBI	SS	100,000	5.10	n/a	n/a	4,000.00	4.0
LEDDY	035	BBW	B	700	16.30	15-Jun	27-Jul	0.00	0.0
BUCK CAPITAL MGMT		BONT	B	10,000	30.02	3-Aug	31-Aug	non-brg	5.0
BARR	096	BQI	S	1,500	5.08	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRIBECA	038	BUD	S	21,100	48.97	n/a	n/a	844.00	4.0
BUCK CAPITAL MGMT	001	BWS	S	10,000	22.61	n/a	n/a	400.00	4.0
WYCKOFF	013	BWS	S	200	22.59	n/a	n/a	0.00	0.0
MTB INV ADV	034	CBI	S	18,385	37.94	n/a	n/a	735.40	4.0
Õ Glenn Redemann		CBK	B	100	17.50	7-Jun	31-Aug	0.00	0.0
Õ Glenn Redemann		CBK	SS	1	5.20	7-Jun	31-Aug	0.00	0.0
Õ Glenn Redemann		CBK	S	100	12.26	7-Jun	31-Aug	0.00	0.0
BARR	096	CEVA	S	1,000	8.74	n/a	n/a	0.00	0.0
LEDDY	035	CHCG	B	1,800	5.19	n/a	n/a	0.00	0.0
ZOLIDIS	011	CHS	C	1,000	16.18	30-Aug	31-Aug	0.00	0.0
Õ Glenn Redemann		CMCSA	B	1	0.51	5-Apr	4-Sep	0.00	0.0
Õ Glenn Redemann		CMCSA	B	1	0.61	5-Apr	4-Sep	0.00	0.0
HIGHBRIDGE CAPITAL	038	COG	B	2,000	33.98	n/a	n/a	100.00	5.0
HUNTER GLOBAL INVESTOR	067	COH	S	10,000	44.33	n/a	29-Aug	500.00	5.0
WYCKOFF	013	CPHI	B	1,000	1.60	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CTRN	B	20,000	21.94	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		CWTR	B	30,000	12.79	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	DAL	B	1,500	17.10	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DDS	C	25,000	22.48	n/a	n/a	non-brg	5.0
WYCKOFF	013	DLIA	S	300	4.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DSW	S	60,000	31.08	2-Aug	4-Sep	2,400.00	4.0
LOOMIS SALES/BOSTON	036	DW	S	7,400	39.50	n/a	n/a	296.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	B	25,000	7.96	n/a	31-Aug	750.00	3.0
⌘ BUCK CAPITAL MGMT		GIII	B	40,000	17.52	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GIII	B	5,000	17.10	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GIII	B	5,000	17.39	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GIL	B	70,000	32.43	21-Jun	29-Aug	non-brg	5.0
JENNISON	032	GMST	S	639,900	6.49	n/a	n/a	25,596.00	4.0
LEVIN CAPITAL STRATEGIES	012	GM	S	10,000	31.53	4-May	31-Aug	400.00	4.0
KORMAN	003	GS	B	500	179.86	15-Jun	4-Sep	0.00	0.0
TYEE/TYGH	035	IVZ	B	45,000	25.14	8-Aug	22-Aug	1,800.00	4.0
⌘ BUCK CAPITAL MGMT		JCG	B	20,000	50.72	22-Jun	28-Aug	non-brg	5.0
⌘ BUCK CAPITAL MGMT		JCP	S	70,000	67.18	21-Jun	31-Aug	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WYCKOFF	013	JCP	B	300	67.31	21-Jun	31-Aug	0.00	0.0
⌘ BUCK CAPITAL MGMT		JWN	S	20,000	46.92	12-Jul	31-Aug	non-brg	5.0
COUGAR TRADING	044	JWN	S	15,000	47.08	12-Jul	31-Aug	750.00	5.0
CUMBERLAND	038	JWN	SS	25,000	47.62	12-Jul	31-Aug	1,000.00	4.0
TRIBECA	038	KO	S	12,000	54.38	n/a	n/a	480.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	B	15,000	58.90	14-Jun	27-Jul	non-brg	5.0
⌘ BUCK CAPITAL MGMT		KSS	S	100,000	57.69	14-Jun	27-Jul	non-brg	5.0
DELTEC ASSET MGMT.	040	KSS	B	5,000	57.88	14-Jun	27-Jul	250.00	5.0
WYCKOFF	013	KSS	B	300	57.60	14-Jun	27-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		LAMR	B	20,000	52.90	n/a	n/a	non-brg	5.0
KORMAN	003	LEH	B	1,000	55.72	12-Jun	4-Sep	0.00	0.0
J L F ASSET MGMT	039	LOW	S	51,200	30.97	n/a	27-Jul	2,048.00	4.0
COUGAR TRADING	044	LTD	SS	10,000	23.45	16-May	31-Aug	500.00	5.0
J L F ASSET MGMT	039	LTD	B	108,400	23.48	16-May	31-Aug	4,336.00	4.0
⌘ BUCK CAPITAL MGMT		LTM	B	20,000	56.29	n/a	n/a	non-brg	5.0
LOCUS WOOD CAPITAL MGMT	044	LVLTT	B	25,000	5.25	26-Jul	4-Sep	750.00	3.0
KORMAN	003	MER	B	1,000	74.38	18-Jul	16-Aug	0.00	0.0
TRIVIUM CAP MGMT	028	MKC	B	50,000	35.91	n/a	n/a	2,000.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	468,900	28.56	n/a	3-Apr	16,411.50	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MSMSBMVR	C	25,000	185.61	n/a	n/a	non-brg	18.6
Õ Glenn Redemann		MS	B	1	2.21	2-Jul	4-Sep	0.00	0.0
Õ Glenn Redemann		MS	B	1	2.59	2-Jul	4-Sep	0.00	0.0
KORMAN	003	MS	B	1,000	63.11	2-Jul	4-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		MVRX	C	50,000	177.37	n/a	n/a	non-brg	17.7
ß BUCK CAPITAL MGMT		M	B	60,000	31.54	13-Jul	31-Aug	non-brg	5.0
ß BUCK CAPITAL MGMT		NEXC	B	30,000	6.97	n/a	n/a	non-brg	5.0
TRIBECA	038	PEP	S	18,100	68.49	n/a	n/a	724.00	4.0
ß BUCK CAPITAL MGMT		PERY	S	20,000	28.07	n/a	n/a	non-brg	5.0
ROTHSCHILD ASSET	040	PL	S	22,520	42.04	n/a	n/a	1,013.40	4.5
WEISS PECK	040	PSS	B	171,850	23.65	n/a	n/a	8,592.50	5.0
BUCK CAPITAL MGMT	001	PVH	B	50,000	55.97	13-Aug	29-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	RL	B	40,000	75.68	9-Aug	29-Aug	1,600.00	4.0
CUMBERLAND	038	RRGB	B	10,000	39.00	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		RTH	C	70,000	101.16	n/a	n/a	non-brg	2.0
TRIBECA	038	RTH	B	15,000	101.12	n/a	n/a	600.00	4.0
ß BUCK CAPITAL MGMT		SCSS	B	40,000	17.54	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	SFY	B	2,000	38.02	n/a	n/a	100.00	5.0
FRIESS MGMT	042	SKS	S	19,600	16.14	n/a	n/a	882.00	4.5
⚡ BUCK CAPITAL MGMT		SKX	B	10,000	19.78	n/a	13-Mar	non-brg	5.0
THE JAY GOLDMAN	034	TJX	B	35,000	30.58	13-Jul	31-Aug	1,400.00	4.0
TRIBECA	038	TJX	S	39,500	30.40	13-Jul	31-Aug	1,580.00	4.0
LISTED ERR	099	UNT	S	1,200	49.30	n/a	4-Sep	0.00	0.0
⚡ BUCK CAPITAL MGMT		URBN	B	70,000	23.23	31-Jul	10-Aug	non-brg	5.0
EATON VANCE MGMT	039	UTX	B	135,417	74.27	n/a	n/a	5,416.68	4.0
EATON VANCE MGMT	039	WAG	B	225,400	45.34	n/a	n/a	9,016.00	4.0
CAPITAL GROWTH MGMT.	241	WFT	B	120,000	60.08	n/a	n/a	6,000.00	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	30,000	14.38	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		WRNC	B	10,000	34.71	18-Jul	29-Aug	non-brg	2.0
⚡ BUCK CAPITAL MGMT		WRNC	B	10,000	35.20	18-Jul	29-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WRNC	B	15,000	34.84	18-Jul	29-Aug	non-brg	5.0
⚡ BUCK CAPITAL MGMT		WSM	C	15,000	33.78	n/a	n/a	non-brg	5.0
J L F ASSET MGMT	039	YHOO	B	133,500	23.91	n/a	n/a	5,340.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	50,000	13.14	n/a	30-Aug	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
8 BUCK CAPITAL MGMT		ZQK	B	50,000	13.20	n/a	30-Aug	non-brg 5.0
TOTAL (Trade Date):							124,333.53	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/31	MATTHES CAPITAL MGMT	033	BBBY	SS	10,000	34.43	n/a	n/a	400.00 4.0
AO,CXL	08/31	MATTHES CAPITAL MGMT	033	BBBY	SS	10,000	34.43	n/a	n/a	3.99 0.0
AO,	08/31	ARIENCE CAPITAL	036	CMC	S	35,400	28.91	n/a	n/a	1770.00 5.0
AO,	08/31	COUGAR TRADING	044	JCG	B	5,000	49.85	22-Jun	28-Aug	250.00 5.0
AO,	08/31	LISTED ERR	099	UNT	B	1,200	49.03	n/a	4-Sep	0.00 0.0

TOTAL (AO, CXL, CRT) :	2,416.01
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TOTAL (Trade Date) :	124,333.53
TOTAL (AO, CXL, CRT) :	2,416.01

TOTAL (RUN DATE) / NFS:	126,749.54
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MRI Securities with Trade Activity on 4-Sep. NONE
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MRI Securities without Trade Activity on 4-Sep. BSC, PG
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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