



Daily Compliance Activity Report

Trade Date: 09/07/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	S	10,000	131.51	n/a	n/a	non-brg	5.0
MILLENIUM PARTNERS	028	ADCT	SS	30,000	20.01	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		AEO	B	60,000	24.04	10-Jul	7-Sep	non-brg	5.0
J L F ASSET MGMT	039	AEO	S	8,525	24.22	10-Jul	7-Sep	341.00	4.0
SOROS	036	AEO	S	150,000	24.01	10-Jul	7-Sep	7,500.00	5.0
WEISS PECK	040	AEO	S	37,100	24.18	10-Jul	7-Sep	1,855.00	5.0
STRONG/WELL HOWARD	038	AKAM	B	45,000	30.62	n/a	n/a	1,800.00	4.0
BARR	096	AMD	C	1,600	12.65	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	AMG	B	10,000	113.82	25-Jul	22-Aug	500.00	5.0
B BUCK CAPITAL MGMT		ANF	S	10,000	76.81	23-Aug	7-Sep	non-brg	5.0
COUGAR TRADING	044	ANF	SS	5,000	76.80	23-Aug	7-Sep	250.00	5.0
HIGHBRIDGE CAPITAL	038	APC	B	4,000	49.58	22-Jun	4-Sep	200.00	5.0
PILOT ADV	038	ARG	SS	20,500	47.12	26-Jul	7-Sep	820.00	4.0
COUGAR TRADING	044	ARO	SS	5,000	19.05	n/a	7-Sep	250.00	5.0
J L F ASSET MGMT	039	ARO	S	50,000	19.12	n/a	7-Sep	2,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	30,400	18.96	n/a	7-Sep	1,140.00	3.8
ZOLIDIS	011	ARO	S	500	18.90	n/a	7-Sep	0.00	0.0
BARR	096	AVNX	S	7,000	1.65	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BAC	SS	20,000	49.21	20-Apr	16-Aug	1,000.00	5.0
ß BUCK CAPITAL MGMT		BBY	SS	50,000	42.65	1-May	27-Jul	non-brg	5.0
SINCLAIR	031	BSCAG	B	30	3.30	n/a	n/a	0.00	0.0
SINCLAIR	031	BSCAK	S	45	0.90	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	BSC	B	5,000	104.80	4-Sep	4-Sep	200.00	4.0
ZOLIDIS	011	BZH	S	100	9.86	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CACH	S	67,851	16.32	n/a	n/a	non-brg	5.0
LEVIN CAPITAL STRATEGIES	012	CAL	S	5,000	32.03	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		CC	SS	50,000	9.89	1-May	27-Jul	non-brg	5.0
ß BUCK CAPITAL MGMT		CC	SS	50,000	9.90	1-May	27-Jul	non-brg	5.0
Õ Glenn Redemann		CNC	B	7	0.43	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CNC	B	7	0.53	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	COG	B	6,000	33.18	n/a	n/a	300.00	5.0
BUCK CAPITAL MGMT	001	COH	B	20,000	44.85	n/a	29-Aug	800.00	4.0
ß BUCK CAPITAL MGMT		CRI	B	30,000	19.84	n/a	n/a	non-brg	5.0
BACKUS	005	CSCT	S	5,000	18.40	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		CTRN	B	15,000	21.72	n/a	n/a	non-brg 5.0
ß BUCK CAPITAL MGMT		DIA	SS	110,000	132.01	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	65.34	n/a	n/a	400.00 4.0
STADIA CAPITAL	035	DKS	S	15,000	65.16	n/a	n/a	600.00 4.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	3,900	41.87	10-Aug	7-Sep	156.00 4.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	27.96	5-Sep	5-Sep	400.00 4.0
RIVER RUN MGMT	031	EEM	B	25,000	132.63	n/a	n/a	1,250.00 5.0
Õ Glenn Redemann		EMN	B	3	0.50	n/a	n/a	0.00 0.0
Õ Glenn Redemann		EMN	B	3	0.95	n/a	n/a	0.00 0.0
NATIONAL BK OF CAN	031	ETFC	B	50,000	14.55	n/a	n/a	1,500.00 3.0
OPTIMUM INV ADV	030	EV	B	12,000	37.37	23-May	24-Aug	480.00 4.0
WAGONHOUND	048	FDO	SS	23,320	27.52	9-Aug	7-Sep	932.80 4.0
ß BUCK CAPITAL MGMT		FL	S	50,000	16.14	22-Aug	4-Sep	non-brg 5.0
ß BUCK CAPITAL MGMT		FOSL	S	25,000	34.98	15-Aug	15-Aug	non-brg 5.0
ß BUCK CAPITAL MGMT		GIII	B	10,000	16.70	n/a	n/a	non-brg 5.0
ß BUCK CAPITAL MGMT		GIII	B	5,000	16.89	n/a	n/a	non-brg 1.0
PRINCIPLE CAPITAL	040	GILD	B	24,100	37.78	n/a	n/a	723.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SLS CAPITAL LLC	224	GPS	S	595,500	17.88	n/a	7-Sep	23,820.00	4.0
ZOLIDIS	011	GS	S	25	179.60	15-Jun	4-Sep	0.00	0.0
B BUCK CAPITAL MGMT		GTRC	S	10,000	57.30	n/a	n/a	non-brg	5.0
ZOLIDIS	011	GTRC	B	300	57.09	n/a	n/a	0.00	0.0
SARAS CAPITAL	038	GWW	SS	15,000	88.62	16-Jul	16-Jul	750.00	5.0
ZOLIDIS	011	HLYS	S	500	8.42	n/a	n/a	0.00	0.0
ZOLIDIS	011	HOV	S	130	10.73	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ICON	S	80,000	21.99	n/a	n/a	non-brg	5.0
J L F ASSET MGMT	039	INTC	S	150,000	25.61	n/a	n/a	6,000.00	4.0
XYLEM GLOBAL	091	IP	SS	50,000	35.02	4-May	20-Aug	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	7,500	23.60	8-Aug	22-Aug	300.00	4.0
PHILADELPHIA FINANCIAL	033	IVZ	B	10,792	23.75	8-Aug	22-Aug	539.60	5.0
TYEE/TYGH	035	IVZ	B	31,000	23.84	8-Aug	22-Aug	1,240.00	4.0
RIVER RUN MGMT	031	IWM	B	25,000	77.73	n/a	n/a	1,250.00	5.0
RK CAPITAL MGMT LLC	046	IWM	SS	50,000	77.30	n/a	n/a	2,500.00	5.0
BARR	096	JAVA	S	5,200	5.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	43.90	22-Jun	6-Sep	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⌘ BUCK CAPITAL MGMT		JCG	B	10,000	43.85	22-Jun	6-Sep	non-brg 5.0
DAVIDSON TRUST CO	033	JNJ	B	500	61.93	n/a	22-Apr	45.00 9.0
RIVER RUN MGMT	031	JNY	B	100,000	19.23	n/a	6-Aug	5,000.00 5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	10,000	28.84	n/a	n/a	non-brg 2.0
⌘ BUCK CAPITAL MGMT		JOSB	S	10,000	29.24	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		JOSB	S	10,000	29.24	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		JOSB	S	20,000	29.21	n/a	n/a	non-brg 2.0
⌘ BUCK CAPITAL MGMT		JOSB	S	75,000	29.02	n/a	n/a	non-brg 5.0
COUGAR TRADING	044	JWN	SS	10,000	46.76	12-Jul	7-Sep	500.00 5.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	54.01	14-Jun	27-Jul	1,200.00 4.0
NATIONAL BK OF CAN	031	LEH	B	15,000	52.82	12-Jun	4-Sep	600.00 4.0
KERN	050	LEH	S	100	52.35	12-Jun	4-Sep	0.00 0.0
BUCK CAPITAL MGMT	001	LTM	S	40,000	55.20	n/a	n/a	1,600.00 4.0
BARR	096	MBI	SS	1,000	57.35	n/a	n/a	0.00 0.0
⌘ BUCK CAPITAL MGMT		MDY	C	27,700	155.44	n/a	n/a	non-brg 1.0
WEISS PECK	040	MFA	B	218,830	7.58	n/a	n/a	8,753.20 4.0
CHIARMONTE	N19	MSFT	S	10	28.50	n/a	3-Apr	0.00 0.0
IVORY CAPITAL	034	NRG	B	200,000	39.14	n/a	n/a	10,000.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	NTRS	SS	20,000	59.45	n/a	16-Aug	1,000.00	5.0
RIVER RUN MGMT	031	OIH	B	10,000	181.13	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		PERY	S	30,000	27.43	n/a	n/a	non-brg	5.0
SAXON WOODS ADVISORS	038	PG	S	23,000	65.95	4-Sep	4-Sep	1,150.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	50,000	22.08	n/a	n/a	2,000.00	4.0
KORMAN	003	QIAKD	S	100	3.20	n/a	n/a	0.00	0.0
CUMBERLAND	038	RRGB	B	15,000	39.51	n/a	n/a	600.00	4.0
⚡ BUCK CAPITAL MGMT		RSH	SS	50,000	22.03	n/a	n/a	non-brg	5.0
LEVIN CAPITAL STRATEGIES	012	SGY	S	15,000	34.52	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	45,000	18.69	n/a	13-Mar	1,800.00	4.0
KAICHER	064	SNCR	B	2,000	31.05	n/a	n/a	0.00	0.0
BACKUS	005	SNEN	S	10,000	2.96	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SPY	SS	100,000	146.27	n/a	n/a	non-brg	1.0
FORCE CAPITAL MGMT	030	TARR	S	100,000	2.74	n/a	n/a	3,000.00	3.0
⚡ BUCK CAPITAL MGMT		TJX	S	40,000	29.60	13-Jul	7-Sep	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⌘ BUCK CAPITAL MGMT		TJX	S	50,000	29.69	13-Jul	7-Sep	non-brg 5.0
PRINCIPLE CAPITAL	040	TPX	B	33,900	31.56	n/a	n/a	1,017.00 3.0
⌘ BUCK CAPITAL MGMT		TRLG	S	5,000	16.01	n/a	n/a	non-brg 5.0
BALYASNY ASSET MGMT	044	TROW	SS	30,000	49.50	n/a	22-Aug	1,500.00 5.0
LEVIN CAPITAL STRATEGIES	012	TSO	B	7,500	49.37	n/a	n/a	300.00 4.0
BENNETT LAWRENCE	045	TTEC	S	24,350	26.09	n/a	n/a	1,095.75 4.5
PRINCIPLE CAPITAL	040	TUP	SS	28,500	30.86	n/a	n/a	855.00 3.0
⌘ BUCK CAPITAL MGMT		TWB	S	30,000	29.12	23-Aug	23-Aug	non-brg 5.0
PRIME CAPITAL	048	TXN	B	116,800	35.06	n/a	n/a	5,840.00 5.0
MS PRINCIPAL STRATEGIES	040	UCBI	B	16,200	23.89	n/a	n/a	810.00 5.0
⌘ BUCK CAPITAL MGMT		URBN	B	25,000	21.32	31-Jul	10-Aug	non-brg 5.0
HIGHBRIDGE CAPITAL	038	WIN	B	70,000	14.10	n/a	n/a	3,500.00 5.0
TRIBECA/DOUG	040	WPL	B	15,000	9.90	2-Aug	22-Aug	600.00 4.0
⌘ BUCK CAPITAL MGMT		WRNC	B	5,000	33.23	18-Jul	29-Aug	non-brg 1.0
⌘ BUCK CAPITAL MGMT		WRNC	B	5,000	33.32	18-Jul	29-Aug	non-brg 5.0
MS PRINCIPAL STRATEGIES	040	ZION	B	10,647	69.32	n/a	n/a	532.35 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ZQK	B	10,000	13.09	n/a	7-Sep	500.00	5.0
8 BUCK CAPITAL MGMT		ZUMZ	S	20,000	45.87	n/a	n/a	non-brg	5.0
TOTAL (Trade Date):								121,295.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/05	DAVIDSON TRUST CO	033	APPB	S	1,000	24.80	n/a	n/a	50.00 5.0
AO,CRT	09/05	DAVIDSON TRUST CO	033	APPB	S	1,000	24.80	n/a	n/a	60.00 6.0
AO,CRT	09/04	MTB INV ADV	034	CBI	S	18,385	37.94	n/a	n/a	919.25 5.0
AO,CXL	09/04	MTB INV ADV	034	CBI	S	18,385	37.94	n/a	n/a	735.40 4.0
AO,CRT	09/05	HOLLIS CAPITAL	033	SWN	B	5,000	39.80	n/a	4-Sep	250.00 5.0
AO,CXL	09/05	HOLLIS CAPITAL	033	SWN	B	5,000	39.80	n/a	4-Sep	200.00 4.0

TOTAL (AO, CXL, CRT) :	243.85
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TOTAL (Trade Date) :	121,295.70
TOTAL (AO, CXL, CRT) :	243.85

TOTAL (RUN DATE) / NFS:	121,539.55
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MRI Securities with Trade Activity on 7-Sep. NONE
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MRI Securities without Trade Activity on 7-Sep. BWA
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 16%

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