



Daily Compliance Activity Report

Trade Date: 02/23/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KEEFE BRUYETTE WOODS A	031	AB	S	100	90.30	24-Jan	26-Feb	5.00	5.0
B BUCK CAPITAL MGMT		ACMR	C	20,000	19.81	n/a	n/a	non-brg	1.0
PLATTE RIVER CAPITAL	035	AGIX	B	28,000	11.46	n/a	n/a	1,120.00	4.0
BEAR STEARNS ASSET MGMT.	033	AME	S	80,000	35.39	n/a	n/a	3,200.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	5,000	79.47	2-Feb	22-Feb	200.00	4.0
LUCID PARTNERS	067	AOS	B	2,000	39.95	21-Dec	8-Feb	100.00	5.0
LUCHANSKY	036	AVZ	S	100	25.70	13-Feb	26-Feb	0.00	0.0
LUCHANSKY	036	AXE	S	200	62.86	12-Feb	12-Feb	0.00	0.0
B BUCK CAPITAL MGMT		BONT	S	15,000	50.33	9-Feb	9-Feb	non-brg	5.0
STERLING JOHNSTON	035	BONT	S	11,100	50.31	9-Feb	9-Feb	555.00	5.0
B BUCK CAPITAL MGMT		CAB	SS	20,000	26.12	n/a	n/a	non-brg	5.0
KORMAN	003	CBAK	B	5,000	4.12	n/a	n/a	0.00	0.0
GAULT	063	CBK	S	1,000	19.60	11-Dec	16-Feb	0.00	0.0
FIRST PACIFIC ADV	048	CC	B	44,300	19.80	20-Dec	23-Feb	2,215.00	5.0
TROUBH PART	067	CEN	B	25,000	33.85	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY	036	CHL	S	200	49.82	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	CMGB	B	11,000	59.88	n/a	n/a	550.00	5.0
BUCK CAPITAL MGMT	001	CRI	S	10,000	24.14	n/a	n/a	400.00	4.0
Ⓐ BUCK CAPITAL MGMT		CWTR	B	10,000	19.04	n/a	n/a	non-brg	5.0
KORMAN	003	CXTI	B	5,000	5.87	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		DBRN	B	20,000	21.32	n/a	n/a	non-brg	5.0
TRELLUS PARTNERS LP	028	DPZ	B	5,300	31.79	n/a	23-Feb	265.00	5.0
LOOMIS SALES/BOSTON	036	DTG	B	54,547	51.88	n/a	n/a	2,181.88	4.0
OSS CAPITAL/KEVIN DANN	067	EEE	B	250,000	8.85	n/a	n/a	7,500.00	3.0
OSS CAPITAL/KEVIN DANN	067	EMU	S	150,000	12.26	n/a	n/a	4,500.00	3.0
LOOMIS SALES/BOSTON	036	ETH	C	25,500	37.63	n/a	n/a	1,020.00	4.0
BALYASNY ASSET MGMT	044	EV	B	10,000	36.07	2-Nov	26-Feb	500.00	5.0
KEEFE BRUYETTE WOODS A	031	EV	S	38,500	36.01	2-Nov	26-Feb	1,925.00	5.0
FIRST NEW YORK LEDDY	035	FD	B	15,000	44.11	26-Jan	21-Feb	900.00	6.0
SIGMA CAPITAL ASSOCIATES	044	FD	B	25,000	44.30	26-Jan	21-Feb	1,250.00	5.0
TPG-AXON	040	FD	S	100,000	44.31	26-Jan	21-Feb	5,000.00	5.0
KORMAN	003	FSIN	B	2,600	8.35	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	S	5,000	42.57	n/a	10-Jan	200.00	4.0
WASHINGTON ASSET	048	GE	S	10,000	35.15	n/a	n/a	500.00	5.0
BARR	096	GG	B	400	28.75	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GIII	B	3,000	21.88	n/a	n/a	non-brg	1.0
WEINTRAUB	024	GLW	B	1,000	21.68	n/a	16-Feb	0.00	0.0
⌘ BUCK CAPITAL MGMT		GSF	B	20,000	59.33	n/a	n/a	non-brg	5.0
MARK/JETCAP	030	HAL	S	150,000	31.81	n/a	n/a	4,500.00	3.0
J L F ASSET MGMT	039	HD	S	50,000	40.93	n/a	26-Feb	2,000.00	4.0
SUTERA	160	HMA	S	1,000	21.15	22-Feb	22-Feb	0.00	0.0
KORMAN	003	HRBN	B	100	12.52	n/a	n/a	0.00	0.0
EATON VANCE MGMT	039	IBM	B	424,058	97.70	n/a	n/a	16,962.32	4.0
SUTERA	160	ISE	S	1,000	49.71	26-Oct	16-Feb	0.00	0.0
⌘ BUCK CAPITAL MGMT		JADE	B	20,000	11.48	n/a	n/a	non-brg	5.0
BALYASNY ASSET MGMT	044	JNC	B	10,000	51.20	n/a	26-Feb	500.00	5.0
SONAR CAP MGMT	037	JNPR	B	27,092	19.60	n/a	22-Mar	1,354.60	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	044	JWN	SS	50,000	58.87	8-Feb	23-Feb	2,500.00	5.0
ZOLIDIS	011	KMX	B	100	56.50	n/a	10-Jan	0.00	0.0
B BUCK CAPITAL MGMT		LAVA	B	10,000	10.78	n/a	n/a	non-brg	5.0
STADIA CAPITAL	035	LDG	S	9,400	47.43	n/a	n/a	376.00	4.0
BARR	096	LEND	SS	1,000	22.94	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	LH	B	35,000	80.17	n/a	n/a	1,600.00	4.5
J L F ASSET MGMT	039	LOW	S	72,100	34.84	n/a	26-Feb	2,884.00	4.0
BARR	096	LTXX	C	2,000	6.78	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	LVS	B	10,000	91.82	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		MIR	S	25,000	36.62	n/a	n/a	non-brg	5.0
CROWLEY	061	MIR	S	500	36.75	n/a	n/a	0.00	0.0
SCOPUS FUND	039	MWV	B	40,000	31.76	8-Jan	1-Feb	2,000.00	5.0
BARR	096	NEM	S	400	47.65	n/a	n/a	0.00	0.0
AVENUE CAPITAL MGMT	036	NEWS	S	69,442	18.23	n/a	n/a	2,083.26	3.0
BARR	096	NEW	SS	400	15.80	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	NEXC	B	25,000	10.91	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	NFX	B	50,000	43.39	n/a	n/a	2,500.00	5.0
GAULT	063	NLS	B	1,000	18.47	n/a	n/a	0.00	0.0
STERLING JOHNSTON	035	NWY	B	90,000	15.68	1-Dec	16-Feb	4,500.00	5.0
THE JAY GOLDMAN	034	NWY	S	55,000	15.62	1-Dec	16-Feb	2,200.00	4.0
MERRILL ASSET	032	NXL	S	12,200	30.24	n/a	n/a	610.00	5.0
IVORY CAPITAL	034	ORCL	S	103,800	16.91	n/a	n/a	5,190.00	5.0
GRUSS CAPITAL	040	PCL	S	5,000	40.74	n/a	30-Jan	250.00	5.0
KORMAN	003	PEET	S	1,000	25.62	n/a	n/a	0.00	0.0
LEDDY	035	PFE	B	250	25.70	n/a	31-Mar	0.00	0.0
JP MORGAN VENTURES	046	PSS	B	15,500	32.40	n/a	n/a	775.00	5.0
GAULT	063	PZZA	B	500	30.42	n/a	19-Jan	0.00	0.0
CHILTON CAPITAL MGMT.	036	RI	SS	64,200	30.37	n/a	n/a	2,568.00	4.0
AMBER CAPITAL	046	SBUX	B	100,000	32.83	n/a	1-Feb	4,000.00	4.0
HARVEST MGMT	039	SBUX	SS	15,000	32.84	n/a	1-Feb	750.00	5.0
KORMAN	003	SEED	B	3,000	8.83	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	37.35	n/a	21-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	SWY	B	80,000	35.30	n/a	n/a	3,500.00	4.5
KORMAN	003	WATG	B	5,000	7.60	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WY	S	2,850	82.43	15-Dec	9-Feb	16,616.47	4.0
TOTAL (Trade Date):								117,606.53	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/21	MILLENIUUM PARTNERS	028	CSCO	B	30,000	27.36	n/a	22-Mar	1500.00	5.0
AO,CXL	02/21	MILLENIUUM PARTNERS	028	CSCO	B	30,000	27.36	n/a	22-Mar	1500.00	5.0
AO,CRT	02/22	REINHART & MAHONEY	031	NE	B	820	71.95	n/a	n/a	41.00	5.0
AO,CXL	02/22	REINHART & MAHONEY	031	NE	B	820	71.95	n/a	n/a	24.40	2.0
AO,CRT	02/20	BANK OF NEW YORK	040	PFCB	B	8,580	45.09	n/a	20-Feb	386.10	4.5
AO,CXL	02/20	BANK OF NEW YORK	040	PFCB	B	8,580	45.09	n/a	20-Feb	429.00	5.0
AO,	02/20	LISTED ERR	099	RKH	B	2,400	166.89	n/a	n/a	0.00	0.0
AO,	02/20	LISTED ERR	099	RKH	S	2,400	166.84	n/a	n/a	0.00	0.0
AO,CXL	02/21	MILLENIUUM PARTNERS	028	VZ	SS	25,000	38.36	22-Dec	12-Feb	1250.00	5.0
AO,CRT	02/21	MILLENIUUM PARTNERS	028	VZ	SS	25,000	38.36	22-Dec	12-Feb	1250.00	5.0

TOTAL (AO, CXL, CRT) :**-26.30**

TOTAL (Trade Date):

117,606.53

TOTAL (AO, CXL, CRT):

-26.30

TOTAL (RUN DATE) / NFS:**117,580.23**

MRI Securities with Trade Activity on 23-Feb.
NONE

MRI Securities without Trade Activity on 23-Feb.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 14%
YTD = 18%

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