



# Daily Compliance Activity Report

Trade Date: 07/11/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INDEPENDENCE INV	039	AA	S	19,300	42.21	n/a	n/a	772.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>25.97</b>	<b>10-Jul</b>	<b>10-Jul</b>	<b>non-brg</b>	<b>5.0</b>
INDEPENDENCE INV	039	AEO	S	18,900	26.19	10-Jul	10-Jul	756.00	4.0
POST ROAD CAP	068	AEO	B	25,000	26.11	10-Jul	10-Jul	1,000.00	4.0
TRIBECA/DOUG	040	AIG	S	20,000	68.70	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>100,000</b>	<b>69.55</b>	<b>n/a</b>	<b>6-Jul</b>	<b>4,000.00</b>	<b>4.0</b>
MS PRINCIPAL STRATEGIES	040	ARO	SS	51,500	42.56	n/a	6-Jul	2,575.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ASD</b>	<b>B</b>	<b>5,000</b>	<b>58.97</b>	<b>31-May</b>	<b>11-Jul</b>	<b>non-brg</b>	<b>5.0</b>
HALOGEN ASSET MGMT	032	ASD	B	5,400	59.12	31-May	11-Jul	270.00	5.0
MERRILL ASSET	032	ASF	B	17,400	34.95	n/a	n/a	783.00	4.5
FIRST INV MGMT CORP	036	BEBE	B	13,900	15.79	n/a	n/a	695.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>S</b>	<b>10,000</b>	<b>50.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
ARIENCE CAPITAL	036	BYD	B	25,920	49.75	n/a	27-Apr	1,296.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CACH</b>	<b>B</b>	<b>20,000</b>	<b>14.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CACH</b>	<b>B</b>	<b>20,000</b>	<b>14.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CACH</b>	<b>B</b>	<b>30,000</b>	<b>14.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
HIGHBRIDGE CAPITAL	038	CCI	S	18,600	37.04	n/a	n/a	930.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		CHIC	B	10,000	24.20	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		CHS	C	50,000	22.23	12-Jul	6-Jul	non-brg	5.0
ROARING BLUE LION MGMT	012	CHS	SS	12,000	22.41	12-Jul	6-Jul	600.00	5.0
CAPITAL GROWTH MGMT.	241	CNH	B	50,000	54.40	n/a	n/a	2,500.00	5.0
IMPALA ASSET MMT	012	CNI	S	77,600	52.27	n/a	n/a	2,328.00	3.0
IMPALA ASSET MMT	012	CNW	B	80,000	52.32	n/a	n/a	2,400.00	3.0
INDEPENDENCE INV	039	CNX	S	16,100	47.10	n/a	n/a	644.00	4.0
BUCK CAPITAL MGMT		COLM	C	30,000	67.94	n/a	n/a	non-brg	5.0
CAPITAL GROWTH MGMT.	241	COP	B	40,000	85.06	n/a	n/a	2,000.00	5.0
MILLENIUM PARTNERS	028	CSCO	B	10,000	28.70	n/a	22-Mar	500.00	5.0
BUCK CAPITAL MGMT		CWTR	B	10,000	21.56	n/a	n/a	non-brg	5.0
GALLEON MGMT LP	033	EFA	C	15,000	82.09	n/a	n/a	750.00	5.0
MERRILL ASSET	032	FBN	B	46,000	13.74	n/a	n/a	2,070.00	4.5
BUCK CAPITAL MGMT		FDO	C	30,000	33.16	19-Apr	11-Jul	non-brg	5.0
WEINTRAUB CAPITAL MGT.	040	FDO	SS	50,000	32.85	19-Apr	11-Jul	2,500.00	5.0
BUCK CAPITAL MGMT		FLDR	SS	5,000	7.45	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		FL	B	20,000	21.14	24-May	21-Jun	non-brg	5.0
GRONET	030	FRO	B	30	51.35	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	FSTR	S	75,000	30.26	n/a	n/a	2,250.00	3.0
ß BUCK CAPITAL MGMT		GYMB	B	100,000	40.13	n/a	4-Jun	non-brg	5.0
LISTED ERR	099	HD	S	20	40.14	n/a	11-Jul	0.00	0.0
RIVER RUN MGMT	031	HOFF	S	84,000	19.91	n/a	n/a	4,200.00	5.0
HARVEST MGMT	039	HOG	B	16,000	60.68	n/a	n/a	800.00	5.0
LUCHANSKY	036	ITCD	S	1,000	7.10	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ITG	B	700	44.24	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ITG	SS	700	40.00	n/a	n/a	0.00	0.0
Õ Glenn Redemann		ITG	SS	7	4.30	n/a	n/a	0.00	0.0
CASEY CAPITAL	067	IVZ	S	11,000	25.98	10-Jul	11-Jul	550.00	5.0
CATAPULT	040	IVZ	S	5,000	26.03	10-Jul	11-Jul	250.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	S	22,689	26.02	10-Jul	11-Jul	1,134.45	5.0
HARVEST MGMT	039	JCG	B	10,000	51.91	22-Jun	22-Jun	500.00	5.0
WHALE ROCK CAP	030	JCG	SS	95,000	51.51	22-Jun	22-Jun	3,800.00	4.0
LISTED ERR	099	JNS	B	15,000	29.46	7-Jun	25-Jun	0.00	0.0
ß BUCK CAPITAL MGMT		JOSB	S	20,000	42.26	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INDEPENDENCE INV	039	JWN	S	19,000	47.97	27-Feb	6-Jul	760.00	4.0
HALOGEN ASSET MGMT	032	KEGS	B	12,200	17.68	n/a	11-Jul	610.00	5.0
⚡ BUCK CAPITAL MGMT		KSS	S	20,000	68.31	14-Jun	10-Jul	non-brg	5.0
⚡ BUCK CAPITAL MGMT		KSS	S	30,000	67.91	14-Jun	10-Jul	non-brg	5.0
⚡ BUCK CAPITAL MGMT		LAVA	S	10,100	14.16	n/a	n/a	non-brg	5.0
IMPALA ASSET MMT	012	LDK	S	87,504	36.84	n/a	n/a	2,625.12	3.0
WILLOW CREEK	033	LGF	S	25,000	11.10	n/a	n/a	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		LIZ	SS	100,000	37.48	n/a	2-May	non-brg	5.0
BARR	096	LPSN	C	2,500	5.45	n/a	n/a	0.00	0.0
ROSENBERG	034	MIR	S	500	41.80	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		M	C	85,000	40.15	6-Jul	6-Jul	non-brg	5.0
CLOVIS CAPITAL	012	M	SS	100,000	40.32	6-Jul	6-Jul	5,000.00	5.0
CARLYLE BLUE WAVE PR MG	224	NKE	B	8,400	57.96	n/a	n/a	420.00	5.0
HARVEST MGMT	039	NKE	B	10,000	58.38	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	NLS	S	25,000	11.78	n/a	n/a	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		NLS	S	50,000	11.84	n/a	n/a	non-brg	5.0
LEDDY	035	NWY	S	700	11.27	25-May	25-May	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	OXM	S	10,000	43.58	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		PAG	B	20,000	21.10	n/a	5-Jul	non-brg	5.0
CSFB GLOBAL PROPRIETARY	035	PCH	B	6,700	42.76	26-Jun	26-Jun	335.00	5.0
ß BUCK CAPITAL MGMT		PFCB	C	60,000	36.67	24-Apr	24-Apr	non-brg	5.0
Õ Glenn Redemann		PHM	B	400	25.00	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PHM	SS	4	3.40	n/a	n/a	0.00	0.0
Õ Glenn Redemann		PHM	S	400	21.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	76,700	31.00	n/a	n/a	3,068.00	4.0
WHALE ROCK CAP	030	PSUN	SS	325,000	21.36	n/a	6-Jul	13,000.00	4.0
A.I.M. ADVISORS INC	222	RL	S	25,000	99.12	21-Jun	27-Jun	1,000.00	4.0
IMPALA ASSET MMT	012	ROK	S	150,000	71.87	n/a	n/a	4,500.00	3.0
OSS CAPITAL/KEVIN DANN	067	SBH	B	125,000	8.81	n/a	n/a	3,750.00	3.0
CHILTON CAPITAL MGMT.	036	SBUX	S	22,738	26.00	24-Apr	24-Apr	909.52	4.0
ß BUCK CAPITAL MGMT		SKX	B	10,000	27.77	n/a	13-Mar	non-brg	5.0
WHITE PINE CAPITAL	030	SMG	B	12,900	43.93	9-Jul	9-Jul	645.00	5.0
GLG PARTNERS	034	SSI	B	25,000	19.74	25-May	6-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MS PRINCIPAL STRATEGIES	040	STZ	SS	25,000	23.45	n/a	n/a	1,000.00	4.0
DAVIDSON TRUST CO	033	SYMC	S	2,698	19.23	n/a	3-Apr	161.88	6.0
<b>MENCKE</b>	<b>055</b>	<b>TDG</b>	<b>B</b>	<b>45</b>	<b>42.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HARVEST MGMT	039	TIF	B	10,000	53.01	1-Jun	13-Jun	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>B</b>	<b>60,000</b>	<b>27.93</b>	<b>21-Mar</b>	<b>6-Jul</b>	<b>non-brg</b>	<b>5.0</b>
GRUBER MACBAINE	033	TROW	B	10,000	51.31	n/a	25-Jun	400.00	4.0
SANDLER O'NEILL ASSET	031	TROW	B	40,000	51.11	n/a	25-Jun	2,000.00	5.0
IMPALA ASSET MMT	012	TSO	B	70,000	60.40	n/a	n/a	2,100.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>TWB</b>	<b>B</b>	<b>500</b>	<b>42.87</b>	<b>2-Jul</b>	<b>2-Jul</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	UAUA	B	103,108	43.00	n/a	n/a	3,093.24	3.0
INDEPENDENCE INV	039	UA	S	2,800	52.72	n/a	n/a	112.00	4.0
LATEFF MGMT	040	UL	S	3,500	34.14	n/a	n/a	560.00	16.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>107,500</b>	<b>22.00</b>	<b>2-Apr</b>	<b>11-Jul</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>12,500</b>	<b>21.75</b>	<b>2-Apr</b>	<b>11-Jul</b>	<b>non-brg</b>	<b>2.0</b>
CHILTON CAPITAL MGMT.	036	URBN	S	17,940	21.80	2-Apr	11-Jul	717.60	4.0
MSD CAPITAL	036	USTR	S	32,200	69.02	23-May	23-May	1,610.00	5.0
MERRILL ASSET	032	VQ	B	36,700	18.81	n/a	n/a	1,651.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	VSE	S	225,000	16.15	n/a	n/a	6,750.00	3.0
SANDLER O'NEILL ASSET	031	WDR	B	2,700	26.07	5-Mar	25-Jun	135.00	5.0
WOOSTER CAPITAL	035	WEN	S	50,000	37.05	24-Apr	24-Apr	2,500.00	5.0
ASCEND PARTNERS	033	WHR	S	43,252	108.86	n/a	n/a	2,162.60	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRNC</b>	<b>S</b>	<b>20,000</b>	<b>38.45</b>	<b>20-Jun</b>	<b>20-Jun</b>	<b>non-brg</b>	<b>5.0</b>
<b>TOTAL (Trade Date):</b>								<b>110,079.91</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/10	IVORY CAPITAL	034	AMAT	S	200,000	19.94	n/a	n/a	10000.00 5.0
<b>AO,CXL</b>	<b>07/09</b>	<b>MKT MAKER</b>	<b>099</b>	<b>ATRI</b>	<b>B</b>	<b>50</b>	<b>102.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CXL	07/09	REINHART & MAHONEY	031	ATRI	B	100	102.00	n/a	n/a	5.00 5.0
<b>AO,</b>	<b>07/09</b>	<b>REINHART &amp; MAHONEY</b>	<b>099</b>	<b>ATRI</b>	<b>B</b>	<b>150</b>	<b>102.00</b>	<b>n/a</b>	<b>n/a</b>	<b>7.50 5.0</b>
AO,CRT	02/16	CENTURION PARTNERS	249	BONT	B	5,000	44.07	6-Jul	6-Jul	250.00 5.0
<b>AO,CRT</b>	<b>07/10</b>	<b>MKT MAKER</b>	<b>099</b>	<b>DLTR</b>	<b>B</b>	<b>41</b>	<b>42.71</b>	<b>30-May</b>	<b>11-Jul</b>	<b>0.00 0.0</b>
AO,CRT	03/02	CATAPULT	040	FITB	SS	5,000	40.13	n/a	n/a	250.00 5.0
<b>AO,</b>	<b>07/10</b>	<b>LISTED ERR</b>	<b>099</b>	<b>JNS</b>	<b>S</b>	<b>15,000</b>	<b>29.67</b>	<b>7-Jun</b>	<b>25-Jun</b>	<b>0.00 0.0</b>
AO,CXL	07/10	NICHOLAS ADVISORS	034	MS	B	7,000	71.88	2-Jul	2-Jul	3.59 0.0
AO,CRT	07/10	NICHOLAS ADVISORS	034	MS	B	7,000	71.88	2-Jul	2-Jul	350.00 5.0
AO,CXL	07/10	SEMINOLE CAP	036	S	S	150,000	21.68	n/a	n/a	7500.00 5.0
AO,CRT	07/10	SEMINOLE CAP	036	S	S	150,000	21.68	n/a	n/a	7500.00 5.0
<b>AO,CRT</b>	<b>07/10</b>	<b>MKT MAKER</b>	<b>099</b>	<b>SKYW</b>	<b>S</b>	<b>59</b>	<b>24.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CXL	07/10	STRAUSS ASSET MGMT	040	STP	SS	5,000	38.94	n/a	n/a	250.00 5.0
AO,CRT	07/10	STRAUSS ASSET MGMT	040	STP	SS	5,000	38.94	n/a	n/a	250.00 5.0
<b>AO,</b>	<b>07/10</b>	<b>LISTED ERR</b>	<b>099</b>	<b>THO</b>	<b>B</b>	<b>10,000</b>	<b>44.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,</b>	<b>07/10</b>	<b>LISTED ERR</b>	<b>099</b>	<b>THO</b>	<b>S</b>	<b>10,000</b>	<b>44.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/10	SAXON WOODS ADVISORS	038	THO	S	10,000	44.25	n/a	n/a	500.00 5.0
AO,CRT	07/10	IMPALA ASSET MMT	012	TSO	SS	81,100	60.16	n/a	n/a	2433.00 3.0
AO,CXL	07/10	IMPALA ASSET MMT	012	TSO	SS	81,100	60.14	n/a	n/a	2433.00 3.0
AO,CRT	07/09	WHITE PINE CAPITAL	030	WDR	B	75	26.76	5-Mar	25-Jun	3.75 5.0
AO,CXL	07/09	WHITE PINE CAPITAL	030	WDR	B	75	26.76	5-Mar	25-Jun	3.75 5.0
AO,CRT	07/10	WAGONHOUND	048	XLU	SS	16,730	39.79	n/a	n/a	501.90 3.0
AO,CXL	07/10	WAGONHOUND	048	XLU	SS	16,730	39.79	n/a	n/a	669.20 4.0

**TOTAL (AO, CXL, CRT) :** **11,181.61**

TOTAL (Trade Date): 110,079.91

TOTAL (AO, CXL, CRT): 11,181.61

**TOTAL (RUN DATE) / NFS:** **121,261.52**

MRI Securities with Trade Activity on 11-Jul.  
NONE

MRI Securities without Trade Activity on 11-Jul.  
AB

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

T-Date = 15%

YTD = 17%

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