



# Daily Compliance Activity Report

Trade Date: 04/20/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BACKUS</b>	<b>005</b>	<b>AAI</b>	<b>B</b>	<b>5,000</b>	<b>11.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SEAROCK CAPITAL MANAGE	012	AA	B	50,000	34.27	n/a	n/a	2,000.00	4.0
SEAROCK CAPITAL MANAGE	012	ADM	S	82,300	37.87	n/a	n/a	3,292.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>10,000</b>	<b>30.72</b>	<b>4-Jan</b>	<b>13-Apr</b>	<b>non-brg</b>	<b>5.0</b>
BALYASNY ASSET MGMT	044	AGE	S	20,000	73.60	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AGN</b>	<b>S</b>	<b>400</b>	<b>119.20</b>	<b>14-Mar</b>	<b>19-Apr</b>	<b>16.00</b>	<b>4.0</b>
BAIRD INVESTMENT	031	AIT	S	2,799	27.20	n/a	n/a	139.95	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMG</b>	<b>S</b>	<b>21,500</b>	<b>114.02</b>	<b>5-Mar</b>	<b>10-Apr</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AMG</b>	<b>S</b>	<b>55,000</b>	<b>114.04</b>	<b>5-Mar</b>	<b>10-Apr</b>	<b>non-brg</b>	<b>5.0</b>
<b>BARR</b>	<b>096</b>	<b>AMR</b>	<b>S</b>	<b>300</b>	<b>29.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARRS</b>	<b>S</b>	<b>2,000</b>	<b>15.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AVY</b>	<b>S</b>	<b>600</b>	<b>65.21</b>	<b>n/a</b>	<b>23-Mar</b>	<b>24.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBW</b>	<b>S</b>	<b>20,000</b>	<b>26.89</b>	<b>19-Mar</b>	<b>19-Mar</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>10,000</b>	<b>48.71</b>	<b>13-Dec</b>	<b>5-Apr</b>	<b>400.00</b>	<b>4.0</b>
ARIENCE CAPITAL	036	BC	S	54,440	31.03	n/a	n/a	2,722.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	BDKPR	S	40	1.55	n/a	n/a	0.00	0.0
BACKUS	005	BONT	S	1,000	52.49	9-Mar	13-Apr	0.00	0.0
BAIRD INVESTMENT	031	BRC	S	2,264	31.39	n/a	n/a	113.20	5.0
BACKUS	005	BTU	B	4,000	46.21	n/a	n/a	0.00	0.0
Ö Glenn Redemann		BVF	S	3	2.40	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BWS	C	60,000	28.93	n/a	n/a	non-brg	5.0
MORGAN LEWIS/MLH	046	CAL	B	10,000	38.92	n/a	n/a	500.00	5.0
CASTLEROCK	040	CAT	B	46,350	72.41	n/a	n/a	1,854.00	4.0
BUCK	015	CAT	S	900	72.17	n/a	n/a	0.00	0.0
LEHMAN PROPRIETARY TRAD	039	CBB	B	109,700	5.20	n/a	n/a	4,388.00	4.0
BUCK CAPITAL MGMT	001	CBK	S	60,000	18.27	30-Mar	13-Apr	2,400.00	4.0
KORMAN	003	CEUC	B	2,000	6.25	n/a	n/a	0.00	0.0
Ö Glenn Redemann		CHAP	S	2	8.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CHCG	B	25,000	6.05	n/a	n/a	non-brg	4.0
KORMAN	003	CHCG	B	6,000	6.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CHS	S	30,000	26.65	27-Mar	13-Apr	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	SS	20,000	53.08	23-Feb	20-Apr	800.00	4.0
MAZAMA CAPITAL MGMT.	035	CPX	S	22,300	22.56	n/a	n/a	892.00	4.0
Õ Glenn Redemann		CSX	??	7	0.03	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CSX	??	7	5.02	n/a	n/a	0.00	0.0
BACKUS	005	CVS	B	3,000	35.01	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CWTR	B	10,000	22.25	n/a	n/a	non-brg	5.0
KORMAN	003	CXTI	B	1,000	6.35	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DBRN	B	20,000	20.33	n/a	n/a	non-brg	5.0
S.A.C. CAPITAL MGMT.	044	DD	SS	20,000	49.14	n/a	19-Apr	1,000.00	5.0
ß BUCK CAPITAL MGMT		DKS	B	20,000	56.64	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		DKS	B	30,000	56.75	n/a	n/a	non-brg	5.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	B	8,800	39.30	19-Apr	19-Apr	440.00	5.0
BUCK CAPITAL MGMT	001	EMC	S	2,000	15.49	n/a	n/a	80.00	4.0
Õ Glenn Redemann		EOG	??	10	0.03	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EOG	??	10	3.67	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	ESE	S	1,876	46.13	n/a	n/a	93.80	5.0
BUCK	015	EVVV	B	3,000	19.08	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	EV	S	200	38.40	n/a	19-Apr	8.00	4.0
CROWLEY	061	FIGRX	S	700	41.04	n/a	n/a	0.00	0.0
WHITTIER CAP	048	FRED	S	16,625	14.55	30-Nov	19-Apr	665.00	4.0
CROWLEY	061	FRO	B	200	35.21	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GCO	S	60,000	49.14	n/a	10-Jan	non-brg	5.0
WEISS PECK	040	GCO	B	15,000	48.87	n/a	10-Jan	750.00	5.0
ß BUCK CAPITAL MGMT		GES	B	10,000	37.75	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GES	B	20,000	37.83	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GES	B	60,000	37.95	n/a	n/a	non-brg	5.0
SEAROCK CAPITAL MANAGE	012	GE	B	278,600	35.08	n/a	n/a	11,144.00	4.0
SEAROCK CAPITAL MANAGE	012	GE	S	100,000	35.21	n/a	n/a	4,000.00	4.0
Ö Glenn Redemann		GFIG	S	2	4.80	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIII	B	2,000	18.26	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GLBL	S	700	19.85	n/a	n/a	non-brg	5.0
FRIESS MGMT	042	GLW	B	86,800	23.43	n/a	20-Apr	3,906.00	4.5
BUCK CAPITAL MGMT	001	GM	SS	10,000	31.66	n/a	5-Apr	400.00	4.0
J L F ASSET MGMT	039	GM	S	36,000	31.40	n/a	5-Apr	1,440.00	4.0
TRUST CO/COWEN/CALF.	040	GM	B	350,470	31.66	n/a	5-Apr	17,523.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GPI	B	30,000	43.01	n/a	13-Apr	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		GS	SS	27,500	219.09	13-Dec	16-Apr	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GS	S	500	219.20	13-Dec	16-Apr	non-brg	1.0
SEAROCK CAPITAL MANAGE	012	HBI	SS	141,200	28.29	n/a	n/a	5,648.00	4.0
SEAROCK CAPITAL MANAGE	012	HD	B	50,000	39.24	n/a	1-Mar	2,000.00	4.0
WHITTIER CAP	048	HOTT	S	16,790	11.91	n/a	13-Apr	671.60	4.0
SEAROCK CAPITAL MANAGE	012	HOT	S	95,500	68.71	n/a	n/a	3,820.00	4.0
FRIESS MGMT	042	HPQ	B	96,500	41.32	n/a	n/a	4,342.50	4.5
BAIRD INVESTMENT	031	HPY	S	2,918	25.58	n/a	n/a	145.90	5.0
WAGONHOUND	048	HSC	B	5,400	48.52	2-Apr	10-Apr	216.00	4.0
⌘ BUCK CAPITAL MGMT		IWM	SS	63,100	82.16	n/a	n/a	non-brg	2.0
SAB CAPITAL	034	IWM	B	80,402	81.91	n/a	n/a	4,020.10	5.0
⌘ BUCK CAPITAL MGMT		IWO	SS	61,900	83.66	n/a	n/a	non-brg	2.0
CROWLEY	061	JAOSX	S	200	50.57	n/a	n/a	0.00	0.0
PZENA INV ADV	044	JCI	S	175,000	100.51	16-Feb	20-Apr	7,000.00	4.0
AVESTA CAP	229	JCP	B	50,000	82.90	20-Apr	20-Apr	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	JCP	B	10,000	82.42	20-Apr	20-Apr	500.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	50,000	38.76	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		KCP	S	18,100	26.85	n/a	28-Feb	non-brg	5.0
SEAROCK CAPITAL MANAGE	012	KSS	SS	50,000	78.40	27-Dec	12-Apr	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		LCAPA	S	454	118.16	n/a	n/a	non-brg	5.0
GENERAL MOTORS INV CO	040	LEA	B	58,671	35.86	n/a	n/a	2,346.84	4.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	44.27	n/a	28-Feb	400.00	4.0
GRUBER MACBAINE	033	LOW	B	20,000	32.00	n/a	26-Feb	320.00	3.2
KORMAN	003	LVQQF	S	50	1.05	n/a	n/a	0.00	0.0
PERSHING SQUARE	028	MBI	SS	100,000	68.38	n/a	n/a	4,000.00	4.0
BACKUS	005	MEE	B	4,000	25.02	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MIR	S	40,000	45.41	n/a	n/a	non-brg	5.0
S.A.C. CAPITAL MGMT.	044	MOS	S	15,000	29.29	n/a	n/a	750.00	5.0
MILLENIUM PARTNERS	028	MOT	B	25,000	18.10	n/a	n/a	1,250.00	5.0
LEDDY	035	MSI	S	2,500	2.20	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MVRX	SS	18,200	205.72	n/a	n/a	non-brg	41.2

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		MVRX	SS	69,900	204.88	n/a	n/a	non-brg 41.1
	FORD FDN.	032	MYL	B	65,000	21.97	n/a	19-Apr	3,250.00 5.0
	MAGUIRE	090	MZZ	B	5,000	53.03	n/a	n/a	0.00 0.0
	BARR	096	NG	B	1,500	16.21	n/a	n/a	0.00 0.0
	NEUBERGER BERMAN	036	NOV	S	31,000	79.18	n/a	n/a	1,550.00 5.0
Õ	Glenn Redemann		NTAP	S	3	0.10	n/a	n/a	0.00 0.0
	BUCK CAPITAL MGMT	001	NWY	S	19,000	14.09	23-Mar	13-Apr	760.00 4.0
	BAIRD INVESTMENT	031	OII	S	2,592	44.29	n/a	n/a	129.60 5.0
	LEDDY	035	OPY	S	500	38.92	n/a	n/a	0.00 0.0
Õ	Glenn Redemann		PDE	S	3	1.70	n/a	n/a	0.00 0.0
	ROTHSCHILD ASSET	040	PFE	S	12,210	26.90	n/a	31-Mar	549.45 4.5
	SUFFOLK CAPITAL MGMT	040	PG	B	100,000	63.82	15-Dec	30-Mar	4,000.00 4.0
Õ	Glenn Redemann		PHM	??	8	1.55	n/a	n/a	0.00 0.0
	XYLEM GLOBAL	091	PKG	B	103,400	24.91	n/a	18-Apr	5,170.00 5.0
ß	BUCK CAPITAL MGMT		PLCE	B	120,000	51.42	12-Apr	13-Apr	non-brg 5.0
	LEHMAN PROPRIETARY TRAD	039	PLCE	B	20,000	51.34	12-Apr	13-Apr	800.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BELMONT GLOBAL ADV	248	POL	B	100,000	6.30	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	PTT	B	10,000	9.40	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		PTT	B	10,000	9.47	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	56.73	28-Mar	28-Mar	1,200.00	4.0
FRIESS MGMT	042	PVH	B	40,200	57.62	28-Mar	28-Mar	1,809.00	4.5
MAGUIRE	090	QID	B	5,000	49.80	n/a	n/a	0.00	0.0
BARR	096	QID	S	300	49.98	n/a	n/a	0.00	0.0
EFSTATHIOU	044	RCKY	S	300	11.50	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	RHI	S	56,300	33.35	n/a	n/a	2,815.00	5.0
Õ Glenn Redemann		RHT	S	3	0.40	n/a	n/a	0.00	0.0
A.I.M. ADVISORS INC	222	RL	S	34,200	97.35	2-Feb	13-Apr	1,368.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	5,000	97.59	2-Feb	13-Apr	200.00	4.0
ß BUCK CAPITAL MGMT		RTH	SS	13,600	105.33	n/a	n/a	non-brg	2.0
KORMAN	003	SEED	B	1,000	8.89	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHOO	B	40,000	31.20	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		SHOO	B	5,000	31.32	n/a	n/a	non-brg	5.0
KAICHER	064	SNCR	S	500	18.15	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	SRX	S	4,855	25.02	n/a	n/a	242.75	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SSI	B	12,000	23.22	26-Feb	13-Apr	480.00	4.0
SEAROCK CAPITAL MANAGE	012	SYI	B	151,500	33.55	n/a	29-Jan	6,060.00	4.0
SEAROCK CAPITAL MANAGE	012	S	B	203,900	20.44	n/a	n/a	8,156.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	60,000	61.87	n/a	12-Apr	2,400.00	4.0
ß BUCK CAPITAL MGMT		TLB	S	80,000	24.56	10-Jan	8-Mar	non-brg	5.0
WOOSTER CAPITAL	035	TWB	B	25,000	38.90	22-Feb	22-Feb	1,250.00	5.0
BARR	096	TWM	B	800	63.58	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		UAG	B	30,000	21.79	n/a	13-Apr	non-brg	5.0
XYLEM GLOBAL	091	UFS	S	25,000	9.81	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		WDR	S	100,000	25.26	5-Mar	10-Apr	non-brg	5.0
ß BUCK CAPITAL MGMT		WDR	S	200	25.27	5-Mar	10-Apr	non-brg	2.0
ß BUCK CAPITAL MGMT		WDR	S	59,500	25.27	5-Mar	10-Apr	non-brg	5.0
Õ Glenn Redemann		WFR	??	7	2.50	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WFT	??	7	2.90	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	WMT	B	20,300	49.19	n/a	12-Apr	1,015.00	5.0
LOCUS WOOD CAPITAL MGMT	044	WMT	B	15,000	49.24	n/a	12-Apr	750.00	5.0
SEAROCK CAPITAL MANAGE	012	WMT	B	230,000	49.13	n/a	12-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	WSO	S	1,310	52.78	n/a	n/a	65.50	5.0
S.A.C. CAPITAL MGMT.	044	XLB	SS	50,000	38.98	n/a	n/a	2,500.00	5.0
S.A.C. CAPITAL MGMT.	044	XLE	B	25,000	62.74	n/a	n/a	1,250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>YTEC</b>	<b>B</b>	<b>2,000</b>	<b>8.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ZQK</b>	<b>S</b>	<b>10,000</b>	<b>13.47</b>	<b>9-Mar</b>	<b>17-Apr</b>	<b>400.00</b>	<b>4.0</b>
PORTER-ORLIN-FELDMAN	044	ZQK	S	50,000	13.33	9-Mar	17-Apr	2,500.00	5.0
<b>TOTAL (Trade Date):</b>							<b>161,992.69</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/19	COMMISSUM CAPITAL	031	BLK	B	5,000	154.80	n/a	19-Apr	250.00 5.0
AO,CRT	04/18	SOMERSET ADV	044	CMI	B	11,100	74.77	n/a	n/a	444.00 4.0
AO,CXL	04/18	SOMERSET ADV	044	CMI	B	11,100	74.77	n/a	n/a	555.00 5.0
AO,CXL	04/19	LISTED ERR	099	MI	S	5,000	47.54	n/a	n/a	0.00 0.0
AO,CRT	04/19	LISTED ERR	099	MI	S	5,000	47.54	n/a	n/a	0.00 0.0
AO,CXL	04/19	SUTTONBROOK CAPITAL	044	TGT	B	75,000	61.37	n/a	12-Apr	3000.00 4.0
AO,CRT	04/19	SUTTONBROOK CAPITAL	044	TGT	B	75,000	61.37	n/a	12-Apr	3000.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>139.00</b>

TOTAL (Trade Date):	161,992.69
TOTAL (AO, CXL, CRT):	139.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>162,131.69</b>
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MRI Securities with Trade Activity on 20-Apr.  
**JCP**

MRI Securities without Trade Activity on 20-Apr.  
**BAC, MER**

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

T-Date = 12%

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