



Daily Compliance Activity Report

Trade Date: 02/07/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö Glenn Redemann		AGD	S	448	24.1500	n/a	n/a	0.00	0.0
TRIBECA	038	AMZN	SS	5,000	38.60	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		ANF	B	49,500	80.56	2-Feb	5-Feb	non-brg	5.0
TYEE/TYGH	035	ANF	S	115,905	80.38	2-Feb	5-Feb	4,636.20	4.0
ß BUCK CAPITAL MGMT		ANN	SS	20,000	34.25	5-Jan	5-Feb	non-brg	5.0
TRELLUS PARTNERS LP	028	AOS	B	20,200	38.91	21-Dec	23-Jan	1,010.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	37.32	23-Oct	5-Feb	400.00	4.0
THIRD COAST CAPITAL	035	ARO	B	10,000	37.39	23-Oct	5-Feb	500.00	5.0
ß BUCK CAPITAL MGMT		ASD	B	20,000	52.20	1-Feb	1-Feb	non-brg	5.0
BARR	096	AVNX	S	4,000	2.16	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	AVP	B	40,000	37.24	7-Feb	7-Feb	2,000.00	5.0
DSG CAPITAL	225	AVZ	B	3,000	24.78	29-Dec	6-Feb	150.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AVZ	S	170,200	24.84	29-Dec	6-Feb	6,382.50	3.8
SIGMA CAPITAL ASSOCIATES	044	A	SS	25,000	32.40	n/a	n/a	1,250.00	5.0
SAC TRADING HOWARD	038	BBW	S	15,000	29.40	8-Jan	8-Jan	750.00	5.0
BULL PATH CAPITAL	044	BEBE	B	10,000	18.25	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	BFB	B	250	65.38	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BIDU	B	7	1.5100	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BIDU	B	7	1.7400	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BIDU	S	7	2.3000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		BIDU	S	7	2.8500	n/a	n/a	0.00	0.0
AAD CAPITAL	048	BIG	SS	70,000	26.95	16-Nov	6-Feb	2,800.00	4.0
BUCK CAPITAL MGMT	001	BIG	B	10,000	26.98	16-Nov	6-Feb	400.00	4.0
WD PARTNERS ILP	067	BKE	SS	5,000	34.17	n/a	n/a	250.00	5.0
STERLING JOHNSTON	035	BONT	S	28,350	42.02	23-Oct	5-Feb	1,417.50	5.0
BARON ASSET MGMT*	012	CAKE	B	150,000	26.97	7-Feb	7-Feb	7,500.00	5.0
HASAN	010	CALL	B	5,000	3.19	n/a	n/a	0.00	0.0
EFSTATHIOU	044	CALL	B	1,000	3.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	B	10,000	18.37	11-Dec	5-Feb	400.00	4.0
WILLIAMS TRADING/HOWARD	038	CC	S	200,000	20.64	20-Dec	10-Jan	8,000.00	4.0
Õ Glenn Redemann		CENX	B	6	0.4000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CENX	S	6	0.2600	n/a	n/a	0.00	0.0
PIEDRA CAPITAL	031	CHS	B	92,170	21.67	5-Jan	5-Feb	4,608.50	5.0
LUCHANSKY	036	CMG	B	150	61.59	n/a	12-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEEDS	002	CMRG	B	15,000	12.35	n/a	n/a	0.00	0.0
WD PARTNERS ILP	067	COST	B	5,000	57.03	n/a	6-Feb	250.00	5.0
⌘ BUCK CAPITAL MGMT		CRI	S	30,000	24.89	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CRI	S	70,000	24.77	n/a	n/a	non-brg	5.0
RH CAPITAL ASSOCIATES	060	CRR	S	15,000	43.42	1-Feb	1-Feb	750.00	5.0
THIRD COAST CAPITAL	035	CTSH	B	5,000	94.08	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		CWTR	B	5,000	19.40	n/a	n/a	non-brg	5.0
HIGHBRIDGE CAPITAL	038	CZN	SS	157,100	14.70	n/a	n/a	7,855.00	5.0
THIRD COAST CAPITAL	035	DECK	B	10,000	64.41	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	DHI	S	16,200	29.81	n/a	n/a	648.00	4.0
ROBERTSON STEVENS BC	033	DOX	B	49,900	34.40	n/a	n/a	1,996.00	4.0
SARAS CAPITAL	038	DSW	B	5,025	40.92	n/a	5-Feb	150.75	3.0
CENTURION PARTNERS	249	EDA	B	10,000	11.42	n/a	n/a	500.00	5.0
Õ Glenn Redemann		EXP	B	10	0.4900	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXP	B	10	0.5500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXP	S	10	1.5500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		EXP	S	10	1.6500	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GAULT	063	FDBV	B	30	0.35	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FD	B	10,000	41.23	26-Jan	5-Feb	non-brg	5.0
SSI INVESTORS	048	FD	B	16,304	41.29	26-Jan	5-Feb	652.16	4.0
WD PARTNERS ILP	067	FD	B	5,000	41.29	26-Jan	5-Feb	250.00	5.0
ß BUCK CAPITAL MGMT		FL	S	40,000	23.02	n/a	5-Feb	non-brg	5.0
COUGAR TRADING	044	FL	S	10,000	23.04	n/a	5-Feb	500.00	5.0
ß BUCK CAPITAL MGMT		GCO	S	15,000	41.81	n/a	10-Jan	non-brg	5.0
Õ Glenn Redemann		GG	B	4	0.7200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		GG	B	4	1.1300	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIII	B	2,000	23.75	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GIL	B	50,000	52.51	n/a	n/a	non-brg	5.0
COUGAR TRADING	044	GYMB	B	10,000	44.16	4-Jan	5-Feb	500.00	5.0
SCHEINER	037	HC	S	500	22.96	n/a	5-Feb	0.00	0.0
KERN	050	HC	S	1,000	22.90	n/a	5-Feb	0.00	0.0
MERRILL ASSET	032	HHS	B	106,800	26.77	n/a	n/a	5,340.00	5.0
MKT MAKER	099	HNSN	B	68	16.82	n/a	n/a	0.00	0.0
BUCK	015	HSY	S	700	51.20	n/a	n/a	0.00	0.0
BELMONT GLOBAL ADV	248	IAAC	S	18,653	19.70	n/a	n/a	932.65	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	037	IDIX	B	50,000	8.88	n/a	n/a	2,500.00	5.0
CROWLEY	061	ILA	S	2,500	4.33	n/a	n/a	0.00	0.0
AAD CAPITAL	048	INFY	SS	6,800	61.20	n/a	n/a	272.00	4.0
MKT MAKER	099	INFY	SS	70	61.20	n/a	n/a	0.00	0.0
KERN	050	ISE	S	500	48.00	26-Oct	6-Feb	0.00	0.0
SAILFISH	037	IYR	B	5,000	93.99	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		JASO	B	1,100	15.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		JASO	B	25,000	15.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		JASO	S	26,100	18.04	n/a	n/a	non-brg	5.0
BEAR STEARNS ASSET MGMT.	033	JCP	C	27,500	85.01	10-Nov	5-Feb	1,100.00	4.0
B BUCK CAPITAL MGMT		JNY	C	10,000	33.97	n/a	2-Feb	non-brg	5.0
SAILFISH	037	JPM	B	7,500	50.92	n/a	18-Jan	375.00	5.0
BINDER	007	KEGS	S	300	16.60	n/a	7-Feb	0.00	0.0
SCHEINER	037	KEGS	B	1,000	16.60	n/a	7-Feb	0.00	0.0
B BUCK CAPITAL MGMT		KMT	S	100	61.94	n/a	n/a	non-brg	1.0
NEUBERGER BERMAN	238	KVA	S	29,400	25.33	n/a	n/a	1,470.00	5.0
B BUCK CAPITAL MGMT		KWD	C	14,400	33.15	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAILFISH	037	LIZ	SS	25,000	44.42	n/a	2-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	29.20	5-Jan	5-Feb	800.00	4.0
EGS ASSOCIATES LP	091	LTD	B	5,000	29.09	5-Jan	5-Feb	300.00	6.0
IRON HORSE CAPITAL MGMT	038	LVLTT	S	30,000	6.46	n/a	8-Feb	900.00	3.0
TROUBH PART	067	LVLTT	S	50,000	6.50	n/a	8-Feb	2,500.00	5.0
J L F ASSET MGMT	039	MDC	S	19,100	58.12	n/a	n/a	764.00	4.0
Ö Glenn Redemann		MFV	S	943	11.4700	n/a	n/a	0.00	0.0
CROWLEY	061	MIRWSB	S	500	16.80	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MIR	S	15,000	35.14	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MIR	S	55,000	35.14	n/a	n/a	non-brg	5.0
CROWLEY	061	MIR	S	1,000	34.89	n/a	n/a	0.00	0.0
MKT MAKER	099	NDAQ	B	1,000	34.91	n/a	n/a	0.00	0.0
LEDDY	035	NEXC	B	1,100	9.40	n/a	n/a	0.00	0.0
SANDLER CAPITAL	038	NLC	B	40,000	24.77	n/a	n/a	2,400.00	6.0
ß BUCK CAPITAL MGMT		NLS	B	10,000	16.80	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		NWY	S	20,000	14.81	1-Dec	5-Feb	non-brg	5.0
THE JAY GOLDMAN	034	NWY	B	15,000	14.77	1-Dec	5-Feb	600.00	4.0
BARR	096	ONNN	C	700	9.62	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	PLCE	B	15,000	57.75	n/a	7-Feb	750.00	5.0
CR INTRINIC INVESTMENT	044	PRX	S	21,500	26.67	30-Jan	5-Feb	1,075.00	5.0
KNOTT PARTNERS	044	PRX	B	25,000	26.68	30-Jan	5-Feb	1,000.00	4.0
FIRST NEW YORK LEDDY	035	PSUN	B	10,000	19.27	n/a	7-Feb	600.00	6.0
WEINTRAUB CAPITAL MGT.	040	PSUN	S	233,200	19.37	n/a	7-Feb	11,660.00	5.0
Õ Glenn Redemann		RDC	B	3	0.9500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		RDC	B	3	1.1500	n/a	n/a	0.00	0.0
BUCK	015	RHHBY	B	200	94.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	12,200	84.09	2-Feb	8-Feb	488.00	4.0
SARAS CAPITAL	038	RVI	S	13,800	20.11	n/a	n/a	414.00	3.0
COHE & STEERS	091	RYN	B	89,600	44.98	24-Jan	24-Jan	4,480.00	5.0
ß BUCK CAPITAL MGMT		SHOO	B	10,000	30.99	n/a	n/a	non-brg	5.0
MCCARTAN	028	SHOO	B	200	30.95	n/a	n/a	0.00	0.0
BARR	096	SNWL	B	1,400	9.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SSI	B	45,000	22.26	9-Jan	5-Feb	non-brg	5.0
ß BUCK CAPITAL MGMT		TKR	C	10,000	29.75	n/a	n/a	non-brg	5.0
TRIBECA	038	TSCO	SS	10,000	47.42	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MKT MAKER	099	TWTC	B	12	23.39	8-Feb	8-Feb	0.00	0.0
NICOLAS APPEGATE	048	TXCO	S	16,100	12.14	n/a	n/a	483.00	3.0
ß BUCK CAPITAL MGMT		TXN	SS	20,000	30.92	n/a	n/a	non-brg	5.0
LEDDY	035	T	S	600	37.36	26-Jan	8-Feb	0.00	0.0
SCHEINER	037	UCO	S	250	70.28	n/a	5-Feb	0.00	0.0
Õ Glenn Redemann		WCC	B	8	0.5500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WCC	B	8	1.0500	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WCC	S	8	1.3000	n/a	n/a	0.00	0.0
Õ Glenn Redemann		WCC	S	8	2.4000	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	WDR	S	50,000	25.75	12-Jan	6-Feb	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	044	YUM	B	45,000	60.96	12-Dec	17-Jan	2,250.00	5.0
ß BUCK CAPITAL MGMT		ZQK	S	40,000	14.61	8-Sep	11-Jan	non-brg	5.0
TOTAL (Trade Date):							105,810.26		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/06	UBS O'CONNOR/TOM LEDDY	035	COST	B	50,000	56.93	n/a	6-Feb	2000.00 4.0
AO,CXL	02/06	UBS O'CONNOR/TOM LEDDY	035	COST	B	50,000	56.93	n/a	6-Feb	2500.00 5.0
AO,CRT	02/06	AVENUE CAPITAL MGMT	036	GLW	SS	100,000	21.72	n/a	5-Feb	3000.00 3.0
AO,CXL	02/06	AVENUE CAPITAL MGMT	036	GLW	SS	100,000	21.72	n/a	5-Feb	5000.00 5.0
AO,CRT	02/06	IRONBOUND CAPITAL	012	SSCC	SS	50,000	11.71	26-Oct	25-Jan	1500.00 3.0
AO,CXL	02/06	IRONBOUND CAPITAL	012	SSCC	SS	50,000	11.71	26-Oct	25-Jan	2500.00 5.0
AO,CXL	02/06	IRONBOUND CAPITAL	012	TIN	B	40,000	50.03	6-Feb	6-Feb	2000.00 5.0
AO,CRT	02/06	IRONBOUND CAPITAL	012	TIN	B	40,000	50.03	6-Feb	6-Feb	1200.00 3.0

TOTAL (AO, CXL, CRT) :	-4,300.00
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TOTAL (Trade Date) :	105,810.26
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TOTAL (AO, CXL, CRT) :	-4,300.00
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TOTAL (RUN DATE) / NFS:	101,510.26
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MRI Securities with Trade Activity on 7-Feb. AVP, CAKE

MRI Securities without Trade Activity on 7-Feb.

CHD

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

T-Date = 8%

YTD = 21%

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