



Daily Compliance Activity Report

Trade Date: 08/17/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	10,000	121.87	n/a	n/a	non-brg	5.0
LEDDY	035	AB	B	900	79.75	9-Aug	10-Aug	0.00	0.0
BUCK CAPITAL MGMT		AEO	B	100,000	22.61	10-Jul	15-Aug	non-brg	5.0
LEDDY	035	AER	B	700	23.52	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	AF	S	100,000	25.43	n/a	n/a	2,000.00	2.0
NEUBERGER BERMAN	036	AMT	B	1,500	38.18	n/a	n/a	75.00	5.0
CASTLEROCK	040	ANF	B	77,605	75.23	12-Jul	10-Aug	3,104.20	4.0
COUGAR TRADING	044	ANF	S	5,000	74.51	12-Jul	10-Aug	250.00	5.0
PRINCIPLE CAPITAL	040	ARO	SS	24,300	34.55	n/a	15-Aug	729.00	3.0
BUCK CAPITAL MGMT		ASD	B	40,000	34.55	17-Aug	17-Aug	non-brg	5.0
BUCK CAPITAL MGMT		ASD	B	5,000	33.78	17-Aug	17-Aug	non-brg	5.0
MORGAN LEWIS/MLH	046	AUO	S	20,000	14.55	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	BAC	B	16,000	51.00	20-Apr	16-Aug	800.00	5.0
NEUBERGER BERMAN	036	BAM	B	1,000	33.26	n/a	n/a	50.00	5.0
GOLD SACHS SPECIAL SIT	030	BBBY	SS	125,000	33.94	n/a	n/a	6,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	BBBY	S	200	34.00	n/a	n/a	10.00	5.0
WHITE PINE CAPITAL	030	BBY	S	700	43.42	1-May	27-Jul	35.00	5.0
SYSTEMATIC FINANCIAL MGT	035	BID	B	43,625	37.86	n/a	n/a	1,635.93	3.8
⌘ BUCK CAPITAL MGMT		BJ	SS	10,000	29.24	10-Apr	27-Jul	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BONT	B	100,000	22.30	3-Aug	15-Aug	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BONT	B	200,000	21.46	3-Aug	15-Aug	non-brg	5.0
PEREGRINE	030	BONT	B	100,700	21.18	3-Aug	15-Aug	5,035.00	5.0
WHITE PINE CAPITAL	030	BONT	S	500	21.08	3-Aug	15-Aug	25.00	5.0
KORMAN	003	BVDTA	B	50	0.05	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		BWS	B	10,000	21.59	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CBK	C	10,000	14.78	7-Jun	10-Aug	non-brg	5.0
KORMAN	003	CHCG	B	5,000	5.65	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CHS	SS	5,000	18.14	10-Aug	10-Aug	250.00	5.0
ZOLIDIS	011	CHS	SS	1,500	17.77	10-Aug	10-Aug	0.00	0.0
ELM RIDGE ADVISORS	044	CMA	SS	88,600	57.75	n/a	n/a	3,544.00	4.0
MATRIX ASSET ADV.	036	CMCSK	B	10,000	24.90	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	COH	B	30,000	45.12	n/a	1-Aug	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		CPNLQ	B	100,000	2.38	n/a	29-Jun	non-brg	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRIESS MGMT	042	CROX	B	341,500	50.42	n/a	n/a	15,367.50	4.5
GOLD SACHS SPECIAL SIT	030	CROX	SS	100,000	50.73	n/a	n/a	5,000.00	5.0
REICH AND TANG	067	CSS	S	9,100	40.22	n/a	n/a	455.00	5.0
B BUCK CAPITAL MGMT		CTRN	B	10,000	24.42	n/a	n/a	non-brg	5.0
CUMBERLAND	038	CUTR	S	5,000	21.79	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	DDS	B	40,000	23.26	n/a	n/a	1,600.00	4.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	7,400	36.97	10-Aug	10-Aug	296.00	4.0
SANDELL ADV	040	DUK	B	69,600	18.37	n/a	n/a	2,784.00	4.0
SANDELL ADV	040	ED	B	28,100	46.09	n/a	n/a	1,405.00	5.0
NEUBERGER BERMAN	036	ENB	B	8,000	32.94	n/a	n/a	400.00	5.0
MAZAMA CAPITAL MGMT.	035	EVR	B	1,500	21.74	n/a	n/a	60.00	4.0
NEUBERGER BERMAN	036	FCX	B	1,000	76.00	n/a	n/a	50.00	5.0
LEDDY	035	FIG	B	1,000	18.79	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	FIS	B	39,500	46.90	n/a	n/a	1,580.00	4.0
B BUCK CAPITAL MGMT		FL	S	100,000	15.15	24-May	2-Aug	non-brg	5.0
B BUCK CAPITAL MGMT		FL	S	150,000	15.20	24-May	2-Aug	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FL	S	200,000	15.39	24-May	2-Aug	non-brg	5.0
METROPOLITAN CAPITAL	044	FL	S	125,000	15.14	24-May	2-Aug	6,250.00	5.0
B BUCK CAPITAL MGMT		FOSL	B	40,000	31.95	15-Aug	15-Aug	non-brg	5.0
BUCK CAPITAL MGMT	001	GES	B	5,000	46.48	n/a	n/a	200.00	4.0
COUGAR TRADING	044	GES	SS	5,000	47.95	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	GGG	S	400	39.83	n/a	n/a	20.00	5.0
B BUCK CAPITAL MGMT		GIII	B	25,000	13.91	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		GIL	B	10,000	32.15	21-Jun	2-Aug	non-brg	5.0
LEDDY	035	GIL	B	400	31.48	21-Jun	2-Aug	0.00	0.0
CR INTRINIC INVESTMENT	044	GM	S	80,000	30.58	4-May	9-Aug	4,000.00	5.0
B BUCK CAPITAL MGMT		GPS	B	200,000	17.14	n/a	10-Aug	non-brg	5.0
PAW PARTNERS	033	GYMB	B	15,400	39.44	10-Aug	10-Aug	770.00	5.0
U.S.TRUST COMPANY	012	HRS	B	28,750	56.93	8-Aug	8-Aug	1,293.75	4.5
IRONWOOD CAPITAL	067	ICOC	B	30,000	9.74	n/a	n/a	1,200.00	4.0
WHITE PINE CAPITAL	030	IFF	S	500	48.81	26-Jul	7-Aug	25.00	5.0
CUMBERLAND	038	ISIS	S	80,000	11.94	n/a	n/a	3,200.00	4.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	15,700	22.99	8-Aug	10-Aug	628.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
♢ BUCK CAPITAL MGMT		IWM	C	100,000	78.47	n/a	n/a	non-brg	1.0
METROPOLITAN CAPITAL	044	IWM	B	14,700	78.57	n/a	n/a	735.00	5.0
FARALLON CAP MGMT	040	IYR	B	132,500	73.03	n/a	n/a	5,300.00	4.0
LEDDY	035	JADE	B	1,000	6.30	n/a	n/a	0.00	0.0
KORMAN	003	JASO	B	3,000	30.91	n/a	n/a	0.00	0.0
FORD FDN.	032	JCI	B	35,000	106.76	19-Jul	19-Jul	1,750.00	5.0
♢ BUCK CAPITAL MGMT		JCP	B	10,000	66.46	21-Jun	16-Aug	non-brg	5.0
♢ BUCK CAPITAL MGMT		JOSB	B	10,000	29.80	n/a	n/a	non-brg	5.0
NEUBERGER BERMAN	036	JPM	B	18,000	47.24	n/a	16-Aug	900.00	5.0
♢ BUCK CAPITAL MGMT		KBH	C	30,000	33.16	n/a	n/a	non-brg	5.0
♢ BUCK CAPITAL MGMT		KEGS	B	100,000	13.39	23-Jul	14-Aug	non-brg	5.0
ELM RIDGE ADVISORS	044	KEY	SS	95,000	35.34	n/a	n/a	3,800.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	60.89	14-Jun	27-Jul	1,200.00	4.0
♢ BUCK CAPITAL MGMT		KSS	B	10,000	61.67	14-Jun	27-Jul	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	LAZ	B	32,550	38.58	n/a	n/a	1,302.00	4.0
REICH AND TANG	067	LDL	B	13,200	9.26	n/a	n/a	264.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		LIZ	SS	10,000	33.28	n/a	6-Aug	non-brg	5.0
TRUST CO/COWEN/CALF.	040	LSI	B	453,847	6.19	n/a	n/a	18,153.88	4.0
BUCK CAPITAL MGMT		LTM	B	10,000	54.84	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		LULU	B	15,000	32.36	n/a	n/a	non-brg	5.0
SANDELL ADV	040	LYO	B	100,000	43.00	14-May	14-May	4,000.00	4.0
BUCK CAPITAL MGMT		MDTL	SS	10,000	10.00	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		MIR	B	25,000	37.12	n/a	n/a	non-brg	5.0
PILOT ROCK	028	MIR	B	100,000	36.97	n/a	n/a	4,000.00	4.0
WHITE PINE CAPITAL	030	MIR	S	450	36.72	n/a	n/a	22.50	5.0
FORD FDN.	032	MMM	S	16,000	87.29	16-Jul	26-Jul	800.00	5.0
BUCK CAPITAL MGMT		MOS	C	10,000	37.13	n/a	n/a	non-brg	5.0
CAPITAL GROWTH MGMT.	241	MOS	B	150,000	36.61	n/a	n/a	7,500.00	5.0
BUCK CAPITAL MGMT		MSMSBMVR	C	125,000	174.97	n/a	n/a	non-brg	17.5
LEDDY	035	MTRX	B	400	19.25	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	MWV	S	550	30.26	31-Jul	15-Aug	27.50	5.0
BUCK CAPITAL MGMT		M	B	30,000	31.63	13-Jul	16-Aug	non-brg	5.0
COUGAR TRADING	044	M	S	5,000	31.33	13-Jul	16-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	M	B	89,000	30.87	13-Jul	16-Aug	2,670.00	3.0
FARALLON CAP MGMT	040	NRG	B	135,000	36.89	n/a	n/a	5,400.00	4.0
BALYASNY ASSET MGMT	044	NWY	S	35,000	7.43	25-May	10-Aug	1,400.00	4.0
COUGAR TRADING	044	NWY	S	10,000	7.30	25-May	10-Aug	500.00	5.0
B BUCK CAPITAL MGMT		OIH	SS	10,000	165.73	n/a	n/a	non-brg	1.0
MERRILL ASSET	032	ONB	S	31,000	16.97	n/a	n/a	1,395.00	4.5
CLOVIS CAPITAL	012	PCR	SS	96,900	49.24	n/a	n/a	4,845.00	5.0
NEUBERGER BERMAN	036	PG	B	1,000	64.55	n/a	3-Aug	50.00	5.0
DAVID J GREEN & CO	040	PMC	B	14,000	15.68	n/a	n/a	560.00	4.0
COUGAR TRADING	044	RL	S	5,000	78.45	9-Aug	9-Aug	250.00	5.0
B BUCK CAPITAL MGMT		RTH	C	140,000	96.93	n/a	n/a	non-brg	1.0
WHITE PINE CAPITAL	030	RVI	S	700	11.72	n/a	n/a	35.00	5.0
B BUCK CAPITAL MGMT		RYL	C	30,000	32.69	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		S4RETL	C	40,000	382.44	n/a	n/a	non-brg	38.2
B BUCK CAPITAL MGMT		SBAC	B	20,000	30.30	n/a	n/a	non-brg	5.0
FINANCIAL STOCK LP	028	SFI	B	120,000	35.77	n/a	n/a	4,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	SHLD	SS	5,000	136.32	n/a	n/a	250.00	5.0
HEALY CIRCLE	044	SKS	SS	25,000	17.55	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	19.16	n/a	13-Mar	1,200.00	4.0
CUMBERLAND	038	SLG	S	10,000	108.45	n/a	n/a	400.00	4.0
SANDELL ADV	040	SO	B	42,800	35.76	n/a	n/a	2,140.00	5.0
CRAMER ROSENTHAL/SCOTT	012	SPLS	S	16,200	23.14	n/a	27-Jul	648.00	4.0
GALLEON MGMT LP	033	SPY	SS	20,000	145.73	n/a	n/a	1,000.00	5.0
GALLEON MGMT LP	033	SSCC	B	85,000	10.00	4-May	9-Aug	4,250.00	5.0
SCOPUS FUND	039	SSCC	B	90,000	9.89	4-May	9-Aug	4,500.00	5.0
MATRIX ASSET ADV.	036	SYMC	B	5,000	17.99	n/a	3-Apr	150.00	3.0
CLOVIS CAPITAL	012	TIE	SS	100,000	28.86	n/a	n/a	5,000.00	5.0
J L F ASSET MGMT	039	TIN	B	62,000	54.91	25-Jul	26-Jul	2,480.00	4.0
B BUCK CAPITAL MGMT		TOL	C	30,000	23.22	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		TRLG	B	10,000	18.35	n/a	n/a	non-brg	5.0
CRAMER ROSENTHAL/SCOTT	012	TWB	S	15,900	38.01	2-Jul	16-Aug	636.00	4.0
B BUCK CAPITAL MGMT		URBN	B	100,000	22.15	31-Jul	10-Aug	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	URBN	SS	5,000	21.92	31-Jul	10-Aug	250.00	5.0
MKT MAKER	099	URBN	S	900	22.08	31-Jul	10-Aug	0.00	0.0
NEUBERGER BERMAN	036	VLO	S	5,600	64.00	n/a	n/a	280.00	5.0
FARALLON CAP MGMT	040	WM	SS	132,500	37.57	n/a	n/a	6,625.00	5.0
FINANCIAL STOCK LP	028	WM	B	100,000	37.50	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		WRNC	B	110,000	32.60	18-Jul	8-Aug	non-brg	5.0
XYLEM GLOBAL	091	WY	S	10,000	64.23	13-Jul	6-Aug	500.00	5.0
TOTAL (Trade Date):							180,896.26		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/16	STRAUSS ASSET MGMT	040	BIOF	B	15,000	7.08	n/a	n/a	750.00 5.0
AO,	08/16	IRONWOOD CAPITAL	067	ICOC	B	43,000	8.57	n/a	n/a	1720.00 4.0
AO,CRT	08/15	APEX CAPITAL MGMT.	091	RSH	B	59,100	22.42	n/a	n/a	2955.00 5.0
AO,CXL	08/15	APEX CAPITAL MGMT.	091	RSH	B	65,000	22.42	n/a	n/a	3250.00 5.0
AO,	08/15	APEX CAPITAL MGMT.	091	RSH	B	5,900	22.42	n/a	n/a	295.00 5.0
AO,CRT	08/16	MKT MAKER	099	SSCC	B	100	9.00	4-May	9-Aug	0.00 0.0
AO,CRT	08/16	STRAUSS ASSET MGMT	040	VOCS	SS	15,000	24.87	n/a	n/a	750.00 5.0
AO,CXL	08/16	STRAUSS ASSET MGMT	040	VOCS	SS	15,000	24.87	n/a	n/a	750.00 5.0

TOTAL (AO, CXL, CRT) :	2,470.00
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TOTAL (Trade Date):	180,896.26
TOTAL (AO, CXL, CRT):	2,470.00

TOTAL (RUN DATE) / NFS:	183,366.26
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MRI Securities with Trade Activity on 17-Aug. ASD
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MRI Securities without Trade Activity on 17-Aug.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 4%
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