



# Daily Compliance Activity Report

Trade Date: 10/02/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ABG	S	5,000	20.14	18-Jun	1-Oct	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ABG</b>	<b>B</b>	<b>170,000</b>	<b>19.72</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ABG</b>	<b>B</b>	<b>40,000</b>	<b>20.31</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>non-brg</b>	<b>4.0</b>
EGS ASSOCIATES LP	091	ABG	B	5,000	19.45	18-Jun	1-Oct	300.00	6.0
WOOSTER CAPITAL	035	ABG	B	50,000	20.52	18-Jun	1-Oct	2,500.00	5.0
<b>EMP ERROR</b>	<b>099</b>	<b>ABG</b>	<b>B</b>	<b>2,700</b>	<b>19.89</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>ABG</b>	<b>S</b>	<b>3,500</b>	<b>20.56</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>146</b>	<b>ABG</b>	<b>B</b>	<b>400</b>	<b>19.48</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
KEEFE BRUYETTE WOODS A	031	AB	S	2,700	90.80	9-Aug	28-Sep	135.00	5.0
BALYASNY ASSET MGMT	044	AEO	S	20,000	25.49	10-Jul	7-Sep	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>30,000</b>	<b>25.37</b>	<b>10-Jul</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>30,000</b>	<b>25.52</b>	<b>10-Jul</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
FRIESS MGMT	042	AEO	S	293,100	25.52	10-Jul	7-Sep	13,189.50	4.5
LIGHTHOUSE FIN/QUAD	046	AKAM	S	5,000	29.06	n/a	n/a	250.00	5.0
<b>DEMARTINI</b>	<b>065</b>	<b>AMCC</b>	<b>S</b>	<b>5,000</b>	<b>3.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	ANN	B	62,700	33.27	6-Aug	7-Sep	2,508.00	4.0
MEISENBACH CAP MGMT	041	AOC	S	20,000	45.83	n/a	n/a	600.00	3.0
RHO CAPITAL MGMT	041	ARBA	B	3,900	10.91	n/a	n/a	195.00	5.0
BALYASNY ASSET MGMT	044	ARO	B	15,000	20.14	n/a	7-Sep	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	038	AXL	B	18,700	26.03	n/a	n/a	748.00	4.0
CATAPULT	040	AXP	B	5,000	60.85	n/a	n/a	250.00	5.0
<b>MADIGAN</b>	<b>031</b>	<b>BAC</b>	<b>S</b>	<b>150</b>	<b>51.71</b>	<b>20-Apr</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
NATIONAL BK OF CAN	031	BK	B	30,000	44.94	20-Jul	20-Sep	1,200.00	4.0
PROSPECTOR PARTNERS LLC	036	BR	S	10,000	18.93	n/a	30-Jan	400.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>BSCAG</b>	<b>S</b>	<b>36</b>	<b>8.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	BWA	B	6,500	95.81	7-Sep	7-Sep	325.00	5.0
JPMSI/TOM LEDDY	035	BWS	S	20,000	20.34	n/a	n/a	1,000.00	5.0
COLUMBIA PARTNERS	028	CBH	C	44,632	39.38	n/a	n/a	1,785.28	4.0
MORGAN BANK /JPM	012	CCI	B	21,780	39.97	n/a	n/a	653.40	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CEC</b>	<b>B</b>	<b>20,000</b>	<b>27.83</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
GRANAHAN INV	039	CENT	S	100,000	9.25	n/a	18-Sep	3,000.00	3.0
ROARING BLUE LION MGMT	012	CHS	B	27,500	14.66	30-Aug	7-Sep	1,100.00	4.0
CATAPULT	040	CIT	B	5,000	40.37	n/a	n/a	250.00	5.0
COUGAR TRADING	044	COH	B	5,000	47.15	n/a	10-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	034	COST	SS	25,000	61.31	n/a	27-Jul	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		CTRN	B	5,000	21.15	n/a	n/a	non-brg	4.0
J L F ASSET MGMT	039	CVS	B	90,800	38.49	n/a	n/a	3,632.00	4.0
MORGAN BANK /JPM	012	CX	B	3,400	31.52	n/a	n/a	102.00	3.0
BUCK CAPITAL MGMT	001	DGX	B	30,000	57.40	n/a	n/a	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		DIA	SS	325,000	140.38	n/a	n/a	non-brg	2.0
VINIK ASSET MGMT.	030	DLTR	B	90,000	41.57	10-Aug	21-Sep	3,600.00	4.0
MORGAN BANK /JPM	012	DOV	B	4,900	51.23	n/a	n/a	147.00	3.0
BUCK CAPITAL MGMT	001	DRI	B	20,000	43.06	n/a	24-Apr	800.00	4.0
⚡ BUCK CAPITAL MGMT		DSW	B	10,000	25.86	5-Sep	2-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DSW	B	30,000	25.81	5-Sep	2-Oct	non-brg	2.0
ENTRUST CAPITAL	040	DSW	B	25,000	25.83	5-Sep	2-Oct	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	DSW	B	25,000	25.85	5-Sep	2-Oct	1,250.00	5.0
ROCKEFELLER & CO.	045	DVN	B	990	82.87	19-Sep	1-Oct	49.50	5.0
BUCK CAPITAL MGMT	001	EAT	B	20,000	27.89	n/a	24-Apr	800.00	4.0
COLUMBIA PARTNERS	028	EGLE	B	19,917	26.73	n/a	n/a	796.68	4.0
BUCK CAPITAL MGMT	001	ELY	B	40,000	16.70	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	ETH	B	25,000	33.86	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	FBN	B	100,000	14.41	n/a	n/a	4,000.00	4.0
AVESTA CAP	229	FDO	B	25,000	26.51	9-Aug	2-Oct	1,250.00	5.0
SINCLAIR	031	FMU	B	100	0.35	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	FTK	B	5,000	47.35	n/a	n/a	250.00	5.0
LIGHTHOUSE FIN/QUAD	046	F	B	10,000	8.42	n/a	1-Oct	500.00	5.0
LOOMIS SALES/BOSTON	036	GES	S	46,500	50.50	n/a	n/a	1,860.00	4.0
MORGAN BANK /JPM	012	GE	B	6,000	42.11	n/a	n/a	180.00	3.0
SUN AMERICA ASSET MGMT	030	GE	S	167,800	41.96	n/a	n/a	8,390.00	5.0
LEDDY	035	GM	SS	800	36.72	4-May	1-Oct	0.00	0.0
GEORGE WEISS	034	GPS	S	5,000	18.92	n/a	7-Sep	200.00	4.0
PRINCIPLE CAPITAL	040	GRMN	B	106,400	101.74	n/a	n/a	4,256.00	4.0
⚡ BUCK CAPITAL MGMT		HOT	C	20,000	62.71	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ICON	S	10,000	23.67	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IKAN	S	100,000	5.60	n/a	n/a	non-brg	2.5
MATRIX ASSET ADV.	036	INTC	S	5,000	26.31	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		IWM	C	1,275,000	82.35	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JBX	C	20,000	66.05	n/a	24-Apr	non-brg	4.0
BRIGHTPOINT CAP	067	JCG	SS	15,000	45.01	22-Jun	6-Sep	600.00	4.0
COUGAR TRADING	044	JCG	SS	10,000	45.07	22-Jun	6-Sep	500.00	5.0
COUGAR TRADING	044	JCP	S	10,000	65.55	21-Jun	7-Sep	500.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	30,000	35.31	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	JWN	B	10,000	48.16	12-Jul	7-Sep	500.00	5.0
MORGAN BANK /JPM	012	KBH	S	8,400	26.79	n/a	n/a	252.00	3.0
BUCK	015	KBH	C	1,000	26.96	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		KNL	C	20,000	18.20	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	KSS	SS	10,000	58.08	27-Sep	27-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	LEG	B	30,000	19.62	n/a	n/a	1,200.00	4.0
CATAPULT	040	LEH	B	5,000	63.40	12-Jun	20-Sep	250.00	5.0
HART	056	LEH	B	25	64.60	12-Jun	20-Sep	0.00	0.0
SUNOVA CAPITAL	031	LM	B	50,000	86.29	19-Sep	28-Sep	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		LTD	SS	20,000	22.89	16-May	7-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LULU	S	20,000	45.20	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		LVS	C	20,000	140.52	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	LZB	B	25,000	8.03	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT		MAR	C	30,000	44.66	n/a	n/a	non-brg	4.0
MS PRINCIPAL STRATEGIES	041	MAR	S	36,300	44.83	n/a	n/a	1,815.00	5.0
ROTHSCHILD ASSET	040	MCK	S	16,780	58.44	n/a	n/a	755.10	4.5
GALLEON MGMT LP	033	MCO	B	30,000	53.26	n/a	n/a	1,500.00	5.0
BUCK	015	MCO	C	700	52.96	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	MDT	B	157,669	57.48	n/a	22-Apr	6,306.76	4.0
BARR	096	MENT	S	1,000	15.99	n/a	n/a	0.00	0.0
SSI INVESTORS	048	MER	B	35,810	75.62	18-Jul	20-Sep	1,432.40	4.0
BALYASNY ASSET MGMT	044	MGM	S	5,000	94.52	n/a	3-Aug	250.00	5.0
BUCK CAPITAL MGMT		MGM	C	20,000	93.69	n/a	3-Aug	non-brg	4.0
MORGAN BANK /JPM	012	MMM	B	1,100	94.65	27-Sep	27-Sep	33.00	3.0
RHO CAPITAL MGMT	041	MSO	B	500	12.55	n/a	n/a	25.00	5.0
THE JAY GOLDMAN	034	MSO	S	20,000	12.93	n/a	n/a	800.00	4.0
GAULT	063	MSO	B	2,000	13.14	n/a	n/a	0.00	0.0
GAULT	063	MSO	S	2,000	12.69	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		MW	SS	10,000	51.16	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	MZZ	B	600	50.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	200,000	33.97	24-Sep	24-Sep	8,000.00	4.0
PRINCIPLE CAPITAL	040	M	B	28,700	34.06	24-Sep	24-Sep	861.00	3.0
WAGONHOUND	048	M	B	11,020	33.95	24-Sep	24-Sep	440.80	4.0
MAZAMA CAPITAL MGMT.	035	NGS	S	11,700	18.30	n/a	n/a	468.00	4.0
SOROS	036	ODP	B	44,900	21.61	n/a	27-Jul	2,245.00	5.0
ß BUCK CAPITAL MGMT		OEF	C	389,900	72.26	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		OSK	C	20,000	62.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PAG	B	20,854	20.57	n/a	1-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		PAG	B	40,000	20.82	n/a	1-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		PAG	B	45,800	20.54	n/a	1-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		PAG	B	55,000	20.38	n/a	1-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		PBI	C	30,000	45.88	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PBY	B	20,900	15.24	n/a	n/a	836.00	4.0
ß BUCK CAPITAL MGMT		PCAR	C	20,000	87.10	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PERY	S	10,000	27.39	n/a	n/a	non-brg	1.0
MATRIX ASSET ADV.	036	PFE	S	5,000	24.94	n/a	31-Mar	200.00	4.0
LUCHANSKY	036	PHM	B	200	16.11	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY	036	PHM	S	200	15.72	n/a	n/a	0.00	0.0
WESTLANE CAPITAL	044	PLCE	B	10,000	24.65	26-Sep	26-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	PNR	B	20,000	33.48	n/a	n/a	800.00	4.0
CAPITAL GROWTH MGMT.	241	PRU	B	50,000	99.05	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		PZZA	C	20,000	26.81	n/a	24-Apr	non-brg	4.0
PAW PARTNERS	041	QCOM	S	7,700	41.82	n/a	n/a	385.00	5.0
DAVIDSON KEMPNER ADVISOR	217	RF	SS	50,000	30.47	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		RIMM	C	30,000	96.85	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	77.52	9-Aug	29-Aug	1,200.00	4.0
BUCK CAPITAL MGMT	001	RL	S	10,000	77.68	9-Aug	29-Aug	400.00	4.0
MORGAN BANK /JPM	012	ROH	B	2,100	55.64	n/a	4-Sep	63.00	3.0
⌘ BUCK CAPITAL MGMT		RRGB	C	20,000	43.89	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RT	C	20,000	18.95	n/a	n/a	non-brg	4.0
STADIA CAPITAL	035	SFD	S	20,000	31.63	n/a	n/a	800.00	4.0
JPMSI/TOM LEDDY	035	SKS	SS	25,000	18.02	n/a	n/a	1,250.00	5.0
LEDY	035	SLB	B	100	106.45	n/a	n/a	0.00	0.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGHTPOINT CAP	067	SMG	SS	15,000	42.44	9-Jul	18-Sep	600.00	4.0
⚡ BUCK CAPITAL MGMT		SONC	C	20,000	23.78	n/a	n/a	non-brg	4.0
LUCHANKSY	036	SPLS	S	150	21.94	n/a	27-Jul	0.00	0.0
MORGAN BANK /JPM	012	SPR	B	5,000	38.23	n/a	n/a	150.00	3.0
⚡ BUCK CAPITAL MGMT		SPY	SS	180,000	154.00	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		SPY	SS	200,000	154.06	n/a	n/a	non-brg	2.0
ROCKEFELLER & CO.	045	SRCL	B	1,440	57.54	n/a	n/a	72.00	5.0
GALLEON MGMT LP	033	SSCC	SS	25,000	11.52	4-May	21-Sep	1,250.00	5.0
LUCHANKSY	036	SSI	S	100	18.76	3-Aug	7-Sep	0.00	0.0
CATAPULT	040	STT	B	5,000	68.96	n/a	n/a	250.00	5.0
CATAPULT	040	STT	S	5,000	69.22	n/a	n/a	250.00	5.0
NORTHPOINT	030	TAXI	S	7,875	10.96	n/a	n/a	315.00	4.0
CATAPULT	040	TCBI	B	5,000	22.35	n/a	n/a	250.00	5.0
CATAPULT	040	TCB	S	12,500	27.18	n/a	n/a	625.00	5.0
LISTED ERR	099	TCB	B	2,200	27.06	n/a	n/a	0.00	0.0
LISTED ERR	099	TCB	S	2,200	27.05	n/a	n/a	0.00	0.0
LUCHANKSY	036	TEL	S	25	35.99	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>THI</b>	<b>C</b>	<b>20,000</b>	<b>35.44</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>B</b>	<b>30,000</b>	<b>28.98</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
MORGAN BANK /JPM	012	TOL	S	26,600	21.75	n/a	n/a	798.00	3.0
PRINCIPLE CAPITAL	040	TPX	S	27,000	36.94	n/a	n/a	810.00	3.0
DAVIS SELECT ADV	040	TXN	B	256,000	36.68	n/a	n/a	7,680.00	3.0
WEISS PECK	040	URBN	S	10,200	22.31	31-Jul	10-Aug	510.00	5.0
MORGAN BANK /JPM	012	UTX	B	3,800	82.31	n/a	n/a	114.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>VIRL</b>	<b>B</b>	<b>15,100</b>	<b>7.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>LUCHANSKY4</b>	<b>036</b>	<b>VSL</b>	<b>S</b>	<b>100</b>	<b>23.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	VZ	S	15,000	45.41	21-Sep	1-Oct	600.00	4.0
MORGAN BANK /JPM	012	WBC	B	4,900	48.14	n/a	14-Aug	147.00	3.0
SLS CAPITAL LLC	224	WBC	B	146,000	48.59	n/a	14-Aug	5,840.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>WCI</b>	<b>B</b>	<b>1,200</b>	<b>6.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROCKEFELLER & CO.	045	WFT	S	10,000	69.52	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WHR</b>	<b>C</b>	<b>20,000</b>	<b>92.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	WMT	B	10,000	44.98	4-Jun	27-Jul	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
8 BUCK CAPITAL MGMT		WYNN	C	30,000	165.60	n/a	n/a	non-brg	4.0
ZOLIDIS	011	WYNN	B	20	167.33	n/a	n/a	0.00	0.0
LEDDY	035	XOM	S	200	92.20	n/a	n/a	0.00	0.0
LUCHANSKY1	036	YTEC	B	1,000	11.68	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZQK	S	5,000	14.65	n/a	7-Sep	250.00	5.0
<b>TOTAL (Trade Date):</b>							<b>137,181.42</b>		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	10/01	COUGAR TRADING	044	JCG	S	6,600	43.54	22-Jun 6-Sep	330.00 5.0
TOTAL (AO, CXL, CRT) :									330.00

TOTAL (Trade Date):	137,181.42
TOTAL (AO, CXL, CRT):	330.00

TOTAL (RUN DATE) / NFS: 137,511.42

MRI Securities with Trade Activity on 2-Oct.  
NONE

MRI Securities without Trade Activity on 2-Oct.  
ANF, JCI, TWB

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 22%  
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