



## Daily Compliance Activity Report

Trade Date: 01/12/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEOS	B	10,000	33.64	4-Jan	12-Jan	500.00	5.0
FIRST NEW YORK LEDDY	035	AEOS	B	10,000	33.23	4-Jan	12-Jan	600.00	6.0
NEUBERGER BERMAN	238	AMD	S	60,000	18.44	n/a	n/a	3,000.00	5.0
SAXON WOODS ADVISORS	038	AMD	S	20,000	18.33	n/a	n/a	1,000.00	5.0
SUNOVA CAPITAL	031	AMG	B	20,000	109.51	12-Jan	12-Jan	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMWD</b>	<b>C</b>	<b>5,400</b>	<b>42.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
VARDON PARTNERS	035	AM	SS	5,000	24.21	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>30,000</b>	<b>78.21</b>	<b>3-Nov</b>	<b>5-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BACKUS</b>	<b>005</b>	<b>ANF</b>	<b>S</b>	<b>500</b>	<b>78.06</b>	<b>3-Nov</b>	<b>5-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>SIRIS</b>	<b>014</b>	<b>ARHNP</b>	<b>S</b>	<b>2,000</b>	<b>6.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	ARO	B	35,000	35.74	23-Oct	5-Jan	1,400.00	4.0
COMMISSUM CAPITAL	067	AVZ	B	20,000	23.47	29-Dec	12-Jan	1,000.00	5.0
DEEPHAVEN	031	AVZ	B	15,000	23.61	29-Dec	12-Jan	750.00	5.0
AMBER CAPITAL	046	BBX	SS	4,100	13.51	n/a	n/a	164.00	4.0
CASTLEROCK	040	BDK	SS	18,500	82.17	n/a	n/a	740.00	4.0
SANDLER CAPITAL	038	BEN	B	60,000	120.28	9-Nov	12-Jan	3,600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		BID	B	40,000	32.97	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	BIG	B	10,000	25.48	16-Nov	5-Jan	400.00	4.0
INTEGRITY CAPITAL MGMT	039	BKC	B	5,000	21.04	n/a	21-Dec	150.00	3.0
BALYASNY ASSET MGMT	044	BLK	B	5,000	169.31	16-Oct	12-Jan	250.00	5.0
WHALE ROCK CAP	030	BONT	B	60,000	37.87	23-Oct	5-Jan	1.51	0.0
LEDDY	035	BOOT	S	700	13.21	n/a	n/a	0.00	0.0
BUCK	015	CAH	S	500	66.64	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	238	CBI	S	54,200	26.49	n/a	n/a	2,710.00	5.0
BUCK CAPITAL MGMT	001	CBK	B	230,000	20.75	11-Dec	5-Jan	9,200.00	4.0
BUCK	015	CBM	B	1,000	22.44	n/a	n/a	0.00	0.0
FORTRESS CAPITAL	040	CCL	B	25,000	51.23	n/a	26-Jan	1,250.00	5.0
THOMSON HORSTMAN BRYANT	040	CENT	S	20,000	47.88	8-Dec	4-Jan	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	S	90,000	75.74	6-Dec	6-Dec	4,500.00	5.0
BUCK CAPITAL MGMT	001	CLE	S	2,850	34.55	3-Nov	5-Jan	114.00	4.0
Ⓐ BUCK CAPITAL MGMT		CLE	S	25,000	34.38	3-Nov	5-Jan	non-brg	5.0
Ⓐ BUCK CAPITAL MGMT		CMRG	B	40,000	13.41	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		COH	S	60,000	45.54	7-Dec	7-Dec	non-brg	5.0
ß BUCK CAPITAL MGMT		COLM	C	25,000	57.21	n/a	n/a	non-brg	5.0
BUCK	015	COO	B	500	51.52	n/a	n/a	0.00	0.0
BACKUS	005	CPNLQ	S	3,000	1.66	n/a	1-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		CROX	B	60,000	47.92	n/a	n/a	non-brg	5.0
WASHINGTON ASSET	048	CWCO	S	3,777	23.85	n/a	n/a	188.85	5.0
SAILFISH	037	C	SS	20,000	54.48	11-Jan	11-Jan	1,000.00	5.0
J L F ASSET MGMT	039	DBRN	S	50,000	23.50	n/a	n/a	2,000.00	4.0
Õ Glenn Redemann		DELL	B	80	0.05	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DKS	SS	30,000	52.29	n/a	n/a	non-brg	5.0
WEISS PECK	040	DSW	SS	2,224	39.29	n/a	n/a	88.96	4.0
BACKUS	005	DSW	S	500	39.25	n/a	n/a	0.00	0.0
BACKUS	005	EBHI	S	2,000	9.18	n/a	n/a	0.00	0.0
GLICK	059	EDA	B	1,000	10.62	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	B	4,400	41.18	21-Sep	5-Dec	176.00	4.0
ß BUCK CAPITAL MGMT		EMR	C	25,000	44.18	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	EVVV	S	1,000	18.04	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FDO	C	30,100	30.22	3-Nov	5-Jan	non-brg	5.0
⚡ BUCK CAPITAL MGMT		FDO	C	50,000	30.16	3-Nov	5-Jan	non-brg	2.0
BUCK CAPITAL MGMT	001	FD	B	50,000	39.28	9-Nov	5-Jan	2,000.00	4.0
COUGAR TRADING	044	FD	B	20,000	39.15	9-Nov	5-Jan	1,000.00	5.0
BALYASNY ASSET MGMT	044	FII	B	30,000	34.73	n/a	12-Jan	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		FL	S	10,000	22.13	n/a	7-Dec	non-brg	5.0
NEEDHAM CAP	067	FOSL	SS	5,000	23.41	15-Nov	15-Nov	200.00	4.0
⚡ BUCK CAPITAL MGMT		FRED	C	20,000	12.77	30-Nov	5-Jan	non-brg	5.0
MAZAMA CAPITAL MGMT.	035	GHL	S	400	76.00	n/a	n/a	16.00	4.0
BONANZA PARTNERS	031	GIII	SS	11,200	21.07	n/a	n/a	560.00	5.0
⚡ BUCK CAPITAL MGMT		GIII	B	5,000	20.95	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		GIL	B	128,700	51.92	n/a	n/a	non-brg	5.0
BROMPTON CROSS	036	GLW	S	50,000	19.44	n/a	20-Dec	2,000.00	4.0
BELMONT GLOBAL ADV	248	GRS	B	10,000	16.04	n/a	n/a	500.00	5.0
SIRIS	014	HAR	S	1,000	103.06	n/a	n/a	0.00	0.0
HERMES	048	HA	S	10,000	5.88	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J L F ASSET MGMT	039	HIBB	B	10,400	32.88	n/a	n/a	416.00	4.0
<b>SIRIS</b>	<b>014</b>	<b>IACI</b>	<b>S</b>	<b>2,000</b>	<b>37.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ICON</b>	<b>S</b>	<b>10,000</b>	<b>20.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>BACKUS</b>	<b>005</b>	<b>ICON</b>	<b>S</b>	<b>1,000</b>	<b>20.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>INTC</b>	<b>B</b>	<b>101,600</b>	<b>21.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>INTC</b>	<b>B</b>	<b>25,000</b>	<b>22.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
RIVER RUN MGMT	031	ITCD	B	17,000	2.56	n/a	n/a	510.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>20,000</b>	<b>37.78</b>	<b>n/a</b>	<b>20-Dec</b>	<b>800.00</b>	<b>4.0</b>
J L F ASSET MGMT	039	JCP	S	800	78.45	10-Nov	5-Jan	32.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>JMBA</b>	<b>B</b>	<b>1,000</b>	<b>10.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION PARTNERS	249	JWN	B	10,000	54.06	11-Dec	5-Jan	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>B</b>	<b>50,000</b>	<b>23.83</b>	<b>n/a</b>	<b>3-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
VARDON PARTNERS	035	KFT	SS	10,000	35.94	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KMT</b>	<b>C</b>	<b>10,000</b>	<b>58.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>GAULT</b>	<b>063</b>	<b>KOG</b>	<b>B</b>	<b>5,000</b>	<b>4.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
VARDON PARTNERS	035	KR	SS	10,000	23.77	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	KSS	SS	30,000	67.52	27-Dec	5-Jan	1,200.00	4.0
<b>BACKUS</b>	<b>005</b>	<b>KSS</b>	<b>S</b>	<b>1,000</b>	<b>68.06</b>	<b>27-Dec</b>	<b>5-Jan</b>	<b>0.00</b>	<b>0.0</b>
IRON HORSE CAPITAL MGMT	038	LVLIT	S	200,000	6.74	18-Oct	12-Jan	6,000.00	3.0
SAILFISH	037	MA	SS	5,000	106.52	n/a	n/a	250.00	5.0
CIRCLE T PART	035	MCD	B	60,000	44.37	12-Oct	12-Jan	2,400.00	4.0
GALLEON MGMT LP	033	MNT	S	13,794	51.25	n/a	n/a	689.70	5.0
UBS O'CONNOR/TOM LEDDY	035	MWV	B	55,000	29.29	8-Jan	16-Jan	2,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>2,300</b>	<b>42.44</b>	<b>n/a</b>	<b>n/a</b>	<b>92.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>C</b>	<b>40,000</b>	<b>42.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>NEXC</b>	<b>B</b>	<b>75,000</b>	<b>8.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>NEXT</b>	<b>SS</b>	<b>10,000</b>	<b>11.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>NLS</b>	<b>B</b>	<b>50,000</b>	<b>15.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
CENTURION PARTNERS	249	OATS	B	30,000	14.78	n/a	n/a	1,500.00	5.0
<b>BARR</b>	<b>096</b>	<b>ONNN</b>	<b>C</b>	<b>1,500</b>	<b>8.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAILFISH	037	PCAR	B	10,000	68.98	n/a	n/a	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>PFE</b>	<b>B</b>	<b>700</b>	<b>26.80</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOOMIS SALES/BOSTON	036	PG	S	132,845	64.73	15-Dec	9-Jan	5,313.80	4.0
VARDON PARTNERS	035	PG	S	20,000	64.99	15-Dec	9-Jan	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		PH	C	10,000	78.02	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		PLCE	S	75,000	58.60	n/a	5-Jan	non-brg	5.0
FIRST NEW YORK LEDDY	035	POOL	B	10,000	36.25	n/a	n/a	600.00	6.0
⌘ BUCK CAPITAL MGMT		PTT	B	100,000	7.71	n/a	n/a	non-brg	4.0
A.I.M. ADVISORS INC	031	PVH	B	15,000	53.90	22-Nov	22-Nov	600.00	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	30,000	53.95	22-Nov	22-Nov	non-brg	4.0
ZOLIDIS	011	RCKY	S	500	16.59	n/a	n/a	0.00	0.0
LOOMIS SALES/BOSTON	036	RGR	S	14,000	9.50	n/a	n/a	280.00	2.0
BRUNNER	012	RJET	S	2,000	18.43	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	50,000	82.44	7-Dec	8-Jan	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		ROST	C	30,000	32.94	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		ROST	C	4,900	32.31	n/a	n/a	non-brg	5.0
WEISS PECK	040	RVI	B	6,100	19.24	n/a	n/a	244.00	4.0
BACKUS	005	RVI	S	2,000	19.27	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SHOO	B	20,000	34.80	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		SHOO	C	8,600	34.70	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		SHOO	SS	8,600	34.81	n/a	n/a	non-brg	0.0
MFP INVESTORS	032	SKS	S	25,000	18.55	n/a	n/a	1,250.00	5.0
ß BUCK CAPITAL MGMT		SKX	S	5,000	35.23	n/a	12-Jan	non-brg	5.0
ß BUCK CAPITAL MGMT		SUNW	S	317,200	6.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		SUNW	S	500,000	6.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		SUNW	S	500,000	6.07	n/a	n/a	non-brg	3.0
CAPITAL GROWTH MGMT.	241	TIE	B	30,000	29.42	n/a	n/a	1,500.00	5.0
BACKUS	005	TYC	B	2,000	31.65	2-Oct	15-Nov	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	WFMI	B	80,000	45.74	n/a	n/a	3,200.00	4.0
ARIENCE CAPITAL	036	WMT	B	20,380	47.64	5-Oct	5-Jan	1,019.00	5.0
FORTRESS CAPITAL	040	WMT	B	100,000	47.57	5-Oct	5-Jan	5,000.00	5.0
J L F ASSET MGMT	039	WMT	S	250,000	47.32	5-Oct	5-Jan	10,000.00	4.0
SSI INVESTORS	048	WPI	SS	75,000	25.98	11-Jan	11-Jan	3,000.00	4.0
J L F ASSET MGMT	039	WRNC	S	26,000	25.30	2-Nov	12-Jan	1,040.00	4.0
PRESIDIO	033	XLK	B	12,500	24.02	n/a	n/a	500.00	4.0
LEDDY	035	XOHO	B	3,500	4.07	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ZQK	S	100,000	15.13	8-Sep	11-Jan	non-brg	5.0



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**TOTAL (Trade Date):**

**103,695.82**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/10	GAULT	063		S	45,000	93.00	n/a	n/a	0.00 0.0
AO,CXL	01/10	GAULT	063		S	45,000	93.00	n/a	n/a	0.00 0.0
AO,CRT	01/09	NCM CAPITAL MGMT	035	CLMS	B	6,500	26.27	2-Nov	12-Jan	325.00 5.0
AO,CXL	01/09	NCM CAPITAL MGMT	035	CLMS	B	6,500	26.27	2-Nov	12-Jan	325.00 5.0
AO,CRT	01/11	WEISS PECK	040	DSW	SS	576	39.10	n/a	n/a	23.04 4.0
AO,CXL	01/11	WEISS PECK	040	DSW	SS	578	39.10	n/a	n/a	0.23 0.0
AO,	01/11	PLATTE RIVER CAPITAL	035	EMC	B	7,600	14.37	n/a	n/a	304.00 4.0
AO,CXL	01/11	PLATTE RIVER CAPITAL	035	EMC	B	1,500	14.37	n/a	n/a	60.00 4.0
AO,CRT	01/11	NEEDHAM CAP	067	FOSL	SS	10,500	23.38	15-Nov	15-Nov	420.00 4.0
AO,CXL	01/11	NEEDHAM CAP	067	FOSL	SS	10,500	23.38	15-Nov	15-Nov	525.00 5.0
AO,CRT	01/11	RIVER RUN MGMT	031	ITCD	B	16,500	2.56	n/a	n/a	495.00 3.0
AO,CXL	01/11	RIVER RUN MGMT	031	ITCD	B	16,500	2.56	n/a	n/a	825.00 5.0
AO,CRT	01/09	BRUNNER	012	RJET	B	2,000	18.16	n/a	n/a	0.00 0.0
AO,CXL	01/09	BRUNNER	012	RJET	B	2,000	18.16	n/a	n/a	0.00 0.0
AO,CXL	01/11	BRUNNER	012	RJET	S	2,000	18.40	n/a	n/a	0.00 0.0
AO,CRT	01/11	BRUNNER	012	RJET	S	2,000	18.40	n/a	n/a	0.00 0.0
AO,CRT	01/11	HOLLIS CAPITAL	040	WPI	SS	10,000	26.03	11-Jan	11-Jan	500.00 5.0
AO,CXL	01/11	HOLLIS CAPITAL	040	WPI	SS	10,000	26.03	11-Jan	11-Jan	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>331.81</b>

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TOTAL (Trade Date):	103,695.82
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TOTAL (AO, CXL, CRT):	331.81
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TOTAL (RUN DATE) / NFS:	104,027.63
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MRI Securities with Trade Activity on 12-Jan.
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AMG
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MRI Securities without Trade Activity on 12-Jan.
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CVC, MER, WDR, WPL
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BRG comm. as a % of BCM Total Comm. paid.
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T-Date = 15%
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YTD = 24%
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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