



# Daily Compliance Activity Report

Trade Date: 07/02/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>ACMR</b>	<b>SS</b>	<b>20,000</b>	<b>20.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
PENN CAPITAL MGMT	033	AMG	B	3,780	130.21	25-Apr	25-Jun	151.20	4.0
PHILADELPHIA FINANCIAL	033	AN	SS	39,500	22.53	n/a	27-Apr	1,975.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>BBI</b>	<b>C</b>	<b>2,500</b>	<b>4.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAVU CAP ADV	028	BBY	SS	9,500	47.01	1-May	27-Jun	475.00	5.0
<b>BUCK</b>	<b>015</b>	<b>BG</b>	<b>S</b>	<b>500</b>	<b>85.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRIME LOGIC ADV	039	BIG	SS	3,700	30.29	9-Mar	7-Jun	185.00	5.0
WHALE ROCK CAP	030	BONT	B	87,763	40.85	25-May	8-Jun	3,510.52	4.0
WHITE PINE CAPITAL	030	BONT	B	800	41.04	25-May	8-Jun	40.00	5.0
PENN CAPITAL MGMT	033	BRL	B	10,165	50.85	9-May	2-Jul	406.60	4.0
BECK MACK & OLIVER LLC	068	BSX	B	3,000	15.47	n/a	22-Apr	150.00	5.0
PENN CAPITAL MGMT	033	CAKE	B	16,625	24.49	24-Apr	24-Apr	665.00	4.0
<b>SIRIS</b>	<b>013</b>	<b>CALPINE CORP</b>	<b>S</b>	<b>10,000</b>	<b>126.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>CALPINE CORPB</b>		<b>10,000</b>	<b>126.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CHIC</b>	<b>B</b>	<b>10,000</b>	<b>26.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>

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DE SHAW	040	CNXT	B	400,000	1.39	n/a	n/a	12,000.00	3.0
SENTINAL CAPITAL	067	COH	S	7,000	47.26	23-Feb	25-Apr	350.00	5.0
<b>BUCK</b>	<b>015</b>	<b>CYTC</b>	<b>S</b>	<b>2,000</b>	<b>43.88</b>	<b>21-May</b>	<b>29-Jun</b>	<b>0.00</b>	<b>0.0</b>
U.S.TRUST COMPANY	012	C	B	55,000	51.54	n/a	14-Jun	2,475.00	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>S</b>	<b>41,000</b>	<b>20.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>S</b>	<b>59,000</b>	<b>20.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>SS</b>	<b>140,000</b>	<b>36.44</b>	<b>n/a</b>	<b>n/a</b>	<b>5,600.00</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	FL	B	28,800	21.79	24-May	21-Jun	1,440.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>33.67</b>	<b>21-Jun</b>	<b>21-Jun</b>	<b>400.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>GIL</b>	<b>B</b>	<b>700</b>	<b>34.09</b>	<b>21-Jun</b>	<b>21-Jun</b>	<b>0.00</b>	<b>0.0</b>
FRIESS MGMT	042	GME	B	203,000	39.95	n/a	n/a	9,135.00	4.5
<b>Õ Henry Ngan</b>		<b>GWW</b>	<b>S</b>	<b>200</b>	<b>93.95</b>	<b>31-May</b>	<b>12-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>5,000</b>	<b>39.10</b>	<b>n/a</b>	<b>4-Jun</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>5,000</b>	<b>39.23</b>	<b>n/a</b>	<b>4-Jun</b>	<b>non-brg</b>	<b>5.0</b>
HARVEST MGMT	039	HD	B	50,000	39.40	n/a	20-Jun	2,500.00	5.0
TRIVIUM CAP MGMT	028	HLT	C	125,000	33.58	n/a	n/a	5,000.00	4.0
GOLDMAN SACHS ASSET MGMT	044	HNT	S	60,000	53.28	n/a	n/a	1,200.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	IAI	SS	25,000	55.19	n/a	n/a	1,250.00	5.0
OGORMAN	146	KEGS	B	1,400	18.60	n/a	21-Jun	0.00	0.0
ZOLIDIS	011	KMX	B	100	25.50	n/a	10-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		LAVA	S	20,000	14.30	n/a	n/a	non-brg	5.0
SUN AMERICA ASSET MGMT	030	LEH	S	7,100	73.95	12-Jun	14-Jun	355.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	30,000	37.21	n/a	2-May	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		LTM	B	10,000	53.09	n/a	n/a	non-brg	5.0
FARALLON CAP MGMT	040	LVS	B	30,000	75.80	n/a	n/a	1,200.00	4.0
ROTHSCHILD ASSET	040	MPW	S	60,360	13.46	n/a	n/a	2,716.20	4.5
⌘ BUCK CAPITAL MGMT		MRU+TV	B	100	0.85	n/a	n/a	non-brg	100.0
SANDLER O'NEILL ASSET	031	MS	S	18,700	71.84	2-Jul	2-Jul	935.00	5.0
⌘ BUCK CAPITAL MGMT		M	SS	15,000	39.77	17-May	8-Jun	non-brg	5.0
LEDDY	035	NLS	S	600	12.05	n/a	n/a	0.00	0.0
PENN CAPITAL MGMT	033	OCR	B	24,870	36.45	n/a	29-Jun	994.80	4.0
SYSTEMATIC FINANCIAL MGT	035	PAG	B	15,000	21.42	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PERY	B	37,000	32.51	n/a	n/a	non-brg	1.0
BUCK	015	PNRA	C	700	45.84	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	25,000	31.64	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	PTT	B	10,000	7.65	n/a	n/a	400.00	4.0
KENNEDY CAPITAL	046	RDEN	B	37,000	24.22	4-May	4-May	1,480.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	15,000	98.95	21-Jun	27-Jun	600.00	4.0
THE JAY GOLDMAN	034	ROH	B	5,000	54.83	12-Feb	23-Apr	200.00	4.0
WYCKOFF	013	SWN	S	500	44.21	n/a	2-Jul	0.00	0.0
BARR	096	SYNP	B	2,700	7.03	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TGT	SS	30,000	63.43	n/a	7-Jun	non-brg	5.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	27.55	21-Mar	8-Jun	800.00	4.0
MORRISON & FRASIER	040	TJX	B	91,000	27.49	21-Mar	8-Jun	4,550.00	5.0
BEAR STEARNS ASSET MGMT.	033	TLB	SS	75,000	25.18	n/a	29-Jun	3,000.00	4.0
BUCK CAPITAL MGMT	001	TLB	SS	30,000	25.16	n/a	29-Jun	1,200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	TLB	S	10,000	25.15	n/a	29-Jun	375.00	3.8
COUGAR TRADING	044	TWB	S	5,000	44.79	2-Jul	2-Jul	250.00	5.0
DELTEC ASSET MGMT.	040	TWB	S	11,000	45.10	2-Jul	2-Jul	550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
UBS O'CONNOR/TOM LEDDY	035	WB	B	60,000	51.95	n/a	n/a	1,800.00	3.0
⌘ BUCK CAPITAL MGMT		WRNC	S	10,000	39.67	20-Jun	20-Jun	non-brg	5.0
⌘ BUCK CAPITAL MGMT		WRNC	S	40,000	40.18	20-Jun	20-Jun	non-brg	5.0
<b>TOTAL (Trade Date) :</b>								<b>73,264.32</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/29	METROPOLITAN CAPITAL	044	FL	B	47,700	21.82	24-May	21-Jun	1.09 0.0
AO,CRT	06/29	METROPOLITAN CAPITAL	044	FL	B	47,700	21.82	24-May	21-Jun	2385.00 5.0
AO,CRT	06/29	MATTHES CAPITAL MGMT	033	HBI	B	26,000	27.05	n/a	n/a	1040.00 4.0
AO,CXL	06/29	MATTHES CAPITAL MGMT	033	HBI	B	26,000	27.05	n/a	n/a	1040.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,383.91</b>

TOTAL (Trade Date) :	73,264.32
TOTAL (AO, CXL, CRT) :	2,383.91

<b>TOTAL (RUN DATE) / NFS:</b>	<b>75,648.23</b>
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MRI Securities with Trade Activity on 2-Jul.  
**MS, TWB**

MRI Securities without Trade Activity on 2-Jul.  
**NONE**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 48%  
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