



Daily Compliance Activity Report

Trade Date: 07/19/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	AAP	S	188,147	39.12	n/a	n/a	9,407.35	5.0
COUGAR TRADING	044	AEO	S	5,000	27.50	10-Jul	13-Jul	250.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	25,000	72.92	12-Jul	13-Jul	1,000.00	4.0
ZOLIDIS	011	ANF	B	150	73.37	12-Jul	13-Jul	0.00	0.0
MKT MAKER	099	ASPM	S	34	15.17	n/a	n/a	0.00	0.0
CARLYLE BLUE WAVE PR MG	224	AVP	S	12,890	40.00	2-May	17-Jul	644.50	5.0
INDEPENDENCE INV	039	AYE	S	13,300	56.25	n/a	n/a	532.00	4.0
BUCK	015	BBW	B	1,450	24.93	15-Jun	15-Jun	0.00	0.0
CAPITAL GROWTH MGMT.	241	BHI	B	50,000	82.74	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	B	2,000	92.07	n/a	n/a	100.00	5.0
COUGAR TRADING	044	BONT	S	5,000	32.92	6-Jul	13-Jul	250.00	5.0
JENNISON	032	BRCM	B	500,600	33.14	n/a	n/a	20,024.00	4.0
JACOB	068	BRNC	S	1,200	15.75	n/a	n/a	0.00	0.0
SINCLAIR	031	BSCAK	B	14	7.40	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	BYD	B	7,052	51.58	n/a	27-Apr	352.60	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	CBS	B	30,000	34.88	n/a	n/a	1,500.00	5.0
LEDDY	035	CHCG	B	1,500	7.20	n/a	n/a	0.00	0.0
PALMYRA CAPITAL	048	CHTR	S	240,000	4.80	n/a	n/a	4,800.00	2.0
INDEPENDENCE INV	039	CPWR	S	17,400	10.64	n/a	n/a	696.00	4.0
CROWLEY	061	CRMMX	S	829	34.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CWTR	B	10,000	22.00	n/a	n/a	non-brg	5.0
COLUMBIA PARTNERS	028	CWTR	B	30,533	22.01	n/a	n/a	1,221.32	4.0
CROWLEY	061	CXE	B	10,000	6.29	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	S	10,000	21.22	n/a	n/a	non-brg	5.0
BUCK	015	DDR	B	300	53.75	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	DFS	S	12,850	26.49	n/a	n/a	514.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	5,000	37.68	7-May	7-Jun	200.00	4.0
Ö Glenn Redemann		DSW	B	3	0.49	7-May	7-Jun	0.00	0.0
Ö Glenn Redemann		DSW	B	3	0.66	7-May	7-Jun	0.00	0.0
BUCK	015	DVN	B	500	82.75	18-Jul	18-Jul	0.00	0.0
BUCK	015	EPP	S	600	155.00	n/a	n/a	0.00	0.0
JACOB	068	ETN	S	100	102.35	16-Jul	16-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	EVST	S	100	33.07	n/a	n/a	0.00	0.0
MKT MAKER	099	EVST	B	100	32.90	n/a	n/a	0.00	0.0
CAXTON PART	040	EXC	SS	32,498	82.08	n/a	n/a	1,299.92	4.0
CAXTON PART	040	EXC	S	17,502	82.02	n/a	n/a	700.08	4.0
ß BUCK CAPITAL MGMT		FL	B	10,000	23.16	24-May	21-Jun	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	B	10,000	23.17	24-May	21-Jun	non-brg	5.0
ß BUCK CAPITAL MGMT		FL	B	250,000	22.98	24-May	21-Jun	non-brg	5.0
ß BUCK CAPITAL MGMT		FL	B	50,000	22.62	24-May	21-Jun	non-brg	2.0
ß BUCK CAPITAL MGMT		FL	B	50,000	22.92	24-May	21-Jun	non-brg	5.0
ß BUCK CAPITAL MGMT		GPI	S	35,000	38.63	27-Apr	13-Jul	non-brg	5.0
ß BUCK CAPITAL MGMT		GPI	S	42,500	38.50	27-Apr	13-Jul	non-brg	5.0
ß BUCK CAPITAL MGMT		GYMB	B	10,000	40.04	n/a	13-Jul	non-brg	5.0
CAPITAL GROWTH MGMT.	241	HANS	B	3,000	43.56	n/a	n/a	150.00	5.0
LEDDY	035	HBI	C	1,000	26.05	n/a	n/a	0.00	0.0
MKT MAKER	099	HOFF	B	60	19.80	n/a	n/a	0.00	0.0
U.S.TRUST COMPANY	012	INTC	B	9,000	25.25	n/a	n/a	405.00	4.5
GARX	030	IVZ	B	14,900	26.84	10-Jul	18-Jul	596.00	4.0
LEDDY	035	JADE	B	1,500	9.21	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	JCI	B	50,000	120.07	19-Jul	19-Jul	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	JEF	B	31,900	30.01	n/a	n/a	1,595.00	5.0
Ⓕ BUCK CAPITAL MGMT		JOSB	S	40,000	38.80	n/a	n/a	non-brg	5.0
AVESTA CAP	229	KR	S	50,000	28.95	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	40,000	66.56	14-Jun	12-Jul	1,600.00	4.0
COUGAR TRADING	044	KSS	B	10,000	66.52	14-Jun	12-Jul	500.00	5.0
HIGHBRIDGE CAPITAL	038	KSS	SS	14,000	66.43	14-Jun	12-Jul	700.00	5.0
Ⓕ BUCK CAPITAL MGMT		KV/A	B	40,000	28.76	n/a	n/a	non-brg	5.0
KORMAN	003	KVA	B	2,300	28.56	n/a	n/a	0.00	0.0
SCHWARZWAL	N18	KVA	B	500	28.50	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	LH	SS	10,000	80.35	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	37.24	n/a	12-Jul	400.00	4.0
MKT MAKER	099	MCCC	S	41	10.34	4-Jun	19-Jul	0.00	0.0
SNYDER CAPITAL	038	MGRC	B	4,700	33.40	n/a	n/a	188.00	4.0
Ⓕ BUCK CAPITAL MGMT		MIPS	S	20,000	10.00	n/a	n/a	non-brg	5.0
Ⓕ BUCK CAPITAL MGMT		MRU+TV	S	20	0.70	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	M	B	60,000	42.42	13-Jul	13-Jul	2,400.00	4.0
KENNEDY CAPITAL	046	NHWK	S	25,000	20.00	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö Glenn Redemann		NMX	B	3	1.32	n/a	n/a	0.00	0.0
Ö Glenn Redemann		NMX	B	3	2.47	n/a	n/a	0.00	0.0
Ö Glenn Redemann		NMX	SS	3	2.27	n/a	n/a	0.00	0.0
Ö Glenn Redemann		NMX	SS	3	3.52	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		NZ	S	10,000	15.57	n/a	n/a	non-brg	5.0
ROTHSCHILD ASSET	040	OMI	S	4,050	35.57	n/a	n/a	182.25	4.5
ß BUCK CAPITAL MGMT		PAG	S	50,000	21.15	n/a	13-Jul	non-brg	5.0
ß BUCK CAPITAL MGMT		PAG	S	50,000	21.27	n/a	13-Jul	non-brg	5.0
GARX	301	PCH	B	14,103	44.63	26-Jun	26-Jun	564.12	4.0
ß BUCK CAPITAL MGMT		PERY	B	15,000	30.81	n/a	n/a	non-brg	1.0
INDEPENDENCE INV	039	PLD	S	7,400	59.82	n/a	n/a	296.00	4.0
INDEPENDENCE INV	039	PNW	S	5,400	40.54	n/a	n/a	216.00	4.0
ß BUCK CAPITAL MGMT		PSUN	C	100,000	21.35	n/a	13-Jul	non-brg	5.0
COUGAR TRADING	044	PSUN	SS	10,000	21.48	n/a	13-Jul	500.00	5.0
COUGAR TRADING	044	PSUN	S	15,000	21.34	n/a	13-Jul	750.00	5.0
ß BUCK CAPITAL MGMT		RICK	B	15,000	9.41	n/a	n/a	non-brg	1.0
BUCK	015	RTN	S	400	55.20	n/a	n/a	0.00	0.0
OGORMAN	146	SDS	B	300	49.67	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INDEPENDENCE INV	039	SFI	S	5,300	42.73	n/a	n/a	212.00	4.0
INDEPENDENCE INV	039	SGP	S	5,100	32.15	n/a	n/a	204.00	4.0
MILLENIUM PARTNERS	028	SIX	SS	30,000	5.66	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	SKX	S	100,000	29.47	n/a	13-Mar	4,000.00	4.0
COUGAR TRADING	044	SKX	S	10,000	29.33	n/a	13-Mar	500.00	5.0
WILLIAM BLAIR	031	SLAB	B	60,330	37.25	n/a	n/a	2,413.20	4.0
PRINCIPLE CAPITAL	040	SMG	SS	70,000	43.57	9-Jul	19-Jul	2,800.00	4.0
WHITE PINE CAPITAL	030	SMG	S	12,900	43.41	9-Jul	19-Jul	645.00	5.0
INDEPENDENCE INV	039	SPG	S	7,300	94.76	n/a	n/a	292.00	4.0
ROTHSCHILD ASSET	040	STE	S	26,160	30.42	n/a	22-Apr	1,177.20	4.5
INDEPENDENCE INV	039	STI	S	6,200	87.23	n/a	n/a	248.00	4.0
BELMONT GLOBAL ADV	248	SYNL	B	5,000	28.15	n/a	n/a	250.00	5.0
CROWLEY	061	TACT	S	3,500	6.18	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	TGI	B	40,000	71.61	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		TGT	C	20,000	68.97	n/a	12-Jul	non-brg	5.0
SOCIETY GENERALE	040	TIN	S	5,000	65.75	14-Jun	14-Jun	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	TLB	C	10,000	24.44	n/a	17-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	43.40	2-Jul	2-Jul	400.00	4.0
ß BUCK CAPITAL MGMT		TWTC	B	20,000	20.58	4-May	19-Jul	non-brg	5.0
ß BUCK CAPITAL MGMT		URBN	B	10,000	21.94	2-Apr	16-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		URBN	B	40,000	21.94	2-Apr	16-Jul	non-brg	5.0
HIGHBRIDGE CAPITAL	038	URS	B	10,000	55.66	n/a	n/a	500.00	5.0
MSD CAPITAL	036	USTR	S	8,600	71.00	23-May	23-May	430.00	5.0
MKT MAKER	099	USTR	S	2	71.00	23-May	23-May	0.00	0.0
BUCK	015	WY	B	900	83.95	13-Jul	13-Jul	0.00	0.0
ZOLIDIS	011	ZUMZ	B	250	39.80	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							81,155.54		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/18	YORK CAPITAL	036	AA	S	400,000	46.38	n/a	n/a	20000.00 5.0
AO,CXL	07/18	YORK CAPITAL	036	AA	S	399,600	43.38	n/a	n/a	19980.00 5.0
AO,CRT	07/18	LISTED ERR	099	BLK	S	5,000	166.80	18-Jul	18-Jul	0.00 0.0
AO,CXL	07/18	LISTED ERR	099	BLK	S	5,000	167.29	18-Jul	18-Jul	0.00 0.0
AO,	07/18	COUGAR TRADING	044	KSS	B	5,000	66.77	14-Jun	12-Jul	250.00 5.0
AO,	07/18	MKT MAKER	099	PFCB	SS	32	36.35	24-Apr	24-Apr	0.00 0.0
AO,	07/18	WEINTRAUB CAPITAL MGT.	040	PFCB	SS	500	36.35	24-Apr	24-Apr	25.00 5.0
TOTAL (AO, CXL, CRT) :										295.00

TOTAL (Trade Date):	81,155.54
TOTAL (AO, CXL, CRT):	295.00

TOTAL (RUN DATE) / NFS:	81,450.54
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MRI Securities with Trade Activity on 19-Jul.

JCI

MRI Securities without Trade Activity on 19-Jul.

CBE, CYH, HON, PKG

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

T-Date = 19%

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