



# Daily Compliance Activity Report

Trade Date: 03/28/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	ABG	B	30,300	13.81	25-Jan	22-Feb	969.60	3.2
THIRD COAST CAPITAL	035	ACN	SS	15,000	36.53	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		AEO+DD	C	400	0.20	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		ANF+EP	SS	1,500	2.34	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	ANF	B	80,000	73.25	10-Jan	10-Mar	3,200.00	4.0
B BUCK CAPITAL MGMT		ANF	B	80,000	74.32	10-Jan	10-Mar	non-brg	4.0
COUGAR TRADING	044	ANF	B	20,000	72.66	10-Jan	10-Mar	1,000.00	5.0
COUGAR TRADING	044	AN	SS	10,000	15.21	n/a	8-Feb	500.00	5.0
COLUMBUS CIRCLE	036	APOL	S	60,000	42.03	n/a	n/a	2,084.32	3.0
PRINCIPLE CAPITAL	040	APOL	SS	55,200	41.90	n/a	n/a	2,208.00	4.0
TRELLUS PARTNERS LP	028	ARGN	B	10,000	14.70	n/a	25-Feb	500.00	5.0
LEDDY	035	ARGN	B	1,000	14.45	n/a	25-Feb	0.00	0.0
MAGUIRE	039	AXE	B	100	63.72	28-Mar	28-Mar	0.00	0.0
B BUCK CAPITAL MGMT		BBY	C	50,000	40.77	n/a	27-Jul	non-brg	4.0
PRINCIPLE CAPITAL	040	BID	S	39,800	28.24	n/a	n/a	1,194.00	3.0
B BUCK CAPITAL MGMT		BONT	S	25,000	5.54	4-Jan	12-Mar	non-brg	2.5

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		BONT	S	71,293	5.41	4-Jan	12-Mar	non-brg	1.0
	GLICK	059	BSC	S	200	10.77	17-Mar	17-Mar	0.00	0.0
	BUCK	015	BVDSZ	B	20	1.35	n/a	n/a	0.00	0.0
	PRINCIPLE CAPITAL	040	CBS	SS	130,000	22.04	n/a	n/a	3,900.00	3.0
	WHEELER	008	CHP	B	10,000	5.00	n/a	n/a	0.00	0.0
	LEDDY	035	CLMS	C	500	15.92	13-Feb	24-Mar	0.00	0.0
	COUGAR TRADING	044	COH	B	5,000	29.73	24-Oct	14-Mar	250.00	5.0
	BUCK	015	COP	B	500	75.77	n/a	n/a	0.00	0.0
	MERRILL ASSET	032	CRR	B	16,700	39.06	13-Feb	26-Mar	751.50	4.5
	STRAUSS ASSET MGMT	040	CSGP	B	5,000	42.89	n/a	n/a	200.00	4.0
	ARIENCE CAPITAL	036	DKS	SS	60,800	26.32	n/a	14-Mar	3,040.00	5.0
	METROPOLITAN CAPITAL	044	DSW	B	51,300	13.64	28-Mar	28-Mar	2,052.00	4.0
	BUCK	015	DVNQT	S	5	4.40	n/a	n/a	0.00	0.0
	MILLENIUM PARTNERS	028	EBAY	B	20,000	30.69	n/a	n/a	1,000.00	5.0
ß	BUCK CAPITAL MGMT		FLDR	C	10,000	6.01	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	FL	B	100,000	11.30	n/a	12-Mar	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		FOSL	B	30,000	30.75	13-Nov	10-Mar	non-brg	4.0
MAGUIRE	039	FXEUT	B	10	2.90	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GES+FI	SS	1,000	2.45	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		GES	B	1,000	38.79	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GES	B	49,000	38.96	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GES	B	50,000	39.65	n/a	n/a	non-brg	4.0
BENCHMARK	028	GM	SS	5,000	18.68	3-Jan	20-Mar	250.00	5.0
COLONIAL FUND LLC	036	GM	SS	25,000	18.97	3-Jan	20-Mar	1,250.00	5.0
ACK ASSET	028	GNTX	SS	12,000	17.16	25-Jan	29-Jan	500.00	4.5
COUGAR TRADING	044	GPS	SS	15,000	19.63	n/a	7-Mar	750.00	5.0
BUCK	015	HD	SS	500	27.79	n/a	27-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		ICON	B	10,000	17.60	n/a	n/a	non-brg	4.0
CROWN ADVISORS	045	IFLO	B	2,000	14.02	n/a	n/a	100.00	5.0
STRAUSS ASSET MGMT	040	IWO	S	5,000	72.87	n/a	n/a	200.00	4.0
N STRATTON	014	IYR	C	100	64.80	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCP	SS	10,000	37.00	4-Jan	7-Mar	500.00	5.0
WOOSTER CAPITAL	035	JCP	S	75,000	35.90	4-Jan	7-Mar	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK</b>	<b>015</b>	<b>JWN</b>	<b>C</b>	<b>1,000</b>	<b>33.14</b>	<b>31-Mar</b>	<b>10-Mar</b>	<b>0.00</b>	<b>0.0</b>
BENNETT LAWRENCE	045	KSS	B	10,300	42.88	4-Jan	7-Mar	463.50	4.5
COUGAR TRADING	044	KSS	B	5,000	42.26	4-Jan	7-Mar	250.00	5.0
COUGAR TRADING	044	KSS	SS	10,000	42.00	4-Jan	7-Mar	500.00	5.0
THIRD COAST CAPITAL	035	KSS	B	5,000	42.71	4-Jan	7-Mar	250.00	5.0
TYEE/TYGH	035	KVA	S	50,000	25.25	n/a	n/a	2,000.00	4.0
GENERAL ELECTIC CO	033	LCAPA	S	20,247	15.85	n/a	n/a	404.94	2.0
<b>LUCHANSKY3</b>	<b>036</b>	<b>LEH</b>	<b>B</b>	<b>300</b>	<b>37.91</b>	<b>19-Mar</b>	<b>19-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>C</b>	<b>50,000</b>	<b>18.18</b>	<b>n/a</b>	<b>17-Mar</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	LM	B	15,000	55.31	24-Mar	28-Mar	750.00	5.0
COUGAR TRADING	044	LM	S	15,000	54.51	24-Mar	28-Mar	750.00	5.0
<b>BUCK</b>	<b>015</b>	<b>LYHPD</b>	<b>B</b>	<b>30</b>	<b>0.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>LYHPF</b>	<b>S</b>	<b>30</b>	<b>2.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MCD</b>	<b>C</b>	<b>30,000</b>	<b>55.51</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE/MS OLDS	041	MDR	S	40,011	55.56	n/a	n/a	1,600.44	4.0
<b>PAKLER</b>	<b>029</b>	<b>MERSA</b>	<b>B</b>	<b>5</b>	<b>3.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HART</b>	<b>056</b>	<b>MERSA</b>	<b>B</b>	<b>5</b>	<b>3.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NATIONAL BK OF CAN	031	MER	B	20,000	40.40	18-Jan	17-Mar	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	MER	SS	20,000	40.34	18-Jan	17-Mar	800.00	4.0
MATRIX ASSET ADV.	036	MNST	B	18,200	24.50	n/a	n/a	728.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>70,000</b>	<b>22.60</b>	<b>7-Feb</b>	<b>7-Mar</b>	<b>2,800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>50,000</b>	<b>22.57</b>	<b>7-Feb</b>	<b>7-Mar</b>	<b>non-brg</b>	<b>4.0</b>
GLOBAL 56 LLC	060	NLC	B	2,500	21.35	n/a	n/a	100.00	4.0
PERRY PARTNERS	041	NVT	S	25,000	70.33	n/a	n/a	750.00	3.0
COUGAR TRADING	044	NWY	B	10,000	5.49	n/a	20-Mar	500.00	5.0
COUGAR TRADING	044	PAG	SS	5,000	19.43	6-Feb	20-Mar	250.00	5.0
HOLLIS CAPITAL	033	PCL	S	6,000	40.50	8-Jan	30-Jan	300.00	5.0
COUGAR TRADING	044	PSUN	SS	5,000	12.35	n/a	14-Mar	250.00	5.0
MERRILL ASSET	032	RL	S	12,000	57.88	7-Feb	15-Feb	540.00	4.5
TRELLUS PARTNERS LP	028	RL	SS	5,000	59.00	7-Feb	15-Feb	250.00	5.0
WAGONHOUND	048	RL	B	1,800	57.86	7-Feb	15-Feb	72.00	4.0
WAGONHOUND	048	RL	SS	1,800	59.00	7-Feb	15-Feb	72.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SHOE</b>	<b>SS</b>	<b>975</b>	<b>1.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>SKF</b>	<b>S</b>	<b>700</b>	<b>119.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SOAP</b>	<b>C</b>	<b>5,000</b>	<b>7.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SWY</b>	<b>B</b>	<b>20,000</b>	<b>28.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	SYNP	S	11,840	7.82	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	B	50,000	30.14	29-Feb	10-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	75,000	29.90	29-Feb	10-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	75,000	30.23	29-Feb	10-Mar	non-brg	1.0
⌘ BUCK CAPITAL MGMT		URQ+DG	C	400	0.15	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		URQ+FG	SS	1,000	1.15	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	VFC	B	20,000	76.36	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		VIRL	S	7,400	5.99	n/a	n/a	non-brg	1.0
GRANAHAN INV	039	WBC	B	7,800	46.00	28-Mar	28-Mar	312.00	4.0
DAVIDSON TRUST CO	028	WFC	B	1,500	29.97	n/a	n/a	135.00	9.0
DIAMONDBACK CAP MGMT	232	YHOO	B	50,000	28.52	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	ZQK	B	15,000	9.91	5-Feb	7-Mar	750.00	5.0
⌘ BUCK CAPITAL MGMT		ZUMZ	SS	50,000	15.69	n/a	n/a	non-brg	4.0
ZOLIDIS	011	ZUMZ	SS	500	15.41	n/a	n/a	0.00	0.0
<b>TOTAL (Trade Date) :</b>							<b>54,577.30</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/27	COLUMBUS CIRCLE	036	AMAT	B	96,221	20.13	n/a	n/a	3848.84 4.0
AO,CXL	03/27	COLUMBUS CIRCLE	036	AMAT	B	96,221	20.13	n/a	n/a	1924.42 2.0
AO,CRT	03/27	FARALLON CAP MGMT	040	IAI	B	215,000	38.96	n/a	n/a	6450.00 3.0
AO,CXL	03/27	FARALLON CAP MGMT	040	IAI	B	215,000	38.96	n/a	n/a	8600.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-225.58</b>

TOTAL (Trade Date) :	54,577.30
TOTAL (AO, CXL, CRT) :	-225.58

<b>TOTAL (RUN DATE) / NFS :</b>	<b>54,351.72</b>
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MRI Securities with Trade Activity on 28-Mar.  
**AXE, DSW, WBC**

MRI Securities without Trade Activity on 28-Mar.  
**AOS, ETN, FINL, GR, GWW, HRS, HSC**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 22%  
YTD = 24%





Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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