



Daily Compliance Activity Report

Trade Date: 05/05/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORWARD MGMT	033	AAPL	B	110	184.19	n/a	n/a	5.50	5.0
J COHEN	N27	AAPL	S	10	184.50	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	ABT	S	50,000	52.88	n/a	22-Apr	2,500.00	5.0
FORWARD MGMT	033	ABX	S	450	38.81	n/a	n/a	22.50	5.0
FORWARD MGMT	033	ACL	S	150	159.43	29-Apr	30-Apr	7.50	5.0
FORWARD MGMT	033	AEO	B	300	18.46	6-Mar	2-May	15.00	5.0
MERRILL ASSET	032	AEO	S	12,900	18.37	6-Mar	2-May	580.50	4.5
JP MORGAN VENTURES	046	AG	B	50,000	55.73	n/a	n/a	2,500.00	5.0
OGORMAN	046	AIDO	B	2,250	0.20	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	AMG	S	17,500	106.65	7-Apr	2-May	787.50	4.5
SUNOVA CAPITAL	031	AMG	S	10,000	104.99	7-Apr	2-May	500.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	72.80	10-Apr	2-May	250.00	5.0
B BUCK CAPITAL MGMT		ANN+RX	SS	1,200	0.70	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		ANN	SS	20,000	25.08	14-Mar	2-May	non-brg	4.0
COUGAR TRADING	044	ANN	S	10,000	25.15	14-Mar	2-May	500.00	5.0
ROTHSCHILD ASSET	040	ANR	S	42,170	55.46	n/a	n/a	1,897.65	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORWARD MGMT	033	APA	S	200	133.45	20-Mar	1-May	10.00	5.0
FORWARD MGMT	033	APOL	B	350	51.28	n/a	n/a	17.50	5.0
TRELLUS PARTNERS LP	028	ARGN	B	20,000	11.82	n/a	1-May	1,000.00	5.0
WANGER FUNDS/GREENWICH	031	ARGN	B	11,900	11.70	n/a	1-May	595.00	5.0
LEDDY	135	ARGN	B	2,000	12.75	n/a	1-May	0.00	0.0
B BUCK CAPITAL MGMT		ARO	B	130,000	32.22	28-Apr	2-May	non-brg	2.0
B BUCK CAPITAL MGMT		ARO	B	20,000	32.42	28-Apr	2-May	non-brg	1.0
B BUCK CAPITAL MGMT		ARO	B	26,900	32.50	28-Apr	2-May	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	75,000	32.55	28-Apr	2-May	non-brg	4.0
SUTERA	160	ASTI	B	1,000	14.80	n/a	n/a	0.00	0.0
RAMIUS CAP	040	AVB	S	67,400	104.05	n/a	n/a	3,370.00	5.0
BUCK	015	BACPRL	B	251,071.00		n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	BBY	S	100,000	44.52	n/a	27-Jul	4,000.00	4.0
SUNOVA CAPITAL	031	BEN	S	10,000	100.60	24-Mar	2-May	500.00	5.0
OGORMAN	046	BGS	S	2,000	9.05	n/a	n/a	0.00	0.0
PERRY PARTNERS	041	BJ	B	31,000	38.60	n/a	27-Jul	1,550.00	5.0
OGORMAN	046	BKC	S	400	28.33	1-May	2-May	0.00	0.0
SUNOVA CAPITAL	031	BLK	S	30,000	215.95	n/a	2-May	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	BMV	S	100,000	23.20	n/a	n/a	5,000.00	5.0
FORWARD MGMT	033	BWA	B	400	51.16	5-May	5-May	20.00	5.0
MAGUIRE	039	BWA	S	200	51.17	5-May	5-May	0.00	0.0
MILLER	025	BX	B	100	19.85	n/a	n/a	0.00	0.0
MILLER	025	BX	S	50	19.77	n/a	n/a	0.00	0.0
CATAPULT	040	CNI	S	24,000	53.98	n/a	n/a	1,200.00	5.0
DE SHAW	040	CSCO	B	100,000	26.28	n/a	22-Mar	4,000.00	4.0
MCCARTAN	028	DAI	C	100	78.30	n/a	n/a	0.00	0.0
GREENLIGHT CAPITAL	041	DFS	S	14,400	19.04	n/a	n/a	720.00	5.0
DIAMONDBACK CAP MGMT	232	DIS	C	100,000	33.33	n/a	n/a	5,000.00	5.0
MERRILL ASSET	032	DRI	S	10,100	36.73	n/a	15-Apr	454.50	4.5
FORWARD MGMT	033	ECA	S	175	80.92	n/a	n/a	8.75	5.0
BLUE HARBOR	036	EFX	S	61,200	38.78	n/a	n/a	3,060.00	5.0
BRIGADE CAPITAL MGMT	029	EL	SS	135,000	45.00	4-Jan	1-Apr	4,050.00	3.0
OGORMAN	046	ENDP	S	400	24.01	n/a	1-May	0.00	0.0
Õ Manny Korman		ETJ	B	1000	18.85	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	FELE	S	200	39.23	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		FL	S	80,000	12.97	2-Apr	2-Apr	non-brg	4.0
AVESTA CAP	229	FNM	S	25,000	28.60	n/a	n/a	1,250.00	5.0
FORWARD MGMT	033	FRP	S	8	9.21	n/a	n/a	0.40	5.0
BUCK CAPITAL MGMT	001	GES	B	50,000	38.65	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	30,000	25.96	30-Apr	30-Apr	non-brg	4.0
PRYLUCKI	092	GIL	B	125	25.99	30-Apr	30-Apr	0.00	0.0
MILLER	025	GLD	SS	25	85.91	n/a	n/a	0.00	0.0
FORWARD MGMT	033	GLW	B	700	27.06	n/a	29-Apr	35.00	5.0
WEINTRAUB CAPITAL MGT.	040	GM	SS	50,000	22.40	29-Apr	2-May	2,000.00	4.0
WOOSTER CAPITAL	035	GM	B	200,000	22.37	29-Apr	2-May	10,000.00	5.0
COUGAR TRADING	044	GPS	SS	10,000	18.46	n/a	2-May	500.00	5.0
⌘ BUCK CAPITAL MGMT		GSIC	S	20,000	13.55	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GSIC	S	40,000	13.62	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GYMB	S	40,000	43.45	2-Apr	2-May	non-brg	4.0
N STRATTON	014	HEMGF	B	300	4.00	n/a	n/a	0.00	0.0
CENTURION PARTNERS	255	HPQ	S	25,000	48.28	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORWARD MGMT	033	IBM	B	120	122.55	n/a	n/a	6.00	5.0
LEDDY	135	ICON	B	1,200	14.55	n/a	n/a	0.00	0.0
FORWARD MGMT	033	IGT	S	450	34.74	n/a	18-Apr	22.50	5.0
SIGMA CAPITAL ASSOCIATES	237	IMA	B	25,000	36.56	n/a	n/a	1,250.00	5.0
PHILADELPHIA FINANCIAL	033	IVZ	S	27,114	27.69	10-Apr	2-May	1,355.70	5.0
B BUCK CAPITAL MGMT		JAH	B	100,000	22.10	n/a	n/a	non-brg	4.0
KORMAN	003	JASO	B	3,000	21.30	n/a	n/a	0.00	0.0
FORWARD MGMT	033	JCI	B	225	34.78	23-Jan	16-Apr	11.25	5.0
SUNOVA CAPITAL	031	JNS	S	25,000	29.60	25-Apr	2-May	1,250.00	5.0
B BUCK CAPITAL MGMT		JOSB	B	10,000	25.26	n/a	n/a	non-brg	4.0
J L F ASSET MGMT	039	JWN	SS	75,000	35.38	31-Mar	2-May	3,000.00	4.0
CATAPULT	040	KBR	B	26,116	31.70	n/a	n/a	1,305.80	5.0
COUGAR TRADING	044	KSS	B	25,000	49.37	4-Jan	2-May	1,250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	49.58	4-Jan	2-May	250.00	5.0
CENTURION PARTNERS	255	LCC	B	100,000	8.56	n/a	n/a	5,000.00	5.0
BUCK	015	LEH	C	1,000	46.29	1-Apr	14-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LL	B	30,000	12.50	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	LM	B	1,850	63.60	24-Mar	2-May	74.00	4.0
WILLIAMS TRAD/MANHASSET	041	LM	B	10,000	62.66	24-Mar	2-May	350.00	3.5
B BUCK CAPITAL MGMT		LTD+RW	SS	1,000	1.02	n/a	n/a	non-brg	100.0
1798 CAPITAL MGMT	040	LTD	S	10,000	17.76	n/a	2-May	500.00	5.0
COUGAR TRADING	044	LTD	SS	10,000	17.95	n/a	2-May	500.00	5.0
DISIPLINED GROWTH INV.	030	LVLIT	B	8,300	3.09	n/a	4-Jan	249.00	3.0
FORWARD MGMT	033	MBT	S	200	74.29	n/a	n/a	10.00	5.0
LBACCICIND	005	MEE	S	1,000	56.93	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	ME	S	32,500	27.46	n/a	n/a	1,625.00	5.0
FORWARD MGMT	033	MNST	B	750	25.82	n/a	n/a	37.50	5.0
FORWARD MGMT	033	MRK	S	350	39.15	n/a	n/a	17.50	5.0
SIGMA CAPITAL ASSOCIATES	237	MRK	S	15,000	39.16	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		MVRX	SS	74,000	150.65	n/a	n/a	non-brg	15.1
PERRY PARTNERS	041	M	S	50,000	25.57	7-Feb	2-May	2,500.00	5.0
BULL PATH CAPITAL	044	OI	B	42,500	53.83	n/a	n/a	2,125.00	5.0
PRYLUCKI	092	ORA	B	60	50.61	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRIVIUM CAP MGMT	251	ORCL	SS	50,000	21.56	n/a	n/a	2,000.00	4.0
LBACCICIND	005	PCX	S	200	71.09	n/a	n/a	0.00	0.0
MCCARTAN	028	PDRT	S	1,000	2.06	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PERY	S	10,000	22.84	n/a	n/a	non-brg	2.5
JP MORGAN VENTURES	046	PFCB	SS	25,000	31.42	n/a	24-Apr	1,250.00	5.0
PECONIC PARTNERS	036	PLCE	B	50,000	26.50	2-May	2-May	2,500.00	5.0
Õ Manny Korman		PMF	S	2000	16.45	n/a	n/a	0.00	0.0
FORWARD MGMT	033	POT	S	200	191.32	n/a	n/a	10.00	5.0
NEUBERGER BERMAN	036	PSA	S	35,400	93.08	n/a	n/a	1,593.00	4.5
B BUCK CAPITAL MGMT		PSUN	SS	50,000	12.70	n/a	2-May	non-brg	4.0
COUGAR TRADING	044	PSUN	B	10,000	12.72	n/a	2-May	500.00	5.0
MERRILL ASSET	032	PVH	S	6,800	43.41	5-May	5-May	306.00	4.5
MCCARTAN	028	PZN	S	200	12.92	24-Mar	2-May	0.00	0.0
FORWARD MGMT	033	QCOM	B	450	43.70	n/a	n/a	22.50	5.0
JETSTREAM GLOBAL FUND LP	065	QCOM	B	307,400	43.84	n/a	n/a	15,370.00	5.0
B BUCK CAPITAL MGMT		RL+SJ	SS	500	0.87	n/a	n/a	non-brg	100.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORWARD MGMT	033	SAP	S	350	50.30	n/a	n/a	17.50	5.0
FORWARD MGMT	033	SBUX	B	500	16.30	n/a	24-Apr	25.00	5.0
BUCK	015	SFBQC	B	7	0.17	n/a	n/a	0.00	0.0
BUCK	015	SFBSB	S	7	2.06	n/a	n/a	0.00	0.0
FORWARD MGMT	033	SHPGY	B	350	53.37	22-Feb	30-Apr	17.50	5.0
CRAMER ROSENTHAL/SCOTT	012	SKS	C	25,500	13.27	n/a	n/a	1,020.00	4.0
ß BUCK CAPITAL MGMT		SKX	S	40,000	23.63	n/a	13-Mar	non-brg	4.0
BLUE HARBOR	036	SONC	B	47,586	22.25	n/a	n/a	2,379.30	5.0
IRIDIAN ASSET MGMT.	036	SSCC	S	114,160	5.62	7-Apr	23-Apr	5,708.00	5.0
OGORMAN	046	SWN	C	400	42.25	20-Mar	1-May	0.00	0.0
Õ Manny Korman		TEOS	B	1000	17.92	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	TEVA	B	100,000	47.07	10-Jan	1-May	5,000.00	5.0
ß BUCK CAPITAL MGMT		TIF+QH	C	1,000	0.35	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		TIF+RH	SS	2,000	1.40	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		TIN	B	15,000	12.27	29-Apr	29-Apr	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRONBOUND CAPITAL	012	TIN	B	99,422	11.99	29-Apr	29-Apr	2,982.66	3.0
NWQ INVESTMENT MGMT CO	048	TIN	B	180,200	11.90	29-Apr	29-Apr	7,208.00	4.0
LEVIN CAPITAL STRATEGIES	012	TJX	C	20,000	31.50	n/a	2-May	800.00	4.0
IRIDIAN ASSET MGMT.	036	TK	B	10,190	45.47	n/a	n/a	509.50	5.0
LEDDY	135	TLB	B	1,100	7.77	17-Apr	2-May	0.00	0.0
GAULT	063	TMA	S	7,000	1.10	n/a	n/a	0.00	0.0
RAMIUS CAP	040	TROW	C	33,000	61.62	9-Jan	2-May	1,650.00	5.0
FORWARD MGMT	033	TSO	S	450	25.28	n/a	n/a	22.50	5.0
COUGAR TRADING	044	TWB	S	20,000	18.59	17-Mar	2-May	1,000.00	5.0
GAULT	063	UNT	SS	1,000	65.09	20-Mar	1-May	0.00	0.0
OGORMAN	046	UPL	C	200	85.80	n/a	1-May	0.00	0.0
B BUCK CAPITAL MGMT		URBN	S	20,000	33.37	3-Apr	5-May	non-brg	4.0
PECONIC PARTNERS	036	URBN	B	50,000	33.17	3-Apr	5-May	2,500.00	5.0
ELM RIDGE ADVISORS	044	USG	S	30,300	37.36	23-Apr	23-Apr	1,212.00	4.0
MILLER	025	UUP	B	50	22.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VCGH	S	10,000	4.45	n/a	n/a	non-brg	2.5
OGORMAN	046	VC	S	100	4.38	n/a	1-May	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORWARD MGMT	033	VLO	S	300	48.89	n/a	n/a	15.00	5.0
PERRY PARTNERS	041	VR	B	7,000	21.69	n/a	n/a	350.00	5.0
SUNOVA CAPITAL	031	WDR	S	25,000	35.58	22-Apr	2-May	1,250.00	5.0
FORWARD MGMT	033	WFR	S	300	63.09	n/a	n/a	15.00	5.0
FORWARD MGMT	033	WLP	B	400	52.02	n/a	n/a	20.00	5.0
⌘ BUCK CAPITAL MGMT		WRNC	S	40,000	45.73	3-Apr	28-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WSM+RX	SS	2,500	0.45	n/a	n/a	non-brg	100.0
SIGMA CAPITAL ASSOCIATES	237	WWW	B	2,100	29.35	n/a	13-Mar	105.00	5.0
FORWARD MGMT	033	WYE	B	430	45.48	n/a	31-Mar	21.50	5.0
KAICHER	064	XCO	B	2,000	23.20	n/a	n/a	0.00	0.0
OGORMAN	046	XTO	C	200	63.66	n/a	n/a	0.00	0.0
Õ Jason Cohen		YHOO	B	4	25.00	n/a	n/a	0.00	0.0
Õ Jason Cohen		YHOO	B	4	25.00	n/a	n/a	0.00	0.0
BUCK	015	YHQEF	B	20	0.12	n/a	n/a	0.00	0.0
BUCK	015	YHQJF	S	20	1.21	n/a	n/a	0.00	0.0
KORMAN	003	ZOLT	B	5,000	22.50	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

143,476.51

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/02	IMPALA ASSET MMT	012	CTX	B	250,000	22.29	n/a	n/a	7500.00 3.0
AO,CXL	05/02	IVORY CAPITAL	034	CTX	B	250,000	22.29	n/a	n/a	7500.00 3.0
AO,CRT	05/02	SUN AMERICA ASSET MGMT	030	DSW	S	12,800	15.22	28-Mar	2-May	512.00 4.0
AO,CXL	05/02	SUN AMERICA ASSET MGMT	030	DSW	S	12,800	15.22	28-Mar	2-May	512.00 4.0
AO,CRT	05/02	AMBER CAPITAL	046	GM	B	200,000	22.94	29-Apr	2-May	8000.00 4.0
AO,CXL	05/02	AMBER CAPITAL	046	GM	B	200,000	22.94	29-Apr	2-May	8000.00 4.0
AO,CRT	05/02	IMPALA ASSET MMT	012	GT	B	100,000	27.16	n/a	n/a	3000.00 3.0
AO,CXL	05/02	IVORY CAPITAL	034	GT	B	100,000	27.10	n/a	n/a	3000.00 3.0
AO,	05/02	NICOLAS APPELEGATE	048	JNY	B	27,300	17.20	n/a	1-May	1080.00 3.9
AO,	05/02	REINHART & MAHONEY	031	LGTY	S	4,348	7.54	n/a	n/a	217.40 5.0
AO,CRT	05/02	IMPALA ASSET MMT	012	PCL	S	75,000	42.06	29-Apr	29-Apr	2250.00 3.0
AO,CXL	05/02	IVORY CAPITAL	034	PCL	S	75,000	42.06	29-Apr	29-Apr	2250.00 3.0
AO,	05/02	GENERAL ELECTIC CO	033	TGT	B	121,579	54.39	n/a	27-Jul	4863.16 4.0
TOTAL (AO, CXL, CRT) :										6,160.56

TOTAL (Trade Date):	143,476.51
TOTAL (AO, CXL, CRT):	6,160.56

TOTAL (RUN DATE) / NFS:

149,637.07

MRI Securities with Trade Activity on 5-May.

BWA, PVH

MRI Securities without Trade Activity on 5-May.

NONE

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

T-Date = 4%

YTD = 20%

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