



Daily Compliance Activity Report

Trade Date: 05/14/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SATELLITE ASSET MGMT	012	ABG	B	20,000	17.24	n/a	25-Apr	800.00	4.0
BARR	096	ACFN	B	8,000	5.85	n/a	n/a	0.00	0.0
SINCLAIR	031	ADWJJ	B	5	9.00	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	AEO	SS	50,000	18.89	6-Mar	9-May	2,000.00	4.0
COUGAR TRADING	044	AEO	B	10,000	18.82	6-Mar	9-May	500.00	5.0
J L F ASSET MGMT	039	AEO	B	131,700	18.90	6-Mar	9-May	5,268.00	4.0
ROYCE TRADING	216	AEO	B	29,100	18.86	6-Mar	9-May	1,455.00	5.0
BECK MACK & OLIVER LLC	045	AIG	B	3,100	39.50	n/a	n/a	155.00	5.0
NEUBERGER BERMAN	036	AIG	S	343,020	39.29	n/a	n/a	15,435.90	4.5
TYEE/TYGH	035	AMG	B	17,301	102.00	7-Apr	14-May	692.04	4.0
WYPER CAPITAL	044	AMX	B	90,000	58.71	n/a	n/a	3,600.00	4.0
ARIENCE CAPITAL	036	ANF	C	17,700	75.65	10-Apr	9-May	885.00	5.0
J L F ASSET MGMT	039	ANF	B	29,200	76.01	10-Apr	9-May	1,168.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	20,000	29.09	14-Mar	12-May	800.00	4.0
COUGAR TRADING	044	AN	B	5,000	16.85	n/a	25-Apr	250.00	5.0
B BUCK CAPITAL MGMT		ARGN	B	20,000	12.60	n/a	1-May	non-brg	1.0
LEDY	035	ARGN	B	600	12.65	n/a	1-May	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		ARO	S	20,000	35.85	28-Apr	9-May	non-brg	4.0
PILOT ROCK	028	AXP	SS	25,000	49.86	n/a	n/a	1,000.00	4.0
BECK MACK & OLIVER LLC	045	BAM	B	1,400	35.17	n/a	n/a	70.00	5.0
B BUCK CAPITAL MGMT		BBBY	SS	10,000	33.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BHQ+TY	SS	3,000	0.64	n/a	n/a	non-brg	100.0
HOLDEN CAPITAL MGMT	035	BIG	SS	7,500	29.08	6-Mar	9-May	375.00	5.0
LEVIN CAPITAL STRATEGIES	012	BKC	B	30,000	29.91	1-May	2-May	1,200.00	4.0
LAGRANGE CAP ADV	048	BLC	B	4,600	10.11	n/a	n/a	230.00	5.0
BECK MACK & OLIVER LLC	045	BSX	B	7,500	13.35	n/a	22-Apr	375.00	5.0
NEUBERGER BERMAN	036	CMCSK	S	59,300	21.97	n/a	n/a	2,668.53	4.5
COUGAR TRADING	044	CPKI	SS	10,000	16.40	n/a	9-May	500.00	5.0
BUCK	015	CPN	S	1,475	20.28	n/a	n/a	0.00	0.0
GRONET	030	CPN	S	2,000	20.01	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	CVS	B	35,000	42.05	n/a	n/a	1,400.00	4.0
B BUCK CAPITAL MGMT		CWTR	B	25,000	5.48	n/a	n/a	non-brg	4.0
RHO CAPITAL MGMT	041	CYBX	B	1,700	16.55	n/a	n/a	68.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	DPL	S	142,900	27.89	n/a	n/a	6,430.50	4.5
WHEELER	008	DW	B	4,000	24.00	n/a	n/a	0.00	0.0
S CAST	016	EPG	B	500	4.69	n/a	n/a	0.00	0.0
SINCLAIR	031	EXHKL	S	5	16.10	n/a	n/a	0.00	0.0
SERENGETI MGMT	030	FED	B	75,000	15.20	n/a	n/a	3,750.00	5.0
SANDLER O'NEILL ASSET	031	FII	S	5,000	36.00	14-Apr	9-May	250.00	5.0
MS PRINCIPAL STRATEGIES	041	FITB	B	14,094	20.94	n/a	n/a	704.70	5.0
BARON ASSET MGMT*	012	FOSL	B	25,000	34.36	n/a	14-May	1,250.00	5.0
EGS ASSOCIATES LP	091	FOSL	B	4,500	34.26	n/a	14-May	270.00	6.0
LEHMAN PROPRIETARY TRAD	041	FOSL	S	100,000	33.64	n/a	14-May	4,000.00	4.0
LAGRANGE CAP ADV	048	F	SS	20,000	8.30	25-Apr	2-May	1,000.00	5.0
N STRATTON	014	HEMGF	B	600	4.42	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	ICON	B	265,200	14.98	n/a	n/a	10,608.00	4.0
BMO NESBITT BURNS	041	IP	B	50,000	27.09	8-Feb	7-Apr	2,000.00	4.0
FIRST NY SEC/CHRIS	041	IP	B	10,000	27.18	8-Feb	7-Apr	600.00	6.0
B BUCK CAPITAL MGMT		JAH	B	30,000	22.76	n/a	n/a	non-brg	4.0
GRUBER MACBAINE	033	JPM	B	25,000	45.95	8-May	8-May	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		KMX+SW	SS	1,000	0.57	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		KSS	B	40,000	49.40	4-Jan	9-May	non-brg	4.0
BUCK CAPITAL MGMT		LIZ+SW	SS	3,000	0.55	n/a	n/a	non-brg	100.0
CENTURION GLOBAL MGMT LL	041	LLTC	B	13,500	36.89	n/a	n/a	405.00	3.0
FIRST NY SEC/CHRIS	041	LPX	B	35,000	11.10	7-Apr	7-May	2,100.00	6.0
BUCK CAPITAL MGMT		LTM+HH	SS	500	1.30	n/a	n/a	non-brg	300.0
ZOLIDIS	011	LVS	S	15	72.48	n/a	n/a	0.00	0.0
BUCK	015	LVS	B	400	72.78	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	MBLX	B	600	10.55	n/a	n/a	30.00	5.0
WYPER CAPITAL	044	MCD	S	90,000	60.63	n/a	8-May	3,600.00	4.0
WHEELER	008	MNC	B	15,000	5.00	n/a	n/a	0.00	0.0
MORGAN LEWIS/MLH	046	MO	S	90,000	22.01	n/a	n/a	4,500.00	5.0
GRONET	030	MSFT	S	200	30.07	n/a	3-Apr	0.00	0.0
CHIARMONTE	N10	MSFT	B	25	30.08	n/a	3-Apr	0.00	0.0
REALBUTO	N10	MSFT	S	25	30.00	n/a	3-Apr	0.00	0.0
COUGAR TRADING	044	M	SS	20,000	25.23	7-Feb	9-May	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	M	SS	15,000	25.04	7-Feb	9-May	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		NP	B	15,000	20.45	7-Apr	9-May	non-brg	2.5
OTC ERROR	099	NUVA	B	195	40.50	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	OXM	S	10,100	29.64	n/a	n/a	378.75	3.8
HOLDEN CAPITAL MGMT	035	PAG	SS	10,500	20.71	22-Apr	30-Apr	525.00	5.0
BARR	096	PDFS	B	3,100	5.30	n/a	n/a	0.00	0.0
BUCK	015	PENN	B	700	46.08	n/a	n/a	0.00	0.0
TRIVIMUM CAP MGMT	251	PKG	B	15,000	23.63	7-Apr	22-Apr	600.00	4.0
HOLDEN CAPITAL MGMT	035	POOL	SS	10,000	21.74	n/a	n/a	500.00	5.0
EFSTATHIOU	044	PRX	S	400	17.49	n/a	13-May	0.00	0.0
B BUCK CAPITAL MGMT		PVH+LK	SS	1,000	3.90	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		PVH	B	20,000	47.50	5-May	5-May	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	15,000	46.62	5-May	5-May	600.00	4.0
SINCLAIR	031	QHHIE	S	20	3.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RICK	B	70,000	26.35	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	B	40,000	63.64	7-Feb	6-May	1,600.00	4.0
HOLDEN CAPITAL MGMT	035	RSH	SS	14,000	15.54	n/a	n/a	700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	RVBD	SS	12,000	16.85	n/a	n/a	600.00	5.0
BARR	096	SLV	B	100	166.18	n/a	n/a	0.00	0.0
BARR	096	SOAP	C	5,144	6.56	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPTN	B	40,000	21.26	n/a	n/a	non-brg	1.0
BUCK	015	SPY	B	200	141.62	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	SSCC	B	100,000	5.58	7-Apr	23-Apr	3,000.00	3.0
B BUCK CAPITAL MGMT		SSCC	B	500,000	5.58	7-Apr	23-Apr	non-brg	3.0
B BUCK CAPITAL MGMT		SSCC	B	500,000	5.62	7-Apr	23-Apr	non-brg	3.0
FIRST NY SEC/CHRIS	041	SSCC	B	20,000	5.59	7-Apr	23-Apr	1,200.00	6.0
SCOPUS FUND	041	SSCC	B	25,000	5.56	7-Apr	23-Apr	1,250.00	5.0
PRINCIPLE CAPITAL	040	THI	SS	91,500	32.99	n/a	24-Apr	2,745.00	3.0
B BUCK CAPITAL MGMT		TIN	B	45,900	13.70	29-Apr	29-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		TLB	B	50,000	7.60	17-Apr	9-May	non-brg	4.0
B BUCK CAPITAL MGMT		TPX	B	125,000	11.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TPX	B	50,000	11.29	n/a	n/a	non-brg	1.0
SANDLER O'NEILL ASSET	031	TROW	B	5,000	61.64	9-Jan	2-May	250.00	5.0
BUCK	015	UBS	B	500	30.94	n/a	n/a	0.00	0.0
S CAST	016	UQM	B	400	2.48	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		VCGH	S	200,000	4.80	n/a	n/a	non-brg	2.5
TRELLUS PARTNERS LP	028	VC	S	18,800	4.85	n/a	1-May	564.00	3.0
BUCK	015	VNO	S	250	97.69	n/a	n/a	0.00	0.0
SOROS	036	WDC	B	500,000	34.00	n/a	n/a	20,000.00	4.0
ß BUCK CAPITAL MGMT		WFMI	C	20,000	29.77	n/a	n/a	non-brg	4.0
LEDDY	035	WFMI	C	300	29.47	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	WMT	S	20,000	57.47	13-May	13-May	1,000.00	5.0
SNYDER CAPITAL	038	WRNC	S	6,475	50.25	13-May	13-May	259.00	4.0
ß BUCK CAPITAL MGMT		WSM+TX	SS	2,500	1.10	n/a	n/a	non-brg	300.0
HOLDEN CAPITAL MGMT	035	WTW	SS	5,000	44.30	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	X	B	124,590	172.39	n/a	n/a	5,606.58	4.5
BUCK CAPITAL MGMT	001	ZQK	B	49,200	9.73	5-Feb	7-Mar	1,968.00	4.0
ß BUCK CAPITAL MGMT		ZQK	B	10,000	9.76	5-Feb	7-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		ZQK	B	25,000	9.71	5-Feb	7-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		ZQK	B	30,000	9.79	5-Feb	7-Mar	non-brg	2.0
ß BUCK CAPITAL MGMT		ZQK	B	30,800	9.71	5-Feb	7-Mar	non-brg	1.0
TOTAL (Trade Date):								128,740.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	05/12	BARROW HANLEY MEWHINNEY	096	EXAR	B	2,400	9.05	n/a	n/a	0.00	0.0
AO,CXL	05/12	BARROW HANLEY MEWHINNEY	096	EXAR	B	2,400	9.05	n/a	n/a	0.00	0.0
AO,	05/13	NOMURA CAPITAL	045	SUP	SS	6,500	21.94	n/a	n/a	325.00	5.0
TOTAL (AO, CXL, CRT) :										325.00	

TOTAL (Trade Date) :	128,740.00
TOTAL (AO, CXL, CRT) :	325.00

TOTAL (RUN DATE) / NFS:	129,065.00
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MRI Securities with Trade Activity on 14-May.
NONE

MRI Securities without Trade Activity on 14-May.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 5%
YTD = 19%

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