



Daily Compliance Activity Report

Trade Date: 04/28/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|--------------|---------------|---------------|----------------|------------|
| DSM CAPITAL PARTNERS | 032 | ABB | S | 2,550 | 30.51 | n/a | n/a | 127.50 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | ADBE | S | 1,650 | 37.19 | n/a | n/a | 82.50 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | ADP | S | 1,400 | 43.91 | n/a | n/a | 70.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | ADSK | S | 1,050 | 38.79 | n/a | n/a | 52.50 | 5.0 |
| B BUCK CAPITAL MGMT | | AEO | B | 150,000 | 17.92 | 6-Mar | 11-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | AEO | B | 20,000 | 17.93 | 6-Mar | 11-Apr | non-brg | 1.0 |
| ROSEDALE CAPITAL | 046 | AEO | S | 5,000 | 18.13 | 6-Mar | 11-Apr | 250.00 | 5.0 |
| WEISS PECK | 040 | AEO | S | 10,700 | 17.69 | 6-Mar | 11-Apr | 535.00 | 5.0 |
| LEDDY | 035 | AER | B | 500 | 17.05 | n/a | n/a | 0.00 | 0.0 |
| CHARTER OAK | 033 | AFFY | S | 9,607 | 15.43 | n/a | n/a | 480.35 | 5.0 |
| JP MORGAN VENTURES | 046 | ANF | SS | 10,000 | 75.53 | 10-Apr | 11-Apr | 500.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | ANN | C | 72,200 | 26.09 | 14-Mar | 14-Mar | 2,888.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ARO | S | 112,100 | 31.93 | 28-Apr | 28-Apr | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | ARO | S | 70,800 | 32.02 | 28-Apr | 28-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ARO | S | 87,900 | 31.92 | 28-Apr | 28-Apr | non-brg | 1.0 |
| FRONTPOINT | 044 | AVP | SS | 50,000 | 40.02 | 4-Mar | 23-Apr | 2,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | BBBY | SS | 100,000 | 32.99 | n/a | n/a | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|---------------|--------------|---------------|----------------|------------|
| FIRST NEW YORK LEDDY | 035 | BBY | B | 10,000 | 45.90 | n/a | 27-Jul | 600.00 | 6.0 |
| LEDDY | 035 | BIG | SS | 500 | 26.49 | 6-Mar | 11-Apr | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | CAI | SS | 3,000 | 49.33 | n/a | n/a | 150.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | CELG | S | 3,050 | 64.58 | n/a | n/a | 152.50 | 5.0 |
| OGORMAN | 046 | CHK | C | 200 | 54.75 | n/a | n/a | 0.00 | 0.0 |
| J L F ASSET MGMT | 039 | CHS | S | 48,100 | 6.28 | 11-Apr | 11-Apr | 1,924.00 | 4.0 |
| BEAR STEARNS ASSET MGMT. | 033 | CNX | SS | 18,700 | 82.78 | n/a | n/a | 748.00 | 4.0 |
| B BUCK CAPITAL MGMT | | COST | SS | 30,000 | 71.30 | n/a | 27-Jul | non-brg | 4.0 |
| DSM CAPITAL PARTNERS | 032 | CSCO | S | 2,450 | 25.62 | n/a | 22-Mar | 122.50 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | CTSH | S | 1,500 | 31.42 | n/a | n/a | 75.00 | 5.0 |
| MANNING & NAPIER | 034 | CVA | S | 54,185 | 28.27 | n/a | n/a | 1,625.55 | 3.0 |
| DSM CAPITAL PARTNERS | 032 | CVS | S | 1,150 | 41.20 | n/a | n/a | 57.50 | 5.0 |
| FIRST NY SEC/CHRIS | 041 | CVS | B | 15,000 | 41.19 | n/a | n/a | 900.00 | 6.0 |
| B BUCK CAPITAL MGMT | | CWTR | B | 300,000 | 5.35 | n/a | n/a | non-brg | 3.0 |
| ZOLIDIS | 011 | DECK | S | 200 | 145.00 | n/a | n/a | 0.00 | 0.0 |
| SUN AMERICA ASSET MGMT | 030 | DSW | S | 152,200 | 15.06 | 28-Mar | 25-Apr | 6,088.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|---------------|-----------|---------------|--------------|---------------|---------------|----------------|--------------|
| MORRISON&FRASIER/BUTLER | 040 | DYN | B | 20,000 | 8.77 | n/a | n/a | 600.00 | 3.0 |
| DSM CAPITAL PARTNERS | 032 | EXPD | S | 1,100 | 47.48 | n/a | n/a | 55.00 | 5.0 |
| B BUCK CAPITAL MGMT | | FUA+FH | SS | 1,000 | 0.82 | n/a | n/a | non-brg | 100.0 |
| GRANITE CAPITAL | 045 | F | SS | 20,000 | 8.19 | 25-Apr | 25-Apr | 1,000.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | GENZ | S | 1,450 | 72.86 | n/a | n/a | 72.50 | 5.0 |
| NEW JERSEY DIV OF INV. | 220 | GE | S | 650 | 33.19 | n/a | n/a | 26.00 | 4.0 |
| 1798 CAPITAL MGMT | 040 | GIL | B | 15,000 | 36.75 | 22-Jan | 28-Apr | 750.00 | 5.0 |
| MILLER | 025 | GLD | SS | 50 | 88.13 | n/a | n/a | 0.00 | 0.0 |
| DELTEC ASSET MGMT. | 040 | GLW | S | 15,000 | 25.74 | n/a | 27-Mar | 750.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | GLW | S | 2,150 | 25.74 | n/a | 27-Mar | 107.50 | 5.0 |
| AMATURO | 018 | GMO | B | 2,000 | 9.15 | n/a | n/a | 0.00 | 0.0 |
| BLACKSTONE KAILIX ASS. | 048 | GM | SS | 250,000 | 22.49 | 29-Apr | 8-Apr | 12,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | GM | SS | 50,000 | 21.97 | 29-Apr | 8-Apr | non-brg | 4.0 |
| CASTLEROCK | 040 | GM | SS | 264,000 | 21.84 | 29-Apr | 8-Apr | 10,560.00 | 4.0 |
| WOOSTER CAPITAL | 035 | GM | SS | 75,000 | 21.75 | 29-Apr | 8-Apr | 3,750.00 | 5.0 |
| LED DY | 035 | GNTX | SS | 600 | 18.95 | 7-Apr | 23-Apr | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | GPI | B | 10,600 | 26.39 | n/a | 25-Apr | 530.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-------|
| MORRISON&FRASIER/BUTLER | 040 | GPI | B | 7,000 | 26.68 | n/a | 25-Apr | 350.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | GPRO | S | 1,000 | 53.80 | n/a | n/a | 50.00 | 5.0 |
| Ⓐ BUCK CAPITAL MGMT | | GQU+HK | SS | 1,000 | 0.99 | n/a | n/a | non-brg | 100.0 |
| LUCHANSKY | 036 | GRMN | B | 500 | 46.32 | n/a | n/a | 0.00 | 0.0 |
| LUCHANSKY | 036 | GRMN | S | 300 | 45.94 | n/a | n/a | 0.00 | 0.0 |
| S CAST | 016 | GSI | S | 500 | 11.00 | n/a | n/a | 0.00 | 0.0 |
| AMATURO | 018 | GSI | S | 3,804 | 11.15 | n/a | n/a | 0.00 | 0.0 |
| BARROW HANLEY MEWHINNEY | 031 | HI | S | 25,100 | 19.23 | n/a | n/a | 1,004.00 | 4.0 |
| DSM CAPITAL PARTNERS | 032 | HOLX | S | 1,900 | 29.22 | n/a | n/a | 95.00 | 5.0 |
| BARROW HANLEY MEWHINNEY | 031 | HRC | B | 73,700 | 25.64 | n/a | n/a | 2,948.00 | 4.0 |
| CASTLE ARK | 031 | HRS | S | 54,000 | 51.55 | 28-Mar | 28-Apr | 3,240.00 | 6.0 |
| EPOCH INV MGMT | 030 | IGT | B | 1,100 | 34.86 | n/a | 18-Apr | 44.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | INTC | S | 24,800 | 22.47 | n/a | n/a | 992.00 | 4.0 |
| RAINIER INV MGMT | 035 | IO | B | 42,000 | 15.96 | n/a | n/a | 2,100.00 | 5.0 |
| SOUTH POINT CAP | 067 | IWM | B | 50,000 | 72.26 | n/a | n/a | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JCG | B | 10,000 | 45.24 | n/a | 12-Mar | 400.00 | 4.0 |
| Ⓐ BUCK CAPITAL MGMT | | JNY | S | 20,000 | 14.27 | n/a | 28-Apr | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|---------------|-----------|----------------|--------------|------------|---------------|----------------|------------|
| COUGAR TRADING | 044 | JWN | S | 5,000 | 37.30 | 31-Mar | 11-Apr | 250.00 | 5.0 |
| ADAGE CAPITAL MGMT | 030 | KSS | B | 50,100 | 49.31 | 4-Jan | 11-Apr | 2,004.00 | 4.0 |
| COUGAR TRADING | 044 | KSS | S | 5,000 | 49.80 | 4-Jan | 11-Apr | 250.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | KSS | B | 6,500 | 49.89 | 4-Jan | 11-Apr | 325.00 | 5.0 |
| EPOCH INV MGMT | 030 | LH | B | 450 | 75.04 | n/a | n/a | 18.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | LIZ | SS | 10,000 | 18.11 | n/a | 17-Mar | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | LTD | SS | 100,000 | 19.14 | n/a | 11-Apr | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | LTO IM | SS | 40,000 | 30.54 | n/a | n/a | non-brg | 7.6 |
| ß BUCK CAPITAL MGMT | | MCD | SS | 50,000 | 59.28 | n/a | 23-Apr | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | MDR | S | 41,200 | 59.70 | n/a | n/a | 1,854.00 | 4.5 |
| STANDARD PACIFIC CAPITAL | 040 | MHK | B | 98,000 | 77.13 | n/a | n/a | 4,900.00 | 5.0 |
| TRUST CO/COWEN/CALF. | 040 | MOT | B | 431,960 | 9.43 | n/a | n/a | 17,278.40 | 4.0 |
| EPOCH INV MGMT | 030 | MO | B | 450 | 21.35 | n/a | n/a | 18.00 | 4.0 |
| DSM CAPITAL PARTNERS | 032 | MSFT | S | 1,550 | 29.13 | n/a | 3-Apr | 77.50 | 5.0 |
| EPOCH INV MGMT | 030 | MSFT | B | 2,200 | 29.15 | n/a | 3-Apr | 88.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | MTN | S | 26,140 | 47.99 | n/a | n/a | 1,176.30 | 4.5 |
| EPOCH INV MGMT | 030 | NKE | B | 300 | 68.00 | n/a | n/a | 12.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|---------------|-----------|---------------|---------------|--------------|---------------|----------------|-------------|
| EPOCH INV MGMT | 030 | NOV | B | 600 | 70.97 | n/a | n/a | 24.00 | 4.0 |
| EPOCH INV MGMT | 030 | NST | B | 500 | 31.91 | n/a | n/a | 20.00 | 4.0 |
| DSM CAPITAL PARTNERS | 032 | NWSA | S | 3,200 | 17.63 | n/a | n/a | 160.00 | 5.0 |
| EPOCH INV MGMT | 030 | NWSA | B | 1,500 | 17.68 | n/a | n/a | 60.00 | 4.0 |
| EPOCH INV MGMT | 030 | OKE | B | 350 | 48.65 | n/a | n/a | 14.00 | 4.0 |
| EPOCH INV MGMT | 030 | ORCL | B | 1,600 | 21.65 | n/a | n/a | 64.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | ORCL | S | 6,000 | 21.73 | n/a | n/a | 240.00 | 4.0 |
| B BUCK CAPITAL MGMT | | PERY | S | 2,400 | 22.83 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | PSS | B | 50,000 | 12.71 | n/a | n/a | non-brg | 4.0 |
| JPMSI/TOM LEDDY | 035 | PVH | B | 35,000 | 38.32 | 13-Mar | 26-Mar | 1,750.00 | 5.0 |
| ROXBURY CAPITAL MGMT | 035 | PVH | B | 225,000 | 38.35 | 13-Mar | 26-Mar | 9,000.00 | 4.0 |
| DURANGO INVESTMENTS | 031 | QLGC | S | 40,000 | 16.68 | n/a | n/a | 1,600.00 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | Q | B | 10,000 | 4.88 | n/a | n/a | 600.00 | 6.0 |
| AMATURO | 018 | RAD | B | 465 | 2.60 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | RL | SS | 20,000 | 62.54 | 7-Feb | 15-Feb | 800.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | RL | C | 23,200 | 61.92 | 7-Feb | 15-Feb | 1,160.00 | 5.0 |
| B BUCK CAPITAL MGMT | | RMS FP | SS | 10,000 | 137.97 | n/a | n/a | non-brg | 27.6 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|----------------|------------|
| ZOLIDIS | 011 | RTH | S | 200 | 97.39 | n/a | n/a | 0.00 | 0.0 |
| DSM CAPITAL PARTNERS | 032 | SEIC | S | 2,100 | 24.00 | n/a | n/a | 105.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | SGP | S | 2,150 | 18.65 | n/a | n/a | 107.50 | 5.0 |
| B BUCK CAPITAL MGMT | | SKS | SS | 30,000 | 13.00 | n/a | n/a | non-brg | 4.0 |
| OGORMAN | 046 | SKX | C | 500 | 22.44 | n/a | 13-Mar | 0.00 | 0.0 |
| DSM CAPITAL PARTNERS | 032 | SLB | S | 1,550 | 102.35 | n/a | n/a | 77.50 | 5.0 |
| MANNING & NAPIER | 034 | SMG | B | 28,970 | 33.51 | 11-Feb | 25-Apr | 869.10 | 3.0 |
| SOUTH POINT CAP | 067 | SPY | B | 25,000 | 139.93 | n/a | n/a | 1,250.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | SYK | S | 1,150 | 64.44 | n/a | n/a | 57.50 | 5.0 |
| LEDDY | 035 | TLB | B | 1,000 | 7.92 | 17-Apr | 18-Apr | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | UA | S | 50,000 | 37.27 | n/a | n/a | non-brg | 4.0 |
| TROUBH PART | 067 | UNH | S | 30,000 | 33.90 | n/a | n/a | 1,500.00 | 5.0 |
| BARABOO GROWTH | 031 | URBN | B | 9,700 | 33.31 | 3-Apr | 9-Apr | 485.00 | 5.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 20,000 | 33.01 | 3-Apr | 9-Apr | non-brg | 4.0 |
| MARK ASSETMGMT (SR) | 040 | URBN | S | 20,000 | 32.95 | 3-Apr | 9-Apr | 800.00 | 4.0 |
| MILLER | 025 | UUP | B | 100 | 22.66 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|-------------------|------------|
| DSM CAPITAL PARTNERS | 032 | VAR | S | 1,350 | 47.61 | n/a | n/a | 67.50 | 5.0 |
| MCCARTAN | 028 | VC | B | 1,000 | 3.96 | n/a | 21-Apr | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | VIRL | S | 2,000 | 5.77 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | VIRL | S | 8,000 | 5.77 | n/a | n/a | non-brg | 1.0 |
| TROUBH PART | 067 | VLO | S | 15,000 | 51.75 | n/a | n/a | 750.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | WFT | S | 1,200 | 82.22 | n/a | n/a | 60.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | WMT | S | 70,340 | 57.82 | n/a | 28-Apr | 3,165.30 | 4.5 |
| AMBER CAPITAL | 046 | WM | B | 200,000 | 12.49 | n/a | n/a | 8,000.00 | 4.0 |
| EGS ASSOCIATES LP | 091 | WRNC | B | 6,500 | 44.34 | 3-Apr | 28-Apr | 390.00 | 6.0 |
| ⌘ BUCK CAPITAL MGMT | | WWY | C | 60,000 | 77.98 | n/a | n/a | non-brg | 2.5 |
| ⌘ BUCK CAPITAL MGMT | | YUM | SS | 50,000 | 40.75 | n/a | 24-Apr | non-brg | 4.0 |
| TOTAL (Trade Date) : | | | | | | | | 125,680.50 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-----------------------|------|--------|-----|--------|-------|-------|----------|--------------|
| AO,CRT | 04/25 | FULLER & THALER ASSET | 033 | UHS | B | 600 | 62.86 | n/a | 25-Apr | 18.00 3.0 |
| AO,CXL | 04/25 | FULLER & THALER ASSET | 033 | UHS | B | 600 | 62.86 | n/a | 25-Apr | 1.89 0.0 |
| AO,CRT | 04/25 | HIGHBRIDGE CAPITAL | 038 | WY | SS | 65,000 | 64.84 | 7-Apr | 7-Apr | 3250.00 5.0 |
| AO,CXL | 04/25 | HIGHBRIDGE/MS OLDS | 041 | WY | SS | 65,000 | 64.84 | 7-Apr | 7-Apr | 3250.00 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 16.11 |

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|------------------------|------------|
| TOTAL (Trade Date) : | 125,680.50 |
| TOTAL (AO, CXL, CRT) : | 16.11 |

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|---------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS : | 125,696.61 |
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MRI Securities with Trade Activity on 28-Apr.

ARO

MRI Securities without Trade Activity on 28-Apr.

PCH

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

T-Date = 3%

YTD = 21%

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