



# Daily Compliance Activity Report

Trade Date: 04/23/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	AAWW	S	20,000	57.51	n/a	n/a	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>100,000</b>	<b>16.64</b>	<b>6-Mar</b>	<b>11-Apr</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	S	34,600	16.53	6-Mar	11-Apr	1,730.00	5.0
J L F ASSET MGMT	039	AEO	S	98,000	16.58	6-Mar	11-Apr	3,920.00	4.0
WEISS PECK	040	AEO	B	36,100	16.62	6-Mar	11-Apr	1,805.00	5.0
S.A.C. CAPITAL MGMT.	044	AGN	SS	25,000	55.71	31-Jan	22-Apr	1,250.00	5.0
RHO CAPITAL MGMT	041	AIG	B	2,100	44.67	n/a	n/a	84.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ALV	B	71,100	56.22	17-Apr	23-Apr	2,666.25	3.8
<b>B BUCK CAPITAL MGMT</b>		<b>AMG</b>	<b>B</b>	<b>10,000</b>	<b>90.74</b>	<b>7-Apr</b>	<b>23-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AMG</b>	<b>B</b>	<b>15,000</b>	<b>90.64</b>	<b>7-Apr</b>	<b>23-Apr</b>	<b>non-brg</b>	<b>2.0</b>
CRAMER ROSENTHAL/SCOTT	012	AMG	S	45,550	92.28	7-Apr	23-Apr	1,822.00	4.0
BALYASNY ASSET MGMT	044	AMTD	S	125,000	17.13	n/a	n/a	6,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMZN</b>	<b>C</b>	<b>50,000</b>	<b>77.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
COUGAR TRADING	044	ANF	SS	5,000	70.77	10-Apr	11-Apr	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO+FG</b>	<b>SS</b>	<b>1,000</b>	<b>0.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>50,000</b>	<b>31.22</b>	<b>29-Nov</b>	<b>11-Apr</b>	<b>non-brg</b>	<b>4.0</b>
GLG PARTNERS	034	BBY	SS	25,000	43.37	n/a	27-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARRIS ASSOCIATES	031	BBY	S	37,800	42.74	n/a	27-Jul	1,134.00	3.0
PRINCIPLE CAPITAL	040	BECN	S	35,100	10.30	n/a	n/a	1,053.00	3.0
T. ROWE PRICE	033	BEN	S	45,800	94.90	24-Mar	22-Apr	1,832.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>68,500</b>	<b>83.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WHITE PINE CAPITAL	030	BONT	B	73,485	8.18	4-Jan	11-Apr	3,674.25	5.0
NORTHPOINT	030	BRLI	B	9,360	24.17	n/a	n/a	374.40	4.0
CUMBERLAND	038	BWS	S	15,000	14.07	n/a	n/a	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CEC</b>	<b>C</b>	<b>25,212</b>	<b>34.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
AVESTA CAP	229	COF	SS	100,000	45.33	n/a	n/a	5,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>C</b>	<b>50,000</b>	<b>13.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAXON WOODS ADVISORS	038	CRL	B	5,000	58.07	n/a	n/a	200.00	4.0
REICH AND TANG	067	CSL	B	10,000	30.69	n/a	n/a	450.00	2.5
ROTHSCHILD ASSET	040	CSX	B	13,200	59.10	n/a	n/a	594.00	4.5
NORTHPOINT	030	CYBS	B	8,095	14.78	n/a	n/a	323.80	4.0
CHILTON CAPITAL MGMT.	036	C	SS	250,000	24.59	16-Jan	21-Apr	10,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAI</b>	<b>SS</b>	<b>100,000</b>	<b>77.58</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.	
LEDDY	035	DAI	SS	150	78.20	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	DHR	C	10,000	76.30	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		EAT	C	50,000	21.81	n/a	24-Apr	non-brg	4.0
COUGAR TRADING	044	EAT	S	5,000	22.03	n/a	24-Apr	250.00	5.0
NEUBERGER BERMAN	036	EOG	S	3,700	136.85	n/a	n/a	166.50	4.5
⌘ BUCK CAPITAL MGMT		ETN	B	4,500	83.81	14-Apr	21-Apr	non-brg	4.0
NORTHPOINT	030	FAST	S	220	48.75	n/a	n/a	8.80	4.0
⌘ BUCK CAPITAL MGMT		FDO	C	50,000	20.00	8-Jan	11-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FDO	C	60,000	20.16	8-Jan	11-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FDO	C	700	20.16	8-Jan	11-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FDO	C	89,300	20.14	8-Jan	11-Apr	non-brg	2.0
AELTUS/ING INVESTMENT MGT	044	FNF	S	32,000	17.27	n/a	n/a	1,280.00	4.0
⌘ BUCK CAPITAL MGMT		FUQI	B	10,000	7.92	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FXP	C	1,000	66.13	n/a	n/a	non-brg	2.0
CUMBERLAND	038	GCO	B	25,000	21.81	n/a	10-Jan	1,000.00	4.0
AVESTA CAP	229	GE	B	100,000	32.64	n/a	n/a	5,000.00	5.0
PILOT ADV	038	GGG	B	23,200	39.38	n/a	n/a	928.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	34.35	22-Jan	10-Mar	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	GLW	SS	100,000	25.42	n/a	27-Mar	5,000.00	5.0
IRIDIAN ASSET MGMT.	036	GNCMA	B	12,200	6.14	n/a	n/a	610.00	5.0
TRELLUS PARTNERS LP	028	GNTX	SS	50,000	18.39	7-Apr	23-Apr	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		GPS+RW	SS	1,000	0.70	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		GPS	SS	100,000	18.68	n/a	11-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GQU+HJ	SS	190	1.97	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		GQU+HK	SS	255	1.02	n/a	n/a	non-brg	300.0
UBS OCONNOR	031	GTI	B	75,000	19.87	n/a	n/a	2,250.00	3.0
CHILTON CAPITAL MGMT.	036	HAL	SS	200,000	46.82	n/a	n/a	8,000.00	4.0
NORTHPOINT	030	HP	B	3,260	56.18	n/a	n/a	130.40	4.0
BARROW HANLEY MEWHINNEY	031	HRC	B	49,200	25.26	n/a	n/a	1,968.00	4.0
NORTHPOINT	030	HRS	B	3,800	51.68	28-Mar	28-Mar	152.00	4.0
⌘ BUCK CAPITAL MGMT		ICON	B	10,000	15.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ICON	B	30,000	15.37	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		IR	SS	75,000	43.65	n/a	n/a	non-brg	4.0
TRUST CO OF THE WEST/NY	040	JAVA	S	101,100	15.43	n/a	n/a	4,044.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	JAVA	S	43,025	15.43	n/a	n/a	1,721.00	4.0
GLG PARTNERS	034	JCP	SS	25,000	40.45	4-Jan	17-Apr	1,250.00	5.0
ß BUCK CAPITAL MGMT		JOSB	B	10,000	23.25	n/a	n/a	non-brg	4.0
AELTUS/ING IVESTMENT MGT	044	JPM	B	80,900	45.50	17-Jan	16-Apr	3,236.00	4.0
VENTANA CAPITAL	060	JPM	S	10,000	45.50	17-Jan	16-Apr	400.00	4.0
OGORMAN	046	JWN	C	300	34.59	31-Mar	11-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		KSS+QH	C	1,200	0.32	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	KSS	B	325,000	47.60	4-Jan	11-Apr	13,000.00	4.0
ß BUCK CAPITAL MGMT		KSS	B	168,784	47.50	4-Jan	11-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		KSS	B	25,000	47.60	4-Jan	11-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	B	49,916	47.49	4-Jan	11-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	B	50,000	47.55	4-Jan	11-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		KSS	B	6,300	47.57	4-Jan	11-Apr	non-brg	2.0
ß BUCK CAPITAL MGMT		KSS	C	530,000	46.92	4-Jan	11-Apr	non-brg	4.0
COUGAR TRADING	044	KSS	S	5,000	47.50	4-Jan	11-Apr	250.00	5.0
DIAMONDBACK CAP MGMT	232	KSS	S	25,000	47.60	4-Jan	11-Apr	1,250.00	5.0
WHITE PINE CAPITAL	030	KSS	B	9,400	46.84	4-Jan	11-Apr	470.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	16.65	n/a	17-Mar	400.00	4.0
GALLEON MGMT LP	033	LL	B	15,000	13.01	n/a	n/a	750.00	5.0
FIRST NEW YORK LEDDY	035	MCD	B	10,000	58.57	n/a	23-Apr	400.00	4.0
ARCH	032	MCD	B	60,000	58.48	n/a	23-Apr	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	MDR	S	8,300	60.03	n/a	n/a	373.50	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>NEXC</b>	<b>S</b>	<b>727,100</b>	<b>2.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
CAXTON PART	040	NOC	S	57,394	69.54	n/a	n/a	2,008.80	3.5
FRIESS MGMT	033	NUAN	S	327,515	21.42	n/a	n/a	13,100.60	4.0
AMBER CAPITAL	046	NUE	B	135,000	75.57	n/a	n/a	5,400.00	4.0
NORTHPOINT	030	NWPX	B	20,610	39.95	n/a	n/a	824.40	4.0
ENTRUST CAPITAL	040	PBY	B	75,000	8.97	n/a	n/a	3,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PCAR</b>	<b>B</b>	<b>10,000</b>	<b>47.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
J.W. SELIGMAN	041	PEG	B	82,300	43.97	n/a	n/a	3,292.00	4.0
AVESTA CAP	229	PEP	B	50,000	69.28	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	PFCB	SS	5,000	32.30	n/a	18-Apr	250.00	5.0
AMBER CAPITAL	046	PKX	SS	82,000	122.95	n/a	n/a	3,280.00	4.0
CENTURION GLOBAL MGMT LL	041	PMCS	B	18,600	7.77	n/a	n/a	558.00	3.0
<b>KORMAN</b>	<b>003</b>	<b>QIAEW</b>	<b>B</b>	<b>67</b>	<b>0.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QIAHC</b>	<b>B</b>	<b>100</b>	<b>2.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		QTF+QG	C	1,000	1.12	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	57.48	7-Feb	15-Feb	400.00	4.0
COUGAR TRADING	044	RL	B	5,000	57.37	7-Feb	15-Feb	250.00	5.0
COUGAR TRADING	044	RL	SS	5,000	57.79	7-Feb	15-Feb	250.00	5.0
HOLDEN CAPITAL MGMT	035	RNT	B	30,000	23.90	n/a	n/a	1,500.00	5.0
LATEFF MGMT	035	SAF	S	2,500	65.92	n/a	n/a	625.00	25.0
NEUBERGER BERMAN	036	SGP	S	27,600	18.16	n/a	n/a	1,242.00	4.5
BALYASNY ASSET MGMT	044	SKS	B	50,000	12.74	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		SKS	SS	180,000	12.55	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKS	SS	20,000	12.54	n/a	n/a	non-brg	2.0
BARR	096	SOAP	C	3,000	6.95	n/a	n/a	0.00	0.0
SAXON WOODS ADVISORS	038	SPG	S	10,000	101.93	n/a	n/a	400.00	4.0
CATAPULT	040	STT	B	5,000	66.57	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		TEN+QE	SS	1,000	0.75	n/a	n/a	non-brg	100.0
ADAGE CAPITAL MGMT	030	TIF	B	21,694	41.76	14-Jan	25-Mar	867.76	4.0
LEVIN CAPITAL STRATEGIES	012	TJX	C	15,000	32.11	n/a	11-Apr	600.00	4.0
WEINTRAUB CAPITAL MGT.	040	TJX	B	100,000	31.66	n/a	11-Apr	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		TLB	B	20,000	7.33	17-Apr	18-Apr	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TRLG	B	10,000	16.22	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TSCO	C	100,000	37.20	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		UA	B	50,000	35.20	n/a	n/a	non-brg	2.5
SAXON WOODS ADVISORS	038	UNP	S	10,000	135.03	n/a	n/a	400.00	4.0
BACKBAY	041	UQM	B	19,100	1.59	n/a	n/a	573.00	3.0
LISTED ERR	099	UQM	B	5,000	1.60	n/a	n/a	0.00	0.0
EMP ERROR	099	UQM	S	5,000	1.59	n/a	n/a	0.00	0.0
SCOPUS FUND	041	USG	S	15,000	36.30	23-Apr	23-Apr	750.00	5.0
BUCK CAPITAL MGMT		VC	B	100,000	3.74	n/a	21-Apr	non-brg	3.0
BUCK CAPITAL MGMT	001	VFC	B	6,000	77.21	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT		VFC	B	19,000	75.55	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		VIRL	S	5,000	5.56	n/a	n/a	non-brg	1.0
CAXTON PART	040	VZ	B	100,000	36.34	n/a	4-Jan	3,500.01	3.5
AELTUS/ING INVESTMENT MGT	044	WDR	B	12,800	31.93	22-Apr	22-Apr	512.00	4.0
SUNOVA CAPITAL	031	WDR	B	100,000	32.50	22-Apr	22-Apr	5,000.00	5.0
STADIA CAPITAL	035	WMS	SS	25,000	35.98	n/a	n/a	1,000.00	4.0
CAXTON PART	040	XTO	S	40,000	66.18	n/a	n/a	1,400.00	3.5



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**TOTAL (Trade Date):**

**172,274.47**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/22	TROOB CAPITAL	067	CX	B	25,000	28.00	n/a	n/a	1250.00 5.0
AO,CRT	04/22	TROUBH PART	067	CX	B	25,000	28.00	n/a	n/a	1250.00 5.0
AO,CXL	04/22	UBS O'CONNOR/TOM LEDDY	035	EV	B	26,200	33.77	9-Jan	22-Apr	786.00 3.0
AO,CRT	04/22	UBS OCONNOR	031	EV	B	26,200	33.77	9-Jan	22-Apr	786.00 3.0
AO,CRT	04/17	JCK PARTNERS	067	SKS	B	33,313	12.27	n/a	n/a	1332.52 4.0
AO,CXL	04/17	JCK PARTNERS	067	SKS	B	33,313	12.27	n/a	n/a	1665.65 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-333.13</b>
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TOTAL (Trade Date) :	172,274.47
TOTAL (AO, CXL, CRT) :	-333.13

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>171,941.34</b>
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MRI Securities with Trade Activity on 23-Apr. <b>USG</b>
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MRI Securities without Trade Activity on 23-Apr. <b>HSC, RYN</b>
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 14%

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**