



# Daily Compliance Activity Report

Trade Date: 04/15/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	033	AFFY	S	15,744	13.42	n/a	n/a	787.20	5.0
COUGAR TRADING	044	ANF	B	5,000	70.51	10-Apr	11-Apr	250.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	70.20	10-Apr	11-Apr	250.00	5.0
STRONG/MARK GRONET	030	ANH	B	15,000	6.64	n/a	n/a	450.00	3.0
SANDLER CAPITAL	038	AVT	SS	150,000	28.41	n/a	n/a	9,000.00	6.0
MERRILL ASSET	032	AW	S	35,700	11.39	n/a	n/a	1,606.50	4.5
⚡ BUCK CAPITAL MGMT		AXE	B	10,000	62.18	28-Mar	4-Apr	non-brg	4.0
GAULT	063	AXE	B	1,000	61.04	28-Mar	4-Apr	0.00	0.0
FRIESS MGMT	033	BKC	S	260,900	27.17	n/a	15-Apr	10,436.00	4.0
⚡ BUCK CAPITAL MGMT		BRL	S	20,000	50.29	28-Feb	15-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BRL	S	5,000	49.87	28-Feb	15-Apr	non-brg	1.0
BUCK CAPITAL MGMT	001	BYI	B	10,000	30.03	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		BYI	B	50,000	31.07	n/a	n/a	non-brg	4.0
THIRD COAST CAPITAL	035	COH	S	15,000	30.91	4-Apr	4-Apr	750.00	5.0
CATAPULT	040	CPKI	S	30,000	14.78	n/a	15-Apr	1,200.00	4.0
COUGAR TRADING	044	CPKI	SS	15,000	14.76	n/a	15-Apr	750.00	5.0
MAGUIRE	090	C	B	7,500	22.75	16-Jan	14-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		DAI+PQ	C	474	6.65	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		DAI	C	47,400	78.40	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		DECK	B	15,309	106.79	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DECK	B	4,691	110.72	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL MGMT.	044	DOW	SS	25,000	38.00	n/a	6-Feb	1,250.00	5.0
EGS ASSOCIATES LP	091	DRI	B	8,500	33.77	n/a	15-Apr	510.00	6.0
MATRIX ASSET ADV.	036	DVN	S	11,100	112.73	20-Mar	1-Apr	444.00	4.0
MAGUIRE	090	DXD	S	1,000	55.90	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	ESE	B	19,723	40.41	n/a	n/a	788.92	4.0
GAULT	063	ETNDP	S	20	2.00	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	EV	B	25,000	31.83	9-Jan	15-Apr	1,250.00	5.0
BALYASNY ASSET MGMT	044	EXP	B	20,000	36.51	n/a	n/a	1,000.00	5.0
UBS OCONNOR	031	FII	B	60,000	32.82	14-Apr	15-Apr	1,800.00	3.0
HEALY CIRCLE	044	FNM	SS	10,000	25.58	n/a	n/a	500.00	5.0
KENNEDY CAPITAL	046	FOSL	B	40,450	31.78	13-Nov	9-Apr	1,618.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	37.84	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL MGMT.	044	GE	SS	50,000	31.61	n/a	n/a	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	GME	SS	100,000	55.09	n/a	n/a	5,000.00	5.0
FIRST NY SEC/CHRIS	041	GM	SS	25,000	18.79	3-Jan	8-Apr	1,250.00	5.0
J.W. SELIGMAN	041	GT	S	72,600	25.85	n/a	n/a	2,904.00	4.0
LEHMAN PROPRIETARY TRAD	041	HCBK	B	50,000	17.40	n/a	n/a	2,000.00	4.0
NEW JERSEY DIV OF INV.	220	HOC	B	90,000	44.28	n/a	n/a	3,600.00	4.0
PIVOT CAP	034	IM	S	18,780	15.86	n/a	n/a	939.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>IOM</b>	<b>S</b>	<b>30,400</b>	<b>3.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IR</b>	<b>SS</b>	<b>50,000</b>	<b>42.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NATIONAL BK OF CAN	031	JPM	S	20,000	41.90	17-Jan	14-Apr	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	KCP	S	8,000	16.55	n/a	28-Sep	300.00	3.8
SIGMA CAPITAL ASSOCIATES	237	KSS	SS	15,000	43.90	4-Jan	11-Apr	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEG</b>	<b>C</b>	<b>175,000</b>	<b>14.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET	032	LMT	S	5,600	102.29	n/a	n/a	252.00	4.5
COUGAR TRADING	044	LTD	S	5,000	17.91	n/a	11-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		LVS+QN	C	500	5.20	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		LVS+QO	C	500	8.10	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		LVS	C	100,000	70.40	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		LVS	C	25,000	70.09	n/a	n/a	non-brg	1.0
VICTORIA INVESTORS LP	060	MCD	B	5,000	56.06	n/a	15-Apr	250.00	5.0
MAGUIRE	090	MER	B	4,500	43.01	18-Jan	14-Apr	0.00	0.0
MS PRINCIPAL STRATEGIES	041	MRK	B	120,000	41.97	n/a	n/a	6,000.00	5.0
ROSEDALE CAPITAL	046	MYL	S	20,000	12.47	n/a	15-Apr	1,000.00	5.0
MAGUIRE	090	MZZ	S	1,000	60.07	n/a	n/a	0.00	0.0
BRANDWINE	028	M	B	23,100	22.83	7-Feb	11-Apr	924.00	4.0
COUGAR TRADING	044	M	SS	5,000	22.81	7-Feb	11-Apr	250.00	5.0
NATIONAL BK OF CAN	031	NTRS	B	15,000	67.43	16-Apr	14-Apr	600.00	4.0
LISTED ERR	099	NWA	B	25,000	10.66	n/a	n/a	0.00	0.0
LISTED ERR	099	NWA	S	25,000	10.66	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	OLN	B	31,700	20.92	n/a	25-Feb	1,585.00	5.0
⌘ BUCK CAPITAL MGMT		OXM+SE	SS	1,000	2.02	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		PCAR	B	10,000	44.67	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>20,500</b>	<b>5.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	237	PG	SS	10,000	69.98	11-Dec	27-Mar	500.00	5.0
PERRY PARTNERS	041	PRU	B	5,000	75.90	n/a	n/a	150.00	3.0
BARABOO GROWTH	031	PXD	S	10,000	56.32	9-Apr	9-Apr	500.00	5.0
FIRST NEW YORK NICK	029	Q	S	5,000	4.43	n/a	n/a	250.00	5.0
DIAMONDBACK CAP MGMT	232	RL	C	10,000	58.00	7-Feb	15-Feb	500.00	5.0
KNOTT PARTNERS	044	RVI	S	100,000	3.85	n/a	n/a	2,000.00	2.0
GREENLIGHT CAPITAL	041	SAI	S	140,200	18.90	n/a	n/a	7,010.00	5.0
SERENGETI MGMT	030	SCHW	B	100,000	19.37	n/a	n/a	0.97	0.0
<b>MAGUIRE</b>	<b>090</b>	<b>SKF</b>	<b>S</b>	<b>1,500</b>	<b>117.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>SRS</b>	<b>S</b>	<b>1,000</b>	<b>95.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	SWIR	S	45,000	16.75	n/a	n/a	2,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SWU+SC</b>	<b>C</b>	<b>800</b>	<b>1.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
GALLEON MGMT LP	033	S	S	10,000	6.35	n/a	n/a	500.00	5.0
THIRD COAST CAPITAL	035	TIF	S	14,000	40.95	14-Jan	25-Mar	700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	TJX	B	25,000	30.70	n/a	11-Apr	1,000.00	4.0
WHITTIER CAP	048	TJX	B	2,185	30.55	n/a	11-Apr	87.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>B</b>	<b>20,000</b>	<b>16.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>TWM</b>	<b>S</b>	<b>1,000</b>	<b>80.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KERN</b>	<b>050</b>	<b>USBPF</b>	<b>S</b>	<b>30</b>	<b>0.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>VCGH</b>	<b>S</b>	<b>10,000</b>	<b>4.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>VIRL</b>	<b>S</b>	<b>6,040</b>	<b>5.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
MERRILL ASSET	032	VQ	B	19,900	13.09	n/a	n/a	895.50	4.5
MATRIX ASSET ADV.	036	WAG	B	2,600	35.43	n/a	n/a	104.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WBC</b>	<b>B</b>	<b>10,000</b>	<b>43.80</b>	<b>28-Mar</b>	<b>28-Mar</b>	<b>non-brg</b>	<b>4.0</b>
CATAPULT	040	WFC	SS	10,000	27.56	n/a	n/a	500.00	5.0
<b>BARR</b>	<b>096</b>	<b>WIND</b>	<b>B</b>	<b>2,500</b>	<b>8.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CR INTRINIC INVESTMENT	044	YHOO	B	325,000	28.11	n/a	n/a	16,250.00	5.0
J L F ASSET MGMT	039	ZLC	B	49,100	18.89	n/a	n/a	1,964.00	4.0
JCK PARTNERS	067	ZLC	SS	15,000	18.99	n/a	n/a	750.00	5.0

---

**TOTAL (Trade Date):**

**102,506.49**

---

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/11	STADIA CAPITAL	035	ARO	B	60,000	27.47	29-Nov	11-Apr	2400.00 4.0
AO,CXL	04/11	STADIA CAPITAL	035	ARO	B	60,000	27.47	29-Nov	11-Apr	2400.00 4.0
AO,CXL	04/11	IMPALA ASSET MMT	012	BG	B	149,800	103.11	n/a	n/a	4494.00 3.0
AO,CRT	04/11	IMPALA ASSET MMT	012	BG	B	170,000	103.14	n/a	n/a	5100.00 3.0
AO,	04/14	RHO CAPITAL MGMT	041	BTRNQ	S	15,000	0.01	n/a	n/a	6.00 0.0
AO,	04/14	RHO CAPITAL MGMT	041	CPST	S	130,000	2.72	n/a	n/a	3900.00 3.0
AO,CXL	04/14	LATEFF MGMT	035	PKG	B	5,500	21.15	7-Apr	7-Apr	550.00 10.0
AO,CRT	04/14	LATEFF MGMT	035	PKG	B	5,500	21.15	7-Apr	7-Apr	550.00 10.0
AO,CRT	04/11	DAVID J GREEN & CO	040	TKLC	S	6,810	13.01	n/a	22-Mar	272.40 4.0
AO,CXL	04/11	DAVID J GREEN & CO	040	TKLC	S	6,810	13.01	n/a	22-Mar	271.72 4.0

**TOTAL (AO, CXL, CRT) :****4,512.68**

TOTAL (Trade Date) :

102,506.49

TOTAL (AO, CXL, CRT) :

4,512.68

**TOTAL (RUN DATE) / NFS:****107,019.17**



MRI Securities with Trade Activity on 15-Apr.  
NONE

MRI Securities without Trade Activity on 15-Apr.  
FRX

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 3%  
YTD = 22%

**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**