



# Daily Compliance Activity Report

Trade Date: 04/18/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	AAWW	S	29,395	59.57	n/a	n/a	1,175.80	4.0
BUCK	015	ABQL	S	3	2.25	n/a	n/a	0.00	0.0
BUCK	015	AB	B	300	60.53	9-Apr	16-Apr	0.00	0.0
ROYCE TRADING	216	AEL	S	5,000	9.76	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	434,300	16.57	6-Mar	11-Apr	17,372.00	4.0
BUCK CAPITAL MGMT		AEO	B	113,200	16.52	6-Mar	11-Apr	non-brg	2.0
BUCK CAPITAL MGMT		AEO	B	24,108	16.67	6-Mar	11-Apr	non-brg	1.0
BUCK CAPITAL MGMT		AEO	B	252,500	16.54	6-Mar	11-Apr	non-brg	4.0
COUGAR TRADING	044	AEO	B	4,600	16.34	6-Mar	11-Apr	230.00	5.0
CHARTER OAK	033	AFFY	S	3,651	13.49	n/a	n/a	182.55	5.0
BUCK CAPITAL MGMT		ANF	S	30,000	74.39	10-Apr	11-Apr	non-brg	4.0
BUCK CAPITAL MGMT		ANF	S	30,000	74.68	10-Apr	11-Apr	non-brg	4.0
MERRILL ASSET	032	ANN	S	37,300	23.90	14-Mar	14-Mar	1,678.50	4.5
COUGAR TRADING	044	AN	B	10,000	15.80	n/a	8-Feb	500.00	5.0
BUCK CAPITAL MGMT		ARO+GG	SS	1,000	1.10	n/a	n/a	non-brg	300.0
J L F ASSET MGMT	039	ARO	B	37,600	30.12	29-Nov	11-Apr	1,504.00	4.0
NATIONAL BK OF CAN	031	BAC	SS	35,000	38.67	n/a	14-Apr	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	BBY	C	50,000	43.19	n/a	27-Jul	2,000.00	4.0
PRINCIPLE CAPITAL	040	BECN	S	3,700	10.33	n/a	n/a	111.00	3.0
SANDLER O'NEILL ASSET	031	BEN	B	10,700	101.00	24-Mar	16-Apr	535.00	5.0
COLUMBIA PARTNERS	028	BGG	C	107,891	14.97	n/a	n/a	4,315.64	4.0
JCK PARTNERS	067	BKC	B	20,000	28.75	n/a	15-Apr	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	BWA	S	20,300	47.08	14-Jan	7-Apr	812.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BYI+GH</b>	<b>SS</b>	<b>251</b>	<b>1.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
CAXTON PART	040	CAT	C	25,000	84.05	n/a	n/a	875.01	3.5
<b>WHEELER</b>	<b>008</b>	<b>CHP</b>	<b>S</b>	<b>28,400</b>	<b>5.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	CHS	S	40,000	6.07	11-Apr	11-Apr	2,000.00	5.0
SANDLER O'NEILL ASSET	031	CLMS	S	25,000	17.63	13-Feb	15-Apr	1,250.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>CMG</b>	<b>S</b>	<b>100</b>	<b>115.21</b>	<b>n/a</b>	<b>18-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>039</b>	<b>CMO</b>	<b>B</b>	<b>500</b>	<b>13.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>COF</b>	<b>SS</b>	<b>1,000</b>	<b>48.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>25,000</b>	<b>32.77</b>	<b>4-Apr</b>	<b>17-Apr</b>	<b>1,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	COH	S	5,000	32.69	4-Apr	17-Apr	250.00	5.0
<b>MILLER</b>	<b>025</b>	<b>C</b>	<b>S</b>	<b>25</b>	<b>25.95</b>	<b>16-Jan</b>	<b>14-Apr</b>	<b>0.00</b>	<b>0.0</b>
TRIVIUM CAP MGMT	251	DELL	B	100,000	19.60	n/a	n/a	4,000.00	4.0
<b>MILLER</b>	<b>025</b>	<b>DELL</b>	<b>S</b>	<b>25</b>	<b>19.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>SS</b>	<b>8,100</b>	<b>127.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>B</b>	<b>30,000</b>	<b>25.66</b>	<b>n/a</b>	<b>14-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
BULL PATH CAPITAL	044	DPZ	S	50,000	12.85	n/a	24-Apr	2,500.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>DUG</b>	<b>S</b>	<b>300</b>	<b>30.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>039</b>	<b>EFT</b>	<b>B</b>	<b>500</b>	<b>14.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HEALY CIRCLE	044	EL	SS	3,600	45.01	4-Jan	1-Apr	180.00	5.0
BARON ASSET MGMT*	012	EV	B	10,000	34.71	9-Jan	16-Apr	500.00	5.0
PHILADELPHIA FINANCIAL	033	EV	B	35,400	34.46	9-Jan	16-Apr	1,770.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>EXLP</b>	<b>B</b>	<b>5,000</b>	<b>29.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>N STRATTON</b>	<b>014</b>	<b>FARO</b>	<b>S</b>	<b>100</b>	<b>33.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>FIG</b>	<b>B</b>	<b>700</b>	<b>13.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FITB</b>	<b>C</b>	<b>110,000</b>	<b>22.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>B</b>	<b>20,000</b>	<b>34.42</b>	<b>13-Nov</b>	<b>9-Apr</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY	036	FTK	B	500	16.74	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FTO	B	70,000	27.03	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FUA+FH	SS	1,000	0.90	n/a	n/a	non-brg	100.0
TRELLUS PARTNERS LP	028	F	SS	30,000	7.45	18-Mar	2-Apr	900.00	3.0
⚡ BUCK CAPITAL MGMT		GES+FJ	SS	1,000	0.72	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	GES	B	20,000	39.11	n/a	n/a	800.00	4.0
MATTHES CAPITAL MGMT	033	GES	SS	25,000	39.33	n/a	n/a	1,000.00	4.0
CHILTON CAPITAL MGMT.	036	GE	B	500,000	32.39	n/a	n/a	20,000.00	4.0
⚡ BUCK CAPITAL MGMT		GIL	B	10,000	35.55	22-Jan	10-Mar	non-brg	4.0
MAIRS AND POWER INV	030	GIS	S	10,000	62.24	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	GPI	B	13,600	24.47	25-Jan	7-Apr	680.00	5.0
COUGAR TRADING	044	GPS	B	4,572	18.86	n/a	11-Apr	228.60	5.0
NUMERIC	060	GPS	B	69,300	18.90	n/a	11-Apr	2,079.00	3.0
⚡ BUCK CAPITAL MGMT		GQU+HJ	SS	1,000	2.05	n/a	n/a	non-brg	300.0
LUCHANSKY	036	GR	B	200	61.18	28-Mar	28-Mar	0.00	0.0
CASTLE ARK	031	GS	B	109,610	178.18	19-Mar	14-Apr	6,576.60	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GYMB	B	3,900	40.97	2-Apr	11-Apr	195.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>HCGI</b>	<b>B</b>	<b>5,000</b>	<b>0.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CROWLEY</b>	<b>061</b>	<b>HCGI</b>	<b>S</b>	<b>7,500</b>	<b>0.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PAW PARTNERS	041	HPQ	B	35,400	48.05	n/a	n/a	1,770.00	5.0
CASTLE ARK	031	HRS	S	82,150	51.07	28-Mar	28-Mar	4,929.00	6.0
<b>MAGUIRE</b>	<b>039</b>	<b>HSTX</b>	<b>S</b>	<b>400</b>	<b>9.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	IAR	B	138,000	3.91	n/a	n/a	4,140.00	3.0
NORTHPOINT	030	IFF	S	8,500	45.47	14-Dec	24-Mar	340.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IJR</b>	<b>SS</b>	<b>17,300</b>	<b>62.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IJS</b>	<b>SS</b>	<b>16,100</b>	<b>67.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
RHO CAPITAL MGMT	041	INP	S	300	71.66	n/a	n/a	9.00	3.0
RHO CAPITAL MGMT	041	INTC	S	500	22.54	n/a	n/a	15.00	3.0
MERRILL ASSET	032	ITG	S	19,500	50.34	n/a	n/a	975.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>ITT</b>	<b>S</b>	<b>200</b>	<b>57.94</b>	<b>n/a</b>	<b>28-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>75,000</b>	<b>71.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>SS</b>	<b>15,100</b>	<b>71.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>

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RHO CAPITAL MGMT	041	IWM	S	1,000	71.62	n/a	n/a	30.00	3.0
⌘ BUCK CAPITAL MGMT		IWO	SS	14,200	75.95	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JCG	B	10,000	43.22	28-Nov	12-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP	SS	30,000	40.06	4-Jan	17-Apr	non-brg	4.0
BARROW HANLEY MEWHINNEY	031	JNJ	B	54,800	66.21	n/a	22-Apr	2,192.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	B	20,000	25.73	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	JWN	S	5,000	35.71	31-Mar	11-Apr	250.00	5.0
NATIONAL BK OF CAN	031	KBW	SS	21,500	22.39	n/a	n/a	860.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	SS	30,000	45.86	4-Jan	11-Apr	non-brg	4.0
COUGAR TRADING	044	KSS	B	5,000	45.68	4-Jan	11-Apr	250.00	5.0
NATIONAL BK OF CAN	031	LEH	SS	11,000	46.13	1-Apr	14-Apr	440.00	4.0
EFSTATHIOU	044	LEH	B	200	45.51	1-Apr	14-Apr	0.00	0.0
⌘ BUCK CAPITAL MGMT		LIZ	SS	30,000	16.85	n/a	17-Mar	non-brg	4.0
BUCK	015	LYHVD	B	40	1.05	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MDY	SS	7,100	151.07	n/a	n/a	non-brg	2.0
NATIONAL BK OF CAN	031	MER	B	21,000	47.09	18-Jan	17-Apr	840.00	4.0
GALLEON MGMT LP	033	MHS	B	10,000	47.56	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	MO	B	296,400	21.87	n/a	n/a	11,856.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>75,000</b>	<b>148.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>14.8</b>
CHILTON CAPITAL MGMT.	036	PBCT	S	65,000	17.35	n/a	n/a	2,600.00	4.0
XYLEM GLOBAL	091	PCH	S	20,000	46.02	18-Apr	18-Apr	1,000.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>PDC</b>	<b>S</b>	<b>200</b>	<b>17.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EATON VANCE MGMT	039	PFE	S	79,199	20.33	n/a	31-Mar	2,375.97	3.0
EATON VANCE MGMT	039	PG	S	22,513	67.23	11-Dec	27-Mar	675.39	3.0
NORTHPOINT	030	PLCM	B	10,455	20.02	n/a	22-Mar	418.20	4.0
CHILTON CAPITAL MGMT.	036	PPC	S	22,800	23.45	n/a	n/a	912.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PSUN</b>	<b>SS</b>	<b>20,000</b>	<b>13.35</b>	<b>n/a</b>	<b>11-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH+FH</b>	<b>SS</b>	<b>555</b>	<b>1.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
CATAPULT	040	PVH	SS	33,000	35.89	13-Mar	26-Mar	1,320.00	4.0
EGS ASSOCIATES LP	091	PVH	SS	6,500	36.91	13-Mar	26-Mar	390.00	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>QDC+GJ</b>	<b>SS</b>	<b>2,100</b>	<b>2.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>QUK+IU</b>	<b>SS</b>	<b>300</b>	<b>7.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>QUK+IZ</b>	<b>SS</b>	<b>300</b>	<b>10.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>

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FIRST NEW YORK LEDDY	035	Q	B	40,000	4.72	n/a	n/a	2,400.00	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>RCL</b>	<b>B</b>	<b>10,000</b>	<b>34.39</b>	<b>n/a</b>	<b>31-Jan</b>	<b>non-brg</b>	<b>4.0</b>
STELLIAM INV ADV	040	RIO	B	50,000	37.74	n/a	n/a	2,500.00	5.0
ROYAL CAPITAL	039	RRGB	SS	13,845	38.36	n/a	n/a	692.25	5.0
<b>WHEELER</b>	<b>008</b>	<b>RUSHA</b>	<b>B</b>	<b>5,000</b>	<b>15.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KNOTT PARTNERS	044	RVI	S	20,000	4.12	n/a	n/a	400.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>SDS</b>	<b>S</b>	<b>47,900</b>	<b>58.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SDS</b>	<b>S</b>	<b>50,000</b>	<b>58.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>SDS</b>	<b>S</b>	<b>200</b>	<b>58.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>SFBQC</b>	<b>S</b>	<b>7</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SGMS</b>	<b>S</b>	<b>80,000</b>	<b>24.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	SHFL	B	20,000	4.87	n/a	n/a	800.00	4.0
SUN AMERICA ASSET MGMT	030	SLB	B	12,700	100.59	n/a	n/a	508.00	4.0
TRUST CO/COWEN/CALF.	040	SLE	B	3,500	13.99	n/a	n/a	140.00	4.0
CUMBERLAND	038	SMG	S	15,000	34.74	11-Feb	14-Apr	600.00	4.0
<b>MAGUIRE</b>	<b>039</b>	<b>SMN</b>	<b>S</b>	<b>100</b>	<b>30.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>



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SONAR CAP MGMT	039	SNDK	B	85,000	26.44	n/a	n/a	3,400.00	4.0
⌘ BUCK CAPITAL MGMT		SPY	C	40,000	138.78	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPY	SS	7,800	138.32	n/a	n/a	non-brg	2.0
RHO CAPITAL MGMT	041	SPY	SS	400	138.78	n/a	n/a	12.00	3.0
MERRILL ASSET	032	STC	B	15,400	31.88	n/a	n/a	693.00	4.5
BUCK CAPITAL MGMT	001	TLB	B	10,000	8.09	17-Apr	18-Apr	400.00	4.0
⌘ BUCK CAPITAL MGMT		TLB	B	20,000	8.70	17-Apr	18-Apr	non-brg	1.0
J L F ASSET MGMT	039	TLB	B	108,600	8.34	17-Apr	18-Apr	4,344.00	4.0
⌘ BUCK CAPITAL MGMT		TRLG	B	30,000	16.36	n/a	n/a	non-brg	4.0
FORD FDN.	032	TROW	S	30,000	55.52	9-Jan	16-Apr	1,500.00	5.0
LEDDY	035	TROW	SS	500	55.65	9-Jan	16-Apr	0.00	0.0
NORTHPOINT	030	TSN	B	25,900	19.46	n/a	n/a	1,036.00	4.0
LEHMAN PROPRIETARY TRAD	041	TYC	S	25,000	47.19	n/a	28-Mar	1,000.00	4.0
DEMARTINI	065	TYC	S	200	47.17	n/a	28-Mar	0.00	0.0
BARROW HANLEY MEWHINNEY	031	UNH	B	98,100	37.01	n/a	n/a	3,924.00	4.0
WHEELER	008	UNT	B	1,000	61.18	20-Mar	1-Apr	0.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	B	40,000	32.21	3-Apr	9-Apr	non-brg	4.0
MARK ASSETMGMT (SR)	040	URBN	S	40,000	31.67	3-Apr	9-Apr	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		VIRL	S	5,000	5.42	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		VLO	B	55,000	53.34	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		WBC	B	10,000	44.85	28-Mar	28-Mar	non-brg	4.0
EFSTATHIOU	044	WBC	B	200	44.68	28-Mar	28-Mar	0.00	0.0
WHEELER	008	WB	S	4,000	26.79	n/a	n/a	0.00	0.0
RHO CAPITAL MGMT	041	WDC	SS	500	29.27	n/a	n/a	15.00	3.0
PERFORMANCE PART LP #2	041	WEN	B	10,000	24.71	n/a	24-Apr	500.00	5.0
CROWLEY	061	WHT	S	500	3.62	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	WLP	B	74,100	48.64	n/a	n/a	2,964.00	4.0
BUCK CAPITAL MGMT		WRNC	B	12,000	44.25	3-Apr	3-Apr	non-brg	4.0
HIGHBRIDGE CAPITAL	038	WY	SS	76,201	64.12	7-Apr	7-Apr	3,810.05	5.0
BUCK CAPITAL MGMT		XLF	SS	163,300	26.55	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		XRT	C	8,000	32.49	n/a	n/a	non-brg	1.0
MARK ASSETMGMT (SR)	040	YHOO	B	8,000	28.44	n/a	n/a	320.00	4.0
LISTED ERR	099	YHOO	B	8,000	28.50	n/a	n/a	0.00	0.0
LISTED ERR	099	YHOO	S	8,000	28.44	n/a	n/a	0.00	0.0
BUCK	015	YHQEF	S	20	0.79	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZQK	S	5,000	10.10	5-Feb	7-Mar	250.00	5.0

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**TOTAL (Trade Date):**

**154,246.56**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/17	NOMURA CAPITAL	045	GT	B	1,300	26.71	n/a	n/a	65.00 5.0
AO,	04/17	NOMURA CAPITAL	045	PTRY	B	4,400	10.65	n/a	n/a	220.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>285.00</b>

TOTAL (Trade Date):	154,246.56
TOTAL (AO, CXL, CRT):	285.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>154,531.56</b>
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MRI Securities with Trade Activity on 18-Apr.  
**PCH**

MRI Securities without Trade Activity on 18-Apr.  
**HON**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 21%  
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**