



Daily Compliance Activity Report

Trade Date: 05/12/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELL	039	ADPT	S	81,300	2.86	n/a	n/a	1,626.00	2.0
COUGAR TRADING	044	AEO	S	20,000	18.57	6-Mar	9-May	1,000.00	5.0
B BUCK CAPITAL MGMT		ANR	S	4,000	59.96	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	AN	B	5,000	16.55	n/a	25-Apr	250.00	5.0
MILLRACE FUND LP	028	ARGN	B	20,000	12.42	n/a	1-May	800.00	4.0
EMP ERROR	099	ARGN	S	300	12.56	n/a	1-May	0.00	0.0
CATAPULT	040	BAC	SS	7,500	37.25	n/a	22-Apr	375.00	5.0
HAYGROUND COE	039	BBBY	B	52,350	33.36	n/a	n/a	2,617.50	5.0
BUCK CAPITAL MGMT	001	BBY	B	20,000	43.68	n/a	27-Jul	800.00	4.0
LEDDY	035	BIG	SS	800	28.27	6-Mar	9-May	0.00	0.0
GAULT	063	BIG	C	1,000	28.41	6-Mar	9-May	0.00	0.0
GLOBAL 56 LLC	060	BKC	B	2,000	28.38	1-May	2-May	100.00	5.0
GLOBAL 56 LLC	060	BKC	S	2,000	29.20	1-May	2-May	100.00	5.0
LISTED ERR	099	BKS	B	1,000	30.63	n/a	n/a	0.00	0.0
LISTED ERR	099	BKS	S	1,000	30.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BTU	S	2,000	68.68	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	BZP	B	1,481	23.71	n/a	n/a	44.43	3.0
BARR	096	CDNS	SS	3,000	11.10	n/a	n/a	0.00	0.0
GREEN ARROW CAPITAL	034	CMA	S	25,000	38.97	n/a	n/a	1,000.00	4.0
NWQ INVESTMENT MGMT CO	048	CMCSK	S	128,800	21.47	n/a	n/a	3,864.00	3.0
NEUBERGER BERMAN	036	CNQ	S	34,600	96.47	n/a	n/a	1,557.00	4.5
MERRILL ASSET	032	CRR	B	8,100	46.85	6-May	6-May	405.00	5.0
SIGMA CAPITAL ASSOCIATES	237	CSCO	B	100,000	25.85	n/a	22-Mar	5,000.00	5.0
B BUCK CAPITAL MGMT		CWTR	B	50,000	5.30	n/a	n/a	non-brg	4.0
AVESTA CAP	229	C	S	100,000	23.71	16-Jan	12-May	5,000.00	5.0
B BUCK CAPITAL MGMT		DAI+SO	SS	1,000	1.50	n/a	n/a	non-brg	300.0
MILLER	025	EWZ	S	50	94.38	n/a	n/a	0.00	0.0
BARR	096	EXAR	B	4,000	9.05	n/a	n/a	0.00	0.0
HOOVER INV. MGMT	033	FCS	B	39,400	14.40	n/a	n/a	1,970.00	5.0
MS PRINCIPAL STRATEGIES	041	FHN	B	6,658	10.00	n/a	n/a	332.90	5.0
COUGAR TRADING	044	FOSL	B	5,000	36.75	n/a	7-May	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JPMSI/TOM LEDDY	035	FOSL	S	10,000	36.77	n/a	7-May	500.00	5.0
JP MORGAN VENTURES	046	GAP	S	25,000	25.29	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		GM+UT	SS	2,000	1.63	n/a	n/a	non-brg	300.0
1798 CAPITAL MGMT	040	GME	B	5,000	53.47	n/a	n/a	250.00	5.0
MCCARTAN	028	GM	C	200	20.56	29-Apr	9-May	0.00	0.0
⚡ BUCK CAPITAL MGMT		GPS+RW	SS	1,000	0.72	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		GPS	SS	100,000	17.97	n/a	9-May	non-brg	3.0
EPOCH INV MGMT	030	GU	B	5,350	14.20	n/a	n/a	214.00	4.0
WHEELER	008	HAYN	B	1,000	58.38	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	HOC	S	83,130	44.45	n/a	n/a	3,740.85	4.5
MCCARTAN	028	ICON	B	100	14.37	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JAH	B	30,000	21.51	n/a	n/a	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		JCG+IK	SS	1,000	2.30	n/a	n/a	non-brg	300.0
ARTX	304	JCG	S	122,500	47.81	n/a	12-Mar	6,125.00	5.0
JP MORGAN VENTURES	046	JOSB	B	10,000	25.87	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	JPM	S	50,000	46.88	8-May	8-May	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STRAUSS ASSET MGMT	040	KEG	B	25,000	15.61	14-Feb	9-May	1,000.00	4.0
N STRATTON	014	KSW	B	200	5.05	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	LEH	B	10,000	44.66	1-Apr	14-Apr	400.00	4.0
B BUCK CAPITAL MGMT		LIZ+RW	SS	3,000	0.73	n/a	n/a	non-brg	100.0
N STRATTON	014	LTRE	SS	200	17.75	n/a	n/a	0.00	0.0
COUGAR TRADING	044	MCD	S	5,000	60.05	n/a	8-May	250.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	75,000	151.18	n/a	n/a	non-brg	15.1
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	20.57	7-Apr	9-May	400.00	4.0
STG INVESTORS	041	NSM	SS	50,000	20.43	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		NWY	B	100,000	7.16	n/a	9-May	non-brg	4.0
COUGAR TRADING	044	NWY	S	5,000	7.16	n/a	9-May	250.00	5.0
1798 CAPITAL MGMT	040	ORLY	SS	10,000	28.11	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	PBCT	B	5,700	17.23	n/a	n/a	228.00	4.0
B BUCK CAPITAL MGMT		PCX	S	600	75.65	n/a	n/a	non-brg	4.0
BARR	096	PDFS	B	3,000	5.10	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	PEP	S	25,000	67.35	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	PG	S	15,000	65.14	n/a	8-May	750.00	5.0
EGS ASSOCIATES LP	091	PLCE	B	5,000	29.60	2-May	12-May	300.00	6.0
VISIUM/BALY HOWARD	038	PLCE	S	7,500	29.96	2-May	12-May	375.00	5.0
HEALY CIRCLE	044	PSS	B	25,000	11.58	n/a	n/a	1,250.00	5.0
FIRST NY SEC/CHRIS	041	PSUN	B	10,000	11.28	n/a	9-May	600.00	6.0
VISIUM/BALY HOWARD	038	PSUN	B	20,000	11.24	n/a	9-May	1,000.00	5.0
B BUCK CAPITAL MGMT		RSH	S	100,000	14.98	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAPITAL	038	RVBD	SS	98,876	16.59	n/a	n/a	4,943.80	5.0
B BUCK CAPITAL MGMT		SBAC	B	50,000	34.28	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SBAC	B	75,000	34.24	n/a	n/a	non-brg	4.0
ENTRUST CAPITAL	040	SHW	B	9,200	55.90	n/a	22-Apr	460.00	5.0
B BUCK CAPITAL MGMT		SKS+TV	SS	1,300	1.07	n/a	n/a	non-brg	300.0
BARR	096	SOAP	C	13,982	6.60	n/a	n/a	0.00	0.0
LEHMAN PROPRIETARY TRAD	041	SYK	SS	45,000	64.00	n/a	n/a	1,800.00	4.0
JP MORGAN VENTURES	046	SYI	B	10,000	30.66	n/a	24-Apr	500.00	5.0
GREEN ARROW CAPITAL	034	TCB	S	30,000	17.62	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	THI	B	40,000	32.62	n/a	24-Apr	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	TIN	B	900	12.52	29-Apr	29-Apr	0.00	0.0
⌘ BUCK CAPITAL MGMT		TLB	B	50,000	7.55	17-Apr	9-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TQQ+RH	SS	1,000	1.05	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		TRLG	S	40,000	23.79	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TWB	B	50,000	20.55	17-Mar	2-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URQ+IH	SS	2,000	1.20	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WFMI	C	100,000	33.71	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	WMT	B	30,000	58.10	n/a	9-May	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		WRNC	B	10,000	45.73	3-Apr	28-Apr	non-brg	1.0
LEDDY	035	XOHO	S	3,000	0.61	n/a	n/a	0.00	0.0
MILLENIUUM PARTNERS	028	ZION	B	50,000	45.56	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		ZJQ+JF	SS	1,000	0.95	n/a	n/a	non-brg	100.0
TOTAL (Trade Date):							68,428.48		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	05/09	MCCARTAN	028	ARGN	B	300	12.05	n/a	1-May	0.00 0.0
AO, CRT	05/09	EMP ERROR	099	ARGN	B	300	12.05	n/a	1-May	0.00 0.0
AO,	05/09	MORRISON&FRASIER/BUTLER	040	DHT	B	10,000	10.61	n/a	n/a	500.00 5.0
AO, CXL	05/09	MORRISON&FRASIER/BUTLER	040	DHT	B	10,000	10.61	n/a	n/a	500.00 5.0
AO,	05/09	STG INVESTORS	041	JNPR	SS	25,000	27.55	n/a	22-Mar	1000.00 4.0
AO, CRT	05/09	MKT MAKER	098	KEG	B	6,135	15.67	14-Feb	9-May	0.00 0.0
AO,	05/09	STG INVESTORS	041	NOK	B	40,000	29.02	n/a	n/a	1600.00 4.0
AO,	05/09	EMP ERROR	099	V	B	100	85.04	n/a	n/a	0.00 0.0
AO,	05/09	LUCHANSKY	036	V	S	100	85.04	n/a	n/a	0.00 0.0
AO, CXL	05/09	LUCHANSKY	036	V	S	100	85.45	n/a	n/a	0.00 0.0
AO, CRT	05/09	EMP ERROR	099	V	S	100	85.45	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										2,600.00
TOTAL (Trade Date):										68,428.48
TOTAL (AO, CXL, CRT):										2,600.00
TOTAL (RUN DATE) / NFS:										71,028.48

MRI Securities with Trade Activity on 12-May.
NONE

MRI Securities without Trade Activity on 12-May.
HRS, WCRX

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