



Daily Compliance Activity Report

Trade Date: 04/17/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	AB	B	600	58.68	9-Apr	16-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	100,000	15.94	6-Mar	11-Apr	4,000.00	4.0
CHARTER OAK	033	AFFY	S	15,563	13.33	n/a	n/a	778.15	5.0
CROWLEY	061	APNS	S	10,000	0.08	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		ARO+GG	SS	2,000	0.85	n/a	n/a	non-brg	100.0
J L F ASSET MGMT	039	ARO	B	16,500	28.55	29-Nov	11-Apr	660.00	4.0
MILLENIUM PARTNERS	028	ARO	S	20,000	28.70	29-Nov	11-Apr	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	AXE	B	15,000	64.23	28-Mar	4-Apr	750.00	5.0
⚡ BUCK CAPITAL MGMT		BBT	C	100,000	33.28	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	BIG	B	25,000	22.46	6-Mar	11-Apr	1,250.00	5.0
SUNOVA CAPITAL	031	BK	B	25,000	43.21	n/a	14-Apr	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		BWA	B	20,000	45.49	14-Jan	7-Apr	non-brg	4.0
TROUBH PART	067	CAT	B	10,000	78.91	n/a	n/a	500.00	5.0
TROUBH PART	067	CAT	SS	10,000	78.65	n/a	n/a	500.00	5.0
CHILTON CAPITAL MGMT.	036	CHK	SS	250,000	49.55	n/a	n/a	10,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	CHS	S	10,000	5.87	11-Apr	11-Apr	500.00	5.0
STRONG/MARK GRONET	030	CMOS	B	50,000	1.35	n/a	n/a	500.00	1.0
GALLEON MGMT LP	033	CMVT	B	20,000	15.89	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	COH	S	5,000	31.50	4-Apr	17-Apr	250.00	5.0
RHO CAPITAL MGMT	041	CPST	S	158,000	2.93	n/a	n/a	4,740.00	3.0
FIRST NY SEC/CHRIS	041	CROX	B	20,000	10.27	n/a	n/a	1,200.00	6.0
BENCHMARK	028	CYN	B	10,000	47.80	n/a	n/a	500.00	5.0
CATAPULT	040	C	S	10,000	23.97	16-Jan	14-Apr	500.00	5.0
CHILTON CAPITAL MGMT.	036	C	C	500,000	24.09	16-Jan	14-Apr	20,000.00	4.0
EMP ERROR	099	C	B	500	24.36	16-Jan	14-Apr	0.00	0.0
EMP ERROR	099	C	S	500	24.26	16-Jan	14-Apr	0.00	0.0
5 BUCK CAPITAL MGMT		DAI	SS	20,000	79.48	n/a	n/a	non-brg	4.0
PERRY PARTNERS	041	DBD	S	50,000	38.38	27-Mar	28-Mar	1,500.00	3.0
COUGAR TRADING	044	DSW	B	10,000	12.82	28-Mar	28-Mar	500.00	5.0
GAULT	063	EBHI	S	2,000	3.55	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	ENR	SS	51,700	88.73	14-Apr	14-Apr	2,068.00	4.0
COLUMBIA PARTNERS	028	ESE	B	23,704	43.93	n/a	n/a	948.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EWG	S	500	32.34	n/a	n/a	25.00	5.0
SANDLER O'NEILL ASSET	031	FII	B	25,000	33.22	14-Apr	16-Apr	1,250.00	5.0
PATTEN & PATTEN	067	FPL	S	100	67.11	n/a	n/a	5.00	5.0
B BUCK CAPITAL MGMT		FXE+RZ	B	125	2.00	n/a	n/a	non-brg	300.0
TRELLUS PARTNERS LP	028	F	SS	50,000	7.23	18-Mar	2-Apr	1,500.00	3.0
B BUCK CAPITAL MGMT		GES+FH	SS	1,000	2.82	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		GES	B	10,000	37.44	n/a	n/a	non-brg	4.0
GOLD SACHS SPECIAL SIT	030	GIL	SS	25,000	34.96	22-Jan	10-Mar	1,250.00	5.0
WAGONHOUND	048	GIL	S	1,310	34.90	22-Jan	10-Mar	52.40	4.0
JPMSI/TOM LEDDY	035	HBI	S	5,000	34.22	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		HD	B	5,000	28.09	n/a	27-Jul	non-brg	4.0
EPOCH INV MGMT	030	HLX	B	5,900	34.68	n/a	n/a	236.00	4.0
GALLEON MGMT LP	033	HOG	C	15,900	36.23	n/a	n/a	795.00	5.0
B BUCK CAPITAL MGMT		ICON	B	10,000	15.93	n/a	n/a	non-brg	4.0
HARTIRRL	056	ICON	B	60	15.94	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	IP	SS	20,000	27.73	8-Feb	7-Apr	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	ITG	S	37,200	49.29	n/a	n/a	1,767.00	4.8
B BUCK CAPITAL MGMT		IVZ	B	106,900	23.48	10-Apr	17-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		IWM	C	80,000	70.68	n/a	n/a	non-brg	1.0
EGS ASSOCIATES LP	091	JCP	SS	4,000	38.44	4-Jan	17-Apr	240.00	6.0
B BUCK CAPITAL MGMT		JNS	B	101,800	24.73	24-Mar	10-Apr	non-brg	4.0
LEHMAN PROPRIETARY TRAD	041	KCE	B	80,000	51.81	n/a	n/a	3,200.00	4.0
HIGHBRIDGE/MS OLDS	041	KLAC	B	15,900	42.13	n/a	n/a	477.00	3.0
PATTEN & PATTEN	067	KO	B	125	60.72	n/a	n/a	6.25	5.0
SUNOVA CAPITAL	031	LM	B	10,000	56.32	24-Mar	10-Apr	500.00	5.0
B BUCK CAPITAL MGMT		LOW	B	5,000	24.57	n/a	27-Jul	non-brg	4.0
BALYASNY ASSET MGMT	044	LTD	B	25,000	17.75	n/a	11-Apr	1,250.00	5.0
COUGAR TRADING	044	LTD	S	5,000	17.79	n/a	11-Apr	250.00	5.0
B BUCK CAPITAL MGMT		LVS	C	15,000	66.94	n/a	n/a	non-brg	1.0
DALTON GREINER	012	MLI	S	27,490	30.51	5-Feb	28-Mar	1,374.50	5.0
MERRILL ASSET	032	MLI	S	1,300	31.06	5-Feb	28-Mar	58.50	4.5
MAGNETAR FINANCIAL	031	MOLX	SS	75,000	24.96	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	048	MON	B	14,400	128.00	n/a	2-Apr	576.00	4.0
ROSEDALE CAPITAL	046	MRK	S	15,000	39.38	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	MXI	B	50	83.60	n/a	n/a	2.50	5.0
THE JAY GOLDMAN	034	M	B	15,000	22.21	7-Feb	11-Apr	600.00	4.0
ROTHSCHILD ASSET	040	NUS	B	15,400	18.78	n/a	n/a	693.00	4.5
PATTEN & PATTEN	067	NVS	S	200	46.31	n/a	n/a	10.00	5.0
COUGAR TRADING	044	NWY	B	5,000	5.61	n/a	20-Mar	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	OXM	S	20,000	26.56	n/a	n/a	750.00	3.8
GALLEON MGMT LP	033	PMTG	S	20,000	15.30	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		QUK+FF	SS	300	9.30	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		QZS+GF	SS	1,000	2.00	n/a	n/a	non-brg	300.0
MAGNETAR FINANCIAL	031	RAI	SS	10,000	58.83	n/a	n/a	300.00	3.0
HIGHBRIDGE/MS OLDS	041	RRI	B	100,000	26.96	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		SDS	S	89,000	59.84	n/a	n/a	non-brg	2.0
JCK PARTNERS	067	SKS	B	45,000	12.27	n/a	n/a	2,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RHO CAPITAL MGMT	041	SLT	S	2,800	20.58	n/a	n/a	112.00	4.0
⌘ BUCK CAPITAL MGMT		SPY	C	40,000	136.44	n/a	n/a	non-brg	1.0
MERRILL ASSET	032	STC	B	8,900	31.19	n/a	n/a	400.50	4.5
RHO CAPITAL MGMT	041	STX	B	1,000	19.50	n/a	n/a	40.00	4.0
STADIA CAPITAL	044	SVU	SS	25,000	30.57	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		TJX+GG	SS	1,000	0.72	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		TJX	B	20,000	31.02	n/a	11-Apr	non-brg	4.0
MERRILL ASSET	032	TLB	B	87,300	9.01	17-Apr	17-Apr	3,928.50	4.5
⌘ BUCK CAPITAL MGMT		TRLG	B	40,000	15.88	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	TROW	SS	15,000	52.26	9-Jan	16-Apr	750.00	5.0
LEDDY	035	TROW	SS	300	53.99	9-Jan	16-Apr	0.00	0.0
EFSTATHIOU	044	TWTC	B	500	16.60	9-Nov	4-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		UA	B	50,000	33.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	10,000	31.91	3-Apr	9-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		UWY+DS	C	1,500	2.00	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		UWY+DS	SS	1,500	1.20	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		VCGH	S	10,000	4.42	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		VIRL	S	10,000	5.42	n/a	n/a	non-brg	1.0
EPOCH INV MGMT	030	WBC	B	1,400	44.52	28-Mar	28-Mar	56.00	4.0
PATTEN & PATTEN	067	WBC	S	200	44.49	28-Mar	28-Mar	10.00	5.0
PATTEN & PATTEN	067	WB	S	300	25.99	n/a	n/a	15.00	5.0
EPOCH INV MGMT	030	WFR	B	3,350	72.77	n/a	n/a	134.00	4.0
EPOCH INV MGMT	030	WFT	B	2,750	78.95	n/a	n/a	110.00	4.0
CROWLEY	061	WHT	S	1,000	3.36	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WMI	B	9,250	34.90	n/a	n/a	370.00	4.0
TROUBH PART	067	WMT	SS	5,000	56.37	n/a	14-Apr	250.00	5.0
⌘ BUCK CAPITAL MGMT		WYNN	B	150,000	94.85	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		WYNN	S	150,000	96.10	n/a	n/a	non-brg	3.0
RHO CAPITAL MGMT	041	XLNX	B	1,500	23.44	n/a	n/a	60.00	4.0
EPOCH INV MGMT	030	XOM	B	5,700	92.81	n/a	n/a	228.00	4.0
⌘ BUCK CAPITAL MGMT		XRT	B	5,000	31.64	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	ZQK	S	5,000	9.96	5-Feb	7-Mar	250.00	5.0

TOTAL (Trade Date):

90,526.46

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	04/15	MKT MAKER	099	BTRNQ	S	12,640	0.00	n/a	n/a	0.00	0.0
AO,CRT	04/16	WHEELER	008	COVJI	S	40	3.50	n/a	n/a	0.00	0.0
AO,CXL	04/16	WHEELER	008	COVJI	S	40	3.50	n/a	n/a	0.00	0.0
AO,	04/16	COLUMBIA PARTNERS	028	ESE	B	69,975	43.00	n/a	n/a	2799.00	4.0
AO,	04/16	NOMURA CAPITAL	045	GT	B	2,400	26.75	n/a	n/a	120.00	5.0
AO,CRT	04/15	JCK PARTNERS	067	ZLC	SS	3,895	18.99	n/a	n/a	194.75	5.0
AO,CXL	04/15	JCK PARTNERS	067	ZLC	SS	15,000	18.99	n/a	n/a	750.00	5.0
AO,	04/15	JCK PARTNERS	067	ZLC	SS	11,105	18.99	n/a	n/a	555.25	5.0

TOTAL (AO, CXL, CRT) :**2,919.00**

TOTAL (Trade Date):

90,526.46

TOTAL (AO, CXL, CRT):

2,919.00

TOTAL (RUN DATE) / NFS:**93,445.46**

MRI Securities with Trade Activity on 17-Apr.

TLB

MRI Securities without Trade Activity on 17-Apr.

ALV

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

T-Date = 7%

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