



Daily Compliance Activity Report

Trade Date: 07/21/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WATER STREET CAPITAL	038	AA	S	125,000	33.88	n/a	n/a	6,250.00	5.0
NWQ INVESTMENT MGMT CO	048	ABH	S	8,228	8.92	n/a	11-Jul	246.84	3.0
ENDEAVOUR CAPITAL	035	ADS	SS	30,000	61.51	n/a	n/a	1,500.00	5.0
PAW PARTNERS	041	ADTN	SS	5,900	22.94	n/a	22-Mar	295.00	5.0
CHARTER OAK	033	AFFY	S	960	19.59	n/a	n/a	48.00	5.0
DECADE CAPITAL PARTNERS	040	AJG	B	40,000	25.19	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		ALV	B	24,000	45.76	17-Apr	17-Jul	non-brg	1.0
CROSS CAPITAL	028	ALV	B	35,490	45.60	17-Apr	17-Jul	1,774.50	5.0
TRELLUS PARTNERS LP	028	ALV	B	33,500	45.45	17-Apr	17-Jul	1,675.00	5.0
CATAPULT	040	AMX	B	10,260	53.22	n/a	n/a	410.40	4.0
CHILTON CAPITAL MGMT.	036	AMX	S	400,000	52.92	n/a	n/a	16,000.00	4.0
COUGAR TRADING	044	ANF	SS	5,000	59.28	10-Jul	11-Jul	250.00	5.0
B BUCK CAPITAL MGMT		ANN+UD	SS	1,000	0.95	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	ANN	SS	40,000	22.75	14-Mar	11-Jul	1,600.00	4.0
COUGAR TRADING	044	ANN	SS	5,000	23.33	14-Mar	11-Jul	250.00	5.0
B BUCK CAPITAL MGMT		APP	S	10,000	7.08	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	BBT	B	50,000	27.43	n/a	n/a	2,000.00	4.0
NWQ INVESTMENT MGMT CO	048	BKI	S	12,350	8.31	n/a	n/a	370.50	3.0
SUNOVA CAPITAL	031	BLK	B	5,000	214.82	n/a	17-Jul	250.00	5.0
SERENGETI MGMT	030	BOH	SS	150,000	46.27	n/a	n/a	7,500.00	5.0
S.A.C. CAPITAL MGMT.	044	BRL	S	25,000	64.65	18-Jul	18-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	CAT	B	15,000	71.09	n/a	23-May	600.00	4.0
KAICHER	064	CBI	B	2,000	32.60	n/a	n/a	0.00	0.0
ENDEAVOUR CAPITAL	035	CBU	B	50,000	23.21	n/a	n/a	2,500.00	5.0
BARR	096	CDNS	C	8,000	10.29	n/a	n/a	0.00	0.0
BARR	096	CEVA	S	1,500	9.01	n/a	n/a	0.00	0.0
NORTHPOINT	030	CFNL	B	13,865	7.12	n/a	n/a	415.95	3.0
NICOLAS APPLGATE	048	CHIC	S	6,550	14.16	n/a	n/a	196.50	3.0
MERRILL ASSET	032	CRR	S	10,800	52.71	5-Jun	17-Jul	486.00	4.5
MATRIX ASSET ADV.	036	CSCO	B	23,500	21.82	n/a	22-Mar	940.00	4.0
ROARING BLUE LION MGMT	012	DECK	B	3,700	114.26	n/a	n/a	148.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARPNANCY	023	DODGX	B	45	110.69	n/a	n/a	0.00	0.0
CUMBERLAND	038	DOX	B	50,000	29.81	n/a	n/a	2,000.00	4.0
NORTHPOINT	030	DRQ	B	9,685	55.04	n/a	n/a	387.40	4.0
NORTHPOINT	030	DWSN	B	8,815	52.94	n/a	n/a	352.60	4.0
B BUCK CAPITAL MGMT		EL+TH	SS	1,000	1.17	n/a	n/a	non-brg	300.0
NORTHPOINT	030	EMKR	B	93,750	5.03	n/a	n/a	2,812.50	3.0
MS PRINCIPAL STRATEGIES	041	ERJ	SS	50,000	29.15	n/a	n/a	2,500.00	5.0
CHILTON CAPITAL MGMT.	036	FIS	S	119,700	20.03	n/a	n/a	4,788.00	4.0
BUCK CAPITAL MGMT	001	FL	S	10,000	13.50	2-Apr	9-Jul	400.00	4.0
KENNEDY CAPITAL	046	FSS	B	10,000	11.99	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	10,000	28.68	n/a	10-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	32.22	n/a	n/a	400.00	4.0
NWQ INVESTMENT MGMT CO	048	GFF	S	15,000	8.95	n/a	n/a	450.00	3.0
BARR	096	GFI	S	8,500	12.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	25.39	30-Apr	18-Jul	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GYMB	S	5,000	39.63	11-Jul	11-Jul	250.00	5.0
B BUCK CAPITAL MGMT		HAS+VZ	SS	1,500	1.23	n/a	n/a	non-brg	300.0
JP MORGAN VENTURES	046	HBI	B	20,000	25.84	n/a	n/a	1,000.00	5.0
KENNEDY CAPITAL	046	HMN	B	30,000	12.94	n/a	n/a	1,200.00	4.0
HUNTER GLOBAL INVESTOR	067	HOG	SS	54,000	37.05	n/a	n/a	2,700.00	5.0
CUMBERLAND	038	HTLD	B	50,000	16.70	n/a	n/a	2,000.00	4.0
KEEFE BRUYETTE WOODS A	031	IAI	B	12,700	33.08	n/a	n/a	635.00	5.0
LED DY	035	ICON	B	1,200	11.56	n/a	n/a	0.00	0.0
HART	056	ICON	B	75	11.72	n/a	n/a	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	IMN	SS	100,000	21.99	n/a	n/a	3,000.00	3.0
J L F ASSET MGMT	039	IP	B	83,500	23.39	16-Jul	16-Jul	3,340.00	4.0
CATAPULT	040	JEC	B	7,500	82.56	n/a	n/a	300.00	4.0
HUNTER GLOBAL INVESTOR	067	JEF	SS	28,000	17.92	n/a	n/a	1,400.00	5.0
BARR	096	KRE	C	3,000	28.51	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MA	B	4,000	275.35	16-Jul	16-Jul	160.00	4.0
N STRATTON	014	MCO	C	100	34.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	MCO	C	900	35.08	n/a	n/a	0.00	0.0
BARR	096	MENT	S	1,200	15.31	n/a	n/a	0.00	0.0
CHARTER OAK	033	MRT	S	4,325	5.78	n/a	n/a	216.25	5.0
BARR	096	MTB	C	1,300	69.54	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	MVL	S	44,900	32.37	n/a	n/a	2,020.50	4.5
BUCK CAPITAL MGMT	001	M	S	10,000	17.91	14-Jul	14-Jul	400.00	4.0
BARR	096	NEM	S	2,500	49.30	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	NOVN	SS	50,000	11.05	n/a	n/a	1,500.00	3.0
BARR	096	NVTL	S	400	10.67	n/a	n/a	0.00	0.0
CATAPULT	040	OMC	B	15,000	42.26	n/a	n/a	600.00	4.0
CATAPULT	040	PCP	B	11,000	102.45	n/a	n/a	440.00	4.0
BARR	096	PDFS	S	1,700	5.04	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	PEO	B	10,000	38.89	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		PERY	SS	5,000	21.01	n/a	n/a	non-brg	4.0
BACKBAY	041	PKG	B	25,000	24.86	22-Jul	11-Jul	1,250.00	5.0
BASIX	033	PKG	S	25,000	24.96	22-Jul	11-Jul	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PKG	B	15,000	25.05	22-Jul	11-Jul	750.00	5.0
DIAMONDBACK CAP MGMT	232	PKG	B	50,000	25.19	22-Jul	11-Jul	2,500.00	5.0
FIRST NY SEC/CHRIS	041	PKG	B	40,000	24.99	22-Jul	11-Jul	2,000.00	5.0
J L F ASSET MGMT	039	PKG	B	187,400	24.98	22-Jul	11-Jul	7,496.00	4.0
SCOPUS FUND	041	PKG	B	25,000	25.36	22-Jul	11-Jul	1,250.00	5.0
TRELLUS PARTNERS LP	028	PKG	B	25,600	24.90	22-Jul	11-Jul	1,280.00	5.0
B BUCK CAPITAL MGMT		PSUN	S	20,000	8.18	n/a	11-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	35.92	5-May	18-Jul	1,200.00	4.0
BARR	096	RKH	C	200	99.29	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	RNST	B	10,000	15.80	n/a	n/a	400.00	4.0
OSS CAPITAL/KEVIN DANN	067	SAY	B	466,700	20.85	n/a	n/a	14,001.00	3.0
B BUCK CAPITAL MGMT		SKF	B	31,200	131.11	n/a	n/a	non-brg	2.0
WHITE PINE CAPITAL	030	SMBL	S	600	6.48	n/a	n/a	30.00	5.0
BARR	096	SQNM	S	1,000	21.33	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	SSCC	B	367,300	5.15	7-Apr	11-Jul	14,692.00	4.0
COUGAR TRADING	044	SSO	S	5,000	59.71	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	TCBI	S	1,500	15.37	n/a	n/a	75.00	5.0
GOLD SACHS SPECIAL SIT	030	TEN	SS	113,200	13.67	n/a	n/a	5,660.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	TIN	B	140,300	13.51	29-Apr	11-Jul	5,612.00	4.0
NWQ INVESTMENT MGMT CO	048	TIN	S	20,100	13.80	29-Apr	11-Jul	804.00	4.0
BUCK CAPITAL MGMT	001	TJX	S	150,000	33.84	n/a	11-Jul	6,000.00	4.0
BUCK CAPITAL MGMT	001	TLB	S	30,000	10.74	17-Apr	9-Jul	1,200.00	4.0
CHARTER OAK	033	TLP	S	1,600	24.04	n/a	n/a	80.00	5.0
B BUCK CAPITAL MGMT		TPX	S	300,000	10.04	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TRLG	S	20,000	26.86	n/a	n/a	non-brg	4.0
WHEELER	008	TRMA	B	2,000	26.74	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	UFS	S	16,600	4.75	n/a	n/a	498.00	3.0
B BUCK CAPITAL MGMT		URBN	B	20,000	30.85	15-May	9-Jul	non-brg	4.0
COUGAR TRADING	044	URBN	SS	5,000	31.33	15-May	9-Jul	250.00	5.0
N STRATTON	014	URBN	C	100	31.00	15-May	9-Jul	0.00	0.0
B BUCK CAPITAL MGMT		URQ+LH	SS	1,000	1.02	n/a	n/a	non-brg	300.0
CENTURION GLOBAL MGMT LL	041	UYG	S	24,000	20.43	n/a	n/a	720.00	3.0
LEDDY	035	VETS	S	486	3.50	n/a	n/a	0.00	0.0
FINANCIAL STOCK LP	028	WB	B	150,000	13.70	n/a	n/a	6,000.00	4.0
OGORMAN	046	WFC	SS	400	27.80	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WFMI	SS	20,000	22.65	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WFMI	SS	35,000	22.62	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	WMT	S	20,000	57.39	30-Jun	11-Jul	800.00	4.0
WHITE PINE CAPITAL	030	WISLA	S	6,500	4.99	n/a	n/a	325.00	5.0
BARR	096	XCO	S	250	30.71	n/a	n/a	0.00	0.0
CATAPULT	040	XIDE	B	32,500	14.73	n/a	n/a	1,625.00	5.0
B BUCK CAPITAL MGMT		ZLC+WC	SS	1,200	1.27	n/a	n/a	non-brg	300.0
TOTAL (Trade Date):							163,656.94		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/16	SYSTEMATIC FINANCIAL MGT	035	AAP	B	1,300	39.10	n/a	n/a	48.75 3.8
AO,CRT	07/16	SYSTEMATIC FINANCIAL MGT	035	AAP	B	1,300	39.10	n/a	n/a	48.75 3.8
AO,CRT	07/15	WEISS PECK	040	ABG	B	600	10.46	10-Jun	17-Jul	30.00 5.0
AO,CXL	07/15	WEISS PECK	040	ABG	B	600	10.46	10-Jun	17-Jul	30.00 5.0
AO,CRT	07/18	BUCK CAPITAL MGMT	001	ALV	B	9,900	46.07	17-Apr	17-Jul	396.00 4.0
AO,CXL	07/18	BUCK CAPITAL MGMT	001	ALV	B	10,000	46.07	17-Apr	17-Jul	400.00 4.0
AO,	07/18	BUCK CAPITAL MGMT	001	ALV	B	100	46.07	17-Apr	17-Jul	4.00 4.0
AO,CXL	07/18	CARDINAL CAPITAL	044	AMG	B	200	81.78	15-Jul	15-Jul	10.00 5.0
AO,CRT	07/18	CARDINAL CAPITAL	044	AMG	B	200	81.78	15-Jul	15-Jul	10.00 5.0
AO,	07/18	BAYPOINT TRADING/XYLEM	091	AVY	SS	50,000	45.22	22-Apr	23-Jun	2000.00 4.0
AO,CXL	07/17	SYSTEMATIC FINANCIAL MGT	035	BJ	S	800	42.71	n/a	27-Jul	30.00 3.8
AO,CRT	07/17	SYSTEMATIC FINANCIAL MGT	035	BJ	S	800	42.71	n/a	27-Jul	30.00 3.8
AO,CXL	07/15	SYSTEMATIC FINANCIAL MGT	035	CBE	B	400	39.96	n/a	10-Jul	15.00 3.8
AO,CRT	07/15	SYSTEMATIC FINANCIAL MGT	035	CBE	B	400	39.96	n/a	10-Jul	15.00 3.8
AO,CXL	07/18	CARLYLE BLUE WAVE PR MG	224	CENX	B	10,000	53.06	n/a	n/a	500.00 5.0
AO,CRT	07/18	CARLYLE BLUE WAVE PR MG	224	CENX	B	10,000	53.06	n/a	n/a	500.00 5.0
AO,	07/18	BAYPOINT TRADING/XYLEM	091	NCS	SS	20,000	32.61	n/a	n/a	800.00 4.0
AO,CRT	07/17	MERRILL LYNCH STRATEGICI	034	ROST	SS	10,000	39.87	n/a	n/a	400.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/17	MERRILL LYNCH STRATEGICI	034	ROST	SS	10,000	39.87	n/a	n/a	300.00 3.0
AO,CRT	07/18	CARLYLE BLUE WAVE PR MG	224	VAL	SS	10,000	21.13	n/a	n/a	500.00 5.0
AO,CXL	07/18	CARLYLE BLUE WAVE PR MG	224	VAL	SS	10,000	21.13	n/a	n/a	500.00 5.0
AO,	07/18	AELTUS/ING IVESTMENT MGT	044	WMT	B	417,981	57.78	30-Jun	11-Jul	16719.24 4.0
AO,	07/18	RAMIUS CAP	040	WWY	C	50,000	78.42	n/a	n/a	2500.00 5.0

TOTAL (AO, CXL, CRT) : **22,119.24**

TOTAL (Trade Date): 163,656.94
TOTAL (AO, CXL, CRT): 22,119.24

TOTAL (RUN DATE) / NFS: **185,776.18**

MRI Securities with Trade Activity on 21-Jul.
NONE

MRI Securities without Trade Activity on 21-Jul.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 29%

YTD = 17%

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