



Daily Compliance Activity Report

Trade Date: 04/12/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	AAI	B	900	11.76	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	AAPL	S	595	92.09	n/a	n/a	11.90	2.0
BONANZA PARTNERS	031	ABD	SS	88,500	24.86	n/a	n/a	1.24	0.0
PIONEER OAKRIDGE	031	ABT	S	1,000	57.35	n/a	22-Apr	20.00	2.0
PIONEER OAKRIDGE	031	ADBE	S	645	42.27	n/a	n/a	12.90	2.0
COUGAR TRADING	044	AEO	B	10,000	30.34	4-Jan	10-Apr	500.00	5.0
GRUBER MACBAINE	033	AEO	B	50,000	30.46	4-Jan	10-Apr	2,000.00	4.0
PIONEER OAKRIDGE	031	AFL	S	1,055	47.55	n/a	n/a	21.10	2.0
PIONEER OAKRIDGE	031	AGN	S	365	117.41	14-Mar	9-Apr	7.30	2.0
MCCARTAN	028	AIQ	S	200	9.21	n/a	n/a	0.00	0.0
GRISANTI BROWN & PARTNER	048	AMD	B	10,800	13.52	n/a	n/a	540.00	5.0
NICHOLAS ADVISORS	034	AMGN	S	10,700	57.03	n/a	26-Jan	535.00	5.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	38.63	5-Jan	10-Apr	800.00	4.0
PILOT ROCK	028	ANN	S	193,161	39.33	5-Jan	10-Apr	7,726.44	4.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	41.80	n/a	10-Apr	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ARO	S	10,000	42.46	n/a	10-Apr	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	S	40,000	42.16	n/a	10-Apr	1,500.00	3.8
CATAPULT	040	AVZ	B	5,000	23.00	5-Mar	11-Apr	200.00	4.0
PIONEER OAKRIDGE	031	AVZ	S	2,030	22.97	5-Mar	11-Apr	40.60	2.0
CATAPULT	040	AXP	S	5,000	56.40	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	AXP	S	805	56.30	n/a	n/a	16.10	2.0
MISSOURI VALLEY PART	046	BBW	S	30,000	26.65	19-Mar	19-Mar	1,500.00	5.0
PIONEER OAKRIDGE	031	BBY	S	890	47.08	13-Dec	5-Apr	17.80	2.0
B BUCK CAPITAL MGMT		BID	S	10,000	48.39	n/a	n/a	non-brg	5.0
RBC CAPITAL MARKETS	034	BJ	B	20,000	35.00	10-Apr	12-Apr	1,000.00	5.0
THE JAY GOLDMAN	034	BKE	B	10,000	36.76	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	BNI	B	7,500	91.02	n/a	n/a	375.00	5.0
COUGAR TRADING	044	BONT	B	5,000	51.82	9-Mar	10-Apr	250.00	5.0
WHITE PINE CAPITAL	030	BONT	B	300	52.63	9-Mar	10-Apr	15.00	5.0
LED DY	035	BONT	S	500	52.42	9-Mar	10-Apr	0.00	0.0
EGS ASSOCIATES LP	091	CAKE	B	7,500	25.53	7-Feb	12-Apr	450.00	6.0
VISIUM/BALY HOWARD	038	CBK	B	25,000	18.36	30-Mar	12-Apr	1,250.00	5.0
BARR	096	CCOI	S	600	24.05	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	CEG	S	11,800	87.58	n/a	n/a	590.00	5.0
PRIME LOGIC ADV	039	CENT	B	13,300	14.75	8-Feb	8-Feb	665.00	5.0
MAIRS AND POWER INV	030	CEN	S	20,000	34.41	n/a	n/a	1,200.00	6.0
DC CAPITAL	044	CFC	S	60,400	33.75	n/a	n/a	3,020.00	5.0
SAC DOUG RODGERS	040	CFC	S	145,000	33.48	n/a	n/a	7,250.00	5.0
BUCK CAPITAL MGMT	001	CHS	S	10,000	26.11	27-Mar	11-Apr	400.00	4.0
B BUCK CAPITAL MGMT		CLE	S	35,000	32.31	n/a	10-Apr	non-brg	5.0
PIIONEER OAKRIDGE	031	CMCSA	S	1,915	27.70	5-Apr	5-Apr	38.30	2.0
PIIONEER OAKRIDGE	031	COH	S	1,505	52.72	23-Feb	23-Feb	30.10	2.0
PIIONEER OAKRIDGE	031	CSCO	S	2,925	26.00	n/a	22-Mar	58.50	2.0
HIGHBRIDGE CAPITAL	038	CSX	B	4,400	43.11	n/a	n/a	220.00	5.0
PIIONEER OAKRIDGE	031	CTSH	S	1,220	85.54	n/a	n/a	24.40	2.0
FIRST NEW YORK LEDDY	035	CVS	S	20,000	34.85	n/a	n/a	1,200.00	6.0
AMATURO	018	DAWUW	B	10	4.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	B	50,000	34.45	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		DECK	S	7,564	71.02	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUSS CAPITAL	040	DEL	B	7,500	47.39	n/a	n/a	300.00	4.0
OGORMAN	146	DHBT	B	2,000	4.60	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	DHR	S	795	70.58	n/a	n/a	15.90	2.0
B BUCK CAPITAL MGMT		DKS	B	5,000	57.51	n/a	n/a	non-brg	5.0
LEDDY	035	DLIA	B	1,600	8.38	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	DNA	S	825	81.11	n/a	n/a	16.50	2.0
IRIDIAN ASSET MGMT.	036	DVN	S	1,700	74.24	9-Feb	5-Apr	85.00	5.0
NEUBERGER BERMAN	036	DW	B	11,000	28.30	n/a	n/a	550.00	5.0
PIONEER OAKRIDGE	031	ECL	S	910	43.91	n/a	2-Mar	18.20	2.0
LEDDY	035	EDA	B	1,400	10.81	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	ERTS	S	960	52.98	n/a	n/a	19.20	2.0
PIONEER OAKRIDGE	031	FDX	S	430	108.02	n/a	n/a	8.60	2.0
BUCK CAPITAL MGMT	001	FD	B	100,000	45.30	26-Jan	10-Apr	4,000.00	4.0
TROUBH PART	067	FTWR	B	25,000	5.07	n/a	n/a	1,250.00	5.0
NOLAN	067	FXV	S	4	83.96	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	GE	S	2,455	35.11	n/a	n/a	49.10	2.0
WHITE PINE CAPITAL	030	GGG	B	300	39.05	n/a	n/a	15.00	5.0
MAZAMA CAPITAL MGMT.	035	GHL	B	60,000	59.95	n/a	n/a	2,400.00	4.0
B BUCK CAPITAL MGMT		GLBL	S	10,000	20.24	n/a	n/a	non-brg	5.0
PIONEER OAKRIDGE	031	GLW	S	1,810	23.80	n/a	2-Mar	36.20	2.0
PIONEER OAKRIDGE	031	GOOG	S	145	466.82	n/a	n/a	2.90	2.0
BULL PATH CAPITAL	044	GPS	B	40,000	18.55	n/a	10-Apr	2,000.00	5.0
B BUCK CAPITAL MGMT		GTRC	S	10,000	47.11	n/a	n/a	non-brg	5.0
COUGAR TRADING	044	GYMB	SS	10,000	40.51	4-Jan	10-Apr	500.00	5.0
BUCK	015	HCBK	B	1,000	13.39	n/a	n/a	0.00	0.0
EMP ERROR	099	HCR	B	200	64.08	n/a	11-Apr	0.00	0.0
EMP ERROR	099	HCR	S	400	64.05	n/a	11-Apr	0.00	0.0
PIONEER OAKRIDGE	031	HET	S	635	85.45	1-Mar	1-Mar	12.70	2.0
PIONEER OAKRIDGE	031	ICE	S	190	127.27	n/a	n/a	3.80	2.0
LEDDY	035	ICON	S	1,500	20.03	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	IDC	B	9,900	25.06	n/a	n/a	495.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	IFC	S	19,641	17.77	n/a	n/a	883.85	4.5
WHITE PINE CAPITAL	030	IFF	B	250	47.77	30-Jan	22-Mar	12.50	5.0
PIONEER OAKRIDGE	031	IRM	S	920	26.73	n/a	n/a	18.40	2.0
BUCK	015	ISTA	S	1,500	9.01	n/a	n/a	0.00	0.0
CATAPULT	040	ITG	S	8,100	37.52	n/a	n/a	324.00	4.0
NICHOLAS ADVISORS	034	IWR	B	20,000	105.37	n/a	n/a	1,000.00	5.0
LEDDY	035	JADE	B	1,500	8.89	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCP	B	10,000	83.10	23-Feb	10-Apr	500.00	5.0
APEX CAPITAL MGMT.	091	JNY	SS	66,000	34.18	n/a	15-Feb	3,300.00	5.0
SSI INVESTORS	048	JNY	SS	51,927	34.21	n/a	15-Feb	2,077.08	4.0
B BUCK CAPITAL MGMT		JOSB	B	20,000	33.20	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		JOSB	S	10,000	32.42	n/a	n/a	non-brg	5.0
CENTURION PARTNERS	233	JOSB	B	10,000	32.40	n/a	n/a	500.00	5.0
COUGAR TRADING	044	JWN	S	5,000	55.61	27-Feb	10-Apr	250.00	5.0
CUMBERLAND	038	JWN	S	40,000	54.39	27-Feb	10-Apr	1,600.00	4.0
B BUCK CAPITAL MGMT		KCP	S	10,000	28.00	n/a	28-Feb	non-brg	5.0
B BUCK CAPITAL MGMT		KCP	S	15,000	27.58	n/a	28-Feb	non-brg	5.0
B BUCK CAPITAL MGMT		KCP	S	71,000	27.75	n/a	28-Feb	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOOMIS SALES/BOSTON	036	KFT	C	161,617	32.63	n/a	n/a	6,464.68	4.0
GRACIE CAPITAL	028	KSS	B	20,000	76.66	27-Dec	12-Apr	1,000.00	5.0
JP MORGAN VENTURES	046	KSS	SS	6,500	78.01	27-Dec	12-Apr	325.00	5.0
RBC CAPITAL MARKETS	034	KSS	SS	10,000	76.95	27-Dec	12-Apr	500.00	5.0
NCM CAPITAL MGMT	035	LBTYK	S	14,325	32.72	n/a	n/a	716.25	5.0
OGORMAN	146	LEH	S	100	71.86	n/a	14-Mar	0.00	0.0
B BUCK CAPITAL MGMT		LIZ	SS	10,000	44.46	n/a	28-Feb	non-brg	5.0
COLUMBUS CIRCLE	036	LMT	S	10,400	95.97	n/a	n/a	416.00	4.0
B BUCK CAPITAL MGMT		LTM	S	10,000	50.10	n/a	n/a	non-brg	5.0
TROUBH PART	067	LVLTT	S	100,000	6.02	12-Mar	4-Apr	5,000.00	5.0
PIONEER OAKRIDGE	031	MAR	S	1,090	49.69	n/a	n/a	21.80	2.0
PIONEER OAKRIDGE	031	MCHP	S	1,370	36.96	n/a	n/a	27.40	2.0
PIONEER OAKRIDGE	031	MDT	S	850	51.24	n/a	22-Apr	17.00	2.0
B BUCK CAPITAL MGMT		MIPS	S	10,000	8.52	n/a	n/a	non-brg	4.0
LUCHANSKY1	036	MIR	S	1,500	44.00	n/a	n/a	0.00	0.0
BUCK	015	MO	S	800	69.94	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NICHOLAS ADVISORS	034	MSFT	S	54,000	28.19	n/a	3-Apr	2,700.00	5.0
PIONEER OAKRIDGE	031	MSFT	S	3,065	28.45	n/a	3-Apr	61.30	2.0
B BUCK CAPITAL MGMT		MVRX	SS	107,700	199.49	n/a	n/a	non-brg	20.0
ZOLIDIS	011	MWRK	S	300	38.79	n/a	n/a	0.00	0.0
BARR	096	MZZ	S	500	55.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NLS	B	20,000	13.61	n/a	n/a	800.00	4.0
HIGHBRIDGE CAPITAL	038	NSC	B	9,400	53.28	n/a	n/a	470.00	5.0
PIONEER OAKRIDGE	031	NVS	S	860	55.32	n/a	n/a	17.20	2.0
PIONEER OAKRIDGE	031	NWSA	S	2,375	23.54	n/a	n/a	47.50	2.0
STERLING JOHNSTON	035	NWY	B	22,500	14.54	23-Mar	10-Apr	1,125.00	5.0
PIONEER OAKRIDGE	031	PAYX	S	1,295	36.99	n/a	n/a	25.90	2.0
PIONEER OAKRIDGE	031	PCP	S	690	104.88	n/a	n/a	13.80	2.0
PIONEER OAKRIDGE	031	PEP	S	845	64.22	n/a	n/a	16.90	2.0
B BUCK CAPITAL MGMT		PERY	SS	16,500	33.74	n/a	n/a	non-brg	5.0
WHITE PINE CAPITAL	030	PERY	B	550	34.13	n/a	n/a	27.50	5.0
PIONEER OAKRIDGE	031	PG	S	1,005	63.17	15-Dec	30-Mar	20.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	067	PHH	S	85,000	30.38	n/a	n/a	4,250.00	5.0
MAZAMA CAPITAL MGMT.	035	PJC	B	30,000	63.13	n/a	n/a	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		PLCE	S	170,000	51.44	n/a	12-Apr	non-brg	5.0
COUGAR TRADING	044	PLCE	SS	5,000	52.31	n/a	12-Apr	250.00	5.0
STRAUSS ASSET MGMT	040	PLCE	SS	12,500	51.71	n/a	12-Apr	625.00	5.0
⚡ BUCK CAPITAL MGMT		PSUN	SS	15,000	22.94	n/a	10-Apr	non-brg	5.0
⚡ BUCK CAPITAL MGMT		PSUN	SS	55,000	22.27	n/a	10-Apr	non-brg	5.0
COUGAR TRADING	044	PSUN	SS	15,000	22.56	n/a	10-Apr	750.00	5.0
GALLEON MGMT LP	033	PSUN	S	10,000	22.97	n/a	10-Apr	500.00	5.0
JP MORGAN VENTURES	046	PSUN	SS	3,600	23.00	n/a	10-Apr	180.00	5.0
SAXON WOODS ADVISORS	038	PSUN	S	20,000	22.20	n/a	10-Apr	1,000.00	5.0
PIONEER OAKRIDGE	031	QCOM	S	1,680	42.68	n/a	n/a	33.60	2.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	92.83	2-Feb	16-Feb	800.00	4.0
BUCK CAPITAL MGMT	001	RL	S	5,000	93.71	2-Feb	16-Feb	200.00	4.0
⚡ BUCK CAPITAL MGMT		RTH	SS	3,300	101.60	n/a	n/a	non-brg	1.0
WHITE PINE CAPITAL	030	RVI	B	350	21.93	n/a	n/a	17.50	5.0
BUCK	015	RYN	B	400	42.64	24-Jan	19-Mar	0.00	0.0
⚡ BUCK CAPITAL MGMT		S4RETL	SS	55,000	455.01	n/a	n/a	non-brg	45.5
⚡ BUCK CAPITAL MGMT		S6RETL	SS	26,300	273.45	n/a	n/a	non-brg	27.4

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	SCHW	S	2,795	18.86	n/a	n/a	55.90	2.0
RH CAPITAL ASSOCIATES	060	SIMG	B	50,000	9.04	n/a	n/a	1,500.00	3.0
PIONEER OAKRIDGE	031	SLB	S	740	73.63	n/a	n/a	14.80	2.0
LUCHANSKY4	036	SMG	S	100	44.55	20-Feb	19-Mar	0.00	0.0
PIONEER OAKRIDGE	031	SPLS	S	2,975	26.86	n/a	2-Mar	59.50	2.0
B BUCK CAPITAL MGMT		TGT	B	20,000	60.04	n/a	12-Apr	non-brg	5.0
GLG PARTNERS	034	TGT	B	2,500	59.46	n/a	12-Apr	125.00	5.0
PIONEER OAKRIDGE	031	TGT	S	855	60.26	n/a	12-Apr	17.10	2.0
AVESTA CAP	229	TIF	S	50,000	48.22	27-Mar	27-Mar	2,500.00	5.0
COUGAR TRADING	044	TJX	B	5,000	27.85	21-Mar	10-Apr	250.00	5.0
MILLENIUM PARTNERS	028	TWTC	B	10,000	21.04	8-Feb	4-Apr	500.00	5.0
PIONEER OAKRIDGE	031	TXN	S	1,655	31.01	n/a	n/a	33.10	2.0
NOLAN	067	UAUA	B	8	41.74	n/a	n/a	0.00	0.0
CATAPULT	040	UB	SS	25,000	61.95	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		URBN	B	20,000	26.54	2-Apr	2-Apr	non-brg	5.0
PIONEER OAKRIDGE	031	USB	S	1,790	34.30	n/a	n/a	35.80	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	USB	S	1,500	34.28	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	UTX	S	895	64.49	n/a	n/a	17.90	2.0
MCCARTAN	028	VSL	S	200	19.93	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	WAG	S	1,080	45.83	n/a	n/a	21.60	2.0
BUCK	015	WB	B	700	53.64	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	WDR	B	250	24.69	5-Mar	10-Apr	12.50	5.0
CAPITAL GROWTH MGMT.	241	WFT	B	150,000	48.40	n/a	n/a	7,500.00	5.0
BENCHMARK	028	WNR	SS	12,000	34.84	n/a	n/a	600.00	5.0
PIONEER OAKRIDGE	031	XTO	S	1,160	57.18	n/a	n/a	23.20	2.0
PIONEER OAKRIDGE	031	ZMH	S	625	88.42	n/a	n/a	12.50	2.0
TOTAL (Trade Date):							103,128.94		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	04/11	AMBER CAPITAL	046	BIG	B	15,000	32.69	9-Mar	12-Apr	750.00	5.0
AO,CRT	04/11	LEVIN CAPITAL STRATEGIES	012	BIG	B	15,000	32.69	9-Mar	12-Apr	600.00	4.0
AO,CXL	04/11	AMBER CAPITAL	046	CAKE	B	5,000	25.72	7-Feb	12-Apr	250.00	5.0
AO,CRT	04/11	GALLEON MGMT LP	033	CAKE	B	5,000	25.72	7-Feb	12-Apr	250.00	5.0
AO,CXL	04/11	AMBER CAPITAL	046	GVA	B	55,300	56.10	n/a	n/a	2765.00	5.0
AO,CRT	04/11	AMBER CAPITAL	046	GVA	B	55,300	56.10	n/a	n/a	2765.00	5.0
AO,CRT	04/11	BEAR STEARNS ASSET MGMT.	033	PNRA	C	75,000	56.03	n/a	n/a	3000.00	4.0
AO,CXL	04/11	BEAR STEARNS ASSET MGMT.	033	PNRA	C	75,000	56.03	n/a	n/a	3000.00	4.0
AO,CXL	04/11	AMBER CAPITAL	046	PPG	B	10,000	70.90	n/a	10-Apr	500.00	5.0
AO,CRT	04/11	AMBER CAPITAL	046	PPG	B	10,000	70.90	n/a	10-Apr	500.00	5.0

TOTAL (AO, CXL, CRT) :**-150.00**

TOTAL (Trade Date):

103,128.94

TOTAL (AO, CXL, CRT):

-150.00

TOTAL (RUN DATE) / NFS:**102,978.94**

MRI Securities with Trade Activity on 12-Apr.
NONE

MRI Securities without Trade Activity on 12-Apr.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 11%
YTD = 17%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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