



## 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.	
<b>BARR</b>	<b>096</b>	<b>AAI</b>	<b>B</b>	<b>900</b>	<b>11.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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	13-Apr	500.00	5.0
GRUBER MACBAINE	033	AEO	B	50,000	30.46	4-Jan	13-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	23-Apr	7.30	2.0
<b>MCCARTAN</b>	<b>028</b>	<b>AIQ</b>	<b>S</b>	<b>200</b>	<b>9.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>S</b>	<b>20,000</b>	<b>38.63</b>	<b>5-Jan</b>	<b>13-Apr</b>	<b>800.00</b>	<b>4.0</b>
PILOT ROCK	028	ANN	S	193,161	39.33	5-Jan	13-Apr	7,726.44	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>10,000</b>	<b>41.80</b>	<b>n/a</b>	<b>13-Apr</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ARO	S	10,000	42.46	n/a	13-Apr	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	S	40,000	42.16	n/a	13-Apr	1,500.00	3.8
CATAPULT	040	AVZ	B	5,000	23.00	5-Mar	23-Apr	200.00	4.0
PIONEER OAKRIDGE	031	AVZ	S	2,030	22.97	5-Mar	23-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>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>S</b>	<b>10,000</b>	<b>48.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
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	13-Apr	250.00	5.0
WHITE PINE CAPITAL	030	BONT	B	300	52.63	9-Mar	13-Apr	15.00	5.0
<b>LED DY</b>	<b>035</b>	<b>BONT</b>	<b>S</b>	<b>500</b>	<b>52.42</b>	<b>9-Mar</b>	<b>13-Apr</b>	<b>0.00</b>	<b>0.0</b>
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	13-Apr	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>CCOI</b>	<b>S</b>	<b>600</b>	<b>24.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>S</b>	<b>10,000</b>	<b>26.11</b>	<b>27-Mar</b>	<b>13-Apr</b>	<b>400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CLE</b>	<b>S</b>	<b>35,000</b>	<b>32.31</b>	<b>n/a</b>	<b>18-Apr</b>	<b>non-brg</b>	<b>5.0</b>
PIIONEER OAKRIDGE	031	CMCSA	S	1,915	27.70	5-Apr	23-Apr	38.30	2.0
PIIONEER OAKRIDGE	031	COH	S	1,505	52.72	23-Feb	20-Apr	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
<b>AMATURO</b>	<b>018</b>	<b>DAWUW</b>	<b>B</b>	<b>10</b>	<b>4.70</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>DDS</b>	<b>B</b>	<b>50,000</b>	<b>34.45</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>7,564</b>	<b>71.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>

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
<b>OGORMAN</b>	<b>146</b>	<b>DHBT</b>	<b>B</b>	<b>2,000</b>	<b>4.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	DHR	S	795	70.58	n/a	n/a	15.90	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>B</b>	<b>5,000</b>	<b>57.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>LEDDY</b>	<b>035</b>	<b>DLIA</b>	<b>B</b>	<b>1,600</b>	<b>8.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>LEDDY</b>	<b>035</b>	<b>EDA</b>	<b>B</b>	<b>1,400</b>	<b>10.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FD</b>	<b>B</b>	<b>100,000</b>	<b>45.30</b>	<b>26-Jan</b>	<b>13-Apr</b>	<b>4,000.00</b>	<b>4.0</b>
TROUBH PART	067	FTWR	B	25,000	5.07	n/a	n/a	1,250.00	5.0
<b>NOLAN</b>	<b>067</b>	<b>FXV</b>	<b>S</b>	<b>4</b>	<b>83.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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>B BUCK CAPITAL MGMT</b>		<b>GLBL</b>	<b>S</b>	<b>10,000</b>	<b>20.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
PIONEER OAKRIDGE	031	GLW	S	1,810	23.80	n/a	20-Apr	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	13-Apr	2,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GTRC</b>	<b>S</b>	<b>10,000</b>	<b>47.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
COUGAR TRADING	044	GYMB	SS	10,000	40.51	4-Jan	13-Apr	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>HCBK</b>	<b>B</b>	<b>1,000</b>	<b>13.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>HCR</b>	<b>B</b>	<b>200</b>	<b>64.08</b>	<b>n/a</b>	<b>11-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>HCR</b>	<b>S</b>	<b>400</b>	<b>64.05</b>	<b>n/a</b>	<b>11-Apr</b>	<b>0.00</b>	<b>0.0</b>
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
<b>LEDDY</b>	<b>035</b>	<b>ICON</b>	<b>S</b>	<b>1,500</b>	<b>20.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>BUCK</b>	<b>015</b>	<b>ISTA</b>	<b>S</b>	<b>1,500</b>	<b>9.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>LEDDY</b>	<b>035</b>	<b>JADE</b>	<b>B</b>	<b>1,500</b>	<b>8.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JCP	B	10,000	83.10	23-Feb	20-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>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>B</b>	<b>20,000</b>	<b>33.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>10,000</b>	<b>32.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
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	13-Apr	250.00	5.0
CUMBERLAND	038	JWN	S	40,000	54.39	27-Feb	13-Apr	1,600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KCP</b>	<b>S</b>	<b>10,000</b>	<b>28.00</b>	<b>n/a</b>	<b>28-Feb</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KCP</b>	<b>S</b>	<b>15,000</b>	<b>27.58</b>	<b>n/a</b>	<b>28-Feb</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KCP</b>	<b>S</b>	<b>71,000</b>	<b>27.75</b>	<b>n/a</b>	<b>28-Feb</b>	<b>non-brg</b>	<b>2.0</b>

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
<b>OGORMAN</b>	<b>146</b>	<b>LEH</b>	<b>S</b>	<b>100</b>	<b>71.86</b>	<b>n/a</b>	<b>16-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>SS</b>	<b>10,000</b>	<b>44.46</b>	<b>n/a</b>	<b>28-Feb</b>	<b>non-brg</b>	<b>5.0</b>
COLUMBUS CIRCLE	036	LMT	S	10,400	95.97	n/a	n/a	416.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTM</b>	<b>S</b>	<b>10,000</b>	<b>50.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
TROUBH PART	067	LVLTT	S	100,000	6.02	12-Mar	23-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>B BUCK CAPITAL MGMT</b>		<b>MIPS</b>	<b>S</b>	<b>10,000</b>	<b>8.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>MIR</b>	<b>S</b>	<b>1,500</b>	<b>44.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MO</b>	<b>S</b>	<b>800</b>	<b>69.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>107,700</b>	<b>199.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>20.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>MWRK</b>	<b>S</b>	<b>300</b>	<b>38.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>MZZ</b>	<b>S</b>	<b>500</b>	<b>55.20</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>NLS</b>	<b>B</b>	<b>20,000</b>	<b>13.61</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
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	13-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>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>SS</b>	<b>16,500</b>	<b>33.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
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	12-Apr	13-Apr	non-brg	5.0
COUGAR TRADING	044	PLCE	SS	5,000	52.31	12-Apr	13-Apr	250.00	5.0
STRAUSS ASSET MGMT	040	PLCE	SS	12,500	51.71	12-Apr	13-Apr	625.00	5.0
⚡ BUCK CAPITAL MGMT		PSUN	SS	15,000	22.94	n/a	13-Apr	non-brg	5.0
⚡ BUCK CAPITAL MGMT		PSUN	SS	55,000	22.27	n/a	13-Apr	non-brg	5.0
COUGAR TRADING	044	PSUN	SS	15,000	22.56	n/a	13-Apr	750.00	5.0
GALLEON MGMT LP	033	PSUN	S	10,000	22.97	n/a	13-Apr	500.00	5.0
JP MORGAN VENTURES	046	PSUN	SS	3,600	23.00	n/a	13-Apr	180.00	5.0
SAXON WOODS ADVISORS	038	PSUN	S	20,000	22.20	n/a	13-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	13-Apr	800.00	4.0
BUCK CAPITAL MGMT	001	RL	S	5,000	93.71	2-Feb	13-Apr	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	18-Apr	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
<b>LUCHANSKY4</b>	<b>036</b>	<b>SMG</b>	<b>S</b>	<b>100</b>	<b>44.55</b>	<b>20-Feb</b>	<b>19-Apr</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	SPLS	S	2,975	26.86	n/a	2-Mar	59.50	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>B</b>	<b>20,000</b>	<b>60.04</b>	<b>n/a</b>	<b>12-Apr</b>	<b>non-brg</b>	<b>5.0</b>
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	13-Apr	250.00	5.0
MILLENIUUM PARTNERS	028	TWTC	B	10,000	21.04	8-Feb	23-Apr	500.00	5.0
PIONEER OAKRIDGE	031	TXN	S	1,655	31.01	n/a	n/a	33.10	2.0
<b>NOLAN</b>	<b>067</b>	<b>UAUA</b>	<b>B</b>	<b>8</b>	<b>41.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	UB	SS	25,000	61.95	n/a	n/a	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>26.54</b>	<b>2-Apr</b>	<b>2-Apr</b>	<b>non-brg</b>	<b>5.0</b>
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.	
<b>BUCK</b>	<b>015</b>	<b>USB</b>	<b>S</b>	<b>1,500</b>	<b>34.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	UTX	S	895	64.49	n/a	n/a	17.90	2.0
<b>MCCARTAN</b>	<b>028</b>	<b>VSL</b>	<b>S</b>	<b>200</b>	<b>19.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	WAG	S	1,080	45.83	n/a	n/a	21.60	2.0
<b>BUCK</b>	<b>015</b>	<b>WB</b>	<b>B</b>	<b>700</b>	<b>53.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	WDR	B	250	24.69	5-Mar	23-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
<b>TOTAL (Trade Date):</b>							<b>103,128.94</b>		

**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	19-Apr	500.00	5.0
AO,CRT	04/11	AMBER CAPITAL	046	PPG	B	10,000	70.90	n/a	19-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.

PLCE

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