



Daily Compliance Activity Report

Trade Date: 04/16/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ACF	B	38,600	9.93	n/a	n/a	1,544.00	4.0
LUCHANSKY	036	ADM	B	200	45.41	2-Jan	31-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	175,000	16.17	6-Mar	11-Apr	7,000.00	4.0
RAINIER INV MGMT	035	AET	S	87,745	41.07	n/a	n/a	4,387.25	5.0
CHARTER OAK	033	AFFY	S	5,188	13.67	n/a	n/a	259.40	5.0
ROTHSCHILD ASSET	040	AMG	S	4,620	94.24	7-Apr	16-Apr	207.90	4.5
MERRILL ASSET	032	ANN	S	62,700	23.23	14-Mar	14-Mar	2,821.50	4.5
SINCLAIR	031	APCEL	S	10	8.50	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	ARGN	B	7,400	13.02	n/a	8-Apr	370.00	5.0
J L F ASSET MGMT	039	ARO	B	70,700	28.50	29-Nov	11-Apr	2,828.00	4.0
GAULT	063	AXE	S	1,000	63.22	28-Mar	4-Apr	0.00	0.0
PRINCIPLE CAPITAL	040	BC	B	22,800	15.60	n/a	n/a	684.00	3.0
J L F ASSET MGMT	039	BIG	B	25,800	22.52	6-Mar	11-Apr	1,032.00	4.0
OGORMAN	046	BKC	B	400	28.01	n/a	15-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OGORMAN	046	BSC	S	300	10.01	17-Mar	14-Apr	0.00	0.0
BUCK CAPITAL MGMT		BWA	B	20,000	45.16	14-Jan	7-Apr	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	BWA	S	25,422	45.21	14-Jan	7-Apr	1,016.88	4.0
BUCK CAPITAL MGMT		BYI	B	25,000	30.83	n/a	n/a	non-brg	4.0
BUCK	015	COF	C	700	46.45	n/a	n/a	0.00	0.0
WHEELER	008	COVJI	S	40	3.50	n/a	n/a	0.00	0.0
MILLER	025	C	B	50	23.45	16-Jan	14-Apr	0.00	0.0
PRYLUCKI	092	C	B	125	23.38	16-Jan	14-Apr	0.00	0.0
AVESTA CAP	229	DD	B	50,000	50.87	n/a	10-Apr	2,500.00	5.0
NORTHPOINT	030	DIOD	B	11,610	25.74	n/a	n/a	464.40	4.0
PRINCIPLE CAPITAL	040	DKS	B	13,300	25.40	n/a	14-Mar	399.00	3.0
S.A.C. CAPITAL MGMT.	044	DOW	SS	25,000	38.93	n/a	6-Feb	1,250.00	5.0
COUGAR TRADING	044	DSW	B	20,000	12.40	28-Mar	28-Mar	1,000.00	5.0
GAULT	063	DUG	S	2,000	32.48	n/a	n/a	0.00	0.0
NOLAN	067	DUG	S	60	32.75	n/a	n/a	0.00	0.0
BUCK	015	DVN	S	300	115.09	20-Mar	1-Apr	0.00	0.0
OGORMAN	046	DXD	S	260	54.47	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OGORMAN	046	ENDP	B	400	25.24	17-Dec	15-Apr	0.00	0.0
SUTERA	060	ETFC	B	5,000	3.45	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	EV	B	40,000	32.93	9-Jan	16-Apr	2,000.00	5.0
MCCARTAN	028	FELE	B	200	34.49	n/a	n/a	0.00	0.0
LUCHANSKY1	036	FELE	B	200	34.49	n/a	n/a	0.00	0.0
NOLAN	067	FELE	B	60	34.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FRX	B	10,000	35.91	15-Apr	15-Apr	non-brg	4.0
TRELLUS PARTNERS LP	028	F	SS	100,000	7.02	18-Mar	2-Apr	3,000.00	3.0
ß BUCK CAPITAL MGMT		GES+FH	SS	1,000	3.00	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GES	B	10,000	37.27	n/a	n/a	non-brg	4.0
MATTHES CAPITAL MGMT	033	GES	SS	5,000	38.06	n/a	n/a	200.00	4.0
GOLD SACHS SPECIAL SIT	030	GIL	SS	50,000	35.33	22-Jan	10-Mar	2,500.00	5.0
MILLER	025	GLW	B	50	25.68	n/a	27-Mar	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	GPS	S	25,000	18.62	n/a	11-Apr	1,250.00	5.0
DANIELS	N25	GSI	B	200	6.90	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GYMB	S	10,000	40.33	2-Apr	11-Apr	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	HBI	B	39,900	32.35	n/a	n/a	1,496.26	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	HD	C	1,200	27.90	n/a	27-Jul	0.00	0.0
GAULT	063	HRS	B	1,000	49.50	28-Mar	28-Mar	0.00	0.0
OGORMAN	046	IVZ	B	300	23.40	10-Apr	16-Apr	0.00	0.0
LEHMAN PROPRIETARY TRAD	041	IWM	B	25,000	71.04	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		JCP	SS	20,000	38.67	4-Jan	11-Apr	non-brg	4.0
J L F ASSET MGMT	039	JCP	B	65,100	38.22	4-Jan	11-Apr	2,604.00	4.0
MCCARTAN	028	JNS	C	200	23.80	24-Mar	10-Apr	0.00	0.0
TRELLUS PARTNERS LP	028	KMX	SS	20,000	19.75	n/a	10-Jan	1,000.00	5.0
BEAR STEARNS ASSET MGMT.	033	KSS	SS	146,900	43.96	4-Jan	11-Apr	5,876.00	4.0
ß BUCK CAPITAL MGMT		LEG	C	175,000	14.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LIZ	SS	103,800	16.38	n/a	17-Mar	non-brg	2.0
ß BUCK CAPITAL MGMT		LIZ	SS	20,017	16.99	n/a	17-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		LIZ	SS	211,000	16.65	n/a	17-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		LVS	C	10,000	68.40	n/a	n/a	non-brg	1.0
WHEELER	008	MENT	B	10,000	9.00	n/a	n/a	0.00	0.0
PRYLUCKI	092	MER	B	75	44.09	18-Jan	14-Apr	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	NCC	SS	300,000	7.84	n/a	n/a	9,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	NUS	B	17,260	18.79	n/a	n/a	776.70	4.5
MS PRINCIPAL STRATEGIES	041	OTEX	S	17,000	35.19	n/a	n/a	850.00	5.0
SYSTEMATIC FINANCIAL MGT	035	OXM	S	10,100	26.52	n/a	n/a	378.75	3.8
SERENGETI MGMT	030	PGR	SS	50,000	17.69	n/a	n/a	2,500.00	5.0
NORTHPOINT	030	PLCM	B	5,550	22.63	n/a	22-Mar	222.00	4.0
HIGHBRIDGE CAPITAL	038	PPG	B	1,000	63.90	n/a	26-Feb	50.00	5.0
HIGHBRIDGE CAPITAL	038	ROH	B	3,000	57.37	n/a	28-Jan	150.00	5.0
GRISANTI BROWN & PARTNER	048	RRI	S	29,300	25.84	n/a	n/a	1,465.00	5.0
GREENLIGHT CAPITAL	041	SAI	S	35,600	19.26	n/a	n/a	1,780.00	5.0
OGORMAN	046	SDS	S	230	61.34	n/a	n/a	0.00	0.0
SUTERA	060	SDS	S	1,000	61.00	n/a	n/a	0.00	0.0
LEHMAN PROPRIETARY TRAD	041	SLM	B	10,000	16.34	n/a	n/a	400.00	4.0
RHO CAPITAL MGMT	041	STX	SS	1,000	18.97	n/a	n/a	30.00	3.0
B BUCK CAPITAL MGMT		SWY	B	10,000	26.47	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SWY	B	40,000	26.80	n/a	n/a	non-brg	4.0
OGORMAN	046	SZK	S	300	69.11	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
XYLEM GLOBAL	091	TIN	SS	50,000	12.39	19-Mar	7-Apr	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		TLB	B	115,000	9.54	2-Apr	2-Apr	non-brg	4.0
MERRILL ASSET	032	TLB	B	117,200	9.67	2-Apr	2-Apr	5,274.00	4.5
GAULT	063	TMA	B	7,000	1.10	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	TPX	S	314,400	10.62	n/a	n/a	9,432.00	3.0
⌘ BUCK CAPITAL MGMT		TRLG	B	60,000	16.68	n/a	n/a	non-brg	4.0
LEDDY	035	TROW	SS	200	52.58	9-Jan	16-Apr	0.00	0.0
KAICHER	064	TSO	B	2,000	28.20	n/a	n/a	0.00	0.0
NOLAN	067	TWTC	B	25	16.45	9-Nov	4-Jan	0.00	0.0
FIRST NY SEC/CHRIS	041	VC	B	7,100	3.49	n/a	7-Apr	426.00	6.0
TRELLUS PARTNERS LP	028	VC	B	6,200	3.62	n/a	7-Apr	186.00	3.0
⌘ BUCK CAPITAL MGMT		VIRL	S	1,200	5.50	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		VIRL	S	11,000	5.42	n/a	n/a	non-brg	2.0
BUCK	015	VSKMJ	B	10	2.30	n/a	n/a	0.00	0.0
BUCK	015	VSKML	S	10	5.30	n/a	n/a	0.00	0.0
BUCK	015	VUL	B	10	3.70	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	220	WB	B	200,000	25.26	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RHO CAPITAL MGMT	041	WDC	SS	500	27.89	n/a	n/a	15.00	3.0
FIRST NY SEC/CHRIS	041	WEN	B	10,000	23.74	n/a	24-Apr	600.00	6.0
SCOPUS FUND	041	WEN	B	105,000	23.66	n/a	24-Apr	5,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	WWW	SS	20,800	30.64	n/a	13-Mar	1,040.00	5.0
TOTAL (Trade Date):								99,016.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	04/15	RHO CAPITAL MGMT	041	AAPL	B	60	148.56	n/a	n/a	1.80	3.0
AO,	04/15	RHO CAPITAL MGMT	099	BTRNQ	S	362,026	0.00	n/a	n/a	210.00	0.0
AO,	04/15	RHO CAPITAL MGMT	041	EWI	S	2,800	18.24	n/a	n/a	84.00	3.0
AO,	04/15	RHO CAPITAL MGMT	041	INTC	B	400	20.92	n/a	n/a	12.00	3.0
AO,	04/15	JENNISON	032	NWA	S	20,700	10.75	n/a	n/a	828.00	4.0
AO,CXL	04/15	SERENGETI MGMT	030	SCHW	B	100,000	19.37	n/a	n/a	0.97	0.0
AO,CRT	04/15	SERENGETI MGMT	030	SCHW	B	100,000	19.37	n/a	n/a	5000.00	5.0
AO,	04/15	RHO CAPITAL MGMT	041	SLAB	B	500	31.83	n/a	n/a	15.00	3.0
AO,	04/15	J.W. SELIGMAN	041	WYNN	B	41,150	97.80	n/a	n/a	1646.00	4.0
AO,	04/15	RHO CAPITAL MGMT	041	XLE	B	350	79.75	n/a	n/a	10.50	3.0
TOTAL (AO, CXL, CRT) :										7,806.33	

TOTAL (Trade Date):	99,016.04
TOTAL (AO, CXL, CRT):	7,806.33

TOTAL (RUN DATE) / NFS:

106,822.37

MRI Securities with Trade Activity on 16-Apr.
NONE

MRI Securities without Trade Activity on 16-Apr.
NTRS

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