



Daily Compliance Activity Report

Trade Date: 05/13/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		ABG	S	70,000	17.07	n/a	25-Apr	non-brg 1.0
WEISS PECK	040	ABG	S	34,690	17.05	n/a	25-Apr	1,734.50 5.0
INDEPENDENCE INV	039	ACE	S	23,790	60.31	n/a	n/a	951.60 4.0
TYEE/TYGH	035	AMG	B	13,100	101.98	7-Apr	8-May	524.00 4.0
BEAR STEARNS ASSET MGMT.	033	ANF	S	40,000	75.24	10-Apr	9-May	1,600.00 4.0
BUCK CAPITAL MGMT	001	ANN	SS	20,000	28.27	14-Mar	12-May	800.00 4.0
B BUCK CAPITAL MGMT		APC	S	3,900	77.76	20-Mar	1-May	non-brg 4.0
JP MORGAN VENTURES	046	BKC	B	10,000	29.85	1-May	2-May	500.00 5.0
WHITE PINE CAPITAL	030	BONT	S	1,550	9.20	4-Jan	9-May	77.50 5.0
CAXTON PART	040	BRCM	B	25,000	27.57	n/a	n/a	875.00 3.5
B BUCK CAPITAL MGMT		BYI+JI	SS	1,200	3.24	n/a	n/a	non-brg 300.0
KAICHER	064	CBI	S	300	43.61	n/a	n/a	0.00 0.0
FIRST NEW YORK NICK	029	CCU	B	5,000	34.36	n/a	n/a	250.00 5.0
BARR	096	CDNS	SS	3,000	10.88	n/a	n/a	0.00 0.0
STONERIDGE INV PART	028	CHD	B	19,693	54.45	2-Apr	7-May	984.65 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	CMCSK	S	144,130	21.63	n/a	n/a	6,485.85	4.5
CROWLEY	061	CMU	S	8,500	5.24	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	COH	B	15,000	34.69	4-Apr	23-Apr	600.00	4.0
BUCK	015	COPRQ	S	7	1.56	n/a	n/a	0.00	0.0
RHO CAPITAL MGMT	041	CSIQ	B	2,200	43.67	n/a	n/a	88.00	4.0
CROWLEY	061	CXE	S	4,000	5.55	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	C	B	25,000	23.61	16-Jan	12-May	1,250.00	5.0
TRIVIUM CAP MGMT	251	DELL	S	50,000	19.99	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		DUG	B	9,000	29.21	n/a	n/a	non-brg	2.0
BUCK	015	DVNRB	B	5	2.70	n/a	n/a	0.00	0.0
BUCK	015	DVN	S	200	118.66	7-May	7-May	0.00	0.0
EFSTATHIOU	044	EFR	B	1,200	15.02	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	EL	B	25,000	48.62	7-May	7-May	1,250.00	5.0
AMATURO	018	EPG	B	2,000	4.51	n/a	n/a	0.00	0.0
MCCARTAN	028	EPG	B	2,000	4.53	n/a	n/a	0.00	0.0
LEDDY	035	EPG	B	1,800	4.57	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EFSTATHIOU	044	EPG	B	1,637	4.44	n/a	n/a	0.00	0.0
PERRY PARTNERS	041	ERTS	S	92,000	54.39	n/a	n/a	4,600.00	5.0
MILLER	025	EWZ	B	100	94.59	n/a	n/a	0.00	0.0
HOOVER INV. MGMT	033	FCS	B	60,300	14.24	n/a	n/a	3,015.00	5.0
SERENGETI MGMT	030	FED	B	25,000	14.82	n/a	n/a	1,250.00	5.0
LISTED ERR	099	FED	B	490	14.82	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	FHN	B	20,000	10.03	n/a	n/a	1,000.00	5.0
INDEPENDENCE INV	039	FISV	S	26,050	52.21	n/a	n/a	1,042.00	4.0
LEHMAN PROPRIETARY TRAD	041	FMX	B	60,000	46.54	n/a	n/a	2,400.00	4.0
ß BUCK CAPITAL MGMT		FOSL	B	200	35.20	n/a	7-May	non-brg	1.0
ß BUCK CAPITAL MGMT		FOSL	B	23,000	34.66	n/a	7-May	non-brg	2.0
ß BUCK CAPITAL MGMT		FOSL	B	26,800	34.35	n/a	7-May	non-brg	1.0
ß BUCK CAPITAL MGMT		FOSL	B	50,000	34.81	n/a	7-May	non-brg	4.0
COUGAR TRADING	044	FOSL	S	5,000	34.17	n/a	7-May	250.00	5.0
EGS ASSOCIATES LP	091	FOSL	B	12,500	34.61	n/a	7-May	750.00	6.0
ß BUCK CAPITAL MGMT		FUA+FG	C	1,000	1.89	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GFG	B	17,000	6.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GFG	B	33,000	6.70	n/a	n/a	non-brg	4.0
WHITE PINE CAPITAL	030	GGG	S	625	40.58	n/a	n/a	31.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		GIL	B	10,000	29.21	30-Apr	8-May	non-brg	4.0
AMATURO	018	GIL	S	1,000	29.35	30-Apr	8-May	0.00	0.0
MILLER	025	GLW	B	25	25.83	n/a	7-May	0.00	0.0
AMATURO	018	GMO	S	1,000	8.25	n/a	n/a	0.00	0.0
MCCARTAN	028	GM	SS	500	20.17	29-Apr	9-May	0.00	0.0
INDEPENDENCE INV	039	GOOG	S	17,590	583.51	n/a	n/a	703.60	4.0
BUCK	015	GPYFS	B	2	7.85	n/a	n/a	0.00	0.0
BUCK	015	GPYGB	S	4	4.60	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	GW	B	15,000	7.45	n/a	n/a	562.50	3.8
CROWLEY	061	HCGI	S	2,500	0.60	n/a	n/a	0.00	0.0
CAXTON PART	040	IBM	S	59,664	125.51	n/a	n/a	2,088.26	3.5
WHITE PINE CAPITAL	030	IFF	S	650	42.06	1-May	1-May	32.50	5.0
PAW PARTNERS	041	IMN	B	11,800	25.73	n/a	n/a	590.00	5.0
CATAPULT	040	ITG	B	5,000	41.30	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		JAH	B	20,000	21.86	n/a	n/a	non-brg	4.0
STADIA CAPITAL	035	JCP	SS	25,000	43.91	4-Jan	9-May	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	JPM	B	25,000	45.42	8-May	8-May	1,250.00	5.0
WYPER CAPITAL	044	JPM	S	100,000	46.17	8-May	8-May	4,000.00	4.0
CROWLEY	061	JSVAX	S	1,049	18.47	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	KEG	S	1,700	16.10	14-Feb	9-May	85.00	5.0
NATIONAL BK OF CAN	031	LEH	S	10,000	43.79	1-Apr	14-Apr	400.00	4.0
EFSTATHIOU	044	LEH	S	200	43.18	1-Apr	14-Apr	0.00	0.0
B BUCK CAPITAL MGMT		LIZ+SW	SS	4,000	0.71	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		LTM+HH	SS	500	1.31	n/a	n/a	non-brg	300.0
AVESTA CAP	229	MET	S	50,000	61.96	n/a	n/a	2,500.00	5.0
CROWLEY	061	MIRWSB	S	1,000	19.63	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MIR	S	3,900	39.65	n/a	n/a	non-brg	4.0
INDEPENDENCE INV	039	MSFT	S	17,640	30.04	n/a	3-Apr	705.60	4.0
STG INVESTORS	041	MU	B	250,000	8.34	n/a	n/a	5,000.00	2.0
SANDLER CAPITAL	038	MVL	B	40,000	34.80	n/a	n/a	2,400.00	6.0
ADAGE CAPITAL MGMT	030	M	B	100,000	24.04	7-Feb	9-May	4,000.00	4.0
COUGAR TRADING	044	M	B	5,000	23.90	7-Feb	9-May	250.00	5.0
INDEPENDENCE INV	039	NDAQ	S	18,440	38.12	n/a	n/a	737.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		NP	B	19,244	20.21	7-Apr	9-May	non-brg	1.0
BUCK CAPITAL MGMT		NP	B	23,000	20.24	7-Apr	9-May	non-brg	2.5
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	20.28	7-Apr	9-May	400.00	4.0
WHITE PINE CAPITAL	030	NWY	S	2,775	7.35	n/a	9-May	138.75	5.0
BUCK CAPITAL MGMT		OIH	SS	12,600	206.03	n/a	n/a	non-brg	1.0
BULL PATH CAPITAL	044	OI	B	20,000	54.16	n/a	n/a	1,000.00	5.0
DELTEC ASSET MGMT.	040	OSK	B	3,300	39.81	n/a	n/a	165.00	5.0
BUCK CAPITAL MGMT		PAG	S	3,800	20.35	22-Apr	30-Apr	non-brg	1.0
BARR	096	PDFS	B	664	5.32	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	PEP	S	8,000	66.95	n/a	n/a	320.00	4.0
WHITE PINE CAPITAL	030	PERY	S	700	25.06	n/a	n/a	35.00	5.0
BUCK	015	PM	S	2,000	52.60	n/a	n/a	0.00	0.0
CROWLEY	061	PNM	S	2,500	13.94	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PSUN	B	5,000	10.88	n/a	9-May	250.00	5.0
WHITE PINE CAPITAL	030	PTIX	S	3,500	4.65	n/a	n/a	140.00	4.0
COUGAR TRADING	044	PVH	B	10,000	44.94	5-May	5-May	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	QHHIE	B	20	3.10	n/a	n/a	0.00	0.0
COUGAR TRADING	044	RL	B	5,000	61.00	7-Feb	6-May	250.00	5.0
COUGAR TRADING	044	RL	SS	10,000	61.12	7-Feb	6-May	500.00	5.0
PROVIDENT INV COUNSEL	048	RL	S	48,032	60.56	7-Feb	6-May	2,401.60	5.0
HIGHBRIDGE CAPITAL	038	RVBD	SS	61,224	16.57	n/a	n/a	3,061.20	5.0
B BUCK CAPITAL MGMT		SBAC	B	50,000	34.68	n/a	n/a	non-brg	4.0
WHITE PINE CAPITAL	030	SMBL	S	1,350	8.51	n/a	n/a	67.50	5.0
BARR	096	SOAP	C	9,100	6.61	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	SOV	S	100,000	8.61	n/a	n/a	5,000.00	5.0
WHITE PINE CAPITAL	030	STKL	S	1,725	5.81	n/a	n/a	86.25	5.0
B BUCK CAPITAL MGMT		SWN	S	4,100	44.60	20-Mar	9-May	non-brg	4.0
B BUCK CAPITAL MGMT		THI	C	20,000	32.69	n/a	24-Apr	non-brg	4.0
COUGAR TRADING	044	TIF	B	10,000	45.26	14-Jan	25-Mar	500.00	5.0
B BUCK CAPITAL MGMT	001	TJX	B	40,000	31.00	n/a	9-May	1,600.00	4.0
B BUCK CAPITAL MGMT		TJX	B	20,000	31.13	n/a	9-May	non-brg	4.0
B BUCK CAPITAL MGMT		TJX	B	80,000	30.76	n/a	9-May	non-brg	4.0
B BUCK CAPITAL MGMT	001	TLB	B	20,000	7.54	17-Apr	9-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TPX	B	28,500	11.34	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		TPX	B	300,000	11.27	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TPX	B	37,579	11.24	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		TRLG	B	75,000	21.50	n/a	n/a	non-brg	5.0
WHITE PINE CAPITAL	030	UNT	S	575	73.30	20-Mar	1-May	28.75	5.0
MCCARTAN	028	UQM	S	1,500	2.47	n/a	n/a	0.00	0.0
LEDDY	035	UQM	B	4,000	2.33	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	WFMI	B	50,000	33.63	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT		WFMI	C	20,000	33.39	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		WFMI	C	80,000	31.44	n/a	n/a	non-brg	1.0
AVESTA CAP	229	WMT	S	100,000	56.67	13-May	13-May	5,000.00	5.0
CENTURION GLOBAL MGMT LL	041	WMT	S	13,500	56.81	13-May	13-May	405.00	3.0
FIRST NY SEC/CHRIS	041	WMT	B	20,000	56.56	13-May	13-May	1,200.00	6.0
THIRD POINT MGMT	044	WMT	SS	100,000	56.52	13-May	13-May	4,000.00	4.0
SNYDER CAPITAL	038	WRNC	S	60,775	50.22	13-May	13-May	2,431.00	4.0
WAGONHOUND	048	WRNC	S	1,110	50.28	13-May	13-May	55.50	5.0
BARR	096	ZILG	B	3,000	4.00	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								93,699.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/12	NWQ INVESTMENT MGMT CO	048	CMCSK	S	415,200	21.47	n/a	n/a	12456.00 3.0
AO,CRT	05/09	KNOTT PARTNERS	044	EL	B	50,000	47.87	7-May	7-May	3000.00 6.0
AO,CXL	05/09	KNOTT PARTNERS	044	EL	B	50,000	47.87	7-May	7-May	2500.00 5.0
AO,CXL	05/08	MAIRS AND POWER INV	030	PFG	B	10,000	52.95	n/a	n/a	600.00 6.0
AO,CRT	05/08	MAIRS AND POWER INV	030	PFG	B	10,000	52.95	n/a	n/a	500.00 5.0
AO,CXL	05/08	MCCARTAN	028	VC	B	2,200	4.37	n/a	1-May	0.00 0.0
AO,CRT	05/08	EMP ERROR	099	VC	B	2,200	4.37	n/a	1-May	0.00 0.0
AO,CRT	05/08	EMP ERROR	099	VC	S	2,200	4.36	n/a	1-May	0.00 0.0
AO,CXL	05/08	MCCARTAN	028	VC	S	2,200	4.36	n/a	1-May	0.00 0.0
AO,	05/12	TRELLUS PARTNERS LP	028	VC	S	150,000	4.81	n/a	1-May	4500.00 3.0
TOTAL (AO, CXL, CRT) :										17,356.00

TOTAL (Trade Date) :	93,699.96
TOTAL (AO, CXL, CRT) :	17,356.00

TOTAL (RUN DATE) / NFS :	111,055.96
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MRI Securities with Trade Activity on 13-May.
WMT, WRNC

MRI Securities without Trade Activity on 13-May.

NONE

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

T-Date = 7%

YTD = 19%

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