



Daily Compliance Activity Report

Trade Date: 02/14/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INDEPENDENCE INV	039	AAPL	B	2,400	130.13	n/a	n/a	96.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	21.34	5-Feb	8-Feb	800.00	4.0
HIGHBRIDGE CAPITAL	038	AET	B	33,007	49.56	n/a	n/a	1,650.35	5.0
INDEPENDENCE INV	039	AET	B	9,800	49.30	n/a	n/a	392.00	4.0
WHITE PINE CAPITAL	030	AIG	S	15,550	45.86	n/a	n/a	777.50	5.0
COUGAR TRADING	044	ANF	B	5,000	76.82	10-Jan	12-Feb	250.00	5.0
INDEPENDENCE INV	039	ATVI	B	11,200	26.85	n/a	n/a	448.00	4.0
INDEPENDENCE INV	039	AXP	B	8,100	46.60	n/a	n/a	324.00	4.0
INDEPENDENCE INV	039	BAX	B	5,800	60.99	n/a	22-Apr	232.00	4.0
ZOLIDIS	011	BBI	S	3,000	3.20	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	BBY	B	6,800	45.97	n/a	27-Jul	272.00	4.0
DIAMONDBACK CAP MGMT	232	BIG	C	15,000	17.50	7-Jan	11-Feb	750.00	5.0
ROTHSCHILD ASSET	040	BRS	S	1,100	53.80	n/a	n/a	49.52	4.5
CATAPULT	040	BX	B	7,500	17.44	n/a	n/a	375.00	5.0
OTC ERROR	099	CBRL	B	4,500	34.38	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GOLDMAN SACHS ASSET MGMT	044	CHK	B	250,385	43.03	n/a	n/a	3,755.78	1.5
HIGHBRIDGE CAPITAL	038	CI	B	42,285	46.22	n/a	n/a	2,114.25	5.0
GOLDMAN SACHS ASSET MGMT	044	CMCSA	B	150,000	19.09	26-Oct	4-Jan	6,000.00	4.0
SLS CAPITAL LLC	224	CMG	B	20,000	112.71	n/a	24-Apr	800.00	4.0
ZOLIDIS	011	CMG	B	200	110.02	n/a	24-Apr	0.00	0.0
WHITE PINE CAPITAL	030	COF	S	7,360	47.72	n/a	n/a	368.00	5.0
B BUCK CAPITAL MGMT		COLM	SS	10,000	42.39	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		COLM	SS	10,000	42.43	n/a	n/a	non-brg	2.5
RAINIER INV MGMT	035	COL	B	96,450	61.35	n/a	n/a	4,822.50	5.0
LEDDY	035	CPHI	S	300	2.87	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	CVS	S	35,100	40.16	n/a	n/a	526.50	1.5
DSG CAPITAL	225	C	SS	5,000	25.90	16-Jan	14-Feb	250.00	5.0
NATIONAL BK OF CAN	031	C	B	40,000	25.79	16-Jan	14-Feb	1,600.00	4.0
MAGUIRE	090	DALBW	B	75	0.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	B	10,000	116.47	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DECK	B	21,500	119.23	n/a	n/a	non-brg	1.0
INDEPENDENCE INV	039	DE	B	5,200	87.26	n/a	n/a	208.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INDEPENDENCE INV	039	DVN	B	6,000	94.87	14-Jan	8-Feb	240.00	4.0
GAULT	063	DXD	S	1,000	56.23	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	EMC	B	20,000	15.95	n/a	n/a	1,000.00	5.0
SUNOVA CAPITAL	031	EV	SS	50,000	34.12	9-Jan	14-Feb	2,500.00	5.0
INDEPENDENCE INV	039	FCX	B	3,300	94.39	n/a	n/a	132.00	4.0
COLE	N24	FSLR	S	10	229.10	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	GE	B	6,200	34.75	n/a	n/a	248.00	4.0
SINCLAIR	031	GIYCC	S	18	0.65	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GT	C	20,000	27.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GT	C	20,000	27.37	n/a	n/a	non-brg	1.0
KENNEDY CAPITAL	046	GT	B	98,195	26.70	n/a	n/a	3,927.80	4.0
INDEPENDENCE INV	039	HEW	B	7,900	38.88	n/a	n/a	316.00	4.0
B BUCK CAPITAL MGMT		HPY	C	38,200	22.17	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAPITAL	038	HUM	B	28,282	68.83	n/a	n/a	1,414.10	5.0
INDEPENDENCE INV	039	HUM	B	5,400	69.26	n/a	n/a	216.00	4.0
MAGUIRE	039	IBN	SS	200	58.45	n/a	n/a	0.00	0.0
ZOLIDIS	011	IPAR	S	500	17.30	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	IR	B	10,000	40.06	n/a	n/a	500.00	5.0
US BANCORP	030	IVZ	B	85,052	25.15	20-Dec	14-Feb	4,252.60	5.0
⌘ BUCK CAPITAL MGMT		JCP	SS	70,000	46.26	4-Jan	8-Feb	non-brg	4.0
LOOMIS SALES/BOSTON	036	JCP	S	30,000	46.60	4-Jan	8-Feb	1,200.00	4.0
ZOLIDIS	011	JOEZ	S	10,301	0.83	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	JPM	B	10,800	43.56	17-Jan	14-Feb	432.00	4.0
AVESTA CAP	229	JWN	SS	20,000	36.67	14-Feb	14-Feb	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		JWN	SS	50,000	37.10	14-Feb	14-Feb	non-brg	4.0
THE JAY GOLDMAN	034	JWN	B	30,000	36.62	14-Feb	14-Feb	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		KMX	SS	25,000	19.01	n/a	10-Jan	non-brg	4.0
PAKLER	N22	KNOT	S	214	12.08	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		KSS	S	90,000	45.28	4-Jan	8-Feb	non-brg	4.0
COUGAR TRADING	044	KSS	SS	10,000	45.21	4-Jan	8-Feb	500.00	5.0
⌘ BUCK CAPITAL MGMT		KSWS	SS	50,000	18.99	n/a	13-Mar	non-brg	4.0
IRIDIAN ASSET MGMT.	036	LEAP	B	23,780	38.27	n/a	n/a	1,189.00	5.0
BALYASNY ASSET MGMT	044	LIZ	B	35,000	20.15	n/a	28-Jan	1,750.00	5.0
DSG CAPITAL	225	LIZ	B	5,000	18.50	n/a	28-Jan	250.00	5.0
THE JAY GOLDMAN	034	LIZ	B	60,000	19.58	n/a	28-Jan	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GAULT	063	LPX	B	1,500	11.81	30-Oct	6-Feb	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	LTD	SS	50,000	17.38	n/a	8-Feb	2,500.00	5.0
B BUCK CAPITAL MGMT		MCD	SS	40,000	56.36	n/a	24-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		MDTL	SS	20,000	10.68	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	034	MER	B	100,000	51.19	18-Jan	14-Feb	4,000.00	4.0
INDEPENDENCE INV	039	MON	B	3,100	117.08	n/a	12-Feb	124.00	4.0
INDEPENDENCE INV	039	MO	B	5,800	72.95	n/a	n/a	232.00	4.0
INDEPENDENCE INV	039	MRK	B	8,300	47.40	n/a	n/a	332.00	4.0
WHITE PINE CAPITAL	030	MTSC	B	4,900	33.02	n/a	n/a	245.00	5.0
INDEPENDENCE INV	039	NBL	B	7,800	77.28	n/a	n/a	312.00	4.0
INDEPENDENCE INV	039	NDAQ	B	6,500	42.58	n/a	n/a	260.00	4.0
LUCHANSKY	036	NIHD	S	150	41.02	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	NKE	B	4,200	62.65	n/a	n/a	168.00	4.0
INDEPENDENCE INV	039	NOK	B	8,900	37.13	n/a	n/a	356.00	4.0
MCCARTAN	028	NOK	S	100	36.58	n/a	n/a	0.00	0.0
CATTANI	041	NOK	S	200	36.31	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INDEPENDENCE INV	039	NOV	B	4,400	64.38	n/a	n/a	176.00	4.0
INDEPENDENCE INV	039	NSC	B	4,200	55.17	n/a	n/a	168.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	S	10,000	73.04	n/a	17-Jan	500.00	5.0
CATTANI	041	NTRS	B	100	73.70	n/a	17-Jan	0.00	0.0
B BUCK CAPITAL MGMT		OIH	SS	27,500	168.87	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	OXM	SS	10,000	20.81	n/a	n/a	500.00	5.0
INDEPENDENCE INV	039	OXY	B	11,100	72.65	n/a	n/a	444.00	4.0
EGS ASSOCIATES LP	091	PAG	B	3,000	17.65	6-Feb	6-Feb	180.00	6.0
INDEPENDENCE INV	039	PEP	B	5,200	72.00	n/a	n/a	208.00	4.0
CR INTRINIC INVESTMENT	044	PFE	B	400,000	22.46	n/a	31-Mar	20,000.00	5.0
PROSPECTOR PARTNERS LLC	036	PFE	S	10,000	22.45	n/a	31-Mar	400.00	4.0
INDEPENDENCE INV	039	PG	B	6,400	67.23	11-Dec	1-Feb	256.00	4.0
LUCHANSKY2	036	PG	B	500	67.01	11-Dec	1-Feb	0.00	0.0
EMP ERROR	099	PG	S	500	67.05	11-Dec	1-Feb	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	19.56	10-Jan	8-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		PNRA	SS	20,000	38.32	n/a	n/a	non-brg	4.0
INDEPENDENCE INV	039	PRE	B	2,700	79.69	n/a	n/a	108.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	PRU	S	15,000	71.21	n/a	n/a	750.00	5.0
N STRATTON	014	PRXI	B	1,200	6.00	n/a	n/a	0.00	0.0
LEDDY	035	PZN	SS	800	12.06	12-Feb	14-Feb	0.00	0.0
INDEPENDENCE INV	039	RE	B	2,700	99.64	n/a	n/a	108.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	66.22	7-Feb	7-Feb	800.00	4.0
BUCK CAPITAL MGMT	001	RVI	S	60,000	7.01	n/a	n/a	2,400.00	4.0
CATTANI	041	SBLK	S	500	12.10	n/a	n/a	0.00	0.0
SUTERA	160	SDS	B	500	61.76	n/a	n/a	0.00	0.0
SUTERA	160	SDS	S	500	63.00	n/a	n/a	0.00	0.0
GAULT	063	SKF	S	1,500	110.54	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	STI	SS	19,281	63.57	n/a	n/a	964.05	5.0
MCCARTAN	028	SUNH	C	400	15.62	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	SVVS	B	28,070	20.27	n/a	n/a	1,403.50	5.0
N STRATTON	014	TECUA	C	200	24.27	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	50,000	54.02	n/a	27-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	TIF	SS	40,000	39.58	14-Jan	8-Feb	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		TPX	B	70,000	17.83	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TRLG	B	135,900	20.66	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		TRLG	B	3,050	20.06	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		TRLG	B	61,050	20.53	n/a	n/a	non-brg	2.5
RAMIUS CAP	040	TROW	SS	23,500	49.98	9-Jan	14-Feb	1,175.00	5.0
INDEPENDENCE INV	039	TSO	B	7,500	37.71	n/a	n/a	300.00	4.0
INDEPENDENCE INV	039	TXT	B	7,400	57.98	n/a	n/a	296.00	4.0
INDEPENDENCE INV	039	T	B	9,900	38.45	n/a	4-Jan	396.00	4.0
MERRILL LYNCH STRATEGICI	034	URBN	S	15,000	29.62	3-Jan	8-Feb	600.00	4.0
RAMIUS CAP	040	URBN	SS	30,500	29.60	3-Jan	8-Feb	1,525.00	5.0
SAC TRADING HOWARD	038	URBN	B	25,000	29.60	3-Jan	8-Feb	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		VIRL	S	5,000	6.73	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	VRX	B	18,310	14.05	n/a	n/a	915.50	5.0
INDEPENDENCE INV	039	VZ	B	7,600	38.48	n/a	4-Jan	304.00	4.0
RAMIUS CAP	040	WDR	SS	30,400	31.94	21-Nov	14-Feb	1,520.00	5.0
INDEPENDENCE INV	039	WFC	B	11,700	30.15	n/a	n/a	468.00	4.0
⚡ BUCK CAPITAL MGMT		WFMI	SS	30,000	40.65	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	WLP	B	26,386	74.07	n/a	n/a	1,319.30	5.0
TROUBH PART	067	WLP	B	10,000	74.01	n/a	n/a	500.00	5.0
RAMIUS CAP	040	WL	SS	33,300	32.63	n/a	n/a	1,665.00	5.0
INDEPENDENCE INV	039	WMT	B	8,400	50.01	n/a	11-Feb	336.00	4.0
RAMIUS CAP	040	WM	SS	55,700	16.60	n/a	n/a	2,785.00	5.0
B BUCK CAPITAL MGMT		WRNC	B	40,000	35.65	14-Jan	29-Jan	non-brg	4.0
COUGAR TRADING	044	WRNC	S	5,000	36.07	14-Jan	29-Jan	250.00	5.0
LEDDY	035	XOHO	B	10,000	1.13	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	XOM	B	5,600	86.45	n/a	n/a	224.00	4.0
FARALLON CAP MGMT	040	XRT	B	875,000	33.62	n/a	n/a	35,000.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	90,000	9.48	5-Feb	5-Feb	3,600.00	4.0
TOTAL (Trade Date) :								147,452.25	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/13	DSM CAPITAL PARTNERS	032	ADSK	B	145	38.63	n/a	n/a	7.25	0.0
AO,CXL	02/13	DSM CAPITAL PARTNERS	032	ADSK	B	145	38.63	n/a	n/a	1.93	0.0
AO,CRT	02/13	OTC ERROR	099	CBRL	S	4,500	34.39	n/a	n/a	0.00	0.0
AO,	02/13	TRELLUS PARTNERS LP	028	CBRL	C	76,100	34.39	n/a	n/a	3805.00	5.0
AO,CRT	02/13	DSM CAPITAL PARTNERS	032	CELG	B	310	56.93	n/a	n/a	15.50	0.0
AO,CXL	02/13	DSM CAPITAL PARTNERS	032	CELG	B	310	56.93	n/a	n/a	2.85	0.0
AO,	02/13	TRIVIUM CAP MGMT	251	JAVA	SS	50,000	17.47	n/a	n/a	2000.00	4.0
AO,	02/13	LOOMIS SALES/BOSTON	048	JCP	S	120,086	47.63	4-Jan	8-Feb	4803.44	4.0
AO,	02/13	WASHINGTON ASSET	048	MER	B	10,000	52.29	18-Jan	14-Feb	500.00	5.0
AO,CXL	02/13	LUCHANSKY2	036	PG	B	500	67.02	11-Dec	1-Feb	0.00	0.0
AO,CRT	02/13	EMP ERROR	099	PG	B	500	67.02	11-Dec	1-Feb	0.00	0.0
AO,CRT	02/13	DSM CAPITAL PARTNERS	032	SLB	B	210	83.19	n/a	n/a	10.50	0.0
AO,CXL	02/13	DSM CAPITAL PARTNERS	032	SLB	B	210	83.19	n/a	n/a	4.16	0.0
AO,CXL	02/11	IRONBOUND CAPITAL	012	TIN	S	97,900	16.77	6-Feb	7-Feb	4895.00	5.0
AO,CRT	02/11	IRONBOUND CAPITAL	012	TIN	S	97,900	16.77	6-Feb	7-Feb	3916.00	4.0
TOTAL (AO, CXL, CRT) :										10,153.75	

TOTAL (Trade Date):	147,452.25
TOTAL (AO, CXL, CRT):	10,153.75

TOTAL (RUN DATE) / NFS:	157,606.00
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MRI Securities with Trade Activity on 14-Feb.

JWN

MRI Securities without Trade Activity on 14-Feb.

KEG

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

T-Date = 29%

YTD = 27%

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