



Daily Compliance Activity Report

Trade Date: 05/01/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	AAI	B	269,100	3.65	n/a	n/a	2,691.00	1.0
TRELLUS PARTNERS LP	028	ABG	S	59,110	17.15	n/a	25-Apr	2,955.50	5.0
BUCK	015	AB	S	900	62.30	9-Apr	30-Apr	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	170,000	18.58	6-Mar	11-Apr	non-brg	4.0
CASTLEROCK	040	AGN	SS	41,200	57.25	31-Jan	30-Apr	1,648.00	4.0
COMMISSUM CAPITAL	067	AMG	S	1,000	97.96	7-Apr	1-May	50.00	5.0
IMPALA ASSET MMT	012	AMR	B	317,800	9.89	n/a	n/a	3,178.00	1.0
COUGAR TRADING	044	ANF	B	10,000	74.46	10-Apr	11-Apr	500.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	73.19	10-Apr	11-Apr	250.00	5.0
FIRST NEW YORK LEDDY	035	ANF	SS	2,000	73.60	10-Apr	11-Apr	100.00	5.0
B BUCK CAPITAL MGMT		ANN	SS	40,000	25.32	14-Mar	14-Mar	non-brg	4.0
FIRST NY SEC/CHRIS	041	AN	SS	25,000	16.45	n/a	25-Apr	1,250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	31.54	28-Apr	28-Apr	2,000.00	4.0
FIRST NEW YORK LEDDY	035	ARO	SS	2,000	31.51	28-Apr	28-Apr	100.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ARO	S	34,000	33.01	28-Apr	28-Apr	1,275.00	3.8
DIAMONDBACK CAP MGMT	232	A	SS	25,000	30.54	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BBBY	SS	100,000	33.22	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	BBT	S	30,000	36.28	n/a	n/a	1,500.00	5.0
SUNOVA CAPITAL	031	BEN	B	50,000	97.00	24-Mar	30-Apr	2,500.00	5.0
WILLOW CREEK	033	BGCP	SS	15,000	9.40	n/a	n/a	600.00	4.0
JMP ASSET MGMT	210	BHS	B	5,000	15.80	n/a	n/a	250.00	5.0
N STRATTON	014	BIG	SS	125	27.85	6-Mar	29-Apr	0.00	0.0
COUGAR TRADING	044	BKC	B	5,000	27.16	1-May	1-May	250.00	5.0
MORGENS WATERFALL	040	BKC	B	100,000	27.43	1-May	1-May	3,000.00	3.0
SUNOVA CAPITAL	031	BK	B	25,000	45.29	n/a	18-Apr	1,250.00	5.0
IMPALA ASSET MMT	012	BRT	B	100,000	42.65	n/a	n/a	3,000.00	3.0
SCOPUS FUND	041	BWA	S	35,987	50.03	14-Jan	21-Apr	1,799.35	5.0
WASHINGTON ASSET	048	BWA	S	10,000	50.50	14-Jan	21-Apr	500.00	5.0
PAW PARTNERS	041	CAJ	SS	29,500	50.73	n/a	n/a	1,475.00	5.0
IMPALA ASSET MMT	012	CAL	SS	325,000	19.16	n/a	n/a	9,750.00	3.0
IMPALA ASSET MMT	012	CCL	B	100,000	40.96	n/a	26-Jan	3,000.00	3.0
FORD FDN.	032	CEPH	S	20,000	62.64	n/a	30-Apr	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY	036	CLHB	B	200	65.55	n/a	n/a	0.00	0.0
CATTANI	041	CLMS	S	500	19.80	13-Feb	30-Apr	0.00	0.0
FINANCIAL STOCK LP	028	CMA	B	50,000	36.60	n/a	n/a	2,000.00	4.0
J.W. SELIGMAN	041	COH	S	200,000	35.78	4-Apr	23-Apr	8,000.00	4.0
B BUCK CAPITAL MGMT		COLM	SS	50,000	41.97	n/a	n/a	non-brg	4.0
N STRATTON	014	CPKI	SS	200	16.45	n/a	30-Apr	0.00	0.0
GRANAHAN INV	039	CRR	S	50,000	45.51	13-Feb	1-May	2,000.00	4.0
MERRILL ASSET	032	CRR	B	25,000	45.50	13-Feb	1-May	1,250.00	5.0
STG INVESTORS	041	CSCO	B	147,000	26.38	n/a	22-Mar	5,880.00	4.0
OTC ERROR	099	CSCO	B	20,400	26.50	n/a	22-Mar	0.00	0.0
OTC ERROR	099	CSCO	S	20,400	26.40	n/a	22-Mar	0.00	0.0
PRINCIPLE CAPITAL	040	CSC	B	68,900	44.86	n/a	n/a	2,756.00	4.0
WILLOW CREEK	033	CSGP	SS	4,000	47.96	n/a	n/a	160.00	4.0
CROWLEY	061	CSGU	S	10,000	0.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CVS	B	50,000	39.83	n/a	n/a	2,000.00	4.0
HUNTER GLOBAL INVESTOR	067	CVS	S	50,000	40.48	n/a	n/a	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	C	S	25,000	25.89	16-Jan	30-Apr	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		DBRN	S	156,500	13.59	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	031	DECK	B	1,525	139.82	n/a	n/a	76.25	5.0
⌘ BUCK CAPITAL MGMT		DECK	S	30,000	138.63	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	DELL	C	100,000	19.03	n/a	n/a	5,000.00	5.0
BARR	096	DFS	C	700	18.45	n/a	n/a	0.00	0.0
BUCK	015	DIS	S	1,000	32.99	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	DLTR	B	50,000	31.58	n/a	11-Apr	2,000.00	4.0
IMPALA ASSET MMT	012	DUG	B	200,000	33.58	n/a	n/a	6,000.00	3.0
BUCK	015	DVN	B	150	108.85	20-Mar	1-May	0.00	0.0
COUGAR TRADING	044	EL	SS	15,000	45.24	4-Jan	1-Apr	750.00	5.0
DENVER INST. ADV	046	EV	B	95,200	38.80	9-Jan	30-Apr	3,808.00	4.0
WILLOW CREEK	033	FEED	SS	7,500	15.82	n/a	n/a	300.00	4.0
REINHART & MAHONEY	031	FSP	S	16,575	15.32	n/a	n/a	828.75	5.0
IMPALA ASSET MMT	012	GD	B	150,000	90.33	n/a	n/a	4,500.00	3.0
1798 CAPITAL MGMT	040	GES	SS	5,000	37.57	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		GES	S	35,000	38.67	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GIL	B	150,000	25.64	30-Apr	30-Apr	6,000.00	4.0
ß BUCK CAPITAL MGMT		GIL	B	100,000	24.93	30-Apr	30-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	300,000	25.28	30-Apr	30-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		GM	SS	50,000	23.59	29-Apr	1-May	non-brg	4.0
FIRST NY SEC/CHRIS	041	GM	SS	10,000	23.25	29-Apr	1-May	600.00	6.0
UBS OCONNOR	031	GTI	S	25,000	21.54	n/a	n/a	750.00	3.0
IMPALA ASSET MMT	012	GWV	B	85,000	87.62	14-Apr	14-Apr	2,550.00	3.0
ß BUCK CAPITAL MGMT		GYMB	S	30,000	43.73	2-Apr	11-Apr	non-brg	2.5
STERLING JOHNSTON	035	GYMB	B	30,000	43.98	2-Apr	11-Apr	1,500.00	5.0
BUCK CAPITAL MGMT	001	HBI	SS	50,000	35.46	n/a	n/a	2,000.00	4.0
IMPALA ASSET MMT	012	HBI	B	125,000	38.82	n/a	n/a	3,750.00	3.0
PATTEN & PATTEN	067	HCF	B	300	14.12	n/a	n/a	15.00	5.0
BARR	096	HDB	C	400	115.05	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	HD	B	10,000	29.82	n/a	27-Jul	500.00	5.0
ROTHSCHILD ASSET	040	HD	B	41,750	30.16	n/a	27-Jul	1,878.75	4.5
Õ Manny Korman		ICON	B	10000	15.19	n/a	n/a	0.00	0.0
KORMAN	003	ICON	B	5,000	15.50	n/a	n/a	0.00	0.0
LEDDY	035	ICON	B	800	16.14	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	IRM	S	30,000	30.52	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLOW CREEK	033	IVAC	SS	10,000	13.64	n/a	n/a	400.00	4.0
WASHINGTON ASSET	048	IVZ	B	20,000	26.49	10-Apr	30-Apr	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		JAH	S	14,500	22.12	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JAH	S	85,500	22.03	n/a	n/a	non-brg	4.0
TRIVIUM CAP MGMT	251	JAVA	SS	50,000	16.21	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		JCG+FK	SS	2,000	0.99	n/a	n/a	non-brg	100.0
COUGAR TRADING	044	JCG	S	5,000	48.79	n/a	12-Mar	250.00	5.0
⌘ BUCK CAPITAL MGMT		JCP+RG	SS	2,200	0.60	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		JCP	SS	12,700	43.92	4-Jan	17-Apr	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JCP	SS	25,000	41.73	4-Jan	17-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP	SS	25,000	42.20	4-Jan	17-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP	SS	50,000	42.31	4-Jan	17-Apr	non-brg	2.5
⌘ BUCK CAPITAL MGMT		JCP	SS	57,300	43.77	4-Jan	17-Apr	non-brg	4.0
FIRST NEW YORK LEDDY	035	JCP	SS	2,000	42.21	4-Jan	17-Apr	100.00	5.0
SIGMA CAPITAL ASSOCIATES	237	JCP	B	75,000	42.26	4-Jan	17-Apr	3,750.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	B	10,000	24.88	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	JPM	S	25,000	49.06	17-Jan	16-Apr	1,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	KR	B	30,000	27.36	n/a	n/a	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	240,000	47.73	4-Jan	11-Apr	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAGE ASSET MGMT	012	LAZ	S	26,000	40.20	n/a	n/a	1,300.00	5.0
SNYDER CAPITAL	038	LDSH	B	25,000	30.24	n/a	n/a	1,000.00	4.0
SUNOVA CAPITAL	031	LEH	B	25,000	47.38	1-Apr	14-Apr	1,250.00	5.0
GAULT	063	LEH	S	800	47.10	1-Apr	14-Apr	0.00	0.0
B BUCK CAPITAL MGMT		LIZ	SS	30,000	18.59	n/a	17-Mar	non-brg	4.0
COUGAR TRADING	044	LIZ	B	10,000	18.41	n/a	17-Mar	500.00	5.0
EPOCH INV MGMT	030	LMEDIA	B	7,150	26.08	n/a	n/a	286.00	4.0
WILLIAMS TRAD/MANHASSET	041	LM	B	16,500	62.14	24-Mar	30-Apr	825.00	5.0
B BUCK CAPITAL MGMT		LTD	SS	40,000	19.14	n/a	11-Apr	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	LTR	B	10,000	42.18	n/a	n/a	400.00	4.0
THOMAS WEISEL ASSET MGMT	035	MCRS	B	1,315	29.83	n/a	n/a	39.45	3.0
PROSPECTOR PARTNERS LLC	036	MDP	B	10,000	33.32	n/a	n/a	400.00	4.0
LEHMAN PROPRIETARY TRAD	041	MDRX	B	60,000	11.05	n/a	n/a	2,400.00	4.0
GAULT	063	MER	S	900	52.62	18-Jan	17-Apr	0.00	0.0
PROVIDENT INV COUNSEL	048	MNST	S	79,750	25.45	n/a	n/a	3,190.00	4.0
B BUCK CAPITAL MGMT		MSMSBOIH	C	10,000	104.99	n/a	n/a	non-brg	10.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		MSM	S	20,000	49.98	n/a	n/a	non-brg	4.0
LEDDY	035	MS	B	200	49.97	20-Dec	14-Apr	0.00	0.0
⚡ BUCK CAPITAL MGMT		MVRX	SS	190,000	150.36	n/a	n/a	non-brg	15.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	26.39	n/a	n/a	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		M	S	140,000	25.06	7-Feb	11-Apr	non-brg	4.0
COUGAR TRADING	044	M	SS	10,000	26.21	7-Feb	11-Apr	500.00	5.0
N STRATTON	014	NETM	S	1,000	6.90	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	S	10,000	6.36	n/a	20-Mar	500.00	5.0
⚡ BUCK CAPITAL MGMT		OIH	C	23,600	187.97	n/a	n/a	non-brg	1.0
SYSTEMATIC FINANCIAL MGT	035	OSK	B	18,800	41.66	n/a	n/a	705.00	3.8
EPOCH INV MGMT	030	PCAR	B	2,750	47.95	n/a	n/a	110.00	4.0
⚡ BUCK CAPITAL MGMT		PERY	S	20,000	23.20	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PETM	SS	20,000	23.51	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PLCE	S	30,000	23.70	2-May	1-May	non-brg	4.0
EPOCH INV MGMT	030	PM	B	3,500	51.04	n/a	n/a	140.00	4.0
HUNTER GLOBAL INVESTOR	067	PNC	SS	13,000	71.40	n/a	n/a	650.00	5.0

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COUGAR TRADING	044	PSUN	SS	10,000	13.74	n/a	11-Apr	500.00	5.0
⌘ BUCK CAPITAL MGMT		PVH	S	80,000	42.02	13-Mar	26-Mar	non-brg	4.0
THOMSON HORSTMAN BRYANT	040	PVH	B	23,850	43.23	13-Mar	26-Mar	1,192.50	5.0
MCCARTAN	028	PZN	B	200	12.32	24-Mar	30-Apr	0.00	0.0
⌘ BUCK CAPITAL MGMT		RCL	B	20,000	32.99	25-Apr	25-Apr	non-brg	4.0
MATTHES CAPITAL MGMT	033	RDEN	B	70,000	13.78	2-May	1-Feb	2,800.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	63.80	7-Feb	15-Feb	400.00	4.0
VISIUM/BALY HOWARD	038	RL	SS	25,000	63.81	7-Feb	15-Feb	1,250.00	5.0
CUMBERLAND	038	RRGB	SS	10,000	41.09	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		RSH	B	100,000	14.67	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKF	S	93,600	99.28	n/a	n/a	non-brg	2.0
BARR	096	SKF	S	200	96.80	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SKS+TV	SS	1,000	1.30	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKS	SS	200,000	13.44	n/a	n/a	non-brg	4.0
BARR	096	SOAP	C	832	6.89	n/a	n/a	0.00	0.0
BARR	096	SRS	S	1,500	84.80	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SSI+RC	SS	1,000	0.80	n/a	n/a	non-brg	100.0

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BUCK CAPITAL MGMT	001	SSI	SS	50,000	15.88	4-Jan	11-Apr	2,000.00	4.0
B BUCK CAPITAL MGMT		SSI	SS	50,000	15.90	4-Jan	11-Apr	non-brg	4.0
MERRILL ASSET	032	STC	B	21,000	25.82	n/a	n/a	945.00	4.5
GAULT	063	STI	S	800	58.74	n/a	n/a	0.00	0.0
MISSOURI VALLEY PART	046	STT	B	9,040	74.03	n/a	n/a	452.00	5.0
SUNOVA CAPITAL	031	STT	B	10,000	75.42	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	SUG	B	9,600	25.78	n/a	n/a	384.00	4.0
BAIRD INVESTMENT	031	SWN	S	3,200	40.14	20-Mar	1-May	160.00	5.0
BARR	096	SYNP	S	2,134	7.96	n/a	n/a	0.00	0.0
DSG CAPITAL	225	TIN	B	5,000	11.50	29-Apr	29-Apr	250.00	5.0
IRONBOUND CAPITAL	012	TIN	B	47,800	11.70	29-Apr	29-Apr	1,434.00	3.0
WEINTRAUB CAPITAL MGT.	040	TJX	S	50,000	33.15	n/a	11-Apr	2,000.00	4.0
EPOCH INV MGMT	030	TMO	B	5,600	58.15	n/a	n/a	224.00	4.0
WILLOW CREEK	033	TRMP	SS	40,000	2.87	n/a	n/a	1,600.00	4.0
EFSTATHIOU	044	TTWO	B	400	26.00	n/a	n/a	0.00	0.0
CRAGO	N26	TTWO	B	200	25.97	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	TWX	B	100,000	15.35	n/a	n/a	5,000.00	5.0

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BUCK CAPITAL MGMT		URBN	S	80,000	34.01	3-Apr	9-Apr	non-brg	4.0
BUCK CAPITAL MGMT		URQ+FH	SS	1,000	0.50	n/a	n/a	non-brg	100.0
DIAMONDBACK CAP MGMT	232	USB	C	30,000	34.94	n/a	n/a	1,500.00	5.0
LEHMAN PROPRIETARY TRAD	041	USG	B	50,000	36.17	23-Apr	23-Apr	2,000.00	4.0
MILLER	025	UUP	B	50	22.84	n/a	n/a	0.00	0.0
MILLER	025	UUP	S	100	22.83	n/a	n/a	0.00	0.0
ZOLIDIS	011	UYG	S	1,000	35.10	n/a	n/a	0.00	0.0
GAULT	063	UYG	S	2,300	35.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		VCGH	S	5,000	4.28	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		VIRL	S	20,000	6.11	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		VLO	B	18,300	48.94	n/a	n/a	non-brg	4.0
BUCK	015	V	S	500	85.41	n/a	n/a	0.00	0.0
CAXTON PART	040	WFC	B	116,176	31.61	n/a	n/a	4,066.20	3.5
WILLOW CREEK	033	WFMI	SS	7,000	34.79	n/a	n/a	280.00	4.0
LEDDY	035	WFMI	SS	400	34.95	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WFR	B	2,600	65.78	n/a	n/a	104.00	4.0
EPOCH INV MGMT	030	WFT	B	2,150	79.57	n/a	n/a	86.00	4.0

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MORRISON&FRASIER/BUTLER	040	WG	S	4,000	35.18	n/a	n/a	200.00	5.0
EPOCH INV MGMT	030	WMI	B	7,600	36.74	n/a	n/a	304.00	4.0
STADIA CAPITAL	035	WMT	B	50,000	58.52	n/a	28-Apr	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		WRNC	S	90,000	46.28	3-Apr	28-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WSM+RX	SS	1,000	0.72	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		WSM	SS	25,000	26.63	n/a	n/a	non-brg	4.0
BULL PATH CAPITAL	044	WSM	B	32,500	26.82	n/a	n/a	1,625.00	5.0
EPOCH INV MGMT	030	WU	B	8,500	23.24	n/a	n/a	340.00	4.0
HIGHBRIDGE CAPITAL	038	WY	SS	50,000	64.58	7-Apr	7-Apr	2,500.00	5.0
⚡ BUCK CAPITAL MGMT		XLE	C	2,000	78.64	n/a	n/a	non-brg	1.0
EPOCH INV MGMT	030	XOM	B	5,650	89.65	n/a	n/a	226.00	4.0
⚡ BUCK CAPITAL MGMT		XRT	SS	21,000	33.28	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		ZJQ+GX	SS	1,000	0.65	n/a	n/a	non-brg	100.0
JMP ASSET MGMT	210	ZQK	SS	25,000	10.31	5-Feb	7-Mar	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		ZUMZ	SS	20,000	21.98	n/a	n/a	non-brg	4.0

TOTAL (Trade Date):

182,792.75

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/28	FIRST NEW YORK LEDDY	035	BBY	B	10,000	45.90	n/a	27-Jul	400.00 4.0
AO,CXL	04/28	FIRST NEW YORK LEDDY	035	BBY	B	10,000	45.90	n/a	27-Jul	600.00 6.0
AO,	04/30	IRIDIAN ASSET MGMT.	036	BHP	B	22,520	80.13	n/a	n/a	1126.00 5.0
AO,CRT	04/30	SCOPUS FUND	041	BWA	S	31,400	49.77	14-Jan	21-Apr	1570.00 5.0
AO,CXL	04/30	SCOPUS FUND	041	BWA	S	31,400	49.77	14-Jan	21-Apr	1570.00 5.0
AO,CRT	04/30	LISTED ERR	099	NOV	S	10,000	67.50	n/a	n/a	0.00 0.0
AO,CXL	04/30	MORRISON&FRASIER/BUTLER	040	NOV	B	10,000	67.05	n/a	n/a	500.00 5.0
AO,CRT	04/30	MORRISON&FRASIER/BUTLER	040	NOV	B	10,000	67.05	n/a	n/a	500.00 5.0
AO,CXL	04/30	STRONG/WELL HOWARD	038	NOV	S	10,000	67.50	n/a	n/a	0.00 0.0
AO,CXL	04/30	AAD CAPITAL	048	TIN	B	146,700	11.63	29-Apr	29-Apr	4401.00 3.0
AO,CRT	04/30	AAD CAPITAL	048	TIN	B	143,000	11.63	29-Apr	29-Apr	4290.00 3.0
AO,	04/30	AAD CAPITAL	048	TIN	B	3,700	11.63	29-Apr	29-Apr	111.00 3.0
AO,CRT	04/30	JCK PARTNERS	067	WBC	B	75,000	47.47	30-Apr	30-Apr	3000.00 4.0
AO,CXL	04/30	JCK PARTNERS	067	WBC	B	75,000	47.47	30-Apr	30-Apr	3000.00 4.0
AO,	04/30	PERRY PARTNERS	041	WSM	SS	25,000	26.46	n/a	n/a	1250.00 5.0
TOTAL (AO, CXL, CRT) :										2,176.00

TOTAL (Trade Date):

182,792.75

TOTAL (AO, CXL, CRT):

2,176.00

TOTAL (RUN DATE) / NFS:

184,968.75

MRI Securities with Trade Activity on 1-May.

BKC

MRI Securities without Trade Activity on 1-May.

DBD, IFF

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

T-Date = 10%

YTD = 20%

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