



## Daily Compliance Activity Report

Trade Date: 12/16/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	ABM	B	7,600	25.25	n/a	n/a	304.00	4.0
PERRY PARTNERS	085	ACL	S	25,000	161.53	n/a	15-Dec	1,250.00	5.0
BALYASNY ASSET MGMT	044	ADM	B	10,000	30.27	n/a	16-Dec	500.00	5.0
IRIDIAN ASSET MGMT.	036	AVAV	B	20,000	25.64	n/a	n/a	600.00	3.0
OSKIE CAPITAL MGMT	224	AXL	S	10,000	12.60	n/a	1-Nov	500.00	5.0
OSKIE CAPITAL MGMT	224	BA	B	6,000	64.55	n/a	22-Nov	300.00	5.0
SAC CHICAGO ANDREW	031	BIG	S	45,000	28.73	n/a	7-Dec	1,575.00	3.5
ROTHSCHILD ASSET	040	BP	S	3,910	43.81	n/a	n/a	156.40	4.0
OSKIE CAPITAL MGMT	224	BWA	B	4,000	69.26	n/a	27-Oct	200.00	5.0
PIONEER PATH	226	CCL	B	5,700	42.50	n/a	n/a	171.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>S</b>	<b>20,000</b>	<b>11.92</b>	<b>n/a</b>	<b>5-Feb</b>	<b>600.00</b>	<b>3.0</b>
ACK ASSET	028	CMI	SS	8,700	108.68	n/a	29-Oct	261.00	3.0
PLATTE RIVER CAPITAL	240	COG	B	7,400	36.09	n/a	14-Dec	296.00	4.0
COOKBIELER	028	CTAS	B	73,861	29.31	n/a	n/a	2,954.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOKBIELER	028	DGX	B	100,000	53.17	n/a	n/a	4,000.00	4.0
LATEFF MGMT	035	DRE	B	2,000	11.03	n/a	n/a	160.00	8.0
COPIA CAPITAL	031	DUK	SS	25,000	17.61	n/a	n/a	875.00	3.5
MTB INV ADV	034	EXPD	S	3,800	56.25	n/a	n/a	190.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>S</b>	<b>15,000</b>	<b>19.49</b>	<b>n/a</b>	<b>19-Nov</b>	<b>300.00</b>	<b>2.0</b>
SAC CHICAGO ANDREW	031	FL	S	25,000	19.47	n/a	19-Nov	875.00	3.5
LATEFF MGMT	035	FMER	S	4,000	19.17	n/a	n/a	360.00	9.0
LAKEVIEW INV GROUP LLC	031	FOR	B	6,200	18.45	n/a	3-Nov	186.00	3.0
CAVU CAP ADV	028	F	SS	25,000	16.47	n/a	2-Dec	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>10,000</b>	<b>39.18</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
ARCHON CAPITAL	035	GMCR	S	20,000	31.71	n/a	n/a	600.00	3.0
NUMERIC	060	GT	S	35,200	11.60	n/a	n/a	1,056.00	3.0
KLEINHEINZ CAP PART	031	HD	B	25,000	35.19	n/a	13-Dec	1,250.00	5.0
SAC CHICAGO ANDREW	031	HD	SS	100,000	35.05	n/a	13-Dec	3,500.00	3.5
PIONEER PATH	226	HOG	B	30,000	34.12	n/a	n/a	900.00	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	6,220	62.03	n/a	n/a	124.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHICAGO ANDREW	031	JAS	B	10,000	45.50	n/a	n/a	350.00	3.5
SAC CHICAGO ANDREW	031	JWN	B	10,226	41.53	n/a	30-Nov	357.91	3.5
LATEFF MGMT	035	KALU	S	1,500	49.26	n/a	n/a	360.00	24.0
JP MORGAN VENTURES	046	KR	B	10,000	21.59	n/a	n/a	500.00	5.0
JET CAPITAL/CHRIS	041	KWK	S	100,000	14.38	n/a	n/a	3,000.00	3.0
PIONEER PATH	226	LVS	SS	72,000	43.59	n/a	9-Dec	2,160.00	3.0
PIONEER PATH	226	MAS	S	20,000	13.01	n/a	n/a	600.00	3.0
MTB INV ADV	034	MFB	S	25,950	25.25	n/a	n/a	1,297.50	5.0
ACK ASSET	028	MLM	SS	10,000	94.55	n/a	n/a	300.00	3.0
NOKOMIS PARTNERS	031	MOSY	S	20,632	4.89	n/a	n/a	1,031.60	5.0
ROTHSCHILD ASSET	040	NJR	S	19,866	43.54	n/a	n/a	794.64	4.0
ROTHSCHILD ASSET	040	NYT	S	6,418	9.49	n/a	n/a	256.72	4.0
LATEFF MGMT	035	OLN	S	3,000	20.66	n/a	n/a	300.00	10.0
OSKIE CAPITAL MGMT	224	OSK	B	8,000	35.15	n/a	n/a	400.00	5.0
ACK ASSET	028	PCAR	SS	16,400	57.36	n/a	23-Nov	492.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	PCL	S	15,000	35.58	n/a	26-Oct	600.00	4.0
PROSPECTOR PARTNERS LLC	036	PPS	S	10,000	33.74	n/a	n/a	400.00	4.0
TALPION LLC	040	PSSI	S	19,000	22.11	n/a	n/a	570.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>10,000</b>	<b>66.49</b>	<b>n/a</b>	<b>3-Dec</b>	<b>300.00</b>	<b>3.0</b>
<b>Õ Nilsa Vazquez</b>		<b>RGC</b>	<b>B</b>	<b>500</b>	<b>13.0090</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	RIMM	S	3,650	59.41	n/a	n/a	182.50	5.0
LEVEL GLOBAL SHARED ACCT	257	ROST	B	60,500	63.10	n/a	n/a	1,815.00	3.0
PIONEER PATH	226	RSH	S	45,507	18.57	n/a	n/a	1,365.21	3.0
SCOPUS FUND	041	RYN	S	50,000	50.26	n/a	27-Oct	2,000.00	4.0
VISIUM/BALY BOBBY	044	SBUX	S	12,500	32.71	n/a	2-Dec	625.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>21.33</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
L.R.BURTSCHY & CO	029	SNV	S	25,000	2.47	n/a	n/a	1,500.00	6.0
PIONEER PATH	226	SVU	SS	75,200	8.67	n/a	n/a	2,256.00	3.0
GLOBAL 56 LLC	060	TLB	B	2,500	8.60	n/a	n/a	125.00	5.0
ELM RIDGE ADVISORS	044	TPX	SS	71,012	37.43	n/a	n/a	2,840.48	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	TPX	B	64,200	37.16	n/a	n/a	1,926.00	3.0
CATAPULT	040	TRN	S	5,040	24.47	n/a	n/a	201.60	4.0
MTB INV ADV	034	TZOO	S	10,400	39.67	n/a	n/a	520.00	5.0
PIONEER PATH	226	URI	B	15,199	22.50	n/a	n/a	455.97	3.0
SURSUM CAPITAL	215	VFC	B	20,000	88.22	n/a	22-Oct	600.00	3.0
SURSUM CAPITAL	215	VFC	SS	40,000	87.57	n/a	22-Oct	1,200.00	3.0
CATAPULT	040	VLO	SS	4,200	21.06	n/a	n/a	168.00	4.0
ACK ASSET	028	VMC	SS	20,000	46.92	n/a	n/a	600.00	3.0
CATAPULT	040	VXX	S	560	39.69	n/a	n/a	22.40	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>V</b>	<b>B</b>	<b>21,300</b>	<b>70.79</b>	<b>n/a</b>	<b>10-Dec</b>	<b>639.00</b>	<b>3.0</b>
CATAPULT	040	WBC	SS	3,435	53.25	n/a	29-Oct	137.40	4.0
CATAPULT	040	WCC	S	3,500	50.74	n/a	n/a	140.00	4.0
CAXTON PART	040	WFC	S	18,136	29.80	n/a	16-Dec	634.77	3.5
RBC CAPITAL MARKETS	040	WFC	SS	50,000	29.95	n/a	16-Dec	2,000.00	4.0
CATAPULT	040	WPI	SS	1,134	51.07	n/a	15-Dec	45.36	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>56.59</b>	<b>n/a</b>	<b>9-Nov</b>	<b>400.00</b>	<b>2.0</b>
CATAPULT	040	WSM	S	3,626	34.45	n/a	n/a	145.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURSUM CAPITAL	215	WSM	S	20,000	34.59	n/a	n/a	600.00	3.0
FORWARD MGMT	033	WY	S	50,000	17.95	n/a	29-Oct	2,000.00	4.0
SCOPUS FUND	041	WY	B	25,000	17.95	n/a	29-Oct	1,000.00	4.0
CATAPULT	040	YOKU	S	70	33.98	n/a	n/a	2.80	4.0
<b>TOTAL (Trade Date) :</b>								<b>66,412.14</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/15	COOKBIELER (COOK20023)	028	CTAS	B	800	28.95	n/a	n/a	32.00 4.0
AO,CXL	12/15	COOKBIELER (COOK20559)	028	CTAS	B	800	28.95	n/a	n/a	32.00 4.0
AO,	12/15	COOKBIELER (COOK20559)	028	CTAS	B	1,600	28.95	n/a	n/a	64.00 4.0
CRT	12/16	NOKOMIS PARTNERS (NOKOJPMMER)	031	MOSY	S	20,632	4.89	n/a	n/a	1031.60 5.0
CRT	12/16	TALPION LLC (TALPMSPB)	040	PSSI	S	19,000	22.11	n/a	n/a	570.00 3.0
AO,	12/15	NOMURA CAPITAL (NOMU7N1Q)	029	SOA	S	700	23.21	n/a	n/a	21.00 3.0
AO,	12/15	NOMURA CAPITAL (NOMU7N1R)	029	SOA	S	375	23.21	n/a	n/a	11.25 3.0
AO,	12/15	NOMURA CAPITAL (NOMU7N1Q)	029	UAL	S	36	24.40	n/a	n/a	1.08 3.0
AO,	12/15	NOMURA CAPITAL (NOMU7N1R)	029	UAL	S	21	24.40	n/a	n/a	0.63 3.0
AO,	12/15	NOMURA CAPITAL (NOMUSPH)	029	UAL	S	5	24.40	n/a	n/a	0.15 3.0
AO,CXL	12/15	FORWARD MGMT (FORWSELECT)	033	WY	S	174,863	17.96	n/a	29-Oct	8743.15 5.0
AO,CRT	12/15	FORWARD MGMT (FORWSELECT)	033	WY	S	174,863	17.96	n/a	29-Oct	6994.52 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-112.92</b>

TOTAL (Trade Date) :	66,412.14
TOTAL (AO, CXL, CRT) :	-112.92

<b>TOTAL (RUN DATE) / NFS :</b>	<b>66,299.22</b>
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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