



Daily Compliance Activity Report

Trade Date: 09/29/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|------------|----------|----------|-------------|------------|--------------|--------------|------------|
| DENVER INST. ADV | 046 | ADTN | S | 50,700 | 34.76 | n/a | n/a | 2,028.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 266 | AFG | B | 8,100 | 30.47 | n/a | n/a | 324.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | AMD | B | 500,000 | 7.30 | n/a | n/a | 15,000.00 | 3.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | ANN | B | 34,600 | 20.44 | n/a | n/a | 1,038.00 | 3.0 |
| BRANDWINE | 028 | ARO | S | 29,730 | 23.41 | n/a | 2-Sep | 1,189.20 | 4.0 |
| PATTEN & PATTEN | 067 | BDX | S | 11,400 | 74.31 | n/a | n/a | 570.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 266 | BEC | B | 5,900 | 47.99 | n/a | n/a | 236.00 | 4.0 |
| BRANDWINE | 028 | BIIB | B | 19,720 | 55.38 | n/a | n/a | 788.80 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | BWA | S | 5 | 2.60 | n/a | 2-Aug | 0.00 | 0.0 |
| JANA CAPITAL | 044 | CBS | SS | 196,294 | 15.81 | n/a | n/a | 7,851.76 | 4.0 |
| IMPALA ASSET MMT | 012 | CCL | B | 52,000 | 38.64 | n/a | n/a | 2,080.00 | 4.0 |
| SONTERRA CAP | 041 | CHK | SS | 50,000 | 22.48 | n/a | n/a | 2,000.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 266 | CPT | S | 2,600 | 47.56 | n/a | n/a | 104.00 | 4.0 |
| PARTNER REINSURANCE | 033 | CRI | S | 36,600 | 26.52 | n/a | n/a | 1,464.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|-------------|--------------|------------|---------------|-------------|------------|
| CAVU CAP ADV | 028 | CROX | S | 30,000 | 12.86 | n/a | n/a | 1,500.00 | 5.0 |
| HIGHBRIDGE CAP | 041 | CSX | B | 28,500 | 55.66 | n/a | n/a | 855.00 | 3.0 |
| f JONATHAN RICHARD HAR | FID | C | B | 500 | 3.94 | n/a | 22-Sep | 0.00 | 0.0 |
| f ANTHONY SUTERA | FID | DAN | S | 2000 | 12.50 | n/a | 2-Aug | 0.00 | 0.0 |
| GOLD SACHS SPECIAL SIT | 030 | DAN | S | 100,000 | 12.51 | n/a | 2-Aug | 5,000.00 | 5.0 |
| TOCQUEVILLE | 067 | DBD | S | 33,500 | 30.63 | n/a | 16-Sep | 1,675.00 | 5.0 |
| PARTNER REINSURANCE | 033 | DG | S | 39,150 | 29.37 | n/a | 1-Sep | 1,566.00 | 4.0 |
| ENTRUST CAPITAL | 040 | DKS | B | 80,900 | 28.20 | n/a | 19-Aug | 4,045.00 | 5.0 |
| GREEN ARROW DOUG | 040 | DKS | SS | 20,000 | 28.16 | n/a | 19-Aug | 1,000.00 | 5.0 |
| HIGHBRIDGE CAP | 041 | DKS | B | 17,899 | 28.09 | n/a | 19-Aug | 536.97 | 3.0 |
| CAVU CAP ADV | 028 | DOW | B | 25,000 | 27.62 | n/a | 24-Aug | 1,250.00 | 5.0 |
| f JASON ERIC COHEN | FID | DTG | B | 4 | 0.55 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 266 | EQT | B | 45,700 | 35.66 | n/a | n/a | 1,828.00 | 4.0 |
| GRUSS CAPITAL | 025 | EWM | B | 80,000 | 13.71 | n/a | n/a | 2,400.00 | 3.0 |
| Õ Nilsa Vazquez | | FALC | B | 3000 | 3.13 | n/a | n/a | 0.00 | 0.0 |
| CENTURION PARTNERS | 041 | FDO | B | 20,000 | 44.47 | n/a | 29-Sep | 800.00 | 4.0 |
| THE JAY GOLDMAN | 028 | FDO | S | 50,000 | 44.33 | n/a | 29-Sep | 2,000.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|---------------|--------------|------------|------------|----------------|------------|
| IMPALA ASSET MMT | 012 | FDX | B | 23,300 | 85.78 | n/a | n/a | 1,165.00 | 5.0 |
| f JOHN MICHAEL ZOLIDIS | FID | FINL | B | 500 | 14.12 | n/a | n/a | 0.00 | 0.0 |
| PARTNER REINSURANCE | 033 | FL | S | 74,465 | 14.83 | n/a | 20-Aug | 2,978.60 | 4.0 |
| B BUCK CAPITAL MGMT | | FOSL | B | 10,000 | 53.56 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | FSLXX | S | 5000 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| MILLENIUM PARTNERS | 028 | F | SS | 20,000 | 12.40 | n/a | 2-Sep | 800.00 | 4.0 |
| OZ MGMT | 040 | F | SS | 125,000 | 12.41 | n/a | 2-Sep | 3,750.00 | 3.0 |
| B BUCK CAPITAL MGMT | | GIII | S | 16,400 | 31.78 | n/a | n/a | non-brg | 2.0 |
| ASCEND PARTNERS | 033 | GIL | C | 9,813 | 27.74 | n/a | 27-Sep | 490.65 | 5.0 |
| HIGHBRIDGE CAP | 041 | GLW | B | 24,606 | 18.38 | n/a | 14-Sep | 738.18 | 3.0 |
| f CHRISTOPHER ROBERT C | FID | GMCR | B | 100 | 31.73 | n/a | n/a | 0.00 | 0.0 |
| METROPOLITAN CAPITAL | 044 | GSM | S | 12,600 | 14.19 | n/a | n/a | 630.00 | 5.0 |
| KACELA CAPITAL | 034 | HD | S | 75,000 | 31.72 | n/a | 17-Aug | 3,000.00 | 4.0 |
| IMPALA ASSET MMT | 012 | HK | S | 237,100 | 15.69 | n/a | n/a | 9,484.00 | 4.0 |
| CATAPULT | 040 | HUN | B | 10,000 | 11.71 | n/a | n/a | 400.00 | 4.0 |
| PATTEN & PATTEN | 067 | ITT | S | 14,400 | 46.71 | n/a | 30-Apr | 720.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|-----------|--------------|------------|------------|--------------|------------|
| BROADARCH CAP/OLD NEWC | 070 | ITW | SS | 3,200 | 46.78 | n/a | 30-Jul | 128.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JBLU | S | 10,000 | 6.65 | n/a | n/a | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | JBLU | S | 10,000 | 6.68 | n/a | n/a | non-brg | 1.0 |
| IMPALA ASSET MMT | 012 | JCG | B | 25,000 | 32.91 | n/a | n/a | 1,000.00 | 4.0 |
| f JONATHAN RICHARD HAR | FID | JCG | S | 75 | 32.94 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | JDSU | S | 29,700 | 12.70 | n/a | n/a | 1,188.00 | 4.0 |
| LAGRANGE CAP ADV | 048 | JEF | B | 5,000 | 22.40 | n/a | n/a | 250.00 | 5.0 |
| PZENA INV ADV | 044 | JPM | B | 6,900 | 38.65 | n/a | 22-Sep | 241.50 | 3.5 |
| BALYASNY ASSET MGMT | 044 | JWN | B | 25,000 | 38.12 | n/a | 2-Sep | 1,250.00 | 5.0 |
| OZ MGMT | 040 | KMT | S | 89,432 | 31.12 | n/a | 30-Jul | 2,682.96 | 3.0 |
| BALYASNY ASSET MGMT | 044 | LEA | B | 10,000 | 76.87 | n/a | 4-Aug | 500.00 | 5.0 |
| BASCOM HILL PARTNERS LLC | 033 | LEA | B | 7,500 | 76.39 | n/a | 4-Aug | 225.00 | 3.0 |
| COLONIAL FUND LLC | 036 | LEA | S | 7,500 | 77.61 | n/a | 4-Aug | 300.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | LEA | B | 200 | 75.50 | n/a | 4-Aug | 10.00 | 5.0 |
| TROUBH PART | 067 | LEA | B | 10,000 | 75.57 | n/a | 4-Aug | 500.00 | 5.0 |
| f MANNY I KORMAN | FID | LNCR | B | 5 | 3.00 | n/a | n/a | 0.00 | 0.0 |
| HIGHBRIDGE CAP | 041 | LPL | B | 75,000 | 17.78 | n/a | n/a | 2,250.00 | 3.0 |
| AAD CAPITAL | 084 | LPX | S | 100,000 | 7.79 | n/a | 23-Sep | 2,000.00 | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| HIGHBRIDGE CAP | 041 | LRCX | SS | 50,000 | 42.57 | n/a | n/a | 1,500.00 | 3.0 |
| LAGRANGE CAP ADV | 048 | LULU | SS | 5,000 | 46.30 | n/a | n/a | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | MFB | S | 10,000 | 29.98 | n/a | n/a | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | MON | B | 20,000 | 48.04 | n/a | 28-Sep | non-brg | 4.0 |
| IMPALA ASSET MMT | 012 | MON | B | 75,000 | 48.64 | n/a | 28-Sep | 3,750.00 | 5.0 |
| AVESTA CAP | 229 | MSFT | SS | 300,000 | 24.43 | n/a | n/a | 9,000.00 | 3.0 |
| f HARALAMBOS EFSTATHI | FID | MYL | B | 600 | 18.74 | n/a | 27-Sep | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | MYL | B | 500 | 18.91 | n/a | 27-Sep | 0.00 | 0.0 |
| SAC CHICAGO ANDREW | 031 | M | B | 15,000 | 23.09 | n/a | 2-Sep | 525.00 | 3.5 |
| THE JAY GOLDMAN | 028 | M | B | 10,000 | 22.90 | n/a | 2-Sep | 400.00 | 4.0 |
| GLENHILL CAPITAL | 212 | NAV | S | 124,600 | 45.21 | n/a | n/a | 6,230.00 | 5.0 |
| COBALT | 041 | NE | S | 100,000 | 34.35 | n/a | n/a | 5,000.00 | 5.0 |
| SAXON WOODS ADVISORS | 242 | NOK | S | 15,000 | 9.79 | n/a | n/a | 600.00 | 4.0 |
| DENVER INST. ADV | 046 | NTCT | B | 10,000 | 20.42 | n/a | n/a | 400.00 | 4.0 |
| STELLIAM INV ADV | 034 | OC | S | 20,000 | 25.61 | n/a | n/a | 1,000.00 | 5.0 |
| Õ Ravi Sadarangani | | PAL | S | 1000 | 3.99 | n/a | n/a | 0.00 | 0.0 |
| ASCEND PARTNERS | 033 | PCAR | C | 40,000 | 47.48 | n/a | 28-Jul | 1,600.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| IMPALA ASSET MMT | 012 | PCL | S | 150,000 | 35.16 | n/a | 26-Aug | 7,500.00 | 5.0 |
| TYEE/TYGH | 035 | PDCO | S | 96,172 | 28.44 | n/a | n/a | 3,846.88 | 4.0 |
| B BUCK CAPITAL MGMT | | PLCE | S | 30,000 | 50.11 | n/a | 19-Aug | non-brg | 4.0 |
| PARTNER REINSURANCE | 033 | PLCE | S | 37,150 | 49.48 | n/a | 19-Aug | 1,486.00 | 4.0 |
| PARTNER REINSURANCE | 033 | PNK | S | 138,950 | 11.07 | n/a | n/a | 5,558.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | PTEN | B | 11,230 | 17.11 | n/a | n/a | 449.20 | 4.0 |
| HIGHBRIDGE CAP | 041 | QCOM | B | 20,000 | 44.31 | n/a | n/a | 600.00 | 3.0 |
| f CHRISTOPHER ROBERT C | FID | RIMM | B | 100 | 48.10 | n/a | n/a | 0.00 | 0.0 |
| f KEVIN MICHAEL O'GORM | FID | SDS | B | 700 | 29.50 | n/a | n/a | 0.00 | 0.0 |
| Õ Michael Ehrlich | | SD | S | 600 | 5.49 | n/a | n/a | 0.00 | 0.0 |
| DENVER INST. ADV | 046 | SGEN | B | 55,700 | 15.08 | n/a | n/a | 2,228.00 | 4.0 |
| ROYAL CAPITAL MGMT | 070 | SHW | SS | 80,000 | 75.86 | n/a | 1-Sep | 4,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | SNE | SS | 20,000 | 31.43 | n/a | n/a | non-brg | 4.0 |
| GRUSS CAPITAL | 025 | SNY | S | 15,000 | 33.76 | n/a | n/a | 450.00 | 3.0 |
| HIGHBRIDGE CAP | 041 | STX | B | 18,800 | 12.01 | n/a | n/a | 564.00 | 3.0 |
| HIGHBRIDGE CAP | 041 | SWY | SS | 60,000 | 21.05 | n/a | n/a | 1,800.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------------------|------------|-------------|----------|---------------|--------------|------------|------------|----------------|------------|
| JANA CAPITAL | 044 | S | S | 200,000 | 4.65 | n/a | n/a | 8,000.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 266 | TC | S | 80,049 | 10.81 | n/a | n/a | 3,201.96 | 4.0 |
| PIONEER PATH | 226 | TGT | B | 30,000 | 53.48 | n/a | 2-Sep | 900.00 | 3.0 |
| MERRILL ASSET/BLACKROCK | 266 | THG | B | 4,800 | 46.55 | n/a | n/a | 192.00 | 4.0 |
| ELM RIDGE ADVISORS | 044 | TIN | B | 178,300 | 18.84 | n/a | 20-Sep | 7,132.00 | 4.0 |
| FRONTIER | 048 | TJX | S | 200,000 | 45.02 | n/a | 2-Sep | 8,000.00 | 4.0 |
| CENTURION PARTNERS | 041 | TLB | B | 20,000 | 12.76 | n/a | n/a | 800.00 | 4.0 |
| DAWSON CAPITAL MGMT. | 085 | TLB | B | 100,000 | 12.78 | n/a | n/a | 5,000.00 | 5.0 |
| f CHRISTOPHER ROBERT C | FID | TRW | S | 125 | 41.43 | n/a | n/a | 0.00 | 0.0 |
| HIGHBRIDGE CAP | 041 | TRW | B | 23,800 | 41.72 | n/a | n/a | 714.00 | 3.0 |
| f KEVIN MICHAEL O'GORM | FID | TZA | B | 1000 | 25.98 | n/a | n/a | 0.00 | 0.0 |
| DENVER INST. ADV | 046 | UIL | B | 67,947 | 28.16 | n/a | n/a | 2,717.88 | 4.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 10,000 | 32.03 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 10,000 | 33.10 | n/a | n/a | non-brg | 1.5 |
| f CHRISTOPHER ROBERT C | FID | URBN | B | 150 | 33.16 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 266 | URBN | S | 39,300 | 33.00 | n/a | n/a | 1,572.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | VQ | S | 25,829 | 19.83 | n/a | n/a | 1,033.16 | 4.0 |
| DENVER INST. ADV | 046 | VRX | S | 98,425 | 25.47 | n/a | n/a | 3,937.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|-------------------|----------------|------------|
| B BUCK CAPITAL MGMT | | VSTOV | B | 20,000 | 53.99 | n/a | n/a | non-brg | 4.0 |
| HIGHBRIDGE CAP | 041 | WDC | B | 23,370 | 28.73 | n/a | n/a | 701.10 | 3.0 |
| IMPALA ASSET MMT | 012 | WLT | B | 20,000 | 83.20 | n/a | n/a | 1,000.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | WNC | B | 300 | 7.95 | n/a | n/a | 0.00 | 0.0 |
| Õ Ravi Sadarangani | | WNC | S | 1500 | 8.04 | n/a | n/a | 0.00 | 0.0 |
| Õ Ravi Sadarangani | | WNC | S | 500 | 8.05 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 266 | WR | B | 19,200 | 24.27 | n/a | n/a | 768.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | WSM | C | 50,000 | 32.30 | n/a | n/a | 2,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WSM | C | 120,000 | 31.91 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WYNN | C | 12,850 | 86.08 | n/a | 10-Sep | non-brg | 4.0 |
| PATTEN & PATTEN | 067 | WY | B | 54,038 | 16.19 | n/a | 26-Aug | 2,701.90 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | XME | C | 45,000 | 53.75 | n/a | n/a | 1,350.00 | 3.0 |
| TOTAL (Trade Date) : | | | | | | | 207,169.70 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|---------------|
| AO,CXL | 09/28 | ADALY INV MGMT | 031 | PAG | B | 1,800 | 12.66 | n/a | 4-Aug | 72.00 4.0 |
| AO,CRT | 09/28 | ADALY INV MGMT | 031 | PAG | B | 1,800 | 12.66 | n/a | 4-Aug | 72.00 4.0 |
| AO, | 09/28 | COLUMBUS CIRCLE | 036 | WLK | B | 6,685 | 30.06 | n/a | n/a | 267.40 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 267.40 |

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|------------------------|------------|
| TOTAL (Trade Date) : | 207,169.70 |
| TOTAL (AO, CXL, CRT) : | 267.40 |

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|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 207,437.10 |
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MRI Securities with Trade Activity on 29-Sep.
NONE

MRI Securities without Trade Activity on 29-Sep.
AOS

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 4%
YTD = 11%

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| <u>Legend:</u> |
| 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 |
| Watch List Trades |
| f: Employee Trades (Fidelity) |