



Daily Compliance Activity Report

Trade Date: 10/04/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TPG-AXON	040	ABC	C	150,000	30.74	n/a	n/a	7,500.00	5.0
IMPALA ASSET MMT	012	ABFS	SS	19,200	23.49	n/a	n/a	768.00	4.0
TPG-AXON	040	ABT	C	80,000	52.40	n/a	n/a	4,000.00	5.0
MERRILL ASSET/BLACKROCK	266	ACGL	S	5,200	82.85	n/a	n/a	208.00	4.0
ARCHON CAPITAL	035	AKAM	SS	15,000	47.11	n/a	n/a	450.00	3.0
SNYDER CAPITAL	033	ANN	B	1,625	21.10	n/a	n/a	65.00	4.0
SNYDER CAPITAL	033	ANR	B	1,450	42.09	n/a	n/a	58.00	4.0
SNYDER CAPITAL	033	APH	B	1,100	48.87	n/a	n/a	44.00	4.0
SNYDER CAPITAL	033	ARO	B	2,050	23.13	n/a	1-Oct	82.00	4.0
PIIONEER MICHAEL NOLAN	067	ARTG	S	79,469	4.12	n/a	n/a	2,384.07	3.0
CAXTON PART	040	AXP	SS	100,000	38.96	n/a	4-Oct	3,500.00	3.5
IVORY CAPITAL	034	AXP	SS	24,550	38.90	n/a	4-Oct	1,227.50	5.0
M&I FUNDS	047	BEAV	B	6,900	30.38	n/a	28-Jul	276.00	4.0
US BANCORP	030	BRCD	S	200,000	5.68	n/a	n/a	10,000.00	5.0
TOCQUEVILLE	067	CCC	B	69,972	14.74	n/a	n/a	3,498.60	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	CMA	B	100,000	37.27	n/a	n/a	5,000.00	5.0
IMPALA ASSET MMT	012	CNI	SS	20,600	63.46	n/a	n/a	1,030.00	5.0
IMPALA ASSET MMT	012	CNW	S	34,000	30.24	n/a	n/a	1,360.00	4.0
SNYDER CAPITAL	033	COL	B	750	58.53	n/a	21-Jul	30.00	4.0
LISTED ERR	099	CRR	S	1,000	77.19	n/a	30-Sep	0.00	0.0
IMPALA ASSET MMT	012	DAL	B	15,000	11.77	n/a	n/a	450.00	3.0
IMPALA ASSET MMT	012	DAL	SS	125,000	11.62	n/a	n/a	3,750.00	3.0
CAXTON PART	040	DFS	C	50,000	16.17	n/a	4-Oct	1,750.00	3.5
SNYDER CAPITAL	033	DRI	B	450	43.12	n/a	29-Sep	18.00	4.0
CONIFER/ISF	025	ELRC	B	3,500	12.97	n/a	n/a	175.00	5.0
ROTHSCHILD ASSET	040	EMN	B	13,530	73.79	n/a	n/a	541.20	4.0
ROTHSCHILD ASSET	040	ENR	B	8,060	68.04	n/a	28-Jul	322.40	4.0
SNYDER CAPITAL	033	ESI	B	500	69.13	n/a	n/a	20.00	4.0
IMPALA ASSET MMT	012	EXPD	SS	25,800	45.40	n/a	n/a	1,290.00	5.0
IVORY CAPITAL	034	FCX	B	363,200	87.84	n/a	n/a	7,264.00	2.0
MERRILL ASSET/BLACKROCK	266	FCX	S	23,100	88.19	n/a	n/a	924.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EVERCORE WEALTH MGMT	012	FOR	B	18,500	16.74	n/a	26-Aug	925.00	5.0
OZ MGMT	040	F	C	75,000	12.70	n/a	4-Oct	2,250.00	3.0
SCOPUS FUND	041	F	SS	50,000	12.63	n/a	4-Oct	2,500.00	5.0
IMPALA ASSET MMT	012	GBX	B	17,000	15.21	n/a	n/a	680.00	4.0
IMPALA ASSET MMT	012	GBX	S	700	15.40	n/a	n/a	28.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	50,000	39.30	n/a	26-Aug	1,500.00	3.0
BUCK CAPITAL MGMT	001	GPS	SS	50,000	18.42	n/a	n/a	2,000.00	4.0
PIIONEER PATH	226	GPS	B	50,000	18.49	n/a	n/a	1,500.00	3.0
DSM CAPITAL PARTNERS	085	GYMB	S	10,725	47.87	n/a	1-Oct	536.25	5.0
IMPALA ASSET MMT	012	HK	S	50,000	16.19	n/a	n/a	2,000.00	4.0
SNYDER CAPITAL	033	IPI	B	1,700	25.58	n/a	n/a	68.00	4.0
HUNTER GLOBAL INVESTOR	067	KEY	SS	400,000	8.17	n/a	n/a	12,000.00	3.0
WATERFRONT CAP	028	LVS	S	65,000	36.58	n/a	4-Oct	2,600.00	4.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	28.49	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	MGM	B	64,000	11.33	n/a	10-Sep	1,920.00	3.0
IMPALA ASSET MMT	012	MMYT	S	7,000	37.73	n/a	n/a	280.00	4.0
TPG-AXON	040	MRK	C	105,000	36.48	n/a	n/a	5,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	NC	S	400	88.41	n/a	n/a	16.00	4.0
ROTHSCHILD ASSET	040	NNN	S	20,400	25.43	n/a	n/a	816.00	4.0
IMPALA ASSET MMT	012	NSC	SS	18,200	58.19	n/a	n/a	910.00	5.0
IVORY CAPITAL	034	NVDA	B	100,000	11.06	n/a	n/a	2,000.00	2.0
BALYASNY ASSET MGMT	044	PAG	S	15,743	13.00	n/a	4-Aug	787.15	5.0
WEISS PECK	040	PAG	B	25,000	13.00	n/a	4-Aug	1,250.00	5.0
PERRY PARTNERS	085	PBR	S	50,000	36.68	n/a	n/a	2,000.00	4.0
PIONEER PATH	226	PVH	S	4,800	61.44	n/a	9-Sep	144.00	3.0
COLUMBUS CAP MGMT LLC	084	SAH	B	30,000	9.48	n/a	n/a	1,200.00	4.0
ROSEDALE CAPITAL	046	SWN	B	5,000	32.57	n/a	30-Sep	250.00	5.0
IMPALA ASSET MMT	012	UAL	B	300,000	24.54	n/a	n/a	12,000.00	4.0
SNYDER CAPITAL	033	UHS	B	1,700	38.59	n/a	n/a	68.00	4.0
IMPALA ASSET MMT	012	UNP	S	62,000	79.88	n/a	n/a	3,100.00	5.0
SOROS	036	WFT	S	50,000	17.14	n/a	n/a	2,000.00	4.0
COLUMBUS CIRCLE	036	WLK	B	3,380	30.59	n/a	n/a	135.20	4.0

TOTAL (Trade Date):

121,099.37

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/01	TOCQUEVILLE (TOCQS26924)	067	CCC	B	79,400	14.67	n/a	n/a	3970.00 5.0
AO,CXL	10/01	TOCQUEVILLE (TOCQSCHWAB)	067	CCC	B	20,600	14.67	n/a	n/a	0.00 0.0
AO,	10/01	TOCQUEVILLE (TOCQSCHWAB)	067	CCC	B	20,600	14.67	n/a	n/a	1030.00 5.0
AO,CXL	10/01	TOCQUEVILLE (TOCQS26924)	067	CCC	B	79,400	14.67	n/a	n/a	0.00 0.0
AO,	10/01	PIONEER PATH (PIOPCDRPPD)	226	HTZ	B	12,100	10.22	n/a	n/a	363.00 3.0
AO,	10/01	PIONEER PATH (PIOPCDRPPD)	226	HTZ	B	125,000	10.14	n/a	n/a	3750.00 3.0
AO,	10/01	COLUMBUS CIRCLE (COLC3050)	036	OVTI	B	4,900	23.36	n/a	n/a	196.00 4.0
AO,CXL	10/01	IMPALA ASSET MMT (IMPACITI)	012	SPY	SS	702	114.49	n/a	n/a	28.08 4.0
AO,CRT	10/01	IMPALA ASSET MMT (IMPACITI)	012	SPY	SS	702	114.49	n/a	n/a	35.10 5.0
AO,	10/01	COLUMBUS CIRCLE (COLC3050)	036	WLK	B	946	30.52	n/a	n/a	37.84 4.0
AO,CXL	09/28	JANA CAPITAL (JANAGOLDMA)	044	XRX	S	30,507	10.40	n/a	n/a	1220.28 4.0
AO,	09/28	JANA CAPITAL (JANAABN AM)	044	XRX	S	30,507	10.40	n/a	n/a	1220.28 4.0
TOTAL (AO, CXL, CRT) :										9,353.86

TOTAL (Trade Date) :	121,099.37
TOTAL (AO, CXL, CRT) :	9,353.86

TOTAL (RUN DATE) / NFS :	130,453.23
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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