



Daily Compliance Activity Report

Trade Date: 09/28/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JASON ERIC COHEN	FID	AAI	S	366	7.32	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AAPL	S	5,000	287.91	n/a	n/a	non-brg	4.0
SANDLER CAPITAL	226	ADP	C	77,600	42.34	n/a	n/a	4,656.00	6.0
MERRILL ASSET/BLACKROCK	266	ADTN	S	20,100	33.84	n/a	n/a	301.50	1.5
BERMAN CAPITAL MGMT	046	AEO	B	10,000	14.67	n/a	2-Sep	300.00	3.0
B BUCK CAPITAL MGMT		AEO	B	34,400	14.58	n/a	2-Sep	non-brg	4.0
HARBORWATCH/DIAMBACK	232	ALV	B	5,000	64.51	n/a	15-Sep	250.00	5.0
CATAPULT	040	APD	SS	5,000	83.35	n/a	16-Sep	200.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	23.22	n/a	2-Sep	2,000.00	4.0
B BUCK CAPITAL MGMT		ARO	B	22,000	22.65	n/a	2-Sep	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	BBBB	B	3,600	36.61	n/a	n/a	144.00	4.0
f CHRISTOPHER ROBERT C	FID	BC	S	200	14.81	n/a	n/a	0.00	0.0
PIIONEER PATH	226	BJ	B	3,200	41.40	n/a	n/a	96.00	3.0
KADE CAPITAL LLC	028	BWA	S	7,500	51.67	n/a	2-Aug	375.00	5.0
f MANNY I KORMAN	FID	BWA	S	100	0.93	n/a	2-Aug	0.00	0.0
PEAK INV LLC	084	BWA	B	100,000	51.36	n/a	2-Aug	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	085	CATM	B	22,950	15.06	n/a	n/a	1,147.50	5.0
IMPALA ASSET MMT	012	CHRW	B	50,000	69.31	n/a	n/a	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	50,000	10.26	n/a	5-Feb	1,750.00	3.5
f DAVID GEORGE BUCK	FID	COP	S	1515	29.38	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CQB	S	41,700	13.41	n/a	n/a	625.50	1.5
MERRILL ASSET/BLACKROCK	266	CRR	S	3,200	82.82	n/a	19-Jul	128.00	4.0
DSM CAPITAL PARTNERS	085	CTRP	S	20,850	47.74	n/a	n/a	1,042.50	5.0
MERRILL ASSET/BLACKROCK	266	CWH	B	3,900	25.75	n/a	n/a	156.00	4.0
f ANDREW SINCLAIR	FID	C	S	400	0.04	n/a	22-Sep	0.00	0.0
IMPALA ASSET MMT	012	DAL	SS	89,000	11.43	n/a	n/a	2,670.00	3.0
TROUBH PART	067	DAN	B	50,000	12.30	n/a	2-Aug	2,500.00	5.0
TOCQUEVILLE	067	DBD	S	50,000	30.54	n/a	16-Sep	2,500.00	5.0
IMPALA ASSET MMT	012	DD	S	41,351	45.73	n/a	23-Sep	2,067.55	5.0
B BUCK CAPITAL MGMT		DECK	B	10,000	50.12	n/a	n/a	non-brg	4.0
CATAPULT	040	DOW	SS	5,000	27.75	n/a	24-Aug	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	DWSN	S	1965	25.39	n/a	n/a	0.00	0.0
NOMURA CAPITAL	029	DYN	S	11	4.80	n/a	n/a	0.22	2.0
CATAPULT	040	ECL	SS	5,000	50.49	n/a	27-Jul	200.00	4.0
MAIRS AND POWER INV	030	ECL	S	10,000	50.42	n/a	27-Jul	500.00	5.0
DSM CAPITAL PARTNERS	085	EXPE	S	20,550	29.04	n/a	n/a	1,027.50	5.0
CENTURION PARTNERS	041	FDO	B	10,000	43.45	n/a	27-Sep	400.00	4.0
B BUCK CAPITAL MGMT		FINL	B	20,000	13.86	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	FL	S	20,000	14.81	n/a	20-Aug	800.00	4.0
f MANNY I KORMAN	FID	FNKXX	S	41251	1.00	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FOR	B	300	16.37	n/a	26-Aug	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	54.16	n/a	n/a	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	35000	1.00	n/a	n/a	0.00	0.0
OZ MGMT	040	F	SS	100,000	12.37	n/a	2-Sep	3,000.00	3.0
ROSEDALE CAPITAL	046	F	B	40,000	12.34	n/a	2-Sep	1,600.00	4.0
B BUCK CAPITAL MGMT		GES	S	20,000	39.88	n/a	26-Aug	non-brg	4.0
RBC CAPITAL MARKETS	040	GES	B	27,900	40.18	n/a	26-Aug	1,116.00	4.0
B BUCK CAPITAL MGMT		GIII	S	6,500	31.44	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GIII	S	7,500	31.26	n/a	n/a	non-brg	2.0
f CHRISTOPHER ROBERT C	FID	GIL	S	200	28.03	n/a	27-Sep	0.00	0.0
f MANNY I KORMAN	FID	GLW	B	10000	18.07	n/a	14-Sep	0.00	0.0
MERRILL ASSET/BLACKROCK	266	HAL	S	28,700	32.81	n/a	n/a	1,148.00	4.0
DSM CAPITAL PARTNERS	085	HMIN	B	6,825	50.37	n/a	n/a	341.25	5.0
CENTURION PARTNERS	041	HPQ	S	25,000	41.68	n/a	n/a	1,000.00	4.0
CATAPULT	040	ITW	SS	5,000	46.48	n/a	30-Jul	200.00	4.0
f KEVIN MICHAEL O'GORM	FID	JCG	S	700	33.04	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JNY	S	20,000	19.66	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		JOSB	S	20,000	43.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	S	20,000	38.01	n/a	2-Sep	non-brg	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	KMT	B	10,000	31.64		n/a 30-Jul	500.00	5.0
ARMATURE CAPITAL	041	KSU	S	25,000	38.24	n/a	n/a	1,000.00	4.0
SAGE ASSET MGMT	012	KS	S	20,000	12.32	n/a	n/a	1,000.00	5.0
IMPALA ASSET MMT	012	LCC	B	120,000	9.27	n/a	n/a	2,400.00	2.0
TROUBH PART	067	LEA	B	10,000	75.49	n/a	4-Aug	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER PATH	226	LOW	B	9,800	22.33	n/a	16-Aug	294.00	3.0
IMPALA ASSET MMT	012	LSTR	S	39,000	38.06	n/a	n/a	1,560.00	4.0
f DAVID GEORGE BUCK	FID	LVS	S	1010	23.98	n/a	10-Sep	0.00	0.0
IMPALA ASSET MMT	012	MEE	S	306,099	30.70	n/a	n/a	12,243.96	4.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	29.54	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	MGM	B	20,000	11.50	n/a	10-Sep	600.00	3.0
PIONEER PATH	226	MGM	B	100,000	11.27	n/a	10-Sep	3,000.00	3.0
B BUCK CAPITAL MGMT		MON	B	30,400	48.78	n/a	28-Sep	non-brg	4.0
IMPALA ASSET MMT	012	MON	B	100,000	48.61	n/a	28-Sep	5,000.00	5.0
JMP ASSET MGMT	210	MON	S	10,000	48.10	n/a	28-Sep	500.00	5.0
PLATTE RIVER CAPITAL	240	MON	B	22,790	48.29	n/a	28-Sep	911.60	4.0
BERMAN CAPITAL MGMT	046	MSFT	B	20,000	24.51	n/a	n/a	600.00	3.0
f EDWARD W WHEELER	FID	MTRX	S	3000	9.08	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	M	B	25,000	22.63	n/a	2-Sep	1,000.00	4.0
PZENA INV ADV	044	NOC	B	19,825	60.32	n/a	17-Aug	693.88	3.5
DENVER INST. ADV	046	NTCT	B	18,000	20.25	n/a	n/a	720.00	4.0
ADALY INV MGMT	031	PAG	B	10,000	12.66	n/a	4-Aug	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	085	PAY	B	12,125	29.11	n/a	n/a	606.25	5.0
TYEE/TYGH	035	PDCO	S	132,470	28.22	n/a	n/a	5,298.80	4.0
B BUCK CAPITAL MGMT		PLCE	S	30,000	49.10	n/a	19-Aug	non-brg	4.0
COLUMBIA PARTNERS	028	PNFP	S	1,055	9.05	n/a	n/a	31.65	3.0
RBC CAPITAL MARKETS	040	PNK	B	36,700	10.50	n/a	n/a	1,468.00	4.0
CATAPULT	040	PPG	SS	5,000	72.50	n/a	16-Jul	200.00	4.0
COLUMBIA PARTNERS	028	PVH	S	810	58.25	n/a	9-Sep	32.40	4.0
COLUMBIA PARTNERS	028	PWER	S	2,509	8.69	n/a	n/a	75.27	3.0
COLUMBIA PARTNERS	028	RA	S	423	9.83	n/a	n/a	12.69	3.0
NOKOMIS PARTNERS	031	RBC	B	11,930	58.60	n/a	n/a	596.50	5.0
COLUMBIA PARTNERS	028	RFMD	S	3,602	5.90	n/a	n/a	108.06	3.0
COLUMBIA PARTNERS	028	RGC	S	10,544	13.06	n/a	n/a	421.76	4.0
COLUMBIA PARTNERS	028	RVBD	S	1,605	45.53	n/a	n/a	64.20	4.0
COLUMBIA PARTNERS	028	SBAC	S	4,513	39.28	n/a	n/a	180.52	4.0
THOMAS WEISEL ASSET MGMT	035	SCSS	B	59,615	6.95	n/a	n/a	1,788.45	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	SFSF	S	515	25.45	n/a	n/a	20.60	4.0
COLUMBIA PARTNERS	028	SIRO	S	842	35.81	n/a	n/a	33.68	4.0
B BUCK CAPITAL MGMT		SKX	B	100,000	22.64	n/a	n/a	non-brg	2.5
COLUMBIA PARTNERS	028	SLGN	S	607	31.49	n/a	n/a	24.28	4.0
SLS CAPITAL LLC	224	SLM	S	115,000	11.78	n/a	24-Sep	4,600.00	4.0
f MANNY I KORMAN	FID	SMG	B	3000	51.58	n/a	11-Aug	0.00	0.0
COLUMBIA PARTNERS	028	SON	S	1,242	33.57	n/a	n/a	49.68	4.0
f ANDREW SINCLAIR	FID	SPY	B	60	0.31	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	70	0.46	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	STS	S	418	2.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SUP	S	23,445	17.05	n/a	16-Aug	non-brg	4.0
COLUMBIA PARTNERS	028	SXCI	S	245	36.28	n/a	n/a	9.80	4.0
MERRILL ASSET/BLACKROCK	266	TAP	S	19,700	46.87	n/a	n/a	788.00	4.0
f CHRISTOPHER ROBERT C	FID	TLB	S	300	12.34	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	TLB	S	500	12.51	n/a	n/a	20.00	4.0
COLUMBIA PARTNERS	028	TRAD	S	2,616	6.62	n/a	n/a	78.48	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	TRGT	S	909	21.80	n/a	n/a	36.36	4.0
f CHRISTOPHER ROBERT C	FID	TRW	B	125	40.50	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	UHS	S	1,680	38.70	n/a	n/a	67.20	4.0
DENVER INST. ADV	046	UIL	B	35,000	27.94	n/a	n/a	1,400.00	4.0
COLUMBIA PARTNERS	028	UNFI	S	2,455	33.87	n/a	n/a	98.20	4.0
IMPALA ASSET MMT	012	UNP	B	50,000	81.50	n/a	n/a	2,500.00	5.0
f EDWARD W WHEELER	FID	VE	B	10000	26.70	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	VRNT	S	1,841	25.30	n/a	n/a	73.64	4.0
IMPALA ASSET MMT	012	WAB	B	32,000	47.86	n/a	n/a	1,600.00	5.0
CAERUS GLOBAL	041	WAG	B	6,000	32.97	n/a	n/a	240.00	4.0
MERRILL ASSET/BLACKROCK	266	WDC	B	43,910	27.36	n/a	n/a	1,756.40	4.0
f JASON ERIC COHEN	FID	WERN	B	130	20.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WFMI	SS	20,000	37.37	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	012	WLT	B	60,000	82.36	n/a	n/a	3,000.00	5.0
BERMAN CAPITAL MGMT	046	WSM	B	5,000	31.26	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WYNN	C	5,000	87.52	n/a	10-Sep	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	WY	S	405	16.39	n/a	26-Aug	0.00	0.0
JANA CAPITAL	044	XRX	S	150,784	10.40	n/a	n/a	6,031.36	4.0
KLEINHEINZ CAP PART	031	YUM	B	45,000	46.50	n/a	14-Jul	2,250.00	5.0
TOTAL (Trade Date):							109,978.19		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/27	TOCQUEVILLE	067	CRDN	S	25,000	24.17	n/a	n/a	1250.00 5.0
AO,CXL	09/27	TOCQUEVILLE	067	CRDN	S	25,000	24.17	n/a	n/a	0.00 0.0
AO,CRT	09/27	JP MORGAN VENTURES	046	HBI	B	15,000	24.67	n/a	27-Sep	750.00 5.0
AO,CXL	09/27	JP MORGAN VENTURES	046	HBI	B	15,000	24.67	n/a	27-Sep	600.00 4.0
AO,CXL	09/27	SCOPUS FUND	041	ROST	B	20,000	55.76	n/a	n/a	1000.00 5.0
AO,CRT	09/27	SCOPUS FUND	041	ROST	B	20,000	55.76	n/a	n/a	1000.00 5.0
AO,	09/27	DENVER INST. ADV	046	UIL	B	54,033	27.96	n/a	n/a	2161.32 4.0
AO,	09/27	JANA CAPITAL	044	XRX	S	70,000	10.52	n/a	n/a	2800.00 4.0

TOTAL (AO, CXL, CRT) :**6,361.32**

TOTAL (Trade Date):

109,978.19

TOTAL (AO, CXL, CRT):

6,361.32

TOTAL (RUN DATE) / NFS:**116,339.51**

MRI Securities with Trade Activity on 28-Sep. NONE

MRI Securities without Trade Activity on 28-Sep.

HSP, ENDP

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

T-Date = 18%

YTD = 11%

<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)