



Daily Compliance Activity Report

Trade Date: 10/04/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 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
PIONEER MICHAEL NOLAN	067	ARTG	S	79,469	4.12	n/a	n/a	2,384.07	3.0
f KAREN F LEDDY	FID	AXL	S	1000	8.72	n/a	4-Aug	0.00	0.0
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

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOCQUEVILLE	067	CCC	B	69,972	14.74	n/a	n/a	3,498.60	5.0
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
f DAVID GEORGE BUCK	FID	COP	B	1500	57.00	n/a	n/a	0.00	0.0
LISTED ERR	099	CRR	S	1,000	77.19	n/a	30-Sep	0.00	0.0
f EDWARD W WHEELER	FID	CTV	B	3627	22.98	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	100	9.87	n/a	n/a	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
f MARC PAUL LUCHANSKY	FID	DE	B	1000	68.54	n/a	19-Aug	0.00	0.0
f MARC PAUL LUCHANSKY	FID	DE	S	1000	67.78	n/a	19-Aug	0.00	0.0
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

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
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
B BUCK CAPITAL MGMT		GIII	S	20,000	31.13	n/a	n/a	non-brg	1.5
BUCK CAPITAL MGMT	001	GPS	SS	50,000	18.42	n/a	n/a	2,000.00	4.0
PIONEER 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

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		HTZ	B	50,000	9.95	n/a	n/a	non-brg	3.0
SNYDER CAPITAL	033	IPI	B	1,700	25.58	n/a	n/a	68.00	4.0
ß BUCK CAPITAL MGMT		JCP	S	150,000	27.30	n/a	1-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		JCP	S	50,000	26.99	n/a	1-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		JOSB	S	10,000	43.30	n/a	n/a	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	KEY	SS	400,000	8.17	n/a	n/a	12,000.00	3.0
ß BUCK CAPITAL MGMT		LIZ	B	450,000	6.45	n/a	7-Oct	non-brg	3.0
ß BUCK CAPITAL MGMT		LIZ	B	50,000	6.48	n/a	7-Oct	non-brg	2.5
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
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

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IVORY CAPITAL	034	NVDA	B	100,000	11.06	n/a	n/a	2,000.00	2.0
B BUCK CAPITAL MGMT		NWY	B	50,000	2.68	n/a	n/a	non-brg	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
f DAVID GEORGE BUCK	FID	PBR	S	1500	36.41	n/a	n/a	0.00	0.0
PERRY PARTNERS	085	PBR	S	50,000	36.68	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	31,416	50.24	n/a	19-Aug	non-brg	4.0
PIONEER PATH	226	PVH	S	4,800	61.44	n/a	9-Sep	144.00	3.0
B BUCK CAPITAL MGMT		ROST	SS	10,000	54.42	n/a	n/a	non-brg	4.0
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
f KAREN F LEDDY	FID	TBT	B	700	31.48	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TLB	S	100,000	12.49	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TLB	S	35,000	12.39	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		TLB	S	65,000	12.48	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TRLG	B	100,000	21.82	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	012	UAL	B	300,000	24.54	n/a	n/a	12,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
f DAVID GEORGE BUCK	FID	WYNN	B	1000	90.79	n/a	4-Oct	0.00	0.0
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,CRT	10/01	TOCQUEVILLE	067	CCC	B	100,000	14.67	n/a	n/a	5000.00 5.0
AO,CXL	10/01	TOCQUEVILLE	067	CCC	B	100,000	14.67	n/a	n/a	0.00 0.0
AO,	10/01	PIONEER PATH	226	HTZ	B	137,100	10.18	n/a	n/a	4113.00 3.0
AO,	10/01	COLUMBUS CIRCLE	036	OVTI	B	4,900	23.36	n/a	n/a	196.00 4.0
AO,CRT	10/01	IMPALA ASSET MMT	012	SPY	SS	702	114.49	n/a	n/a	35.10 5.0
AO,CXL	10/01	IMPALA ASSET MMT	012	SPY	SS	702	114.49	n/a	n/a	28.08 4.0
AO,	10/01	COLUMBUS CIRCLE	036	WLK	B	946	30.52	n/a	n/a	37.84 4.0
AO,CRT	09/28	JANA CAPITAL	044	XRX	S	30,507	10.40	n/a	n/a	1220.28 4.0
AO,CXL	09/28	JANA CAPITAL	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**

MRI Securities with Trade Activity on 4-Oct.
NONE

MRI Securities without Trade Activity on 4-Oct.
ECL, ETN

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 6%
YTD = 11%

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

Watch List Trades

f: Employee Trades (Fidelity)