



## Daily Compliance Activity Report

Trade Date: 09/28/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>50,000</b>	<b>23.22</b>	<b>n/a</b>	<b>2-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	266	BBBB	B	3,600	36.61	n/a	n/a	144.00	4.0
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
PEAK INV LLC	084	BWA	B	100,000	51.36	n/a	2-Aug	4,000.00	4.0
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
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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
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
CATAPULT	040	DOW	SS	5,000	27.75	n/a	24-Aug	200.00	4.0
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</b>	<b>001</b>	<b>FL</b>	<b>S</b>	<b>20,000</b>	<b>14.81</b>	<b>n/a</b>	<b>20-Aug</b>	<b>800.00</b>	<b>4.0</b>
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
RBC CAPITAL MARKETS	040	GES	B	27,900	40.18	n/a	26-Aug	1,116.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
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
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
IMPALA ASSET MMT	012	MEE	S	306,099	30.70	n/a	n/a	12,243.96	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>S</b>	<b>10,000</b>	<b>29.54</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
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
IMPALA ASSET MMT	012	MON	B	100,000	48.61	n/a	28-Sep	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
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
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
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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
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
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
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
COLUMBIA PARTNERS	028	SON	S	1,242	33.57	n/a	n/a	49.68	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
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
COLUMBIA PARTNERS	028	TRGT	S	909	21.80	n/a	n/a	36.36	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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
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
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
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
<b>TOTAL (Trade Date):</b>							<b>109,978.19</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/27	TOCQUEVILLE (TOCQB50278)	067	CRDN	S	25,000	24.17	n/a	n/a	0.00	0.0
AO,	09/27	TOCQUEVILLE (TOCQB50278)	067	CRDN	S	25,000	24.17	n/a	n/a	1250.00	5.0
AO,CXL	09/27	JP MORGAN VENTURES (JPMVJPM)	046	HBI	B	15,000	24.67	n/a	27-Sep	600.00	4.0
AO,	09/27	JP MORGAN VENTURES (JPMVJPM)	046	HBI	B	15,000	24.67	n/a	27-Sep	750.00	5.0
CRT	09/28	SAGE ASSET MGMT (SAGEJEFF)	012	KS	S	20,000	12.32	n/a	n/a	1000.00	5.0
CRT	09/28	JMP ASSET MGMT (JMPAGS)	210	MON	S	3,715	48.10	n/a	28-Sep	185.75	5.0
CRT	09/28	JMP ASSET MGMT (JMPABOABA)	210	MON	S	6,285	48.10	n/a	28-Sep	314.25	5.0
AO,CXL	09/27	SCOPUS FUND (SCOPUBS)	041	ROST	B	16,800	55.76	n/a	n/a	840.00	5.0
AO,CRT	09/27	SCOPUS FUND (SCOPUBS)	041	ROST	B	18,400	55.76	n/a	n/a	920.00	5.0
AO,CXL	09/27	SCOPUS FUND (SCOPGS)	041	ROST	B	3,200	55.76	n/a	n/a	160.00	5.0
AO,CRT	09/27	SCOPUS FUND (SCOPGS)	041	ROST	B	1,600	55.76	n/a	n/a	80.00	5.0
AO,	09/27	DENVER INST. ADV (DENV1283)	046	UIL	B	200	27.96	n/a	n/a	8.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1197)	046	UIL	B	100	27.96	n/a	n/a	4.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1281)	046	UIL	B	1,600	27.96	n/a	n/a	64.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1185)	046	UIL	B	100	27.96	n/a	n/a	4.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1066)	046	UIL	B	300	27.96	n/a	n/a	12.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1193)	046	UIL	B	200	27.96	n/a	n/a	8.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1284)	046	UIL	B	200	27.96	n/a	n/a	8.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1286)	046	UIL	B	100	27.96	n/a	n/a	4.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1287)	046	UIL	B	500	27.96	n/a	n/a	20.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1164)	046	UIL	B	100	27.96	n/a	n/a	4.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1165)	046	UIL	B	500	27.96	n/a	n/a	20.00	4.0
AO,	09/27	DENVER INST. ADV (DENV1170)	046	UIL	B	300	27.96	n/a	n/a	12.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/27	DENVER INST. ADV (DENV1177)	046	UIL	B	300	27.96	n/a	n/a	12.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1183)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1184)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1057)	046	UIL	B	300	27.96	n/a	n/a	12.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1150)	046	UIL	B	800	27.96	n/a	n/a	32.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1154)	046	UIL	B	300	27.96	n/a	n/a	12.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1909)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1173)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV270)	046	UIL	B	1,500	27.96	n/a	n/a	60.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1054)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV300)	046	UIL	B	16,433	27.96	n/a	n/a	657.32 4.0
AO,	09/27	DENVER INST. ADV (DENV1192)	046	UIL	B	3,700	27.96	n/a	n/a	148.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1188)	046	UIL	B	13,400	27.96	n/a	n/a	536.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1152)	046	UIL	B	900	27.96	n/a	n/a	36.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1292)	046	UIL	B	1,000	27.96	n/a	n/a	40.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1190)	046	UIL	B	700	27.96	n/a	n/a	28.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1189)	046	UIL	B	200	27.96	n/a	n/a	8.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1291)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1901)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1513)	046	UIL	B	5,300	27.96	n/a	n/a	212.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1151)	046	UIL	B	200	27.96	n/a	n/a	8.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1171)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1905)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1903)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1500)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1906)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1506)	046	UIL	B	3,300	27.96	n/a	n/a	132.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1236)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1910)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0
AO,	09/27	DENVER INST. ADV (DENV1907)	046	UIL	B	100	27.96	n/a	n/a	4.00 4.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/27	JANA CAPITAL (JANADBEXEC)	044	XRX	S	1,047	10.52	n/a	n/a	41.88 4.0
AO,	09/27	JANA CAPITAL (JANACSFBS)	044	XRX	S	12,499	10.52	n/a	n/a	499.96 4.0
AO,	09/27	JANA CAPITAL (JANAJPMS)	044	XRX	S	51,242	10.52	n/a	n/a	2049.68 4.0
AO,	09/27	JANA CAPITAL (JANAGOLDMA)	044	XRX	S	3,609	10.52	n/a	n/a	144.36 4.0
AO,	09/27	JANA CAPITAL (JANAABN AM)	044	XRX	S	1,603	10.52	n/a	n/a	64.12 4.0

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

**7,861.32**

TOTAL (Trade Date):

109,978.19

TOTAL (AO, CXL, CRT):

7,861.32

**TOTAL (RUN DATE) / NFS:**

**117,839.51**

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