

Daily Compliance Activity Report Trade Date: 11/20/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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|-------------------------|------|--------|-----|-----------------|-------|-----|----------|-------------|-----|
| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
| M&I FUNDS | 047 | AMP | В | 11,600 | 37.53 | n/a | n/a | 464.00 | 4.0 |
| HOLLIS CAPITAL | 033 | AN | S | 5,000 | 17.73 | n/a | 30-0ct | 250.00 | 5.0 |
| HUTCHIN HILL CAPITAL LP | 233 | AN | В | 65 , 000 | 17.74 | n/a | 30-Oct | 1,950.00 | 3.0 |
| WOOSTER CAPITAL | 035 | AN | В | 100,000 | 17.78 | n/a | 30-Oct | 5,000.00 | 5.0 |
| OVERLAND PARK CAP | 041 | BKC | SS | 15,000 | 17.50 | n/a | 29-0ct | 600.00 | 4.0 |
| GEORGE WEISS | 034 | BNE | S | 25,000 | 6.02 | n/a | n/a | 750.00 | 3.0 |
| JP MORGAN VENTURES | 046 | CAT | В | 10,000 | 57.29 | n/a | 21-0ct | 500.00 | 5.0 |
| WELLS/STRONG LEDDY | 035 | CHRD | В | 15,000 | 2.99 | n/a | n/a | 450.00 | 3.0 |
| CAMBIAR CAP | 046 | CL | S | 74,975 | 84.69 | n/a | 13-Nov | 2,999.00 | 4.0 |
| CAMP | 046 | CL | S | 25 | 84.69 | n/a | 13-Nov | 1.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | СОН | В | 30,000 | 33.63 | n/a | 21-0ct | 1,200.00 | 4.0 |
| WAGONHOUND/NIC | 048 | CVGI | В | 8,767 | 5.21 | n/a | n/a | 263.01 | 3.0 |
| SONTERRA CAP | 041 | CVS | В | 15,000 | 31.41 | n/a | n/a | 600.00 | 4.0 |
| CHILTON CAPITAL MGMT. | 036 | DELL | С | 100,000 | 14.59 | n/a | n/a | 3,000.00 | 3.0 |
| OVERLAND PARK CAP | 041 | DRI | SS | 45,000 | 31.33 | n/a | 2-0ct | 1,800.00 | 4.0 |
| ROSEDALE CAPITAL | 046 | DVN | В | 20,000 | 67.95 | n/a | 16-Nov | 1,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. |
|--------------------------|--|---|--|--|---|---|---|---|---|
| COLUMBIA PARTNERS | 028 | DW | С | 31,381 | 19.82 | n/a | n/a | 941.43 | 3.0 |
| CUMBERLAND | 239 | EXH | В | 7,000 | 21.04 | n/a | 2-Nov | 280.00 | 4.0 |
| CONIFER/ISF | 025 | FL | В | 10,000 | 10.34 | n/a | 19-Nov | 500.00 | 5.0 |
| RWC PARTNERS LTD | 067 | F | В | 1,350,000 | 8.64 | n/a | 4-Nov | 40,500.00 | 3.0 |
| EXIS CAPITAL | 044 | GYMB | S | 20,000 | 41.37 | n/a | 19-Nov | 1,000.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | GYMB | SS | 10,000 | 41.09 | n/a | 19-Nov | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | нві | s | 20,000 | 24.45 | n/a | n/a | 800.00 | 4.0 |
| ELM RIDGE ADVISORS | 044 | IP | S | 313,900 | 24.73 | n/a | 28-Oct | 12,556.00 | 4.0 |
| M&I FUNDS | 047 | IVZ | В | 19,600 | 22.26 | n/a | 19-Nov | 784.00 | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | IVZ | S | 194,100 | 22.21 | n/a | 19-Nov | 6,793.50 | 3.5 |
| SIGMA CAPITAL ASSOCIATES | 041 | JCG | SS | 40,000 | 40.30 | n/a | n/a | 1,600.00 | 4.0 |
| GCORE MANAGEMENT | 041 | JCI | SS | 30,000 | 26.92 | n/a | 28-Oct | 1,500.00 | 5.0 |
| THE JAY GOLDMAN | 028 | JCP | В | 50,000 | 29.45 | n/a | 16-Nov | 2,000.00 | 4.0 |
| COUGAR TRADING | 044 | JWN | S | 10,000 | 33.90 | n/a | 13-Nov | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | М | В | 30,000 | 17.26 | n/a | 12-Nov | 1,200.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | NJR | В | 10,600 | 35.29 | n/a | n/a | 477.00 | 4.5 |
| | COLUMBIA PARTNERS CUMBERLAND CONIFER/ISF RWC PARTNERS LTD EXIS CAPITAL SIGMA CAPITAL ASSOCIATES BUCK CAPITAL MGMT ELM RIDGE ADVISORS M&I FUNDS SYSTEMATIC FINANCIAL MGT SIGMA CAPITAL ASSOCIATES GCORE MANAGEMENT THE JAY GOLDMAN COUGAR TRADING BUCK CAPITAL MGMT | COLUMBIA PARTNERS CUMBERLAND CONIFER/ISF CONIFER/ISF RWC PARTNERS LTD EXIS CAPITAL SIGMA CAPITAL ASSOCIATES O41 BUCK CAPITAL MGMT O01 ELM RIDGE ADVISORS 044 M&I FUNDS SYSTEMATIC FINANCIAL MGT SYSTEMATIC FINANCIAL MGT GCORE MANAGEMENT THE JAY GOLDMAN COUGAR TRADING O44 BUCK CAPITAL MGMT O01 COUGAR TRADING O44 BUCK CAPITAL MGMT O01 | COLUMBIA PARTNERS CUMBERLAND CONIFER/ISF RWC PARTNERS LTD EXIS CAPITAL SIGMA CAPITAL MGMT ELM RIDGE ADVISORS M&I FUNDS SYSTEMATIC FINANCIAL MGT SIGMA CAPITAL ASSOCIATES O41 SYSTEMATIC FINANCIAL MGT GCORE MANAGEMENT THE JAY GOLDMAN BUCK CAPITAL MGMT O01 THE COUGAR TRADING O44 DW EXH EXH GYMB GYMB HBI IP IVZ SYSTEMATIC FINANCIAL MGT O35 IVZ SIGMA CAPITAL ASSOCIATES O41 JCG GCORE MANAGEMENT O41 JCI THE JAY GOLDMAN O28 JCP COUGAR TRADING O44 JWN | COLUMBIA PARTNERS 028 DW C CUMBERLAND 239 EXH B CONIFER/ISF 025 FL B RWC PARTNERS LTD 067 F B EXIS CAPITAL SIGMA CAPITAL ASSOCIATES D41 GYMB SS BUCK CAPITAL MGMT 001 HBI S ELM RIDGE ADVISORS 047 IVZ B SYSTEMATIC FINANCIAL MGT 035 IVZ S SIGMA CAPITAL ASSOCIATES O41 JCG SS GCORE MANAGEMENT 041 JCI SS THE JAY GOLDMAN 028 JCP B COUGAR TRADING 044 JWN S BUCK CAPITAL MGMT 001 M B | COLUMBIA PARTNERS 028 DW C 31,381 CUMBERLAND 239 EXH B 7,000 CONIFER/ISF 025 FL B 10,000 RWC PARTNERS LTD 067 F B 1,350,000 EXIS CAPITAL SIGMA CAPITAL ASSOCIATES 041 GYMB SS 10,000 BUCK CAPITAL MGMT 001 HBI S 20,000 ELM RIDGE ADVISORS 044 IP S 313,900 M&I FUNDS SYSTEMATIC FINANCIAL MGT 035 IVZ B 19,600 SYSTEMATIC FINANCIAL MGT 041 JCG SS 40,000 GCORE MANAGEMENT 041 JCI SS 30,000 COUGAR TRADING 044 JWN S 10,000 BUCK CAPITAL MGMT 001 M B 30,000 | COLUMBIA PARTNERS 028 DW C 31,381 19.82 CUMBERLAND 239 EXH B 7,000 21.04 CONIFER/ISF 025 FL B 10,000 10.34 RWC PARTNERS LTD 067 F B 1,350,000 8.64 EXIS CAPITAL SIGMA CAPITAL ASSOCIATES 041 GYMB SS 10,000 41.37 SIGMA CAPITAL MGMT 001 HBI S 20,000 24.45 ELM RIDGE ADVISORS 044 IP S 313,900 24.73 MGI FUNDS SYSTEMATIC FINANCIAL MGT 035 IVZ S 194,100 22.26 SIGMA CAPITAL ASSOCIATES 041 JCG SS 40,000 40.30 GCORE MANAGEMENT 041 JCI SS 30,000 26.92 THE JAY GOLDMAN 028 JCP B 50,000 33.90 BUCK CAPITAL MGMT 001 M B 30,000 17.26 | COLUMBIA PARTNERS 028 DW C 31,381 19.82 n/a CUMBERLAND 239 EXH B 7,000 21.04 n/a CONIFER/ISF 025 FL B 10,000 10.34 n/a RWC PARTNERS LTD 067 F B 1,350,000 8.64 n/a EXIS CAPITAL 044 GYMB S 20,000 41.37 n/a SIGMA CAPITAL ASSOCIATES 041 GYMB SS 10,000 41.09 n/a BUCK CAPITAL MGMT 001 HBI S 20,000 24.45 n/a ELM RIDGE ADVISORS 044 IP S 313,900 24.73 n/a SYSTEMATIC FINANCIAL MGT 035 IVZ B 19,600 22.26 n/a SYSTEMATIC FINANCIAL MGT 035 IVZ S 194,100 22.21 n/a SIGMA CAPITAL ASSOCIATES 041 JCG SS 40,000 40.30 n/a GCORE MANAGEMENT 041 JCI SS 30,000 26.92 n/a THE JAY GOLDMAN 028 JCP B 50,000 29.45 n/a COUGAR TRADING 044 JWN S 10,000 33.90 n/a BUCK CAPITAL MGMT 001 M B 30,000 17.26 n/a | COLUMBIA PARTNERS 028 DW C 31,381 19.82 | COLUMBIA PARTNERS 028 DW C 31,381 19.82 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | /Shr. |
|--------------------------|------|--------|-----|-----------------|-------|-----|----------|----------|-------|
| THOMAS WEISEL ASSET MGMT | 035 | ONNN | S | 24,679 | 7.73 | n/a | n/a | 740.37 | 3.0 |
| MELLON/BANK OF NEW YORK | 046 | PFE | В | 8,000 | 18.25 | n/a | n/a | 400.00 | 5.0 |
| CASTLEROCK | 040 | SHLD | В | 37,904 | 73.62 | n/a | n/a | 1,516.16 | 4.0 |
| BAIRD INVESTMENT | 047 | SPLS | S | 18 , 175 | 22.61 | n/a | n/a | 908.75 | 5.0 |
| JP MORGAN VENTURES | 046 | TRA | В | 30,000 | 38.78 | n/a | n/a | 1,500.00 | 5.0 |
| AVESTA CAP | 229 | WMT | SS | 200,000 | 54.14 | n/a | 12-Nov | 8,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | WRC | S | 20,000 | 42.15 | n/a | 5-Nov | 800.00 | 4.0 |

TOTAL (Trade Date): 106,524.22

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|--------|-------|-----------------------------------|------|--------|-----|--------|-------|-----|----------|---------|--------|
| AO, | 11/19 | ROTHSCHILD ASSET (ROTH3762) | 040 | APA | S | 430 | 97.40 | n/a | 2-Nov | 19.35 | 4.5 |
| O,CXL | 11/19 | ROTHSCHILD ASSET (ROTH3761) | 040 | APA | S | 430 | 97.40 | n/a | 2-Nov | 19.35 | 4.5 |
| AO,CXL | 11/19 | TROOB CAPITAL (TROOBSPB) | 067 | BZ | В | 30,000 | 4.85 | n/a | n/a | 900.00 | 3.0 |
| AO, | 11/19 | TROOB CAPITAL (TROOBSPB) | 067 | BZ | В | 30,000 | 4.85 | n/a | n/a | 900.00 | 3.0 |
| AO, | 11/19 | WELLS/STRONG LEDDY (WCAP237705) | 035 | CHRD | В | 5,775 | 3.23 | n/a | n/a | 144.38 | 2.5 |
| AO, | 11/19 | WELLS/STRONG LEDDY (WCAP151730) | 035 | CHRD | В | 4,400 | 3.23 | n/a | n/a | 110.00 | 2.5 |
| ΔΟ, | 11/19 | WELLS/STRONG LEDDY (WCAP151770) | 035 | CHRD | В | 1,100 | 3.23 | n/a | n/a | 27.50 | 2.5 |
| AO, | 11/19 | WELLS/STRONG LEDDY (WCAP151753) | 035 | CHRD | В | 25 | 3.23 | n/a | n/a | 0.63 | 2.5 |
| AO, | 11/19 | WELLS/STRONG LEDDY (WCAPWC1877) | 035 | CHRD | В | 3,400 | 3.23 | n/a | n/a | 85.00 | 2.5 |
| ΑΟ, | 11/19 | WELLS/STRONG LEDDY (WCAPWC1729) | 035 | CHRD | В | 300 | 3.23 | n/a | n/a | 7.50 | 2.5 |
| O,CRT | 11/19 | STELLIAM INV ADV (STLLGSBULK) | 034 | CSCO | S | 25,000 | 23.58 | n/a | n/a | 1250.00 | 5.0 |
| O,CXL | 11/19 | STELLIAM INV ADV (STLLMSEXEC) | 034 | CSCO | S | 25,000 | 23.58 | n/a | n/a | 1250.00 | 5.0 |
| CRT | 11/20 | CUMBERLAND (CUMBMS04) | 239 | EXH | В | 7,000 | 21.04 | n/a | 2-Nov | 280.00 | 4.0 |
| AO, | 11/19 | CRAMER ROSENTHAL/SCOTT (CRSB3161) | 012 | SJM | S | 200 | 53.19 | n/a | n/a | 8.00 | 4.0 |
| AO,CXL | 11/19 | CRAMER ROSENTHAL/SCOTT (CRSB3161) | 012 | SJM | S | 200 | 53.19 | n/a | n/a | 8.00 | 4.0 |

| TOTAL | (AO, CXI | L, CRT): | 655.01 |
|-------|----------|----------|--------|
| TOTAL | (AU, CAI | L, CRI). | 655.01 |

TOTAL (Trade Date):

TOTAL (AO, CXL, CRT):

106,524.22

655.01

TOTAL (RUN DATE) / NFS: 107,179.23

Legend:

O: 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