



Daily Compliance Activity Report

Trade Date: 11/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BROADARCH CAP/OLD NEWC	070	AAPL	B	200	313.41	n/a	n/a	8.00 4.0
Õ Nilsa Vazquez		ABVT	B	100	58.0900	n/a	n/a	0.00 0.0
BROADARCH CAP/OLD NEWC	070	ADBE	S	4,000	27.84	n/a	n/a	160.00 4.0
BROADARCH CAP/OLD NEWC	070	AME	S	2,000	59.41	n/a	n/a	80.00 4.0
BROADARCH CAP/OLD NEWC	070	AOS	B	3,500	38.23	n/a	19-Oct	140.00 4.0
BROADARCH CAP/OLD NEWC	070	ARJ	S	1,500	34.65	n/a	26-Nov	60.00 4.0
BROADARCH CAP/OLD NEWC	070	AVGO	S	1,500	26.88	n/a	n/a	60.00 4.0
PZENA INV ADV	044	AVT	S	1,150	30.70	n/a	n/a	40.25 3.5
Õ Nilsa Vazquez		AWI	B	100	48.7190	n/a	n/a	0.00 0.0
NEUBERGER BERMAN	036	AWR	B	6,683	36.57	n/a	n/a	267.32 4.0
ARMATURE CAPITAL	041	AXL	SS	20,000	10.68	n/a	1-Nov	800.00 4.0
PZENA INV ADV	044	AXS	B	67,000	35.36	n/a	n/a	2,345.00 3.5
BROADARCH CAP/OLD NEWC	070	BAC	SS	5,000	10.95	n/a	18-Nov	200.00 4.0
LAGRANGE CAP ADV	048	BAC	B	30,000	11.10	n/a	18-Nov	1,500.00 5.0
Õ Nilsa Vazquez		BAC	B	500	10.9670	n/a	18-Nov	0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	BHI	S	3,000	52.11	n/a	n/a	120.00	4.0
NEUBERGER BERMAN	036	BRKL	B	33,000	9.85	n/a	n/a	660.00	2.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.47	n/a	n/a	800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	COH	C	100,000	56.70	n/a	27-Oct	3,000.00	3.0
SURSUM CAPITAL	215	COH	SS	25,000	56.73	n/a	27-Oct	750.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	3,400	97.40	n/a	16-Nov	136.00	4.0
WADDELL AND REED	047	CTRP	S	250,000	44.19	n/a	n/a	10,000.00	4.0
NEWLAND CAPITAL MGT	067	DAN	S	15,000	14.76	n/a	29-Oct	600.00	4.0
NOMURA CAPITAL	029	DHI	B	20,000	10.02	n/a	n/a	600.00	3.0
BROADARCH CAP/OLD NEWC	070	EMC	B	1,500	21.63	n/a	n/a	60.00	4.0
LATEFF MGMT	035	ENR	B	1,250	70.34	n/a	3-Nov	350.00	28.0
BROADARCH CAP/OLD NEWC	070	FCX	B	1,000	101.59	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	FDX	S	1,000	92.13	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	FFIN	B	3,600	48.38	n/a	n/a	144.00	4.0
COOKBIELER	028	FLO	B	2,700	25.96	n/a	n/a	108.00	4.0
HARVEST MGMT	029	FL	B	10,000	18.90	n/a	19-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	FO	S	14,150	59.75	n/a	n/a	495.26	3.5
SURSUM CAPITAL	215	GPS	B	20,000	20.80	n/a	n/a	600.00	3.0
SURSUM CAPITAL	215	HBI	B	20,000	27.45	n/a	28-Oct	600.00	3.0
PZENA INV ADV	044	HHS	B	3,700	12.38	n/a	n/a	129.51	3.5
WEINTRAUB CAPITAL MGT.	040	HRB	B	50,000	12.74	n/a	n/a	2,000.00	4.0
CARDINAL CAPITAL	044	HTS	S	11,400	31.00	n/a	n/a	570.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IN	B	1,700	11.31	n/a	n/a	68.00	4.0
CRAMER ROSENTHAL/SCOTT	012	IPG	B	1,000	10.37	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	IPI	B	6,800	30.65	n/a	n/a	272.00	4.0
BROADARCH CAP/OLD NEWC	070	ITW	B	5,000	47.48	n/a	20-Oct	200.00	4.0
SURSUM CAPITAL	215	JNY	B	20,000	13.43	n/a	28-Oct	600.00	3.0
CRAMER ROSENTHAL/SCOTT	012	KFT	B	300	30.01	n/a	n/a	12.00	4.0
JP MORGAN VENTURES	046	KMB	B	10,000	61.60	n/a	27-Oct	500.00	5.0
BROADARCH CAP/OLD NEWC	070	KNX	B	7,000	19.29	n/a	n/a	280.00	4.0
BROADARCH CAP/OLD NEWC	070	KR	B	1,500	23.61	n/a	n/a	60.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	LIH	S	2,000	44.05	n/a	n/a	80.00	4.0
HARVEST MGMT	029	LOW	SS	10,000	22.80	n/a	15-Nov	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	LSI	B	2,500	5.66	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	SS	1,000	50.11	n/a	11-Nov	40.00	4.0
NOMURA CAPITAL	029	LYBB	S	25,000	29.22	n/a	n/a	750.00	3.0
CRAMER ROSENTHAL/SCOTT	012	MOGA	B	2,670	36.09	n/a	n/a	106.80	4.0
CRAMER ROSENTHAL/SCOTT	012	MWW	B	700	21.96	n/a	n/a	28.00	4.0
BMO NESBITT BURNS	041	NDN	B	3,000	15.79	n/a	8-Nov	150.00	5.0
PZENA INV ADV	044	NOC	S	275	61.79	n/a	28-Oct	9.63	3.5
APEX CAPITAL MGMT.	261	NOK	C	135,800	9.24	n/a	n/a	4,074.00	3.0
BUCK CAPITAL MGMT	001	NWY	B	2,100	3.34	n/a	n/a	63.00	3.0
BROADARCH CAP/OLD NEWC	070	ODFL	B	3,000	28.87	n/a	n/a	120.00	4.0
WADDELL AND REED	047	ORCL	B	240,400	27.01	n/a	n/a	9,616.00	4.0
BROADARCH CAP/OLD NEWC	070	PCP	S	1,200	138.60	n/a	22-Oct	48.00	4.0
CRAMER ROSENTHAL/SCOTT	012	PEP	B	200	64.09	n/a	n/a	8.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
METROPOLITAN CAPITAL	044	PLCE	S	7,500	51.98	n/a	18-Nov	375.00	5.0
LEVEL GLOBAL SHARED ACCT	257	PNRA	S	50,000	99.54	n/a	27-Oct	1,500.00	3.0
PZENA INV ADV	044	PPG	B	16,000	77.09	n/a	22-Oct	560.00	3.5
CRAMER ROSENTHAL/SCOTT	012	RAH	B	200	62.56	n/a	n/a	8.00	4.0
SAXON WOODS ADVISORS	242	RBC	B	14,000	61.42	n/a	n/a	560.00	4.0
NEUBERGER BERMAN	036	RBN	B	14,144	31.00	n/a	n/a	565.76	4.0
BROADARCH CAP/OLD NEWC	070	RKT	SS	2,000	54.42	n/a	n/a	80.00	4.0
CRAMER ROSENTHAL/SCOTT	012	RSG	B	500	28.13	n/a	n/a	20.00	4.0
COOKBIELER	028	RTN	B	84,000	46.23	n/a	9-Nov	3,360.00	4.0
MERRILL ASSET/BLACKROCK	266	SKT	S	16,700	47.63	n/a	n/a	668.00	4.0
NEUBERGER BERMAN	036	SLGN	B	11,532	34.26	n/a	n/a	461.28	4.0
NEUBERGER BERMAN	036	SM	B	11,600	49.91	n/a	n/a	464.00	4.0
NEUBERGER BERMAN	036	SRE	B	9,600	49.63	n/a	n/a	384.00	4.0
CRAMER ROSENTHAL/SCOTT	012	STJ	B	500	37.96	n/a	n/a	20.00	4.0
BMO NESBITT BURNS	041	SVU	SS	5,000	9.08	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	SXT	B	4,700	34.02	n/a	n/a	188.00	4.0
PZENA INV ADV	044	TEL	S	1,375	30.28	n/a	n/a	48.13	3.5
BUCK CAPITAL MGMT	001	TJX	B	107,800	45.65	n/a	30-Nov	4,312.00	4.0
PZENA INV ADV	044	TMK	S	325	57.85	n/a	n/a	11.38	3.5
BROADARCH CAP/OLD NEWC	070	TMO	S	3,000	50.70	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	TOL	B	4,000	17.84	n/a	n/a	160.00	4.0
MERRILL ASSET/BLACKROCK	266	TTES	S	18,300	35.42	n/a	n/a	732.00	4.0
BROADARCH CAP/OLD NEWC	070	UNP	B	2,000	90.14	n/a	n/a	80.00	4.0
NEUBERGER BERMAN	036	USTR	B	1,800	63.62	n/a	n/a	72.00	4.0
BROADARCH CAP/OLD NEWC	070	UTX	B	2,000	75.31	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	UTX	S	2,000	75.63	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	WYNN	B	1,000	102.18	n/a	10-Nov	40.00	4.0
PZENA INV ADV	044	XOM	S	350	69.56	n/a	n/a	12.25	3.5
PZENA INV ADV	044	ZMH	S	175	49.49	n/a	n/a	6.13	3.5
TOTAL (Trade Date):								60,906.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/30	LAGRANGE CAP ADV (LAGRJEFF)	048	BAC	B	30,000	11.10	n/a	18-Nov	1500.00 5.0
AO,CXL	10/15	PILOT ADV (PILOBOFA)	242	HD	SS	1,000	30.48	n/a	16-Nov	30.00 3.0
AO,CRT	10/15	PILOT ADV (PILOBOFA)	242	HD	SS	1,000	30.48	n/a	16-Nov	40.00 4.0
AO,	11/29	NOMURA CAPITAL (NOMUSAG)	029	LYBB	S	642	29.40	n/a	n/a	19.26 3.0
AO,	11/29	NOMURA CAPITAL (NOMUSW7Y)	029	LYBB	S	7,901	29.40	n/a	n/a	237.03 3.0
AO,	11/29	NOMURA CAPITAL (NOMUNOMIR)	029	LYBB	S	1,388	29.40	n/a	n/a	41.64 3.0
AO,	11/29	NOMURA CAPITAL (NOMUL3)	029	LYBB	S	1,165	29.40	n/a	n/a	34.95 3.0
AO,	11/29	NOMURA CAPITAL (NOMUEB6J)	029	LYBB	S	3,492	29.40	n/a	n/a	104.76 3.0
AO,	11/29	NOMURA CAPITAL (NOMULASERS)	029	LYBB	S	3,476	29.40	n/a	n/a	104.28 3.0
AO,	11/29	NOMURA CAPITAL (NOMUAYCB)	029	LYBB	S	11,456	29.40	n/a	n/a	343.68 3.0
AO,	11/29	NOMURA CAPITAL (NOMUSPH)	029	LYBB	S	1,328	29.40	n/a	n/a	39.84 3.0
AO,	11/29	NOMURA CAPITAL (NOMUMCERS)	029	LYBB	S	432	29.40	n/a	n/a	12.96 3.0
AO,	11/29	NOMURA CAPITAL (NOMU7MS7)	029	LYBB	S	12,316	29.40	n/a	n/a	369.48 3.0
AO,	11/29	NOMURA CAPITAL (NOMUGMCA)	000	LYBB	S	6,404	29.40	n/a	n/a	192.12 3.0

TOTAL (AO, CXL, CRT) :**3,010.00**

TOTAL (Trade Date) :

60,906.70

TOTAL (AO, CXL, CRT) :

3,010.00

TOTAL (RUN DATE) / NFS:**63,916.70**

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