



Daily Compliance Activity Report

Trade Date: 11/23/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| EXIS CAPITAL | 044 | AEO | B | 60,000 | 14.49 | n/a | 6-Nov | 3,000.00 | 5.0 |
| EXIS CAPITAL | 044 | AEO | SS | 10,000 | 14.54 | n/a | 6-Nov | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ANF | S | 20,000 | 39.45 | n/a | 16-Nov | 800.00 | 4.0 |
| EXIS CAPITAL | 044 | ANF | B | 5,000 | 39.28 | n/a | 16-Nov | 250.00 | 5.0 |
| EXIS CAPITAL | 044 | ANF | S | 2,500 | 39.90 | n/a | 16-Nov | 125.00 | 5.0 |
| JMP ASSET MGMT | 210 | ANN | SS | 1,000 | 14.42 | n/a | n/a | 50.00 | 5.0 |
| EXIS CAPITAL | 044 | ARO | B | 7,500 | 31.27 | n/a | 6-Nov | 375.00 | 5.0 |
| EXIS CAPITAL | 044 | ARO | S | 30,000 | 31.71 | n/a | 6-Nov | 1,500.00 | 5.0 |
| GCORE MANAGEMENT | 041 | AWK | S | 5,000 | 21.41 | n/a | n/a | 250.00 | 5.0 |
| KENNEDY CAPITAL | 046 | CBK | B | 75,000 | 6.25 | n/a | n/a | 2,250.00 | 3.0 |
| WELLS/STRONG LEDDY | 035 | CHRS | S | 5,900 | 4.97 | n/a | n/a | 177.00 | 3.0 |
| CAMBIAR CAP | 046 | CL | S | 84,835 | 84.85 | n/a | 13-Nov | 3,393.40 | 4.0 |
| CONIFER/ISF | 025 | CL | B | 5,000 | 84.71 | n/a | 13-Nov | 250.00 | 5.0 |
| EXIS CAPITAL | 044 | COH | SS | 15,000 | 34.66 | n/a | 21-Oct | 750.00 | 5.0 |
| EXIS CAPITAL | 044 | COH | S | 35,000 | 34.75 | n/a | 21-Oct | 1,750.00 | 5.0 |
| WAGONHOUND/NIC | 048 | CVGI | B | 17,600 | 5.26 | n/a | n/a | 528.00 | 3.0 |
| MARINER/TRICADIA | 041 | CXW | S | 15,000 | 24.71 | n/a | n/a | 600.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|----------------|--------------|------------|---------------|-----------------|------------|
| TROOB CAPITAL | 067 | ETFC | B | 250,000 | 1.65 | n/a | n/a | 7,500.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | EV | C | 25,000 | 30.33 | n/a | 17-Nov | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | FL | B | 100,000 | 10.26 | n/a | 23-Nov | 4,000.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | FL | B | 8,610 | 10.07 | n/a | 23-Nov | 430.50 | 5.0 |
| EXIS CAPITAL | 044 | GES | SS | 5,000 | 36.13 | n/a | n/a | 250.00 | 5.0 |
| EXIS CAPITAL | 044 | GPS | B | 5,000 | 21.79 | n/a | n/a | 250.00 | 5.0 |
| BAIRD INVESTMENT | 047 | GS | B | 2,256 | 173.32 | n/a | 18-Nov | 112.80 | 5.0 |
| EXIS CAPITAL | 044 | GYMB | S | 2,500 | 41.74 | n/a | 19-Nov | 125.00 | 5.0 |
| OHIO PERS | 047 | HCBK | S | 286,300 | 13.32 | n/a | 27-Oct | 8,589.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | JCG | B | 10,000 | 40.53 | n/a | n/a | 400.00 | 4.0 |
| EXIS CAPITAL | 044 | JCG | S | 8,400 | 40.68 | n/a | n/a | 420.00 | 5.0 |
| HUNTER GLOBAL INVESTOR | 067 | JCG | B | 50,000 | 40.77 | n/a | n/a | 2,500.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | JCG | SS | 10,000 | 40.46 | n/a | n/a | 400.00 | 4.0 |
| EXIS CAPITAL | 044 | JCP | SS | 15,000 | 29.12 | n/a | 16-Nov | 750.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | JCP | S | 50,000 | 29.70 | n/a | 16-Nov | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JWN | S | 20,000 | 33.76 | n/a | 13-Nov | 800.00 | 4.0 |
| EXIS CAPITAL | 044 | JWN | B | 1,250 | 33.65 | n/a | 13-Nov | 62.50 | 5.0 |
| EXIS CAPITAL | 044 | JWN | S | 10,000 | 34.20 | n/a | 13-Nov | 500.00 | 5.0 |
| EXIS CAPITAL | 044 | KSS | B | 5,000 | 53.89 | n/a | 13-Nov | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| EXIS CAPITAL | 044 | KSS | S | 5,000 | 54.50 | n/a | 13-Nov | 250.00 | 5.0 |
| MUHLENKAMP FUND | 046 | LM | S | 200,000 | 29.13 | n/a | 17-Nov | 10,000.00 | 5.0 |
| SAXON WOODS ADVISORS | 242 | MAT | B | 310,000 | 20.47 | n/a | n/a | 9,300.00 | 3.0 |
| IVORY CAPITAL | 034 | MSFT | S | 260,000 | 29.93 | n/a | n/a | 5,200.00 | 2.0 |
| BASIX | 033 | MTW | S | 35,000 | 10.58 | n/a | 3-Nov | 1,050.00 | 3.0 |
| EXIS CAPITAL | 044 | M | B | 20,000 | 16.76 | n/a | 12-Nov | 1,000.00 | 5.0 |
| EXIS CAPITAL | 044 | M | S | 20,000 | 17.34 | n/a | 12-Nov | 1,000.00 | 5.0 |
| EXIS CAPITAL | 044 | NKE | B | 2,500 | 64.28 | n/a | n/a | 125.00 | 5.0 |
| EXIS CAPITAL | 044 | NKE | SS | 2,500 | 64.97 | n/a | n/a | 125.00 | 5.0 |
| SUFFOLK CAPITAL MGMT | 040 | NKE | S | 100,266 | 64.27 | n/a | n/a | 4,010.64 | 4.0 |
| RBC CAPITAL MARKETS | 040 | ORB | B | 10,000 | 13.09 | n/a | n/a | 400.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | OSK | SS | 5,000 | 37.70 | n/a | n/a | 200.00 | 4.0 |
| PRINCIPLE CAPITAL | 040 | PALM | SS | 50,000 | 11.63 | n/a | n/a | 1,500.00 | 3.0 |
| CR INTRINIC INVESTMENT | 044 | PFE | S | 50,000 | 18.84 | n/a | n/a | 2,000.00 | 4.0 |
| COLUMBIA PARTNERS | 028 | PKG | S | 16,673 | 19.93 | n/a | 22-Oct | 666.92 | 4.0 |
| TRELLUS PARTNERS LP | 028 | PKG | S | 30,000 | 20.01 | n/a | 22-Oct | 1,500.00 | 5.0 |
| EXIS CAPITAL | 044 | PLCE | SS | 15,000 | 33.24 | n/a | 19-Nov | 750.00 | 5.0 |
| COLUMBIA PARTNERS | 028 | PRU | B | 20,183 | 49.15 | n/a | n/a | 807.32 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| CR INTRINIC INVESTMENT | 044 | PRX | S | 13,603 | 23.89 | n/a | 18-Nov | 544.12 | 4.0 |
| BUCK CAPITAL MGMT | 001 | PSS | B | 20,000 | 19.94 | n/a | n/a | 800.00 | 4.0 |
| STERLING JOHNSTON | 035 | PVH | B | 4,550 | 43.70 | n/a | 20-Nov | 182.00 | 4.0 |
| TROOB CAPITAL | 067 | RAD | S | 250,000 | 1.32 | n/a | n/a | 7,500.00 | 3.0 |
| EXIS CAPITAL | 099 | RL | S | 5,000 | 79.38 | n/a | 4-Nov | 250.00 | 5.0 |
| LISTED ERR | 099 | RL | B | 1 | 79.10 | n/a | 4-Nov | 0.00 | 0.0 |
| LISTED ERR | 099 | RL | S | 1 | 79.38 | n/a | 4-Nov | 0.00 | 0.0 |
| EXIS CAPITAL | 044 | SSO | B | 10,000 | 37.49 | n/a | n/a | 500.00 | 5.0 |
| EXIS CAPITAL | 044 | SSO | SS | 20,000 | 37.53 | n/a | n/a | 1,000.00 | 5.0 |
| MUHLENKAMP FUND | 046 | STT | B | 200,000 | 41.76 | n/a | 18-Nov | 10,000.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | TGT | S | 25,000 | 47.71 | n/a | 18-Nov | 1,000.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | TIN | S | 40,000 | 17.90 | n/a | 22-Oct | 2,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TJX | S | 20,000 | 38.56 | n/a | 18-Nov | 800.00 | 4.0 |
| EXIS CAPITAL | 044 | URBN | B | 25,000 | 31.56 | n/a | n/a | 1,250.00 | 5.0 |
| EXIS CAPITAL | 044 | URBN | SS | 10,000 | 31.94 | n/a | n/a | 500.00 | 5.0 |
| ST OF MICHIAN | 047 | VOD | S | 500,000 | 22.66 | n/a | n/a | 15,000.00 | 3.0 |
| GCORE MANAGEMENT | 041 | WTR | B | 5,000 | 16.17 | n/a | n/a | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|----------|-------------------|-----|
| WELLS/STRONG LEDDY | 035 | WTSLA | S | 2,300 | 3.07 | n/a | n/a | 69.00 | 3.0 |
| SUFFOLK CAPITAL MGMT | 040 | XOM | B | 124,000 | 75.58 | n/a | n/a | 4,960.00 | 4.0 |
| EXIS CAPITAL | 044 | XRT | B | 95,000 | 35.11 | n/a | n/a | 4,750.00 | 5.0 |
| EXIS CAPITAL | 044 | XRT | SS | 5,000 | 35.07 | n/a | n/a | 250.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 138,628.20 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-----------------------------------|------|--------|-----|--------|-------|-----|----------|----------------|
| AO,CXL | 11/19 | STELLIAM INV ADV (STLLGSBULK) | 034 | LSI | SS | 15,000 | 5.50 | n/a | n/a | 750.00 5.0 |
| AO,CRT | 11/19 | STELLIAM INV ADV (STLLGSBULK) | 034 | LSI | SS | 15,000 | 5.50 | n/a | n/a | 450.00 3.0 |
| AO, | 11/19 | CRAMER ROSENTHAL/SCOTT (CRSB3408) | 012 | SJM | S | 700 | 53.19 | n/a | n/a | 28.00 4.0 |
| AO,CXL | 11/19 | CRAMER ROSENTHAL/SCOTT (CRSB3404) | 012 | SJM | S | 700 | 53.19 | n/a | n/a | 28.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -300.00 |

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|------------------------|------------|
| TOTAL (Trade Date) : | 138,628.20 |
| TOTAL (AO, CXL, CRT) : | -300.00 |

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|---------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS : | 138,328.20 |
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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