

Daily Compliance Activity Report Trade Date: 11/24/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	EPOCH INV MGMT	030	ABG	В	300	15.58	n/a	27-Oct	9.00	3.0
	NOMURA CAPITAL	029	ACUZD	S	10,275	11.75	n/a	n/a	308.25	3.0
	NEUBERGER BERMAN	036	AMMD	S	40,547	18.55	n/a	n/a	1,621.88	4.0
	LEVEL GLOBAL SHARED ACCT	257	ANF	S	50,000	48.05	n/a	17-Nov	1,500.00	3.0
	BUCK CAPITAL MGMT	001	ANN	s	20,000	26.24	n/a	n/a	800.00	4.0
	BNP PARIBAS SEC	040	ASH	S	10,000	52.46	n/a	8-Nov	500.00	5.0
	PZENA INV ADV	044	AVP	S	1,150	28.80	n/a	29-0ct	40.25	3.5
	EPOCH INV MGMT	030	AWI	В	150	48.20	n/a	n/a	4.50	3.0
	BNP PARIBAS SEC	040	BA	S	10,000	65.06	n/a	22-Nov	500.00	5.0
	LEVEL GLOBAL SHARED ACCT	257	BBBY	С	75,000	44.28	n/a	n/a	2,250.00	3.0
	NEUBERGER BERMAN	036	BRKL	В	13,300	10.13	n/a	n/a	532.00	4.0
	CIRCLE T/SES PART	035	BYD	В	15,000	9.22	n/a	n/a	600.00	4.0
	PZENA INV ADV	044	CA	S	1,550	23.37	n/a	n/a	54.25	3.5
	PZENA INV ADV	044	CMA	S	1,125	36.67	n/a	n/a	39.38	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm	¢/Shr.
Account	ICIC W	Буньот	Б/ 5	bhares	TITCE	PIKI	Research	Conun.	*/ SIII .
EPOCH INV MGMT	030	CMS	В	450	17.90	n/a	n/a	13.50	3.0
EPOCH INV MGMT	030	CNW	В	200	33.05	n/a	n/a	6.00	3.0
PZENA INV ADV	044	COF	S	78,818	37.64	n/a	24-Nov	2,758.71	3.5
EPOCH INV MGMT	030	CPO	В	200	43.89	n/a	n/a	6.00	3.0
EPOCH INV MGMT	030	CW	В	200	30.82	n/a	n/a	6.00	3.0
LEVEL GLOBAL SHARED ACCT	257	DIS	С	350,000	36.72	n/a	n/a	10,500.00	3.0
EPOCH INV MGMT	030	DRIV	В	100	37.41	n/a	n/a	3.00	3.0
EPOCH INV MGMT	030	DRQ	В	50	76.06	n/a	n/a	1.50	3.0
KACELA CAPITAL	034	EMC	В	65,000	21.80	n/a	n/a	2,600.00	4.0
EPOCH INV MGMT	030	ESL	В	100	58.20	n/a	n/a	3.00	3.0
EPOCH INV MGMT	030	FDML	В	250	19.22	n/a	n/a	7.50	3.0
NEUBERGER BERMAN	036	FFIN	В	3,600	48.94	n/a	n/a	144.00	4.0
BMO NESBITT BURNS	041	FINL	В	5,000	17.91	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	FL	В	4,000	18.75	n/a	19-Nov	200.00	5.0
LATEFF MGMT	035	FL	S	2,500	18.77	n/a n/a	19-Nov	300.00	12.0
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LEVEL GLOBAL SHARED ACCT	257	FOSL	S	50,000	68.57	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BUCK CAPITAL MGMT	001	GES	S	50,000	48.21	n/a	24-Nov	2,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	302,266	49.11	n/a	24-Nov	9,067.98	3.0
COUGAR TRADING	044	GIL	В	10,000	29.50	n/a	18-Oct	500.00	5.0
SURSUM CAPITAL	215	HBI	В	25 , 000	27.71	n/a	28-Oct	750.00	3.0
FARALLON CAP MGMT	040	HGG	SS	1,500	24.78	n/a	n/a	60.00	4.0
LATEFF MGMT	035	HON	S	1,000	50.03	n/a	16-Nov	250.00	25.0
NOMURA CAPITAL	029	HOS	S	1,342	22.29	n/a	n/a	40.26	3.0
EPOCH INV MGMT	030	ICON	В	300	18.66	n/a	n/a	9.00	3.0
NOMURA CAPITAL	029	IPHS	S	1,508	35.01	n/a	n/a	45.24	3.0
BNP PARIBAS SEC	040	IP	В	10,000	25.57	n/a	27-Oct	500.00	5.0
EPOCH INV MGMT	030	ISBC	В	450	12.23	n/a	n/a	13.50	3.0
PZENA INV ADV	044	JCP	S	400	32.73	n/a	15-Nov	14.00	3.5
BUCK CAPITAL MGMT	001	JNY	В	73,100	13.72	n/a	28-0ct	2,924.00	4.0
CAERUS GLOBAL	041	JNY	В	50,000	13.71	n/a	28-Oct	2,000.00	4.0
EPOCH INV MGMT	030	JOSB	В	100	43.90	n/a	n/a	3.00	3.0
LATEFF MGMT	035	JPM	В	1,000	38.12	n/a	18-Nov	230.00	23.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	
PZENA INV ADV	044	KFT	S	2,525	30.44	n/a	n/a	88.38	3.5	
THE JAY GOLDMAN	028	KSS	S	20,000	57.39	n/a	18-Nov	800.00	4.0	
NOMURA CAPITAL	029	LEA	S	7,288	88.80	n/a	29-Oct	218.64	3.0	
FRIESS MGMT	033	LTD	S	440,400	33.69	n/a	n/a	17,616.00	4.0	
NOMURA CAPITAL	029	LYBB	S	25,000	29.25	n/a	n/a	750.00	3.0	
WEINTRAUB CAPITAL MGT.	040	MA	В	15,000	239.44	n/a	2-Nov	600.00	4.0	
RAINIER INV MGMT	035	MCD	S	176,780	79.41	n/a	8-Nov	7,071.20	4.0	
EPOCH INV MGMT	030	MLI	В	250	30.78	n/a	19-Oct	7.50	3.0	
WEINTRAUB CAPITAL MGT.	040	MTB	S	50,000	76.95	n/a	n/a	2,000.00	4.0	
SURSUM CAPITAL	215	М	S	20,000	25.77	n/a	11-Nov	600.00	3.0	
THE JAY GOLDMAN	028	М	S	50,000	25.88	n/a	11-Nov	2,000.00	4.0	
PZENA INV ADV	044	NOC	S	325	62.03	n/a	28-Oct	11.38	3.5	
CAVU CAP ADV	028	PH	S	5,000	82.01	n/a	20-Oct	250.00	5.0	
BUCK CAPITAL MGMT	001	PVH	s	10,000	66.10	n/a	18-Oct	400.00	4.0	
EPOCH INV MGMT	030	RAIL	В	200	24.60	n/a	n/a	6.00	3.0	
CHART WELL ADV	028	RAX	S	108,600	28.12	n/a	n/a	4,344.00	4.0	
	PZENA INV ADV THE JAY GOLDMAN NOMURA CAPITAL FRIESS MGMT NOMURA CAPITAL WEINTRAUB CAPITAL MGT. RAINIER INV MGMT EPOCH INV MGMT WEINTRAUB CAPITAL MGT. SURSUM CAPITAL THE JAY GOLDMAN PZENA INV ADV CAVU CAP ADV BUCK CAPITAL MGMT EPOCH INV MGMT	PZENA INV ADV 044 THE JAY GOLDMAN 028 NOMURA CAPITAL 029 FRIESS MGMT 033 NOMURA CAPITAL 029 WEINTRAUB CAPITAL MGT. 040 RAINIER INV MGMT 035 EPOCH INV MGMT 030 WEINTRAUB CAPITAL MGT. 040 SURSUM CAPITAL MGT. 040 SURSUM CAPITAL 215 THE JAY GOLDMAN 028 PZENA INV ADV 044 CAVU CAP ADV 028 BUCK CAPITAL MGMT 030	PZENA INV ADV 044 KFT THE JAY GOLDMAN 028 KSS NOMURA CAPITAL 029 LEA FRIESS MGMT 033 LTD NOMURA CAPITAL 029 LYBB WEINTRAUB CAPITAL MGT. 040 MA RAINIER INV MGMT 035 MCD EPOCH INV MGMT 030 MLI WEINTRAUB CAPITAL MGT. 040 MTB SURSUM CAPITAL 1215 M THE JAY GOLDMAN 028 M PZENA INV ADV 044 NOC CAVU CAP ADV 028 PH BUCK CAPITAL MGMT 030 RAIL	PZENA INV ADV 044 KFT S THE JAY GOLDMAN 028 KSS S NOMURA CAPITAL 029 LEA S FRIESS MGMT 033 LTD S NOMURA CAPITAL 029 LYBB S WEINTRAUB CAPITAL MGT. 040 MA B RAINIER INV MGMT 035 MCD S EPOCH INV MGMT 030 MLI B WEINTRAUB CAPITAL MGT. 040 MTB S SURSUM CAPITAL MGT. 040 MTB S SURSUM CAPITAL MGT. 040 MTB S PZENA INV ADV 044 NOC S CAVU CAP ADV 028 PH S BUCK CAPITAL MGMT 030 RAIL B	PZENA INV ADV 044 KFT S 2,525 THE JAY GOLDMAN 028 KSS S 20,000 NOMURA CAPITAL 029 LEA S 7,288 FRIESS MGMT 033 LTD S 440,400 NOMURA CAPITAL 029 LYBB S 25,000 WEINTRAUB CAPITAL MGT. 040 MA B 15,000 RAINIER INV MGMT 035 MCD S 176,780 EPOCH INV MGMT 030 MLI B 250 WEINTRAUB CAPITAL MGT. 040 MTB S 50,000 SURSUM CAPITAL 215 M S 20,000 THE JAY GOLDMAN 028 M S 50,000 PZENA INV ADV 044 NOC S 325 CAVU CAP ADV 028 PH S 5,000 BUCK CAPITAL MGMT 001 PVH S 10,000 EPOCH INV MGMT 030 RAIL B 200	PZENA INV ADV 044 KFT S 2,525 30.44 THE JAY GOLDMAN 028 KSS S 20,000 57.39 NOMURA CAPITAL 029 LEA S 7,288 88.80 FRIESS MGMT 033 LTD S 440,400 33.69 NOMURA CAPITAL 029 LYBB S 25,000 29.25 WEINTRAUB CAPITAL MGT. 040 MA B 15,000 239.44 RAINIER INV MGMT 035 MCD S 176,780 79.41 EPOCH INV MGMT 030 MLI B 250 30.78 WEINTRAUB CAPITAL MGT. 040 MTB S 50,000 76.95 SURSUM CAPITAL 215 M S 20,000 25.77 THE JAY GOLDMAN 028 M S 50,000 25.88 PZENA INV ADV 044 NOC S 325 62.03 CAVU CAP ADV 028 PH S 5,000 82.01 BUCK CAPITAL MGMT 030 RAIL B 200 24.60	PZENA INV ADV 044 KFT S 2,525 30.44 n/a THE JAY GOLDMAN 028 KSS S 20,000 57.39 n/a NOMURA CAPITAL 029 LEA S 7,288 88.80 n/a FRIESS MGMT 033 LTD S 440,400 33.69 n/a NOMURA CAPITAL 029 LYBB S 25,000 29.25 n/a WEINTRAUB CAPITAL MGT. 040 MA B 15,000 239.44 n/a RAINIER INV MGMT 035 MCD S 176,780 79.41 n/a EPOCH INV MGMT 030 MLI B 250 30.78 n/a WEINTRAUB CAPITAL MGT. 040 MTB S 50,000 76.95 n/a SURSUM CAPITAL MGT. 040 MTB S 50,000 25.77 n/a THE JAY GOLDMAN 028 M S 50,000 25.88 n/a PZENA INV ADV 044 NOC S 325 62.03 n/a CAVU CAP ADV 028 PH S 5,000 82.01 n/a BUCK CAPITAL MGMT 030 RAIL B 200 24.60 n/a	PZENA INV ADV 044 KFT S 2,525 30.44	PZENA INV ADV 044 KFT S 2,525 30.44 n/a n/a n/a 88.38 THE JAY COLDMAN 028 KSS S 20,000 57.39 n/a 18-Nov 800.00 NOMURA CAPITAL 029 LEA S 7,288 88.80 n/a 29-Oct 218.64 FRIESS MGMT 033 LTD S 440,400 33.69 n/a n/a 17,616.00 NOMURA CAPITAL 029 LYBB S 25,000 29.25 n/a n/a n/a 750.00 WEINTRAUB CAPITAL MGT. 040 MA B 15,000 239.44 n/a 2-Nov 600.00 RAINIER INV MGMT 035 MCD S 176,780 79.41 n/a 8-Nov 7,071.20 EPOCH INV MGMT 030 MLI B 250 30.78 n/a 19-Oct 7.50 WEINTRAUB CAPITAL MGT. 040 MTB S 50,000 76.95 n/a n/a 2,000.00 SURSUM CAPITAL 215 M S 20,000 25.77 n/a 11-Nov 600.00 THE JAY COLDMAN 028 M S 50,000 25.88 n/a 11-Nov 2,000.00 PZENA INV ADV 044 NOC S 325 62.03 n/a 28-Oct 11.38 CAVU CAP ADV 028 PH S 5,000 82.01 n/a 28-Oct 250.00 BUCK CAPITAL MGMT 030 RAIL B 200 24.60 n/a 18-Oct 400.00 EPOCH INV MGMT 030 RAIL B 200 24.60 n/a 18-Oct 400.00	PZENA INV ADV 044 KFT S 2,525 30.44

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	:/Shr
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LEVEL GLOBAL SHARED ACCT	257	RCL	S	50,000	41.68	n/a	n/a	1,500.00	3.0
JMP ASSET MGMT	210	RDN	В	10,000	7.20	n/a	n/a	400.00	4.0
EPOCH INV MGMT	030	ROCK	В	300	10.22	n/a	n/a	9.00	3.0
MELLON/BANK OF NEW YORK	046	ROVI	В	4,445	54.75	n/a	n/a	88.90	2.0
EPOCH INV MGMT	030	RTI	В	150	28.52	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	RYL	В	400	14.51	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	SFNC	В	100	28.81	n/a	n/a	3.00	3.0
SYSTEMATIC FINANCIAL MGT	035	SWK	S	79 , 800	59.46	n/a	n/a	2,394.00	3.0
PZENA INV ADV	044	TEL	S	13,450	31.45	n/a	n/a	470.75	3.5
TRUSTCO/SUNTRUST	040	TXN	S	93,900	32.37	n/a	n/a	3,286.50	3.5
TYEE/TYGH	035	WRC	В	40,600	54.20	n/a	9-Nov	1,624.00	4.0
PZENA INV ADV	044	XOM	S	1,550	69.80	n/a	n/a	54.27	3.5
LEVEL GLOBAL SHARED ACCT	257	XRT	С	360,000	46.95	n/a	n/a	10,800.00	3.0

TOTAL (Trade Date): 102,875.72

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	11/23	NOMURA CAPITAL (NOMUSW7Y)	029	LEA	S	3 , 526	88.19	n/a	29-0ct	105.78	3.0
AO,	11/23	NOMURA CAPITAL (NOMUNOMIR)	029	LEA	S	470	88.19	n/a	29-Oct	14.10	3.0
AO,	11/23	NOMURA CAPITAL (NOMUL3)	029	LEA	S	704	88.19	n/a	29-0ct	21.12	3.0
AO,	11/23	NOMURA CAPITAL (NOMUEB6J)	029	LEA	S	2,116	88.19	n/a	29-0ct	63.48	3.0
AO,	11/23	NOMURA CAPITAL (NOMUEB6J)	029	LYBB	S	5,000	28.97	n/a	n/a	150.00	3.0
AO,CXL	11/23	TALKOT CAPITAL LLC (TALKJEFF)	084	PKG	В	2,000	25.74	n/a	19-0ct	80.00	4.0
AO, CRT	11/23	TALKOT CAPITAL LLC (TALKGSPB)	084	PKG	В	2,000	25.74	n/a	19-0ct	80.00	4.0

TOTAL (RUN DATE) / NFS:	103,230.20
TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	102,875.72 354.48

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