

Daily Compliance Activity Report Trade Date: 11/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares Price	MRI	Research	Comm.¢	:/Shr.
BROADARCH CAP/OLD NEWC	070	AAPL	В	200 313.41	n/a	n/a	8.00	4.0
Nilsa Vazquez		ABVT	В	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	В	3,500 38.23	n/a	19-0ct	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
Nilsa Vazquez		AWI	В	100 48.7190	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	AWR	В	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	В	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	В	30,000 11.10	n/a	18-Nov	1,500.00	5.0
Nilsa Vazquez		BAC	В	500 10.9670	n/a	18-Nov	0.00	0.0
	Account BROADARCH CAP/OLD NEWC Nilsa Vazquez BROADARCH CAP/OLD NEWC PZENA INV ADV Nilsa Vazquez NEUBERGER BERMAN ARMATURE CAPITAL PZENA INV ADV BROADARCH CAP/OLD NEWC LAGRANGE CAP ADV	RR # BROADARCH CAP/OLD NEWC 070 Nilsa Vazquez BROADARCH CAP/OLD NEWC 070 PZENA INV ADV 044 Nilsa Vazquez NEUBERGER BERMAN 036 ARMATURE CAPITAL 041 PZENA INV ADV 044 BROADARCH CAP/OLD NEWC 070 LAGRANGE CAP ADV 048	RR # Symbol BROADARCH CAP/OLD NEWC 070 AAPL Nilsa Vazquez ABVT BROADARCH CAP/OLD NEWC 070 ADBE BROADARCH CAP/OLD NEWC 070 AME BROADARCH CAP/OLD NEWC 070 AOS BROADARCH CAP/OLD NEWC 070 ARJ BROADARCH CAP/OLD NEWC 070 AVGO PZENA INV ADV 044 AVT NEUBERGER BERMAN 036 AWR ARMATURE CAPITAL 041 AXL PZENA INV ADV 044 AXS BROADARCH CAP/OLD NEWC 070 BAC LAGRANGE CAP ADV 048 BAC	AccountRR #SymbolB/SBROADARCH CAP/OLD NEWC070AAPLBNilsa VazquezABVTBBROADARCH CAP/OLD NEWC070ADBESBROADARCH CAP/OLD NEWC070AMESBROADARCH CAP/OLD NEWC070ARJSBROADARCH CAP/OLD NEWC070AVGOSPZENA INV ADV044AVTSNilsa VazquezAWIBNEUBERGER BERMAN036AWRBARMATURE CAPITAL041AXLSSPZENA INV ADV044AXSBBROADARCH CAP/OLD NEWC070BACSSLAGRANGE CAP ADV048BACB	Account RR # Symbol B/S Shares Price BROADARCH CAP/OLD NEWC 070 AAPL B 200 313.41 Nilsa Vazquez ABVT B 100 58.0900 BROADARCH CAP/OLD NEWC 070 ADBE S 4,000 27.84 BROADARCH CAP/OLD NEWC 070 AME S 2,000 59.41 BROADARCH CAP/OLD NEWC 070 AOS B 3,500 38.23 BROADARCH CAP/OLD NEWC 070 AVGO S 1,500 34.65 BROADARCH CAP/OLD NEWC 070 AVGO S 1,500 30.70 Nilsa Vazquez AWI B 100 48.7190 NEUBERGER BERMAN 036 AWR B 6,683 36.57 ARMATURE CAPITAL 041 AXL SS 20,000 10.68 PZENA INV ADV 044 AXS B 67,000 35.36 BROADARCH CAP/OLD NEWC 070 BAC SS 5,000 10.95	Account RR # Symbol B/S Shares Price MRI BROADARCH CAP/OLD NEWC 070 AAPL B 200 313.41 n/a Nilsa Vazquez ABVT B 100 58.0900 n/a BROADARCH CAP/OLD NEWC 070 ADBE S 4,000 27.84 n/a BROADARCH CAP/OLD NEWC 070 AME S 2,000 59.41 n/a BROADARCH CAP/OLD NEWC 070 AOS B 3,500 38.23 n/a BROADARCH CAP/OLD NEWC 070 ARJ S 1,500 34.65 n/a BROADARCH CAP/OLD NEWC 070 AVGO S 1,500 30.70 n/a PZENA INV ADV 044 AVT S 1,150 30.70 n/a NEUBERGER BERMAN 036 AWR B 6,683 36.57 n/a NEUBERGER BERMAN 036 AWR B 6,683 36.57 n/a PZENA INV ADV 044 AXL SS 20,000 10.68 n/a BROADARCH CAP/OLD NEWC 070 BA	Account RR # Symbol B/S Shares Price MRI Research BROADARCH CAP/OLD NEWC 070 AAPL B 200 313.41 n/a n/a Nilsa Vazquez ABVT B 100 58.0900 n/a n/a BROADARCH CAP/OLD NEWC 070 ADBE S 4,000 27.84 n/a n/a BROADARCH CAP/OLD NEWC 070 AME S 2,000 59.41 n/a 19-oct BROADARCH CAP/OLD NEWC 070 AARJ S 1,500 34.65 n/a 26-Nov BROADARCH CAP/OLD NEWC 070 AVGO S 1,500 34.65 n/a n/a PZENA INV ADV 044 AVT S 1,150 30.70 n/a n/a NEUBERGER BERMAN 036 AWR B 6,683 36.57 n/a n/a PZENA INV ADV 044 AXS B 67,000 35.36 n/a 1-Nov	Account RR # Symbol B/S Shares Price MRI Research Comm. of the common of the comm

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	В	33,000	9.85	n/a	n/a	660.00	2.0
FIRST NEW YORK LEDDY	035	BSX	В	20,000	6.47	n/a	n/a	800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	СОН	С	100,000	56.70	n/a	27-Oct	3,000.00	3.0
SURSUM CAPITAL	215	СОН	SS	25,000	56.73	n/a	27-0ct	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	В	20,000	10.02	n/a	n/a	600.00	3.0
BROADARCH CAP/OLD NEWC	070	EMC	В	1,500	21.63	n/a	n/a	60.00	4.0
LATEFF MGMT	035	ENR	В	1,250	70.34	n/a	3-Nov	350.00	28.0
BROADARCH CAP/OLD NEWC	070	FCX	В	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	В	3,600	48.38	n/a	n/a	144.00	4.0
COOKBIELER	028	FLO	В	2,700	25.96	n/a	n/a	108.00	4.0
HARVEST MGMT	029	FL	В	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	В	20,000	20.80	n/a	n/a	600.00	3.0
SURSUM CAPITAL	215	HBI	В	20,000	27.45	n/a	28-Oct	600.00	3.0
PZENA INV ADV	044	ННS	В	3,700	12.38	n/a	n/a	129.51	3.5
WEINTRAUB CAPITAL MGT.	040	HRB	В	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	В	1,700	11.31	n/a	n/a	68.00	4.0
CRAMER ROSENTHAL/SCOTT	012	IPG	В	1,000	10.37	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	IPI	В	6 , 800	30.65	n/a	n/a	272.00	4.0
BROADARCH CAP/OLD NEWC	070	ITW	В	5,000	47.48	n/a	20-Oct	200.00	4.0
SURSUM CAPITAL	215	JNY	В	20,000	13.43	n/a	28-Oct	600.00	3.0
CRAMER ROSENTHAL/SCOTT	012	KFT	В	300	30.01	n/a	n/a	12.00	4.0
JP MORGAN VENTURES	046	KMB	В	10,000	61.60	n/a	27-Oct	500.00	5.0
BROADARCH CAP/OLD NEWC	070	KNX	В	7,000	19.29	n/a	n/a	280.00	4.0
BROADARCH CAP/OLD NEWC	070	KR	В	1,500	23.61	n/a	n/a	60.00	4.0
	PZENA INV ADV SURSUM CAPITAL SURSUM CAPITAL PZENA INV ADV WEINTRAUB CAPITAL MGT. CARDINAL CAPITAL CRAMER ROSENTHAL/SCOTT CRAMER ROSENTHAL/SCOTT NEUBERGER BERMAN BROADARCH CAP/OLD NEWC SURSUM CAPITAL CRAMER ROSENTHAL/SCOTT JP MORGAN VENTURES BROADARCH CAP/OLD NEWC	PZENA INV ADV 044 SURSUM CAPITAL 215 SURSUM CAPITAL 215 PZENA INV ADV 044 WEINTRAUB CAPITAL MGT. 040 CARDINAL CAPITAL 044 CRAMER ROSENTHAL/SCOTT 012 CRAMER ROSENTHAL/SCOTT 012 NEUBERGER BERMAN 036 BROADARCH CAP/OLD NEWC 070 SURSUM CAPITAL 215 CRAMER ROSENTHAL/SCOTT 012 JP MORGAN VENTURES 046 BROADARCH CAP/OLD NEWC 070	PZENA INV ADV 044 FO SURSUM CAPITAL 215 GPS SURSUM CAPITAL 215 HBI PZENA INV ADV 044 HHS WEINTRAUB CAPITAL MGT. 040 HRB CARDINAL CAPITAL 044 HTS CRAMER ROSENTHAL/SCOTT 012 IN CRAMER ROSENTHAL/SCOTT 012 IPG NEUBERGER BERMAN 036 IPI BROADARCH CAP/OLD NEWC 070 ITW SURSUM CAPITAL 215 JNY CRAMER ROSENTHAL/SCOTT 012 KFT JP MORGAN VENTURES 046 KMB BROADARCH CAP/OLD NEWC 070 KNX	PZENA INV ADV 044 FO S SURSUM CAPITAL 215 GPS B SURSUM CAPITAL 215 HBI B PZENA INV ADV 044 HHS B WEINTRAUB CAPITAL MGT. 040 HRB B CARDINAL CAPITAL 044 HTS S CRAMER ROSENTHAL/SCOTT 012 IN B CRAMER ROSENTHAL/SCOTT 012 IPG B NEUBERGER BERMAN 036 IPI B BROADARCH CAP/OLD NEWC 070 ITW B SURSUM CAPITAL 215 JNY B CRAMER ROSENTHAL/SCOTT 012 KFT B JP MORGAN VENTURES 046 KMB B BROADARCH CAP/OLD NEWC 070 KNX B	PZENA INV ADV 044 FO S 14,150 SURSUM CAPITAL 215 GPS B 20,000 SURSUM CAPITAL 215 HBI B 20,000 PZENA INV ADV 044 HHS B 3,700 WEINTRAUB CAPITAL MGT. 040 HRB B 50,000 CARDINAL CAPITAL 044 HTS S 11,400 CRAMER ROSENTHAL/SCOTT 012 IN B 1,700 CRAMER ROSENTHAL/SCOTT 012 IPG B 1,000 NEUBERGER BERMAN 036 IPI B 6,800 BROADARCH CAP/OLD NEWC 070 ITW B 5,000 CRAMER ROSENTHAL/SCOTT 012 KFT B 300 JP MORGAN VENTURES 046 KMB B 10,000 BROADARCH CAP/OLD NEWC 070 KNX B 7,000	PZENA INV ADV 044 FO S 14,150 59.75 SURSUM CAPITAL 215 GPS B 20,000 20.80 SURSUM CAPITAL 215 HBI B 20,000 27.45 PZENA INV ADV 044 HHS B 3,700 12.38 WEINTRAUB CAPITAL MGT. 040 HRB B 50,000 12.74 CARDINAL CAPITAL 044 HTS S 11,400 31.00 CRAMER ROSENTHAL/SCOTT 012 IN B 1,700 11.31 CRAMER ROSENTHAL/SCOTT 012 IPG B 1,000 10.37 NEUBERGER BERMAN 036 IPI B 6,800 30.65 BROADARCH CAP/OLD NEWC 070 ITW B 5,000 47.48 SURSUM CAPITAL 215 JNY B 20,000 13.43 CRAMER ROSENTHAL/SCOTT 012 KFT B 300 30.01 JP MORGAN VENTURES 046 KMB B 10,000 61.60 BROADARCH CAP/OLD NEWC 070 KNX B 7,000 19.29	PZENA INV ADV 044 FO S 14,150 59.75 n/a SURSUM CAPITAL 215 GPS B 20,000 20.80 n/a SURSUM CAPITAL 215 HBI B 20,000 27.45 n/a PZENA INV ADV 044 HHS B 3,700 12.38 n/a WEINTRAUB CAPITAL MGT. 040 HRB B 50,000 12.74 n/a CARDINAL CAPITAL 044 HTS S 11,400 31.00 n/a CRAMER ROSENTHAL/SCOTT 012 IN B 1,700 11.31 n/a CRAMER ROSENTHAL/SCOTT 012 IPG B 1,000 10.37 n/a NEUBERGER BERMAN 036 IPI B 6,800 30.65 n/a BROADARCH CAP/OLD NEWC 070 ITW B 5,000 47.48 n/a SURSUM CAPITAL 215 JNY B 20,000 13.43 n/a CRAMER ROSENTHAL/SCOTT 012 KFT B 300 30.01 n/a BROADARCH CAP/OLD NEWC 070 KNX B 7,000 19.29 n/a	PZENA INV ADV 044 FO S 14,150 59.75	PZENA INV ADV 044 FO S 14,150 59.75

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
BROADARCH CAP/OLD NEWC	070	LII	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	В	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	В	2,670	36.09	n/a	n/a	106.80	4.0	
CRAMER ROSENTHAL/SCOTT	012	MWW	В	700	21.96	n/a	n/a	28.00	4.0	
BMO NESBITT BURNS	041	NDN	В	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	С	135,800	9.24	n/a	n/a	4,074.00	3.0	
BUCK CAPITAL MGMT	001	NWY	В	2,100	3.34	n/a	n/a	63.00	3.0	
BROADARCH CAP/OLD NEWC	070	ODFL	В	3,000	28.87	n/a	n/a	120.00	4.0	
WADDELL AND REED	047	ORCL	В	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	22-0ct	48.00	4.0	
CRAMER ROSENTHAL/SCOTT	012	PEP	В	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	В	16,000	77.09	n/a	22-Oct	560.00	3.5
CRAMER ROSENTHAL/SCOTT	012	RAH	В	200	62.56	n/a	n/a	8.00	4.0
SAXON WOODS ADVISORS	242	RBC	В	14,000	61.42	n/a	n/a	560.00	4.0
NEUBERGER BERMAN	036	RBN	В	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	В	500	28.13	n/a	n/a	20.00	4.0
COOKBIELER	028	RTN	В	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	В	11,532	34.26	n/a	n/a	461.28	4.0
NEUBERGER BERMAN	036	SM	В	11,600	49.91	n/a	n/a	464.00	4.0
NEUBERGER BERMAN	036	SRE	В	9,600	49.63	n/a	n/a	384.00	4.0
CRAMER ROSENTHAL/SCOTT	012	STJ	В	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	В	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	В	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	В	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	В	2,000	90.14	n/a	n/a	80.00	4.0
NEUBERGER BERMAN	036	USTR	В	1,800	63.62	n/a	n/a	72.00	4.0
BROADARCH CAP/OLD NEWC	070	UTX	В	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	В	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

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
CRT	11/30	LAGRANGE CAP ADV (LAGRJEFF)	048	BAC	В	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		3,010.00
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TOTAL (RUN DATE) / NFS:	63,916.70
TOTAL (AO, CXL, CRT):	3,010.00
TOTAL (Trade Date):	60,906.70

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