



Daily Compliance Activity Report

Trade Date: 11/24/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	ABG	B	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-Oct	40.25	3.5
EPOCH INV MGMT	030	AWI	B	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	C	75,000	44.28	n/a	n/a	2,250.00	3.0
NEUBERGER BERMAN	036	BRKL	B	13,300	10.13	n/a	n/a	532.00	4.0
CIRCLE T/SES PART	035	BYD	B	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.	
EPOCH INV MGMT	030	CMS	B	450	17.90	n/a	n/a	13.50	3.0
EPOCH INV MGMT	030	CNW	B	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	B	200	43.89	n/a	n/a	6.00	3.0
EPOCH INV MGMT	030	CW	B	200	30.82	n/a	n/a	6.00	3.0
LEVEL GLOBAL SHARED ACCT	257	DIS	C	350,000	36.72	n/a	n/a	10,500.00	3.0
EPOCH INV MGMT	030	DRIV	B	100	37.41	n/a	n/a	3.00	3.0
EPOCH INV MGMT	030	DRQ	B	50	76.06	n/a	n/a	1.50	3.0
KACELA CAPITAL	034	EMC	B	65,000	21.80	n/a	n/a	2,600.00	4.0
EPOCH INV MGMT	030	ESL	B	100	58.20	n/a	n/a	3.00	3.0
EPOCH INV MGMT	030	FDML	B	250	19.22	n/a	n/a	7.50	3.0
NEUBERGER BERMAN	036	FFIN	B	3,600	48.94	n/a	n/a	144.00	4.0
BMO NESBITT BURNS	041	FINL	B	5,000	17.91	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	FL	B	4,000	18.75	n/a	19-Nov	200.00	5.0
LATEFF MGMT	035	FL	S	2,500	18.77	n/a	19-Nov	300.00	12.0
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	B	10,000	29.50	n/a	18-Oct	500.00	5.0
SURSUM CAPITAL	215	HBI	B	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	B	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	B	10,000	25.57	n/a	27-Oct	500.00	5.0
EPOCH INV MGMT	030	ISBC	B	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	B	73,100	13.72	n/a	28-Oct	2,924.00	4.0
CAERUS GLOBAL	041	JNY	B	50,000	13.71	n/a	28-Oct	2,000.00	4.0
EPOCH INV MGMT	030	JOSB	B	100	43.90	n/a	n/a	3.00	3.0
LATEFF MGMT	035	JPM	B	1,000	38.12	n/a	18-Nov	230.00	23.0

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	B	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	B	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	M	S	20,000	25.77	n/a	11-Nov	600.00	3.0
THE JAY GOLDMAN	028	M	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	B	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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
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	B	10,000	7.20	n/a	n/a	400.00	4.0
EPOCH INV MGMT	030	ROCK	B	300	10.22	n/a	n/a	9.00	3.0
MELLON/BANK OF NEW YORK	046	ROVI	B	4,445	54.75	n/a	n/a	88.90	2.0
EPOCH INV MGMT	030	RTI	B	150	28.52	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	RYL	B	400	14.51	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	SFNC	B	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	B	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	C	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-Oct	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-Oct	21.12 3.0
AO,	11/23	NOMURA CAPITAL (NOMUEB6J)	029	LEA	S	2,116	88.19	n/a	29-Oct	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	B	2,000	25.74	n/a	19-Oct	80.00 4.0
AO,CRT	11/23	TALKOT CAPITAL LLC (TALKGSPB)	084	PKG	B	2,000	25.74	n/a	19-Oct	80.00 4.0
TOTAL (AO, CXL, CRT) :										354.48

TOTAL (Trade Date) :	102,875.72
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TOTAL (RUN DATE) / NFS :	103,230.20
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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