



Daily Compliance Activity Report

Trade Date: 10/12/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| EPOCH INV MGMT | 030 | ABT | B | 1,000 | 52.41 | n/a | n/a | 30.00 | 3.0 |
| TALPION LLC | 040 | ABVT | S | 2,585 | 59.00 | n/a | n/a | 103.40 | 4.0 |
| SIMMONS VENTURES | 041 | AEO | SS | 5,000 | 12.49 | n/a | 25-Aug | 200.00 | 4.0 |
| EPOCH INV MGMT | 030 | AET | B | 1,300 | 37.64 | n/a | n/a | 39.00 | 3.0 |
| EPOCH INV MGMT | 030 | AMAT | B | 2,100 | 11.34 | n/a | n/a | 63.00 | 3.0 |
| EPOCH INV MGMT | 030 | AMP | B | 1,100 | 43.31 | n/a | n/a | 33.00 | 3.0 |
| EPOCH INV MGMT | 030 | AXP | B | 600 | 47.39 | n/a | 12-Oct | 18.00 | 3.0 |
| EPOCH INV MGMT | 030 | BA | B | 950 | 64.48 | n/a | 6-Oct | 28.50 | 3.0 |
| PRIMECAP MGMT | 084 | BBBY | S | 5,000 | 60.10 | n/a | n/a | 200.00 | 4.0 |
| EPOCH INV MGMT | 030 | BEN | B | 200 | 98.12 | n/a | 2-Mar | 6.00 | 3.0 |
| EPOCH INV MGMT | 030 | BLK | B | 150 | 157.76 | n/a | n/a | 4.50 | 3.0 |
| KACELA CAPITAL | 034 | BWA | SS | 20,000 | 69.02 | n/a | 29-Jul | 800.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | CBG | B | 5,000 | 14.29 | n/a | n/a | 200.00 | 4.0 |
| LATEFF MGMT | 035 | CBL | B | 2,500 | 12.67 | n/a | n/a | 175.00 | 7.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|---------|-----|----------|-------------|-----|
| HAMILTON CAP PART FIN | 031 | CBSH | B | 3,090 | 38.71 | n/a | n/a | 123.60 | 4.0 |
| BASIX | 033 | CE | S | 10,000 | 40.02 | n/a | 20-May | 300.00 | 3.0 |
| EPOCH INV MGMT | 030 | CIT | B | 600 | 32.91 | n/a | 4-Oct | 18.00 | 3.0 |
| EPOCH INV MGMT | 030 | CL | B | 300 | 91.47 | n/a | 29-Sep | 9.00 | 3.0 |
| NEWLAND CAPITAL MGT | 025 | CNW | S | 30,000 | 25.25 | n/a | n/a | 1,200.00 | 4.0 |
| EPOCH INV MGMT | 030 | COP | B | 350 | 68.23 | n/a | n/a | 10.50 | 3.0 |
| CYPRESS CAP MGMT LLC | 040 | CROX | S | 16,600 | 26.33 | n/a | n/a | 664.00 | 4.0 |
| NORTHWESTERN MUTUAL LIFE | 047 | CRR | S | 2,400 | 116.53 | n/a | 11-Jan | 96.00 | 4.0 |
| DARUMA ASSET MGMT INC | 046 | CSGP | S | 18,010 | 54.08 | n/a | n/a | 720.40 | 4.0 |
| LISTED ERR | 097 | CSGP | S | 91 | 54.08 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | CSGP | B | 91 | 54.05 | n/a | n/a | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | CTL | B | 1,050 | 34.49 | n/a | n/a | 31.50 | 3.0 |
| Õ Nilsa Vazquez | | C | S | 100 | 29.3120 | n/a | 7-Oct | 0.00 | 0.0 |
| OZ MGMT | 040 | C | S | 124,400 | 29.44 | n/a | 7-Oct | 3,732.00 | 3.0 |
| EPOCH INV MGMT | 030 | DD | B | 750 | 44.23 | n/a | 12-Oct | 22.50 | 3.0 |
| EPOCH INV MGMT | 030 | DELL | B | 2,600 | 16.27 | n/a | n/a | 78.00 | 3.0 |
| EPOCH INV MGMT | 030 | DE | B | 250 | 71.36 | n/a | 14-Sep | 7.50 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| EPOCH INV MGMT | 030 | DHR | B | 1,200 | 45.33 | n/a | n/a | 36.00 | 3.0 |
| TALPION LLC | 040 | DHR | SS | 697 | 45.44 | n/a | n/a | 27.88 | 4.0 |
| BESSEMER INVESTMENT | 085 | DIS | S | 4,345 | 32.84 | n/a | n/a | 173.80 | 4.0 |
| KACELA CAPITAL | 034 | DSW | B | 29,428 | 51.22 | n/a | 11-Feb | 1,177.12 | 4.0 |
| EPOCH INV MGMT | 030 | DVA | B | 800 | 63.79 | n/a | n/a | 24.00 | 3.0 |
| PRIMECAP MGMT | 084 | ERIC | S | 8,000 | 10.55 | n/a | n/a | 320.00 | 4.0 |
| AVESTA CAP | 229 | FDX | C | 50,000 | 74.90 | n/a | n/a | 1,500.00 | 3.0 |
| TALPION LLC | 040 | FLS | SS | 336 | 85.22 | n/a | n/a | 13.44 | 4.0 |
| MACQUARIE INVESTMENT MGMT. | 040 | FRX | S | 5,000 | 32.26 | n/a | 10-Oct | 0.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | GE | S | 4,031 | 16.30 | n/a | n/a | 161.24 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 041 | GM | S | 25,000 | 23.66 | n/a | 4-Oct | 750.00 | 3.0 |
| SURSUM CAPITAL | 215 | HAL | S | 100,000 | 35.38 | n/a | n/a | 3,000.00 | 3.0 |
| SONTERRA CAP | 041 | HOG | S | 100,000 | 36.60 | n/a | n/a | 4,000.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | HON | S | 1,000 | 47.90 | n/a | 7-Oct | 40.00 | 4.0 |
| CHALSON/MILLENIUM | 041 | HOT | B | 15,000 | 45.97 | n/a | 13-Jun | 600.00 | 4.0 |
| DELTEC ASSET MGMT. | 040 | HPQ | B | 15,000 | 26.18 | n/a | n/a | 750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|----------|--------------|--------------|------------|---------------|--------------|------------|
| COLUMBUS CIRCLE | 036 | HPY | B | 4,400 | 20.67 | n/a | n/a | 157.68 | 3.0 |
| TALPION LLC | 040 | IEX | SS | 860 | 33.40 | n/a | n/a | 34.40 | 4.0 |
| BMO NESBITT BURNS | 041 | IP | B | 2,000 | 25.50 | n/a | 11-Oct | 80.00 | 4.0 |
| RIDGECREST INV MGMT LLC | 028 | IP | B | 20,000 | 25.90 | n/a | 11-Oct | 1,000.00 | 5.0 |
| RIDGECREST INV MGMT LLC | 028 | JCI | B | 7,500 | 31.76 | n/a | 5-Oct | 375.00 | 5.0 |
| EGS ASSOCIATES LP | 091 | JNY | B | 1,400 | 10.62 | n/a | 28-Jul | 84.00 | 6.0 |
| MACQUARIE INVESTMENT MGMT. | 040 | KEG | B | 10,000 | 10.83 | n/a | 20-Sep | 0.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | KEG | B | 50,000 | 10.87 | n/a | 20-Sep | 2,000.00 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 041 | KKR | C | 100,000 | 12.16 | n/a | n/a | 3,000.00 | 3.0 |
| LATEFF MGMT | 035 | KMB | S | 150 | 72.13 | n/a | 25-Jul | 37.50 | 25.0 |
| STANDARD PACIFIC CAPITAL | 084 | KMX | B | 150,000 | 28.27 | n/a | n/a | 7,500.00 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | LAZ | S | 24,800 | 24.87 | n/a | 7-Oct | 1,240.00 | 5.0 |
| LEVIN CAPITAL STRATEGIES | 041 | LEA | B | 15,000 | 48.34 | n/a | 5-Aug | 450.00 | 3.0 |
| TALPION LLC | 040 | LLL | SS | 535 | 68.04 | n/a | n/a | 21.40 | 4.0 |
| TALPION LLC | 040 | LMT | SS | 477 | 76.45 | n/a | 26-Sep | 19.08 | 4.0 |
| CHALSON/MILLENIUM | 041 | MAR | B | 30,000 | 30.48 | n/a | 13-Jun | 1,200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| THRIVENT ASSET MGMT | 030 | MCD | B | 167,100 | 88.81 | n/a | 3-Oct | 6,684.00 | 4.0 |
| CHALSON/MILLENIUM | 041 | MGM | B | 25,000 | 10.22 | n/a | 13-Jun | 1,000.00 | 4.0 |
| RIDGECREST INV MGMT LLC | 028 | MWV | S | 15,000 | 26.92 | n/a | 11-Oct | 750.00 | 5.0 |
| SIMMONS VENTURES | 041 | M | SS | 7,500 | 28.13 | n/a | 7-Oct | 300.00 | 4.0 |
| MACQUARIE INVESTMENT MGMT. | 040 | NDN | S | 30,000 | 21.39 | n/a | 11-Oct | 0.00 | 0.0 |
| TWIN CAPITAL | 041 | NDN | S | 19,558 | 21.39 | n/a | 11-Oct | 586.74 | 3.0 |
| TALPION LLC | 040 | NOC | SS | 658 | 55.39 | n/a | 26-Sep | 26.32 | 4.0 |
| DEVENNY CAP LLC | 044 | PAG | SS | 5,000 | 18.98 | n/a | 22-Jul | 150.00 | 3.0 |
| TALPION LLC | 040 | PH | SS | 393 | 73.02 | n/a | 14-Sep | 15.72 | 4.0 |
| BMO NESBITT BURNS | 041 | PKG | B | 2,000 | 25.31 | n/a | 11-Oct | 80.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | PKG | B | 50,000 | 25.36 | n/a | 11-Oct | 2,500.00 | 5.0 |
| TALPION LLC | 040 | PLL | SS | 1,682 | 47.48 | n/a | n/a | 67.28 | 4.0 |
| TALPION LLC | 040 | PNR | SS | 2,083 | 36.07 | n/a | n/a | 83.32 | 4.0 |
| SCOPUS FUND | 041 | POT | S | 24,900 | 48.68 | n/a | n/a | 996.00 | 4.0 |
| SONTERRA CAP | 041 | PSS | B | 10,000 | 14.71 | n/a | n/a | 400.00 | 4.0 |
| CHALSON/MILLENIUM | 041 | PVH | B | 15,000 | 67.31 | n/a | 1-Sep | 600.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|-----|----------|--------------|------|
| ENTRUST CAPITAL | 040 | PVH | B | 45,400 | 67.22 | n/a | 1-Sep | 2,270.00 | 5.0 |
| COOKBIELER | 028 | RKT | B | 40,000 | 53.76 | n/a | 11-Oct | 1,600.00 | 4.0 |
| IMPALA ASSET MMT | 040 | RRR | B | 120,000 | 9.18 | n/a | 14-Sep | 2,400.00 | 2.0 |
| DEVENNY CAP LLC | 044 | RTN | S | 5,000 | 42.77 | n/a | 26-Sep | 150.00 | 3.0 |
| TALPION LLC | 040 | RTN | SS | 860 | 42.40 | n/a | 26-Sep | 34.40 | 4.0 |
| CATAPULT | 040 | SFY | S | 25,000 | 25.41 | n/a | n/a | 1,000.00 | 4.0 |
| NEWLAND CAPITAL MGT | 025 | SOA | S | 30,000 | 15.21 | n/a | n/a | 1,200.00 | 4.0 |
| TALPION LLC | 040 | SPW | SS | 556 | 51.76 | n/a | n/a | 22.24 | 4.0 |
| DELTEC ASSET MGMT. | 040 | TEN | B | 10,000 | 31.48 | n/a | n/a | 500.00 | 5.0 |
| ADAGE CAPITAL MGMT | 030 | TGT | B | 108,355 | 53.32 | n/a | 6-Oct | 3,250.65 | 3.0 |
| FARALLON CAP MGMT | 040 | TGT | S | 150,000 | 53.19 | n/a | 6-Oct | 6,000.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | TGT | B | 5,000 | 53.33 | n/a | 6-Oct | 150.00 | 3.0 |
| KACELA CAPITAL | 034 | TOL | B | 158,000 | 15.94 | n/a | n/a | 6,320.00 | 4.0 |
| LATEFF MGMT | 035 | TSN | S | 300 | 18.59 | n/a | n/a | 39.00 | 13.0 |
| MERRILL ASSET/BLACKROCK | 297 | UPL | B | 11,700 | 28.89 | n/a | 12-Oct | 468.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | UTX | S | 1,200 | 74.12 | n/a | n/a | 48.00 | 4.0 |
| BNP PARIBAS SEC | 040 | WRC | S | 15,000 | 47.55 | n/a | 2-Aug | 750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| BMO NESBITT BURNS | 041 | XLB | S | 2,000 | 32.78 | n/a | n/a | 80.00 | 4.0 |
| HAMILTON CAP PART FIN | 031 | XLF | SS | 30,000 | 12.76 | n/a | n/a | 900.00 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 80,107.61 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO, | 10/05 | MERRILL ASSET/BLACKROCK (MERRBVAUTV) | 297 | ACE | B | 2,800 | 59.43 | n/a | n/a | 112.00 4.0 |
| AO,CXL | 10/05 | MERRILL ASSET/BLACKROCK (MERR2800) | 297 | ACE | B | 2,800 | 59.43 | n/a | n/a | 112.00 4.0 |
| AO, | 10/11 | COLUMBUS CIRCLE (COLC3050) | 036 | CLH | B | 543 | 52.17 | n/a | n/a | 21.72 4.0 |
| AO, | 10/11 | DARUMA ASSET MGMT INC (DARUKLOTHE) | 046 | CSGP | S | 60 | 52.39 | n/a | n/a | 2.40 4.0 |
| AO, | 10/11 | DARUMA ASSET MGMT INC (DARUANDREA) | 046 | CSGP | S | 80 | 52.39 | n/a | n/a | 3.20 4.0 |
| AO,CXL | 10/11 | DARUMA ASSET MGMT INC (DARUKLOTHE) | 046 | CSGP | S | 60 | 52.39 | n/a | n/a | 2.40 4.0 |
| AO,CXL | 10/11 | DARUMA ASSET MGMT INC (DARUANDREA) | 046 | CSGP | S | 80 | 52.39 | n/a | n/a | 3.20 4.0 |
| AO,CXL | 10/11 | DARUMA ASSET MGMT INC (DARUANDREA) | 046 | CSGP | S | 50 | 52.39 | n/a | n/a | 2.00 4.0 |
| AO, | 10/11 | DARUMA ASSET MGMT INC (DARUANDREA) | 046 | CSGP | S | 50 | 52.39 | n/a | n/a | 2.00 4.0 |
| AO,CXL | 10/11 | BROADARCH CAP/OLD NEWC (BROAGSPB) | 070 | ETN | S | 1,000 | 40.45 | n/a | 31-Aug | 0.00 0.0 |
| AO, | 10/11 | BROADARCH CAP/OLD NEWC (BROAGSPB) | 070 | ETN | S | 1,000 | 40.45 | n/a | 31-Aug | 40.00 4.0 |
| CRT | 10/12 | SONTERRA CAP (SONTMSBULK) | 041 | HOG | S | 100,000 | 36.60 | n/a | n/a | 4000.00 4.0 |

TOTAL (AO, CXL, CRT) :**4,061.72**

TOTAL (Trade Date) :

80,107.61

TOTAL (AO, CXL, CRT) :

4,061.72

TOTAL (RUN DATE) / NFS:**84,169.33**

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