

Daily Compliance Activity Report Trade Date: 12/03/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
DSM CAPITAL PARTNERS	085	AAPL	S	1,650	590.30	n/a	n/a	82.50	0.0
SCOPUS FUND	041	ABG	В	10,000	30.28	n/a	30-Nov	400.00	0.0
BASSWOOD PARTNERS	267	AF	С	93 , 656	9.40	n/a	18-Oct	3,746.24	0.0
DSM CAPITAL PARTNERS	085	AGN	S	7,700	92.62	n/a	3-Dec	385.00	0.0
KLEINHEINZ CAP PART	031	ANW	S	37 , 082	4.58	n/a	n/a	1,854.10	5.0
HARVEST MGMT (JMP)	029	ARO	В	30,000	14.06	n/a	n/a	1,200.00	4.0
PORTER-ORLIN	044	AVG	S	15 , 000	13.74	n/a	n/a	600.00	4.0
ROSEDALE CAPITAL	046	AXL	S	30,000	10.11	n/a	2-Nov	1,200.00	4.0
TUDOR INVESTORS	028	BECN	В	5,000	31.20	n/a	n/a	150.00	3.0
DSM CAPITAL PARTNERS	085	CELG	S	11,450	79.20	n/a	n/a	572.50	0.0
SENATOR INVESTMENT GROUP	036	COF	В	25 , 000	57.97	n/a	30-Nov	750.00	3.0
BAIRD INVESTMENT	047	COG	S	25 , 950	48.32	n/a	3-Dec	1,297.50	0.0
PROSPECTOR PARTNERS LLC	036	COP	В	10,000	57.17	n/a	n/a	400.00	4.0
GEORGE WEISS	034	COST	S	15,000	104.44	n/a	n/a	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
DSM CAPITAL PARTNERS	085	CTSH	S	4,450	67.99	n/a	n/a	222.50	0.0
DSM CAPITAL PARTNERS	085	DG	S	13,000	49.49	n/a	20-Nov	650.00	0.0
DSM CAPITAL PARTNERS	085	DISCA	S	7,400	60.44	n/a	n/a	370.00	0.0
DSM CAPITAL PARTNERS	085	DIS	S	6 , 150	49.59	n/a	n/a	307.50	0.0
DSM CAPITAL PARTNERS	085	EBAY	S	14,200	52.43	n/a	n/a	710.00	0.0
DSM CAPITAL PARTNERS	085	ECL	S	7,450	71.64	n/a	31-0ct	372.50	0.0
DSM CAPITAL PARTNERS	085	EL	S	1,500	59.54	n/a	13-Nov	75.00	0.0
LEVIN CAPITAL STRATEGIES	041	ENDP	В	59 , 922	28.74	n/a	3-Dec	1,797.66	0.0
ROTHSCHILD ASSET	040	EPR	В	12,500	45.64	n/a	n/a	500.00	0.0
PORTER-ORLIN	044	EXAR	S	10,000	8.38	n/a	n/a	400.00	4.0
DSM CAPITAL PARTNERS	085	FB	S	10,750	28.21	n/a	n/a	430.00	0.0
SUFFOLK CAPITAL MGMT	040	FB	S	88,600	28.75	n/a	n/a	3,544.00	0.0
DSM CAPITAL PARTNERS	085	FDO	S	5 , 250	70.65	n/a	20-Nov	262.50	0.0
PENNANT CAP MGMT	029	FNF	В	380,000	24.09	n/a	n/a	11,400.00	0.0
MACELLUM CAPITAL	086	GES	SS	15 , 980	25.63	n/a	29-Nov	479.40	3.0
DSM CAPITAL PARTNERS	085	GE	S	33,350	21.02	n/a	n/a	1,334.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
KENNEDY CAPITAL	046	GIII	S	2,600	39.15	n/a	n/a	104.00	0.0	
LATEEF MGMT	035	GLW	S	500	12.14	n/a	27-Nov	50.00	10.0	
ACK ASSET	028	GMT	S	2,753	42.01	n/a	n/a	82.59	0.0	
LEVIN CAPITAL STRATEGIES	041	GM	В	10,000	26.12	n/a	3-Dec	300.00	0.0	
DSM CAPITAL PARTNERS	085	GOOG	S	950	699.35	n/a	n/a	47.50	0.0	
DSM CAPITAL PARTNERS	085	GWW	S	1,500	194.02	n/a	16-Nov	75.00	0.0	
WESTFACE CAPTAL	040	HP	SS	40,000	52.66	n/a	n/a	1,200.00	3.0	
PORTER-ORLIN	044	IBM	В	800	190.11	n/a	n/a	32.00	4.0	
NOKOMIS PARTNERS	031	IDCC	S	20,000	43.59	n/a	n/a	600.00	3.0	
DSM CAPITAL PARTNERS	085	ISRG	S	750	527.72	n/a	n/a	37.50	0.0	
TUDOR INVESTORS	028	ITW	SS	5,000	61.84	n/a	n/a	150.00	3.0	
SUFFOLK CAPITAL MGMT	040	JACK	В	5,000	27.50	n/a	n/a	200.00	0.0	
MACELLUM CAPITAL	086	JCP	SS	23,710	17.34	n/a	12-Nov	711.30	3.0	
SUFFOLK CAPITAL MGMT	040	JJSF	S	700	64.28	n/a	n/a	28.00	0.0	
SUFFOLK CAPITAL MGMT	040	KSS	S	124,500	44.15	n/a	30-Nov	4,980.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
TUDOR INVESTORS	028	LECO	SS	3,000	46.74	n/a	n/a	90.00	3.0
SUFFOLK CAPITAL MGMT	040	LSCC	В	50,000	3.99	n/a	n/a	1,500.00	0.0
BALYASNY ASSET MGMT	044	LTD	С	10,000	51.51	n/a	n/a	500.00	0.0
DSM CAPITAL PARTNERS	085	LVS	S	12,050	47.55	n/a	13-Jun	602.50	0.0
UNITED STATES PENSION	085	MKC	S	5,435	64.86	n/a	n/a	217.40	4.0
DSM CAPITAL PARTNERS	085	MON	S	9,850	90.89	n/a	8-0ct	492.50	0.0
ARMATURE CAPITAL	041	MWV	В	25,000	30.80	n/a	24-Oct	1,000.00	0.0
HOLLIS CAPITAL	033	М	S	5,000	38.39	n/a	30-Nov	250.00	5.0
WESTFACE CAPTAL	040	OIH	SS	100,000	38.77	n/a	n/a	3,000.00	3.0
LATEEF MGMT	035	OI	В	500	19.53	n/a	n/a	50.00	10.0
SCOPUS FUND	041	PAG	В	10,000	29.13	n/a	5-Nov	400.00	0.0
DSM CAPITAL PARTNERS	085	PCP	S	3,050	182.62	n/a	16-Nov	152.50	0.0
WESTFACE CAPTAL	040	PDS	В	200,000	7.48	n/a	n/a	6,000.00	3.0
PENNANT CAP MGMT	029	PFE	S	400,000	25.22	n/a	n/a	12,000.00	0.0
GEORGE WEISS	034	PLCE	S	11,000	48.78	n/a	27-Nov	330.00	0.0
	TUDOR INVESTORS SUFFOLK CAPITAL MGMT BALYASNY ASSET MGMT DSM CAPITAL PARTNERS UNITED STATES PENSION DSM CAPITAL PARTNERS ARMATURE CAPITAL HOLLIS CAPITAL WESTFACE CAPTAL LATEEF MGMT SCOPUS FUND DSM CAPITAL PARTNERS WESTFACE CAPTAL PENNANT CAP MGMT	TUDOR INVESTORS SUFFOLK CAPITAL MGMT DAM CAPITAL PARTNERS UNITED STATES PENSION DSM CAPITAL PARTNERS O85 ARMATURE CAPITAL HOLLIS CAPITAL HOLLIS CAPITAL LATEEF MGMT DSM CAPITAL PARTNERS SCOPUS FUND DSM CAPITAL PARTNERS O85 SCOPUS FUND DSM CAPITAL PARTNERS O85 WESTFACE CAPTAL O40 PENNANT CAP MGMT O29	TUDOR INVESTORS O28 LECO SUFFOLK CAPITAL MGMT O40 LSCC BALYASNY ASSET MGMT O44 LTD DSM CAPITAL PARTNERS O85 UNITED STATES PENSION O85 MKC DSM CAPITAL PARTNERS O85 MON ARMATURE CAPITAL O41 MWV HOLLIS CAPITAL O33 M WESTFACE CAPTAL O40 OIH LATEEF MGMT O35 OI SCOPUS FUND O41 PAG DSM CAPITAL PARTNERS O85 PCP WESTFACE CAPTAL O40 PDS PENNANT CAP MGMT O29 PFE	TUDOR INVESTORS 028 LECO SS SUFFOLK CAPITAL MGMT 040 LSCC B BALYASNY ASSET MGMT 044 LTD C DSM CAPITAL PARTNERS 085 LVS S UNITED STATES PENSION 085 MKC S DSM CAPITAL PARTNERS 085 MON S ARMATURE CAPITAL 041 MWV B HOLLIS CAPITAL 033 M S WESTFACE CAPTAL 040 OIH SS LATEEF MGMT 035 OI B SCOPUS FUND 041 PAG B DSM CAPITAL PARTNERS 085 PCP S WESTFACE CAPTAL 040 PDS B PENNANT CAP MGMT 029 PFE S	TUDOR INVESTORS 028 LECO SS 3,000 SUFFOLK CAPITAL MGMT 040 LSCC B 50,000 BALYASNY ASSET MGMT 044 LTD C 10,000 DSM CAPITAL PARTNERS 085 LVS S 12,050 UNITED STATES PENSION 085 MKC S 5,435 DSM CAPITAL PARTNERS 085 MON S 9,850 ARMATURE CAPITAL 041 MWV B 25,000 HOLLIS CAPITAL 033 M S 5,000 WESTFACE CAPTAL 040 OIH SS 100,000 LATEEF MGMT 035 OI B 500 SCOPUS FUND 041 PAG B 10,000 DSM CAPITAL PARTNERS 085 PCP S 3,050 WESTFACE CAPTAL 040 PDS B 200,000 PENNANT CAP MGMT 029 PFE S 400,000	TUDOR INVESTORS 028 LECO SS 3,000 46.74 SUFFOLK CAPITAL MGMT 040 LSCC B 50,000 3.99 BALYASNY ASSET MGMT 044 LTD C 10,000 51.51 DSM CAPITAL PARTNERS 085 LVS S 12,050 47.55 UNITED STATES PENSION 085 MKC S 5,435 64.86 DSM CAPITAL PARTNERS 085 MON S 9,850 90.89 ARMATURE CAPITAL 041 MWV B 25,000 30.80 HOLLIS CAPITAL 033 M S 5,000 38.39 WESTFACE CAPTAL 040 OIH SS 100,000 38.77 LATEEF MGMT 035 OI B 500 19.53 SCOPUS FUND 041 PAG B 10,000 29.13 DSM CAPITAL PARTNERS 085 PCP S 3,050 182.62 WESTFACE CAPTAL 040 PDS B 200,000 7.48 PENNANT CAP MGMT 029 PFE S 400,000 25.22	TUDOR INVESTORS 028 LECO SS 3,000 46.74 n/a SUFFOLK CAPITAL MGMT 040 LSCC B 50,000 3.99 n/a BALYASNY ASSET MGMT 044 LTD C 10,000 51.51 n/a DSM CAPITAL PARTNERS 085 LVS S 12,050 47.55 n/a UNITED STATES PENSION 085 MKC S 5,435 64.86 n/a DSM CAPITAL PARTNERS 085 MON S 9,850 90.89 n/a ARMATURE CAPITAL 041 MWV B 25,000 30.80 n/a HOLLIS CAPITAL 033 M S 5,000 38.39 n/a WESTFACE CAPTAL 040 OIH SS 100,000 38.77 n/a LATEEF MGMT 035 OI B 500 19.53 n/a SCOPUS FUND 041 PAG B 10,000 29.13 n/a DSM CAPITAL PARTNERS 085 PCP S 3,050 182.62 n/a WESTFACE CAPTAL 040 PDS B 200,000 7.48 n/a PENNANT CAP MGMT 029 PFE S 400,000 25.22 n/a	TUDOR INVESTORS 028 LECO SS 3,000 46.74 n/a n/a SUFFOLK CAPITAL MGMT 040 LSCC B 50,000 3.99 n/a n/a BALYASNY ASSET MGMT 044 LTD C 10,000 51.51 n/a n/a DSM CAPITAL PARTNERS 085 LVS S 12,050 47.55 n/a 13-Jun UNITED STATES PENSION 085 MKC S 5,435 64.86 n/a n/a DSM CAPITAL PARTNERS 085 MON S 9,850 90.89 n/a 8-Oct ARMATURE CAPITAL 041 MWV B 25,000 30.80 n/a 24-Oct HOLLIS CAPITAL 033 M S 5,000 38.39 n/a 30-Nov WESTFACE CAPTAL 040 0IH SS 100,000 38.77 n/a n/a LATEEF MGMT 035 0I B 500 19.53 n/a n/a SCOPUS FUND 041 PAG B 10,000 29.13 n/a 5-Nov DSM CAPITAL PARTNERS 085 PCP S 3,050 182.62 n/a 16-Nov WESTFACE CAPTAL 040 PDS B 200,000 7.48 n/a n/a PENNANT CAP MGMT 029 PFE S 400,000 25.22 n/a n/a	TUDOR INVESTORS 028 LECO SS 3,000 46.74

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
DSM CAPITAL PARTNERS	085	PM	S	3,350	90.22	n/a	n/a	167.50	0.0
IMPALA ASSET MMT	040	PPG	В	•	122.33	n/a	14-Nov	9,485.00	5.0
IMPALA ASSET MMT	040	PPG	S	189 , 700	122.30	n/a	14-Nov	9,485.00	5.0
WESTFACE CAPTAL	040	PTEN	SS	115,000	17.70	n/a	n/a	3,450.00	3.0
SUFFOLK CAPITAL MGMT	040	RDEN	В	1,500	46.54	n/a	9-Nov	60.00	0.0
LATEEF MGMT	035	RDSB	В	250	69.30	n/a	n/a	42.50	17.0
TUDOR INVESTORS	028	RFP	SS	5,000	11.77	n/a	n/a	150.00	3.0
PORTER-ORLIN	044	SAM	В	1,200	112.65	n/a	n/a	48.00	4.0
DSM CAPITAL PARTNERS	085	SBUX	S	9,150	51.87	n/a	3-Dec	457.50	0.0
DSM CAPITAL PARTNERS	085	SHPG	S	3,450	87.28	n/a	3-Dec	172.50	0.0
DSM CAPITAL PARTNERS	085	SLB	S	5,200	71.93	n/a	n/a	260.00	0.0
TUDOR INVESTORS	028	SPW	В	5,000	68.39	n/a	n/a	150.00	3.0
WAGONHOUND/NICOLAS	033	ST	В	9,818	30.32	n/a	n/a	392.72	0.0
LATEEF MGMT	035	TEVA	S	525	40.58	n/a	3-Dec	52.50	10.0
DSM CAPITAL PARTNERS	085	TJX	S	11,450	44.31	n/a	30-Nov	572.50	0.0
TUDOR INVESTORS	028	TRW	S	5,000	51.09	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/	Shr.
DSM CAPITAL PARTNERS	085	UNP	S	3,950	122.28	n/a	n/a	197.50	0.0
DSM CAPITAL PARTNERS	085	UN	S	7,150	38.14	n/a	n/a	357.50	0.0
DSM CAPITAL PARTNERS	085	V	S	3 , 750	149.88	n/a	27-Nov	187.50	0.0
LOMAS CAPITAL	040	WGO	S	26,200	13.83	n/a	n/a	786.00	3.0
TUDOR INVESTORS	028	WNC	SS	5,000	8.15	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	WY	В	799 , 858	27.64	n/a	30-Nov	31,994.32	4.0
IMPALA ASSET MMT	040	WY	S	799 , 858	27.63	n/a	30-Nov	31,994.32	4.0
DSM CAPITAL PARTNERS	085	YUM	S	8,000	67.43	n/a	3-Dec	400.00	0.0

TOTAL (Trade Date): 162,288.55

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CRT	12/03	HARVEST MGMT (JMP) (HARVGSCO)	029	ARO	В	30,000	14.06	n/a	n/a	1200.00	4.0
AO,CXL	11/30	CASTLEROCK (CASTUBS)	040	IP	В	7,500	37.15	n/a	25-Oct	300.00	0.0
AO,CXL	11/29	M&I FUNDS (MIFD150)	047	MAT	S	515	37.00	n/a	n/a	20.60	0.0
AO, CRT	11/29	M&I FUNDS (MIFD150)	047	MAT	S	343	37.00	n/a	n/a	13.72	4.0
AO,CXL	11/29	M&I FUNDS (MIFDMAIN)	047	MAT	S	343	37.00	n/a	n/a	13.72	0.0
AO,CRT	11/29	M&I FUNDS (MIFDMAIN)	047	MAT	S	515	37.00	n/a	n/a	20.60	4.0
AO,CXL	11/30	UNITED STATES PENSION (USXXUSE)	085	MKC	S	14,160	64.44	n/a	n/a	708.00	5.0
AO,CRT	11/30	UNITED STATES PENSION (USXXUSE)	085	MKC	S	14,160	64.44	n/a	n/a	566.40	4.0
TOTAL	(AO, (CXL, CRT):								758.40	

TOTAL (RUN DATE) / NFS:	163,046.95
TOTAL (AO, CXL, CRT):	758.40
TOTAL (Trade Date):	162,288.55

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