

Daily Compliance Activity Report Trade Date: 09/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| _ | | TOTENTIAL AUXELOT | | | | TRUBE VIOLATIONS. | | | | |
|---|--|-------------------|------------|---------------|------------------------|-------------------|-------------------|------------|------------------|------|
| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
| | HIGHBRIDGE CAP | 041 | AA | В | 28,000 | 8.92 | n/a | n/a | 560.00 | 2.0 |
| | ROYCE TRADING | 031 | AEO | В | 5,000 | 20.95 | n/a | 2-Dec | 250.00 | 0.0 |
| | KLEINHEINZ CAP PART | 031 | AN | S | 75,000 | 43.10 | n/a | 20-Jul | 3,750.00 | 5.0 |
| | CYRUS CAPITAL | 025 | AWI | S | 7,000 | 45.60 | n/a | n/a | 210.00 | 3.0 |
| õ | ARSENAL ASSET MANAGEMENT Nilsa Vazquez | 028 | AXL | В В | 30,000 350 1 | 11.26 1.0240 | n/a n/a | 30-Jul | 1,200.00 | 0.0 |
| | BRONSON POINT | 036 | AXP | С | 40,000 | 56.49 | n/a | 20-Sep | 1,200.00 | 0.0 |
| | BASSWOOD PARTNERS | 267 | CHRW | SS | 3,300 | 59.48 | n/a | n/a | 132.00 | 0.0 |
| | SENATOR INVESTMENT GROUP | 036 | COF | В | 35,000 | 55.44 | n/a | 20-Sep | 1,050.00 | 3.0 |
| | VISIUM/BALY BOBBY | 044 | CP | В | 15 , 295 | 83.75 | n/a | n/a | 764.75 | 0.0 |
| | PERIMETER | 273 | CRL | В | 2 , 690 | 37.56 | n/a | n/a | 107.60 | 0.0 |
| | CHESAPEAKE PARTNERS PERIMETER | 028 273 | DGI DGI | B B | 24,525 3,640 | 20.61 | n/a n/a | n/a n/a | 735.75 145.60 | 3.0 |
| | CHESAPEAKE PARTNERS | 028 | ETFC | В | 10,000 | 8.65 | n/a | n/a | 300.00 | 3.0 |
| | BAIRD INVESTMENT | 047 | ETN | В | 9,800 | 46.25 | n/a | 26-Sep | 490.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|--------------------------|------|--------|-----|---------|-------|-----|----------|----------|--------|
| CASTLEROCK | 040 | FINL | В | 15,000 | 22.49 | n/a | 21-Sep | 600.00 | 0.0 |
| ROYCE TRADING | 031 | FINL | В | 9,000 | 22.46 | n/a | 21-Sep | 450.00 | 0.0 |
| SAC CHICAGO ANDREW | 031 | FINL | В | 50,000 | 22.50 | n/a | 21-Sep | 1,750.00 | 3.5 |
| VISIUM/BALY BOBBY | 044 | FLR | В | 3,000 | 55.97 | n/a | n/a | 150.00 | 0.0 |
| STANDARD PACIFIC CAPITAL | 084 | FMCN | S | 179,100 | 23.24 | n/a | n/a | 8,955.00 | 5.0 |
| LATEEF MGMT | 035 | FMER | В | 625 | 14.79 | n/a | n/a | 62.50 | 10.0 |
| BAIRD INVESTMENT | 047 | FTNT | В | 11,850 | 21.82 | n/a | n/a | 592.50 | 0.0 |
| FORTRESS INVESTMENT (US) | 036 | GE | В | 135,000 | 22.17 | n/a | n/a | 2,700.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | GM | В | 10,000 | 22.96 | n/a | 25-Sep | 500.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | В | 15,000 | 35.70 | n/a | 24-Sep | 750.00 | 5.0 |
| BASSWOOD PARTNERS | 267 | ITW | SS | 7,600 | 59.47 | n/a | n/a | 304.00 | 0.0 |
| METROPOLITAN CAPITAL | 044 | JAKK | S | 22,905 | 14.13 | n/a | n/a | 1,145.25 | 5.0 |
| BASSWOOD PARTNERS | 267 | JWN | SS | 4,400 | 54.79 | n/a | 31-Aug | 176.00 | 0.0 |
| BASSWOOD PARTNERS | 267 | KMX | SS | 14,300 | 28.28 | n/a | n/a | 572.00 | 0.0 |
| RIDGECREST INV MGMT LLC | 028 | KORS | S | 2,500 | 52.11 | n/a | n/a | 100.00 | 4.0 |
| CYRUS CAPITAL | 025 | KRO | SS | 10,000 | 14.90 | n/a | n/a | 300.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | /Shr. |
|---------------------------|--|--|---|---|---|---|---|---|--|
| NOMURA/ANGEL LANE PRINCIP | AL040 | KSS | В | 30,000 | 51.39 | n/a | 31-Aug | 900.00 | 3.0 |
| SANDLER O'NEILL ASSET | 031 | LAZ | В | 12,900 | 28.60 | n/a | 5-Sep | 645.00 | 5.0 |
| WOOSTER CAPITAL | 035 | LEA | В | 10,000 | 37.48 | n/a | 3-Aug | 500.00 | 5.0 |
| BRONSON POINT | 036 | LM | С | 37 , 500 | 24.83 | n/a | 2-Mar | 1,125.00 | 0.0 |
| DISIPLINED GROWTH INV. | 030 | LTD | В | 4,000 | 49.06 | n/a | n/a | 200.00 | 0.0 |
| DISIPLINED GROWTH INV. | 030 | MIDD | В | 1,300 | 115.90 | n/a | n/a | 65.00 | 0.0 |
| PARKWEST | 084 | MINI | В | 27 , 767 | 16.77 | n/a | n/a | 1,110.68 | 4.0 |
| BASSWOOD PARTNERS | 267 | MSM | SS | 2,200 | 70.37 | n/a | n/a | 88.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | MWV | В | 40,000 | 30.49 | n/a | 25-Jul | 2,000.00 | 5.0 |
| LEVIN CAPITAL STRATEGIES | 041 | М | S | 20,150 | 37.75 | n/a | 31-Aug | 604.50 | 0.0 |
| HIGHBRIDGE CAP | 041 | NSC | SS | 3 , 500 | 64.49 | n/a | n/a | 105.00 | 3.0 |
| STANDARD PACIFIC CAPITAL | 084 | PCAR | В | 125,000 | 39.81 | n/a | 12-Sep | 6,250.00 | 5.0 |
| STANDARD PACIFIC CAPITAL | 084 | РН | SS | 55 , 000 | 82.21 | n/a | n/a | 2,750.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | PLL | SS | 20,000 | 63.16 | n/a | n/a | 1,000.00 | 0.0 |
| MACELLUM CAPITAL | 086 | PVH | В | 7 , 720 | 92.62 | n/a | 29-Aug | 231.60 | 3.0 |
| | NOMURA/ANGEL LANE PRINCIP SANDLER O'NEILL ASSET WOOSTER CAPITAL BRONSON POINT DISIPLINED GROWTH INV. PARKWEST BASSWOOD PARTNERS CSFB GLOBAL PROPRIETARY LEVIN CAPITAL STRATEGIES HIGHBRIDGE CAP STANDARD PACIFIC CAPITAL BALYASNY ASSET MGMT | NOMURA/ANGEL LANE PRINCIPALO40 SANDLER O'NEILL ASSET 031 WOOSTER CAPITAL 035 BRONSON POINT 036 DISIPLINED GROWTH INV. 030 PARKWEST 084 BASSWOOD PARTNERS 267 CSFB GLOBAL PROPRIETARY 041 LEVIN CAPITAL STRATEGIES 041 HIGHBRIDGE CAP 041 STANDARD PACIFIC CAPITAL 084 BALYASNY ASSET MGMT 044 | NOMURA/ANGEL LANE PRINCIPALO40 KSS SANDLER O'NEILL ASSET 031 LAZ WOOSTER CAPITAL 035 LEA BRONSON POINT 036 LM DISIPLINED GROWTH INV. 030 LTD DISIPLINED GROWTH INV. 030 MIDD PARKWEST 084 MINI BASSWOOD PARTNERS 267 MSM CSFB GLOBAL PROPRIETARY 041 MWV LEVIN CAPITAL STRATEGIES 041 M HIGHBRIDGE CAP 041 NSC STANDARD PACIFIC CAPITAL 084 PCAR STANDARD PACIFIC CAPITAL 084 PH BALYASNY ASSET MGMT 044 PLL | NOMURA/ANGEL LANE PRINCIPALO40 KSS B SANDLER O'NEILL ASSET 031 LAZ B WOOSTER CAPITAL 035 LEA B BRONSON POINT 036 LM C DISIPLINED GROWTH INV. 030 LTD B DISIPLINED GROWTH INV. 030 MIDD B PARKWEST 084 MINI B BASSWOOD PARTNERS 267 MSM SS CSFB GLOBAL PROPRIETARY 041 MWV B LEVIN CAPITAL STRATEGIES 041 M S HIGHBRIDGE CAP 041 NSC SS STANDARD PACIFIC CAPITAL 084 PCAR B STANDARD PACIFIC CAPITAL 084 PH SS BALYASNY ASSET MGMT 044 PLL SS | NOMURA/ANGEL LANE PRINCIPALO40 KSS B 30,000 SANDLER O'NEILL ASSET 031 LAZ B 12,900 WOOSTER CAPITAL 035 LEA B 10,000 BRONSON POINT 036 LM C 37,500 DISIPLINED GROWTH INV. 030 LTD B 4,000 DISIPLINED GROWTH INV. 030 MIDD B 1,300 PARKWEST 084 MINI B 27,767 BASSWOOD PARTNERS 267 MSM SS 2,200 CSFB GLOBAL PROPRIETARY 041 MWV B 40,000 LEVIN CAPITAL STRATEGIES 041 M S 20,150 HIGHBRIDGE CAP 041 NSC SS 3,500 STANDARD PACIFIC CAPITAL 084 PCAR B 125,000 STANDARD PACIFIC CAPITAL 084 PH SS 55,000 BALYASNY ASSET MGMT 044 PLL SS 20,000 | NOMURA/ANGEL LANE PRINCIPALO40 KSS B 30,000 51.39 SANDLER O'NEILL ASSET 031 LAZ B 12,900 28.60 WOOSTER CAPITAL 035 LEA B 10,000 37.48 BRONSON POINT 036 LM C 37,500 24.83 DISIPLINED GROWTH INV. 030 LTD B 4,000 49.06 DISIPLINED GROWTH INV. 030 MIDD B 1,300 115.90 PARKWEST 084 MINI B 27,767 16.77 BASSWOOD PARTNERS 267 MSM SS 2,200 70.37 CSFB GLOBAL PROPRIETARY 041 MWV B 40,000 30.49 LEVIN CAPITAL STRATEGIES 041 M S 20,150 37.75 HIGHBRIDGE CAP 041 NSC SS 3,500 64.49 STANDARD PACIFIC CAPITAL 084 PCAR B 125,000 39.81 STANDARD PACIFIC CAPITAL 084 PH SS 55,000 82.21 BALYASNY ASSET MGMT 044 PLL SS 20,000 63.16 | NOMURA/ANGEL LANE PRINCIPALO40 KSS B 30,000 51.39 n/a SANDLER O'NEILL ASSET 031 LAZ B 12,900 28.60 n/a WOOSTER CAPITAL 035 LEA B 10,000 37.48 n/a BRONSON POINT 036 LM C 37,500 24.83 n/a DISIPLINED GROWTH INV. 030 LTD B 4,000 49.06 n/a DISIPLINED GROWTH INV. 030 MIDD B 1,300 115.90 n/a PARKWEST 084 MINI B 27,767 16.77 n/a BASSWOOD PARTNERS 267 MSM SS 2,200 70.37 n/a CSFB GLOBAL PROPRIETARY 041 MWV B 40,000 30.49 n/a LEVIN CAPITAL STRATEGIES 041 M S 20,150 37.75 n/a HIGHBRIDGE CAP 041 NSC SS 3,500 64.49 n/a STANDARD PACIFIC CAPITAL 084 PCAR B 125,000 39.81 n/a STANDARD PACIFIC CAPITAL 084 PH SS 55,000 82.21 n/a BALYASNY ASSET MGMT 044 PLL SS 20,000 63.16 n/a | NOMURA/ANGEL LANE PRINCIPALO40 KSS B 30,000 51.39 n/a 31-Aug SANDLER O'NEILL ASSET 031 LAZ B 12,900 28.60 n/a 5-Sep WOOSTER CAPITAL 035 LEA B 10,000 37.48 n/a 3-Aug BRONSON POINT 036 LM C 37,500 24.83 n/a 2-Mar DISIPLINED GROWTH INV. 030 LTD B 4,000 49.06 n/a n/a DISIPLINED GROWTH INV. 030 MIDD B 1,300 115.90 n/a n/a PARKWEST 084 MINI B 27,767 16.77 n/a n/a n/a BASSWOOD PARTNERS 267 MSM SS 2,200 70.37 n/a n/a CSFB GLOBAL PROPRIETARY 041 MWV B 40,000 30.49 n/a 25-Jul LEVIN CAPITAL STRATEGIES 041 M S 20,150 37.75 n/a 31-Aug HIGHBRIDGE CAP 041 NSC SS 3,500 64.49 n/a n/a STANDARD PACIFIC CAPITAL 084 PCAR B 125,000 39.81 n/a 12-Sep STANDARD PACIFIC CAPITAL 084 PH SS 55,000 82.21 n/a n/a BALYASNY ASSET MGMT 044 PLL SS 20,000 63.16 n/a n/a | NOMURA/ANGEL LANE PRINCIPALO40 KSS B 30,000 51.39 n/a 31-Aug 900.00 SANDLER O'NEILL ASSET 031 LAZ B 12,900 28.60 n/a 5-Sep 645.00 WOOSTER CAPITAL 035 LEA B 10,000 37.48 n/a 3-Aug 500.00 BRONSON POINT 036 LM C 37,500 24.83 n/a 2-Mar 1,125.00 DISIPLINED GROWTH INV. 030 LTD B 4,000 49.06 n/a n/a 200.00 DISIPLINED GROWTH INV. 030 MIDD B 1,300 115.90 n/a n/a 65.00 PARKWEST 084 MINI B 27,767 16.77 n/a n/a n/a 88.00 CSFB GLOBAL PROPRIETARY 041 MWV B 40,000 30.49 n/a 25-Jul 2,000.00 LEVIN CAPITAL STRATEGIES 041 M S 20,150 37.75 n/a 31-Aug 604.50 HIGHBRIDGE CAP 041 NSC SS 3,500 64.49 n/a 12-Sep 6,250.00 STANDARD PACIFIC CAPITAL 084 PH SS 55,000 82.21 n/a n/a 1,000.00 BALYASNY ASSET MGMT 044 PLL SS 20,000 63.16 n/a n/a 1,000.00 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. |
|-------------------------|------|--------|-----|-----------------|--------|-----|----------|----------|--------|
| DISIPLINED GROWTH INV. | 030 | RCL | В | 2,900 | 29.95 | n/a | n/a | 145.00 | 0.0 |
| MACELLUM CAPITAL | 086 | RUE | SS | 11,760 | 30.32 | n/a | n/a | 352.80 | 3.0 |
| RIDGECREST INV MGMT LLC | 028 | SPY | В | 10,000 | 143.63 | n/a | n/a | 400.00 | 4.0 |
| VISIUM/BALY BOBBY | 044 | SWFT | В | 10,000 | 8.54 | n/a | n/a | 400.00 | 0.0 |
| NEW JERSEY DIV OF INV. | 030 | TGI | S | 10,000 | 61.35 | n/a | n/a | 400.00 | 4.0 |
| SAC CHICAGO ANDREW | 031 | TGT | S | 30,000 | 63.99 | n/a | 30-Aug | 1,050.00 | 3.5 |
| BRONSON POINT | 036 | TIF | В | 25,000 | 61.61 | n/a | n/a | 750.00 | 0.0 |
| DISIPLINED GROWTH INV. | 030 | TJX | В | 7,400 | 44.51 | n/a | 31-Aug | 370.00 | 0.0 |
| BRONSON POINT | 036 | TYC | S | 25,000 | 54.69 | n/a | 3-Aug | 750.00 | 0.0 |
| VISIUM/BALY BOBBY | 044 | UNP | S | 10,640 | 119.06 | n/a | n/a | 532.00 | 0.0 |
| HIGHBRIDGE CAP | 041 | USG | В | 11,500 | 21.75 | n/a | 1-Aug | 345.00 | 3.0 |
| VISIUM/BALY BOBBY | 044 | WBC | В | 5,000 | 56.03 | n/a | 29-Aug | 250.00 | 0.0 |
| INVESCO | 031 | WMT | В | 57 , 724 | 74.50 | n/a | 17-Aug | 2,308.96 | 0.0 |
| HIGHBRIDGE CAP | 041 | XLV | SS | 50,000 | 40.19 | n/a | n/a | 1,000.00 | 2.0 |
| HIGHBRIDGE CAP | 041 | X | В | 13,000 | 19.61 | n/a | n/a | 390.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------------------|------|--------|-----|--------|-------|-----|----------|--------------|
| TUDOR INVESTORS | 028 | ZUMZ | SS | 37,500 | 26.52 | n/a | n/a | 1,125.00 3.0 |
| OTAL (Trade Date): | | | | | | | | 58,146.49 |

Cancel/Corrects and As-Of Trades

| Туре | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|-------|--------|------------------------------|------|--------|-----|--------|-------|-----|----------|---------|--------|
| CRT | 09/26 | WOOSTER CAPITAL (WOOSGOLDMA) | 035 | LEA | В | 10,000 | 37.48 | n/a | 3-Aug | 500.00 | 5.0 |
| CRT | 09/26 | HIGHBRIDGE CAP (HIBCCSFB) | 041 | XLV | SS | 50,000 | 40.19 | n/a | n/a | 1000.00 | 2.0 |
| TOTAL | (AO, 0 | CXL, CRT): | | | | | | | 1, | 500.00 | |

| TOTAL (RUN DATE) / NFS: | 59,646.49 |
|-------------------------|-----------|
| TOTAL (AO, CXL, CRT): | 1,500.00 |
| TOTAL (Trade Date): | 58,146.49 |

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