



Daily Compliance Activity Report

Trade Date: 12/10/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| HIGHBRIDGE CAP | 041 | AGCO | S | 16,250 | 46.28 | n/a | n/a | 487.50 | 3.0 |
| PATTEN & PATTEN | 025 | AMLPG | S | 1,500 | 15.98 | n/a | n/a | 75.00 | 5.0 |
| CAPITAL WORLD | 084 | AMZN | B | 213,527 | 249.38 | n/a | n/a | 7,473.45 | 0.0 |
| FRONTIER | 029 | APH | B | 44,400 | 61.88 | n/a | n/a | 1,776.00 | 0.0 |
| PATTEN & PATTEN | 025 | BTO | B | 500 | 17.37 | n/a | n/a | 25.00 | 5.0 |
| BNP PARIBAS SEC | 040 | BTU | B | 10,000 | 27.01 | n/a | n/a | 300.00 | 3.0 |
| JP MORGAN VENTURES | 046 | COH | S | 16,000 | 57.27 | n/a | 5-Nov | 640.00 | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | COP | B | 10,000 | 57.80 | n/a | n/a | 400.00 | 4.0 |
| EPOCH INV MGMT | 030 | DELL | S | 365,800 | 10.63 | n/a | n/a | 10,974.00 | 0.0 |
| PATTEN & PATTEN | 025 | EFA | B | 1,000 | 55.55 | n/a | n/a | 50.00 | 5.0 |
| RAINIER INV MGMT | 035 | GCO | S | 27,560 | 53.21 | n/a | n/a | 1,102.40 | 0.0 |
| PARKWEST | 084 | GEO | S | 25,000 | 27.39 | n/a | n/a | 1,000.00 | 4.0 |
| SCOPUS FUND | 041 | GME | S | 25,000 | 27.41 | n/a | n/a | 1,000.00 | 4.0 |
| OSKIE CAPITAL MGMT | 224 | GM | B | 35,000 | 25.28 | n/a | 4-Dec | 1,750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | | |
|-------------------------|------|--------|-----|---------|---------|-------|----------|-------------|----------|-----|
| SYMPHONY ASSET | 033 | HPQ | C | 19,330 | 14.33 | n/a | n/a | 579.90 | 0.0 | |
| PROSPECTOR PARTNERS LLC | 036 | HSP | B | 10,000 | 31.96 | n/a | 10-Dec | 400.00 | 4.0 | |
| PATTEN & PATTEN | 025 | IJR | B | 750 | 76.55 | n/a | n/a | 37.50 | 5.0 | |
| BNP PARIBAS SEC | 040 | IP | SS | 25,000 | 36.24 | n/a | 6-Dec | 750.00 | 3.0 | |
| HIGHBRIDGE CAP | 041 | MAS | B | 16,000 | 15.95 | n/a | n/a | 480.00 | 3.0 | |
| LATEEF MGMT | 035 | MMM | S | 750 | 92.19 | n/a | 15-Nov | 90.00 | 12.0 | |
| HOLLIS CAPITAL | 033 | NVDA | B | 5,000 | 12.40 | n/a | n/a | 250.00 | 5.0 | |
| SUFFOLK CAPITAL MGMT | 040 | PFE | B | 30,900 | 25.45 | n/a | n/a | 1,236.00 | 0.0 | |
| PATTEN & PATTEN | 025 | PKB | B | 3,000 | 16.81 | n/a | n/a | 150.00 | 5.0 | |
| TUDOR INVESTORS | 028 | ROST | SS | 12,500 | 55.60 | n/a | 30-Nov | 375.00 | 3.0 | |
| SUFFOLK CAPITAL MGMT | 040 | SLB | B | 40,100 | 71.90 | n/a | n/a | 1,604.00 | 0.0 | |
| ROSEDALE CAPITAL | 046 | STLD | B | 10,000 | 12.74 | n/a | n/a | 400.00 | 4.0 | |
| SHEFFIELD ASSET MGMT | 031 | SWY | B | 150,000 | 17.93 | n/a | n/a | 4,500.00 | 3.0 | |
| CAPITAL RESEARCH GROUP | | 296 | UAL | B | 112,093 | 20.80 | n/a | 10-Dec | 3,923.26 | 0.0 |
| BNP PARIBAS SEC | 040 | WY | B | 20,000 | 27.38 | n/a | 7-Dec | 600.00 | 3.0 | |

TOTAL (Trade Date):

42,429.01

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---|------|--------|-----|--------|--------|-----|----------|-------------|
| AO, | 12/07 | MILLENNIUM PARTNERS ICSUS/BAHN (BAHNDB)028 | GS | B | | 3,600 | 116.92 | n/a | 4-Dec | 144.00 0.0 |
| AO,CXL | 12/07 | MILLENNIUM PARTNERS ICSUS/BAHN (BAHNGSICS)028 | GS | B | | 3,600 | 116.92 | n/a | 4-Dec | 144.00 0.0 |
| AO, | 12/07 | MILLENNIUM PARTNERS ICSUS/BAHN (BAHNDB)028 | MS | SS | | 29,500 | 16.96 | n/a | 4-Dec | 1180.00 0.0 |
| AO,CXL | 12/07 | MILLENNIUM PARTNERS ICSUS/BAHN (BAHNGSICS)028 | MS | SS | | 29,500 | 16.96 | n/a | 4-Dec | 1180.00 0.0 |
| AO, | 12/07 | COLUMBUS CIRCLE (COLC5000) | 036 | TSCO | S | 1,100 | 84.99 | n/a | n/a | 44.00 0.0 |

| | |
|-------------------------------|--------------|
| TOTAL (AO, CXL, CRT) : | 44.00 |
|-------------------------------|--------------|

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 42,429.01 |
| TOTAL (AO, CXL, CRT) : | 44.00 |

| | |
|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 42,473.01 |
|---------------------------------|------------------|

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