



Daily Compliance Activity Report

Trade Date: 07/25/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| COLUMBUS CIRCLE | 036 | ALXN | B | 1,267 | 101.87 | n/a | n/a | 50.68 | 0.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | AOS | S | 61,300 | 49.18 | n/a | 19-Jul | 1,839.00 | 0.0 |
| CYPRESS CAP MGMT LLC | 040 | BBY | S | 40,500 | 17.74 | n/a | n/a | 1,620.00 | 4.0 |
| DELTEC ASSET MGMT. | 040 | BRCM | S | 20,000 | 33.73 | n/a | n/a | 1,000.00 | 5.0 |
| DELTEC ASSET MGMT. | 040 | CELG | S | 5,000 | 65.71 | n/a | n/a | 250.00 | 5.0 |
| KAYNE ANDERSON ADV | 084 | CNS | B | 21,600 | 32.68 | n/a | n/a | 864.00 | 0.0 |
| PLATTE RIVER CAPITAL | 240 | DAL | S | 17,000 | 9.47 | n/a | n/a | 680.00 | 0.0 |
| ACK ASSET | 028 | DAN | B | 135,000 | 11.47 | n/a | 26-Apr | 4,050.00 | 0.0 |
| COOPER CREEK PART | 028 | DRI | B | 10,000 | 49.02 | n/a | 13-Jul | 400.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | FTI | B | 12,000 | 41.70 | n/a | n/a | 360.00 | 3.0 |
| OZ MGMT | 040 | F | C | 100,000 | 9.01 | n/a | 17-Jul | 3,000.00 | 0.0 |
| PHILADELPHIA FINANCIAL | 033 | F | C | 52,477 | 8.99 | n/a | 17-Jul | 2,099.08 | 0.0 |
| KAYNE ANDERSON ADV | 084 | HAE | B | 6,000 | 73.66 | n/a | n/a | 240.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 15,000 | 31.27 | n/a | 20-Jul | 750.00 | 5.0 |
| HIGHBRIDGE CAP | 041 | ITW | B | 5,000 | 52.53 | n/a | n/a | 150.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|-------------|----------|--------------|----------------|------------|---------------|---------------|------------|
| SIMMONS VENTURES | 041 | JNY | SS | 10,000 | 10.03 | n/a | 18-Jul | 400.00 | 4.0 |
| HOTCHKIS & WILEY | 035 | KMB | S | 276,700 | 83.67 | n/a | 23-Apr | 11,068.00 | 0.0 |
| NEWLAND CAPITAL MGT | 025 | KMB | SS | 10,000 | 83.53 | n/a | 23-Apr | 400.00 | 4.0 |
| DAVIDSON INV ADV | 035 | LL | S | 40,227 | 39.47 | n/a | n/a | 1,609.08 | 4.0 |
| Õ Nilsa Vazquez | | LRCX | B | 150 | 34.2160 | n/a | n/a | 0.00 | 0.0 |
| CAISSE DEPOT PLACEMENT Q | 295 | MCD | SS | 20,000 | 88.01 | n/a | 23-Jul | 1,000.00 | 5.0 |
| ARSENAL ASSET MANAGEMENT | 028 | MLM | S | 5,000 | 81.40 | n/a | n/a | 200.00 | 0.0 |
| STANDARD PACIFIC CAPITAL | 084 | MOS | S | 205,144 | 57.19 | n/a | n/a | 10,257.20 | 5.0 |
| FARALLON CAP MGMT | 040 | MSFT | S | 125,000 | 29.04 | n/a | n/a | 3,750.00 | 3.0 |
| BALLAST CAP | 040 | MSI | S | 8,100 | 47.73 | n/a | n/a | 405.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | MWV | SS | 16,374 | 28.56 | n/a | 25-Jul | 818.70 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | MWV | S | 13,626 | 28.57 | n/a | 25-Jul | 681.30 | 5.0 |
| GEORGE WEISS | 034 | MWV | SS | 6,400 | 28.32 | n/a | 25-Jul | 256.00 | 0.0 |
| JP MORGAN VENTURES | 046 | M | B | 20,000 | 34.96 | n/a | 6-Jul | 800.00 | 4.0 |
| HOTCHKIS & WILEY | 035 | NOC | S | 250,000 | 63.93 | n/a | 20-Jul | 10,000.00 | 0.0 |
| STANDARD PACIFIC CAPITAL | 084 | PCAR | SS | 86,800 | 37.64 | n/a | 11-Jul | 4,340.00 | 5.0 |
| MATRIX ASSET ADV. | 091 | PG | B | 2,700 | 64.25 | n/a | 20-Jun | 108.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------|--------|-----|--------|---------|-----|----------|------------------|-----|
| CSFB GLOBAL PROPRIETARY | 041 | PKG | B | 20,000 | 30.38 | n/a | 20-Jul | 1,000.00 | 5.0 |
| RAINIER INV MGMT | 035 | PX | S | 44,900 | 102.86 | n/a | 25-Jul | 1,796.00 | 0.0 |
| COOPER CREEK PART | 028 | RKT | B | 28,970 | 57.45 | n/a | 20-Jul | 1,158.80 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | RKT | B | 40,000 | 59.73 | n/a | 20-Jul | 2,000.00 | 5.0 |
| OZ MGMT | 040 | RKT | B | 9,008 | 57.28 | n/a | 20-Jul | 270.24 | 0.0 |
| PECONIC PARTNERS | 036 | RRC | C | 50,000 | 60.29 | n/a | 23-Jul | 2,500.00 | 0.0 |
| FIRST NEW YORK LEDDY | 035 | S | S | 20,000 | 3.44 | n/a | n/a | 1,200.00 | 6.0 |
| TOCQUEVILLE | 035 | TMS | B | 5,800 | 9.53 | n/a | n/a | 290.00 | 0.0 |
| Õ Nilsa Vazquez | | TRN | B | 125 | 22.4760 | n/a | n/a | 0.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | WFT | B | 25,000 | 11.66 | n/a | n/a | 1,000.00 | 4.0 |
| TOTAL (Trade Date) : | | | | | | | | 74,661.08 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|------------------------------|------|--------|-----|---------|-------|-----|----------|---------------|
| AO,CXL | 07/24 | NEWLAND CAPITAL MGT (NEWLGS) | 025 | HERO | B | 100,000 | 3.47 | n/a | n/a | 3000.00 3.0 |
| AO,CRT | 07/24 | NEWLAND CAPITAL MGT (NEWLGS) | 025 | HERO | B | 100,000 | 3.47 | n/a | n/a | 2000.00 2.0 |
| CRT | 07/25 | SIMMONS VENTURES (SIMMJPM) | 041 | JNY | SS | 10,000 | 10.03 | n/a | 18-Jul | 400.00 4.0 |
| AO, | 07/24 | GLG PARTNERS (GLGPMSAEQA) | 034 | LOW | B | 5,392 | 25.66 | n/a | 22-May | 161.76 0.0 |
| AO,CXL | 07/24 | GLG PARTNERS (GLGPNAOPF) | 034 | LOW | B | 5,392 | 25.66 | n/a | 22-May | 161.76 0.0 |
| CRT | 07/25 | COOPER CREEK PART (COOPGS) | 028 | RKT | B | 28,970 | 57.45 | n/a | 20-Jul | 1158.80 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 558.80 |

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|------------------------|-----------|
| TOTAL (Trade Date) : | 74,661.08 |
| TOTAL (AO, CXL, CRT) : | 558.80 |

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| TOTAL (RUN DATE) / NFS : | 75,219.88 |
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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