



Daily Compliance Activity Report

Trade Date: 11/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| PATTEN & PATTEN | 025 | AAPL | B | 75 | 587.19 | n/a | n/a | 3.75 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | ACE | S | 13,900 | 78.91 | n/a | n/a | 556.00 | 0.0 |
| CATAPULT | 040 | ADT | B | 6,932 | 44.98 | n/a | n/a | 277.28 | 0.0 |
| ROYCE TRADING | 031 | AEO | B | 14,500 | 19.52 | n/a | 2-Dec | 725.00 | 0.0 |
| GLENHILL CAPITAL | 036 | ANN | B | 16,600 | 33.01 | n/a | n/a | 830.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | AZO | S | 200 | 381.46 | n/a | n/a | 8.00 | 4.0 |
| MASTERS CAPITAL MANAGE | 025 | BAC | B | 150,000 | 9.69 | n/a | 19-Nov | 4,500.00 | 3.0 |
| CATAPULT | 040 | CHRW | B | 7,468 | 61.47 | n/a | n/a | 298.72 | 0.0 |
| GLENHILL CAPITAL | 036 | COH | SS | 40,000 | 58.48 | n/a | 5-Nov | 2,000.00 | 0.0 |
| BTG PACTUAL | 040 | CSCO | B | 15,000 | 19.03 | n/a | 27-Nov | 450.00 | 3.0 |
| CASTLEROCK | 040 | CSCO | B | 10,000 | 18.96 | n/a | 27-Nov | 400.00 | 0.0 |
| PZENA INV ADV | 044 | DLPH | S | 550 | 33.66 | n/a | n/a | 19.25 | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | DRI | SS | 25,000 | 53.02 | n/a | 26-Nov | 750.00 | 3.0 |
| PATTEN & PATTEN | 025 | ETN | B | 50 | 51.07 | n/a | 31-Oct | 2.50 | 5.0 |
| PZENA INV ADV | 044 | FBHS | S | 400 | 28.93 | n/a | n/a | 14.00 | 0.0 |

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|----------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| ROYCE TRADING | 031 | FINL | B | 9,000 | 20.35 | n/a | 28-Sep | 450.00 | 0.0 |
| CATAPULT | 040 | FIVE | S | 6,533 | 28.07 | n/a | 21-Sep | 261.32 | 0.0 |
| OZ MGMT | 040 | F | C | 115,021 | 11.21 | n/a | 15-Nov | 3,450.63 | 0.0 |
| PATTEN & PATTEN | 025 | GLW | B | 1,325 | 12.27 | n/a | 27-Nov | 66.25 | 5.0 |
| TRUSTCO/SUNTRUST (CEREDEX) | 273 | GLW | S | 216,200 | 12.21 | n/a | 27-Nov | 6,918.40 | 0.0 |
| SCOPUS FUND | 041 | GNTX | B | 45,000 | 17.30 | n/a | 24-Oct | 1,800.00 | 0.0 |
| PZENA INV ADV | 044 | GS | S | 100 | 120.50 | n/a | 19-Nov | 3.50 | 0.0 |
| PROSPECTOR PARTNERS LLC | 036 | HSP | B | 10,000 | 29.12 | n/a | 26-Nov | 400.00 | 4.0 |
| ADAGE CAPITAL MGMT | 030 | HUBB | B | 33,904 | 83.72 | n/a | n/a | 1,017.12 | 3.0 |
| ARSENAL ASSET MANAGEMENT | 028 | HUBB | S | 10,000 | 83.69 | n/a | n/a | 400.00 | 0.0 |
| PATTEN & PATTEN | 025 | IAU | S | 225 | 16.94 | n/a | n/a | 11.25 | 5.0 |
| PATTEN & PATTEN | 025 | IJR | B | 30 | 75.31 | n/a | n/a | 1.50 | 5.0 |
| PATTEN & PATTEN | 025 | INTC | B | 125 | 20.05 | n/a | n/a | 6.25 | 5.0 |
| ARMATURE CAPITAL | 041 | IP | B | 25,000 | 36.12 | n/a | 25-Oct | 1,000.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 70,000 | 36.05 | n/a | 25-Oct | 3,500.00 | 5.0 |
| HIGHBRIDGE CAP | 041 | IP | B | 28,000 | 36.32 | n/a | 25-Oct | 840.00 | 3.0 |
| KAM ADVISORS LLC | 041 | IP | B | 120,000 | 36.29 | n/a | 25-Oct | 3,600.00 | 0.0 |
| SCOPUS FUND | 041 | IP | B | 25,000 | 36.34 | n/a | 25-Oct | 1,000.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| PZENA INV ADV | 044 | IVZ | S | 575 | 24.76 | n/a | 2-Mar | 20.13 | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | JCI | S | 60,000 | 27.00 | n/a | 31-Oct | 1,800.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | JEC | S | 536 | 40.91 | n/a | n/a | 21.44 | 4.0 |
| VISIUM/BALY BOBBY | 044 | JNJ | SS | 80,000 | 69.01 | n/a | n/a | 4,000.00 | 0.0 |
| PATTEN & PATTEN | 025 | JPM | B | 50 | 40.72 | n/a | 19-Nov | 2.50 | 5.0 |
| TRUST CO OF THE WEST/NY | 040 | KFN | B | 10,186 | 10.34 | n/a | n/a | 407.44 | 0.0 |
| TRUST CO/COWEN/CALF. | 040 | KFN | B | 463 | 10.34 | n/a | n/a | 18.52 | 0.0 |
| TROUBH PART | 070 | LEA | S | 7,500 | 42.67 | n/a | 31-Oct | 375.00 | 5.0 |
| PATTEN & PATTEN | 025 | LF | B | 2,000 | 8.84 | n/a | n/a | 100.00 | 5.0 |
| PZENA INV ADV | 044 | LLL | S | 300 | 76.37 | n/a | n/a | 10.50 | 0.0 |
| BALYASNY ASSET MGMT | 044 | LVS | S | 50,000 | 46.29 | n/a | 13-Jun | 2,500.00 | 0.0 |
| PZENA INV ADV | 044 | MAS | S | 1,300 | 16.87 | n/a | n/a | 45.50 | 0.0 |
| GLG PARTNERS | 034 | M | B | 31,341 | 39.62 | n/a | 26-Nov | 940.23 | 0.0 |
| J. GOLDMAN | 028 | M | SS | 10,000 | 40.00 | n/a | 26-Nov | 400.00 | 4.0 |
| CORNERSTONE | 030 | NKE | B | 47,364 | 97.05 | n/a | 28-Sep | 1,420.92 | 0.0 |
| PATTEN & PATTEN | 025 | PHB | B | 100 | 19.08 | n/a | n/a | 5.00 | 5.0 |

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|-----------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| PATTEN & PATTEN | 025 | PKB | B | 150 | 16.72 | n/a | n/a | 7.50 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | PRU | S | 14,600 | 51.52 | n/a | n/a | 584.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 041 | PVH | S | 25,300 | 110.18 | n/a | 1-Nov | 759.00 | 0.0 |
| HIGHBRIDGE CAP | 041 | RKT | S | 15,500 | 64.38 | n/a | 5-Nov | 465.00 | 3.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | SBUX | B | 50,000 | 50.83 | n/a | 26-Nov | 1,500.00 | 3.0 |
| ROSEDALE CAPITAL | 046 | STLD | B | 10,000 | 12.53 | n/a | n/a | 400.00 | 4.0 |
| CRAMER ROSENTHAL | 070 | STT | B | 20,600 | 44.61 | n/a | 19-Nov | 824.00 | 0.0 |
| KLEINHEINZ CAP PART | 031 | SU | B | 50,000 | 33.40 | n/a | n/a | 2,500.00 | 5.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | TGT | B | 40,000 | 62.79 | n/a | 27-Nov | 1,200.00 | 3.0 |
| OZ MGMT | 040 | TGT | B | 50,000 | 63.03 | n/a | 27-Nov | 1,500.00 | 0.0 |
| GEORGE WEISS | 034 | TJX | B | 46,000 | 43.35 | n/a | 26-Nov | 1,840.00 | 0.0 |
| PATTEN & PATTEN | 025 | TRN | B | 75 | 31.35 | n/a | n/a | 3.75 | 5.0 |
| BESSEMER INVESTMENT | 085 | T | S | 3,295 | 33.76 | n/a | n/a | 131.80 | 4.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | VLO | C | 10,000 | 31.34 | n/a | n/a | 300.00 | 0.0 |
| SAC CHICAGO ANDREW | 031 | WMT | B | 37,861 | 69.88 | n/a | 15-Nov | 1,325.14 | 3.5 |
| VISIUM/BALY BOBBY | 044 | WPI | SS | 24,000 | 87.36 | n/a | 26-Nov | 1,200.00 | 0.0 |

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|-----------------------------|------|--------|-----|--------|-------|-----|------------------|--------------|-----|
| PRIMECAP MGMT | 084 | WSH | B | 1,900 | 34.05 | n/a | n/a | 76.00 | 0.0 |
| PATTEN & PATTEN | 025 | XLV | B | 50 | 39.66 | n/a | n/a | 2.50 | 5.0 |
| PATTEN & PATTEN | 025 | XOM | B | 15 | 87.62 | n/a | n/a | 0.75 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | 62,247.34 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|--------------|--------------------------------|------------|----------|----------|---------------|--------------|------------|---------------|-----------------|
| AO,CXL | 11/26 | ROYCE TRADING (ROYC66) | 031 | AEO | B | 1,500 | 19.45 | n/a | 2-Dec | 75.00 0.0 |
| AO, | 11/26 | ROYCE TRADING (ROYC66) | 031 | AEO | B | 1,700 | 19.45 | n/a | 2-Dec | 85.00 0.0 |
| AO,CXL | 11/26 | ROYCE TRADING (ROYC64) | 031 | AEO | B | 700 | 19.45 | n/a | 2-Dec | 35.00 0.0 |
| AO, | 11/26 | ROYCE TRADING (ROYC64) | 031 | AEO | B | 800 | 19.45 | n/a | 2-Dec | 40.00 0.0 |
| AO,CXL | 11/26 | ROYCE TRADING (ROYC180) | 031 | AEO | B | 600 | 19.45 | n/a | 2-Dec | 30.00 0.0 |
| AO, | 11/26 | ROYCE TRADING (ROYC180) | 031 | AEO | B | 700 | 19.45 | n/a | 2-Dec | 35.00 0.0 |
| AO,CXL | 11/26 | ROYCE TRADING (ROYC100) | 031 | AEO | B | 400 | 19.45 | n/a | 2-Dec | 20.00 0.0 |
| AO, | 11/26 | ROYCE TRADING (ROYC100) | 031 | AEO | B | 500 | 19.45 | n/a | 2-Dec | 25.00 0.0 |
| AO,CXL | 11/26 | ROYCE TRADING (ROYC67) | 031 | AEO | B | 4,900 | 19.45 | n/a | 2-Dec | 245.00 0.0 |
| AO, | 11/26 | ROYCE TRADING (ROYC67) | 031 | AEO | B | 4,400 | 19.45 | n/a | 2-Dec | 220.00 0.0 |
| AO,CXL | 11/26 | SIMMONS VENTURES (SIMMJPM) | 041 | AEO | SS | 10,000 | 19.59 | n/a | 2-Dec | 500.00 5.0 |
| AO,CRT | 11/26 | SIMMONS VENTURES (SIMMJPM) | 041 | AEO | SS | 10,000 | 19.59 | n/a | 2-Dec | 400.00 4.0 |
| AO,CXL | 11/26 | LISTED ERR (LISTED ERR) | 099 | M | B | 31,444 | 39.90 | n/a | 26-Nov | 0.00 0.0 |
| AO, | 11/26 | ACK ASSET (ACKAMS) | 028 | NCS | B | 4,110 | 12.53 | n/a | n/a | 123.30 0.0 |
| AO,CXL | 11/26 | ACK ASSET (ACKABEARPB) | 028 | NCS | B | 10,000 | 12.53 | n/a | n/a | 300.00 0.0 |
| AO,CRT | 11/26 | ACK ASSET (ACKABEARPB) | 028 | NCS | B | 5,890 | 12.53 | n/a | n/a | 176.70 3.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -100.00 |

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| TOTAL (Trade Date): | 62,247.34 |
| TOTAL (AO, CXL, CRT): | -100.00 |

TOTAL (RUN DATE) / NFS:

62,147.34

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