



Daily Compliance Activity Report

Trade Date: 08/31/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|--------------------------|------|--------|-----|---------|--------|-----|----------|---------------|
| STRONG/MARK GRONET | 030 | ACCO | B | 400,000 | 6.60 | n/a | n/a | 12,000.00 0.0 |
| NEUBERGER BERMAN | 036 | AMT | B | 22,471 | 70.11 | n/a | n/a | 898.84 0.0 |
| PZENA INV ADV | 044 | AVP | S | 186,281 | 15.47 | n/a | 7-Aug | 6,519.93 0.0 |
| MILLRACE FUND LP | 028 | AXL | B | 15,000 | 11.15 | n/a | 30-Jul | 600.00 4.0 |
| SANDLER O'NEILL ASSET | 031 | C | S | 15,000 | 30.02 | n/a | 22-Aug | 750.00 5.0 |
| LEVIN CAPITAL STRATEGIES | 041 | DLPH | S | 10,000 | 30.09 | n/a | n/a | 300.00 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | EGP | B | 9,000 | 53.25 | n/a | n/a | 360.00 0.0 |
| CASTLE ARK | 031 | EMC | S | 462,560 | 26.31 | n/a | n/a | 23,128.00 0.0 |
| ROTHSCHILD ASSET | 040 | EPL | B | 37,921 | 17.19 | n/a | n/a | 1,516.84 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | EPOC | B | 2,493 | 8.95 | n/a | n/a | 99.72 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | FRT | B | 4,400 | 107.82 | n/a | n/a | 176.00 0.0 |
| ROBERTSON STEVENS | 084 | HSH | B | 42,161 | 26.00 | n/a | n/a | 1,686.44 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 30,000 | 34.54 | n/a | 20-Aug | 1,500.00 5.0 |
| STRONG/MARK GRONET | 030 | ITPOF | S | 33,925 | 7.23 | n/a | n/a | 1,017.75 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|---------|--------|-----|----------|------------------|-----|
| SYMPHONY ASSET | 033 | JNPR | SS | 34,800 | 17.44 | n/a | n/a | 1,044.00 | 0.0 |
| COOPER CREEK PART | 028 | LPX | SS | 10,000 | 13.21 | n/a | 31-Jul | 400.00 | 4.0 |
| NEUBERGER BERMAN | 036 | MATW | S | 9,800 | 29.90 | n/a | n/a | 392.00 | 0.0 |
| SYMPHONY ASSET | 033 | MSCI | SS | 12,820 | 35.01 | n/a | n/a | 384.60 | 0.0 |
| PARKWEST | 084 | NDZ | S | 20,000 | 10.40 | n/a | n/a | 800.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | PSA | B | 9,900 | 145.00 | n/a | n/a | 396.00 | 0.0 |
| ASCEND PARTNERS | 033 | WRC | B | 50,000 | 51.48 | n/a | 7-Aug | 1,500.00 | 0.0 |
| COHE & STEERS | 041 | WY | B | 181,018 | 24.77 | n/a | 27-Jul | 5,430.54 | 0.0 |
| TOTAL (Trade Date) : | | | | | | | | 60,900.66 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|------|--------|-----|--------|-------|--------------|-------------|

| | | | | | | | | | |
|------------------------|--|--|--|--|--|--|--|--|------|
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
|------------------------|--|--|--|--|--|--|--|--|------|

| | | | | | | | | | |
|----------------------|--|--|--|--|--|--|--|--|-----------|
| TOTAL (Trade Date) : | | | | | | | | | 60,900.66 |
|----------------------|--|--|--|--|--|--|--|--|-----------|

| | | | | | | | | | |
|------------------------|--|--|--|--|--|--|--|--|------|
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
|------------------------|--|--|--|--|--|--|--|--|------|

| | | | | | | | | | |
|-------------------------|--|--|--|--|--|--|--|--|-----------|
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 60,900.66 |
|-------------------------|--|--|--|--|--|--|--|--|-----------|

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