



Daily Compliance Activity Report

Trade Date: 09/12/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|------------|------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| CAISSE DEPOT PLACEMENT Q | 257 | ACN | B | 10,000 | 74.68 | n/a | n/a | 300.00 | 0.0 |
| PENNANT CAP MGMT | 029 | AMGN | S | 15,000 | 113.44 | n/a | n/a | 300.00 | 0.0 |
| SUFFOLK CAPITAL MGMT | 040 | ANN | B | 10,000 | 35.92 | n/a | n/a | 400.00 | 0.0 |
| ADAGE CAPITAL MGMT | 030 | AOL | B | 60,000 | 34.48 | n/a | n/a | 3,600.00 | 0.0 |
| BRONSON POINT | 036 | AOL | B | 108,000 | 34.43 | n/a | n/a | 3,240.00 | 0.0 |
| OTTER CREEK MGMT | 093 | BKW | B | 14,000 | 20.35 | n/a | 17-Jun | 560.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | BRE | B | 4,500 | 50.43 | n/a | n/a | 135.00 | 0.0 |
| KENNEDY CAPITAL | 046 | CATO | B | 15,902 | 26.70 | n/a | n/a | 636.08 | 0.0 |
| PIMCO | 084 | CAT | SS | 15,000 | 86.99 | n/a | 11-Jul | 300.00 | 0.0 |
| FRED ALGER MGMT | 070 | CCK | S | 10,000 | 43.90 | n/a | n/a | 360.00 | 0.0 |
| WINSLOW CAPITAL | 030 | CRM | S | 51,500 | 49.95 | n/a | n/a | 1,545.00 | 0.0 |
| PROVIDENCE EQUITY CAP. MKTS. | 040 | DELL | B | 220,000 | 13.86 | n/a | n/a | 4,400.00 | 0.0 |
| WINSLOW CAPITAL | 030 | ECL | S | 10,400 | 95.24 | n/a | 18-Jan | 312.00 | 0.0 |
| SUFFOLK CAPITAL MGMT | 040 | FOX | S | 2,800 | 32.44 | n/a | n/a | 112.00 | 0.0 |
| SCOPUS FUND | 041 | F | SS | 100,000 | 17.39 | n/a | 19-Jun | 4,000.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| VERITION | 028 | F | SS | 15,000 | 17.42 | n/a | 19-Jun | 450.00 | 0.0 |
| SYSTEMATIC FINANCIAL MGT | 070 | GES | S | 50,000 | 29.70 | n/a | 31-May | 1,500.00 | 0.0 |
| FIRST NY SEC/CHRIS | 041 | GM | B | 10,000 | 36.17 | n/a | 19-Jun | 500.00 | 0.0 |
| SUFFOLK CAPITAL MGMT | 040 | HIG | B | 439,300 | 31.76 | n/a | n/a | 17,572.00 | 0.0 |
| ARDSLEY PARTNERS | 280 | JCI | S | 5,000 | 42.35 | n/a | 10-Jun | 250.00 | 0.0 |
| WAGONHOUND/NICOLAS | 033 | JCI | B | 4,102 | 42.55 | n/a | 10-Jun | 164.08 | 0.0 |
| BRIGADE CAPITAL MGMT | 029 | JDSU | B | 25,000 | 15.15 | n/a | n/a | 750.00 | 0.0 |
| TRUST CO/COWEN/CALF. | 040 | JNJ | S | 10,955 | 89.11 | n/a | n/a | 547.75 | 0.0 |
| TYVOR CAPITAL LLC | 031 | JWN | B | 8,660 | 56.93 | n/a | 18-Jun | 259.80 | 0.0 |
| BALYASNY ASSET MGMT | 044 | KSS | B | 40,000 | 51.61 | n/a | 18-Jun | 2,000.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | LVNTA | B | 10,000 | 87.25 | | n/a n/a | 300.00 | 0.0 |
| M&I FUNDS | 047 | MLI | S | 3,522 | 55.56 | n/a | 19-Jun | 140.88 | 0.0 |
| CR INTRINIC INVESTMENT | 044 | MNST | S | 17,182 | 55.14 | n/a | n/a | 515.46 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | MWV | B | 8,303 | 38.18 | n/a | 18-Jun | 415.15 | 0.0 |
| WINSLOW CAPITAL | 030 | NBL | S | 15,200 | 66.67 | n/a | n/a | 456.00 | 0.0 |
| KEYGROUP/KGLT | 040 | NFX | B | 25,000 | 25.85 | n/a | n/a | 1,000.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| PRIMECAP MGMT | 084 | NKTR | B | 5,000 | 13.99 | n/a | n/a | 200.00 | 0.0 |
| WINSLOW CAPITAL | 030 | NOW | S | 9,900 | 49.60 | n/a | n/a | 297.00 | 0.0 |
| PRIMECAP MGMT | 084 | NVS | S | 5,300 | 76.73 | n/a | n/a | 212.00 | 0.0 |
| PRIMECAP MGMT | 084 | OII | S | 500 | 81.59 | n/a | n/a | 20.00 | 0.0 |
| PENNANT CAP MGMT | 029 | OXY | S | 30,000 | 90.91 | n/a | n/a | 600.00 | 0.0 |
| WINSLOW CAPITAL | 030 | PCP | S | 7,000 | 229.41 | n/a | 11-Jun | 210.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | PFE | B | 22,500 | 28.41 | n/a | n/a | 900.00 | 0.0 |
| SUFFOLK CAPITAL MGMT | 040 | PFE | S | 2,900 | 28.58 | n/a | n/a | 116.00 | 0.0 |
| PRIMECAP MGMT | 084 | PKI | S | 1,800 | 37.76 | n/a | n/a | 72.00 | 0.0 |
| CADIAN CAPITAL | 041 | PNRA | SS | 18,000 | 169.17 | n/a | 10-Jun | 540.00 | 0.0 |
| PRIMECAP MGMT | 084 | POT | S | 4,400 | 31.50 | n/a | n/a | 176.00 | 0.0 |
| WINSLOW CAPITAL | 030 | PXD | S | 5,300 | 186.78 | n/a | 13-Jun | 159.00 | 0.0 |
| FIRST NEW YORK | 086 | RAD | B | 20,000 | 3.62 | n/a | n/a | 1,000.00 | 0.0 |
| WINSLOW CAPITAL | 030 | RRC | S | 12,300 | 79.03 | n/a | 13-Jun | 369.00 | 0.0 |
| WAGONHOUND/NICOLAS | 033 | SAVE | B | 22,044 | 33.25 | n/a | 18-Jun | 881.76 | 0.0 |
| WINSLOW CAPITAL | 030 | SLB | S | 6,500 | 86.71 | n/a | n/a | 195.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|----------|--------|-----|---------|--------|-----|----------|------------------|------------|
| A. R. SCHMEIDLER & CO. | 031 | SPR | B | 24,000 | 23.82 | n/a | 2-May | 1,350.00 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | SYX | B | 75,000 | 32.67 | n/a | n/a | 2,250.00 | 0.0 |
| PRIMECAP MGMT | 084 | SZYM | B | 5,000 | 10.93 | n/a | n/a | 200.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING | (GGT)251 | TFSL | S | 5,000 | 11.42 | | n/a | n/a | 150.00 0.0 |
| PRIMECAP MGMT | 084 | TJX | B | 2,100 | 54.05 | n/a | 18-Jun | 84.00 | 0.0 |
| DELTEC ASSET MGMT. | 040 | UAL | B | 10,000 | 32.29 | n/a | 18-Jun | 500.00 | 0.0 |
| INTERVAL PARTNERS | 033 | UA | SS | 5,000 | 80.65 | n/a | 19-Jun | 150.00 | 0.0 |
| PRIMECAP MGMT | 084 | UNP | B | 1,000 | 155.70 | n/a | n/a | 40.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | USB | B | 300,000 | 37.01 | n/a | n/a | 12,000.00 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | WEN | SS | 200,000 | 8.61 | n/a | 20-May | 6,000.00 | 0.0 |
| SUFFOLK CAPITAL MGMT | 040 | WYN | S | 1,400 | 61.95 | n/a | n/a | 56.00 | 0.0 |
| TOTAL (Trade Date) : | | | | | | | | 75,748.96 | |

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) : | | | | | | | | | 75,748.96 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 75,748.96 |

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