



Daily Compliance Activity Report

Trade Date: 01/05/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|-----|----------|--------------|-----|
| RBC CAPITAL MARKETS | 040 | AAP | B | 2,000 | 70.41 | n/a | n/a | 80.00 | 4.0 |
| PZENA INV ADV | 044 | ACE | S | 1,500 | 69.33 | n/a | n/a | 52.50 | 3.5 |
| TALPION LLC | 040 | ACOM | C | 9,000 | 26.84 | n/a | n/a | 360.00 | 4.0 |
| RIDGECREST INV MGMT LLC | 028 | AEO | B | 10,000 | 13.08 | n/a | 2-Dec | 500.00 | 5.0 |
| CADIAN CAPITAL | 041 | ANF | B | 45,000 | 45.27 | n/a | 3-Jan | 1,350.00 | 3.0 |
| SIMMONS VENTURES | 041 | ARO | B | 10,000 | 15.35 | n/a | n/a | 400.00 | 4.0 |
| TUDOR INVESTORS | 028 | AWI | S | 10,000 | 45.84 | n/a | n/a | 300.00 | 3.0 |
| SAGE ASSET MGMT | 025 | BZ | S | 76,500 | 7.26 | n/a | n/a | 3,060.00 | 4.0 |
| CASTLE ARK | 031 | CAT | B | 56,970 | 95.92 | n/a | 21-Dec | 2,848.50 | 5.0 |
| TUDOR INVESTORS | 028 | CFX | B | 10,000 | 28.46 | n/a | n/a | 300.00 | 3.0 |
| KLEINHEINZ CAP PART | 031 | COST | SS | 30,000 | 82.60 | n/a | n/a | 1,500.00 | 5.0 |
| KACELA CAPITAL | 034 | CROX | S | 44,370 | 15.77 | n/a | n/a | 1,774.80 | 4.0 |
| TUDOR INVESTORS | 028 | DE | B | 5,000 | 80.96 | n/a | 21-Dec | 150.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | DG | B | 10,000 | 41.27 | n/a | 5-Dec | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| MERRILL ASSET/BLACKROCK | 297 | ENDP | S | 25,000 | 34.43 | n/a | 5-Jan | 1,000.00 | 4.0 |
| TUDOR INVESTORS | 028 | ETN | B | 5,000 | 45.20 | n/a | 4-Jan | 150.00 | 3.0 |
| TUDOR INVESTORS | 028 | FDX | B | 5,000 | 83.95 | n/a | n/a | 150.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | FL | B | 1,300 | 23.73 | n/a | 18-Nov | 52.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | FOR | S | 10,200 | 15.18 | n/a | 3-Nov | 408.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | FOSL | SS | 3,000 | 78.51 | n/a | n/a | 120.00 | 4.0 |
| OZ MGMT | 040 | F | SS | 125,000 | 11.25 | n/a | 5-Jan | 3,750.00 | 3.0 |
| PLATTE RIVER CAPITAL | 240 | GE | B | 40,000 | 18.53 | n/a | n/a | 1,600.00 | 4.0 |
| DEVENNY CAP LLC | 044 | GM | S | 10,000 | 21.80 | n/a | 5-Jan | 300.00 | 3.0 |
| SENATOR INVESTMENT GROUP | 036 | GRA | S | 50,000 | 45.83 | n/a | n/a | 1,500.00 | 3.0 |
| HOPLITE MGMT | 025 | GRPN | SS | 75,000 | 17.75 | n/a | n/a | 3,000.00 | 4.0 |
| TALPION LLC | 040 | HNT | S | 3,900 | 31.52 | n/a | n/a | 156.00 | 4.0 |
| SIMMONS VENTURES | 041 | HWD | B | 2,900 | 10.96 | n/a | n/a | 116.00 | 4.0 |
| BMO NESBITT BURNS | 041 | IP | S | 30,000 | 30.52 | n/a | 27-Oct | 1,500.00 | 5.0 |
| TUDOR INVESTORS | 028 | JBHT | B | 10,000 | 44.14 | n/a | n/a | 300.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| PILOT ADV | 041 | JCP | SS | 8,000 | 32.81 | n/a | 3-Jan | 240.00 | 3.0 |
| TALPION LLC | 040 | JWN | C | 1,120 | 49.67 | n/a | 3-Jan | 44.80 | 4.0 |
| LISTED ERR | 099 | JWN | B | 3,585 | 50.70 | n/a | 3-Jan | 0.00 | 0.0 |
| LISTED ERR | 099 | JWN | S | 3,585 | 50.73 | n/a | 3-Jan | 0.00 | 0.0 |
| MOORE CAPITAL | 041 | KORS | B | 18,500 | 27.00 | n/a | n/a | 555.00 | 3.0 |
| THE JAY GOLDMAN | 028 | KSS | B | 20,000 | 46.81 | n/a | 3-Jan | 800.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | LAZ | S | 12,500 | 26.86 | n/a | 4-Jan | 625.00 | 5.0 |
| BRONSON POINT | 036 | MET | B | 25,000 | 32.94 | n/a | n/a | 750.00 | 3.0 |
| TUDOR INVESTORS | 028 | MHK | B | 8,000 | 58.44 | n/a | n/a | 240.00 | 3.0 |
| MOORE CAPITAL | 041 | MSFT | SS | 120,000 | 27.40 | n/a | n/a | 3,600.00 | 3.0 |
| CSFB GLOBAL PROPRIETARY | 041 | MWV | S | 25,000 | 29.67 | n/a | 26-Oct | 1,250.00 | 5.0 |
| SCOPUS FUND | 041 | MWV | SS | 35,000 | 29.83 | n/a | 26-Oct | 1,400.00 | 4.0 |
| SCOPUS FUND | 041 | MWV | S | 22,200 | 29.86 | n/a | 26-Oct | 888.00 | 4.0 |
| LISTED ERR | 097 | MWV | B | 25,000 | 29.67 | n/a | 26-Oct | 0.00 | 0.0 |
| LISTED ERR | 097 | MWV | S | 25,000 | 29.67 | n/a | 26-Oct | 0.00 | 0.0 |
| CYPRESS CAP MGMT LLC | 040 | M | SS | 13,300 | 32.49 | n/a | 3-Jan | 532.00 | 4.0 |
| ADALY INV MGMT | 031 | NEM | B | 22,500 | 62.12 | n/a | n/a | 1,125.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | NOK | B | 20,000 | 5.48 | n/a | n/a | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|-----|----------|--------------|-----|
| PROSPECTOR PARTNERS LLC | 036 | NP | S | 10,000 | 22.19 | n/a | 3-Jan | 400.00 | 4.0 |
| DEVENNY CAP LLC | 044 | ODFL | B | 5,000 | 39.39 | n/a | n/a | 150.00 | 3.0 |
| TUDOR INVESTORS | 028 | ODFL | S | 5,000 | 39.39 | n/a | n/a | 150.00 | 3.0 |
| BNP PARIBAS SEC | 040 | PLCE | B | 35,000 | 47.07 | n/a | 5-Jan | 1,750.00 | 5.0 |
| SCOPUS FUND | 041 | PLCE | B | 2,600 | 47.08 | n/a | 5-Jan | 104.00 | 4.0 |
| PRIMECAP MGMT | 084 | PSS | S | 4,500 | 14.22 | n/a | n/a | 180.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | PVH | B | 10,000 | 71.67 | n/a | 2-Dec | 400.00 | 4.0 |
| BMO NESBITT BURNS | 041 | RKT | B | 15,000 | 59.05 | n/a | 5-Jan | 750.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | RKT | B | 40,000 | 57.35 | n/a | 5-Jan | 2,000.00 | 5.0 |
| DEVENNY CAP LLC | 044 | RKT | B | 5,000 | 57.34 | n/a | 5-Jan | 150.00 | 3.0 |
| DEVENNY CAP LLC | 044 | RKT | S | 2,500 | 59.19 | n/a | 5-Jan | 75.00 | 3.0 |
| RIDGECREST INV MGMT LLC | 028 | RKT | B | 15,000 | 58.73 | n/a | 5-Jan | 750.00 | 5.0 |
| SF SENTRY | 085 | RKT | B | 10,100 | 57.61 | n/a | 5-Jan | 505.00 | 5.0 |
| SONTERRA CAP | 041 | RKT | B | 15,000 | 57.07 | n/a | 5-Jan | 600.00 | 4.0 |
| TUDOR INVESTORS | 028 | RSG | B | 10,000 | 27.57 | n/a | n/a | 300.00 | 3.0 |
| PRIMECAP MGMT | 084 | SCHW | B | 6,000 | 11.68 | n/a | n/a | 240.00 | 4.0 |
| TUDOR INVESTORS | 028 | SWK | SS | 5,000 | 69.22 | n/a | n/a | 150.00 | 3.0 |
| NEWLAND CAPITAL MGT | 025 | TC | B | 50,000 | 7.31 | n/a | n/a | 1,500.00 | 3.0 |
| NEWLAND CAPITAL MGT | 025 | TEL | B | 25,000 | 31.83 | n/a | n/a | 1,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------|--------|-----|---------|-------|-----|----------|------------------|-----|
| TUDOR INVESTORS | 028 | TRN | S | 15,000 | 29.50 | n/a | n/a | 450.00 | 3.0 |
| SENATOR INVESTMENT GROUP | 036 | TXT | S | 120,000 | 19.12 | n/a | n/a | 3,600.00 | 3.0 |
| TUDOR INVESTORS | 028 | UPS | B | 5,000 | 72.74 | n/a | n/a | 150.00 | 3.0 |
| JP MORGAN VENTURES | 046 | URBN | B | 15,300 | 27.83 | n/a | n/a | 612.00 | 4.0 |
| ARSENAL ASSET MANAGEMENT | 028 | VC | S | 10,000 | 50.01 | n/a | n/a | 400.00 | 4.0 |
| COLUMBUS CAP MGMT LLC | 084 | WNC | S | 25,000 | 8.48 | n/a | n/a | 1,000.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | WY | B | 35,000 | 18.70 | n/a | 28-Oct | 1,750.00 | 5.0 |
| MA CAPITAL MGMT/MELLON ADV041 | | YUM | B | 2,000 | 58.83 | n/a | 8-Dec | 100.00 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 59,243.60 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| CRT | 01/05 | THE JAY GOLDMAN (GOLDGSBULK) | 028 | KSS | B | 20,000 | 46.81 | n/a | 3-Jan | 800.00 4.0 |
| CRT | 01/05 | LISTED ERR (LISTED ERR) | 097 | MWV | S | 25,000 | 29.67 | n/a | 26-Oct | 0.00 0.0 |

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| TOTAL (AO, CXL, CRT) : | 800.00 |
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|------------------------|-----------|
| TOTAL (Trade Date) : | 59,243.60 |
| TOTAL (AO, CXL, CRT) : | 800.00 |

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| TOTAL (RUN DATE) / NFS: | 60,043.60 |
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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