



Daily Compliance Activity Report

Trade Date: 02/21/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| BROADARCH CAP/OLD NEWC | 070 | ARII | S | 1,400 | 31.37 | n/a | n/a | 56.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | ASML | S | 1,000 | 46.71 | n/a | n/a | 40.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | ATI | SS | 10,000 | 45.44 | n/a | 27-Jan | 200.00 | 2.0 |
| BROADARCH CAP/OLD NEWC | 070 | BAC | S | 2,000 | 8.12 | n/a | 16-Feb | 80.00 | 4.0 |
| CATAPULT | 040 | BAS | B | 25,000 | 19.96 | n/a | n/a | 1,000.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | BHI | S | 2,000 | 50.85 | n/a | n/a | 80.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | BYI | S | 2,500 | 45.15 | n/a | n/a | 100.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | CAT | S | 2,000 | 114.94 | n/a | 27-Jan | 80.00 | 4.0 |
| IVORY CAPITAL | 034 | CIEN | B | 100,000 | 15.85 | n/a | n/a | 5,000.00 | 5.0 |
| BROADARCH CAP/OLD NEWC | 070 | CI | B | 2,500 | 45.66 | n/a | n/a | 100.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | CSL | S | 5,000 | 50.30 | n/a | n/a | 200.00 | 4.0 |
| CAMBIAR CAP | 046 | DBD | S | 29,786 | 38.73 | n/a | 14-Feb | 1,191.44 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | DELL | B | 1,000 | 18.13 | n/a | n/a | 40.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | DOV | SS | 1,000 | 66.42 | n/a | n/a | 20.00 | 2.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| BALYASNY ASSET MGMT | 044 | EAT | B | 25,000 | 28.23 | n/a | 25-Jan | 1,250.00 | 5.0 |
| FORTRESS INVESTMENT (US) | 036 | EXPD | SS | 15,000 | 44.03 | n/a | n/a | 300.00 | 2.0 |
| ARSENAL ASSET MANAGEMENT | 028 | FMC | B | 9,622 | 98.55 | n/a | 8-Dec | 384.88 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | FMC | S | 3,500 | 98.23 | n/a | 8-Dec | 140.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | GDI | S | 1,000 | 72.62 | n/a | n/a | 40.00 | 4.0 |
| AVENUE CAPITAL MGMT | 070 | GM | S | 100,000 | 27.17 | n/a | 17-Feb | 4,000.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | HBHC | B | 12,100 | 34.26 | n/a | n/a | 484.00 | 4.0 |
| NEW JERSEY DIV OF INV. | 030 | HL | S | 7,300 | 5.66 | n/a | n/a | 292.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | HOG | S | 10,000 | 46.17 | n/a | n/a | 500.00 | 5.0 |
| BNP PARIBAS SEC | 040 | IP | S | 10,000 | 33.72 | n/a | 2-Feb | 500.00 | 5.0 |
| WAGONHOUND/NICOLAS | 033 | JCI | B | 6,593 | 35.18 | n/a | 13-Feb | 263.72 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | JOY | S | 1,000 | 89.78 | n/a | 25-Jan | 40.00 | 4.0 |
| MTB INV ADV | 034 | KEX | B | 6,375 | 67.17 | n/a | n/a | 318.75 | 5.0 |
| MA CAPITAL MGMT/MELLON ADV | 041 | KSS | B | 3,000 | 52.29 | n/a | 3-Feb | 150.00 | 5.0 |
| OZ MGMT | 040 | KSS | B | 75,000 | 51.84 | n/a | 3-Feb | 2,250.00 | 3.0 |
| SANDLER O'NEILL ASSET | 031 | LAZ | S | 25,000 | 30.03 | n/a | 16-Feb | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| ASCEND PARTNERS | 033 | LOW | S | 73,990 | 28.05 | n/a | 8-Feb | 2,219.70 | 3.0 |
| BROADARCH CAP/OLD NEWC | 070 | LOW | S | 2,000 | 27.77 | n/a | 8-Feb | 80.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | LRCX | B | 1,000 | 40.80 | n/a | n/a | 40.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | MMM | SS | 20,000 | 87.63 | n/a | 10-Feb | 400.00 | 2.0 |
| ROYCE TRADING | 031 | MTX | B | 8,190 | 66.50 | n/a | n/a | 409.50 | 5.0 |
| FORTRESS INVESTMENT (US) | 036 | MWV | SS | 50,000 | 30.52 | n/a | 26-Jan | 1,000.00 | 2.0 |
| FIRST NEW YORK LEDDY | 035 | NOK | S | 30,000 | 5.60 | n/a | n/a | 1,200.00 | 4.0 |
| MA CAPITAL MGMT/MELLON ADV | 041 | NP | B | 4,000 | 27.23 | n/a | 21-Feb | 200.00 | 5.0 |
| BROADARCH CAP/OLD NEWC | 070 | NSC | S | 1,775 | 68.33 | n/a | n/a | 71.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | NSC | SS | 5,000 | 68.57 | n/a | n/a | 100.00 | 2.0 |
| BROADARCH CAP/OLD NEWC | 070 | OC | S | 2,000 | 31.66 | n/a | n/a | 80.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | OI | S | 2,000 | 24.64 | n/a | n/a | 80.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | OXY | S | 1,000 | 104.06 | n/a | n/a | 40.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | PCAR | SS | 20,000 | 46.19 | n/a | 1-Feb | 400.00 | 2.0 |
| BROADARCH CAP/OLD NEWC | 070 | PENN | S | 1,000 | 41.76 | n/a | n/a | 40.00 | 4.0 |
| CAERUS GLOBAL | 041 | PG | B | 10,000 | 64.48 | n/a | 16-Feb | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| BNP PARIBAS SEC | 040 | PKG | B | 20,000 | 29.80 | n/a | 24-Jan | 1,000.00 | 5.0 |
| MA CAPITAL MGMT/MELLON ADV | 041 | PKG | B | 5,000 | 29.42 | n/a | 24-Jan | 250.00 | 5.0 |
| BROADARCH CAP/OLD NEWC | 070 | PNR | S | 1,000 | 39.45 | n/a | n/a | 40.00 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | PPG | B | 1,000 | 91.58 | n/a | 19-Jan | 40.00 | 4.0 |
| ARSENAL ASSET MANAGEMENT | 028 | RKT | B | 5,000 | 68.83 | n/a | 26-Jan | 200.00 | 4.0 |
| BMO NESBITT BURNS | 041 | RKT | S | 15,000 | 68.11 | n/a | 26-Jan | 750.00 | 5.0 |
| BNP PARIBAS SEC | 040 | RKT | S | 10,000 | 68.81 | n/a | 26-Jan | 500.00 | 5.0 |
| BNP PARIBAS SEC | 040 | RL | B | 10,000 | 173.42 | n/a | 9-Feb | 500.00 | 5.0 |
| CAERUS GLOBAL | 041 | SFLY | B | 5,000 | 26.49 | n/a | n/a | 200.00 | 4.0 |
| TUDOR INVESTORS | 028 | SHOO | SS | 26,727 | 42.25 | n/a | n/a | 801.81 | 3.0 |
| TUDOR INVESTORS | 028 | SHOO | S | 23,273 | 42.23 | n/a | n/a | 698.19 | 3.0 |
| BROADARCH CAP/OLD NEWC | 070 | TECD | B | 818 | 56.09 | n/a | n/a | 32.72 | 4.0 |
| KLEINHEINZ CAP PART | 031 | TGT | B | 50,000 | 52.97 | n/a | 8-Feb | 2,500.00 | 5.0 |
| BROADARCH CAP/OLD NEWC | 070 | TYC | S | 7,500 | 51.30 | n/a | 2-Feb | 300.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | UAL | SS | 13,000 | 21.35 | n/a | n/a | 260.00 | 2.0 |
| IVORY CAPITAL | 034 | VIAB | S | 5,200 | 48.50 | n/a | n/a | 260.00 | 5.0 |
| BROADARCH CAP/OLD NEWC | 070 | WCC | B | 2,000 | 65.68 | n/a | n/a | 80.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| BROADARCH CAP/OLD NEWC | 070 | WFT | S | 3,000 | 15.51 | n/a | n/a | 120.00 | 4.0 |
| BNP PARIBAS SEC | 040 | WMT | B | 50,000 | 59.97 | n/a | 8-Feb | 2,500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | WRC | C | 10,000 | 58.74 | n/a | 3-Feb | 500.00 | 5.0 |
| FORTRESS INVESTMENT (US) | 036 | WY | S | 26,000 | 20.75 | n/a | 3-Feb | 520.00 | 2.0 |
| FORTRESS INVESTMENT (US) | 036 | XLB | SS | 80,000 | 37.63 | n/a | n/a | 1,600.00 | 2.0 |
| FORTRESS INVESTMENT (US) | 036 | XLE | SS | 60,000 | 75.45 | n/a | n/a | 1,200.00 | 2.0 |
| FORTRESS INVESTMENT (US) | 036 | XLI | SS | 24,000 | 37.40 | n/a | n/a | 480.00 | 2.0 |
| TOTAL (Trade Date) : | | | | | | | | 42,443.71 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------------------------|-------|-------------------------|------|--------|-----|--------|-------|--------------|-------------|
| AO, | 02/17 | LISTED ERR (LISTED ERR) | 097 | RKT | B | 2,000 | 68.78 | n/a 26-Jan | 0.00 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |

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|-----------------------|-----------|
| TOTAL (Trade Date): | 42,443.71 |
| TOTAL (AO, CXL, CRT): | 0.00 |

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| TOTAL (RUN DATE) / NFS: | 42,443.71 |
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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