



Daily Compliance Activity Report

Trade Date: 05/23/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|-----------|--------------|--------------|------------|---------------|---------------|------------|
| TUDOR INVESTORS | 028 | ASH | B | 5,000 | 62.99 | n/a | 24-Apr | 150.00 | 3.0 |
| BASIX | 033 | BEAV | B | 9,500 | 41.27 | n/a | 3-May | 285.00 | 3.0 |
| HIGHBRIDGE CAP | 041 | BG | B | 4,412 | 60.74 | n/a | n/a | 132.36 | 3.0 |
| EGS ASSOCIATES LP | 091 | BIG | SS | 3,000 | 36.46 | n/a | 23-May | 150.00 | 5.0 |
| OZ MGMT | 040 | BWA | C | 55,000 | 76.86 | n/a | 27-Apr | 1,650.00 | 3.0 |
| PEAK INV LLC | 084 | BWA | S | 13,500 | 75.80 | n/a | 27-Apr | 540.00 | 4.0 |
| PEAK INV LLC | 084 | CAT | S | 15,600 | 91.26 | n/a | 26-Apr | 624.00 | 4.0 |
| PEAK INV LLC | 084 | CMI | S | 9,600 | 100.11 | n/a | 2-May | 384.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | COST | B | 10,000 | 82.49 | n/a | n/a | 400.00 | 4.0 |
| SCOPUS FUND | 041 | CP | B | 37,200 | 72.05 | n/a | n/a | 1,488.00 | 4.0 |
| BASSWOOD PARTNERS | 267 | DB | SS | 12,371 | 36.29 | n/a | n/a | 494.84 | 4.0 |
| ELM RIDGE ADVISORS | 044 | DELL | B | 211,800 | 13.03 | n/a | n/a | 8,472.00 | 4.0 |
| PEAK INV LLC | 084 | DE | S | 4,500 | 75.03 | n/a | 17-May | 180.00 | 4.0 |
| SCOPUS FUND | 041 | DOV | B | 9,300 | 56.58 | n/a | n/a | 372.00 | 4.0 |
| HIGHFIELDS CAP MGMT | 030 | DVN | S | 225,000 | 60.11 | n/a | 18-May | 6,750.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|---------|-------|-----|----------|-------------|------|
| CLOVIS CAPITAL | 033 | ENS | SS | 45,000 | 30.30 | n/a | n/a | 1,350.00 | 3.0 |
| CATAPULT | 040 | EXPE | B | 16,956 | 45.30 | n/a | n/a | 678.24 | 4.0 |
| FARALLON CAP MGMT | 040 | FB | SS | 300,000 | 31.97 | n/a | n/a | 9,000.00 | 3.0 |
| SUFFOLK CAPITAL MGMT | 040 | FB | B | 150,100 | 31.93 | n/a | n/a | 6,004.00 | 4.0 |
| PEAK INV LLC | 084 | FCX | S | 27,000 | 32.39 | n/a | n/a | 1,080.00 | 4.0 |
| NEUBERGER BERMAN | 036 | FEIC | B | 16,400 | 43.99 | n/a | n/a | 656.00 | 4.0 |
| PEAK INV LLC | 084 | F | S | 125,000 | 10.32 | n/a | 2-May | 5,000.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | GE | B | 27,000 | 19.08 | n/a | n/a | 810.00 | 3.0 |
| TUDOR INVESTORS | 028 | GGC | B | 5,000 | 29.90 | n/a | n/a | 150.00 | 3.0 |
| BASSWOOD PARTNERS | 267 | HBC | SS | 12,230 | 40.07 | n/a | n/a | 489.20 | 4.0 |
| NEUBERGER BERMAN | 036 | HITT | B | 8,819 | 49.45 | n/a | n/a | 352.76 | 4.0 |
| CONIFER/ISF | 025 | HPQ | B | 25,000 | 21.02 | n/a | n/a | 1,000.00 | 4.0 |
| CLOVIS CAPITAL | 033 | INTC | B | 310,000 | 25.23 | n/a | n/a | 9,300.00 | 3.0 |
| PEAK INV LLC | 084 | INTC | S | 22,000 | 25.28 | n/a | n/a | 880.00 | 4.0 |
| LATEFF MGMT | 035 | IP | B | 2,375 | 29.30 | n/a | 27-Apr | 356.25 | 15.0 |
| SIMMONS VENTURES | 041 | JNY | B | 10,000 | 9.35 | n/a | 26-Apr | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| DECADE CAPITAL PARTNERS | 040 | JPM | B | 29,500 | 34.01 | n/a | 24-May | 1,180.00 | 4.0 |
| NEUBERGER BERMAN | 036 | KFT | B | 15,000 | 38.60 | n/a | n/a | 600.00 | 4.0 |
| WEINTRAUB CAPITAL MGT. | 269 | KSS | B | 25,000 | 49.00 | n/a | 11-May | 1,000.00 | 4.0 |
| DECADE CAPITAL PARTNERS | 040 | LOW | B | 10,000 | 25.44 | n/a | 22-May | 400.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | MWV | S | 100,000 | 27.52 | n/a | 25-Apr | 5,000.00 | 5.0 |
| SCOPUS FUND | 041 | M | B | 85,000 | 36.46 | n/a | 10-May | 3,400.00 | 4.0 |
| SIMMONS VENTURES | 041 | M | B | 5,000 | 36.39 | n/a | 10-May | 200.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | NKE | SS | 5,000 | 106.70 | n/a | 23-Mar | 200.00 | 4.0 |
| BRONSON POINT | 036 | NOC | SS | 25,000 | 58.66 | n/a | 27-Apr | 750.00 | 3.0 |
| NEWLAND CAPITAL MGT | 025 | OI | S | 25,000 | 19.24 | n/a | n/a | 1,000.00 | 4.0 |
| RAINIER INV MGMT | 035 | RJF | B | 59,100 | 33.05 | n/a | n/a | 2,364.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | SHW | B | 2,200 | 119.94 | n/a | 23-May | 66.00 | 3.0 |
| HIGHBRIDGE CAP | 041 | SPN | S | 12,000 | 21.15 | n/a | n/a | 360.00 | 3.0 |
| NEUBERGER BERMAN | 036 | SYNT | B | 6,200 | 56.02 | n/a | n/a | 248.00 | 4.0 |
| PEAK INV LLC | 084 | TIF | S | 10,500 | 61.20 | n/a | n/a | 420.00 | 4.0 |
| SCOPUS FUND | 041 | TJX | B | 75,000 | 40.61 | n/a | 16-May | 3,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|----------|------------------|------|
| NWQ INVESTMENT MGMT CO | 084 | TLM | S | 91,000 | 9.80 | n/a | n/a | 2,730.00 | 3.0 |
| SONTERRA CAP | 041 | WFT | B | 30,000 | 12.50 | n/a | n/a | 1,200.00 | 4.0 |
| ASCEND PARTNERS | 033 | WMT | C | 103,268 | 63.89 | n/a | 18-May | 3,098.04 | 3.0 |
| LATEFF MGMT | 035 | WMT | S | 2,100 | 64.41 | n/a | 18-May | 355.75 | 17.9 |
| CSFB GLOBAL PROPRIETARY | 041 | WY | B | 50,000 | 19.47 | n/a | 4-May | 2,500.00 | 5.0 |
| KAM ADVISORS LLC | 041 | XLE | SS | 65,400 | 65.14 | n/a | n/a | 1,962.00 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 91,612.44 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| CRT | 05/23 | SIMMONS VENTURES (SIMMJPM) | 041 | JNY | B | 10,000 | 9.35 | n/a | 26-Apr | 400.00 4.0 |
| AO,CXL | 05/22 | HALCYON LLC (HALCMSPB) | 041 | USO | B | 20,000 | 34.43 | n/a | n/a | 600.00 3.0 |
| AO,CRT | 05/22 | HALCYON LLC (HALCMSPB) | 041 | USO | B | 20,000 | 34.43 | n/a | n/a | 400.00 2.0 |

TOTAL (AO, CXL, CRT) :**200.00**

TOTAL (Trade Date) :

91,612.44

TOTAL (AO, CXL, CRT) :

200.00

TOTAL (RUN DATE) / NFS:**91,812.44**

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