



Daily Compliance Activity Report

Trade Date: 09/06/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|--------|--------|-----|----------|--------------|------|
| LOCUST WOOD CAPITAL MGMT | 044 | AAPL | B | 50 | 673.75 | n/a | n/a | 2.00 | 4.0 |
| COBALT | 041 | ACE | B | 50,000 | 74.90 | n/a | n/a | 2,000.00 | 4.0 |
| EPOCH INV MGMT | 030 | ALKS | B | 1,200 | 18.76 | n/a | n/a | 36.00 | 0.0 |
| EPOCH INV MGMT | 030 | ALR | B | 300 | 18.72 | n/a | n/a | 9.00 | 0.0 |
| SIMMONS VENTURES | 041 | ANF | SS | 5,000 | 35.45 | n/a | 16-Aug | 200.00 | 4.0 |
| SEVEN LOCKS CAPITAL | 025 | AOS | S | 7,000 | 55.63 | n/a | 19-Jul | 210.00 | 3.0 |
| BRONSON POINT | 036 | ARO | B | 50,000 | 14.41 | n/a | n/a | 1,500.00 | 0.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | ARP | B | 1,400 | 25.83 | n/a | n/a | 56.00 | 4.0 |
| LATEEF MGMT | 035 | ATI | B | 200 | 30.62 | n/a | 7-Aug | 30.00 | 15.0 |
| SYMPHONY ASSET | 033 | ATR | SS | 5,610 | 51.61 | n/a | n/a | 168.30 | 0.0 |
| OZ MGMT | 040 | AXL | S | 32,900 | 11.92 | n/a | 30-Jul | 987.00 | 0.0 |
| CRAMER ROSENTHAL | 070 | BBBY | S | 6,370 | 69.00 | n/a | n/a | 254.80 | 0.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | BRKB | B | 400 | 85.99 | n/a | n/a | 16.00 | 4.0 |
| EPOCH INV MGMT | 030 | BRKL | B | 1,550 | 8.66 | n/a | n/a | 46.50 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|--------|---------|------|----------|--------------|--------------|
| NEW JERSEY DIV OF INV. | 030 | BTU | B | 25,000 | 21.21 | n/a | n/a | 1,000.00 | 4.0 |
| SMITH MGMT/ALDEN GLOBAL | | 029 | BZH | S | 250,000 | 3.05 | n/a | n/a | 7,500.00 3.0 |
| SCOPUS FUND | 041 | CAR | B | 25,000 | 16.68 | n/a | n/a | 1,000.00 | 0.0 |
| EPOCH INV MGMT | 030 | CFX | B | 150 | 34.46 | n/a | n/a | 4.50 | 0.0 |
| LATEEF MGMT | 035 | CMCSK | S | 300 | 33.62 | n/a | n/a | 36.00 | 12.0 |
| NEUBERGER BERMAN | 036 | CNQR | S | 16,000 | 73.36 | n/a | n/a | 640.00 | 0.0 |
| EPOCH INV MGMT | 030 | CNW | B | 350 | 30.00 | n/a | n/a | 10.50 | 0.0 |
| NEW JERSEY DIV OF INV. | 030 | CNX | B | 25,000 | 28.87 | n/a | n/a | 1,000.00 | 4.0 |
| BRONSON POINT | 036 | COH | SS | 25,000 | 59.24 | n/a | 1-Aug | 750.00 | 0.0 |
| CENTURION PARTNERS | 041 | CROX | B | 10,000 | 18.18 | n/a | n/a | 400.00 | 4.0 |
| HALCYON LLC | 041 | CRS | B | 5,000 | 47.99 | n/a | n/a | 150.00 | 3.0 |
| NEUBERGER BERMAN | 036 | CRZO | B | 16,300 | 27.21 | n/a | n/a | 652.00 | 0.0 |
| CENTURION PARTNERS | 041 | DD | B | 10,000 | 49.85 | n/a | 30-Aug | 400.00 | 4.0 |
| LATEEF MGMT | 035 | DE | B | 200 | 76.72 | n/a | 11-Jul | 40.00 | 20.0 |
| RBC CAPITAL MARKETS | 040 | DLTR | SS | 25,000 | 48.08 | n/a | 16-Aug | 1,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|------|
| LATEEF MGMT | 035 | DOW | B | 350 | 29.36 | n/a | 5-Sep | 35.00 | 10.0 |
| SYMPHONY ASSET | 033 | DOW | SS | 11,780 | 29.17 | n/a | 5-Sep | 353.40 | 0.0 |
| WEINTRAUB CAPITAL MGT. | 084 | DRI | SS | 50,000 | 53.08 | n/a | 13-Jul | 2,000.00 | 4.0 |
| EPOCH INV MGMT | 030 | DVR | B | 1,500 | 1.64 | n/a | n/a | 45.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | EAT | B | 10,000 | 35.43 | n/a | 10-Aug | 400.00 | 4.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | ECL | B | 600 | 64.79 | n/a | 9-Aug | 24.00 | 4.0 |
| EPOCH INV MGMT | 030 | ESL | B | 150 | 59.83 | n/a | n/a | 4.50 | 0.0 |
| CYRUS CAPITAL | 025 | FBP | S | 25,000 | 4.19 | n/a | n/a | 750.00 | 3.0 |
| CENTURION PARTNERS | 041 | FCX | B | 10,000 | 36.08 | n/a | n/a | 400.00 | 4.0 |
| SUFFOLK CAPITAL MGMT | 040 | FCX | S | 143,100 | 36.21 | n/a | n/a | 5,724.00 | 0.0 |
| CHILTON CAPITAL MGMT | 031 | GLW | B | 35,270 | 12.19 | n/a | 20-Aug | 1,058.10 | 3.0 |
| BASIX | 033 | GNTX | B | 16,100 | 18.41 | n/a | 25-Jul | 483.00 | 3.0 |
| EPOCH INV MGMT | 030 | GXP | B | 900 | 21.98 | n/a | n/a | 27.00 | 0.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | HHC | B | 300 | 65.99 | n/a | n/a | 12.00 | 4.0 |
| EPOCH INV MGMT | 030 | HLIT | B | 3,300 | 4.69 | n/a | n/a | 99.00 | 0.0 |
| EPOCH INV MGMT | 030 | ICON | B | 650 | 18.96 | n/a | n/a | 19.50 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|------|
| ARMATURE CAPITAL | 041 | IP | B | 25,000 | 35.64 | n/a | 20-Aug | 1,000.00 | 0.0 |
| EPOCH INV MGMT | 030 | ISBC | B | 750 | 17.29 | n/a | n/a | 22.50 | 0.0 |
| IMPALA ASSET MMT | 040 | JBHT | B | 45,800 | 52.26 | n/a | n/a | 2,290.00 | 5.0 |
| EPOCH INV MGMT | 030 | JBT | B | 700 | 16.30 | n/a | n/a | 21.00 | 0.0 |
| LATEEF MGMT | 035 | JCI | B | 150 | 27.56 | n/a | 20-Jul | 30.00 | 20.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | JCP | B | 1,600 | 27.08 | n/a | 13-Aug | 64.00 | 4.0 |
| CENTURION PARTNERS | 041 | JNY | B | 15,000 | 13.21 | n/a | 26-Jul | 600.00 | 4.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | JPM | B | 16,100 | 38.31 | n/a | 6-Sep | 644.00 | 4.0 |
| M&I FUNDS | 047 | JWN | B | 6,026 | 57.62 | n/a | 31-Aug | 241.04 | 4.0 |
| CENTURION PARTNERS | 041 | KEY | B | 20,000 | 8.44 | n/a | n/a | 800.00 | 4.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | KFT | B | 500 | 42.17 | n/a | n/a | 20.00 | 4.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | KMI | B | 1,100 | 35.71 | n/a | n/a | 44.00 | 4.0 |
| ARSENAL ASSET MANAGEMENT | 028 | KMT | B | 25,000 | 37.93 | n/a | n/a | 1,000.00 | 0.0 |
| CATAPULT | 040 | KO | B | 34,000 | 38.15 | n/a | 4-Sep | 1,360.00 | 0.0 |
| SUFFOLK CAPITAL MGMT | 040 | KSS | B | 149,800 | 52.69 | n/a | 31-Aug | 5,992.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | | |
|---------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|----------|-----|
| THE JAY GOLDMAN | 028 | KSS | S | 100,000 | 52.47 | n/a | 31-Aug | 4,000.00 | 0.0 | |
| CYRUS CAPITAL | 025 | LEG | B | 25,000 | 24.19 | n/a | n/a | 750.00 | 3.0 | |
| LOCUST WOOD CAPITAL MGMT | 044 | LINTA | B | 800 | 19.09 | n/a | n/a | 32.00 | 4.0 | |
| BALYASNY ASSET MGMT | 044 | LULU | SS | 26,000 | 68.37 | n/a | 4-Sep | 1,300.00 | 0.0 | |
| SCOPUS FUND | 041 | LULU | S | 65,000 | 68.65 | n/a | 4-Sep | 2,600.00 | 0.0 | |
| NEUBERGER BERMAN | 036 | MANH | B | 10,000 | 52.83 | n/a | n/a | 400.00 | 0.0 | |
| NEUBERGER BERMAN | 036 | MATW | S | 23,900 | 29.98 | n/a | n/a | 956.00 | 0.0 | |
| EPOCH INV MGMT | 030 | MEOH | B | 500 | 29.48 | n/a | n/a | 15.00 | 0.0 | |
| HALCYON LLC | 041 | MEOH | B | 7,000 | 29.70 | n/a | n/a | 210.00 | 3.0 | |
| EPOCH INV MGMT | 030 | MGAM | B | 850 | 15.74 | n/a | n/a | 25.50 | 0.0 | |
| EPOCH INV MGMT | 030 | MNRO | B | 50 | 35.53 | n/a | n/a | 1.50 | 0.0 | |
| HALCYON LLC | 041 | MOLX | B | 5,000 | 26.98 | n/a | n/a | 150.00 | 3.0 | |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | MRGE | B | 50,000 | 3.40 | | n/a | n/a | 1,000.00 | 2.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | MSI | S | 2,500 | 48.29 | n/a | n/a | 100.00 | 4.0 | |
| RBC CAPITAL MARKETS | 040 | MTN | SS | 3,000 | 53.44 | n/a | n/a | 120.00 | 4.0 | |
| VISIUM/BALY BOBBY | 044 | MTW | S | 10,000 | 13.77 | n/a | 11-Jul | 500.00 | 0.0 | |
| EPOCH INV MGMT | 030 | NATI | B | 400 | 25.33 | n/a | n/a | 12.00 | 0.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|--------|--------|-----|----------|-------------|------|
| NEW JERSEY DIV OF INV. | 030 | NFG | S | 25,000 | 51.36 | n/a | n/a | 1,000.00 | 4.0 |
| LATEEF MGMT | 035 | OI | B | 175 | 18.94 | n/a | n/a | 31.50 | 18.0 |
| CAISSE DEPOT PLACEMENT Q | 295 | OVTI | B | 25,000 | 16.37 | n/a | n/a | 750.00 | 3.0 |
| LATEEF MGMT | 035 | PCH | S | 250 | 36.59 | n/a | 25-Jul | 30.00 | 12.0 |
| RBC CAPITAL MARKETS | 040 | PENN | SS | 5,000 | 39.15 | n/a | n/a | 200.00 | 4.0 |
| LATEEF MGMT | 035 | PG | S | 150 | 68.16 | n/a | 4-Sep | 30.00 | 20.0 |
| VISIUM/BALY BOBBY | 044 | PH | B | 5,000 | 81.84 | n/a | n/a | 250.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | PII | SS | 3,000 | 77.43 | n/a | n/a | 120.00 | 4.0 |
| HALCYON LLC | 041 | PLD | B | 20,000 | 35.46 | n/a | n/a | 600.00 | 3.0 |
| EPOCH INV MGMT | 030 | PLOW | B | 650 | 14.14 | n/a | n/a | 19.50 | 0.0 |
| NEUBERGER BERMAN | 036 | POOL | B | 5,926 | 40.44 | n/a | n/a | 237.04 | 0.0 |
| SYMPHONY ASSET | 033 | PPG | B | 5,640 | 112.43 | n/a | 9-Aug | 169.20 | 0.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | QCOM | B | 300 | 62.12 | n/a | n/a | 12.00 | 4.0 |
| EPOCH INV MGMT | 030 | SPTN | B | 1,050 | 15.53 | n/a | n/a | 31.50 | 0.0 |
| EPOCH INV MGMT | 030 | SSD | B | 300 | 26.10 | n/a | n/a | 9.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|---------|---------|-----|----------|------------------|-----|
| WEINTRAUB CAPITAL MGT. | 084 | SWY | S | 100,000 | 16.38 | n/a | n/a | 4,000.00 | 4.0 |
| BRONSON POINT | 036 | TEX | B | 25,000 | 21.89 | n/a | n/a | 750.00 | 0.0 |
| VISIUM/BALY BOBBY | 044 | TOL | C | 10,000 | 33.48 | n/a | n/a | 500.00 | 0.0 |
| IMPALA ASSET MMT | 040 | TRN | B | 40,000 | 29.43 | n/a | n/a | 1,600.00 | 4.0 |
| Õ Jill Rosenberg | | UA | S | 300 | 58.0300 | n/a | 22-Aug | 0.00 | 0.0 |
| DELTEC ASSET MGMT. | 040 | URI | S | 10,500 | 37.10 | n/a | 17-Apr | 525.00 | 5.0 |
| EPOCH INV MGMT | 030 | VECO | B | 200 | 34.93 | n/a | n/a | 6.00 | 0.0 |
| EPOCH INV MGMT | 030 | VR | B | 300 | 34.16 | n/a | n/a | 9.00 | 0.0 |
| EPOCH INV MGMT | 030 | WCG | B | 300 | 59.20 | n/a | n/a | 9.00 | 0.0 |
| CATAPULT/KGLT | 040 | WFT | B | 25,000 | 12.26 | n/a | n/a | 1,000.00 | 4.0 |
| TUDOR INVESTORS | 028 | ZUMZ | B | 25,000 | 28.56 | n/a | n/a | 750.00 | 3.0 |
| TOTAL (Trade Date) : | | | | | | | | 70,472.38 | |

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) : | | | | | | | | | 70,472.38 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 70,472.38 |

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