

Daily Compliance Activity Report Trade Date: 10/20/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/ | Shr. |
|---------------------------|---------|---------|-----|---------|-----------|-----|-----------|-----------|--------|
| SANDLER O'NEILL ASSET | 031 | AF | В | 52,000 | 7.95 | n/a | 20-Oct | 1,560.00 | 3.0 |
| ROTHSCHILD ASSET | 040 | AIT | S | 10,000 | 30.57 | n/a | n/a | 400.00 | 4.0 |
| CATAPULT | 040 | ALB | В | 5,000 | 45.56 | n/a | n/a | 200.00 | 4.0 |
| LATEFF MGMT | 035 | ALL | В | 875 | 26.24 | n/a | n/a | 87.50 1 | 0.0 |
| DEVENNY CAP LLC | 044 | AN | В | 10,000 | 37.64 | n/a | 19-Oct | 300.00 | 3.0 |
| SENATOR INVESTMENT GROUP | 036 | AOS | В | 12,500 | 32.83 | n/a | 18-Aug | 375.00 | 3.0 |
| FARBER/WEISS PECK | 085 | ARCO | В | 55,000 | 22.07 | n/a | 17-Oct | 2,200.00 | 4.0 |
| UNICOM CAPITAL | 033 | ARCO | В | 12,500 | 22.00 | n/a | 17-Oct | 625.00 | 5.0 |
| WEDBUSH/PACIFIC GROWTH EQ | TY LLC0 | 34 ARCO | О В | 10, | 000 21.94 | | n/a 17-0c | 500. | 00 5.0 |
| ROTHSCHILD ASSET | 040 | ARE | В | 1,183 | 64.80 | n/a | n/a | 47.32 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | AXP | В | 25,000 | 45.39 | n/a | 19-Oct | 1,000.00 | 4.0 |
| LATEFF MGMT | 035 | BBT | В | 200 | 22.54 | n/a | n/a | 40.00 2 | 0.0 |
| MACQUARIE INVESTMENT MGMT | . 040 | BIG | В | 5,000 | 36.67 | n/a | 25-Aug | 0.00 | 0.0 |
| BRANDWINE | 028 | BK | В | 594,600 | 20.12 | n/a | 19-Oct | 23,784.00 | 4.0 |
| BARON ASSET MGMT* | 085 | CAKE | В | 95,000 | 25.94 | n/a | 20-Oct | 3,800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | | MRI | Research | Comm. | ¢/Shr. | |
|---------------------------|-----------|-----------|----------|------------------|--------|------|-----|----------|-----------|----------|-----|
| CRAMER ROSENTHAL/SCOTT | 070 | CBE | S | 43,300 | 50.99 | | n/a | 16-Sep | 1,732.00 | 4.0 | |
| MERRILL ASSET/BLACKROCK | 297 | CBG | В | 25,000 | 14.33 | | n/a | n/a | 1,000.00 | 4.0 | |
| WEINTRAUB CAPITAL MGT. | 040 | CHS | В | 50,000 | 12.01 | | n/a | 5-Feb | 2,000.00 | 4.0 | |
| STANDARD PACIFIC CAPITAL | 084 | CVS | S | 100,000 | 34.60 | | n/a | n/a | 5,000.00 | 5.0 | |
| NEUBERGER BERMAN | 036 | CYMI | S | 27,600 | 42.41 | | n/a | n/a | 1,104.00 | 4.0 | |
| SASCO | 033 | EP | S | 37,300 | 24.82 | | n/a | n/a | 1,492.00 | 4.0 | |
| SASCO | 033 | FBHS | В | 11,200 | 15.04 | | n/a | n/a | 448.00 | 4.0 | |
| LATEFF MGMT | 035 | FMER | В | 1,000 | 12.69 | | n/a | n/a | 100.00 | 10.0 | |
| LATEFF MGMT | 035 | GLW | В | 750 | 13.21 | | n/a | 23-Sep | 75.00 | 10.0 | |
| DEVENNY CAP LLC | 044 | GNTX | В | 16,100 | 27.54 | | n/a | 19-Oct | 483.00 | 3.0 | |
| WEDBUSH/PACIFIC GROWTH EQ | QTY LLC08 | 34 HAR | | SS 10, | 000 34 | .96 | | n/a 3-Fe | eb 50 | 0.00 5.0 | |
| &HOFFMAN | 014 | HELM CAPI | TAL GROU | JP S | 35,700 | 0.00 | | n/a | n/a | 0.00 0 | 0.0 |
| M&I FUNDS | 047 | HRS | S | 53 , 852 | 36.21 | | n/a | 17-Oct | 2,154.08 | 4.0 | |
| LATEFF MGMT | 035 | INTC | S | 300 | 23.74 | | n/a | n/a | 45.00 | 15.0 | |
| ELM RIDGE ADVISORS | 044 | IP | S | 471 , 000 | 25.60 | | n/a | 17-Oct | 18,840.00 | 4.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|--------------------------|--|--|--|---|---|---|---|--|---|
| HOPLITE MGMT | 025 | ITUB | С | 100,000 | 17.68 | n/a | n/a | 4,000.00 | 4.0 |
| OHIO PERS | 047 | JNPR | В | 110,000 | 20.55 | n/a | n/a | 3,300.00 | 3.0 |
| LATEFF MGMT | 035 | KFT | S | 450 | 35.12 | n/a | n/a | 90.00 | 20.0 |
| LATEFF MGMT | 035 | KMB | S | 200 | 71.88 | n/a | 25-Jul | 50.00 | 25.0 |
| BALLAST CAP | 040 | LKQX | S | 20,000 | 26.92 | n/a | n/a | 1,000.00 | 5.0 |
| OZ MGMT | 040 | MGA | С | 116,380 | 35.79 | n/a | n/a | 3,491.40 | 3.0 |
| SANDLER O'NEILL ASSET | 031 | MS | В | 50,000 | 16.59 | n/a | 19-Oct | 2,500.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | М | S | 325,600 | 29.35 | n/a | 7-0ct | 9,768.00 | 3.0 |
| OSKIE CAPITAL MGMT | 224 | NTRS | SS | 17,000 | 37.61 | n/a | 19-Oct | 850.00 | 5.0 |
| LATEFF MGMT | 035 | NUE | S | 400 | 35.95 | n/a | n/a | 88.00 | 22.0 |
| LATEFF MGMT | 035 | NYB | S | 250 | 12.19 | n/a | 19-Oct | 30.00 | 12.0 |
| NEUBERGER BERMAN | 036 | OHI | В | 2,622 | 16.80 | n/a | n/a | 104.88 | 4.0 |
| NEUBERGER BERMAN | 036 | PENN | S | 35 , 100 | 36.93 | n/a | n/a | 1,404.00 | 4.0 |
| KACELA CAPITAL | 034 | PG | В | 10,000 | 65.06 | n/a | 10-Oct | 400.00 | 4.0 |
| LIONEYE CAPITAL | 040 | PSS | В | 8 , 500 | 14.45 | n/a | n/a | 425.00 | 5.0 |
| | HOPLITE MGMT OHIO PERS LATEFF MGMT LATEFF MGMT BALLAST CAP OZ MGMT SANDLER O'NEILL ASSET SYSTEMATIC FINANCIAL MGT OSKIE CAPITAL MGMT LATEFF MGMT LATEFF MGMT NEUBERGER BERMAN NEUBERGER BERMAN KACELA CAPITAL | HOPLITE MGMT 025 OHIO PERS 047 LATEFF MGMT 035 LATEFF MGMT 035 BALLAST CAP 040 OZ MGMT 040 SANDLER O'NEILL ASSET 031 SYSTEMATIC FINANCIAL MGT 035 OSKIE CAPITAL MGMT 224 LATEFF MGMT 035 LATEFF MGMT 035 NEUBERGER BERMAN 036 KACELA CAPITAL 034 | HOPLITE MGMT 025 ITUB OHIO PERS 047 JNPR LATEFF MGMT 035 KFT LATEFF MGMT 035 KMB BALLAST CAP 040 LKQX OZ MGMT 040 MGA SANDLER O'NEILL ASSET 031 MS SYSTEMATIC FINANCIAL MGT 035 M OSKIE CAPITAL MGMT 224 NTRS LATEFF MGMT 035 NUE LATEFF MGMT 035 NUE LATEFF MGMT 035 NYB NEUBERGER BERMAN 036 OHI NEUBERGER BERMAN 036 PENN KACELA CAPITAL 034 PG | HOPLITE MGMT 025 ITUB C OHIO PERS 047 JNPR B LATEFF MGMT 035 KFT S LATEFF MGMT 035 KMB S BALLAST CAP 040 LKQX S OZ MGMT 040 MGA C SANDLER O'NEILL ASSET 031 MS B SYSTEMATIC FINANCIAL MGT 035 M S OSKIE CAPITAL MGMT 224 NTRS SS LATEFF MGMT 035 NUE S LATEFF MGMT 035 NUE S LATEFF MGMT 035 NYB S NEUBERGER BERMAN 036 OHI B NEUBERGER BERMAN 036 PENN S KACELA CAPITAL 034 PG B | HOPLITE MGMT 025 ITUB C 100,000 OHIO PERS 047 JNPR B 110,000 LATEFF MGMT 035 KFT S 450 LATEFF MGMT 035 KMB S 200 BALLAST CAP 040 LKQX S 20,000 OZ MGMT 040 MGA C 116,380 SANDLER O'NEILL ASSET 031 MS B 50,000 SYSTEMATIC FINANCIAL MGT 035 M S 325,600 OSKIE CAPITAL MGMT 224 NTRS SS 17,000 LATEFF MGMT 035 NUE S 400 LATEFF MGMT 035 NUE S 400 LATEFF MGMT 036 OHI B 2,622 NEUBERGER BERMAN 036 PENN S 35,100 KACELA CAPITAL 034 PG B 10,000 | HOPLITE MGMT 025 ITUB C 100,000 17.68 OHIO PERS 047 JNPR B 110,000 20.55 LATEFF MGMT 035 KFT S 450 35.12 LATEFF MGMT 035 KMB S 200 71.88 BALLAST CAP 040 LKQX S 20,000 26.92 OZ MGMT 040 MGA C 116,380 35.79 SANDLER O'NEILL ASSET 031 MS B 50,000 16.59 SYSTEMATIC FINANCIAL MGT 035 M S 325,600 29.35 OSKIE CAPITAL MGMT 224 NTRS SS 17,000 37.61 LATEFF MGMT 035 NUE S 400 35.95 LATEFF MGMT 035 NYB S 250 12.19 NEUBERGER BERMAN 036 OHI B 2,622 16.80 NEUBERGER BERMAN 036 PENN S 35,100 36.93 KACELA CAPITAL 034 PG B 10,000 65.06 | HOPLITE MGMT 025 ITUB C 100,000 17.68 n/a CHIO PERS 047 JNPR B 110,000 20.55 n/a LATEFF MGMT 035 KFT S 450 35.12 n/a LATEFF MGMT 035 KMB S 200 71.88 n/a BALLAST CAP 040 LKQX S 20,000 26.92 n/a OZ MGMT 040 MGA C 116,380 35.79 n/a SANDLER O'NEILL ASSET 031 MS B 50,000 16.59 n/a SYSTEMATIC FINANCIAL MGT 035 M S 325,600 29.35 n/a OSKIE CAPITAL MGMT 035 NUE S 400 37.61 n/a LATEFF MGMT 035 NUE S 400 35.95 n/a LATEFF MGMT 035 NYB S 250 12.19 n/a NEUBERGER BERMAN 036 OHI B 2,622 16.80 n/a NEUBERGER BERMAN 036 PENN S 35,100 36.93 n/a KACELA CAPITAL 034 PG B 10,000 65.06 n/a | HOPLITE MGMT 025 ITUB C 100,000 17.68 n/a n/a OHIO PERS 047 JNPR B 110,000 20.55 n/a n/a LATEFF MGMT 035 KFT S 450 35.12 n/a n/a LATEFF MGMT 035 KMB S 200 71.88 n/a 25-Jul BALLAST CAP 040 LKQX S 20,000 26.92 n/a n/a OZ MGMT 040 MGA C 116,380 35.79 n/a n/a SANDLER O'NEILL ASSET 031 MS B 50,000 16.59 n/a 19-Oct SYSTEMATIC FINANCIAL MGT 035 M S 325,600 29.35 n/a 7-Oct OSKIE CAPITAL MGMT 035 NUE S 400 35.95 n/a n/a LATEFF MGMT 035 NUE S 400 35.95 n/a 19-Oct LATEFF MGMT 035 NYB S 250 12.19 n/a 19-Oct NEUBERGER BERMAN 036 OHI B 2,622 16.80 n/a n/a NEUBERGER BERMAN 036 PENN S 35,100 36.93 n/a n/a KACELA CAPITAL 034 PG B 10,000 65.06 n/a 10-Oct | HOPLITE MGMT 025 ITUB C 100,000 17.68 n/a n/a 4,000.00 OHTO PERS 047 JNPR B 110,000 20.55 n/a n/a 3,300.00 LATEFF MGMT 035 KFT S 450 35.12 n/a n/a 90.00 LATEFF MGMT 035 KMB S 200 71.88 n/a 25-Jul 50.00 BALLAST CAP 040 LKQX S 20,000 26.92 n/a n/a 1,000.00 02 MGMT 040 MGA C 116,380 35.79 n/a n/a 3,491.40 SANDLER O'NEILL ASSET 031 MS B 50,000 16.59 n/a 19-Oct 2,500.00 SYSTEMATIC FINANCIAL MGT 035 M S 325,600 29.35 n/a 7-Oct 9,768.00 OSKIE CAPITAL MGMT 224 NTRS SS 17,000 37.61 n/a 19-Oct 850.00 LATEFF MGMT 035 NUE S 400 35.95 n/a n/a 19-Oct 30.00 LATEFF MGMT 035 NYB S 250 12.19 n/a 19-Oct 30.00 NEUBERGER BERMAN 036 OHI B 2,622 16.80 n/a n/a 19-Oct 30.00 KECELA CAPITAL MGM 19 OHI B 1,622 16.80 n/a n/a 1,404.00 KACELA CAPITAL 034 PG B 10,000 65.06 n/a 10-Oct 400.00 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
|---------------------------|------|--------|-----|---------|-------|-----|----------|----------|------|
| MERRILL ASSET/BLACKROCK | 297 | RLI | S | 1,600 | 69.16 | n/a | n/a | 64.00 | 4.0 |
| LATEFF MGMT | 035 | SFG | S | 250 | 30.35 | n/a | n/a | 50.00 | 20.0 |
| FORTRESS INVESTMENT (US) | 036 | SLM | S | 60,000 | 13.24 | n/a | 20-0ct | 1,800.00 | 3.0 |
| ROTHSCHILD ASSET | 040 | SXCI | В | 853 | 55.30 | n/a | n/a | 34.12 | 4.0 |
| LATEFF MGMT | 035 | SYY | S | 600 | 26.37 | n/a | n/a | 78.00 | 13.0 |
| LATEFF MGMT | 035 | TEVA | В | 200 | 38.60 | n/a | 17-Oct | 60.00 | 30.0 |
| LATEFF MGMT | 035 | TRV | S | 125 | 54.49 | n/a | n/a | 37.50 | 30.0 |
| NEW JERSEY DIV OF INV. | 030 | TXT | S | 150,000 | 18.46 | n/a | n/a | 6,000.00 | 4.0 |
| BALLAST CAP | 040 | UNP | В | 4,500 | 94.46 | n/a | n/a | 225.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | UPL | В | 11,900 | 30.09 | n/a | 12-Oct | 476.00 | 4.0 |
| SONTERRA CAP | 041 | VALE | SS | 50,000 | 22.14 | n/a | n/a | 2,000.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | WDC | S | 4,993 | 24.52 | n/a | n/a | 199.72 | 4.0 |
| LATEFF MGMT | 035 | WMT | S | 150 | 56.50 | n/a | 13-Oct | 42.00 | 28.0 |
| BALLAST CAP | 040 | WSO | В | 1,700 | 57.81 | n/a | n/a | 85.00 | 5.0 |
| MACQUARIE INVESTMENT MGMT | 040 | YUM | SS | 5,000 | 51.70 | n/a | 5-0ct | 0.00 | 0.0 |

TOTAL (Trade Date): 108,544.52

Cancel/Corrects and As-Of Trades

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
|-------|-----------------------------|--------------------------|------------------------------|------------------------------|--------------------------------|---------------------------------------|--|--|--|---|
| 10/20 | &HOFFMAN (&HOFFMAN) | 014 | | S | 25,000 | 0.00 | n/a | n/a | 0.00 | 0.0 |
| 10/20 | &HOFFMAN (&HOFFMAN) | 014 | | S | 10,700 | 0.00 | n/a | n/a | 0.00 | 0.0 |
| 10/20 | UNICOM CAPITAL (UNICCITIPB) | 033 | ARCO | В | 12,500 | 22.00 | n/a | 17-Oct | 625.00 | 5.0 |
| L | 0/20 | 0/20 &HOFFMAN (&HOFFMAN) | 0/20 &HOFFMAN (&HOFFMAN) 014 | 0/20 &HOFFMAN (&HOFFMAN) 014 | 0/20 &HOFFMAN (&HOFFMAN) 014 S | 0/20 &HOFFMAN (&HOFFMAN) 014 S 10,700 | 0/20 &HOFFMAN (&HOFFMAN) 014 S 10,700 0.00 | 0/20 &HOFFMAN (&HOFFMAN) 014 S 10,700 0.00 n/a | 0/20 &HOFFMAN (&HOFFMAN) 014 S 10,700 0.00 n/a n/a | 0/20 &HOFFMAN (&HOFFMAN) 014 S 10,700 0.00 n/a n/a 0.00 |

| TOTAL (RUN DATE) / NFS: | 109,169.52 |
|-------------------------|------------|
| TOTAL (AO, CXL, CRT): | 625.00 |
| TOTAL (Trade Date): | 108,544.52 |

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