



Daily Compliance Activity Report

Trade Date: 07/18/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| OZ MGMT | 040 | ALV | B | 75,000 | 55.01 | n/a | 20-Jun | 2,250.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | ALV | B | 6,700 | 53.97 | n/a | 20-Jun | 335.00 | 5.0 |
| TOURMALINE PARTNERS LLC | 086 | APKT | B | 75,000 | 17.46 | n/a | n/a | 2,250.00 | 0.0 |
| JP MORGAN VENTURES | 046 | ASNA | S | 20,000 | 19.01 | n/a | n/a | 600.00 | 3.0 |
| ROSEDALE CAPITAL | 046 | BAC | B | 60,000 | 7.77 | n/a | 18-Jul | 1,800.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | BJRI | SS | 10,000 | 40.90 | n/a | n/a | 500.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | BWLD | C | 17,249 | 85.60 | n/a | n/a | 862.45 | 0.0 |
| JETSTREAM GLOBAL FUND LP | 065 | CFX | S | 33,000 | 28.00 | n/a | n/a | 1,650.00 | 5.0 |
| SIMMONS VENTURES | 041 | COH | B | 5,000 | 56.90 | n/a | 18-Jul | 200.00 | 4.0 |
| GOLD SACHS SPECIAL SIT | 030 | DAN | B | 100,000 | 11.95 | n/a | 26-Apr | 5,000.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | DECK | C | 10,000 | 46.81 | n/a | n/a | 500.00 | 0.0 |
| SENATOR INVESTMENT GROUP | 036 | DHR | B | 150,000 | 51.71 | n/a | n/a | 4,500.00 | 3.0 |
| CORNERSTONE | 030 | EBAY | B | 95,561 | 40.25 | n/a | n/a | 2,866.83 | 0.0 |
| BUTTE CAPITAL MGMT LLC | 084 | ETN | B | 10,000 | 38.66 | n/a | 10-Jul | 500.00 | 5.0 |
| SCOPUS FUND | 041 | FNP | S | 25,000 | 9.71 | n/a | n/a | 1,000.00 | 4.0 |

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|--------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| BALYASNY ASSET MGMT | 044 | GM | SS | 50,000 | 20.10 | n/a | 17-Jul | 2,500.00 | 0.0 |
| WOOSTER CAPITAL | 035 | GM | SS | 100,000 | 20.06 | n/a | 17-Jul | 5,000.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | HAS | C | 15,000 | 33.13 | n/a | n/a | 750.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | HOG | B | 10,000 | 43.36 | n/a | n/a | 500.00 | 0.0 |
| ARSENAL ASSET MANAGEMENT | 028 | HUBB | S | 5,000 | 81.19 | n/a | n/a | 200.00 | 0.0 |
| TOURMALINE PARTNERS LLC | 086 | IDTI | S | 25,000 | 5.07 | n/a | n/a | 750.00 | 0.0 |
| WADDELL AND REED | 047 | INTC | B | 413,330 | 26.15 | n/a | n/a | 16,533.20 | 0.0 |
| SANDLER CAPITAL | 028 | ITW | C | 165,700 | 52.66 | n/a | 11-Jul | 8,285.00 | 0.0 |
| CHART WELL ADV | 028 | KFT | B | 33,000 | 39.95 | n/a | n/a | 1,320.00 | 0.0 |
| INVESCO | 031 | LVS | S | 268,622 | 40.26 | n/a | 13-Jun | 10,744.88 | 0.0 |
| HOLLIS CAPITAL | 033 | MGM | S | 5,000 | 10.38 | n/a | 13-Jun | 250.00 | 5.0 |
| WOOSTER CAPITAL | 035 | M | S | 50,000 | 34.71 | n/a | 6-Jul | 2,500.00 | 5.0 |
| ARSENAL ASSET MANAGEMENT | 028 | PH | B | 20,000 | 75.84 | n/a | 11-Jul | 800.00 | 0.0 |
| TUDOR INVESTORS | 028 | PNRA | S | 15,000 | 148.18 | n/a | 17-Jul | 450.00 | 3.0 |
| CAERUS GLOBAL | 041 | RCII | B | 31,947 | 33.42 | n/a | n/a | 1,277.88 | 4.0 |
| BALYASNY ASSET MGMT | 044 | SBUX | SS | 20,000 | 53.00 | n/a | 17-Jul | 1,000.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------|--------|-----|---------|--------|-----|----------|------------------|-----|
| TUDOR INVESTORS | 028 | SCSS | B | 25,000 | 21.79 | n/a | n/a | 750.00 | 3.0 |
| CAERUS GLOBAL | 041 | SFLY | S | 7,500 | 33.56 | n/a | n/a | 300.00 | 4.0 |
| CRAMER ROSENTHAL | 070 | TWX | B | 26,800 | 38.85 | n/a | n/a | 1,072.00 | 0.0 |
| COLUMBUS CAP MGMT LLC | 084 | TXN | B | 10,000 | 27.10 | n/a | n/a | 500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | URBN | S | 15,000 | 31.13 | n/a | n/a | 750.00 | 0.0 |
| SHEFFIELD ASSET MGMT | 031 | URBN | S | 33,300 | 30.97 | n/a | n/a | 1,332.00 | 4.0 |
| TUDOR INVESTORS | 028 | WAG | SS | 25,000 | 30.98 | n/a | n/a | 750.00 | 3.0 |
| MASTERS CAPITAL MANAGE | 025 | WFT | B | 150,000 | 12.67 | n/a | n/a | 6,000.00 | 4.0 |
| INVESCO | 031 | WMT | S | 93,936 | 73.22 | n/a | 9-Jul | 3,757.44 | 0.0 |
| COLUMBUS CAP MGMT LLC | 084 | XLNX | B | 27,300 | 31.76 | n/a | n/a | 1,365.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | Y | B | 5,900 | 345.71 | n/a | n/a | 236.00 | 0.0 |
| TOTAL (Trade Date) : | | | | | | | | 94,487.68 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|---------------------------------|------|--------|-----|---------|-------|-----|----------|----------------|
| AO,CXL | 07/17 | SAGE ASSET MGMT (SAGEJEFF) | 025 | BZ | B | 42,800 | 7.32 | n/a | n/a | 2140.00 5.0 |
| AO,CRT | 07/17 | SAGE ASSET MGMT (SAGEJEFF) | 025 | BZ | B | 42,800 | 7.32 | n/a | n/a | 1712.00 4.0 |
| AO,CXL | 07/17 | BRIGADE CAPITAL MGMT (BRICBEAR) | 029 | IWM | SS | 100,000 | 79.72 | n/a | n/a | 3000.00 0.0 |
| AO, | 07/17 | BRIGADE CAPITAL MGMT (BRICGS) | 029 | IWM | SS | 100,000 | 79.72 | n/a | n/a | 3000.00 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -428.00 |

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|------------------------|-----------|
| TOTAL (Trade Date) : | 94,487.68 |
| TOTAL (AO, CXL, CRT) : | -428.00 |

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|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 94,059.68 |
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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