

## **Daily Compliance Activity Report** Trade Date: 04/22/2010

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

|                          |      |        |     |                 | 101    |     | IIIIIIIII | TRIDE VIO |        |
|--------------------------|------|--------|-----|-----------------|--------|-----|-----------|-----------|--------|
| Account                  | RR # | Symbol | B/S | Shares          | Price  | MRI | Research  | Comm.     | ¢/Shr. |
| EXIS CAPITAL             | 044  | AEO    | SS  | 20,000          | 18.06  | n/a | 9-Apr     | 1,000.00  | 5.0    |
| PARTNER REINSURANCE      | 033  | ANF    | В   | 12,700          | 48.86  | n/a | 9-Apr     | 508.00    | 4.0    |
| WEISS PECK               | 040  | ANF    | С   | 2,300           | 47.37  | n/a | 9-Apr     | 115.00    | 5.0    |
| EXIS CAPITAL             | 044  | ANN    | SS  | 20,000          | 23.06  | n/a | n/a       | 1,000.00  | 5.0    |
| MILLENIUM PARTNERS       | 028  | AN     | S   | 20,000          | 20.20  | n/a | 20-Apr    | 800.00    | 4.0    |
| MTB INV ADV              | 034  | AUXL   | В   | 14,419          | 35.34  | n/a | n/a       | 720.95    | 5.0    |
| ROSEDALE CAPITAL         | 046  | AXL    | S   | 20,000          | 11.36  | n/a | 20-Apr    | 1,000.00  | 5.0    |
| TRUSTCO/SUNTRUST         | 040  | AXL    | В   | 54,940          | 11.31  | n/a | 20-Apr    | 2,142.66  | 3.9    |
| TROUBH PART              | 067  | BAC    | В   | 25 <b>,</b> 000 | 18.56  | n/a | 19-Apr    | 1,250.00  | 5.0    |
| WHALE ROCK CAP           | 030  | BONT   | В   | 19,100          | 17.65  | n/a | n/a       | 764.00    | 4.0    |
| WEISS PECK               | 040  | CAKE   | С   | 11,300          | 29.44  | n/a | 19-Apr    | 565.00    | 5.0    |
| SENATOR INVESTMENT GROUP | 036  | CCI    | В   | 30,000          | 37.97  | n/a | n/a       | 900.00    | 3.0    |
| BENNETT LAWRENCE         | 028  | CMG    | В   | 2,450           | 139.24 | n/a | 22-Apr    | 98.00     | 4.0    |
| WEISS PECK               | 040  | CMG    | С   | 900             | 136.86 | n/a | 22-Apr    | 45.00     | 5.0    |
| MTB INV ADV              | 034  | CVH    | S   | 65 <b>,</b> 578 | 23.39  | n/a | n/a       | 3,278.90  | 5.0    |
| EXIS CAPITAL             | 044  | CWTR   | В   | 10,000          | 8.60   | n/a | n/a       | 500.00    | 5.0    |

| Account                  | RR #   | Symbol   | B/S  | Shares   | Price   | MRI   | Research  | Comm.¢  | /Shr.                               |
|--------------------------|--|--|--|--|---|---|---|---|-------------------------------------|
| EXIS CAPITAL             | 044  | DENN   | В  | 10,000   | 3.77  | n/a   | n/a   | 500.00  | 5.0                                 |
| BNP PARIBAS SEC          | 040  | DHR  | S  | 5,000  | 84.49   | n/a   | n/a   | 200.00  | 4.0                                 |
| SAC TRADING TOM LEDDY    | 035  | DPS  | В  | 10,000   | 33.40   | n/a   | n/a   | 350.00  | 3.5                                 |
| SENATOR INVESTMENT GROUP | 036  | EEM  | SS   | 200,000  | 42.48   | n/a   | n/a   | 6,000.00  | 3.0                                 |
| MERRILL ASSET/BLACKROCK  | 263  | ESL  | В  | 24,300   | 54.76   | n/a   | n/a   | 972.00  | 4.0                                 |
| FIRST NEW YORK LEDDY     | 035  | ETFC   | В  | 10,000   | 1.79  | n/a   | n/a   | 600.00  | 6.0                                 |
| MILLENIUM PARTNERS       | 028  | ETN  | В  | 20,000   | 77.91   | n/a   | 20-Apr  | 800.00  | 4.0                                 |
| NEWLAND CAPITAL MGT      | 067  | FAST   | В  | 10,000   | 55.11   | n/a   | n/a   | 400.00  | 4.0                                 |
| NWQ INVESTMENT MGMT CO   | 048  | FMR  | В  | 20,000   | 13.65   | n/a   | n/a   | 800.00  | 4.0                                 |
| NWQ INVESTMENT MGMT CO   | 048  | FOR  | В  | 9,700  | 21.83   | n/a   | 19-Apr  | 388.00  | 4.0                                 |
| WEISS PECK               | 040  | FOSL   | SS   | 3,200  | 41.38   | n/a   | n/a   | 160.00  | 5.0                                 |
| TRAFELET & COMP.         | 028  | FUN  | В  | 100,000  | 14.97   | n/a   | n/a   | 5,000.00  | 5.0                                 |
| OZ MGMT                  | 040  | F  | В  | 100,000  | 13.90   | n/a   | 20-Apr  | 3,000.00  | 3.0                                 |
| RBC CAPITAL MARKETS      | 040  | GE   | S  | 50,000   | 18.95   | n/a   | n/a   | 2,000.00  | 4.0                                 |
| RAIL-SPLITTER            | 031  | GIL  | В  | 18,500   | 28.71   | n/a   | 22-Mar  | 925.00  | 5.0                                 |
|                          | EXIS CAPITAL  BNP PARIBAS SEC  SAC TRADING TOM LEDDY  SENATOR INVESTMENT GROUP  MERRILL ASSET/BLACKROCK  FIRST NEW YORK LEDDY  MILLENIUM PARTNERS  NEWLAND CAPITAL MGT  NWQ INVESTMENT MGMT CO  WEISS PECK  TRAFELET & COMP.  OZ MGMT  RBC CAPITAL MARKETS | EXIS CAPITAL 044  BNP PARIBAS SEC 040  SAC TRADING TOM LEDDY 035  SENATOR INVESTMENT GROUP 036  MERRILL ASSET/BLACKROCK 263  FIRST NEW YORK LEDDY 035  MILLENIUM PARTNERS 028  NEWLAND CAPITAL MGT 067  NWQ INVESTMENT MGMT CO 048  WEISS PECK 040  TRAFELET & COMP. 028  OZ MGMT 040  RBC CAPITAL MARKETS 040 | EXIS CAPITAL 044 DENN BNP PARIBAS SEC 040 DHR SAC TRADING TOM LEDDY 035 DPS SENATOR INVESTMENT GROUP 036 EEM MERRILL ASSET/BLACKROCK 263 ESL FIRST NEW YORK LEDDY 035 ETFC MILLENIUM PARTNERS 028 ETN NEWLAND CAPITAL MGT 067 FAST NWQ INVESTMENT MGMT CO 048 FMR NWQ INVESTMENT MGMT CO 048 FOR WEISS PECK 040 FOSL TRAFELET & COMP. 028 FUN OZ MGMT 040 F RBC CAPITAL MARKETS 040 GE | EXIS CAPITAL 044 DENN B BNP PARIBAS SEC 040 DHR S SAC TRADING TOM LEDDY 035 DPS B SENATOR INVESTMENT GROUP 036 EEM SS MERRILL ASSET/BLACKROCK 263 ESL B FIRST NEW YORK LEDDY 035 ETFC B MILLENIUM PARTNERS 028 ETN B NEWLAND CAPITAL MGT 067 FAST B NWQ INVESTMENT MGMT CO 048 FMR B NWQ INVESTMENT MGMT CO 048 FOR B WEISS PECK 040 FOSL SS TRAFELET & COMP. 028 FUN B CZ MGMT 040 F B RBC CAPITAL MARKETS 040 GE S | EXIS CAPITAL 044 DENN B 10,000  BNP PARIBAS SEC 040 DHR S 5,000  SAC TRADING TOM LEDDY 035 DPS B 10,000  SENATOR INVESTMENT GROUP 036 EEM SS 200,000  MERRILL ASSET/BLACKROCK 263 ESL B 24,300  FIRST NEW YORK LEDDY 035 ETFC B 10,000  MILLENIUM PARTNERS 028 ETN B 20,000  NEWLAND CAPITAL MGT 067 FAST B 10,000  NWQ INVESTMENT MGMT CO 048 FMR B 20,000  NWQ INVESTMENT MGMT CO 048 FOR B 9,700  WEISS PECK 040 FOSL SS 3,200  TRAFELET & COMP. 028 FUN B 100,000  OZ MGMT 040 F B 100,000  REC CAPITAL MARKETS 040 GE S 50,000 | EXIS CAPITAL 044 DENN B 10,000 3.77  BNP PARIBAS SEC 040 DHR S 5,000 84.49  SAC TRADING TOM LEDDY 035 DPS B 10,000 33.40  SENATOR INVESTMENT GROUP 036 EEM SS 200,000 42.48  MERRILL ASSET/BLACKROCK 263 ESL B 24,300 54.76  FIRST NEW YORK LEDDY 035 ETFC B 10,000 1.79  MILLENIUM PARTNERS 028 ETN B 20,000 77.91  NEWLAND CAPITAL MGT 067 FAST B 10,000 55.11  NWQ INVESTMENT MGMT CO 048 FMR B 20,000 13.65  NWQ INVESTMENT MGMT CO 048 FOR B 9,700 21.83  WEISS PECK 040 FOSL SS 3,200 41.38  TRAFELET & COMP. 028 FUN B 100,000 14.97  OZ MGMT 040 F B 100,000 13.90  REC CAPITAL MARKETS 040 GE S 50,000 18.95 | EXIS CAPITAL 044 DENN B 10,000 3.77 n/a  BNP PARIBAS SEC 040 DHR S 5,000 84.49 n/a  SAC TRADING TOM LEDDY 035 DPS B 10,000 33.40 n/a  SENATOR INVESTMENT GROUP 036 EEM SS 200,000 42.48 n/a  MERRILL ASSET/BLACKROCK 263 ESL B 24,300 54.76 n/a  FIRST NEW YORK LEDDY 035 ETFC B 10,000 1.79 n/a  MILLENIUM PARTNERS 028 ETN B 20,000 77.91 n/a  NEWLAND CAPITAL MGT 067 FAST B 10,000 55.11 n/a  NWQ INVESTMENT MGMT CO 048 FMR B 20,000 13.65 n/a  NWQ INVESTMENT MGMT CO 048 FOR B 9,700 21.83 n/a  WEISS PECK 040 FOSL SS 3,200 41.38 n/a  TRAFELET & COMP. 028 FUN B 100,000 14.97 n/a  OZ MGMT 040 F B 100,000 13.90 n/a  REC CAPITAL MARKETS 040 GE S 50,000 18.95 n/a | EXIS CAPITAL 044 DENN B 10,000 3.77 n/a n/a BNP PARIBAS SEC 040 DHR S 5,000 84.49 n/a n/a SAC TRADING TOM LEDDY 035 DPS B 10,000 33.40 n/a n/a SENATOR INVESTMENT GROUP 036 EEM SS 200,000 42.48 n/a n/a MERRILL ASSET/BLACKROCK 263 ESL B 24,300 54.76 n/a n/a FIRST NEW YORK LEDDY 035 ETFC B 10,000 1.79 n/a n/a MILLENIUM PARINERS 028 ETN B 20,000 77.91 n/a 20-Apr NEWLAND CAPITAL MGT 067 FAST B 10,000 55.11 n/a n/a NWQ INVESTMENT MGMT CO 048 FMR B 20,000 13.65 n/a n/a NWQ INVESTMENT MGMT CO 048 FOR B 9,700 21.83 n/a 19-Apr WEISS PECK 040 FOSL SS 3,200 41.38 n/a n/a TRAFELET & COMP. 028 FUN B 100,000 14.97 n/a n/a OZ MGMT 040 F B 100,000 13.90 n/a 20-Apr RBC CAPITAL MARKETS 040 GE S 50,000 18.95 n/a n/a | EXIS CAPITAL 044 DENN B 10,000 3.77 |

|                        |      |        |     |         |       |     |          |           |        | i |
|------------------------|------|--------|-----|---------|-------|-----|----------|-----------|--------|---|
| Account                | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢    | :/Shr. |   |
| MTB INV ADV            | 034  | GLW    | В   | 62,286  | 20.33 | n/a | 19-Mar   | 3,114.30  | 5.0    |   |
| RBC CAPITAL MARKETS    | 040  | GPS    | В   | 10,000  | 25.73 | n/a | n/a      | 400.00    | 4.0    |   |
| ADAGE CAPITAL MGMT     | 030  | HON    | В   | 65,000  | 46.99 | n/a | 31-Mar   | 1,950.00  | 3.0    |   |
| BNP PARIBAS SEC        | 040  | HON    | В   | 16,200  | 46.46 | n/a | 31-Mar   | 648.00    | 4.0    |   |
| UBS OCONNOR            | 031  | HON    | С   | 700,000 | 46.90 | n/a | 31-Mar   | 21,000.00 | 3.0    |   |
| CASTLEROCK             | 040  | НОТ    | В   | 64,213  | 52.31 | n/a | n/a      | 2,568.52  | 4.0    |   |
| TRAFELET & COMP.       | 028  | ICGE   | В   | 100,000 | 10.82 | n/a | n/a      | 5,000.00  | 5.0    |   |
| FARALLON CAP MGMT      | 040  | JOE    | SS  | 31,500  | 35.46 | n/a | n/a      | 1,260.00  | 4.0    |   |
| MACKLOWE ASSET MGMT    | 041  | KO     | SS  | 120,000 | 54.08 | n/a | 20-Apr   | 4,800.00  | 4.0    |   |
| CAPITAL GROWTH MGMT.   | 241  | KSS    | В   | 100,000 | 56.75 | n/a | 9-Apr    | 5,000.00  | 5.0    |   |
| METROPOLITAN CAPITAL   | 044  | LEA    | В   | 11,000  | 82.90 | n/a | 20-Apr   | 550.00    | 5.0    |   |
| OZ MGMT                | 040  | LEA    | В   | 10,000  | 82.76 | n/a | 20-Apr   | 300.00    | 3.0    |   |
| CAVU CAP ADV           | 028  | LOW    | В   | 139,080 | 26.83 | n/a | 22-Feb   | 6,954.00  | 5.0    |   |
| THE JAY GOLDMAN        | 028  | MAR    | S   | 5,000   | 35.58 | n/a | n/a      | 200.00    | 4.0    |   |
| MACKLOWE ASSET MGMT    | 041  | MAT    | SS  | 75,000  | 23.52 | n/a | n/a      | 3,000.00  | 4.0    |   |
| BROADARCH CAP/OLD NEWC | 070  | MGM    | В   | 10,000  | 14.97 | n/a | 15-Apr   | 400.00    | 4.0    |   |
| TRELLUS PARTNERS LP    | 028  | MS     | В   | 30,000  | 31.90 | n/a | 21-Apr   | 1,500.00  | 5.0    |   |

| Account                  | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.¢   | Shr. |
|--------------------------|------|--------|-----|---------|--------|-----|----------|----------|------|
| CASTLEROCK               | 040  | MTB    | В   | 21,526  | 87.48  | n/a | n/a      | 861.04   | 4.0  |
| RBC CAPITAL MARKETS      | 040  | М      | В   | 15,000  | 24.28  | n/a | 9-Apr    | 600.00   | 4.0  |
| COOPER CREEK PART        | 028  | PAG    | В   | 25,000  | 15.94  | n/a | 20-Apr   | 1,000.00 | 4.0  |
| ELM RIDGE ADVISORS       | 044  | PCL    | S   | 37,200  | 42.65  | n/a | 19-Apr   | 1,488.00 | 4.0  |
| SYSTEMATIC FINANCIAL MGT | 035  | PETM   | В   | 98,050  | 33.60  | n/a | n/a      | 2,941.50 | 3.0  |
| MILLENIUM PARTNERS       | 028  | РН     | SS  | 20,000  | 70.43  | n/a | 21-Apr   | 800.00   | 4.0  |
| BNP PARIBAS SEC          | 040  | POT    | В   | 5,000   | 108.36 | n/a | n/a      | 200.00   | 4.0  |
| HIGHBRIDGE CAP           | 041  | RHI    | В   | 25,000  | 31.70  | n/a | n/a      | 1,000.00 | 4.0  |
| TROUBH PART              | 067  | SD     | В   | 10,000  | 7.58   | n/a | n/a      | 500.00   | 5.0  |
| THE BOSTON COMPANY       | 048  | SHW    | В   | 150,850 | 76.65  | n/a | 22-Apr   | 6,034.00 | 4.0  |
| BNP PARIBAS SEC          | 040  | SLB    | В   | 15,000  | 68.32  | n/a | n/a      | 600.00   | 4.0  |
| SCOPIA CAPITAL           | 048  | SLM    | S   | 104,285 | 13.78  | n/a | 22-Apr   | 4,171.40 | 4.0  |
| CONIFER/ISF              | 025  | SMG    | В   | 600     | 48.19  | n/a | 9-Apr    | 30.00    | 5.0  |
| SACC-SCHWARTZ            | 044  | SPY    | В   | 100,000 | 119.57 | n/a | n/a      | 3,500.00 | 3.5  |
| SACC-SCHWARTZ            | 044  | SPY    | SS  | 50,000  | 119.83 | n/a | n/a      | 1,750.00 | 3.5  |
| CSFB GLOBAL PROPRIETARY  | 041  | TIN    | S   | 15,000  | 24.00  | n/a | 21-Apr   | 750.00   | 5.0  |

| Account                  | RR # | Symbol | B/S | Shares          | Price | MRI | Research | Comm.    | Shr. |
|--------------------------|------|--------|-----|-----------------|-------|-----|----------|----------|------|
| HARBORWATCH/DIAMBACK     | 232  | TIN    | S   | 35,000          | 24.03 | n/a | 21-Apr   | 1,750.00 | 5.0  |
| HIGHBRIDGE CAP           | 041  | TIN    | В   | 17,600          | 24.23 | n/a | 21-Apr   | 704.00   | 4.0  |
| HUNTER GLOBAL INVESTOR   | 067  | TIN    | В   | 148,500         | 23.93 | n/a | 21-Apr   | 7,425.00 | 5.0  |
| IMPALA ASSET MMT         | 012  | TIN    | S   | 50,000          | 24.02 | n/a | 21-Apr   | 2,000.00 | 4.0  |
| COUGAR TRADING           | 044  | TM     | SS  | 5,000           | 76.70 | n/a | n/a      | 250.00   | 5.0  |
| OZ MGMT                  | 040  | TRW    | SS  | 27 <b>,</b> 731 | 33.04 | n/a | n/a      | 831.93   | 3.0  |
| JP MORGAN VENTURES       | 046  | URI    | SS  | 40,000          | 12.24 | n/a | n/a      | 2,000.00 | 5.0  |
| TRELLUS PARTNERS LP      | 028  | URI    | S   | 20,000          | 11.86 | n/a | n/a      | 1,000.00 | 5.0  |
| RBC CAPITAL MARKETS      | 040  | VALE   | В   | 50,000          | 31.60 | n/a | n/a      | 2,000.00 | 4.0  |
| EXIS CAPITAL             | 044  | WRC    | В   | 819             | 49.49 | n/a | 2-Mar    | 40.95    | 5.0  |
| LEVIN CAPITAL STRATEGIES | 012  | WRC    | В   | 50,000          | 50.39 | n/a | 2-Mar    | 1,500.00 | 3.0  |
| RBC CAPITAL MARKETS      | 040  | X      | В   | 15,000          | 58.67 | n/a | n/a      | 600.00   | 4.0  |

TOTAL (Trade Date): 141,755.15

## Cancel/Corrects and As-Of Trades

| Туре      | Date    | Account                         | RR # | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm.   | ¢/Shr. |
|-----------|---------|---------------------------------|------|--------|-----|---------|--------|--------|----------|---------|--------|
| AO,CXL    | 04/20   | ST OF MICHIAN (MICHMER9)        | 047  | AAPL   | В   | 50,000  | 245.87 | n/a    | n/a      | 1500.00 | 3.0    |
| AO, CRT   | 04/20   | ST OF MICHIAN (MICHMER2)        | 047  | AAPL   | В   | 50,000  | 245.87 | n/a    |          | 1500.00 | 3.0    |
| 110, 0111 | 0 1, 20 | 01 01 11011111 (11101111111)    | 017  | 11111  | 2   | 00,000  | 210.07 | 11, 0  | 11, 0    | 1000.00 | 0.0    |
| CRT       | 04/22   | ROSEDALE CAPITAL (ROSEGS)       | 046  | AXL    | S   | 20,000  | 11.36  | n/a    | 20-Apr   | 1000.00 | 5.0    |
|           |         |                                 |      |        |     |         |        |        |          |         |        |
| AO,CXL    | 04/21   | TRELLUS PARTNERS LP (TRELMAIN)  | 028  | BZ     | В   | 25,000  | 6.93   | n/a    | n/a      | 1250.00 | 5.0    |
| AO, CRT   | 04/21   | TRELLUS PARTNERS LP (TRELMAIN)  | 028  | BZ     | В   | 25,000  | 6.93   | n/a    | n/a      | 750.00  | 3.0    |
|           |         |                                 |      |        |     |         |        |        |          |         |        |
| AO, CXL   | 04/21   | LISTED ERR (LISTED ERR)         | 099  | CHRW   | S   | 25,000  | 59.00  | n/a    | n/a      | 0.00    | 0.0    |
| AO, CRT   | 04/21   | LISTED ERR (LISTED ERR)         | 099  | CHRW   | S   | 25,000  | 60.00  | n/a    | n/a      | 0.00    | 0.0    |
| AO,       | 04/21   | LISTED ERR (LISTED ERR)         | 099  | CHRW   | SS  | 25,000  | 60.00  | n/a    | n/a      | 0.00    | 0.0    |
| AO,       | 04/21   | CAVU CAP ADV (CAVUCREDIS)       | 028  | CHRW   | SS  | 22,149  | 60.05  | n/a    | n/a      | 1107.45 | 5.0    |
| AO,       | 04/21   | CAVU CAP ADV (CAVUMORGAN)       | 028  | CHRW   | SS  | 4,281   | 60.05  | n/a    | n/a      | 214.05  | 5.0    |
|           |         |                                 |      |        |     |         |        | ,      |          |         |        |
| AO,CXL    | 04/21   | EMERSON CAPITAL MGMT (EMERGSPB) | 048  | DBRN   | В   | 9,000   | 28.94  | n/a    | n/a      | 360.00  | 4.0    |
| AO,CRT    | 04/21   | EMERSON CAPITAL MGMT (EMERGSPB) | 048  | DBRN   | В   | 9,000   | 28.94  | n/a    | n/a      | 450.00  | 5.0    |
| AO,CXL    | 04/20   | ST OF MICHIAN (MICHMER9)        | 047  | FE     | В   | 240,000 | 37.75  | n/a    | n/a      | 7200.00 | 3.0    |
| AO, CRT   |         | ST OF MICHIAN (MICHMER2)        | 047  | FE     | В   | 240,000 | 37.75  | n/a    |          | 7200.00 | 3.0    |
| 110, 0111 | 0 1, 20 | 01 01 1110111111 (111011111111) | 017  |        | 2   | 210,000 | 07.70  | 11/ 04 | 11, 0    | ,200,00 | 0.0    |
| AO,       | 04/21   | LISTED ERR (LISTED ERR)         | 099  | FMR    | В   | 2       | 13.84  | n/a    | n/a      | 0.00    | 0.0    |
|           |         |                                 |      |        |     |         |        |        |          |         |        |
| AO,CXL    | 04/21   | EMERSON CAPITAL MGMT (EMERGSPB) | 048  | PRGO   | SS  | 4,500   | 59.59  | n/a    | 22-Apr   | 180.00  | 4.0    |
| AO,CRT    | 04/21   | EMERSON CAPITAL MGMT (EMERGSPB) | 048  | PRGO   | SS  | 4,500   | 59.59  | n/a    | 22-Apr   | 225.00  | 5.0    |
|           |         |                                 |      |        |     |         |        |        |          |         |        |
| AO,CXL    | 04/21   | EMERSON CAPITAL MGMT (EMERGSPB) | 048  | R      | S   | 3,000   | 46.02  | n/a    | n/a      | 120.00  | 4.0    |
| AO, CRT   | 04/21   | EMERSON CAPITAL MGMT (EMERGSPB) | 048  | R      | S   | 3,000   | 46.02  | n/a    | n/a      | 150.00  | 5.0    |

| Type    | Date  | Account                              | RR # | Symbol | B/S | Shares | Price | MRI E | Research | Comm.  | ¢/Shr. |
|---------|-------|--------------------------------------|------|--------|-----|--------|-------|-------|----------|--------|--------|
| AO,CXL  | 04/21 | TRELLUS PARTNERS LP (TRELMAIN)       | 028  | URI    | В   | 15,000 | 10.69 | n/a   | n/a      | 750.00 | 5.0    |
| AO,CRT  | 04/21 | TRELLUS PARTNERS LP (TRELMAIN)       | 028  | URI    | В   | 15,000 | 10.69 | n/a   | n/a      | 450.00 | 3.0    |
| AO,CXL  | 04/21 | &PRO (&PROSCLOSE)                    | 036  | WAG    | В   | 1,000  | 35.80 | n/a   | n/a      | 40.00  | 4.0    |
| AO, CRT | 04/21 | PROSPECTOR PARTNERS LLC (PROSFOLKSA) | 036  | WAG    | В   | 1,000  | 35.80 | n/a   | n/a      | 40.00  | 4.0    |

| TOTAL (RUN DATE) / NFS: | 143,441.65 |
|-------------------------|------------|
| TOTAL (AO, CXL, CRT):   | 1,686.50   |
| TOTAL (Trade Date):     | 141,755.15 |

## Legend:

O: 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