



Daily Compliance Activity Report

Trade Date: 05/19/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	100	245.79	n/a	n/a	4.00	4.0
RBC CAPITAL MARKETS	040	AA	B	110,000	11.74	n/a	n/a	4,400.00	4.0
TRUSTCO/SUNTRUST	040	ACV	B	37,900	28.17	n/a	26-Apr	1,478.10	3.9
EXIS CAPITAL	044	AEO	S	10,000	15.18	n/a	10-May	500.00	5.0
HILLIARD LYONS CAP MGMT	047	AGN	S	4,525	60.36	n/a	17-May	135.75	3.0
CARLSON CAPITAL	203	ALK	B	40,000	46.00	n/a	n/a	1,600.00	4.0
RAINIER INV MGMT	035	ALK	S	40,000	46.00	n/a	n/a	1,600.00	4.0
RBC CAPITAL MARKETS	040	AMR	B	50,000	7.01	n/a	n/a	2,000.00	4.0
WINSLOW CAPITAL	030	AMZN	B	200	125.25	n/a	n/a	8.00	4.0
BRANDWINE	028	ANF	B	345,110	36.96	n/a	19-May	13,804.40	4.0
WINSLOW CAPITAL	030	APH	B	200	42.81	n/a	n/a	8.00	4.0
EXIS CAPITAL	044	ARO	B	10,000	27.61	n/a	10-May	500.00	5.0
MILLRACE FUND LP	028	AXL	B	20,000	8.20	n/a	3-May	800.00	4.0
WINSLOW CAPITAL	030	A	B	200	32.36	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	BIDU	B	100	69.68	n/a	n/a	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	BMY	S	300,000	23.66	n/a	n/a	15,000.00	5.0
WINSLOW CAPITAL	030	BRCM	B	300	32.01	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	BTU	B	200	37.74	n/a	n/a	8.00	4.0
TRELLUS PARTNERS LP	028	BWA	B	10,000	35.75	n/a	30-Apr	500.00	5.0
WEISS PECK	040	CAKE	C	3,000	26.59	n/a	23-Apr	150.00	5.0
WINSLOW CAPITAL	030	CELG	B	200	58.04	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	CHRW	B	100	58.48	n/a	n/a	4.00	4.0
COUGAR TRADING	044	CHS	S	5,000	13.09	n/a	5-Feb	250.00	5.0
EXIS CAPITAL	044	CHS	S	50,000	12.05	n/a	5-Feb	2,500.00	5.0
WINSLOW CAPITAL	030	CLF	B	200	49.63	n/a	n/a	8.00	4.0
HILLIARD LYONS CAP MGMT	047	CMCSA	S	15,657	17.29	n/a	n/a	469.71	3.0
BUCK CAPITAL MGMT	001	COH	B	20,000	39.08	n/a	14-May	800.00	4.0
WINSLOW CAPITAL	030	COST	B	200	57.69	n/a	n/a	8.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	10,000	32.06	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	CRM	B	100	80.50	n/a	n/a	4.00	4.0
HILLIARD LYONS CAP MGMT	047	CSCO	S	12,812	24.02	n/a	n/a	384.36	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CSCO	B	900	24.07	n/a	n/a	36.00	4.0
WINSLOW CAPITAL	030	CTSH	B	600	48.13	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	CTXS	B	100	44.94	n/a	n/a	4.00	4.0
HILLIARD LYONS CAP MGMT	047	CVS	S	12,119	34.75	n/a	n/a	363.57	3.0
GRUSS CAPITAL	045	DEI	S	2,000	15.85	n/a	n/a	60.00	3.0
HILLIARD LYONS CAP MGMT	047	DELL	S	14,419	14.75	n/a	n/a	432.57	3.0
WINSLOW CAPITAL	030	DELL	B	600	14.81	n/a	n/a	24.00	4.0
JP MORGAN VENTURES	046	DE	S	20,000	58.17	n/a	30-Apr	1,000.00	5.0
OZ MGMT	040	DE	S	50,000	58.56	n/a	30-Apr	1,500.00	3.0
RBC CAPITAL MARKETS	040	DE	S	10,000	57.11	n/a	30-Apr	400.00	4.0
ROSEDALE CAPITAL	046	DE	S	10,000	58.13	n/a	30-Apr	500.00	5.0
WINSLOW CAPITAL	030	DE	B	100	57.08	n/a	30-Apr	4.00	4.0
WINSLOW CAPITAL	030	DHR	B	300	80.44	n/a	n/a	12.00	4.0
HILLIARD LYONS CAP MGMT	047	DIS	S	14,189	33.23	n/a	n/a	425.67	3.0
S.A.C. HEALTHCARE BOBBY	044	DNDN	B	10,000	42.19	n/a	n/a	350.00	3.5
WINSLOW CAPITAL	030	DRC	B	300	31.21	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	ECL	B	100	47.25	n/a	10-May	4.00	4.0
WINSLOW CAPITAL	030	EDU	B	100	91.41	n/a	n/a	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	EL	B	100	59.51	n/a	17-May	4.00	4.0
WINSLOW CAPITAL	030	EMC	B	1,000	18.09	n/a	n/a	40.00	4.0
GRUSS CAPITAL	045	EMF	S	5,000	17.32	n/a	n/a	150.00	3.0
RBC CAPITAL MARKETS	040	EMN	B	5,000	61.87	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	EOG	B	100	100.38	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	EQIX	B	100	96.25	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	ESRX	B	100	103.57	n/a	n/a	4.00	4.0
WHITE PINE CAPITAL	030	EUO	B	500	24.80	n/a	n/a	25.00	5.0
WINSLOW CAPITAL	030	FCX	B	200	65.93	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	FLR	B	100	47.55	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	FLS	B	100	98.33	n/a	n/a	4.00	4.0
EGS ASSOCIATES LP	091	FL	B	3,500	13.89	n/a	14-May	210.00	6.0
WINSLOW CAPITAL	030	FTI	B	100	58.42	n/a	n/a	4.00	4.0
KACELA CAPITAL	034	FUL	SS	38,000	21.26	n/a	n/a	1,520.00	4.0
BERMAN CAPITAL MGMT	046	F	S	30,000	11.16	n/a	4-May	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	C	171,484	11.30	n/a	4-May	5,144.52	3.0
ROSEDALE CAPITAL	046	F	B	30,000	11.17	n/a	4-May	1,200.00	4.0
GRUSS CAPITAL	045	GE	S	2,000	17.15	n/a	n/a	60.00	3.0
HILLIARD LYONS CAP MGMT	047	GE	S	11,240	17.07	n/a	n/a	337.20	3.0
WINSLOW CAPITAL	030	GMCR	B	400	23.43	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	GOOG	B	100	492.71	n/a	n/a	4.00	4.0
S.A.C. HEALTHCARE BOBBY	044	GSK	SS	10,000	34.24	n/a	n/a	350.00	3.5
WINSLOW CAPITAL	030	GS	B	200	136.56	n/a	11-May	8.00	4.0
CADIAN CAPITAL	067	GYMB	B	25,000	44.74	n/a	17-May	750.00	3.0
MERRILL ASSET/BLACKROCK	263	HCC	S	10,392	25.60	n/a	n/a	415.68	4.0
BROADARCH CAP/OLD NEWC	070	HD	S	2,600	34.11	n/a	19-May	104.00	4.0
HILLIARD LYONS CAP MGMT	047	HD	S	12,858	33.83	n/a	19-May	385.74	3.0
HILLIARD LYONS CAP MGMT	047	HOG	S	4,958	31.29	n/a	n/a	148.74	3.0
WINSLOW CAPITAL	030	HPQ	B	600	47.16	n/a	n/a	24.00	4.0
CONIFER/ISF	025	IBM	S	5,000	128.83	n/a	n/a	250.00	5.0
WINSLOW CAPITAL	030	ICE	B	100	111.80	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	ITW	B	300	47.60	n/a	30-Apr	12.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	B	10,000	44.62	n/a	n/a	400.00	4.0
S.A.C. CAP/ORENSTEIN	044	JCG	B	200	43.65	n/a	n/a	7.00	3.5
EXIS CAPITAL	044	JCP	B	15,000	26.64	n/a	14-May	750.00	5.0
HILLIARD LYONS CAP MGMT	047	JEC	S	6,006	42.54	n/a	n/a	180.18	3.0
HILLIARD LYONS CAP MGMT	047	JNJ	S	5,776	62.15	n/a	n/a	173.28	3.0
WINSLOW CAPITAL	030	JNPR	B	100	26.70	n/a	n/a	4.00	4.0
TRUSTCO/SUNTRUST	040	JNY	S	24,100	19.38	n/a	14-May	939.90	3.9
HILLIARD LYONS CAP MGMT	047	JPM	S	8,312	38.73	n/a	17-May	249.36	3.0
WINSLOW CAPITAL	030	JPM	B	600	38.79	n/a	17-May	24.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	10,000	37.94	n/a	14-May	400.00	4.0
RBC CAPITAL MARKETS	040	JWN	SS	10,000	38.18	n/a	14-May	400.00	4.0
HILLIARD LYONS CAP MGMT	047	KFT	S	8,350	29.96	n/a	n/a	250.50	3.0
WINSLOW CAPITAL	030	KSS	B	200	52.09	n/a	14-May	8.00	4.0
SANDLER CAPITAL	226	LII	S	64,600	43.33	n/a	n/a	3,876.00	6.0
WINSLOW CAPITAL	030	LLTC	B	200	27.62	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	LOW	B	400	24.50	n/a	17-May	16.00	4.0
WINSLOW CAPITAL	030	LRCX	B	200	37.50	n/a	n/a	8.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	40,000	24.69	n/a	n/a	1,600.00	4.0
RBC CAPITAL MARKETS	040	LVS	S	15,500	22.13	n/a	13-May	620.00	4.0
HILLIARD LYONS CAP MGMT	047	MAT	S	16,883	22.05	n/a	n/a	506.49	3.0
WINSLOW CAPITAL	030	MHS	B	300	56.67	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	MRVL	B	600	18.07	n/a	n/a	24.00	4.0
HILLIARD LYONS CAP MGMT	047	MSFT	S	12,983	28.11	n/a	n/a	389.49	3.0
NEUBERGER BERMAN	036	MWIV	S	5,400	50.89	n/a	n/a	216.00	4.0
EXIS CAPITAL	044	M	B	10,000	21.29	n/a	13-May	500.00	5.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	24,800	14.48	n/a	9-Apr	992.00	4.0
THOMAS WEISEL ASSET MGMT	035	NETL	B	9,120	27.46	n/a	n/a	273.60	3.0
SOUTH POINT CAP	067	NOVL	B	175,000	6.03	n/a	n/a	8,750.00	5.0
HILLIARD LYONS CAP MGMT	047	OMC	S	6,781	39.84	n/a	n/a	203.43	3.0
WINSLOW CAPITAL	030	ORCL	B	600	23.15	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	ORLY	B	200	47.92	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	OXY	B	100	79.04	n/a	n/a	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	PCLN	B	100	186.14	n/a	n/a	4.00	4.0
BMO NESBITT BURNS	041	PCL	S	2,000	34.88	n/a	27-Apr	80.00	4.0
HILLIARD LYONS CAP MGMT	047	PEP	S	3,895	65.53	n/a	n/a	116.85	3.0
WINSLOW CAPITAL	030	PEP	B	100	65.91	n/a	n/a	4.00	4.0
TYEE/TYGH	035	PFCB	B	116,000	44.02	n/a	28-Apr	4,640.00	4.0
HILLIARD LYONS CAP MGMT	047	PFE	S	4,880	15.71	n/a	n/a	146.40	3.0
HILLIARD LYONS CAP MGMT	047	PGR	S	17,034	20.02	n/a	n/a	511.02	3.0
HILLIARD LYONS CAP MGMT	047	PG	S	3,742	62.98	n/a	30-Apr	112.26	3.0
ROARING BLUE LION MGMT	012	PLCE	B	2,100	41.36	n/a	17-May	84.00	4.0
CATAPULT	040	PPG	B	10,000	64.44	n/a	10-May	500.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	10,000	20.55	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	PSS	B	5,000	20.70	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	PTV	B	10,000	29.49	n/a	n/a	400.00	4.0
SCOUT/UMB	047	PVH	S	16,200	54.79	n/a	14-May	810.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	21,750	54.27	n/a	14-May	652.50	3.0
WINSLOW CAPITAL	030	QCOM	B	500	36.29	n/a	n/a	20.00	4.0
THE JAY GOLDMAN	028	RCL	B	5,000	30.00	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	RL	SS	10,000	85.15	n/a	14-May	500.00	5.0
RBC CAPITAL MARKETS	040	RSH	S	15,000	19.00	n/a	n/a	600.00	4.0
BRANDWINE	028	RTN	S	84,560	54.81	n/a	23-Apr	3,382.40	4.0
BMO NESBITT BURNS	041	RYN	B	2,000	43.63	n/a	13-May	80.00	4.0
EXIS CAPITAL	044	SHLD	S	10,000	97.39	n/a	n/a	500.00	5.0
WINSLOW CAPITAL	030	SHPGY	B	200	61.16	n/a	17-May	8.00	4.0
WINSLOW CAPITAL	030	SLB	B	400	62.23	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	SPLS	B	400	21.49	n/a	n/a	16.00	4.0
PECONIC PARTNERS	036	SPY	C	300,000	111.86	n/a	n/a	15,000.00	5.0
CARDINAL CAPITAL	044	SSI	B	9,300	14.46	n/a	n/a	465.00	5.0
S.A.C. HEALTHCARE BOBBY	044	SVNT	B	10,000	12.20	n/a	n/a	350.00	3.5
MTB INV ADV	034	TBI	S	20,725	15.20	n/a	n/a	1,036.25	5.0
PZENA INV ADV	044	TECD	B	2,900	40.09	n/a	n/a	101.51	3.5
HILLIARD LYONS CAP MGMT	047	TEL	S	8,146	27.63	n/a	n/a	244.38	3.0
WINSLOW CAPITAL	030	TEVA	B	300	55.00	n/a	17-May	12.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BERMAN CAPITAL MGMT	046	TGT	B	6,200	54.17	n/a	19-May	186.00	3.0
BERMAN CAPITAL MGMT	046	TGT	S	6,200	53.89	n/a	19-May	186.00	3.0
WINSLOW CAPITAL	030	TGT	B	100	53.88	n/a	19-May	4.00	4.0
HILLIARD LYONS CAP MGMT	047	TJX	S	6,724	42.69	n/a	19-May	201.72	3.0
MTB INV ADV	034	TPX	S	5,200	31.96	n/a	n/a	260.00	5.0
MTB INV ADV	034	TUP	S	3,625	44.13	n/a	n/a	181.25	5.0
HILLIARD LYONS CAP MGMT	047	TYC	S	8,920	37.49	n/a	28-Apr	267.60	3.0
EXIS CAPITAL	044	UA	B	5,000	31.05	n/a	28-Apr	250.00	5.0
WINSLOW CAPITAL	030	UNP	B	300	70.83	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	URBN	B	400	34.72	n/a	n/a	16.00	4.0
HILLIARD LYONS CAP MGMT	047	USB	S	13,108	24.05	n/a	n/a	393.24	3.0
WINSLOW CAPITAL	030	UTX	B	200	69.01	n/a	n/a	8.00	4.0
RBC CAPITAL MARKETS	040	VFC	B	5,000	79.38	n/a	14-May	200.00	4.0
WINSLOW CAPITAL	030	VMW	B	100	58.22	n/a	n/a	4.00	4.0
S.A.C. HEALTHCARE BOBBY	044	VVUS	B	15,000	12.27	n/a	n/a	525.00	3.5
WINSLOW CAPITAL	030	V	B	400	72.98	n/a	14-May	16.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HILLIARD LYONS CAP MGMT	047	WAT	S	5,448	65.79	n/a	n/a	163.44	3.0
MTB INV ADV	034	WBC	S	8,300	30.40	n/a	5-May	415.00	5.0
GRUSS CAPITAL	045	WBD	S	2,000	20.62	n/a	n/a	60.00	3.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	42.78	n/a	14-May	800.00	4.0
EXIS CAPITAL	044	WRC	SS	5,000	43.51	n/a	14-May	250.00	5.0
CAXTON PART	040	WY	S	50,060	43.64	n/a	30-Apr	1,752.12	3.5
SACC-SCHWARTZ	044	XLB	SS	150,000	30.99	n/a	n/a	5,250.00	3.5
DIAMONDBACK CAP MGMT	232	XLE	SS	9,000	54.30	n/a	n/a	270.00	3.0
BERMAN CAPITAL MGMT	046	XRT	S	10,000	39.48	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	YUM	B	200	40.45	n/a	15-Apr	8.00	4.0
TOTAL (Trade Date):							129,846.18		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/18	TRUSTCO/SUNTRUST (TRUS364336)	040	ACV	B	42	28.02	n/a	26-Apr	1.64	3.9
AO,	05/18	TRUSTCO/SUNTRUST (TRUS364337)	040	ACV	B	84	28.02	n/a	26-Apr	3.28	3.9
AO,CXL	05/18	TRUSTCO/SUNTRUST (TRUS364336)	040	ACV	B	42	28.02	n/a	26-Apr	1.64	3.9
AO,CXL	05/18	TRUSTCO/SUNTRUST (TRUS364337)	040	ACV	B	84	28.02	n/a	26-Apr	3.28	3.9
AO,	05/18	TRUSTCO/SUNTRUST (TRUS364336)	040	CRR	S	37	67.60	n/a	5-May	1.44	3.9
AO,	05/18	TRUSTCO/SUNTRUST (TRUS364337)	040	CRR	S	37	67.60	n/a	5-May	1.44	3.9
AO,CXL	05/18	TRUSTCO/SUNTRUST (TRUS364336)	040	CRR	S	37	67.60	n/a	5-May	1.44	3.9
AO,CXL	05/18	TRUSTCO/SUNTRUST (TRUS364337)	040	CRR	S	37	67.60	n/a	5-May	1.44	3.9
AO,	05/18	CAMBIAR CAP (CAMB1125)	046	HON	S	10	45.58	n/a	31-Mar	0.40	4.0
AO,	05/18	CAMBIAR CAP (CAMB)	046	HON	S	270	45.58	n/a	31-Mar	10.80	4.0
AO,	05/18	CAMBIAR CAP (CAMB1128)	046	HON	S	100	45.58	n/a	31-Mar	4.00	4.0
AO,	05/18	CAMBIAR CAP (CAMB1131)	046	HON	S	250	45.58	n/a	31-Mar	10.00	4.0
AO,	05/18	CAMBIAR CAP (CAMB1130)	046	HON	S	650	45.58	n/a	31-Mar	26.00	4.0
AO,	05/18	CAMBIAR CAP (CAMB1113)	046	HON	S	100	45.58	n/a	31-Mar	4.00	4.0
AO,	05/18	CAMBIAR CAP (CAMB1114)	046	HON	S	10	45.58	n/a	31-Mar	0.40	4.0
AO,	05/18	CAMBIAR CAP (CAMB1110)	046	HON	S	40	45.58	n/a	31-Mar	1.60	4.0
AO,	05/18	CAMBIAR CAP (CAMB1108)	046	HON	S	40	45.58	n/a	31-Mar	1.60	4.0
AO,	05/18	CAMBIAR CAP (CAMB1107)	046	HON	S	20	45.58	n/a	31-Mar	0.80	4.0
AO,	05/18	CAMBIAR CAP (CAMB1111)	046	HON	S	20	45.58	n/a	31-Mar	0.80	4.0
AO,	05/18	CAMBIAR CAP (CAMB1117)	046	HON	S	10	45.58	n/a	31-Mar	0.40	4.0
AO,	05/18	CAMBIAR CAP (CAMB1122)	046	HON	S	110	45.58	n/a	31-Mar	4.40	4.0
AO,	05/18	CAMBIAR CAP (CAMB1112)	046	HON	S	20	45.58	n/a	31-Mar	0.80	4.0
AO,	05/18	CAMBIAR CAP (CAMB1100)	046	HON	S	70	45.58	n/a	31-Mar	2.80	4.0
AO,	05/18	CAMBIAR CAP (CAMB1099)	046	HON	S	110	45.58	n/a	31-Mar	4.40	4.0
AO,	05/18	CAMBIAR CAP (CAMB1098)	046	HON	S	130	45.58	n/a	31-Mar	5.20	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/18	CAMBIAR CAP (CAMB1097)	046	HON	S	130	45.58	n/a	31-Mar	5.20 4.0
AO,	05/18	CAMBIAR CAP (CAMB1089)	046	HON	S	50	45.58	n/a	31-Mar	2.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB1090)	046	HON	S	30	45.58	n/a	31-Mar	1.20 4.0
AO,	05/18	CAMBIAR CAP (CAMB1085)	046	HON	S	200	45.58	n/a	31-Mar	8.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB1087)	046	HON	S	350	45.58	n/a	31-Mar	14.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB1025)	046	HON	S	2,400	45.58	n/a	31-Mar	96.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB1020)	046	HON	S	30	45.58	n/a	31-Mar	1.20 4.0
AO,	05/18	CAMBIAR CAP (CAMB1010)	046	HON	S	1,150	45.58	n/a	31-Mar	46.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB540)	046	HON	S	2,700	45.58	n/a	31-Mar	108.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB969)	046	HON	S	40	45.58	n/a	31-Mar	1.60 4.0
AO,	05/18	CAMBIAR CAP (CAMB972)	046	HON	S	300	45.58	n/a	31-Mar	12.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB971)	046	HON	S	40	45.58	n/a	31-Mar	1.60 4.0
AO,	05/18	CAMBIAR CAP (CAMB970)	046	HON	S	70	45.58	n/a	31-Mar	2.80 4.0
AO,	05/18	CAMBIAR CAP (CAMB879)	046	HON	S	130	45.58	n/a	31-Mar	5.20 4.0
AO,	05/18	CAMBIAR CAP (CAMB883)	046	HON	S	950	45.58	n/a	31-Mar	38.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB810)	046	HON	S	10	45.58	n/a	31-Mar	0.40 4.0
AO,	05/18	CAMBIAR CAP (CAMB831)	046	HON	S	400	45.58	n/a	31-Mar	16.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB832)	046	HON	S	200	45.58	n/a	31-Mar	8.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB767)	046	HON	S	20	45.58	n/a	31-Mar	0.80 4.0
AO,	05/18	CAMBIAR CAP (CAMB)	046	HON	S	20	45.58	n/a	31-Mar	0.80 4.0
AO,	05/18	CAMBIAR CAP (CAMB804)	046	HON	S	300	45.58	n/a	31-Mar	12.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB748)	046	HON	S	17,000	45.58	n/a	31-Mar	680.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB682)	046	HON	S	450	45.58	n/a	31-Mar	18.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB716)	046	HON	S	140	45.58	n/a	31-Mar	5.60 4.0
AO,	05/18	CAMBIAR CAP (CAMB714)	046	HON	S	750	45.58	n/a	31-Mar	30.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB18)	046	HON	S	170	45.58	n/a	31-Mar	6.80 4.0
AO,	05/18	CAMBIAR CAP (CAMB527)	046	HON	S	10	45.58	n/a	31-Mar	0.40 4.0
AO,	05/18	CAMBIAR CAP (CAMB520)	046	HON	S	750	45.58	n/a	31-Mar	30.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB525)	046	HON	S	550	45.58	n/a	31-Mar	22.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB502)	046	HON	S	350	45.58	n/a	31-Mar	14.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/18	CAMBIAR CAP (CAMB526)	046	HON	S	450	45.58	n/a	31-Mar	18.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB26)	046	HON	S	200	45.58	n/a	31-Mar	8.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB25)	046	HON	S	450	45.58	n/a	31-Mar	18.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB24)	046	HON	S	300	45.58	n/a	31-Mar	12.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB21)	046	HON	S	3,600	45.58	n/a	31-Mar	144.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB20)	046	HON	S	5,700	45.58	n/a	31-Mar	228.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB10)	046	HON	S	3,300	45.58	n/a	31-Mar	132.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB42)	046	HON	S	20,000	45.58	n/a	31-Mar	800.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB65)	046	HON	S	5,100	45.58	n/a	31-Mar	204.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB43)	046	HON	S	4,000	45.58	n/a	31-Mar	160.00 4.0
AO,	05/18	CAMBIAR CAP (CAMB28)	046	HON	S	250	45.58	n/a	31-Mar	10.00 4.0
AO,	05/18	COLUMBUS CIRCLE (COLC3050)	036	RADS	B	207	15.51	n/a	n/a	4.14 2.0
TOTAL (AO, CXL, CRT) :										3,004.14
TOTAL (Trade Date) :										129,846.18
TOTAL (AO, CXL, CRT) :										3,004.14
TOTAL (RUN DATE) / NFS :										132,850.32

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