

## **Daily Compliance Activity Report** Trade Date: 07/23/2013

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢,	/Shr.
LATEEF MGMT	033	AAPL	S		423.20	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	AAPL	В	10	422.72	n/a	n/a	0.50	0.0
PATTEN & PATTEN	025	AA	S	4,000	8.13	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	ACE	В	1,220	95.51	n/a	n/a	48.80	0.0
BESSEMER INVESTMENT	085	ACN	В	830	75.13	n/a	n/a	33.20	0.0
BESSEMER INVESTMENT	085	AET	В	1,565	65.54	n/a	n/a	62.60	0.0
BESSEMER INVESTMENT	085	AIG	В	1 <b>,</b> 565	47.64	n/a	n/a	62.60	0.0
SCOUT/UMB	047	ALK	В	2 <b>,</b> 375	61.89	n/a	n/a	71.25	0.0
STRONG/MARK GRONET	030	ALK	S	40,000	61.88	n/a	n/a	1,600.00	0.0
BESSEMER INVESTMENT	085	APD	В	410	100.52	n/a	n/a	16.40	0.0
BESSEMER INVESTMENT	085	APH	В	1,500	78.70	n/a	n/a	60.00	0.0
BESSEMER INVESTMENT	085	AVGO	В	2,475	38.07	n/a	n/a	99.00	0.0
BESSEMER INVESTMENT	085	AWK	В	2 <b>,</b> 595	43.54	n/a	n/a	103.80	0.0
KADE CAPITAL LLC	028	AXE	S	7 <b>,</b> 500	79.70	n/a	16-May	375.00	0.0
PATRIOT STRATEGY PARTNERS	036	AXE	В	5,000	78.33	n/a	16-May	250.00	0.0
ROSEDALE CAPITAL	046	AXL	В	10,000	19.38	n/a	19-Jun	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
PATTEN & PATTEN	025	AXP	В	525	74.51	n/a	19-Jun	26.25	0.0	
PATTEN & PATTEN	025	BDBD	В	16,700	13.88	n/a	n/a	835.00	0.0	
BASSWOOD PARTNERS	267	BK	В	39,000	32.25	n/a	6-Jun	1,560.00	0.0	
GALT INVESTMENT	041	CAB	В	20,000	66.24	n/a	n/a	1,000.00	0.0	
PATTEN & PATTEN	025	CAT	S	4,060	85.48	n/a	11-Jul	203.00	0.0	
PATTEN & PATTEN	025	CBT	В	200	40.80	n/a	n/a	10.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT)25	1 CLDT	В	10,	674 18.82		n/a	n/a 320	.22	0.0
PATTEN & PATTEN	025	CNI	S	20	99.87	n/a	n/a	1.00	0.0	
BESSEMER INVESTMENT	085	СОН	В	1,415	59.43	n/a	30-May	56.60	0.0	
BASSWOOD PARTNERS	267	COL	В	20,000	70.68	n/a	11-Jun	800.00	0.0	
BESSEMER INVESTMENT	085	COP	В	1,165	66.09	n/a	n/a	46.60	0.0	
BESSEMER INVESTMENT	085	CTL	В	1,650	35.96	n/a	n/a	66.00	0.0	
PATTEN & PATTEN	025	CTXS	В	1,000	66.02	n/a	n/a	50.00	0.0	
BESSEMER INVESTMENT	085	CVS	В	1,470	61.97	n/a	n/a	58.80	0.0	
BESSEMER INVESTMENT	085	С	В	1,660	53.18	n/a	17-Jun	66.40	0.0	
	PATTEN & PATTEN  PATTEN & PATTEN  BASSWOOD PARTNERS  GALT INVESTMENT  PATTEN & PATTEN  PATTEN & PATTEN  GUGGENHEIM GLOBAL TRADING  PATTEN & PATTEN  BESSEMER INVESTMENT  BESSEMER INVESTMENT  BESSEMER INVESTMENT  PATTEN & PATTEN  BESSEMER INVESTMENT  PATTEN & PATTEN  BESSEMER INVESTMENT	PATTEN & PATTEN  PATTEN & PATTEN  D25  BASSWOOD PARTNERS  CALT INVESTMENT  PATTEN & PATTEN  D25  PATTEN & PATTEN  CGGT) 25  PATTEN & PATTEN  D25  PATTEN & PATTEN  D25  BESSEMER INVESTMENT  D85  BESSEMER INVESTMENT  D85  BESSEMER INVESTMENT  D85  PATTEN & PATTEN  D85  BESSEMER INVESTMENT  D85	PATTEN & PATTEN  PATTEN & PATTEN  BASSWOOD PARTNERS  GALT INVESTMENT  PATTEN & PATTEN  PATTEN & PATTEN  PATTEN & PATTEN  GUGGENHEIM GLOBAL TRADING  BESSEMER INVESTMENT  D85  COH  BASSWOOD PARTNERS  267  CNI  PATTEN & PATTEN  025  CNI  BESSEMER INVESTMENT  085  COP  BESSEMER INVESTMENT  085  CTL  PATTEN & PATTEN  085  CTXS	PATTEN & PATTEN       025       AXP       B         PATTEN & PATTEN       025       BDBD       B         BASSWOOD PARTNERS       267       BK       B         GALT INVESTMENT       041       CAB       B         PATTEN & PATTEN       025       CAT       S         PATTEN & PATTEN       025       CBT       B         PATTEN & PATTEN       025       CNI       S         BESSEMER INVESTMENT       085       COH       B         BESSEMER INVESTMENT       085       COP       B         BESSEMER INVESTMENT       085       CTL       B         PATTEN & PATTEN       085       CTL       B         PATTEN & PATTEN       085       CTL       B         PATTEN & PATTEN       085       CTX       B	PATTEN & PATTEN         025         AXP         B         525           PATTEN & PATTEN         025         BDBD         B         16,700           BASSWOOD PARTNERS         267         BK         B         39,000           GALT INVESTMENT         041         CAB         B         20,000           PATTEN & PATTEN         025         CAT         S         4,060           PATTEN & PATTEN         025         CBT         B         200           GUGGENHEIM GLOBAL TRADING         (GGT) 251         CLDT         B         10,           PATTEN & PATTEN         025         CNI         S         20           BESSEMER INVESTMENT         085         COH         B         1,415           BESSEMER INVESTMENT         085         CTL         B         1,650           PATTEN & PATTEN         025         CTXS         B         1,000           BESSEMER INVESTMENT         085         CVS         B         1,470	PATTEN & PATTEN  025	PATTEN & PATTEN         025         AXP         B         525         74.51         n/a           PATTEN & PATTEN         025         BDBD         B         16,700         13.88         n/a           BASSWOOD PARTNERS         267         BK         B         39,000         32.25         n/a           GALT INVESTMENT         041         CAB         B         20,000         66.24         n/a           PATTEN & PATTEN         025         CAT         S         4,060         85.48         n/a           PATTEN & PATTEN         025         CBT         B         200         40.80         n/a           GUGGENHEIM GLOBAL TRADING         (GGT) 251         CLDT         B         10,674         18.82         n/a           PATTEN & PATTEN         025         CNI         S         20         99.87         n/a           BESSEMER INVESTMENT         085         COH         B         1,415         59.43         n/a           BESSEMER INVESTMENT         085         CTL         B         1,165         66.09         n/a           PATTEN & PATTEN         025         CTXS         B         1,000         66.02         n/a           BESSEMER INVESTMEN	PATTEN & PATTEN  025	PATTEN & PATTEN  025	PATTEN & PATTEN 025

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
HERRING CREEK CAPITAL MGM	I LLC040	DECK	SS	10,0	00 57.99	n	/a n/a	300.	00 0.0
PROVIDENCE EQUITY CAP. MK	TS.040	DELL	S	31,000	13.00	n/a	n/a	620.00	0.0
BESSEMER INVESTMENT	085	DG	В	2,850	53.65	n/a	4-Jun	114.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	В	50,000	60.51	n/a	10-May	1,500.00	0.0
BESSEMER INVESTMENT	085	DTE	В	625	70.71	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	DUK	S	1,581	71.33	n/a	n/a	79.05	0.0
PATTEN & PATTEN	025	D	S	900	59.85	n/a	n/a	45.00	0.0
PATTEN & PATTEN	025	ECA	S	900	17.68	n/a	n/a	45.00	0.0
CRAMER ROSENTHAL	070	EL	В	34,700	65.99	n/a	17-Jun	1,388.00	0.0
PATTEN & PATTEN	025	EWC	S	8 <b>,</b> 375	28.19	n/a	n/a	418.75	0.0
PATTEN & PATTEN	025	EWZ	S	440	45.37	n/a	n/a	22.00	0.0
DELTEC ASSET MGMT.	040	FCX	S	8,901	29.85	n/a	n/a	445.05	0.0
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LEVIN CAPITAL STRATEGIES	041	F	SS	40,000	17.12	n/a	19-Jun	1,200.00	0.0
OZ MGMT	040	F	SS	150,000	16.95	n/a	19-Jun	4,500.00	0.0
PHILADELPHIA FINANCIAL	033	F	SS	150,000	16.89	n/a	19-Jun	6,000.00	0.0
STELLIAM INV ADV	086	GBX	S	25,000	23.30	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ROYSTONE CAPITAL	040	GNTX	SS	50,000	23.41	n/a	19-Jun	1,500.00	0.0
STELLIAM INV ADV	086	HFC	В	45,000	43.80	n/a	n/a	1,800.00	0.0
BESSEMER INVESTMENT	085	IBM	В	615	196.02	n/a	n/a	24.60	0.0
BESSEMER INVESTMENT	085	IFF	В	1,460	80.04	n/a	n/a	58.40	0.0
BESSEMER INVESTMENT	085	ITW	В	865	72.42	n/a	n/a	34.60	0.0
PATTEN & PATTEN	025	KMB	S	400	98.08	n/a	17-Jun	20.00	0.0
KEYGROUP/KGLT	040	KMI	В	25,000	39.02	n/a	n/a	1,000.00	0.0
STRONG/MARK GRONET	030	LCC	В	30,000	17.98	n/a	18-Jun	1,200.00	0.0
TIDE POINT CAPITAL	028	LEA	В	5,000	67.09	n/a	19-Jun	3.00	0.0
RIDGECREST INV MGMT LLC	028	LPX	S	20,000	17.27	n/a	19-Jun	800.00	0.0
PATTEN & PATTEN	025	MOS	В	11,640	53.68	n/a	n/a	582.00	0.0
BESSEMER INVESTMENT	085	MRO	В	2,675	37.68	n/a	n/a	107.00	0.0
BESSEMER INVESTMENT	085	MSFT	В	7,690	32.00	n/a	n/a	307.60	0.0
PATTEN & PATTEN	025	MWV	В	2,675	36.47	n/a	18-Jun	133.75	0.0
BESSEMER INVESTMENT	085	М	В	2,580	49.13	n/a	18-Jun	103.20	0.0
	ROYSTONE CAPITAL  STELLIAM INV ADV  BESSEMER INVESTMENT  BESSEMER INVESTMENT  BESSEMER INVESTMENT  PATTEN & PATTEN  KEYGROUP/KGLT  STRONG/MARK GRONET  TIDE POINT CAPITAL  RIDGECREST INV MGMT LLC  PATTEN & PATTEN  BESSEMER INVESTMENT  BESSEMER INVESTMENT  PATTEN & PATTEN	ROYSTONE CAPITAL 040  STELLIAM INV ADV 086  BESSEMER INVESTMENT 085  BESSEMER INVESTMENT 085  PATTEN & PATTEN 025  KEYGROUP/KGLT 040  STRONG/MARK GRONET 030  TIDE POINT CAPITAL 028  RIDGECREST INV MGMT LLC 028  PATTEN & PATTEN 025  BESSEMER INVESTMENT 085  BESSEMER INVESTMENT 085  BESSEMER INVESTMENT 085  PATTEN & PATTEN 025	ROYSTONE CAPITAL 040 GNTX  STELLIAM INV ADV 086 HFC  BESSEMER INVESTMENT 085 IBM  BESSEMER INVESTMENT 085 ITW  PATTEN & PATTEN 025 KMB  KEYGROUP/KGLT 040 KMI  STRONG/MARK GRONET 030 LCC  TIDE POINT CAPITAL 028 LEA  RIDGECREST INV MGMT LLC 028 LPX  PATTEN & PATTEN 025 MOS  BESSEMER INVESTMENT 085 MRO  BESSEMER INVESTMENT 085 MRO  BESSEMER INVESTMENT 085 MSFT  PATTEN & PATTEN 025 MWV	ROYSTONE CAPITAL 040 GNTX SS  STELLIAM INV ADV 086 HFC B  BESSEMER INVESTMENT 085 IBM B  BESSEMER INVESTMENT 085 ITW B  BESSEMER INVESTMENT 085 ITW B  PATTEN & PATTEN 025 KMB S  KEYGROUP/KGLT 040 KMI B  STRONG/MARK GRONET 030 LCC B  TIDE POINT CAPITAL 028 LEA B  RIDGECREST INV MGMT LLC 028 LPX S  PATTEN & PATTEN 025 MOS B  BESSEMER INVESTMENT 085 MRO B  BESSEMER INVESTMENT 085 MSFT B  PATTEN & PATTEN 025 MWV B	ROYSTONE CAPITAL 040 GNTX SS 50,000  STELLIAM INV ADV 086 HFC B 45,000  BESSEMER INVESTMENT 085 IBM B 615  BESSEMER INVESTMENT 085 IFF B 1,460  BESSEMER INVESTMENT 085 ITW B 865  PATTEN & PATTEN 025 KMB S 400  KEYGROUP/KGLT 040 KMI B 25,000  STRONG/MARK GRONET 030 LCC B 30,000  TIDE POINT CAPITAL 028 LEA B 5,000  RIDGECREST INV MGMT LLC 028 LPX S 20,000  PATTEN & PATTEN 025 MOS B 11,640  BESSEMER INVESTMENT 085 MRO B 2,675  BESSEMER INVESTMENT 085 MSFT B 7,690  PATTEN & PATTEN 025 MWV B 2,675	ROYSTONE CAPITAL 040 GNTX SS 50,000 23.41  STELLIAM INV ADV 086 HFC B 45,000 43.80  BESSEMER INVESTMENT 085 IBM B 615 196.02  BESSEMER INVESTMENT 085 IFF B 1,460 80.04  BESSEMER INVESTMENT 085 ITW B 865 72.42  PATTEN & PATTEN 025 KMB S 400 98.08  KEYGROUP/KGLT 040 KMI B 25,000 39.02  STRONG/MARK GRONET 030 LCC B 30,000 17.98  TIDE POINT CAPITAL 028 LEA B 5,000 67.09  RIDGECREST INV MGMT LLC 028 LPX S 20,000 17.27  PATTEN & PATTEN 025 MOS B 11,640 53.68  BESSEMER INVESTMENT 085 MRO B 2,675 37.68  BESSEMER INVESTMENT 085 MSFT B 7,690 32.00  PATTEN & PATTEN 025 MWV B 2,675 36.47	ROYSTONE CAPITAL 040 GNTX SS 50,000 23.41 n/a  STELLIAM INV ADV 086 HFC B 45,000 43.80 n/a  BESSEMER INVESTMENT 085 IBM B 615 196.02 n/a  BESSEMER INVESTMENT 085 IFF B 1,460 80.04 n/a  BESSEMER INVESTMENT 085 ITW B 865 72.42 n/a  PATTEN & PATTEN 025 KMB S 400 98.08 n/a  KEYGROUP/KGLT 040 KMI B 25,000 39.02 n/a  STRONG/MARK GRONET 030 LCC B 30,000 17.98 n/a  RIDGECREST INV MGMT LLC 028 LEA B 5,000 67.09 n/a  RIDGECREST INV MGMT LLC 028 LPX S 20,000 17.27 n/a  BESSEMER INVESTMENT 085 MRO B 11,640 53.68 n/a  BESSEMER INVESTMENT 085 MRO B 2,675 37.68 n/a  BESSEMER INVESTMENT 085 MSFT B 7,690 32.00 n/a  PATTEN & PATTEN 025 MWV B 2,675 36.47 n/a	ROYSTONE CAPITAL 040 GNTX SS 50,000 23.41 n/a 19-Jun  STELLIAM INV ADV 086 HFC B 45,000 43.80 n/a n/a  BESSEMER INVESTMENT 085 IBM B 615 196.02 n/a n/a  BESSEMER INVESTMENT 085 IFF B 1,460 80.04 n/a n/a  BESSEMER INVESTMENT 085 ITW B 865 72.42 n/a n/a  PATTEN & PATTEN 025 KMB S 400 98.08 n/a 17-Jun  KEYGROUP/KGLT 040 KMI B 25,000 39.02 n/a n/a  STRONG/MARK GRONET 030 LCC B 30,000 17.98 n/a 18-Jun  TIDE POINT CAPITAL 028 LEA B 5,000 67.09 n/a 19-Jun  RIDGECREST INV MGMT LLC 028 LPX S 20,000 17.27 n/a 19-Jun  PATTEN & PATTEN 025 MOS B 11,640 53.68 n/a n/a  BESSEMER INVESTMENT 085 MRO B 2,675 37.68 n/a n/a  BESSEMER INVESTMENT 085 MSFT B 7,690 32.00 n/a n/a  PATTEN & PATTEN 025 MWV B 2,675 36.47 n/a 18-Jun	ROYSTONE CAPITAL 040 GNTX SS 50,000 23.41

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
PATTEN & PATTEN	025	NKE	В	7,362	63.45	n/a	19-Jun	368.10	0.0	
BESSEMER INVESTMENT	085	NLSN	В	2,740	33.35	n/a	n/a	109.60	0.0	
PATTEN & PATTEN	025	NOK	В	11,940	4.01	n/a	n/a	597.00	0.0	
STRONG/MARK GRONET	030	NR	S	12,000	12.55	n/a	n/a	480.00	0.0	
COLUMBUS CIRCLE	036	N	S	4,000	93.55	n/a	n/a	160.00	0.0	
HOTCHKIS & WILEY	084	ORCL	В	332,367	32.07	n/a	n/a	13,294.68	0.0	
BESSEMER INVESTMENT	085	PFE	В	4 <b>,</b> 755	29.50	n/a	n/a	190.20	0.0	
PATTEN & PATTEN	025	PFE	В	125	29.49	n/a	n/a	6.25	0.0	
THOMAS WEISEL ASSET MGMT/	TIMBERLI	NE ASSE033	PIR	S	108,532	23.22	n/	a n/a	3,255.96	0.0
BESSEMER INVESTMENT	085	QCOM	В	1,800	62.53	n/a	n/a	72.00	0.0	
BESSEMER INVESTMENT	085	RKT	В	1,000	108 24	n/a	17-Jun	40.00	0.0	
PATTEN & PATTEN	025	RKT	S		106.36	n/a	17 Jun	42.75	0.0	
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BESSEMER INVESTMENT	085	SBUX	В	1,700	69.24	n/a	17-Jun	68.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 SHW	В		900 169.50		n/a n	/a 27	.00 0.0	
OSKIE CAPITAL MGMT	224	STX	В	21,000	45.75	n/a	n/a	1,050.00	0.0	
BESSEMER INVESTMENT	085	TGT	В	1,480	73.26	n/a	23-May	59.20	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
S.A.C. CAPITAL	044	TGT	SS	20,000	72.94	n/a	23-May	600.00	0.0
PATTEN & PATTEN	025	TIF	S	20	78.62	n/a	n/a	1.00	0.0
BESSEMER INVESTMENT	085	TMO	В	1,245	89.83	n/a	n/a	49.80	0.0
WOODWAY FINANCIAL	031	TOT	S	150	52.74	n/a	n/a	7.50	0.0
J. GOLDMAN	028	TRN	В	33,000	37.80	n/a	n/a	1,320.00	0.0
PATTEN & PATTEN	025	TSCO	S	25	122.80	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	UNM	S	3,404	31.81	n/a	n/a	170.20	0.0
PATTEN & PATTEN	025	UTX	S	300	105.45	n/a	n/a	15.00	0.0
BESSEMER INVESTMENT	085	VIAB	В	1 <b>,</b> 775	73.73	n/a	n/a	71.00	0.0
BESSEMER INVESTMENT	085	WAG	В	2,295	51.24	n/a	n/a	91.80	0.0
J. GOLDMAN	028	WYN	В	41,000	60.26	n/a	n/a	1,640.00	0.0
FEDERATED INV/KAUFMAN	029	WY	В	58,100	29.40	n/a	19-Jun	2,905.00	0.0
TRELLUS PARTNERS LP	028	WY	В	20,000	29.51	n/a	19-Jun	600.00	0.0
BESSEMER INVESTMENT	085	ZMH	В	1,840	84.36	n/a	n/a	73.60	0.0
PATTEN & PATTEN	025	ZTS	S	717	30.11	n/a	n/a	35.85	0.0

TOTAL (Trade Date): 61,381.76

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO, CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	ALLT	S	20,000	14.89	n/a	n/a	600.00	3.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	ALLT	S	20,000	14.89	n/a	n/a	600.00	0.0
AO,CXL	07/22	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	В	10,000	19.61	n/a	19-Jun	500.00	0.0
AO, CRT	07/22	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	В	10,000	19.61	n/a	19-Jun	400.00	4.0
AO,CXL	07/22	TALON ASSET MGMT. (TALOBARCL)	006	EAT	SS	5,000	39.46	n/a	13-May	250.00	0.0
AO,CRT	07/22	TALON ASSET MGMT. (TALOBARCL)	006	EAT	SS	5,000	39.46	n/a	13-May	150.00	3.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	FSL	В	20,000	15.53	n/a	n/a	600.00	0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	FSL	В	20,000	15.53	n/a	n/a	600.00	0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	HNR	S	10,000	4.79	n/a	n/a	300.00	0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	HNR	S	10,000	4.79	n/a	n/a	300.00	0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	OVTI	В	7,000	17.42	n/a	n/a	210.00	0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	OVTI	В	7,000	17.42	n/a	n/a	210.00	0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	SPY	SS	10,000	169.15	n/a	n/a	300.00	0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	SPY	SS	10,000	169.15	n/a	n/a	300.00	0.0
AO, CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	SWKS	S	25,000	23.52	n/a	n/a	750.00	0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	SWKS	S	25 <b>,</b> 000	23.52	n/a	n/a	750.00	0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	XLP	SS	25,000	41.69	n/a	n/a	750.00	0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	XLP	SS	25 <b>,</b> 000	41.69	n/a	n/a	750.00	0.0

TOTAL (AO, CXL, CRT): -200.00

TOTAL (AO, CXL, CRT):	-200.00
TOTAL (RUN DATE) / NFS:	61,181.76

## 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