



Daily Compliance Activity Report

Trade Date: 02/15/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|------------|----------|-------------|--------------|------------|---------------|--------------|------------|
| CYRUS CAPITAL | 025 | AAMRQ | B | 1,020,000 | 2.49 | n/a | n/a | 20,400.00 | 2.0 |
| BESSEMER INVESTMENT | 085 | AAPL | B | 1 | 468.35 | n/a | n/a | 0.04 | 4.0 |
| BESSEMER INVESTMENT | 085 | ACE | B | 405 | 86.45 | n/a | n/a | 16.20 | 4.0 |
| BESSEMER INVESTMENT | 085 | ACN | B | 235 | 73.47 | n/a | n/a | 9.40 | 4.0 |
| BESSEMER INVESTMENT | 085 | AET | B | 390 | 49.65 | n/a | n/a | 15.60 | 4.0 |
| WINSLOW CAPITAL | 030 | AGN | S | 8,000 | 107.68 | n/a | 13-Feb | 240.00 | 3.0 |
| PATTEN & PATTEN | 025 | AIG | B | 22,275 | 38.40 | n/a | n/a | 1,113.75 | 5.0 |
| f HARALAMBOS EFSTATHI | FID | ALU | B | 3000 | 1.58 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | AMT | S | 15,400 | 74.72 | n/a | n/a | 462.00 | 3.0 |
| J. GOLDMAN | 028 | ANF | B | 25,000 | 50.99 | n/a | n/a | 1,000.00 | 4.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | ARCO | SS | 30,000 | 12.80 | n/a | 3-Jan | 900.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | AVGO | B | 320 | 35.61 | n/a | n/a | 12.80 | 4.0 |
| f JONATHAN RICHARD HAR | FID | AXL | B | 240 | 12.35 | n/a | 11-Feb | 0.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | AXP | S | 15,000 | 61.71 | n/a | 15-Feb | 750.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| NEUBERGER BERMAN | 036 | BECN | B | 31,300 | 38.39 | n/a | n/a | 1,252.00 | 0.0 |
| WINSLOW CAPITAL | 030 | BEN | S | 10,800 | 144.45 | n/a | 2-Mar | 324.00 | 3.0 |
| LAKEWOOD CAPITAL MGMT | 085 | BGS | SS | 5,000 | 30.03 | n/a | n/a | 150.00 | 0.0 |
| f PETER D GOLDSTEIN | FID | BIAUX | B | 525 | 19.04 | n/a | n/a | 0.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING | (GGT)251 | BIG | B | 171 | 33.75 | | n/a | n/a | 5.13 3.0 |
| WINSLOW CAPITAL | 030 | BLK | S | 5,000 | 243.35 | n/a | n/a | 150.00 | 3.0 |
| NEUBERGER BERMAN | 036 | BOKF | B | 4,000 | 57.77 | n/a | n/a | 160.00 | 0.0 |
| EGS ASSOCIATES LP | 091 | BONT | B | 2,817 | 11.57 | n/a | 8-Feb | 140.85 | 5.0 |
| CASTLEROCK | 040 | BRCD | S | 30,000 | 5.88 | n/a | 15-Feb | 1,200.00 | 0.0 |
| f CHRISTOPHER ARTHUR K | FID | BRCD | B | 2000 | 5.86 | n/a | 15-Feb | 0.00 | 0.0 |
| ARSENAL ASSET MANAGEMENT | 028 | BWA | B | 15,000 | 76.07 | n/a | 15-Feb | 600.00 | 0.0 |
| SCOPUS FUND | 041 | BWA | SS | 25,000 | 76.34 | n/a | 15-Feb | 1,000.00 | 4.0 |
| WINSLOW CAPITAL | 030 | BWA | S | 15,100 | 76.66 | n/a | 15-Feb | 453.00 | 3.0 |
| CASTLEROCK | 040 | CAKE | SS | 6,000 | 32.96 | n/a | 14-Feb | 240.00 | 0.0 |
| B BUCK CAPITAL MGMT | | CAR | B | 20,000 | 24.13 | n/a | n/a | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | CBU | B | 23,300 | 28.96 | n/a | n/a | 932.00 | 0.0 |
| PATTEN & PATTEN | 025 | CB | S | 360 | 83.64 | n/a | n/a | 18.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|---------------|----------|---------------|--------------|------------|------------|----------------|------------|
| COOKBIELER | 028 | CCE | S | 63,200 | 36.15 | n/a | n/a | 2,528.00 | 0.0 |
| NEUBERGER BERMAN | 036 | CHD | S | 56,500 | 60.04 | n/a | 6-Feb | 2,260.00 | 0.0 |
| KAM ADVISORS LLC | 041 | CIT | S | 42,800 | 42.63 | n/a | 4-Feb | 1,284.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | CMO | S | 62,879 | 12.26 | n/a | n/a | 2,515.16 | 0.0 |
| NEUBERGER BERMAN | 036 | COG | S | 47,400 | 53.72 | n/a | 31-Jan | 1,896.00 | 0.0 |
| WINSLOW CAPITAL | 030 | COG | S | 13,900 | 53.47 | n/a | 31-Jan | 417.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | COH | B | 180 | 48.51 | n/a | 14-Feb | 7.20 | 4.0 |
| B BUCK CAPITAL MGMT | | COLM | C | 20,000 | 53.12 | n/a | n/a | non-brg | 4.0 |
| BESSEMER INVESTMENT | 085 | COP | B | 210 | 57.91 | n/a | n/a | 8.40 | 4.0 |
| WINSLOW CAPITAL | 030 | COV | S | 8,600 | 63.51 | n/a | n/a | 258.00 | 3.0 |
| B BUCK CAPITAL MGMT | | CRMB-P | S | 1,000 | 3.00 | n/a | n/a | non-brg | 2.0 |
| WINSLOW CAPITAL | 030 | CRM | S | 12,200 | 173.64 | n/a | n/a | 366.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | CTL | B | 265 | 32.66 | n/a | n/a | 10.60 | 4.0 |
| BESSEMER INVESTMENT | 085 | CVS | B | 260 | 51.86 | n/a | n/a | 10.40 | 4.0 |
| NEUBERGER BERMAN | 036 | CXO | S | 16,000 | 95.40 | n/a | n/a | 640.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | C | B | 240 | 44.22 | n/a | 15-Feb | 9.60 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|------------|---------------|------------|---------------|-------------|------------|
| f EDWARD W WHEELER | FID | DAN | S | 200 | 1.30 | n/a | 15-Jan | 0.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | DG | B | 445 | 45.11 | n/a | 12-Dec | 17.80 | 4.0 |
| HARVEST MGMT (JMP) | 029 | DG | B | 10,000 | 46.03 | n/a | 12-Dec | 400.00 | 4.0 |
| SCOUT/UMB | 047 | DG | S | 190,893 | 45.07 | n/a | 12-Dec | 5,726.79 | 0.0 |
| SENATOR INVESTMENT GROUP | 036 | DG | S | 75,000 | 45.75 | n/a | 12-Dec | 2,250.00 | 3.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | DLTR | B | 45,000 | 41.02 | n/a | 12-Feb | 1,350.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | DTE | B | 100 | 64.44 | n/a | n/a | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | ECL | S | 16,800 | 75.46 | n/a | 18-Jan | 504.00 | 3.0 |
| LAKEWOOD CAPITAL MGMT | 085 | EGHT | SS | 5,000 | 6.68 | n/a | n/a | 150.00 | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | EL | S | 25,000 | 63.15 | n/a | 6-Feb | 750.00 | 3.0 |
| WINSLOW CAPITAL | 030 | EL | S | 15,000 | 63.75 | n/a | 6-Feb | 450.00 | 3.0 |
| PATTEN & PATTEN | 025 | EWG | S | 100 | 24.81 | n/a | n/a | 5.00 | 5.0 |
| BESSEMER INVESTMENT | 085 | EXC | B | 300 | 30.77 | n/a | n/a | 12.00 | 4.0 |
| f JONATHAN RICHARD HAR | FID | FBC | B | 100 | 14.86 | n/a | n/a | 0.00 | 0.0 |
| f PETER D GOLDSTEIN | FID | FBIOX | B | 84 | 118.49 | n/a | n/a | 0.00 | 0.0 |
| CAMBIAR CAP | 046 | FINL | B | 50,000 | 18.45 | n/a | 13-Feb | 2,000.00 | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | FL | B | 25,000 | 33.45 | n/a | 13-Feb | 750.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | FRAN | B | 18,000 | 27.69 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | FRAN | B | 50,000 | 27.59 | n/a | n/a | non-brg | 4.0 |
| WINSLOW CAPITAL | 030 | FTI | S | 17,100 | 51.51 | n/a | n/a | 513.00 | 3.0 |
| SCOPUS FUND | 041 | F | SS | 100,000 | 13.03 | n/a | 14-Feb | 4,000.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | GD | B | 105 | 66.31 | n/a | 17-Jan | 4.20 | 4.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 20,000 | 36.70 | n/a | 7-Feb | non-brg | 4.0 |
| BNP PARIBAS SEC | 040 | GM | B | 20,000 | 27.66 | n/a | 15-Feb | 600.00 | 3.0 |
| f CHRISTOPHER ARTHUR K | FID | GM | B | 500 | 27.81 | n/a | 15-Feb | 0.00 | 0.0 |
| GOLD SACHS SPECIAL SIT | 030 | GM | B | 50,000 | 27.53 | n/a | 15-Feb | 2,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | GNC | S | 20,000 | 40.73 | n/a | n/a | non-brg | 4.0 |
| J. GOLDMAN | 028 | GPS | B | 25,000 | 32.69 | n/a | n/a | 1,000.00 | 4.0 |
| WINSLOW CAPITAL | 030 | GSK | S | 19,200 | 45.65 | n/a | n/a | 576.00 | 3.0 |
| WINSLOW CAPITAL | 030 | GWV | S | 4,500 | 230.09 | n/a | 12-Feb | 135.00 | 3.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | HBI | B | 40,000 | 40.40 | n/a | 6-Feb | 1,200.00 | 3.0 |
| B BUCK CAPITAL MGMT | | HIBB | C | 59,900 | 52.97 | n/a | n/a | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | HLSS | B | 62,800 | 23.04 | n/a | n/a | 2,512.00 | 0.0 |
| f SERGEI BARANOVSKY | FID | HPQ | B | 66 | 0.04 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|-------------------|----------|---------------|--------------|------------|------------|----------------|--------------|
| B BUCK CAPITAL MGMT | | HTZ | B | 30,000 | 19.51 | n/a | n/a | non-brg | 4.0 |
| BESSEMER INVESTMENT | 085 | IBM | B | 100 | 200.47 | n/a | n/a | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | IBM | S | 13,200 | 200.66 | n/a | n/a | 396.00 | 3.0 |
| NEUBERGER BERMAN | 036 | IDXX | S | 22,700 | 91.20 | n/a | n/a | 908.00 | 0.0 |
| PATTEN & PATTEN | 025 | INTC | S | 400 | 21.06 | n/a | n/a | 20.00 | 5.0 |
| NEUBERGER BERMAN | 036 | IPI | S | 68,700 | 21.02 | n/a | n/a | 2,748.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | S | 15,000 | 42.19 | n/a | 5-Feb | 750.00 | 5.0 |
| MOORE CAPITAL | 041 | IP | B | 25,000 | 42.14 | n/a | 5-Feb | 750.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | JNJ | B | 240 | 75.73 | n/a | n/a | 9.60 | 4.0 |
| PATTEN & PATTEN | 025 | JPM | S | 500 | 48.79 | n/a | 15-Feb | 25.00 | 5.0 |
| HIGHLINE ADV | 044 | KOG | B | 383,700 | 9.30 | n/a | n/a | 19,185.00 | 5.0 |
| B BUCK CAPITAL MGMT | | KORS 2 C60 | C | 1,000 | 3.37 | n/a | n/a | non-brg | 300.0 |
| B BUCK CAPITAL MGMT | | KORS 3 C60 | C | 1,000 | 4.86 | n/a | n/a | non-brg | 300.0 |
| SANDLER O'NEILL ASSET | 031 | LAZ | B | 9,950 | 37.40 | n/a | 7-Feb | 497.50 | 5.0 |
| CAERUS GLOBAL | 041 | LEA | S | 5,243 | 55.67 | n/a | 12-Feb | 209.72 | 4.0 |
| WINSLOW CAPITAL | 030 | LEN | S | 7,000 | 40.52 | n/a | n/a | 210.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|-------------|----------|---------------|--------------|------------|------------|----------------|------------|
| JET CAPITAL/CHRIS | 041 | LNG | B | 50,000 | 21.55 | n/a | n/a | 1,500.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | LOW | B | 240 | 39.61 | n/a | n/a | 9.60 | 4.0 |
| B BUCK CAPITAL MGMT | | LPNT | B | 25,000 | 44.89 | n/a | n/a | non-brg | 1.0 |
| WINSLOW CAPITAL | 030 | LVS | S | 17,000 | 52.76 | n/a | 13-Jun | 510.00 | 3.0 |
| NEUBERGER BERMAN | 036 | MANH | B | 15,800 | 69.56 | n/a | n/a | 632.00 | 0.0 |
| WINSLOW CAPITAL | 030 | MA | S | 2,400 | 522.81 | n/a | 12-Feb | 72.00 | 3.0 |
| B BUCK CAPITAL MGMT | | MOH | B | 10,000 | 33.02 | n/a | n/a | non-brg | 4.0 |
| BESSEMER INVESTMENT | 085 | MRO | B | 520 | 35.08 | n/a | n/a | 20.80 | 4.0 |
| BESSEMER INVESTMENT | 085 | MSFT | B | 1,040 | 28.10 | n/a | n/a | 41.60 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | MTD | S | 15,200 | 214.86 | n/a | n/a | 608.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | M | B | 420 | 39.50 | n/a | 8-Feb | 16.80 | 4.0 |
| NEUBERGER BERMAN | 036 | NJR | S | 6,400 | 43.66 | n/a | n/a | 256.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | NLSN | B | 350 | 32.63 | n/a | n/a | 14.00 | 4.0 |
| PATTEN & PATTEN | 025 | NUAN | B | 25 | 18.68 | n/a | n/a | 1.25 | 5.0 |
| PATTEN & PATTEN | 025 | NUE | S | 300 | 47.96 | n/a | n/a | 15.00 | 5.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | | |
|---|---------------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|-------|-----|
| f | PETER D GOLDSTEIN | FID | OAKIX | B | 449 | 22.29 | n/a | n/a | 0.00 | 0.0 | |
| | WINSLOW CAPITAL | 030 | PCP | S | 8,100 | 184.87 | n/a | 5-Feb | 243.00 | 3.0 | |
| | BALYASNY ASSET MGMT | 044 | PENN | B | 10,000 | 50.87 | n/a | n/a | 500.00 | 0.0 | |
| | CSFB GLOBAL PROPRIETARY | 041 | PKG | S | 20,000 | 40.60 | n/a | 5-Feb | 1,000.00 | 5.0 | |
| | BALYASNY ASSET MGMT | 044 | PLCE | SS | 10,000 | 51.16 | n/a | 10-Jan | 500.00 | 0.0 | |
| | PATTEN & PATTEN | 025 | PRU | S | 800 | 57.19 | n/a | n/a | 40.00 | 5.0 | |
| f | MARC PAUL LUCHANSKY | FID | PVH | B | 46 | 120.50 | n/a | 4-Feb | 0.00 | 0.0 | |
| | BESSEMER INVESTMENT | 085 | QCOM | B | 265 | 65.72 | n/a | n/a | 10.60 | 4.0 | |
| | NEUBERGER BERMAN | 036 | RBA | S | 26,400 | 22.33 | n/a | n/a | 1,056.00 | 0.0 | |
| B | BUCK CAPITAL MGMT | | RH | S | 10,000 | 38.96 | n/a | n/a | non-brg | 2.0 | |
| B | BUCK CAPITAL MGMT | | RH | S | 200 | 39.00 | n/a | n/a | non-brg | 4.0 | |
| | GUGGENHEIM GLOBAL TRADING (GGT) | 251 | RIG | B | 1,500 | 56.01 | | n/a | n/a | 60.00 | 4.0 |
| B | BUCK CAPITAL MGMT | | RLGY | B | 23,000 | 43.95 | n/a | n/a | non-brg | 4.0 | |
| B | BUCK CAPITAL MGMT | | RL | B | 10,000 | 176.47 | n/a | 7-Feb | non-brg | 4.0 | |
| | WINSLOW CAPITAL | 030 | RL | S | 8,000 | 176.81 | n/a | 7-Feb | 240.00 | 3.0 | |
| | COOKBIELER | 028 | RNR | B | 16,100 | 84.40 | n/a | n/a | 644.00 | 0.0 | |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| NEUBERGER BERMAN | 036 | SAM | S | 600 | 145.69 | n/a | n/a | 24.00 | 0.0 |
| LAKEWOOD CAPITAL MGMT | 085 | SCTY | SS | 5,000 | 18.16 | n/a | n/a | 150.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SKX | S | 40,000 | 21.60 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | SONC | SS | 50,000 | 11.21 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | SSI | B | 30,000 | 23.96 | n/a | 12-Feb | non-brg | 4.0 |
| f NILSA VAZQUEZ | FID | STT | B | 310 | 0.00 | n/a | 15-Feb | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | TDC | S | 13,200 | 61.91 | n/a | n/a | 396.00 | 3.0 |
| ASCEND PARTNERS | 033 | TGT | SS | 133,060 | 62.15 | n/a | 7-Feb | 3,991.80 | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | TGT | B | 25,000 | 60.91 | n/a | 7-Feb | 750.00 | 3.0 |
| SCOPUS FUND | 041 | TGT | SS | 12,350 | 62.18 | n/a | 7-Feb | 494.00 | 4.0 |
| NEUBERGER BERMAN | 036 | TISI | B | 6,601 | 45.10 | n/a | n/a | 264.04 | 0.0 |
| SCOPUS FUND | 041 | TJX | SS | 25,000 | 45.11 | n/a | 8-Feb | 1,000.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | TMO | B | 320 | 74.50 | n/a | n/a | 12.80 | 4.0 |
| JET CAPITAL/CHRIS | 041 | TRIP | C | 25,000 | 44.20 | n/a | n/a | 750.00 | 0.0 |
| B BUCK CAPITAL MGMT | | TXRH | SS | 50,000 | 17.12 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ULTA | B | 6,000 | 87.25 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|-------------|----------|---------------|--------------|------------|-------------------|----------------|------------|
| BESSEMER INVESTMENT | 085 | UNH | B | 345 | 57.28 | n/a | n/a | 13.80 | 4.0 |
| BALYASNY ASSET MGMT | 044 | URBN | B | 20,000 | 41.40 | n/a | n/a | 1,000.00 | 0.0 |
| WINSLOW CAPITAL | 030 | UTX | S | 18,200 | 90.40 | n/a | n/a | 546.00 | 3.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | VFC | S | 25,000 | 158.02 | n/a | 15-Feb | 750.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | WAG | B | 600 | 41.84 | n/a | n/a | 24.00 | 4.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | WMT | B | 40,000 | 68.68 | n/a | 12-Feb | 1,200.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | WM | B | 335 | 37.05 | n/a | n/a | 13.40 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | WNC | S | 5000 | 10.41 | n/a | n/a | 0.00 | 0.0 |
| BNP PARIBAS SEC | 040 | WY | B | 20,000 | 30.59 | n/a | 15-Feb | 600.00 | 3.0 |
| PATTEN & PATTEN | 025 | WY | S | 490 | 30.61 | n/a | 15-Feb | 24.50 | 5.0 |
| B BUCK CAPITAL MGMT | | XOOM | B | 10,000 | 16.00 | n/a | n/a | non-brg | 0.0 |
| B BUCK CAPITAL MGMT | | XOOM | S | 10,000 | 21.35 | n/a | n/a | non-brg | 4.0 |
| BESSEMER INVESTMENT | 085 | ZMH | B | 300 | 76.03 | n/a | n/a | 12.00 | 4.0 |
| TOTAL (Trade Date): | | | | | | | 116,884.73 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------------------------------|-------|---------------------------------|------|--------|-----|---------|-------|-----|----------|-------------------|
| AO, | 02/14 | EPOCH INV MGMT | 030 | CHKP | B | 100,000 | 51.24 | n/a | n/a | 3000.00 0.0 |
| AO,CXL | 02/14 | GUGGENHEIM GLOBAL TRADING (GGT) | 251 | CXW | B | 13,000 | 37.67 | n/a | n/a | 520.00 4.0 |
| AO,CRT | 02/14 | GUGGENHEIM GLOBAL TRADING (GGT) | 251 | CXW | B | 13,000 | 37.67 | n/a | n/a | 390.00 3.0 |
| AO,CRT | 02/14 | GUGGENHEIM GLOBAL TRADING (GGT) | 251 | GEO | B | 2,000 | 33.29 | n/a | n/a | 60.00 3.0 |
| AO,CXL | 02/14 | GUGGENHEIM GLOBAL TRADING (GGT) | 251 | GEO | B | 2,000 | 33.29 | n/a | n/a | 80.00 4.0 |
| AO, | 02/14 | OZ MGMT | 040 | GM | B | 100,000 | 28.87 | n/a | 15-Feb | 3000.00 0.0 |
| AO,CXL | 02/14 | STANDARD PACIFIC CAPITAL | 084 | LEA | B | 163,830 | 54.87 | n/a | 12-Feb | 8191.50 5.0 |
| AO,CRT | 02/14 | STANDARD PACIFIC CAPITAL | 084 | LEA | B | 163,830 | 54.87 | n/a | 12-Feb | 8191.50 5.0 |
| AO, | 02/14 | PALESTRA | 040 | MDLZ | S | 51,840 | 26.80 | n/a | n/a | 1555.20 0.0 |
| AO,CRT | 02/14 | PALESTRA | 040 | MDLZ | S | 48,160 | 26.80 | n/a | n/a | 1444.80 3.0 |
| AO,CXL | 02/14 | PALESTRA | 040 | MDLZ | S | 100,000 | 26.80 | n/a | n/a | 3000.00 3.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 5,850.00 |
| TOTAL (Trade Date): | | | | | | | | | | 116,884.73 |
| TOTAL (AO, CXL, CRT): | | | | | | | | | | 5,850.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | | 122,734.73 |

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 15-Feb.
NONE

MRI Securities without Trade Activity on 15-Feb.
APA, SHPG, WBC

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)