

Daily Compliance Activity Report Trade Date: 08/06/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------|------|--------|-----|--------|--------|-----|----------|-------------|--|
| PATTEN & PATTEN | 025 | AAPL | В | 10 | 467.30 | n/a | n/a | 0.50 0.0 | |
| FOCUSED INVESTORS | 084 | AET | В | 200 | 63.74 | n/a | n/a | 8.00 0.0 | |
| PATTEN & PATTEN | 025 | AGN | В | 50 | 90.83 | n/a | 17-Jun | 2.50 0.0 | |
| PATTEN & PATTEN | 025 | AIG | В | 100 | 48.15 | n/a | n/a | 5.00 0.0 | |
| PATTEN & PATTEN | 025 | AMLP | В | 175 | 17.98 | n/a | n/a | 8.75 0.0 | |
| TYVOR CAPITAL LLC | 031 | ANF | SS | 24,955 | 49.51 | n/a | n/a | 748.65 0.0 | |
| PATTEN & PATTEN | 025 | APD | S | 65 | 107.48 | n/a | n/a | 3.25 0.0 | |
| FOCUSED INVESTORS | 084 | AXP | В | 3,900 | 75.62 | n/a | 19-Jun | 156.00 0.0 | |
| PATTEN & PATTEN | 025 | AXP | В | 50 | 75.87 | n/a | 19-Jun | 2.50 0.0 | |
| PATTEN & PATTEN | 025 | BA | В | 50 | 107.26 | n/a | 11-Jun | 2.50 0.0 | |
| LATEEF MGMT | 033 | BBT | S | 250 | 36.04 | n/a | n/a | 42.50 0.0 | |
| LATEEF MGMT | 033 | BDN | В | 400 | 13.60 | n/a | n/a | 40.00 0.0 | |
| FOCUSED INVESTORS | 084 | BDX | В | 200 | 100.26 | n/a | n/a | 8.00 0.0 | |
| PATTEN & PATTEN | 025 | вто | В | 250 | 23.27 | n/a | n/a | 12.50 0.0 | |
| PATTEN & PATTEN | 025 | BUD | В | 75 | 98.26 | n/a | 17-Jun | 3.75 0.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. |
|--------------------------|------|--------|-----|--------|--------|-----|----------|----------|--------|
| SCOPUS FUND | 041 | BWA | SS | 25,000 | 95.92 | n/a | 19-Jun | 1,000.00 | 0.0 |
| PATTEN & PATTEN | 025 | CAT | S | 250 | 82.60 | n/a | 11-Jul | 12.50 | 0.0 |
| PATTEN & PATTEN | 025 | CBI | В | 425 | 58.87 | n/a | n/a | 21.25 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | CLX | SS | 25,000 | 85.43 | n/a | 17-Jun | 750.00 | 0.0 |
| PATTEN & PATTEN | 025 | CL | В | 200 | 61.00 | n/a | 17-Jun | 10.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | COL | В | 55,000 | 74.27 | n/a | 11-Jun | 2,200.00 | 0.0 |
| PATTEN & PATTEN | 025 | COV | В | 200 | 63.64 | n/a | n/a | 10.00 | 0.0 |
| PATTEN & PATTEN | 025 | CSCO | В | 150 | 26.20 | n/a | 26-Feb | 7.50 | 0.0 |
| PATTEN & PATTEN | 025 | CSD | В | 450 | 39.18 | n/a | n/a | 22.50 | 0.0 |
| CLEARLINE CAPITAL LLC | 006 | CSGS | SS | 11,013 | 23.74 | n/a | n/a | 330.39 | 0.0 |
| FOCUSED INVESTORS | 084 | CVS | В | 500 | 60.26 | n/a | n/a | 20.00 | 0.0 |
| PATTEN & PATTEN | 025 | CVX | В | 50 | 123.16 | n/a | n/a | 2.50 | 0.0 |
| LATEEF MGMT | 033 | DD | S | 100 | 59.44 | n/a | n/a | 28.00 | 0.0 |
| LATEEF MGMT | 033 | DE | В | 200 | 81.69 | n/a | 11-Jul | 50.00 | 0.0 |
| PATTEN & PATTEN | 025 | DLR | В | 100 | 55.42 | n/a | n/a | 5.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢, | /Shr. |
|--------------------------|------|--------|-----|---------|--------|-----|----------|----------|-------|
| LATEEF MGMT | 033 | DRE | В | 625 | 15.79 | n/a | n/a | 62.50 | 0.0 |
| PATTEN & PATTEN | 025 | DUK | В | 100 | 71.10 | n/a | n/a | 5.00 | 0.0 |
| LATEEF MGMT | 033 | ENR | S | 100 | 101.08 | n/a | 17-Jun | 30.00 | 0.0 |
| PATTEN & PATTEN | 025 | ETN | В | 50 | 65.50 | n/a | 12-Jun | 2.50 | 0.0 |
| KENNEDY CAPITAL | 046 | FINL | В | 34,230 | 22.17 | n/a | 19-Jun | 1,369.20 | 0.0 |
| METROPOLITAN CAPITAL | 044 | FL | В | 8,664 | 35.61 | n/a | 19-Jun | 433.20 | 0.0 |
| LATEEF MGMT | 033 | FMER | S | 300 | 22.57 | n/a | n/a | 30.00 | 0.0 |
| PATTEN & PATTEN | 025 | FSGI | В | 10,000 | 2.30 | n/a | n/a | 500.00 | 0.0 |
| GEORGE WEISS | 278 | F | В | 10,000 | 17.02 | n/a | 19-Jun | 300.00 | 0.0 |
| SCOPUS FUND | 041 | F | SS | 100,000 | 17.05 | n/a | 19-Jun | 4,000.00 | 0.0 |
| PATTEN & PATTEN | 025 | GE | В | 250 | 24.32 | n/a | n/a | 12.50 | 0.0 |
| 1798 CAP/LOMBARD ASSET | 040 | GM | В | 10,000 | 36.32 | n/a | 19-Jun | 500.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 041 | GM | S | 10,000 | 36.04 | n/a | 19-Jun | 300.00 | 0.0 |
| MOORE CAPITAL | 257 | GM | S | 25,000 | 36.27 | n/a | 19-Jun | 750.00 | 0.0 |
| OSKIE CAPITAL MGMT | 224 | GM | В | 40,000 | 36.12 | n/a | 19-Jun | 2,000.00 | 0.0 |
| YORK CAPITAL | 036 | GM | В | 250,000 | 36.27 | n/a | 19-Jun | 7,500.00 | 0.0 |
| FOCUSED INVESTORS | 084 | GS | В | 100 | 165.72 | n/a | 6-May | 4.00 | 0.0 |
| MOORE CAPITAL | 257 | HD | S | 30,000 | 79.21 | n/a | n/a | 900.00 | 0.0 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | /Shr. |
|---|-------------------------------|------|------------|--------|------------|----------------|------------|------------------|----------------|-------|
| | PATTEN & PATTEN | 025 | IAU | В | 500 | 12.48 | n/a | n/a | 25.00 | 0.0 |
| | PATTEN & PATTEN | 025 | IBM | В | 25 | 190.74 | n/a | n/a | 1.25 | 0.0 |
| | BAIRD INVESTMENT | 047 | IHG | S | 70,050 | 31.07 | n/a | n/a | 3,502.50 | 0.0 |
| | PATTEN & PATTEN | 025 | INTC | В | 150 | 22.80 | n/a | n/a | 7.50 | 0.0 |
| | PATTEN & PATTEN | 025 | IP | S | 200 | 48.26 | n/a | 17-Jun | 10.00 | 0.0 |
| | PATTEN & PATTEN | 025 | IRM | В | 750 | 28.23 | n/a | n/a | 37.50 | 0.0 |
| õ | Nilsa Vazquez | | IVR | В | 1000 1 | 15.1980 | n/a | n/a | 0.00 | 0.0 |
| | PATTEN & PATTEN | 025 | IWF | S | 500 | 77.29 | n/a | n/a | 25.00 | 0.0 |
| | J. GOLDMAN | 028 | JCP | В | 25,000 | 13.14 | n/a | 18-Jun | 1,000.00 | 0.0 |
| | FOCUSED INVESTORS | 084 | JNJ | В | 200 | 93.76 | n/a | n/a | 8.00 | 0.0 |
| | FOCUSED INVESTORS LATEEF MGMT | 084 | JPM JPM | B S | 400 125 | 55.59 55.57 | n/a n/a | 17-Jun 17-Jun | 16.00 31.25 | 0.0 |
| | PATTEN & PATTEN | 025 | NWU | В | 200 | 59.89 | n/a | 18-Jun | 10.00 | 0.0 |
| | HOLLIS CAPITAL | 033 | KORS | S | 3,000 | 70.69 | n/a | 30-May | 150.00 | 0.0 |
| | FOCUSED INVESTORS | 084 | KO | В | 600 | 40.28 | n/a | 17-Jun | 24.00 | 0.0 |
| | PATTEN & PATTEN | 025 | KRFT | В | 397 | 56.71 | n/a | n/a | 19.85 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | | MRI | Research | . Comm. | :/Shr. | |
|--------------------------|------|--------|-----|--------|-------|-------|-----|----------|------------|--------|-----|
| THOMPSON SIEGAL&WALMSLEY | 029 | LEA | S | 33,100 | 69.63 | | n/a | 19-Jun | 993.00 | 0.0 | |
| BTG PACTUAL | 040 | LF | В | 10,000 | 11.23 | | n/a | n/a | 300.00 | 0.0 | |
| PATTEN & PATTEN | 025 | LOW | В | 700 | 44.82 | | n/a | n/a | 35.00 | 0.0 | |
| NEUBERGER BERMAN | 036 | LPI | В | 12,900 | 24.33 | | n/a | n/a | 516.00 | 0.0 | |
| COOPER CREEK PART | 028 | LPX | SS | 10,000 | 16.81 | | n/a | 19-Jun | 400.00 | 0.0 | |
| DC CAPITAL | 044 | LPX | В | 50,000 | 16.55 | | n/a | 19-Jun | 1,500.00 | 0.0 | |
| SMITH MGMT/ALDEN GLOBAL | | 029 LI | PX | в 29 | 7,000 | 16.89 | | n/a | 19-Jun 8,9 | 010.00 | 0.0 |
| CADIAN CAPITAL | 041 | LTD | С | 7,600 | 56.92 | | n/a | n/a | 228.00 | 0.0 | |
| FOCUSED INVESTORS | 084 | MCD | В | 300 | 98.69 | | n/a | 17-Jun | 12.00 | 0.0 | |
| KAM ADVISORS LLC | 041 | MDLZ | S | 76,000 | 31.72 | | n/a | n/a | 2,280.00 | 0.0 | |
| FOCUSED INVESTORS | 084 | MSFT | В | 900 | 31.46 | | n/a | n/a | 36.00 | 0.0 | |
| FOCUSED INVESTORS | 084 | MS | В | 600 | 27.43 | | n/a | 6-Jun | 24.00 | 0.0 | |
| PATTEN & PATTEN | 025 | MWV | В | 500 | 37.19 | | n/a | 18-Jun | 25.00 | 0.0 | |
| MACELLUM CAPITAL | 086 | М | SS | 42,000 | 48.45 | | n/a | 18-Jun | 1,260.00 | 0.0 | |
| MOORE CAPITAL | 257 | М | S | 25,000 | 48.98 | | n/a | 18-Jun | 750.00 | 0.0 | |
| PATTEN & PATTEN | 025 | NEE | В | 135 | 86.82 | | n/a | n/a | 6.75 | 0.0 | |
| FOCUSED INVESTORS | 084 | NKE | В | 300 | 66.38 | | n/a | 19-Jun | 12.00 | 0.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. | |
|---------------------------|----------|--------|-----|-----------------|--------|---------------|----------|----------|------|-----|
| PATTEN & PATTEN | 025 | NKE | В | 150 | 66.53 | n/a | 19-Jun | 7.50 | 0.0 | |
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| FOCUSED INVESTORS | 084 | PEP | В | 400 | 84.99 | n/a | n/a | 16.00 | 0.0 | |
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| PATTEN & PATTEN | 025 | PH | В | 88 | 100.59 | n/a | n/a | 4.40 | 0.0 | |
| | | | | | | | | | | |
| GUGGENHEIM GLOBAL TRADING | (GGT) 25 | 1 PLCM | В | 10, | 9.73 | | n/a | n/a 300 | 0.00 | 0.0 |
| | | | | | | | | | | |
| PATTEN & PATTEN | 025 | PNRA | В | 50 | 171.17 | n/a | 10-Jun | 2.50 | 0.0 | |
| | | | | | | | | | | |
| CADIAN CAPITAL | 041 | P | С | 100,000 | 18.99 | n/a | n/a | 3,000.00 | 0.0 | |
| | | | | | | | | | | |
| PATTEN & PATTEN | 025 | QCOM | В | 50 | 65.58 | n/a | n/a | 2.50 | 0.0 | |
| | | | | | | | | | | |
| NOKOMIS PARTNERS | 031 | SATS | S | 12,362 | 43.65 | n/a | n/a | 370.86 | 0.0 | |
| | | | | | | | | | | |
| PATTEN & PATTEN | 025 | SE | В | 200 | 35.43 | n/a | n/a | 10.00 | 0.0 | |
| | | | | | | | | | | |
| PATTEN & PATTEN | 025 | SLV | В | 350 | 18.84 | n/a | n/a | 17.50 | 0.0 | |
| | | | | | | | | | | |
| LATEEF MGMT | 033 | SPLS | S | 300 | 16.91 | n/a | n/a | 30.00 | 0.0 | |
| | | | | | | | | | | |
| PATTEN & PATTEN | 025 | SRE | В | 50 | 87.72 | n/a | n/a | 2.50 | 0.0 | |
| | | | | | | | | | | |
| LATEEF MGMT | 033 | SWY | В | 250 | 24.76 | n/a | n/a | 25.00 | 0.0 | |
| | | | | | | | | | | |
| FOCUSED INVESTORS | 084 | TGT | В | 400 | 71.61 | n/a | 23-May | 16.00 | 0.0 | |
| PATTEN & PATTEN | 025 | TGT | В | 60 | 71.82 | n/a | 23-May | 3.00 | 0.0 | |
| S.A.C. CAPITAL | 044 | TGT | В | 15 , 543 | 71.64 | n/a | 23-May | 466.29 | 0.0 | |
| | | | _ | _0,010 | 3 0 1 | -1, \(\infty | 20 1141 | 100.20 | | |
| PATTEN & PATTEN | 025 | TRN | В | 150 | 40.30 | n/a | n/a | 7.50 | 0.0 | |
| | 323 | - 1111 | _ | 100 | 10.00 | 11, U | 11/ U | 7.50 | 0.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. |
|-------------------|---|---|---|--|---|--|--|--------------------------------------|---|
| CADIAN CAPITAL | 041 | UA | С | 29,000 | 70.04 | n/a | 19-Jun | 870.00 | 0.0 |
| FOCUSED INVESTORS | 084 | UNH | В | 300 | 72.96 | n/a | n/a | 12.00 | 0.0 |
| PATTEN & PATTEN | 025 | UTX | В | 25 | 105.25 | n/a | n/a | 1.25 | 0.0 |
| PATTEN & PATTEN | 025 | VNQ | В | 100 | 68.53 | n/a | n/a | 5.00 | 0.0 |
| RIVERPARK CAPITAL | 025 | WEN | В | 65,336 | 7.45 | n/a | 20-May | 1,960.08 | 0.0 |
| FOCUSED INVESTORS | 084 | WFC | В | 500 350 | 44.08 | n/a | 6-Jun | 20.00 | 0.0 |
| | | | | | | | | | |
| MOORE CAPITAL | 257 | WHK | 5 | 20,000 | 134.06 | n/a | n/a | 600.00 | 0.0 |
| FOCUSED INVESTORS | 084 | WLP | В | 200 | 87.24 | n/a | n/a | 8.00 | 0.0 |
| PATTEN & PATTEN | 025 | WMB | В | 150 | 36.04 | n/a | n/a | 7.50 | 0.0 |
| FOCUSED INVESTORS | 084 | WMT | В | 400 | 77.94 | n/a | 16-May | 16.00 | 0.0 |
| LATEEF MGMT | 033 | WRIPRF | В | 342 | 25.20 | n/a | n/a | 34.20 | 0.0 |
| PATTEN & PATTEN | 025 | WY | В | 950 | 28.25 | n/a | 19-Jun | 47.50 | 0.0 |
| CADIAN CAPITAL | 041 | YHOO | S | 150,000 | 27.41 | n/a | n/a | 4,500.00 | 0.0 |
| CADIAN CAPITAL | 041 | YUM | S | 27,000 | 74.03 | n/a | 17-Jun | 810.00 | 0.0 |
| FOCUSED INVESTORS | 084 | ZMH | В | 100 | 83.16 | n/a | n/a | 4.00 | 0.0 |
| | CADIAN CAPITAL FOCUSED INVESTORS PATTEN & PATTEN PATTEN & PATTEN RIVERPARK CAPITAL FOCUSED INVESTORS PATTEN & PATTEN MOORE CAPITAL FOCUSED INVESTORS PATTEN & PATTEN FOCUSED INVESTORS LATEEF MGMT PATTEN & PATTEN CADIAN CAPITAL CADIAN CAPITAL | CADIAN CAPITAL 041 FOCUSED INVESTORS 084 PATTEN & PATTEN 025 PATTEN & PATTEN 025 RIVERPARK CAPITAL 025 FOCUSED INVESTORS 084 PATTEN & PATTEN 025 MOORE CAPITAL 257 FOCUSED INVESTORS 084 PATTEN & PATTEN 025 FOCUSED INVESTORS 084 LATEEF MGMT 033 PATTEN & PATTEN 025 CADIAN CAPITAL 041 CADIAN CAPITAL 041 | CADIAN CAPITAL 041 UA FOCUSED INVESTORS 084 UNH PATTEN & PATTEN 025 UTX PATTEN & PATTEN 025 VNQ RIVERPARK CAPITAL 025 WEN FOCUSED INVESTORS 084 WFC PATTEN & PATTEN 025 WFC MOORE CAPITAL 257 WHR FOCUSED INVESTORS 084 WLP PATTEN & PATTEN 025 WMB FOCUSED INVESTORS 084 WMT LATEEF MGMT 033 WRIPRF PATTEN & PATTEN 025 WY CADIAN CAPITAL 041 YHOO CADIAN CAPITAL 041 YUM | CADIAN CAPITAL 041 UA C FOCUSED INVESTORS 084 UNH B PATTEN & PATTEN 025 UTX B PATTEN & PATTEN 025 VNQ B RIVERPARK CAPITAL 025 WEN B FOCUSED INVESTORS 084 WFC B PATTEN & PATTEN 025 WFC B MOORE CAPITAL 257 WHR S FOCUSED INVESTORS 084 WLP B PATTEN & PATTEN 025 WMB B FOCUSED INVESTORS 084 WHP B LATEEF MGMT 025 WMB B LATEEF MGMT 033 WRIPRF B CADIAN CAPITAL 041 YHOO S CADIAN CAPITAL 041 YUM S | CADIAN CAPITAL 041 UA C 29,000 FOCUSED INVESTORS 084 UNH B 300 PATTEN & PATTEN 025 UTX B 25 PATTEN & PATTEN 025 VNQ B 100 RIVERPARK CAPITAL 025 WEN B 65,336 FOCUSED INVESTORS 084 WFC B 500 PATTEN & PATTEN 025 WFC B 350 MOORE CAPITAL 257 WHR S 20,000 FOCUSED INVESTORS 084 WLP B 200 PATTEN & PATTEN 025 WMB B 150 FOCUSED INVESTORS 084 WMT B 400 LATEEF MGMT 033 WRIPRF B 342 PATTEN & PATTEN 025 WY B 950 CADIAN CAPITAL 041 YHOO S 150,000 CADIAN CAPITAL 041 YUM S 27,000 | CADIAN CAPITAL 041 UA C 29,000 70.04 FOCUSED INVESTORS 084 UNH B 300 72.96 PATTEN & PATTEN 025 UTX B 25 105.25 PATTEN & PATTEN 025 VNQ B 100 68.53 RIVERPARK CAPITAL 025 WEN B 65,336 7.45 FOCUSED INVESTORS 084 WFC B 500 44.08 PATTEN & PATTEN 025 WFC B 350 44.07 MOORE CAPITAL 257 WHR S 20,000 134.06 FOCUSED INVESTORS 084 WLP B 200 87.24 PATTEN & PATTEN 025 WMB B 150 36.04 FOCUSED INVESTORS 084 WMT B 400 77.94 LATEEF MGMT 033 WRIPFF B 342 25.20 PATTEN & PATTEN 025 WY B 950 28.25 CADIAN CAPITAL 041 YHOO S 150,000 27.41 CADIAN CAPITAL 041 YUM S 27,000 74.03 | CADIAN CAPITAL 041 UA C 29,000 70.04 n/a FOCUSED INVESTORS 084 UNH B 300 72.96 n/a PATTEN & PATTEN 025 UTX B 25 105.25 n/a PATTEN & PATTEN 025 VNQ B 100 68.53 n/a RIVERPARK CAPITAL 025 WEN B 65,336 7.45 n/a FOCUSED INVESTORS 084 WFC B 500 44.08 n/a PATTEN & PATTEN 025 WFC B 350 44.07 n/a MOORE CAPITAL 257 WHR S 20,000 134.06 n/a FOCUSED INVESTORS 084 WLP B 200 87.24 n/a FOCUSED INVESTORS 084 WLP B 150 36.04 n/a FOCUSED INVESTORS 084 WMT B 400 77.94 n/a LATEEF MGMT 033 WRIPFF B 342 25.20 n/a PATTEN & PATTEN 025 WY B 950 28.25 n/a CADIAN CAPITAL 041 YHOO S 150,000 27.41 n/a CADIAN CAPITAL 041 YHOO S 150,000 27.41 n/a | CADIAN CAPITAL 041 UA C 29,000 70.04 | CADIAN CAPITAL 041 UA C 29,000 70.04 n/a 19-Jun 870.00 FOCUSED INVESTORS 084 UNH B 300 72.96 n/a n/a 12.00 PATTEN & PATTEN 025 UTX B 25 105.25 n/a n/a 1.25 PATTEN & PATTEN 025 VNQ B 100 68.53 n/a n/a 20-May 1,960.08 RIVERPARK CAPITAL 025 WEN B 65,336 7.45 n/a 20-May 1,960.08 FOCUSED INVESTORS 084 WFC B 500 44.08 n/a 6-Jun 20.00 PATTEN & PATTEN 025 WFC B 350 44.07 n/a 6-Jun 17.50 MOORE CAPITAL 257 WHR S 20,000 131.06 n/a n/a 6-Jun 17.50 FOCUSED INVESTORS 084 WIP B 200 87.24 n/a n/a 8.00 PATTEN & PATTEN 025 WMB B 150 36.04 n/a n/a 7.50 FOCUSED INVESTORS 084 WMT B 400 77.94 n/a 16-May 16.00 LATEEF MGMT 033 WRIPFF B 342 25.20 n/a 19-Jun 47.50 CADIAN CAPITAL 041 YHOO S 150,000 27.41 n/a n/a 4,500.00 CADIAN CAPITAL 041 YHOO S 150,000 27.41 n/a n/a 4,500.00 |

TOTAL (Trade Date): 59,563.12

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|---------|-------|-------------------------------------|------|--------|-----|---------|-------|-----|----------|---------|--------|
| AO, | 08/02 | COLUMBUS CIRCLE (COLC3050) | 036 | BYD | В | 10,400 | 11.90 | n/a | n/a | 416.00 | 0.0 |
| AO, CXL | 08/05 | EGS ASSOCIATES LP (EGASBANC O) | 091 | FL | В | 700 | 37.72 | n/a | 19-Jun | 28.00 | 0.0 |
| AO, | 08/05 | EGS ASSOCIATES LP (EGASBANC O) | 091 | FL | В | 3,500 | 37.72 | n/a | 19-Jun | 175.00 | 0.0 |
| AO, CXL | 08/05 | ROARING BLUE LION MGMT (ROARGSBTIG) | 091 | FL | В | 2,800 | 37.72 | n/a | 19-Jun | 112.00 | 0.0 |
| AO,CXL | 08/01 | MAPLE ROW (MAPWGS) | 006 | LYB | В | 12,500 | 68.48 | n/a | n/a | 625.00 | 0.0 |
| AO,CRT | 08/01 | MAPLE ROW (MAPWGS) | 006 | LYB | В | 12,500 | 68.48 | n/a | n/a | 375.00 | 3.0 |
| AO, | 08/05 | FRIESS MGMT (FRISBRANDY) | 033 | ONNN | S | 200,000 | 7.62 | n/a | n/a | 6000.00 | 0.0 |
| AO,CXL | 08/01 | ROARING BLUE LION MGMT (ROARMAIN) | 031 | QCOM | В | 42,500 | 64.97 | n/a | n/a | 2040.00 | 0.0 |
| AO, CRT | 08/01 | ROARING BLUE LION MGMT (ROARMAIN) | 031 | QCOM | В | 42,500 | 64.97 | n/a | n/a | 1700.00 | 0.0 |

| TOTAL (RUN DATE) / NFS: | 65,424.12 |
|-------------------------|-----------|
| TOTAL (AO, CXL, CRT): | 5,861.00 |
| TOTAL (Trade Date): | 59,563.12 |

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