



Daily Compliance Activity Report

Trade Date: 01/26/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|--------------|----------|------------------|--------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | 494HK | B | 1,200,000 | 3.96 | n/a | n/a | non-brg | 0.8 |
| SPARTA ASSET MGMT | 035 | ACV | S | 31,649 | 28.70 | n/a | 21-Dec | 949.47 | 3.0 |
| CAERUS GLOBAL | 041 | AEO | B | 15,000 | 16.16 | n/a | 8-Jan | 450.00 | 3.0 |
| SANDLER O'NEILL ASSET | 031 | AMG | B | 5,000 | 64.99 | n/a | 25-Jan | 250.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | AMR | S | 1000 | 7.74 | n/a | n/a | 0.00 | 0.0 |
| f ANTHONY NG | FID | ATVI | B | 400 | 10.05 | n/a | n/a | 0.00 | 0.0 |
| GCORE MANAGEMENT | 041 | ATVI | B | 20,000 | 10.14 | n/a | n/a | 1,000.00 | 5.0 |
| f FRANCIS MICHAEL MCCA | FID | AXL | B | 4000 | 9.38 | n/a | 4-Jan | 0.00 | 0.0 |
| GREEN ARROW DOUG | 040 | AXP | S | 25,000 | 38.80 | n/a | 26-Jan | 1,250.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | BAC | S | 300 | 14.85 | n/a | 21-Jan | 0.00 | 0.0 |
| f ROBERT M DANIELS | FID | BAC | B | 300 | 15.05 | n/a | 21-Jan | 0.00 | 0.0 |
| CIRCLE T/SES PART | 035 | BBY | B | 10,000 | 37.48 | n/a | n/a | 400.00 | 4.0 |
| NEUBERGER BERMAN | 036 | BEXP | B | 73,300 | 13.56 | n/a | n/a | 2,932.00 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | BGU | S | 6000 | 50.06 | n/a | n/a | 0.00 | 0.0 |
| f ALEXANDER A SACCO | FID | BGZ | B | 100 | 17.80 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|--------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| f | JOSEPH CIRO AMATURO | FID | BGZ | B | 20000 | 17.53 | n/a | n/a | 0.00 | 0.0 |
| f | MARC PAUL LUCHANSKY | FID | BGZ | B | 3000 | 17.82 | n/a | n/a | 0.00 | 0.0 |
| f | MARC PAUL LUCHANSKY | FID | BGZ | S | 1500 | 17.44 | n/a | n/a | 0.00 | 0.0 |
| f | STEFFANIE CARMELA CA | FID | BGZ | B | 250 | 17.84 | n/a | n/a | 0.00 | 0.0 |
| B | BUCK CAPITAL MGMT | | BHI | S | 25,000 | 48.43 | n/a | n/a | non-brg | 4.0 |
| f | JOHN MICHAEL ZOLIDIS | FID | BKRS | B | 2300 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| | BUCK CAPITAL MGMT | 001 | BKS | SS | 20,000 | 19.93 | n/a | n/a | 800.00 | 4.0 |
| | CASTLEROCK | 040 | BKS | SS | 59,336 | 19.66 | n/a | n/a | 2,373.44 | 4.0 |
| f | MANNY I KORMAN | FID | BKS | B | 100 | 0.35 | n/a | n/a | 0.00 | 0.0 |
| | EXIS CAPITAL | 044 | BWA | S | 10,000 | 36.63 | n/a | 4-Jan | 500.00 | 5.0 |
| f | JOHN MICHAEL ZOLIDIS | FID | BWS | S | 600 | 12.99 | n/a | n/a | 0.00 | 0.0 |
| | LEVIN CAPITAL STRATEGIES | 012 | CBE | SS | 18,000 | 42.37 | n/a | 23-Nov | 720.00 | 4.0 |
| | MERRILL ASSET/BLACKROCK | 214 | CHD | S | 7,500 | 61.14 | n/a | 13-Jan | 300.00 | 4.0 |
| f | MARC PAUL LUCHANSKY | FID | CIVVX | S | 54 | 11.15 | n/a | n/a | 0.00 | 0.0 |
| | RBC CAPITAL MARKETS | 040 | CLF | B | 25,000 | 43.00 | n/a | n/a | 1,000.00 | 4.0 |
| | BUCK CAPITAL MGMT | 001 | COH | B | 120,000 | 34.77 | n/a | 21-Jan | 4,800.00 | 4.0 |
| | BUCK CAPITAL MGMT | 001 | CRI | S | 10,000 | 26.13 | n/a | n/a | 400.00 | 4.0 |
| B | BUCK CAPITAL MGMT | | CROX | B | 70,000 | 6.93 | n/a | n/a | non-brg | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|--------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | CSTR | B | 20,000 | 26.22 | n/a | n/a | non-brg | 4.0 |
| JMP ASSET MGMT | 210 | CTRN | B | 4,800 | 31.05 | n/a | n/a | 240.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | C | S | 975 | 3.16 | n/a | 21-Jan | 0.00 | 0.0 |
| LAGRANGE CAP ADV | 048 | C | B | 30,000 | 3.18 | n/a | 21-Jan | 900.00 | 3.0 |
| METROPOLITAN CAPITAL | 044 | DAN | S | 34,200 | 10.46 | n/a | 6-Jan | 1,710.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 214 | DBRN | B | 28,000 | 24.14 | n/a | n/a | 1,120.00 | 4.0 |
| f NEIL M STRATTON | FID | DKR | S | 200 | 23.50 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | EBAY | B | 35,000 | 24.11 | n/a | n/a | 1,400.00 | 4.0 |
| GCORE MANAGEMENT | 041 | ERTS | SS | 10,000 | 16.80 | n/a | n/a | 500.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | ETFC | B | 10,000 | 1.64 | n/a | n/a | 600.00 | 6.0 |
| f JONATHAN RICHARD HAR | FID | FAZ | B | 250 | 20.27 | n/a | n/a | 0.00 | 0.0 |
| f SCOTT L BRUNNER | FID | FAZ | B | 1000 | 19.50 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FCSAX | B | 1370 | 9.67 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FDIVX | S | 22 | 27.21 | n/a | n/a | 0.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 012 | FDO | SS | 25,000 | 30.52 | n/a | 6-Jan | 1,000.00 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | FIGRX | S | 17 | 29.49 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| f MARC PAUL LUCHANSKY | FID | FILEX | B | 387 | 8.02 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FINSX | S | 173 | 16.81 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FLPSX | B | 19 | 31.86 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | FOR | B | 380 | 19.13 | n/a | 25-Jan | 0.00 | 0.0 |
| DIAMONDBACK CAP MGMT | 232 | F | SS | 100,000 | 11.33 | n/a | 6-Jan | 5,000.00 | 5.0 |
| f JENNIFER CORWIN GLIC | FID | F | B | 1000 | 11.13 | n/a | 6-Jan | 0.00 | 0.0 |
| OZ MGMT | 040 | F | B | 230,902 | 11.37 | n/a | 6-Jan | 6,927.06 | 3.0 |
| f JOSEPH CIRO AMATURO | FID | GAZ | S | 25000 | 13.89 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 20,000 | 24.02 | n/a | n/a | 800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GCO | B | 20,000 | 24.01 | n/a | n/a | non-brg | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | GES | B | 96,737 | 40.59 | n/a | n/a | 2,902.11 | 3.0 |
| MILLENIU PARTNERS | 028 | GE | SS | 50,000 | 16.56 | n/a | n/a | 2,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GIII | S | 10,000 | 19.46 | n/a | n/a | non-brg | 0.8 |
| LEVEL GLOBAL SHARED ACCT | 257 | GIL | S | 12,600 | 21.73 | n/a | 4-Jan | 378.00 | 3.0 |
| B BUCK CAPITAL MGMT | | GLW | B | 170,100 | 18.52 | 26-Jan | 26-Jan | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GLW | B | 25,000 | 18.37 | 26-Jan | 26-Jan | non-brg | 4.0 |
| ISLE RIDGE PARTNERS | 041 | GNTX | S | 30,000 | 17.49 | n/a | 4-Jan | 1,200.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|--------------|----------|---------------|--------------|------------|--------------|-----------------|------------|
| CADIAN CAPITAL | 067 | GYMB | SS | 25,000 | 39.66 | n/a | 8-Jan | 1,000.00 | 4.0 |
| SAC CAPITAL/JOHN MAGUIE | 039 | HD | S | 14,700 | 27.77 | n/a | 14-Jan | 514.50 | 3.5 |
| NEUBERGER BERMAN | 036 | HUBG | S | 13,200 | 26.57 | n/a | n/a | 528.00 | 4.0 |
| HUNTER GLOBAL INVESTOR | 067 | INTC | B | 100,000 | 20.18 | n/a | n/a | 4,000.00 | 4.0 |
| EXIS CAPITAL | 044 | IP | B | 50,000 | 24.52 | n/a | 25-Jan | 2,500.00 | 5.0 |
| OZ MGMT | 040 | IP | B | 30,451 | 24.75 | n/a | 25-Jan | 913.53 | 3.0 |
| B BUCK CAPITAL MGMT | | JACK | B | 30,000 | 20.03 | n/a | n/a | non-brg | 2.5 |
| f MARC PAUL LUCHANSKY | FID | JLPSX | S | 402 | 17.78 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | JMCVX | S | 36 | 19.69 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | JNY | B | 20,000 | 15.23 | n/a | 4-Jan | 800.00 | 4.0 |
| SAC CAPITAL/JOHN MAGUIE | 039 | JNY | B | 8,400 | 15.27 | n/a | 4-Jan | 294.00 | 3.5 |
| GRISANTI BROWN & PARTNER | 048 | JRCC | S | 8,900 | 16.95 | n/a | n/a | 445.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JWN | B | 30,000 | 35.09 | n/a | 8-Jan | 1,200.00 | 4.0 |
| ISLE RIDGE PARTNERS | 041 | JWN | B | 40,000 | 35.46 | n/a | 8-Jan | 1,600.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | JWN | B | 5,000 | 35.64 | n/a | 8-Jan | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | KSS | B | 50,000 | 50.59 | n/a | 8-Jan | 2,000.00 | 4.0 |
| ISLE RIDGE PARTNERS | 041 | KSS | S | 17,500 | 50.58 | n/a | 8-Jan | 700.00 | 4.0 |
| GREEN ARROW DOUG | 040 | LIZ | S | 50,000 | 5.14 | n/a | 7-Oct | 2,000.00 | 4.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------|----------------------------|------------|--------------|----------|---------------|--------------|------------|------------|----------------|------------|
| f | MARC PAUL LUCHANSKY | FID | LONG | S | 1000 | 10.69 | n/a | n/a | 0.00 | 0.0 |
| | SAC CAPITAL/JOHN MAGUIE | 039 | LOW | B | 17,000 | 22.10 | n/a | 16-Nov | 595.00 | 3.5 |
| | NEUBERGER BERMAN | 036 | LUFK | B | 11,600 | 66.62 | n/a | n/a | 464.00 | 4.0 |
| | LEVEL GLOBAL SHARED ACCT | 257 | LULU | C | 30,000 | 29.13 | n/a | n/a | 900.00 | 3.0 |
| | LEVEL GLOBAL SHARED ACCT | 257 | MCD | B | 100,000 | 63.43 | n/a | 22-Jan | 3,000.00 | 3.0 |
| | MADISON ST PARTNERS LLC | 046 | MCD | B | 15,000 | 63.41 | n/a | 22-Jan | 750.00 | 5.0 |
| | DAVIDSON KEMPNER ADVISOR | 040 | MLM | B | 10,000 | 82.18 | n/a | n/a | 500.00 | 5.0 |
| B | BUCK CAPITAL MGMT | | MNRO | S | 10,000 | 31.52 | n/a | n/a | non-brg | 4.0 |
| | DIAMONDBACK CAP MGMT | 232 | MS | S | 20,000 | 28.03 | n/a | 21-Jan | 1,000.00 | 5.0 |
| | TRUST CO/COWEN/CALF. | 040 | MYL | S | 57,400 | 18.16 | n/a | 25-Jan | 2,296.00 | 4.0 |
| | EXIS CAPITAL | 044 | M | B | 25,000 | 15.80 | n/a | 8-Jan | 1,250.00 | 5.0 |
| | EXIS CAPITAL | 044 | M | S | 25,000 | 16.00 | n/a | 8-Jan | 1,250.00 | 5.0 |
| f | JOHN BARTMAN COLE | FID | NBRXF | B | 200 | 15.95 | n/a | n/a | 0.00 | 0.0 |
| f | MARC PAUL LUCHANSKY | FID | OAKMX | S | 30 | 36.11 | n/a | n/a | 0.00 | 0.0 |
| | GRANITE CAPITAL | 045 | OVTI | S | 40,000 | 14.14 | n/a | n/a | 2,000.00 | 5.0 |
| f | MARC PAUL LUCHANSKY | FID | PAHIX | S | 109 | 6.43 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|---------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| ISLE RIDGE PARTNERS | 041 | PIR | S | 25,000 | 5.04 | n/a | n/a | 1,000.00 | 4.0 |
| BMO NESBITT BURNS | 041 | PKG | B | 25,000 | 22.26 | n/a | 26-Jan | 1,250.00 | 5.0 |
| BRAZOS | 031 | PKG | B | 27,000 | 22.98 | n/a | 26-Jan | 810.00 | 3.0 |
| CSFB GLOBAL PROPRIETARY | 041 | PKG | B | 239,800 | 22.62 | n/a | 26-Jan | 11,990.00 | 5.0 |
| OZ MGMT | 040 | PKG | S | 50,000 | 22.34 | n/a | 26-Jan | 1,500.00 | 3.0 |
| SCHOTTENFELD ASSOC | 041 | PKG | S | 30,000 | 22.42 | n/a | 26-Jan | 900.00 | 3.0 |
| B BUCK CAPITAL MGMT | | PSS | S | 20,000 | 19.73 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | PVH | B | 20,000 | 40.52 | n/a | 12-Jan | 800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | PVH | B | 10,000 | 40.47 | n/a | 12-Jan | non-brg | 4.0 |
| EXIS CAPITAL | 044 | PVH | B | 20,000 | 40.53 | n/a | 12-Jan | 1,000.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | PZFBVX | B | 77 | 14.33 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | RF | S | 1250 | 6.16 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | RL | SS | 4,400 | 83.18 | n/a | 4-Jan | 176.00 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | SBLGX | S | 23 | 21.56 | n/a | n/a | 0.00 | 0.0 |
| SAC CAPITAL/JOHN MAGUIE | 039 | SBUX | SS | 7,500 | 22.68 | n/a | 21-Jan | 262.50 | 3.5 |
| CASTLEROCK | 040 | SHW | B | 43,364 | 64.08 | 26-Jan | 26-Jan | 1,734.56 | 4.0 |
| f ALEXANDER A SACCO | FID | SKF | B | 100 | 25.14 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | SLASX | S | 50 | 36.22 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|------------|-----------|---------------|---------------|------------|---------------|-----------------|------------|
| KEEFE BRUYETTE WOODS A | 045 | SLM | B | 7,000 | 10.42 | n/a | 21-Jan | 350.00 | 5.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | SPY | SS | 7,400 | 110.29 | n/a | n/a | 370.00 | 5.0 |
| SHEFFIELD ASSET MGMT | 031 | SPY | SS | 7,200 | 109.64 | n/a | n/a | 360.00 | 5.0 |
| LISTED ERR | 099 | SPY | SS | 2,200 | 110.05 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | SPY | S | 2,200 | 110.05 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | SWK | B | 18,800 | 54.04 | n/a | n/a | 752.00 | 4.0 |
| COOPER CREEK PART | 028 | TIN | B | 15,000 | 18.54 | n/a | 25-Jan | 600.00 | 4.0 |
| COUGAR TRADING | 044 | TIN | S | 15,000 | 18.63 | n/a | 25-Jan | 750.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | TIN | B | 100,000 | 18.54 | n/a | 25-Jan | 5,000.00 | 5.0 |
| IRIDIAN ASSET MGMT. | 036 | TIN | B | 56,190 | 18.73 | n/a | 25-Jan | 2,809.50 | 5.0 |
| OZ MGMT | 040 | TIN | B | 17,951 | 18.70 | n/a | 25-Jan | 538.53 | 3.0 |
| SLS CAPITAL LLC | 224 | TIN | B | 20,000 | 18.40 | n/a | 25-Jan | 800.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | TIN | B | 15,000 | 18.56 | n/a | 25-Jan | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TJX | S | 10,000 | 37.68 | n/a | 8-Jan | 400.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | TROW | S | 20,000 | 52.02 | n/a | 25-Jan | 1,000.00 | 5.0 |
| BENCHMARK | 025 | TWI | S | 7,500 | 8.44 | n/a | n/a | 300.00 | 4.0 |
| TROUBH PART | 067 | TXT | B | 35,000 | 20.97 | n/a | n/a | 1,750.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | TZA | B | 490 | 10.24 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | UA | B | 70,000 | 27.44 | n/a | 14-Jan | 2,800.00 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | UNG | B | 25000 | 9.86 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|--------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| f MARC PAUL LUCHANSKY | FID | USGLX | S | 39 | 25.87 | n/a | n/a | 0.00 | 0.0 |
| HUNTER GLOBAL INVESTOR | 067 | UTX | SS | 68,000 | 68.57 | n/a | n/a | 3,400.00 | 5.0 |
| GRISANTI BROWN & PARTNER | 048 | VLO | B | 7,700 | 18.85 | n/a | n/a | 385.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | VZ | S | 180,000 | 30.00 | n/a | n/a | 5,400.00 | 3.0 |
| f MARC PAUL LUCHANSKY | FID | WBIGX | S | 28 | 17.93 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | WDR | C | 50,000 | 31.56 | n/a | 25-Jan | 2,500.00 | 5.0 |
| f ROBERT M DANIELS | FID | WEN | B | 900 | 4.58 | n/a | 19-Jan | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | WFT | B | 10,000 | 16.45 | n/a | n/a | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | WFT | B | 70,000 | 16.47 | n/a | n/a | non-brg | 4.0 |
| f ANTHONY NG | FID | WH | S | 1000 | 3.03 | n/a | n/a | 0.00 | 0.0 |
| CAERUS GLOBAL | 041 | WMS | S | 20,000 | 41.07 | n/a | n/a | 600.00 | 3.0 |
| B BUCK CAPITAL MGMT | 001 | WRC | B | 30,000 | 41.15 | n/a | 4-Jan | 1,200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | WRC | B | 25,000 | 41.05 | n/a | 4-Jan | non-brg | 4.0 |
| GREEN ARROW DOUG | 040 | WSM | SS | 25,000 | 20.84 | n/a | n/a | 1,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WSO | B | 5,000 | 50.18 | n/a | n/a | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | WY | B | 33,000 | 41.74 | n/a | 25-Jan | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|-------------------|----------------|------------|
| f ANTHONY NG | FID | XOMA | S | 1000 | 0.67 | n/a | n/a | 0.00 | 0.0 |
| OZ MGMT | 040 | XOP | SS | 100,000 | 41.65 | n/a | n/a | 3,000.00 | 3.0 |
| B BUCK CAPITAL MGMT | | XRT | C | 258,981 | 35.22 | n/a | n/a | non-brg | 0.8 |
| KAILIX INV ADV | 048 | X | S | 20,000 | 52.20 | n/a | n/a | 1,000.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | YONG | S | 360 | 7.36 | n/a | n/a | 0.00 | 0.0 |
| THIRD POINT MGMT | 044 | ZION | C | 150,000 | 20.12 | n/a | n/a | 6,000.00 | 4.0 |
| TOTAL (Trade Date): | | | | | | | 142,990.20 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,CRT | 01/21 | NEUBERGER BERMAN | 036 | HUBG | S | 100 | 28.03 | n/a | n/a | 4.00 | 4.0 |
| AO,CXL | 01/21 | NEUBERGER BERMAN | 036 | HUBG | S | 100 | 28.03 | n/a | n/a | 4.00 | 4.0 |

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| TOTAL (AO, CXL, CRT) : | 0.00 |
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|------------------------|------------|
| TOTAL (Trade Date) : | 142,990.20 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

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|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 142,990.20 |
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| MRI Securities with Trade Activity on 26-Jan. GLW, SHW |
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| MRI Securities without Trade Activity on 26-Jan. DD |
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| BRG comm. as a % of BCM Total Comm. paid. T-Date = 34% YTD = 23% |
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| <u>Legend:</u> |
| 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) |