



Daily Compliance Activity Report

Trade Date: 05/11/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| CAXTON PART | 040 | AA | S | 100,000 | 12.14 | n/a | n/a | 3,500.01 | 3.5 |
| ST OF MICHIAN | 047 | AB | S | 120,000 | 30.56 | n/a | n/a | 3,600.00 | 3.0 |
| EXIS CAPITAL | 044 | AEO | B | 10,000 | 16.18 | n/a | 10-May | 500.00 | 5.0 |
| EPOCH INV MGMT | 030 | AGCO | B | 23,950 | 34.07 | n/a | 30-Apr | 718.50 | 3.0 |
| HILLIARD LYONS CAP MGMT | 047 | AGN | S | 681 | 62.39 | n/a | 10-May | 20.43 | 3.0 |
| LISTED ERR | 099 | AGN | B | 681 | 62.36 | n/a | 10-May | 0.00 | 0.0 |
| LISTED ERR | 099 | AGN | S | 681 | 62.74 | n/a | 10-May | 0.00 | 0.0 |
| ASCEND PARTNERS | 033 | BA | B | 30,000 | 71.57 | n/a | 5-May | 1,500.00 | 5.0 |
| SAGE ASSET MGMT | 012 | BX | S | 25,500 | 13.10 | n/a | n/a | 1,275.00 | 5.0 |
| LOMBARDIA CAP MGMT | 048 | CACI | B | 13,496 | 48.18 | n/a | n/a | 653.38 | 4.9 |
| CAERUS GLOBAL | 041 | CAKE | SS | 10,000 | 27.54 | n/a | 23-Apr | 300.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | CAT | SS | 10,000 | 65.71 | n/a | 30-Apr | 400.00 | 4.0 |
| RAINIER INV MGMT | 035 | CL | S | 141,300 | 82.68 | n/a | 18-Mar | 5,652.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | CMCSA | S | 2,358 | 18.03 | n/a | n/a | 70.74 | 3.0 |
| LISTED ERR | 099 | CMCSA | B | 2,358 | 17.99 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | CMCSA | S | 2,358 | 17.96 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| HARBORWATCH/DIAMBACK | 232 | CNX | SS | 30,000 | 39.63 | n/a | n/a | 1,500.00 | 5.0 |
| ROSEDALE CAPITAL | 046 | COG | B | 20,000 | 33.33 | n/a | 29-Apr | 1,000.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | CSCO | S | 1,930 | 26.15 | n/a | n/a | 57.90 | 3.0 |
| LISTED ERR | 099 | CSCO | B | 1,930 | 26.17 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | CSCO | S | 1,930 | 26.10 | n/a | n/a | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | CVS | S | 1,825 | 36.17 | n/a | n/a | 54.75 | 3.0 |
| LISTED ERR | 099 | CVS | B | 1,825 | 36.04 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | CVS | S | 1,825 | 36.06 | n/a | n/a | 0.00 | 0.0 |
| MELLON/BANK OF NEW YORK | 046 | CYN | B | 20,750 | 62.51 | n/a | n/a | 1,037.50 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | DELL | S | 2,171 | 15.38 | n/a | n/a | 65.13 | 3.0 |
| LISTED ERR | 099 | DELL | B | 2,171 | 15.41 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | DELL | S | 2,171 | 15.29 | n/a | n/a | 0.00 | 0.0 |
| CAVU CAP ADV | 028 | DE | B | 20,000 | 59.30 | n/a | 30-Apr | 1,000.00 | 5.0 |
| CAXTON PART | 040 | DIS | S | 55,418 | 35.82 | n/a | n/a | 1,939.68 | 3.5 |
| HILLIARD LYONS CAP MGMT | 047 | DIS | S | 2,137 | 35.40 | n/a | n/a | 64.11 | 3.0 |
| LISTED ERR | 099 | DIS | B | 2,137 | 35.47 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | DIS | S | 2,137 | 35.73 | n/a | n/a | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | DOLE | B | 20,000 | 10.00 | n/a | n/a | 1,000.00 | 5.0 |
| LAGRANGE CAP ADV | 048 | FII | B | 10,000 | 23.50 | n/a | 2-Mar | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | FL | B | 20,000 | 14.90 | n/a | 6-May | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|--------------|--------------|------------|---------------|-------------|------------|
| HILLIARD LYONS CAP MGMT | 047 | GE | S | 1,693 | 18.04 | n/a | n/a | 50.79 | 3.0 |
| LISTED ERR | 099 | GE | B | 1,693 | 17.92 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | GE | S | 1,693 | 17.95 | n/a | n/a | 0.00 | 0.0 |
| ST OF MICHIAN | 047 | GLW | B | 250,000 | 18.31 | n/a | 10-May | 7,500.00 | 3.0 |
| MESIROW | 031 | GPI | B | 27,899 | 30.17 | n/a | 28-Apr | 976.47 | 3.5 |
| SIGMA CAPITAL ASSOCIATES | 041 | GPS | B | 100,000 | 24.00 | n/a | n/a | 3,500.00 | 3.5 |
| BARROW HANLEY MEWHINNEY | 031 | HD | S | 41,300 | 35.80 | n/a | 11-May | 1,445.50 | 3.5 |
| HILLIARD LYONS CAP MGMT | 047 | HD | S | 1,937 | 35.29 | n/a | 11-May | 58.11 | 3.0 |
| RWC PARTNERS LTD | 067 | HD | B | 110,000 | 35.67 | n/a | 11-May | 3,300.00 | 3.0 |
| LISTED ERR | 099 | HD | B | 1,937 | 35.29 | n/a | 11-May | 0.00 | 0.0 |
| LISTED ERR | 099 | HD | S | 1,937 | 35.19 | n/a | 11-May | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | HOG | S | 747 | 33.33 | n/a | n/a | 22.41 | 3.0 |
| LISTED ERR | 099 | HOG | B | 747 | 33.39 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | HOG | S | 747 | 33.33 | n/a | n/a | 0.00 | 0.0 |
| BMO NESBITT BURNS | 041 | IP | B | 7,000 | 24.31 | n/a | 29-Apr | 280.00 | 4.0 |
| GREEN ARROW DOUG | 040 | IP | S | 15,000 | 24.51 | n/a | 29-Apr | 750.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | IP | S | 30,000 | 24.19 | n/a | 29-Apr | 1,200.00 | 4.0 |
| ROYCE TRADING | 216 | IVZ | S | 500 | 21.18 | n/a | 2-Mar | 25.00 | 5.0 |
| EXIS CAPITAL | 044 | JCP | B | 5,000 | 28.93 | n/a | 10-May | 250.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | JEC | S | 905 | 45.16 | n/a | n/a | 27.15 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| LISTED ERR | 099 | JEC | B | 905 | 44.70 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | JEC | S | 905 | 44.80 | n/a | n/a | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | JNJ | S | 870 | 64.86 | n/a | n/a | 26.10 | 3.0 |
| LISTED ERR | 099 | JNJ | B | 870 | 64.89 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | JNJ | S | 870 | 64.62 | n/a | n/a | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | JPM | S | 1,252 | 41.95 | n/a | 11-May | 37.56 | 3.0 |
| LISTED ERR | 099 | JPM | B | 1,252 | 41.50 | n/a | 11-May | 0.00 | 0.0 |
| LISTED ERR | 099 | JPM | S | 1,252 | 41.56 | n/a | 11-May | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | KFT | S | 1,257 | 30.52 | n/a | n/a | 37.71 | 3.0 |
| LISTED ERR | 099 | KFT | B | 1,257 | 30.41 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | KFT | S | 1,257 | 30.29 | n/a | n/a | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | KO | S | 10,000 | 53.83 | n/a | 23-Apr | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | KSS | B | 30,000 | 56.91 | n/a | 10-May | 1,200.00 | 4.0 |
| EXIS CAPITAL | 044 | KSS | SS | 5,000 | 57.08 | n/a | 10-May | 250.00 | 5.0 |
| BMO NESBITT BURNS | 041 | LPX | SS | 30,000 | 9.72 | n/a | 11-May | 1,500.00 | 5.0 |
| COOPER CREEK PART | 028 | LPX | SS | 10,000 | 9.64 | n/a | 11-May | 400.00 | 4.0 |
| WADDELL AND REED | 047 | LRN | S | 41,795 | 24.09 | n/a | n/a | 626.93 | 1.5 |
| BALYASNY ASSET MGMT | 044 | LTD | S | 20,000 | 27.13 | n/a | n/a | 1,000.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | MAT | S | 2,543 | 22.52 | n/a | n/a | 76.29 | 3.0 |
| LISTED ERR | 099 | MAT | B | 2,543 | 22.57 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | MAT | S | 2,543 | 22.53 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| WAGONHOUND/NIC | 048 | MGM | B | 100,000 | 14.62 | n/a | 11-May | 4,000.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | MSFT | S | 1,955 | 28.94 | n/a | n/a | 58.65 | 3.0 |
| LISTED ERR | 099 | MSFT | B | 1,955 | 28.94 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | MSFT | S | 1,955 | 28.88 | n/a | n/a | 0.00 | 0.0 |
| BMO NESBITT BURNS | 041 | M | SS | 30,000 | 24.49 | n/a | 10-May | 1,500.00 | 5.0 |
| HARVEST MGMT | 029 | M | B | 15,000 | 23.95 | n/a | 10-May | 750.00 | 5.0 |
| WEINTRAUB CAPITAL MGT. | 040 | NDN | B | 9,700 | 14.71 | n/a | 9-Apr | 388.00 | 4.0 |
| LOMBARDIA CAP MGMT | 048 | NITE | B | 20,157 | 15.05 | n/a | n/a | 975.81 | 4.9 |
| HILLIARD LYONS CAP MGMT | 047 | OMC | S | 1,021 | 41.21 | n/a | n/a | 30.63 | 3.0 |
| LISTED ERR | 099 | OMC | B | 1,021 | 40.88 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | OMC | S | 1,021 | 40.75 | n/a | n/a | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | ORCL | S | 21,080 | 24.16 | n/a | n/a | 1,054.00 | 5.0 |
| NEUBERGER BERMAN | 036 | PEB | B | 29,900 | 18.82 | n/a | n/a | 1,196.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | PEP | S | 586 | 66.62 | n/a | n/a | 17.58 | 3.0 |
| LISTED ERR | 099 | PEP | B | 586 | 66.69 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | PEP | S | 586 | 66.38 | n/a | n/a | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | PFE | S | 735 | 17.11 | n/a | n/a | 22.05 | 3.0 |
| LISTED ERR | 099 | PFE | B | 735 | 17.14 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | PFE | S | 735 | 16.96 | n/a | n/a | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | PGR | S | 2,565 | 20.44 | n/a | n/a | 76.95 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| LISTED ERR | 099 | PGR | B | 2,564 | 20.28 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | PGR | S | 2,565 | 20.16 | n/a | n/a | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | PG | S | 563 | 62.55 | n/a | 30-Apr | 16.89 | 3.0 |
| RBC CAPITAL MARKETS | 040 | PG | S | 5,000 | 62.78 | n/a | 30-Apr | 200.00 | 4.0 |
| LISTED ERR | 099 | PG | B | 563 | 62.59 | n/a | 30-Apr | 0.00 | 0.0 |
| LISTED ERR | 099 | PG | S | 563 | 62.39 | n/a | 30-Apr | 0.00 | 0.0 |
| BMO NESBITT BURNS | 041 | PKG | SS | 8,000 | 22.59 | n/a | 20-Apr | 320.00 | 4.0 |
| CATAPULT | 040 | PNC | S | 10,000 | 68.71 | n/a | n/a | 500.00 | 5.0 |
| SAGE ASSET MGMT | 012 | PNC | S | 8,700 | 68.62 | n/a | n/a | 435.00 | 5.0 |
| EXIS CAPITAL | 044 | PVH | SS | 5,000 | 60.00 | n/a | 21-Apr | 250.00 | 5.0 |
| BMO NESBITT BURNS | 041 | RKT | B | 3,000 | 50.82 | n/a | n/a | 120.00 | 4.0 |
| KACELA CAPITAL | 034 | SKS | B | 120,000 | 9.67 | n/a | n/a | 3,600.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | SKS | B | 40,000 | 9.51 | n/a | n/a | 1,600.00 | 4.0 |
| LOMBARDIA CAP MGMT | 048 | SON | B | 20,610 | 33.02 | n/a | n/a | 997.76 | 4.9 |
| TROUBH PART | 067 | SUP | B | 7,500 | 17.41 | n/a | 10-May | 375.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | TEL | S | 1,227 | 30.57 | n/a | n/a | 36.81 | 3.0 |
| LISTED ERR | 099 | TEL | B | 1,277 | 29.86 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | TEL | S | 1,227 | 29.87 | n/a | n/a | 0.00 | 0.0 |
| HUNTER GLOBAL INVESTOR | 067 | TIN | S | 270,000 | 21.27 | n/a | 21-Apr | 13,500.00 | 5.0 |
| SACC-SCHWARTZ | 044 | TIN | B | 25,000 | 21.56 | n/a | 21-Apr | 875.00 | 3.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|--------------|--------------|------------|---------------|-------------|------------|
| SENATOR INVESTMENT GROUP | 036 | TIN | B | 100,000 | 21.57 | n/a | 21-Apr | 3,000.00 | 3.0 |
| HILLIARD LYONS CAP MGMT | 047 | TJX | S | 1,013 | 46.17 | n/a | 10-May | 30.39 | 3.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | TJX | SS | 25,000 | 45.72 | n/a | 10-May | 875.00 | 3.5 |
| LISTED ERR | 099 | TJX | B | 1,013 | 45.78 | n/a | 10-May | 0.00 | 0.0 |
| LISTED ERR | 099 | TJX | S | 1,013 | 45.76 | n/a | 10-May | 0.00 | 0.0 |
| COUGAR TRADING | 044 | TM | B | 5,000 | 77.81 | n/a | n/a | 250.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | TYC | S | 1,344 | 38.44 | n/a | 28-Apr | 40.32 | 3.0 |
| LISTED ERR | 099 | TYC | B | 1,344 | 38.25 | n/a | 28-Apr | 0.00 | 0.0 |
| LISTED ERR | 099 | TYC | S | 1,344 | 38.12 | n/a | 28-Apr | 0.00 | 0.0 |
| CASTLEROCK | 040 | UA | B | 65,115 | 33.85 | n/a | 28-Apr | 2,604.60 | 4.0 |
| HARBORWATCH/DIAMBACK | 232 | UNP | B | 20,000 | 75.27 | n/a | n/a | 1,000.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | USB | S | 1,974 | 26.72 | n/a | n/a | 59.22 | 3.0 |
| LISTED ERR | 099 | USB | B | 1,976 | 26.35 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | USB | S | 1,976 | 26.39 | n/a | n/a | 0.00 | 0.0 |
| BMO NESBITT BURNS | 041 | USG | SS | 10,000 | 21.35 | n/a | 22-Apr | 400.00 | 4.0 |
| LOMBARDIA CAP MGMT | 048 | VAL | S | 20,973 | 31.26 | n/a | n/a | 1,015.17 | 4.9 |
| HILLIARD LYONS CAP MGMT | 047 | WAT | S | 821 | 70.01 | n/a | n/a | 24.63 | 3.0 |
| LISTED ERR | 099 | WAT | B | 821 | 70.05 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | WAT | S | 821 | 69.97 | n/a | n/a | 0.00 | 0.0 |
| CAXTON PART | 040 | WFC | B | 27,468 | 33.57 | n/a | 11-May | 961.40 | 3.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|---------|-------|-----|----------|-------------------|-----|
| HIGHFIELDS CAP MGMT | 030 | WLP | B | 190,000 | 52.44 | n/a | n/a | 7,600.00 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 012 | WRC | S | 50,000 | 47.49 | n/a | 11-May | 1,500.00 | 3.0 |
| BMO NESBITT BURNS | 041 | WY | B | 3,000 | 46.81 | n/a | 30-Apr | 120.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | XLE | SS | 18,000 | 56.90 | n/a | n/a | 540.00 | 3.0 |
| TOTAL (Trade Date) : | | | | | | | | 105,066.01 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|-----------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| CRT | 05/11 | SAGE ASSET MGMT (SAGEBANC O) | 012 | BX | S | 25,500 | 13.10 | n/a | n/a | 1275.00 | 5.0 |
| AO, | 05/10 | HARBORWATCH/DIAMBACK (HARBORDIAM) | 232 | CNW | B | 7,500 | 36.27 | n/a | n/a | 375.00 | 5.0 |
| AO, | 05/10 | HARBORWATCH/DIAMBACK (HARBORDIAM) | 232 | CNW | B | 7,500 | 36.21 | n/a | n/a | 375.00 | 5.0 |
| AO,CXL | 05/10 | COOPER CREEK PART (COOPGS) | 028 | LPX | SS | 28,134 | 10.50 | n/a | 11-May | 1125.36 | 4.0 |
| AO,CRT | 05/10 | COOPER CREEK PART (COOPGS) | 028 | LPX | SS | 31,417 | 10.50 | n/a | 11-May | 1256.68 | 4.0 |
| AO,CXL | 05/10 | COOPER CREEK PART (COOPJPM) | 028 | LPX | SS | 5,366 | 10.50 | n/a | 11-May | 214.64 | 4.0 |
| AO,CRT | 05/10 | COOPER CREEK PART (COOPJPM) | 028 | LPX | SS | 2,083 | 10.50 | n/a | 11-May | 83.32 | 4.0 |
| CRT | 05/11 | SAGE ASSET MGMT (SAGEBANC O) | 012 | PNC | S | 8,700 | 68.62 | n/a | n/a | 435.00 | 5.0 |
| AO, | 05/10 | NUMERIC (NUMIBECTON) | 060 | RTN | B | 1,900 | 56.22 | n/a | 23-Apr | 57.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIRICLLV) | 060 | RTN | B | 1,500 | 56.22 | n/a | 23-Apr | 45.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIRTCLVA) | 060 | RTN | B | 14,400 | 56.22 | n/a | 23-Apr | 432.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIRIFL) | 060 | RTN | B | 1,300 | 56.22 | n/a | 23-Apr | 39.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMITIC2) | 060 | RTN | B | 1,000 | 56.22 | n/a | 23-Apr | 30.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIRIC) | 060 | RTN | B | 18,900 | 56.22 | n/a | 23-Apr | 567.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIRTC) | 060 | RTN | B | 12,200 | 56.22 | n/a | 23-Apr | 366.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIMGICAN) | 060 | RTN | B | 600 | 56.22 | n/a | 23-Apr | 18.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIGIC) | 060 | RTN | B | 5,900 | 56.22 | n/a | 23-Apr | 177.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMICRGHTN) | 060 | RTN | B | 300 | 56.22 | n/a | 23-Apr | 9.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIMGI) | 060 | RTN | B | 1,900 | 56.22 | n/a | 23-Apr | 57.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMICATVEB) | 060 | RTN | B | 800 | 56.22 | n/a | 23-Apr | 24.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMICAT401) | 060 | RTN | B | 1,300 | 56.22 | n/a | 23-Apr | 39.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIDOZEN) | 060 | RTN | B | 5,500 | 56.22 | n/a | 23-Apr | 165.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIBOA) | 060 | RTN | B | 5,900 | 56.22 | n/a | 23-Apr | 177.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMITEA210) | 060 | RTN | B | 300 | 56.22 | n/a | 23-Apr | 9.00 | 3.0 |
| AO, | 05/10 | NUMERIC (NUMIGS) | 060 | RTN | B | 5,300 | 56.22 | n/a | 23-Apr | 159.00 | 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------------------------|-------|-----------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 05/10 | NUMERIC (NUMIMOLSON) | 060 | RTN | B | 700 | 56.22 | n/a | 23-Apr | 21.00 3.0 |
| AO, | 05/10 | NUMERIC (NUMIOIL) | 060 | RTN | B | 2,700 | 56.22 | n/a | 23-Apr | 81.00 3.0 |
| AO, | 05/10 | NUMERIC (NUMISANDIA) | 060 | RTN | B | 600 | 56.22 | n/a | 23-Apr | 18.00 3.0 |
| AO, | 05/10 | NUMERIC (NUMITCU) | 060 | RTN | B | 500 | 56.22 | n/a | 23-Apr | 15.00 3.0 |
| AO, | 05/10 | NUMERIC (NUMIMORGAN) | 060 | RTN | B | 4,500 | 56.22 | n/a | 23-Apr | 135.00 3.0 |
| AO,CXL | 05/07 | HIGHBRIDGE CAP (HIBCGOLDPB) | 041 | RYN | B | 34,000 | 45.71 | n/a | 19-Apr | 1360.00 4.0 |
| AO,CRT | 05/07 | HIGHBRIDGE CAP (HIBCGOLDPB) | 041 | RYN | B | 34,000 | 45.71 | n/a | 19-Apr | 1020.00 3.0 |
| AO,CXL | 05/07 | HIGHBRIDGE CAP (HIBCGOLDPB) | 041 | UFS | B | 15,000 | 61.46 | n/a | n/a | 600.00 4.0 |
| AO,CRT | 05/07 | HIGHBRIDGE CAP (HIBCGOLDPB) | 041 | UFS | B | 15,000 | 61.46 | n/a | n/a | 450.00 3.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 4,610.00 | |

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