



# Daily Compliance Activity Report

Trade Date: 04/19/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                             | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| LATEFF MGMT                         | 035        | AA          | B        | 1,200         | 16.26        | n/a        | n/a           | 120.00         | 10.0       |
| ARMATURE CAPITAL                    | 041        | ALV         | B        | 30,000        | 72.26        | n/a        | 13-Apr        | 1,200.00       | 4.0        |
| LATEFF MGMT                         | 035        | AMBPRP      | B        | 1,000         | 25.17        | n/a        | n/a           | 100.00         | 10.0       |
| MOORE CAPITAL                       | 041        | ARCO        | S        | 29,000        | 23.25        | n/a        | n/a           | 1,160.00       | 4.0        |
| RBC CAPITAL MARKETS                 | 040        | ARCO        | B        | 25,000        | 23.00        | n/a        | n/a           | 1,000.00       | 4.0        |
| STATE TEACHERS RET SYS              | 047        | AVB         | S        | 3,000         | 119.36       | n/a        | n/a           | 150.00         | 5.0        |
| <b>f</b> <b>CICILY S BACKUS</b>     | <b>FID</b> | <b>AVY</b>  | <b>S</b> | <b>1000</b>   | <b>41.11</b> | <b>n/a</b> | <b>10-Mar</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f</b> <b>CICILY S BACKUS</b>     | <b>FID</b> | <b>AVY</b>  | <b>S</b> | <b>2000</b>   | <b>41.12</b> | <b>n/a</b> | <b>10-Mar</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f</b> <b>SNEJANA P GARFUNKEL</b> | <b>FID</b> | <b>AVY</b>  | <b>S</b> | <b>500</b>    | <b>41.11</b> | <b>n/a</b> | <b>10-Mar</b> | <b>0.00</b>    | <b>0.0</b> |
| NEWLAND CAPITAL MGT                 | 025        | AXE         | B        | 25,000        | 71.09        | n/a        | 24-Mar        | 1,000.00       | 4.0        |
| SUN AMERICA ASSET MGMT              | 030        | BK          | S        | 25,200        | 28.63        | n/a        | 13-Apr        | 1,008.00       | 4.0        |
| <b>B</b> <b>BUCK CAPITAL MGMT</b>   |            | <b>BONT</b> | <b>B</b> | <b>4,260</b>  | <b>13.52</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| <b>B</b> <b>BUCK CAPITAL MGMT</b>   |            | <b>CHS</b>  | <b>S</b> | <b>50,000</b> | <b>15.06</b> | <b>n/a</b> | <b>5-Feb</b>  | <b>non-brg</b> | <b>4.0</b> |
| <b>f</b> <b>SNEJANA P GARFUNKEL</b> | <b>FID</b> | <b>CSCO</b> | <b>S</b> | <b>1000</b>   | <b>16.61</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>B</b> <b>BUCK CAPITAL MGMT</b>   |            | <b>CSTR</b> | <b>S</b> | <b>30,000</b> | <b>47.01</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>2.5</b> |
| GOLD SACHS SPECIAL SIT              | 030        | CVGI        | B        | 25,000        | 16.34        | n/a        | n/a           | 1,250.00       | 5.0        |

|   | Account              | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |     |
|---|----------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| f | JONATHAN RICHARD HAR | FID | CVGI   | B   | 50     | 16.35 | n/a | n/a      | 0.00        | 0.0 |
| f | KAREN F LEDDY        | FID | CWTR   | B   | 2000   | 2.65  | n/a | n/a      | 0.00        | 0.0 |
| f | ABRAM M CHAPPELL     | FID | DY     | B   | 205    | 14.47 | n/a | n/a      | 0.00        | 0.0 |
|   | NOKOMIS PARTNERS     | 031 | ECHO   | SS  | 10,000 | 13.52 | n/a | n/a      | 300.00      | 3.0 |
| f | ALICE BEEBE LONGLEY  | FID | FCONX  | B   | 10000  | 10.00 | n/a | n/a      | 0.00        | 0.0 |
| f | MARC PAUL LUCHANSKY  | FID | FCSAX  | S   | 42     | 11.82 | n/a | n/a      | 0.00        | 0.0 |
|   | ARMATURE CAPITAL     | 041 | FDX    | B   | 15,000 | 91.96 | n/a | n/a      | 600.00      | 4.0 |
|   | ROYCE TRADING        | 012 | FINL   | B   | 13,000 | 20.78 | n/a | 25-Mar   | 650.00      | 5.0 |
| f | MARC PAUL LUCHANSKY  | FID | FNSXX  | B   | 600    | 1.00  | n/a | n/a      | 0.00        | 0.0 |
| f | SNEJANA P GARFUNKEL  | FID | FOR    | S   | 600    | 17.90 | n/a | 14-Apr   | 0.00        | 0.0 |
| f | MARC PAUL LUCHANSKY  | FID | FPCIX  | B   | 214    | 10.48 | n/a | n/a      | 0.00        | 0.0 |
| f | MARC PAUL LUCHANSKY  | FID | FPIOX  | B   | 119    | 10.09 | n/a | n/a      | 0.00        | 0.0 |
| f | CHRISTOPHER ROBERT C | FID | FRIFX  | S   | 294    | 10.78 | n/a | n/a      | 0.00        | 0.0 |
| f | MARC PAUL LUCHANSKY  | FID | FSCFX  | S   | 127    | 11.83 | n/a | n/a      | 0.00        | 0.0 |
| f | MARC PAUL LUCHANSKY  | FID | FSGFX  | B   | 106    | 12.29 | n/a | n/a      | 0.00        | 0.0 |
| f | MARC PAUL LUCHANSKY  | FID | FTBFX  | S   | 46     | 10.82 | n/a | n/a      | 0.00        | 0.0 |

| Account                      | RR#        | Symbol       | B/S      | Shares        | Price         | MRI        | Research      | Comm. ¢/Shr.   |            |
|------------------------------|------------|--------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| <b>f MARC PAUL LUCHANSKY</b> | <b>FID</b> | <b>FUSOX</b> | <b>S</b> | <b>48</b>     | <b>10.36</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f MARC PAUL LUCHANSKY</b> | <b>FID</b> | <b>FVSAX</b> | <b>S</b> | <b>92</b>     | <b>14.20</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| MUTUAL OF AMERICA CAPITAL    | 029        | F            | B        | 58,828        | 14.64         | n/a        | 13-Apr        | 2,353.12       | 4.0        |
| OZ MGMT                      | 040        | F            | B        | 36,028        | 14.63         | n/a        | 13-Apr        | 1,080.84       | 3.0        |
| OZ MGMT                      | 040        | F            | C        | 8,040         | 14.63         | n/a        | 13-Apr        | 241.20         | 3.0        |
| JANA CAPITAL                 | 044        | GCI          | C        | 50,000        | 15.46         | n/a        | n/a           | 2,000.00       | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>   |            | <b>GIII</b>  | <b>S</b> | <b>5,000</b>  | <b>40.30</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>   |            | <b>GIL</b>   | <b>S</b> | <b>62,000</b> | <b>35.71</b>  | <b>n/a</b> | <b>12-Apr</b> | <b>non-brg</b> | <b>4.0</b> |
| CIRCLE T/SES PART            | 033        | GM           | B        | 10,000        | 29.40         | n/a        | 13-Apr        | 400.00         | 4.0        |
| PERRY PARTNERS               | 085        | GM           | B        | 16,400        | 29.65         | n/a        | 13-Apr        | 820.00         | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>   |            | <b>GS</b>    | <b>B</b> | <b>3,300</b>  | <b>151.54</b> | <b>n/a</b> | <b>19-Apr</b> | <b>non-brg</b> | <b>1.0</b> |
| CAVU CAP ADV                 | 028        | GT           | S        | 10,000        | 15.45         | n/a        | n/a           | 500.00         | 5.0        |
| <b>f LBP ENTERPRISES INC</b> | <b>FID</b> | <b>HAL</b>   | <b>S</b> | <b>1000</b>   | <b>48.36</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| CORVEX CAPITAL               | 041        | HCA          | S        | 30,000        | 32.83         | n/a        | n/a           | 900.00         | 3.0        |
| <b>LISTED ERR</b>            | <b>099</b> | <b>HCA</b>   | <b>B</b> | <b>60,000</b> | <b>32.83</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>LISTED ERR</b>            | <b>099</b> | <b>HCA</b>   | <b>S</b> | <b>60,000</b> | <b>32.82</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| NOKOMIS PARTNERS             | 031        | HOGS         | B        | 10,000        | 15.61         | n/a        | n/a           | 300.00         | 3.0        |
| LATEFF MGMT                  | 035        | HPQ          | B        | 500           | 39.69         | n/a        | n/a           | 50.00          | 10.0       |

| Account                       | RR#        | Symbol         | B/S       | Shares        | Price        | MRI        | Research      | Comm. ¢/Shr.   |             |
|-------------------------------|------------|----------------|-----------|---------------|--------------|------------|---------------|----------------|-------------|
| STRONG/MARK GRONET            | 030        | IOC            | B         | 25,000        | 61.82        | n/a        | n/a           | 1,000.00       | 4.0         |
| CSFB GLOBAL PROPRIETARY       | 041        | IP             | B         | 40,000        | 29.32        | n/a        | 14-Apr        | 2,000.00       | 5.0         |
| COLUMBUS CIRCLE               | 036        | ISS            | B         | 681           | 18.82        | n/a        | n/a           | 27.24          | 4.0         |
| <b>f CHRISTOPHER ROBERT C</b> | <b>FID</b> | <b>JACK</b>    | <b>B</b>  | <b>200</b>    | <b>20.52</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |
| LATEFF MGMT                   | 035        | JPMPRI         | S         | 1,000         | 27.97        | n/a        | n/a           | 100.00         | 10.0        |
| <b>f SNEJANA P GARFUNKEL</b>  | <b>FID</b> | <b>JPM</b>     | <b>S</b>  | <b>500</b>    | <b>44.15</b> | <b>n/a</b> | <b>13-Apr</b> | <b>0.00</b>    | <b>0.0</b>  |
| SCOPUS FUND                   | 041        | LOW            | S         | 25,000        | 26.65        | n/a        | 23-Feb        | 1,000.00       | 4.0         |
| <b>f MICHAEL C PERILLO</b>    | <b>FID</b> | <b>LPX</b>     | <b>B</b>  | <b>125</b>    | <b>8.88</b>  | <b>n/a</b> | <b>14-Apr</b> | <b>0.00</b>    | <b>0.0</b>  |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>LVS</b>     | <b>B</b>  | <b>25,000</b> | <b>45.26</b> | <b>n/a</b> | <b>8-Apr</b>  | <b>non-brg</b> | <b>4.0</b>  |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>LVS</b>     | <b>B</b>  | <b>25,000</b> | <b>45.43</b> | <b>n/a</b> | <b>8-Apr</b>  | <b>non-brg</b> | <b>4.0</b>  |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>LVS</b>     | <b>B</b>  | <b>3,850</b>  | <b>45.70</b> | <b>n/a</b> | <b>8-Apr</b>  | <b>non-brg</b> | <b>1.0</b>  |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>LVS</b>     | <b>B</b>  | <b>50,000</b> | <b>45.21</b> | <b>n/a</b> | <b>8-Apr</b>  | <b>non-brg</b> | <b>4.0</b>  |
| <b>f CHRISTOPHER ROBERT C</b> | <b>FID</b> | <b>MERC</b>    | <b>B</b>  | <b>500</b>    | <b>13.15</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |
| GREEN ARROW DOUG              | 040        | MPEL           | B         | 20,000        | 9.78         | n/a        | 1-Apr         | 1,000.00       | 5.0         |
| PORTER-ORLIN                  | 044        | MRK            | SS        | 116,600       | 33.64        | n/a        | n/a           | 5,830.00       | 5.0         |
| PORTER-ORLIN                  | 044        | MRK            | S         | 83,400        | 33.63        | n/a        | n/a           | 4,170.00       | 5.0         |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>MSMSDAH</b> | <b>SS</b> | <b>75,000</b> | <b>99.59</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>10.0</b> |

| Account                       | RR#        | Symbol       | B/S       | Shares        | Price         | MRI        | Research      | Comm.¢/Shr.    |             |
|-------------------------------|------------|--------------|-----------|---------------|---------------|------------|---------------|----------------|-------------|
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>MVRX</b>  | <b>SS</b> | <b>35,000</b> | <b>219.73</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>22.0</b> |
| DELTEC ASSET MGMT.            | 040        | MWA          | B         | 60,000        | 4.09          | n/a        | n/a           | 1,800.00       | 3.0         |
| FIRST NY SEC/CHRIS            | 041        | MWV          | B         | 10,000        | 31.88         | n/a        | 14-Apr        | 500.00         | 5.0         |
| <b>f KAREN F LEDDY</b>        | <b>FID</b> | <b>MWV</b>   | <b>S</b>  | <b>500</b>    | <b>31.49</b>  | <b>n/a</b> | <b>14-Apr</b> | <b>0.00</b>    | <b>0.0</b>  |
| <b>f ALICE BEEBE LONGLEY</b>  | <b>FID</b> | <b>NBGEX</b> | <b>B</b>  | <b>974</b>    | <b>51.33</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |
| LATEFF MGMT                   | 035        | NYB          | B         | 1,000         | 16.34         | 19-Apr     | 19-Apr        | 100.00         | 10.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>OXM</b>   | <b>S</b>  | <b>44,313</b> | <b>33.27</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>2.5</b>  |
| <b>f MARC PAUL LUCHANSKY</b>  | <b>FID</b> | <b>PHYAX</b> | <b>S</b>  | <b>219</b>    | <b>9.49</b>   | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |
| BACKBAY                       | 041        | PKG          | B         | 50,000        | 27.84         | n/a        | 19-Apr        | 2,500.00       | 5.0         |
| CSFB GLOBAL PROPRIETARY       | 041        | PKG          | B         | 53,000        | 28.10         | n/a        | 19-Apr        | 2,650.00       | 5.0         |
| FIRST NY SEC/CHRIS            | 041        | PKG          | B         | 10,000        | 27.74         | n/a        | 19-Apr        | 500.00         | 5.0         |
| SCOPUS FUND                   | 041        | PKG          | SS        | 25,000        | 27.96         | n/a        | 19-Apr        | 1,000.00       | 4.0         |
| TRELLUS PARTNERS LP           | 028        | PKG          | SS        | 50,000        | 28.46         | n/a        | 19-Apr        | 2,500.00       | 5.0         |
| ROYCE TRADING                 | 012        | PLCE         | B         | 1,000         | 52.57         | n/a        | 9-Mar         | 50.00          | 5.0         |
| BRANDWINE                     | 028        | PLXS         | B         | 9,600         | 32.86         | n/a        | n/a           | 384.00         | 4.0         |
| <b>f ALICE BEEBE LONGLEY</b>  | <b>FID</b> | <b>PSHDX</b> | <b>B</b>  | <b>10091</b>  | <b>9.91</b>   | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>PSUN</b>  | <b>S</b>  | <b>1500</b>   | <b>3.51</b>   | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |
| <b>f ALICE BEEBE LONGLEY</b>  | <b>FID</b> | <b>PTTDX</b> | <b>B</b>  | <b>9107</b>   | <b>10.98</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.    |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|------------|----------------|------------|
| <b>f STEFFANIE CARMELA CA</b> | <b>FID</b> | <b>RAD</b>  | <b>B</b> | <b>8000</b>   | <b>1.03</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| BASSWOOD PARTNERS             | 267        | RF          | B        | 35,700        | 7.07         | n/a        | n/a        | 1,428.00       | 4.0        |
| SENATOR INVESTMENT GROUP      | 036        | RKT         | B        | 36,600        | 69.05        | n/a        | n/a        | 1,098.00       | 3.0        |
| <b>f MANNY I KORMAN</b>       | <b>FID</b> | <b>RSH</b>  | <b>B</b> | <b>15000</b>  | <b>15.98</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f MARK ANTHONY GRONET</b>  | <b>FID</b> | <b>RT</b>   | <b>S</b> | <b>1000</b>   | <b>10.74</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| COHE & STEERS                 | 041        | RYN         | B        | 56,197        | 60.55        | n/a        | 14-Apr     | 2,247.88       | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>SHOO</b> | <b>S</b> | <b>25,000</b> | <b>49.34</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>0.8</b> |
| BASSWOOD PARTNERS             | 267        | SPY         | SS       | 1,928         | 130.97       | n/a        | n/a        | 77.12          | 4.0        |
| <b>f MARK ANTHONY GRONET</b>  | <b>FID</b> | <b>TEU</b>  | <b>B</b> | <b>2000</b>   | <b>11.04</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| FARALLON CAP MGMT             | 040        | TGT         | B        | 26,469        | 49.78        | n/a        | 8-Apr      | 1,058.76       | 4.0        |
| BMO NESBITT BURNS             | 041        | TIN         | S        | 10,000        | 22.29        | n/a        | 14-Apr     | 300.00         | 3.0        |
| SANDLER CAPITAL               | 028        | TKR         | B        | 75,000        | 50.77        | n/a        | n/a        | 3,750.00       | 5.0        |
| LATEFF MGMT                   | 035        | UAL         | B        | 500           | 21.41        | n/a        | n/a        | 50.00          | 10.0       |
| LATEFF MGMT                   | 035        | UN          | S        | 1,000         | 32.47        | n/a        | n/a        | 100.00         | 10.0       |
| <b>f MARK ANTHONY GRONET</b>  | <b>FID</b> | <b>UXG</b>  | <b>B</b> | <b>1000</b>   | <b>9.16</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |

| Account                       | RR#        | Symbol       | B/S      | Shares    | Price       | MRI        | Research   | Comm. ¢/Shr.     |            |
|-------------------------------|------------|--------------|----------|-----------|-------------|------------|------------|------------------|------------|
| L.R.BURTSCHY & CO             | 029        | VHC          | S        | 10,000    | 24.64       | n/a        | n/a        | 600.00           | 6.0        |
| HARRIER HAWK MGMT             | 028        | WY           | B        | 29,500    | 21.94       | n/a        | 14-Apr     | 1,180.00         | 4.0        |
| <b>f STEFFANIE CARMELA CA</b> | <b>FID</b> | <b>XSELY</b> | <b>S</b> | <b>45</b> | <b>0.11</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| CORVEX CAPITAL                | 041        | YHOO         | B        | 76,169    | 16.15       | n/a        | n/a        | 2,285.07         | 3.0        |
| <b>TOTAL (Trade Date):</b>    |            |              |          |           |             |            |            | <b>58,469.23</b> |            |

**Cancel/Corrects and As-Of Trades**

| Type   | Date  | Account         | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CXL | 04/18 | TALPION LLC     | 040  | ABV    | S   | 20,000 | 29.71 | n/a | n/a      | 800.00 4.0  |
| AO,CRT | 04/18 | TALPION LLC     | 040  | ABV    | S   | 20,000 | 29.71 | n/a | n/a      | 800.00 4.0  |
| AO,CRT | 04/18 | SCOPUS FUND     | 041  | CBS    | B   | 25,000 | 24.02 | n/a | n/a      | 1000.00 4.0 |
| AO,CXL | 04/18 | SCOPUS FUND     | 041  | CBS    | B   | 25,000 | 24.02 | n/a | n/a      | 1000.00 4.0 |
| AO,    | 04/18 | COLUMBUS CIRCLE | 036  | ISS    | B   | 446    | 18.72 | n/a | n/a      | 17.84 4.0   |
| AO,CRT | 04/18 | TALPION LLC     | 040  | JCP    | SS  | 3,000  | 37.00 | n/a | 8-Apr    | 120.00 4.0  |
| AO,CXL | 04/18 | TALPION LLC     | 040  | JCP    | SS  | 3,000  | 37.00 | n/a | 8-Apr    | 120.00 4.0  |
| AO,CXL | 04/18 | TALPION LLC     | 040  | KMB    | B   | 3,500  | 65.54 | n/a | 18-Feb   | 140.00 4.0  |
| AO,CRT | 04/18 | TALPION LLC     | 040  | KMB    | B   | 3,500  | 65.54 | n/a | 18-Feb   | 140.00 4.0  |
| AO,CXL | 04/18 | SCOPUS FUND     | 041  | SPAR   | S   | 16,000 | 6.01  | n/a | n/a      | 640.00 4.0  |
| AO,CRT | 04/18 | SCOPUS FUND     | 041  | SPAR   | S   | 16,000 | 6.01  | n/a | n/a      | 640.00 4.0  |
| AO,CXL | 04/18 | TALPION LLC     | 040  | TAP    | B   | 2,500  | 47.67 | n/a | n/a      | 100.00 4.0  |
| AO,CRT | 04/18 | TALPION LLC     | 040  | TAP    | B   | 2,500  | 47.67 | n/a | n/a      | 100.00 4.0  |

**TOTAL (AO, CXL, CRT) :****17.84**

TOTAL (Trade Date) :

58,469.23

TOTAL (AO, CXL, CRT) :

17.84



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TOTAL (RUN DATE) / NFS:

58,487.07

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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 19-Apr.

NYB

MRI Securities without Trade Activity on 19-Apr.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 4%

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)