



Daily Compliance Activity Report

Trade Date: 05/19/2010

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 | | \$\$GBPUSD | SS | 3,471,258 | 1.44 | n/a | n/a | non-brg | 5.0 |
| WINSLOW CAPITAL | 030 | AAPL | B | 100 | 245.79 | n/a | n/a | 4.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | AA | B | 110,000 | 11.74 | n/a | n/a | 4,400.00 | 4.0 |
| f EDWARD W WHEELER | FID | ABT | B | 4000 | 48.01 | n/a | n/a | 0.00 | 0.0 |
| TRUSTCO/SUNTRUST | 040 | ACV | B | 37,900 | 28.17 | n/a | 26-Apr | 1,478.10 | 3.9 |
| B BUCK CAPITAL MGMT | | AEO | B | 132,100 | 15.47 | n/a | 10-May | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | AEO | B | 2,300 | 15.58 | n/a | 10-May | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | AEO | B | 67,900 | 15.35 | n/a | 10-May | non-brg | 4.0 |
| EXIS CAPITAL | 044 | AEO | S | 10,000 | 15.18 | n/a | 10-May | 500.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | AGN | S | 4,525 | 60.36 | n/a | 17-May | 135.75 | 3.0 |
| CARLSON CAPITAL | 203 | ALK | B | 40,000 | 46.00 | n/a | n/a | 1,600.00 | 4.0 |
| RAINIER INV MGMT | 035 | ALK | S | 40,000 | 46.00 | n/a | n/a | 1,600.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | AMR | B | 50,000 | 7.01 | n/a | n/a | 2,000.00 | 4.0 |
| WINSLOW CAPITAL | 030 | AMZN | B | 200 | 125.25 | n/a | n/a | 8.00 | 4.0 |
| BRANDWINE | 028 | ANF | B | 345,110 | 36.96 | 19-May | 19-May | 13,804.40 | 4.0 |
| B BUCK CAPITAL MGMT | | ANF | B | 130,000 | 37.52 | 19-May | 19-May | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | AN | S | 100,000 | 19.12 | n/a | 23-Apr | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| f CHRISTOPHER ROBERT C | FID | AONE | S | 200 | 9.99 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | APH | B | 200 | 42.81 | n/a | n/a | 8.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ARO | B | 10,000 | 27.42 | n/a | 10-May | non-brg | 4.0 |
| EXIS CAPITAL | 044 | ARO | B | 10,000 | 27.61 | n/a | 10-May | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | AVP | S | 280,000 | 27.11 | n/a | 3-May | non-brg | 4.0 |
| f BRIAN FRANCIS KEALOH | FID | AXL | B | 585 | 7.99 | n/a | 3-May | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | AXL | B | 200,000 | 8.00 | n/a | 3-May | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | AXL | B | 25,000 | 8.01 | n/a | 3-May | non-brg | 2.0 |
| f JOHN MICHAEL DEMARTI | FID | AXL | B | 1000 | 8.08 | n/a | 3-May | 0.00 | 0.0 |
| MILLRACE FUND LP | 028 | AXL | B | 20,000 | 8.20 | n/a | 3-May | 800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AXP | B | 200 | 40.71 | n/a | 19-May | non-brg | 0.8 |
| WINSLOW CAPITAL | 030 | A | B | 200 | 32.36 | n/a | n/a | 8.00 | 4.0 |
| B BUCK CAPITAL MGMT | | BBY | B | 10,000 | 42.56 | n/a | n/a | non-brg | 4.0 |
| WINSLOW CAPITAL | 030 | BIDU | B | 100 | 69.68 | n/a | n/a | 4.00 | 4.0 |
| KLEINHEINZ CAP PART | 031 | BMY | S | 300,000 | 23.66 | n/a | n/a | 15,000.00 | 5.0 |
| WINSLOW CAPITAL | 030 | BRCM | B | 300 | 32.01 | n/a | n/a | 12.00 | 4.0 |
| WINSLOW CAPITAL | 030 | BTU | B | 200 | 37.74 | n/a | n/a | 8.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | BWA | B | 10,000 | 35.75 | n/a | 30-Apr | 500.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| ß BUCK CAPITAL MGMT | | BX | B | 1,300 | 11.23 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BX | B | 17,600 | 11.23 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BX | B | 2,000 | 11.23 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BX | B | 500 | 11.23 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BX | B | 600 | 11.23 | n/a | n/a | non-brg | 4.0 |
| f FRANCIS PATRICK GALL | FID | BZ | B | 170 | 5.95 | n/a | n/a | 0.00 | 0.0 |
| WEISS PECK | 040 | CAKE | C | 3,000 | 26.59 | n/a | 23-Apr | 150.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | CAR | B | 30,000 | 11.28 | n/a | n/a | non-brg | 4.0 |
| WINSLOW CAPITAL | 030 | CELG | B | 200 | 58.04 | n/a | n/a | 8.00 | 4.0 |
| f CHRISTOPHER ROBERT C | FID | CHRW | S | 100 | 58.62 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | CHRW | B | 100 | 58.48 | n/a | n/a | 4.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | CHS | B | 400,000 | 12.01 | n/a | 5-Feb | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CHS | B | 500,000 | 12.00 | n/a | 5-Feb | non-brg | 4.0 |
| COUGAR TRADING | 044 | CHS | S | 5,000 | 13.09 | n/a | 5-Feb | 250.00 | 5.0 |
| EXIS CAPITAL | 044 | CHS | S | 50,000 | 12.05 | n/a | 5-Feb | 2,500.00 | 5.0 |
| WINSLOW CAPITAL | 030 | CLF | B | 200 | 49.63 | n/a | n/a | 8.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | CMCSA | S | 15,657 | 17.29 | n/a | n/a | 469.71 | 3.0 |
| ß BUCK CAPITAL MGMT | | CNK | B | 10,000 | 16.70 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | COH | B | 20,000 | 39.08 | n/a | 14-May | 800.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| WINSLOW CAPITAL | 030 | COST | B | 200 | 57.69 | n/a | n/a | 8.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | CRI | S | 10,000 | 32.06 | n/a | n/a | 400.00 | 4.0 |
| WINSLOW CAPITAL | 030 | CRM | B | 100 | 80.50 | n/a | n/a | 4.00 | 4.0 |
| B BUCK CAPITAL MGMT | | CROX | B | 30,000 | 10.04 | n/a | n/a | non-brg | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | CSCO | S | 12,812 | 24.02 | n/a | n/a | 384.36 | 3.0 |
| WINSLOW CAPITAL | 030 | CSCO | B | 900 | 24.07 | n/a | n/a | 36.00 | 4.0 |
| WINSLOW CAPITAL | 030 | CTSH | B | 600 | 48.13 | n/a | n/a | 24.00 | 4.0 |
| WINSLOW CAPITAL | 030 | CTXS | B | 100 | 44.94 | n/a | n/a | 4.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | CVS | S | 12,119 | 34.75 | n/a | n/a | 363.57 | 3.0 |
| f KEVIN MICHAEL O'GORM | FID | C | B | 10000 | 3.82 | n/a | 17-May | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | C | S | 120000 | 3.73 | n/a | 17-May | 0.00 | 0.0 |
| f MARGARET M DAVEY | FID | C | B | 5000 | 3.79 | n/a | 17-May | 0.00 | 0.0 |
| f JOHN MICHAEL DEMARTI | FID | DAN | B | 1000 | 10.88 | n/a | 30-Apr | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | DBRN | B | 30,000 | 27.89 | n/a | n/a | non-brg | 4.0 |
| GRUSS CAPITAL | 045 | DEI | S | 2,000 | 15.85 | n/a | n/a | 60.00 | 3.0 |
| HILLIARD LYONS CAP MGMT | 047 | DELL | S | 14,419 | 14.75 | n/a | n/a | 432.57 | 3.0 |
| WINSLOW CAPITAL | 030 | DELL | B | 600 | 14.81 | n/a | n/a | 24.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|------------|----------|-----------|--------------|------------|---------------|-------------|------------|
| f JOHN MICHAEL DEMARTI | FID | DE | S | 50 | 0.64 | n/a | 30-Apr | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | DE | S | 20,000 | 58.17 | n/a | 30-Apr | 1,000.00 | 5.0 |
| OZ MGMT | 040 | DE | S | 50,000 | 58.56 | n/a | 30-Apr | 1,500.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | DE | S | 10,000 | 57.11 | n/a | 30-Apr | 400.00 | 4.0 |
| ROSEDALE CAPITAL | 046 | DE | S | 10,000 | 58.13 | n/a | 30-Apr | 500.00 | 5.0 |
| f WILLIAM J GAULT | FID | DE | S | 30 | 0.60 | n/a | 30-Apr | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | DE | B | 100 | 57.08 | n/a | 30-Apr | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | DHR | B | 300 | 80.44 | n/a | n/a | 12.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | DIS | S | 14,189 | 33.23 | n/a | n/a | 425.67 | 3.0 |
| S.A.C. HEALTHCARE BOBBY | 044 | DNDN | B | 10,000 | 42.19 | n/a | n/a | 350.00 | 3.5 |
| WINSLOW CAPITAL | 030 | DRC | B | 300 | 31.21 | n/a | n/a | 12.00 | 4.0 |
| f CHRISTOPHER ROBERT C | FID | DVN | S | 50 | 63.87 | n/a | 5-May | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | ECL | B | 100 | 47.25 | n/a | 10-May | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | EDU | B | 100 | 91.41 | n/a | n/a | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | EL | B | 100 | 59.51 | n/a | 17-May | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | EMC | B | 1,000 | 18.09 | n/a | n/a | 40.00 | 4.0 |
| GRUSS CAPITAL | 045 | EMF | S | 5,000 | 17.32 | n/a | n/a | 150.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | EMN | B | 5,000 | 61.87 | n/a | n/a | 200.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| WINSLOW CAPITAL | 030 | EOG | B | 100 | 100.38 | n/a | n/a | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | EQIX | B | 100 | 96.25 | n/a | n/a | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | ESRX | B | 100 | 103.57 | n/a | n/a | 4.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | EUO | B | 500 | 24.80 | n/a | n/a | 25.00 | 5.0 |
| f SCOTT L BRUNNER | FID | FAZ | B | 5000 | 14.68 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | FCX | B | 200 | 65.93 | n/a | n/a | 8.00 | 4.0 |
| WINSLOW CAPITAL | 030 | FLR | B | 100 | 47.55 | n/a | n/a | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | FLS | B | 100 | 98.33 | n/a | n/a | 4.00 | 4.0 |
| B BUCK CAPITAL MGMT | | FL | B | 10,000 | 13.47 | n/a | 14-May | non-brg | 4.0 |
| EGS ASSOCIATES LP | 091 | FL | B | 3,500 | 13.89 | n/a | 14-May | 210.00 | 6.0 |
| B BUCK CAPITAL MGMT | | FOSL | S | 40,000 | 37.88 | n/a | n/a | non-brg | 4.0 |
| WINSLOW CAPITAL | 030 | FTI | B | 100 | 58.42 | n/a | n/a | 4.00 | 4.0 |
| KACELA CAPITAL | 034 | FUL | SS | 38,000 | 21.26 | n/a | n/a | 1,520.00 | 4.0 |
| BERMAN CAPITAL MGMT | 046 | F | S | 30,000 | 11.16 | n/a | 4-May | 900.00 | 3.0 |
| OZ MGMT | 040 | F | C | 171,484 | 11.30 | n/a | 4-May | 5,144.52 | 3.0 |
| ROSEDALE CAPITAL | 046 | F | B | 30,000 | 11.17 | n/a | 4-May | 1,200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GES | B | 30,000 | 36.48 | n/a | 14-May | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| GRUSS CAPITAL | 045 | GE | S | 2,000 | 17.15 | n/a | n/a | 60.00 | 3.0 |
| HILLIARD LYONS CAP MGMT | 047 | GE | S | 11,240 | 17.07 | n/a | n/a | 337.20 | 3.0 |
| f CHRISTOPHER ROBERT C | FID | GMCR | S | 150 | 23.52 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | GMCR | B | 400 | 23.43 | n/a | n/a | 16.00 | 4.0 |
| f CHRISTOPHER ROBERT C | FID | GNTX | S | 200 | 19.91 | n/a | 23-Apr | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | GOOG | B | 100 | 492.71 | n/a | n/a | 4.00 | 4.0 |
| S.A.C. HEALTHCARE BOBBY | 044 | GSK | SS | 10,000 | 34.24 | n/a | n/a | 350.00 | 3.5 |
| WINSLOW CAPITAL | 030 | GS | B | 200 | 136.56 | n/a | 11-May | 8.00 | 4.0 |
| CADIAN CAPITAL | 067 | GYMB | B | 25,000 | 44.74 | n/a | 17-May | 750.00 | 3.0 |
| MERRILL ASSET/BLACKROCK | 263 | HCC | S | 10,392 | 25.60 | n/a | n/a | 415.68 | 4.0 |
| BROADARCH CAP/OLD NEWC | 070 | HD | S | 2,600 | 34.11 | n/a | 19-May | 104.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | HD | S | 12,858 | 33.83 | n/a | 19-May | 385.74 | 3.0 |
| f CHRISTOPHER ROBERT C | FID | HOG | S | 100 | 31.92 | n/a | n/a | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | HOG | S | 4,958 | 31.29 | n/a | n/a | 148.74 | 3.0 |
| WINSLOW CAPITAL | 030 | HPQ | B | 600 | 47.16 | n/a | n/a | 24.00 | 4.0 |
| B BUCK CAPITAL MGMT | | HTZ | B | 30,000 | 11.11 | n/a | n/a | non-brg | 4.0 |
| CONIFER/ISF | 025 | IBM | S | 5,000 | 128.83 | n/a | n/a | 250.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| WINSLOW CAPITAL | 030 | ICE | B | 100 | 111.80 | n/a | n/a | 4.00 | 4.0 |
| WINSLOW CAPITAL | 030 | ITW | B | 300 | 47.60 | n/a | 30-Apr | 12.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JCG | B | 10,000 | 44.62 | n/a | n/a | 400.00 | 4.0 |
| S.A.C. CAP/ORENSTEIN | 044 | JCG | B | 200 | 43.65 | n/a | n/a | 7.00 | 3.5 |
| B BUCK CAPITAL MGMT | | JCP | S | 180,000 | 26.28 | n/a | 14-May | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | JCP | S | 350,000 | 26.47 | n/a | 14-May | non-brg | 4.0 |
| EXIS CAPITAL | 044 | JCP | B | 15,000 | 26.64 | n/a | 14-May | 750.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | JEC | S | 6,006 | 42.54 | n/a | n/a | 180.18 | 3.0 |
| HILLIARD LYONS CAP MGMT | 047 | JNJ | S | 5,776 | 62.15 | n/a | n/a | 173.28 | 3.0 |
| WINSLOW CAPITAL | 030 | JNPR | B | 100 | 26.70 | n/a | n/a | 4.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JNY | B | 1,100 | 19.95 | n/a | 14-May | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | JNY | B | 30,000 | 19.46 | n/a | 14-May | non-brg | 4.0 |
| TRUSTCO/SUNTRUST | 040 | JNY | S | 24,100 | 19.38 | n/a | 14-May | 939.90 | 3.9 |
| B BUCK CAPITAL MGMT | | JOSB | B | 10,000 | 57.91 | n/a | n/a | non-brg | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | JPM | S | 8,312 | 38.73 | n/a | 17-May | 249.36 | 3.0 |
| WINSLOW CAPITAL | 030 | JPM | B | 600 | 38.79 | n/a | 17-May | 24.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JWN | S | 30,000 | 38.23 | n/a | 14-May | non-brg | 4.0 |
| RBC CAPITAL MARKETS | 040 | JWN | B | 10,000 | 37.94 | n/a | 14-May | 400.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | JWN | SS | 10,000 | 38.18 | n/a | 14-May | 400.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| HILLIARD LYONS CAP MGMT | 047 | KFT | S | 8,350 | 29.96 | n/a | n/a | 250.50 | 3.0 |
| f MARC PAUL LUCHANSKY | FID | KGC | S | 500 | 17.10 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | KSS | B | 200 | 52.09 | n/a | 14-May | 8.00 | 4.0 |
| SANDLER CAPITAL | 226 | LII | S | 64,600 | 43.33 | n/a | n/a | 3,876.00 | 6.0 |
| WINSLOW CAPITAL | 030 | LLTC | B | 200 | 27.62 | n/a | n/a | 8.00 | 4.0 |
| WINSLOW CAPITAL | 030 | LOW | B | 400 | 24.50 | n/a | 17-May | 16.00 | 4.0 |
| WINSLOW CAPITAL | 030 | LRCX | B | 200 | 37.50 | n/a | n/a | 8.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | LTD | B | 40,000 | 24.69 | n/a | n/a | 1,600.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | LVS | S | 15,500 | 22.13 | n/a | 13-May | 620.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | MAT | S | 16,883 | 22.05 | n/a | n/a | 506.49 | 3.0 |
| B BUCK CAPITAL MGMT | | MFB | S | 20,000 | 23.51 | n/a | n/a | non-brg | 4.0 |
| WINSLOW CAPITAL | 030 | MHS | B | 300 | 56.67 | n/a | n/a | 12.00 | 4.0 |
| f MARGARET M DAVEY | FID | MON | B | 400 | 56.00 | n/a | 13-May | 0.00 | 0.0 |
| f CHRISTOPHER ROBERT C | FID | MPEL | S | 500 | 3.85 | n/a | 28-Apr | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | MRVL | B | 600 | 18.07 | n/a | n/a | 24.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|-----|----------|--------------|-----|
| HILLIARD LYONS CAP MGMT | 047 | MSFT | S | 12,983 | 28.11 | n/a | n/a | 389.49 | 3.0 |
| NEUBERGER BERMAN | 036 | MWIV | S | 5,400 | 50.89 | n/a | n/a | 216.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | M | B | 1,100 | 21.76 | n/a | 13-May | non-brg | 0.8 |
| ⌘ BUCK CAPITAL MGMT | | M | B | 10,000 | 21.11 | n/a | 13-May | non-brg | 4.0 |
| EXIS CAPITAL | 044 | M | B | 10,000 | 21.29 | n/a | 13-May | 500.00 | 5.0 |
| WEINTRAUB CAPITAL MGT. | 040 | NDN | B | 24,800 | 14.48 | n/a | 9-Apr | 992.00 | 4.0 |
| THOMAS WEISEL ASSET MGMT | 035 | NETL | B | 9,120 | 27.46 | n/a | n/a | 273.60 | 3.0 |
| SOUTH POINT CAP | 067 | NOVL | B | 175,000 | 6.03 | n/a | n/a | 8,750.00 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | OMC | S | 6,781 | 39.84 | n/a | n/a | 203.43 | 3.0 |
| WINSLOW CAPITAL | 030 | ORCL | B | 600 | 23.15 | n/a | n/a | 24.00 | 4.0 |
| WINSLOW CAPITAL | 030 | ORLY | B | 200 | 47.92 | n/a | n/a | 8.00 | 4.0 |
| WINSLOW CAPITAL | 030 | OXY | B | 100 | 79.04 | n/a | n/a | 4.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | OZM | B | 1,400 | 15.98 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | OZM | B | 12,000 | 15.98 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | OZM | B | 300 | 15.98 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | OZM | B | 400 | 15.98 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | OZM | B | 900 | 15.98 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | PAG | B | 50,000 | 13.18 | n/a | 3-May | non-brg | 2.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|-------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| B | BUCK CAPITAL MGMT | | PAG | B | 73,000 | 13.06 | n/a | 3-May | non-brg | 4.0 |
| f | CHRISTOPHER ROBERT C | FID | PAG | S | 200 | 12.97 | n/a | 3-May | 0.00 | 0.0 |
| | WINSLOW CAPITAL | 030 | PCLN | B | 100 | 186.14 | n/a | n/a | 4.00 | 4.0 |
| | BMO NESBITT BURNS | 041 | PCL | S | 2,000 | 34.88 | n/a | 27-Apr | 80.00 | 4.0 |
| | HILLIARD LYONS CAP MGMT | 047 | PEP | S | 3,895 | 65.53 | n/a | n/a | 116.85 | 3.0 |
| | WINSLOW CAPITAL | 030 | PEP | B | 100 | 65.91 | n/a | n/a | 4.00 | 4.0 |
| | TYEE/TYGH | 035 | PFCB | B | 116,000 | 44.02 | n/a | 28-Apr | 4,640.00 | 4.0 |
| | HILLIARD LYONS CAP MGMT | 047 | PFE | S | 4,880 | 15.71 | n/a | n/a | 146.40 | 3.0 |
| | HILLIARD LYONS CAP MGMT | 047 | PGR | S | 17,034 | 20.02 | n/a | n/a | 511.02 | 3.0 |
| | HILLIARD LYONS CAP MGMT | 047 | PG | S | 3,742 | 62.98 | n/a | 30-Apr | 112.26 | 3.0 |
| B | BUCK CAPITAL MGMT | | PIR | B | 50,000 | 7.65 | n/a | n/a | non-brg | 3.0 |
| B | BUCK CAPITAL MGMT | | PLCE | S | 10,000 | 40.92 | n/a | 17-May | non-brg | 4.0 |
| | ROARING BLUE LION MGMT | 012 | PLCE | B | 2,100 | 41.36 | n/a | 17-May | 84.00 | 4.0 |
| | CATAPULT | 040 | PPG | B | 10,000 | 64.44 | n/a | 10-May | 500.00 | 5.0 |
| | BUCK CAPITAL MGMT | 001 | PSS | B | 10,000 | 20.55 | n/a | n/a | 400.00 | 4.0 |
| | EXIS CAPITAL | 044 | PSS | B | 5,000 | 20.70 | n/a | n/a | 250.00 | 5.0 |
| | BMO NESBITT BURNS | 041 | PTV | B | 10,000 | 29.49 | n/a | n/a | 400.00 | 4.0 |
| f | MARC PAUL LUCHANSKY | FID | PTV | B | 1000 | 29.63 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|---------------|
| ⌘ BUCK CAPITAL MGMT | | PVH | S | 25,000 | 54.03 | n/a | 14-May | non-brg 2.5 |
| ⌘ BUCK CAPITAL MGMT | | PVH | S | 50,000 | 54.13 | n/a | 14-May | non-brg 4.0 |
| SCOUT/UMB | 047 | PVH | S | 16,200 | 54.79 | n/a | 14-May | 810.00 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | PVH | B | 21,750 | 54.27 | n/a | 14-May | 652.50 3.0 |
| WINSLOW CAPITAL | 030 | QCOM | B | 500 | 36.29 | n/a | n/a | 20.00 4.0 |
| THE JAY GOLDMAN | 028 | RCL | B | 5,000 | 30.00 | n/a | n/a | 200.00 4.0 |
| ⌘ BUCK CAPITAL MGMT | | RL | SS | 21,900 | 83.18 | n/a | 14-May | non-brg 4.0 |
| ⌘ BUCK CAPITAL MGMT | | RL | SS | 34,400 | 84.10 | n/a | 14-May | non-brg 0.8 |
| ⌘ BUCK CAPITAL MGMT | | RL | SS | 93,700 | 85.80 | n/a | 14-May | non-brg 4.0 |
| EXIS CAPITAL | 044 | RL | SS | 10,000 | 85.15 | n/a | 14-May | 500.00 5.0 |
| RBC CAPITAL MARKETS | 040 | RSH | S | 15,000 | 19.00 | n/a | n/a | 600.00 4.0 |
| BRANDWINE | 028 | RTN | S | 84,560 | 54.81 | n/a | 23-Apr | 3,382.40 4.0 |
| BMO NESBITT BURNS | 041 | RYN | B | 2,000 | 43.63 | n/a | 13-May | 80.00 4.0 |
| EXIS CAPITAL | 044 | SHLD | S | 10,000 | 97.39 | n/a | n/a | 500.00 5.0 |
| WINSLOW CAPITAL | 030 | SHPGY | B | 200 | 61.16 | n/a | 17-May | 8.00 4.0 |
| WINSLOW CAPITAL | 030 | SLB | B | 400 | 62.23 | n/a | n/a | 16.00 4.0 |
| WINSLOW CAPITAL | 030 | SPLS | B | 400 | 21.49 | n/a | n/a | 16.00 4.0 |
| PECONIC PARTNERS | 036 | SPY | C | 300,000 | 111.86 | n/a | n/a | 15,000.00 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|----------------|------------|
| CARDINAL CAPITAL | 044 | SSI | B | 9,300 | 14.46 | n/a | n/a | 465.00 | 5.0 |
| S.A.C. HEALTHCARE BOBBY | 044 | SVNT | B | 10,000 | 12.20 | n/a | n/a | 350.00 | 3.5 |
| MTB INV ADV | 034 | TBI | S | 20,725 | 15.20 | n/a | n/a | 1,036.25 | 5.0 |
| PZENA INV ADV | 044 | TECD | B | 2,900 | 40.09 | n/a | n/a | 101.51 | 3.5 |
| HILLIARD LYONS CAP MGMT | 047 | TEL | S | 8,146 | 27.63 | n/a | n/a | 244.38 | 3.0 |
| WINSLOW CAPITAL | 030 | TEVA | B | 300 | 55.00 | n/a | 17-May | 12.00 | 4.0 |
| BERMAN CAPITAL MGMT | 046 | TGT | B | 6,200 | 54.17 | 19-May | 19-May | 186.00 | 3.0 |
| BERMAN CAPITAL MGMT | 046 | TGT | S | 6,200 | 53.89 | 19-May | 19-May | 186.00 | 3.0 |
| B BUCK CAPITAL MGMT | | TGT | B | 20,000 | 54.10 | 19-May | 19-May | non-brg | 4.0 |
| WINSLOW CAPITAL | 030 | TGT | B | 100 | 53.88 | 19-May | 19-May | 4.00 | 4.0 |
| f ALEXANDER A SACCO | FID | TIVO | S | 120 | 9.51 | n/a | n/a | 0.00 | 0.0 |
| HILLIARD LYONS CAP MGMT | 047 | TJX | S | 6,724 | 42.69 | n/a | 19-May | 201.72 | 3.0 |
| MTB INV ADV | 034 | TPX | S | 5,200 | 31.96 | n/a | n/a | 260.00 | 5.0 |
| MTB INV ADV | 034 | TUP | S | 3,625 | 44.13 | n/a | n/a | 181.25 | 5.0 |
| HILLIARD LYONS CAP MGMT | 047 | TYC | S | 8,920 | 37.49 | n/a | 28-Apr | 267.60 | 3.0 |
| B BUCK CAPITAL MGMT | | UA | SS | 10,000 | 30.70 | n/a | 28-Apr | non-brg | 4.0 |
| EXIS CAPITAL | 044 | UA | B | 5,000 | 31.05 | n/a | 28-Apr | 250.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| WINSLOW CAPITAL | 030 | UNP | B | 300 | 70.83 | n/a | n/a | 12.00 | 4.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 600 | 35.47 | n/a | n/a | non-brg | 0.8 |
| WINSLOW CAPITAL | 030 | URBN | B | 400 | 34.72 | n/a | n/a | 16.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | USB | S | 13,108 | 24.05 | n/a | n/a | 393.24 | 3.0 |
| WINSLOW CAPITAL | 030 | UTX | B | 200 | 69.01 | n/a | n/a | 8.00 | 4.0 |
| B BUCK CAPITAL MGMT | | VFC | SS | 50,000 | 79.61 | n/a | 14-May | non-brg | 4.0 |
| RBC CAPITAL MARKETS | 040 | VFC | B | 5,000 | 79.38 | n/a | 14-May | 200.00 | 4.0 |
| WINSLOW CAPITAL | 030 | VMW | B | 100 | 58.22 | n/a | n/a | 4.00 | 4.0 |
| S.A.C. HEALTHCARE BOBBY | 044 | VVUS | B | 15,000 | 12.27 | n/a | n/a | 525.00 | 3.5 |
| WINSLOW CAPITAL | 030 | V | B | 400 | 72.98 | n/a | 14-May | 16.00 | 4.0 |
| HILLIARD LYONS CAP MGMT | 047 | WAT | S | 5,448 | 65.79 | n/a | n/a | 163.44 | 3.0 |
| MTB INV ADV | 034 | WBC | S | 8,300 | 30.40 | n/a | 5-May | 415.00 | 5.0 |
| GRUSS CAPITAL | 045 | WBD | S | 2,000 | 20.62 | n/a | n/a | 60.00 | 3.0 |
| B BUCK CAPITAL MGMT | 001 | WRC | B | 20,000 | 42.78 | n/a | 14-May | 800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | WRC | B | 1,100 | 43.39 | n/a | 14-May | non-brg | 0.8 |
| EXIS CAPITAL | 044 | WRC | SS | 5,000 | 43.51 | n/a | 14-May | 250.00 | 5.0 |
| CAXTON PART | 040 | WY | S | 50,060 | 43.64 | n/a | 30-Apr | 1,752.12 | 3.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|------------|----------|----------------|--------------|------------|------------|-------------------|------------|
| SACC-SCHWARTZ | 044 | XLB | SS | 150,000 | 30.99 | n/a | n/a | 5,250.00 | 3.5 |
| DIAMONDBACK CAP MGMT | 232 | XLE | SS | 9,000 | 54.30 | n/a | n/a | 270.00 | 3.0 |
| BERMAN CAPITAL MGMT | 046 | XRT | S | 10,000 | 39.48 | n/a | n/a | 300.00 | 3.0 |
| B BUCK CAPITAL MGMT | | XRT | C | 460,000 | 40.05 | n/a | n/a | non-brg | 2.0 |
| WINSLOW CAPITAL | 030 | YUM | B | 200 | 40.45 | n/a | 15-Apr | 8.00 | 4.0 |
| TOTAL (Trade Date): | | | | | | | | 129,846.18 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|------------------|------|--------|-----|--------|-------|-----|----------|-----------------|
| AO,CXL | 05/18 | TRUSTCO/SUNTRUST | 040 | ACV | B | 126 | 28.02 | n/a | 26-Apr | 4.92 3.9 |
| AO,CRT | 05/18 | TRUSTCO/SUNTRUST | 040 | ACV | B | 126 | 28.02 | n/a | 26-Apr | 4.92 3.9 |
| AO,CRT | 05/18 | TRUSTCO/SUNTRUST | 040 | CRR | S | 74 | 67.60 | n/a | 5-May | 2.88 3.9 |
| AO,CXL | 05/18 | TRUSTCO/SUNTRUST | 040 | CRR | S | 74 | 67.60 | n/a | 5-May | 2.88 3.9 |
| AO, | 05/18 | CAMBIAR CAP | 046 | HON | S | 75,000 | 45.58 | n/a | 31-Mar | 3000.00 4.0 |
| AO, | 05/18 | COLUMBUS CIRCLE | 036 | RADS | B | 207 | 15.51 | n/a | n/a | 4.14 2.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 3,004.14 |

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 129,846.18 |
| TOTAL (AO, CXL, CRT) : | 3,004.14 |

| | |
|---------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS : | 132,850.32 |
|---------------------------------|-------------------|

MRI Securities with Trade Activity on 19-May.
ANF, TGT

MRI Securities without Trade Activity on 19-May.
NONE

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

T-Date = 1%

YTD = 8%

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)