



Daily Compliance Activity Report

Trade Date: 12/17/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 1

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|-------------|-------------|------------|------------|--------------|------------|
| WINSLOW CAPITAL | 030 | AAPL | S | 400 | 554.33 | n/a | n/a | 12.00 | 3.0 |
| SAC CHRIS C | 041 | ABT | B | 25,000 | 36.46 | n/a | n/a | 750.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | ACRX | B | 1000 | 9.52 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | ACRX | B | 3000 | 9.51 | n/a | n/a | 0.00 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | ACRX | B | 800 | 9.51 | n/a | n/a | 0.00 | 0.0 |
| LAKWOOD CAPITAL MGMT | 085 | AHL | S | 32,227 | 39.59 | n/a | n/a | 966.81 | 3.0 |
| PATTEN & PATTEN | 025 | AIG | B | 300 | 49.47 | n/a | n/a | 15.00 | 5.0 |
| PATTEN & PATTEN | 025 | AIG | S | 200 | 49.47 | n/a | n/a | 10.00 | 5.0 |
| WINSLOW CAPITAL | 030 | ALXN | S | 400 | 122.75 | n/a | n/a | 12.00 | 3.0 |
| WINSLOW CAPITAL | 030 | AMAT | S | 5,000 | 16.87 | n/a | n/a | 150.00 | 3.0 |
| WINSLOW CAPITAL | 030 | AMGN | S | 1,500 | 110.06 | n/a | n/a | 45.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | AMRI | B | 6000 | 9.94 | n/a | n/a | 0.00 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | AMRI | B | 400 | 9.93 | n/a | n/a | 0.00 | 0.0 |
| TROUBH PART | 070 | AMSC | B | 25,000 | 1.45 | n/a | n/a | 1,250.00 | 5.0 |
| WINSLOW CAPITAL | 030 | AMT | S | 1,500 | 76.10 | n/a | n/a | 45.00 | 3.0 |
| WINSLOW CAPITAL | 030 | AMZN | S | 900 | 387.10 | n/a | n/a | 27.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|----------|------------|-------------|------------|------------|-------------|------------|
| PATTEN & PATTEN | 025 | APC | B | 1,200 | 79.26 | n/a | n/a | 60.00 | 5.0 |
| WINSLOW CAPITAL | 030 | ARMH | S | 2,400 | 48.59 | n/a | n/a | 72.00 | 3.0 |
| ROSEDALE CAPITAL | 046 | AXL | S | 10,000 | 19.96 | n/a | 17-Dec | 400.00 | 4.0 |
| MATRIX ASSET ADV. | 091 | AXP | S | 800 | 84.24 | n/a | 17-Dec | 32.00 | 4.0 |
| WINSLOW CAPITAL | 030 | AXP | S | 1,300 | 84.34 | n/a | 17-Dec | 39.00 | 3.0 |
| KORTRIGHT CAPITAL PARTNERS | 025 | AYI | B | 14,885 | 103.97 | n/a | n/a | 446.55 | 3.0 |
| BRONSON POINT | 036 | BA | SS | 25,000 | 135.54 | n/a | 17-Dec | 750.00 | 3.0 |
| PATTEN & PATTEN | 025 | BDBD | S | 2,000 | 15.01 | n/a | n/a | 100.00 | 5.0 |
| BARON ASSET MGMT* | 006 | BERY | S | 27,500 | 21.53 | n/a | n/a | 825.00 | 3.0 |
| PATTEN & PATTEN | 025 | BHK | B | 21,100 | 12.67 | n/a | n/a | 1,055.00 | 5.0 |
| WINSLOW CAPITAL | 030 | BIDU | S | 700 | 168.79 | n/a | n/a | 21.00 | 3.0 |
| WINSLOW CAPITAL | 030 | BIIB | S | 800 | 270.74 | n/a | n/a | 24.00 | 3.0 |
| WINSLOW CAPITAL | 030 | BLK | S | 600 | 302.81 | n/a | n/a | 18.00 | 3.0 |
| WINSLOW CAPITAL | 030 | BMY | S | 1,700 | 50.61 | n/a | n/a | 51.00 | 3.0 |
| f PATRICK O'GRADY | FID | BODY | B | 160 | 3.90 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | BP | S | 500 | 45.39 | n/a | n/a | 25.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|-----|--------|-----|---------|--------|--------|----------|--------------|-----|
| PATTEN & PATTEN | 025 | BUD | B | 100 | 101.79 | n/a | 13-Dec | 5.00 | 5.0 |
| WINSLOW CAPITAL | 030 | BWA | S | 2,000 | 54.92 | 17-Dec | 17-Dec | 60.00 | 3.0 |
| WINSLOW CAPITAL | 030 | CBS | S | 2,000 | 58.27 | n/a | n/a | 60.00 | 3.0 |
| WINSLOW CAPITAL | 030 | CELG | S | 1,900 | 160.41 | n/a | n/a | 57.00 | 3.0 |
| BARON ASSET MGMT* | 006 | CHRW | S | 15,000 | 56.31 | n/a | 11-Dec | 600.00 | 4.0 |
| SAC CAPITAL/M GRONET | 030 | CLX | SS | 15,000 | 91.79 | n/a | n/a | 450.00 | 3.0 |
| WINSLOW CAPITAL | 030 | CMG | S | 200 | 513.42 | n/a | n/a | 6.00 | 3.0 |
| PATTEN & PATTEN | 025 | CNI | S | 1,100 | 55.02 | n/a | n/a | 55.00 | 5.0 |
| IVORY CAPITAL | 084 | COLE | S | 100,000 | 13.83 | n/a | n/a | 5,000.00 | 5.0 |
| WINSLOW CAPITAL | 030 | COST | S | 700 | 117.69 | n/a | n/a | 21.00 | 3.0 |
| WINSLOW CAPITAL | 030 | CRM | S | 4,700 | 51.63 | n/a | n/a | 141.00 | 3.0 |
| WINSLOW CAPITAL | 030 | CTRX | S | 1,500 | 45.51 | n/a | n/a | 45.00 | 3.0 |
| WINSLOW CAPITAL | 030 | CTSH | S | 1,200 | 94.05 | n/a | n/a | 36.00 | 3.0 |
| WINSLOW CAPITAL | 030 | CVS | S | 1,600 | 67.13 | n/a | n/a | 48.00 | 3.0 |
| DELTEC ASSET MGMT. | 040 | DAL | B | 15,000 | 26.98 | 3-Dec | 12-Dec | 750.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|----------|-------------|--------------|------------|------------|-------------|------------|
| WINSLOW CAPITAL | 030 | DAL | S | 2,400 | 27.08 | 3-Dec | 12-Dec | 72.00 | 3.0 |
| WINSLOW CAPITAL | 030 | DG | S | 2,500 | 59.70 | 6-Dec | 6-Dec | 75.00 | 3.0 |
| WINSLOW CAPITAL | 030 | DHR | S | 3,300 | 74.59 | n/a | n/a | 99.00 | 3.0 |
| WINSLOW CAPITAL | 030 | DIS | S | 1,400 | 69.90 | n/a | n/a | 42.00 | 3.0 |
| TUDOR INVESTORS | 028 | DOV | SS | 2,000 | 91.91 | n/a | n/a | 60.00 | 3.0 |
| WINSLOW CAPITAL | 030 | EBAY | S | 3,100 | 52.89 | n/a | n/a | 93.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | EBS | B | 2000 | 22.71 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | ECL | S | 1,000 | 101.72 | n/a | n/a | 30.00 | 3.0 |
| CR INTRINIC INVESTMENT | 044 | ECOM | B | 10,000 | 39.34 | n/a | n/a | 300.00 | 3.0 |
| WINSLOW CAPITAL | 030 | EL | S | 1,400 | 72.38 | 18-Nov | 13-Dec | 42.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | ENX | B | 3500 | 11.22 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | EWA | S | 3,500 | 23.68 | n/a | n/a | 175.00 | 5.0 |
| J. GOLDMAN | 028 | EXPR | S | 75,000 | 18.23 | n/a | n/a | 3,000.00 | 4.0 |
| WINSLOW CAPITAL | 030 | FB | S | 3,200 | 54.32 | n/a | n/a | 96.00 | 3.0 |
| DEPRINCE, RACE & ZOLLO | 093 | FINL | S | 30,000 | 26.14 | n/a | 17-Dec | 1,500.00 | 5.0 |
| WINSLOW CAPITAL | 030 | FOXA | S | 5,400 | 32.53 | n/a | n/a | 162.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| J. GOLDMAN | 028 | FRAN | C | 50,000 | 17.67 | n/a | n/a | 2,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | FTK | B | 10,500 | 19.10 | n/a | n/a | non-brg | 4.0 |
| OZ MGMT | 040 | F | C | 270,612 | 16.94 | n/a | 17-Dec | 8,118.36 | 3.0 |
| SCOPUS FUND | 041 | F | B | 50,000 | 16.71 | n/a | 17-Dec | 2,000.00 | 4.0 |
| CORTEX CAPITAL | 031 | GES | SS | 35,000 | 30.61 | n/a | 5-Dec | 1,050.00 | 3.0 |
| WINSLOW CAPITAL | 030 | GILD | S | 2,700 | 69.21 | n/a | n/a | 81.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | GIS | C | 90,000 | 49.58 | n/a | n/a | 4,500.00 | 5.0 |
| HARVEST MGMT | 029 | GME | B | 10,000 | 49.08 | n/a | n/a | 500.00 | 5.0 |
| f RAVI SADARANGANI | FID | GM | B | 50 | 2.21 | n/a | 17-Dec | 0.00 | 0.0 |
| f RAVI SADARANGANI | FID | GM | B | 50 | 2.22 | n/a | 17-Dec | 0.00 | 0.0 |
| LATEEF MGMT | 033 | GSPRD | B | 1,000 | 17.91 | n/a | n/a | 100.00 | 10.0 |
| MOORE CAPITAL | 257 | HLF | B | 13,000 | 76.48 | n/a | n/a | 390.00 | 3.0 |
| PATTEN & PATTEN | 025 | HLT | B | 5,150 | 21.86 | n/a | n/a | 257.50 | 5.0 |
| WINSLOW CAPITAL | 030 | HLT | S | 400 | 21.75 | n/a | n/a | 12.00 | 3.0 |
| FINDLAY PARK PART | 085 | IEX | S | 58,500 | 70.95 | n/a | n/a | 6,226.04 | 11.0 |
| J. GOLDMAN | 028 | IP | B | 15,000 | 48.56 | n/a | 16-Dec | 600.00 | 4.0 |
| TUDOR INVESTORS | 028 | IP | SS | 5,000 | 48.35 | n/a | 16-Dec | 150.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|-----|----------|-----|--------|--------|--------|----------|--------------|--------------|
| INTERVAL PARTNERS | 033 | JCI | SS | 5,000 | 51.41 | 21-Nov | 17-Dec | 150.00 | 3.0 |
| CR INTRINIC INVESTMENT | 044 | JCP | SS | 10,000 | 8.28 | n/a | 4-Dec | 300.00 | 3.0 |
| WINSLOW CAPITAL | 030 | JPM | S | 1,700 | 55.96 | n/a | 17-Dec | 51.00 | 3.0 |
| LAKEWOOD CAPITAL MGMT | 085 | KKR | S | 25,000 | 24.64 | n/a | n/a | 750.00 | 3.0 |
| WINSLOW CAPITAL | 030 | KSU | S | 300 | 117.40 | 6-Dec | 6-Dec | 9.00 | 3.0 |
| WINSLOW CAPITAL | 030 | LBTYA | S | 1,300 | 83.70 | n/a | n/a | 39.00 | 3.0 |
| CR INTRINIC INVESTMENT | 044 | LOW | B | 5,000 | 46.51 | n/a | n/a | 150.00 | 3.0 |
| WINSLOW CAPITAL | 030 | LOW | S | 2,300 | 46.56 | n/a | n/a | 69.00 | 3.0 |
| COUGAR TRADING | 044 | LULU | B | 5,000 | 58.94 | 13-Dec | 17-Dec | 250.00 | 5.0 |
| SMITH MGMT/ALDEN GLOBAL | | 029 LULU | B | | 43,200 | 57.88 | 13-Dec | 17-Dec | 1,296.00 3.0 |
| MOORE CAPITAL | 257 | LVS | B | 3,500 | 77.54 | n/a | n/a | 105.00 | 3.0 |
| TUDOR INVESTORS | 028 | MAS | B | 10,000 | 21.11 | n/a | n/a | 300.00 | 3.0 |
| WINSLOW CAPITAL | 030 | MA | S | 200 | 798.30 | 11-Dec | 16-Dec | 6.00 | 3.0 |
| INTERVAL PARTNERS | 033 | MGA | B | 30,000 | 79.77 | n/a | n/a | 900.00 | 3.0 |
| MOORE CAPITAL | 257 | MGM | C | 48,500 | 22.19 | n/a | n/a | 1,455.00 | 3.0 |
| WINSLOW CAPITAL | 030 | MON | S | 2,600 | 111.54 | n/a | n/a | 78.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|------------|----------|--------------|--------------|------------|------------|--------------|------------|
| J. GOLDMAN | 028 | MOS | B | 20,000 | 44.51 | n/a | n/a | 800.00 | 4.0 |
| MOORE CAPITAL | 257 | MPEL | B | 6,500 | 39.04 | n/a | n/a | 195.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | MPW | S | 1000 | 12.36 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | MPW | S | 15000 | 12.35 | n/a | n/a | 0.00 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | MPW | S | 1000 | 12.36 | n/a | n/a | 0.00 | 0.0 |
| IVORY CAPITAL | 084 | MSFT | B | 178,896 | 36.53 | n/a | n/a | 8,944.80 | 5.0 |
| ROYCE TRADING | 031 | MSM | B | 11,500 | 79.34 | 3-Dec[i] | 13-Dec | 575.00 | 5.0 |
| WINSLOW CAPITAL | 030 | MS | S | 400 | 30.51 | n/a | 11-Dec | 12.00 | 3.0 |
| LAKEWOOD CAPITAL MGMT | 085 | MTOR | B | 15,000 | 7.85 | n/a | n/a | 450.00 | 3.0 |
| TUDOR INVESTORS | 028 | MWV | S | 10,000 | 36.00 | n/a | n/a | 300.00 | 3.0 |
| WINSLOW CAPITAL | 030 | NBL | S | 1,600 | 68.45 | n/a | n/a | 48.00 | 3.0 |
| PATTEN & PATTEN | 025 | NEE | S | 200 | 82.74 | n/a | n/a | 10.00 | 5.0 |
| WINSLOW CAPITAL | 030 | NKE | S | 1,900 | 76.79 | 16-Dec | 17-Dec | 57.00 | 3.0 |
| HOLLIS CAPITAL | 033 | NOG | S | 10,000 | 14.72 | n/a | n/a | 500.00 | 5.0 |
| WINSLOW CAPITAL | 030 | NOW | S | 1,000 | 50.88 | n/a | n/a | 30.00 | 3.0 |
| PATTEN & PATTEN | 025 | NSC | S | 210 | 89.41 | n/a | 9-Dec | 10.50 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|-------------|----------|----------------|--------------|------------|------------|----------------|------------|
| PATTEN & PATTEN | 025 | NUAN | S | 600 | 14.44 | n/a | n/a | 30.00 | 5.0 |
| WINSLOW CAPITAL | 030 | NXPI | S | 3,700 | 43.48 | n/a | n/a | 111.00 | 3.0 |
| LATEEF MGMT | 033 | OLN | S | 500 | 28.37 | n/a | n/a | 50.00 | 10.0 |
| Õ Jack Chernus | | ORCL | S | 20 | 0.47 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | PCLN | S | 3001,157.20 | | n/a | n/a | 9.00 | 3.0 |
| WINSLOW CAPITAL | 030 | PCP | S | 600 | 258.81 | n/a | n/a | 18.00 | 3.0 |
| CAPITAL WORLD | 084 | PG | B | 850,000 | 81.28 | n/a | 4-Dec | 29,750.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | PIR | S | 50,000 | 20.57 | n/a | n/a | non-brg | 4.0 |
| WINSLOW CAPITAL | 030 | QCOM | S | 1,700 | 72.47 | n/a | n/a | 51.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | RAD | S | 100,000 | 5.65 | n/a | n/a | non-brg | 2.5 |
| ß BUCK CAPITAL MGMT | | RAD | S | 487,100 | 5.66 | n/a | n/a | non-brg | 3.0 |
| DONALD SMITH | 088 | RCL | S | 26,629 | 44.23 | n/a | n/a | 399.44 | 2.0 |
| CR INTRINIC INVESTMENT | 044 | RGR | B | 100 | 73.58 | n/a | n/a | 3.00 | 3.0 |
| BARON ASSET MGMT* | 006 | RH | B | 7,000 | 63.96 | n/a | n/a | 280.00 | 4.0 |
| SHEFFIELD ASSET MGMT | 031 | RKT | S | 20,000 | 100.46 | n/a | 16-Dec | 800.00 | 4.0 |
| WINSLOW CAPITAL | 030 | RL | S | 400 | 173.71 | n/a | 12-Dec | 12.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|-------------|----------|---------------|--------------|------------|------------|----------------|------------|
| WINSLOW CAPITAL | 030 | ROST | S | 1,200 | 72.28 | n/a | 22-Nov | 36.00 | 3.0 |
| WINSLOW CAPITAL | 030 | RRC | S | 1,200 | 78.51 | n/a | n/a | 36.00 | 3.0 |
| WINSLOW CAPITAL | 030 | SBAC | S | 1,300 | 84.80 | n/a | n/a | 39.00 | 3.0 |
| WINSLOW CAPITAL | 030 | SBUX | S | 2,900 | 76.17 | n/a | 13-Dec | 87.00 | 3.0 |
| WINSLOW CAPITAL | 030 | SCHW | S | 2,800 | 24.83 | n/a | n/a | 84.00 | 3.0 |
| PATTEN & PATTEN | 025 | SIRO | B | 200 | 68.30 | n/a | n/a | 10.00 | 5.0 |
| MATRIX ASSET ADV. | 091 | SLB | B | 1,000 | 86.40 | n/a | n/a | 40.00 | 4.0 |
| WINSLOW CAPITAL | 030 | SLB | S | 1,400 | 86.29 | n/a | n/a | 42.00 | 3.0 |
| CR INTRINIC INVESTMENT | 044 | SODA | SS | 5,000 | 50.85 | n/a | n/a | 150.00 | 3.0 |
| LATEEF MGMT | 033 | SWY | B | 750 | 32.26 | n/a | n/a | 75.00 | 10.0 |
| PATTEN & PATTEN | 025 | TIF | S | 300 | 90.31 | n/a | n/a | 15.00 | 5.0 |
| B BUCK CAPITAL MGMT | | ULTA | B | 33,000 | 90.20 | n/a | n/a | non-brg | 4.0 |
| WINSLOW CAPITAL | 030 | ULTA | S | 1,200 | 90.33 | n/a | n/a | 36.00 | 3.0 |
| PATTEN & PATTEN | 025 | UNM | S | 300 | 34.02 | n/a | n/a | 15.00 | 5.0 |
| WINSLOW CAPITAL | 030 | UNP | S | 200 | 160.87 | 2-Dec | 2-Dec | 6.00 | 3.0 |
| MOORE CAPITAL | 257 | URI | B | 5,000 | 74.52 | n/a | n/a | 150.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|------------|--------------|------------|------------|-------------|------------|
| WINSLOW CAPITAL | 030 | UTX | S | 1,200 | 107.91 | n/a | n/a | 36.00 | 3.0 |
| PATTEN & PATTEN | 025 | VEU | B | 1,700 | 48.86 | n/a | n/a | 85.00 | 5.0 |
| ARDSLEY PARTNERS | 280 | VJET | C | 30,000 | 35.69 | n/a | n/a | 1,500.00 | 5.0 |
| f PATRICK O'GRADY | FID | VPCO | S | 675 | 1.62 | n/a | n/a | 0.00 | 0.0 |
| WINSLOW CAPITAL | 030 | V | S | 1,700 | 210.13 | n/a | 16-Dec | 51.00 | 3.0 |
| WINSLOW CAPITAL | 030 | WFM | S | 700 | 56.70 | n/a | n/a | 21.00 | 3.0 |
| WINSLOW CAPITAL | 030 | WYNN | S | 600 | 181.07 | n/a | n/a | 18.00 | 3.0 |
| Õ Jack Chernus | | XLI | B | 300 | 50.21 | n/a | n/a | 0.00 | 0.0 |
| Õ Jack Chernus | | XLI | B | 300 | 50.22 | n/a | n/a | 0.00 | 0.0 |
| Õ Jack Chernus | | XLI | B | 300 | 50.22 | n/a | n/a | 0.00 | 0.0 |
| Õ Jack Chernus | | XLI | B | 500 | 50.22 | n/a | n/a | 0.00 | 0.0 |
| Õ Jack Chernus | | XLI | S | 3 | 0.85 | n/a | n/a | 0.00 | 0.0 |
| Õ Jack Chernus | | XLI | S | 3 | 0.85 | n/a | n/a | 0.00 | 0.0 |
| Õ Jack Chernus | | XLI | S | 5 | 0.85 | n/a | n/a | 0.00 | 0.0 |
| INTERVAL PARTNERS | 033 | XLP | SS | 30,000 | 41.99 | n/a | n/a | 900.00 | 3.0 |
| BARROW HANLEY MEWHINNEY | 031 | XYL | B | 253,643 | 33.98 | n/a | n/a | 8,877.51 | 4.0 |
| WINSLOW CAPITAL | 030 | ZTS | S | 3,500 | 31.37 | n/a | n/a | 105.00 | 3.0 |
| f RACHEL A.K. FEINSTEI | FID | | S | 150 | 8.38 | n/a | n/a | 0.00 | 0.0 |

TOTAL (Trade Date):

108,034.51

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CRT | 12/12 | YORK CAPITAL | 036 | SIRI | B | 15,644 | 3.44 | n/a | n/a | 156.44 0.0 |
| AO,CXL | 12/12 | YORK CAPITAL | 036 | SIRI | B | 15,644 | 3.44 | n/a | n/a | 156.44 0.0 |

| | |
|-------------------------------|-------------|
| TOTAL (AO, CXL, CRT) : | 0.00 |
|-------------------------------|-------------|

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 108,034.51 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 108,034.51 |
|--------------------------------|-------------------|

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 17-Dec.

BWA

MRI Securities without Trade Activity on 17-Dec.

FDX, RYN

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

T-Date = 0%

YTD = 0%

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)