



Daily Compliance Activity Report

Trade Date: 04/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------------|------|------------|----------|--------------------|-------|------------|------------|--------------|------------|
| CAISSE DEPOT PLACEMENT Q | 295 | ABFS | B | 20,000 | 17.46 | n/a | n/a | 600.00 | 3.0 |
| MILLRACE FUND LP | 028 | ABG | B | 5,000 | 26.72 | n/a | 18-Apr | 200.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | ABT | B | 1,500 | 61.77 | n/a | n/a | 60.00 | 4.0 |
| COLUMBUS CAP MGMT LLC | 084 | ACW | S | 50,800 | 7.15 | n/a | n/a | 2,032.00 | 4.0 |
| SIMMONS VENTURES | 041 | AEO | SS | 5,000 | 18.17 | n/a | 2-Dec | 200.00 | 4.0 |
| Ã Alice Longley | | AIG | B | 971103.0000 | | n/a | n/a | 0.00 | 0.0 |
| APEX CAPITAL MGMT. | 261 | ALKS | S | 9,200 | 17.60 | n/a | n/a | 368.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | AMRN | S | 10,000 | 11.53 | n/a | n/a | 300.00 | 3.0 |
| APEX CAPITAL MGMT. | 261 | ARO | B | 8,200 | 22.36 | n/a | n/a | 328.00 | 4.0 |
| CHARTER OAK | 033 | ATI | B | 25,000 | 42.83 | n/a | 26-Apr | 1,250.00 | 5.0 |
| BALTHAZAR CAPITAL PARTNERS LTD085 | | AXE | B | 7,500 | 67.79 | n/a | 26-Apr | 450.00 | 6.0 |
| BROOKSIDE CAPITAL PART | 029 | BA | SS | 173,792 | 77.03 | n/a | 13-Apr | 6,951.68 | 4.0 |
| APEX CAPITAL MGMT. | 261 | BDX | B | 900 | 77.13 | n/a | n/a | 36.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | BID | S | 8,000 | 38.36 | n/a | n/a | 320.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| MELLON/BANK OF NEW YORK | 046 | BMV | B | 8,010 | 33.75 | n/a | n/a | 320.40 | 4.0 |
| APEX CAPITAL MGMT. | 261 | BYI | B | 1,700 | 47.69 | n/a | n/a | 68.00 | 4.0 |
| VERITION | 028 | CAB | B | 7,500 | 37.76 | n/a | n/a | 225.00 | 3.0 |
| JP MORGAN VENTURES | 046 | CAKE | B | 20,000 | 31.79 | n/a | 26-Apr | 800.00 | 4.0 |
| MELLON/BANK OF NEW YORK | 046 | CLF | B | 14,130 | 63.65 | n/a | n/a | 565.20 | 4.0 |
| SONTERRA CAP | 041 | CLF | B | 20,000 | 64.94 | n/a | n/a | 800.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | CLR | B | 700 | 88.93 | n/a | n/a | 28.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | CNQR | B | 1,600 | 56.41 | n/a | n/a | 64.00 | 4.0 |
| PRIMECAP MGMT | 084 | CPHD | S | 4,000 | 38.05 | n/a | n/a | 160.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | CRI | B | 3,100 | 55.90 | n/a | n/a | 124.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | CRM | B | 200 | 152.62 | n/a | n/a | 8.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | CTRP | S | 8,500 | 21.51 | n/a | n/a | 340.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | DAL | S | 49,000 | 10.41 | n/a | n/a | 1,470.00 | 3.0 |
| JP MORGAN VENTURES | 046 | DG | S | 10,000 | 47.39 | n/a | 23-Mar | 400.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | DNR | S | 900 | 18.73 | n/a | n/a | 36.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | DRC | B | 100 | 48.17 | n/a | n/a | 4.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| APEX CAPITAL MGMT. | 261 | DWA | S | 2,700 | 17.84 | n/a | n/a | 108.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | EAT | B | 1,700 | 31.56 | n/a | 23-Apr | 68.00 | 4.0 |
| T. ROWE PRICE | 033 | ESIO | B | 100 | 14.10 | n/a | n/a | 4.00 | 4.0 |
| SANDLER CAPITAL | 028 | EV | SS | 225,000 | 26.21 | n/a | n/a | 11,250.00 | 5.0 |
| MELLON/BANK OF NEW YORK | 046 | EXC | B | 7,320 | 38.64 | n/a | n/a | 292.80 | 4.0 |
| APEX CAPITAL MGMT. | 261 | FCN | B | 1,500 | 35.99 | n/a | n/a | 60.00 | 4.0 |
| STATE TEACHERS RET SYS | 047 | FPO | S | 5,000 | 13.15 | n/a | n/a | 250.00 | 5.0 |
| APEX CAPITAL MGMT. | 261 | GOOG | S | 800 | 613.65 | n/a | n/a | 32.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | GRFS | S | 10,500 | 9.48 | n/a | n/a | 315.00 | 3.0 |
| MELLON/BANK OF NEW YORK | 046 | GRMN | B | 19,230 | 47.18 | n/a | n/a | 769.20 | 4.0 |
| APEX CAPITAL MGMT. | 261 | GTLS | B | 600 | 75.15 | n/a | n/a | 24.00 | 4.0 |
| CAISSE DEPOT PLACEMENT Q | 295 | HON | B | 40,000 | 60.84 | n/a | 5-Apr | 1,200.00 | 3.0 |
| WAGONHOUND/NICOLAS | 033 | HSC | S | 45,000 | 22.30 | n/a | 11-Apr | 1,800.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | HSY | S | 2,703 | 66.69 | n/a | n/a | 108.12 | 4.0 |
| APEX CAPITAL MGMT. | 261 | IBM | B | 900 | 205.12 | n/a | n/a | 36.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| APEX CAPITAL MGMT. | 261 | INCY | B | 2,300 | 21.20 | n/a | n/a | 92.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | ITW | B | 1,700 | 57.37 | n/a | 25-Apr | 68.00 | 4.0 |
| FEDERATED INV/KAUFMAN | 029 | JCI | B | 200,000 | 31.64 | n/a | 23-Apr | 10,000.00 | 5.0 |
| APEX CAPITAL MGMT. | 261 | JIVE | B | 2,800 | 23.76 | n/a | n/a | 112.00 | 4.0 |
| FARALLON CAP MGMT | 040 | JNJ | B | 100,000 | 64.44 | n/a | n/a | 4,000.00 | 4.0 |
| DSG CAPITAL | 030 | JNY | B | 25,000 | 11.14 | n/a | 26-Apr | 750.00 | 3.0 |
| APEX CAPITAL MGMT. | 261 | JOY | S | 900 | 71.72 | n/a | 18-Apr | 36.00 | 4.0 |
| SOROS | 036 | KSS | SS | 100,000 | 50.52 | n/a | 19-Apr | 4,000.00 | 4.0 |
| BALLAST CAP | 040 | LKQX | SS | 9,100 | 31.00 | n/a | n/a | 455.00 | 5.0 |
| BARROW HANLEY MEWHINNEY | 031 | LLL | S | 26,700 | 72.51 | n/a | n/a | 934.50 | 3.5 |
| PRIMECAP MGMT | 084 | LLY | S | 7,000 | 40.84 | n/a | n/a | 280.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | LTD | S | 10,600 | 49.81 | n/a | n/a | 424.00 | 4.0 |
| FARALLON CAP MGMT | 040 | MA | B | 60,000 | 449.64 | n/a | 2-Apr | 2,400.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | MCD | B | 1,400 | 95.40 | n/a | 23-Apr | 56.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | MDT | B | 2,300 | 37.05 | n/a | n/a | 92.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| TUDOR INVESTORS | 028 | MGA | SS | 5,000 | 44.91 | n/a | n/a | 150.00 | 3.0 |
| APEX CAPITAL MGMT. | 261 | MHK | B | 900 | 65.87 | n/a | n/a | 36.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | MSTR | S | 700 | 142.20 | n/a | n/a | 28.00 | 4.0 |
| PILOT ADV | 041 | M | B | 7,500 | 40.19 | n/a | 19-Apr | 225.00 | 3.0 |
| SOROS | 036 | M | B | 100,000 | 40.59 | n/a | 19-Apr | 4,000.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | NBL | S | 700 | 98.19 | n/a | n/a | 28.00 | 4.0 |
| BAIRD INVESTMENT | 047 | NKE | B | 2,625 | 110.40 | n/a | 23-Mar | 131.25 | 5.0 |
| MELLON/BANK OF NEW YORK | 046 | NLY | S | 40,410 | 16.26 | n/a | n/a | 1,616.40 | 4.0 |
| BALLAST CAP | 040 | NWL | B | 8,600 | 17.97 | n/a | n/a | 430.00 | 5.0 |
| BRONSON POINT | 036 | ODFL | B | 10,000 | 45.56 | n/a | n/a | 300.00 | 3.0 |
| APEX CAPITAL MGMT. | 261 | OIH | B | 700 | 40.64 | n/a | n/a | 14.00 | 2.0 |
| BAIRD INVESTMENT | 047 | OII | B | 6,375 | 50.49 | n/a | n/a | 318.75 | 5.0 |
| BALLAST CAP | 040 | OI | S | 24,000 | 23.55 | n/a | n/a | 1,200.00 | 5.0 |
| APEX CAPITAL MGMT. | 261 | ONXX | S | 2,700 | 46.73 | n/a | n/a | 108.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | OXY | S | 2,700 | 90.49 | n/a | n/a | 108.00 | 4.0 |
| MELLON/BANK OF NEW YORK | 046 | PBRA | S | 5,380 | 22.48 | n/a | n/a | 215.20 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|------------|----------|--------------------|--------|------------|------------|--------------|------------|
| COLUMBUS CIRCLE | 036 | PLXS | B | 2,158 | 33.24 | n/a | n/a | 86.32 | 4.0 |
| MELLON/BANK OF NEW YORK | 046 | PPG | S | 9,470 | 105.40 | n/a | 9-Apr | 378.80 | 4.0 |
| APEX CAPITAL MGMT. | 261 | PPO | S | 2,800 | 37.30 | n/a | n/a | 112.00 | 4.0 |
| PRIMECAP MGMT | 084 | QGEN | B | 14,000 | 16.46 | n/a | n/a | 560.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | RAD | S | 71,000 | 1.42 | n/a | n/a | 1,420.00 | 2.0 |
| JET CAPITAL/CHRIS | 041 | RAI | B | 48,948 | 40.41 | n/a | n/a | 1,468.44 | 3.0 |
| APEX CAPITAL MGMT. | 261 | RAX | B | 2,400 | 57.12 | n/a | n/a | 96.00 | 4.0 |
| Õ Alice Longley | | RF | B | 485103.0000 | | n/a | n/a | 0.00 | 0.0 |
| APEX CAPITAL MGMT. | 261 | RGR | B | 100 | 55.07 | n/a | n/a | 4.00 | 4.0 |
| FARALLON CAP MGMT | 040 | RGR | SS | 1,000 | 55.79 | n/a | n/a | 40.00 | 4.0 |
| EMPYREAN CAPITAL | 084 | RKT | S | 45,000 | 62.96 | n/a | 26-Apr | 2,250.00 | 5.0 |
| NEWLAND CAPITAL MGT | 025 | RKT | B | 50,000 | 62.94 | n/a | 26-Apr | 2,000.00 | 4.0 |
| TUDOR INVESTORS | 028 | RKT | S | 3,000 | 65.19 | n/a | 26-Apr | 90.00 | 3.0 |
| Õ Alice Longley | | RRD | B | 487102.6250 | | n/a | n/a | 0.00 | 0.0 |
| VERITION | 028 | SBUX | B | 7,500 | 59.81 | n/a | 23-Apr | 225.00 | 3.0 |
| PRIMECAP MGMT | 084 | SCHW | B | 5,000 | 14.32 | n/a | n/a | 200.00 | 4.0 |
| PRIMECAP MGMT | 084 | SCHW | S | 20,000 | 14.27 | n/a | n/a | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| APEX CAPITAL MGMT. | 261 | SFLY | S | 9,100 | 31.15 | n/a | n/a | 364.00 | 4.0 |
| CAERUS GLOBAL | 041 | SFLY | S | 20,000 | 31.19 | n/a | n/a | 800.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | SGEN | B | 2,300 | 19.85 | n/a | n/a | 92.00 | 4.0 |
| M&I FUNDS | 047 | SHPGY | S | 4,922 | 98.75 | n/a | 26-Apr | 196.88 | 4.0 |
| COLUMBUS CIRCLE | 036 | SIMO | S | 6,565 | 21.30 | n/a | n/a | 262.60 | 4.0 |
| APEX CAPITAL MGMT. | 261 | SPLK | B | 1,400 | 34.66 | n/a | n/a | 56.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | SWFT | S | 2,800 | 10.18 | n/a | n/a | 112.00 | 4.0 |
| PEAK INV LLC | 084 | SWK | B | 210,400 | 73.73 | n/a | n/a | 8,416.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | TFM | B | 1,400 | 51.91 | n/a | n/a | 56.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | TRIP | B | 2,800 | 33.95 | n/a | n/a | 112.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | TYC | S | 56,000 | 56.78 | n/a | 28-Mar | 2,240.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | UAL | SS | 34,000 | 22.08 | n/a | n/a | 1,020.00 | 3.0 |
| APEX CAPITAL MGMT. | 261 | VLO | S | 2,700 | 24.38 | n/a | n/a | 108.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | WPI | S | 200 | 74.99 | n/a | 26-Apr | 8.00 | 4.0 |
| JET CAPITAL/CHRIS | 041 | WPI | SS | 75,000 | 74.91 | n/a | 26-Apr | 2,250.00 | 3.0 |
| APEX CAPITAL MGMT. | 261 | WPRT | S | 100 | 30.15 | n/a | n/a | 4.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|---------|--------|-----|-------------------|--------------|-----|
| APEX CAPITAL MGMT. | 261 | WTW | S | 1,400 | 75.43 | n/a | n/a | 56.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | WYNN | S | 2,900 | 132.37 | n/a | 13-Jun | 116.00 | 4.0 |
| LONG POND | 029 | WY | B | 215,000 | 20.86 | n/a | 16-Apr | 8,600.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | XRT | B | 1,400 | 60.77 | n/a | n/a | 28.00 | 2.0 |
| APEX CAPITAL MGMT. | 261 | YELP | B | 900 | 21.16 | n/a | n/a | 36.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | YNDX | S | 7,900 | 23.85 | n/a | n/a | 316.00 | 4.0 |
| TOTAL (Trade Date): | | | | | | | 102,413.54 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------|------|--------|-----|--------|--------|-----|----------|-------------|
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ADSK | S | 1,900 | 39.06 | n/a | n/a | 76.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ADSK | S | 1,900 | 39.06 | n/a | n/a | 57.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | AMTD | S | 3,400 | 18.53 | n/a | n/a | 136.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | AMTD | S | 3,400 | 18.53 | n/a | n/a | 102.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | AMZN | S | 600 | 193.71 | n/a | n/a | 24.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | AMZN | S | 600 | 193.71 | n/a | n/a | 18.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | BIIB | S | 900 | 130.17 | n/a | n/a | 36.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | BIIB | S | 900 | 130.17 | n/a | n/a | 27.00 3.0 |
| CRT | 04/26 | VERITION (VERTBAMLAC) | 028 | CAB | B | 7,500 | 37.76 | n/a | n/a | 225.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | CELG | S | 1,300 | 78.13 | n/a | n/a | 52.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | CELG | S | 1,300 | 78.13 | n/a | n/a | 39.00 3.0 |
| AO,CXL | 04/25 | SCOPUS FUND (SCOPGS) | 041 | COH | B | 100 | 71.95 | n/a | 25-Apr | 4.00 4.0 |
| AO,CRT | 04/25 | SCOPUS FUND (SCOPGS) | 041 | COH | B | 1,100 | 71.95 | n/a | 25-Apr | 44.00 4.0 |
| AO,CXL | 04/25 | SCOPUS FUND (SCOPUBS) | 041 | COH | B | 9,900 | 71.95 | n/a | 25-Apr | 396.00 4.0 |
| AO,CRT | 04/25 | SCOPUS FUND (SCOPUBS) | 041 | COH | B | 8,900 | 71.95 | n/a | 25-Apr | 356.00 4.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | COST | S | 1,000 | 87.21 | n/a | n/a | 40.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | COST | S | 1,000 | 87.21 | n/a | n/a | 30.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | CTSH | S | 2,800 | 72.05 | n/a | n/a | 112.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | CTSH | S | 2,800 | 72.05 | n/a | n/a | 84.00 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------|------|--------|-----|--------|--------|-----|----------|-------------|
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | EBAY | S | 100 | 39.77 | n/a | n/a | 4.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | EBAY | S | 100 | 39.77 | n/a | n/a | 3.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ESRX | S | 2,400 | 57.26 | n/a | n/a | 96.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ESRX | S | 2,400 | 57.26 | n/a | n/a | 72.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | FOSL | S | 500 | 127.97 | n/a | n/a | 20.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | FOSL | S | 500 | 127.97 | n/a | n/a | 15.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | GOOG | S | 300 | 607.47 | n/a | n/a | 12.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | GOOG | S | 300 | 607.47 | n/a | n/a | 9.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | INTU | S | 1,300 | 57.39 | n/a | n/a | 52.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | INTU | S | 1,300 | 57.39 | n/a | n/a | 39.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ISRG | S | 200 | 575.77 | n/a | n/a | 8.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ISRG | S | 200 | 575.77 | n/a | n/a | 6.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | KORS | S | 800 | 41.08 | n/a | n/a | 32.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | KORS | S | 800 | 41.08 | n/a | n/a | 24.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | LNKD | S | 600 | 100.86 | n/a | n/a | 24.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | LNKD | S | 600 | 100.86 | n/a | n/a | 18.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | MSFT | S | 3,600 | 32.20 | n/a | n/a | 144.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | MSFT | S | 3,600 | 32.20 | n/a | n/a | 108.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | NTAP | S | 2,200 | 38.87 | n/a | n/a | 88.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | NTAP | S | 2,200 | 38.87 | n/a | n/a | 66.00 3.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ORCL | S | 5,400 | 28.62 | n/a | n/a | 162.00 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|----------------------------|------|--------|-----|--------|--------|-----|----------|---------------|
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ORCL | S | 5,400 | 28.62 | n/a | n/a | 216.00 4.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ORLY | S | 100 | 95.65 | n/a | n/a | 4.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ORLY | S | 100 | 95.65 | n/a | n/a | 3.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | PCLN | S | 200 | 708.26 | n/a | n/a | 8.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | PCLN | S | 200 | 708.26 | n/a | n/a | 6.00 3.0 |
| AO, | 04/25 | COLUMBUS CIRCLE (COLC3040) | 036 | PLXS | B | 4,332 | 32.26 | n/a | n/a | 173.28 4.0 |
| AO, | 04/25 | COLUMBUS CIRCLE (COLC3040) | 036 | PLXS | B | 899 | 32.17 | n/a | n/a | 17.98 2.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | PRGO | S | 700 | 104.73 | n/a | 24-Apr | 28.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | PRGO | S | 700 | 104.73 | n/a | 24-Apr | 21.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | QCOM | S | 4,400 | 62.91 | n/a | n/a | 176.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | QCOM | S | 4,400 | 62.91 | n/a | n/a | 132.00 3.0 |
| CRT | 04/26 | VERITION (VERTBAMLAC) | 028 | SBUX | B | 7,500 | 59.81 | n/a | 23-Apr | 225.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | SBUX | S | 2,300 | 59.22 | n/a | 23-Apr | 92.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | SBUX | S | 2,300 | 59.22 | n/a | 23-Apr | 69.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | SHPGY | S | 900 | 97.43 | n/a | 26-Apr | 36.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | SHPGY | S | 900 | 97.43 | n/a | 26-Apr | 27.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ULTA | S | 400 | 89.37 | n/a | n/a | 16.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | ULTA | S | 400 | 89.37 | n/a | n/a | 12.00 3.0 |
| AO,CXL | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | VRSN | S | 1,300 | 41.66 | n/a | n/a | 52.00 4.0 |
| AO,CRT | 04/25 | WINSLOW CAPITAL (WINS108) | 030 | VRSN | S | 1,300 | 41.66 | n/a | n/a | 39.00 3.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 245.26 |

| | |
|-----------------------|------------|
| TOTAL (Trade Date): | 102,413.54 |
| TOTAL (AO, CXL, CRT): | 245.26 |

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|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 102,658.80 |
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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