



Daily Compliance Activity Report

Trade Date: 08/04/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| f MARC PAUL LUCHANSKY | FID | AAPL | S | 50 | 387.47 | n/a | n/a | 0.00 | 0.0 |
| DAVIDSON INV ADV | 035 | ADS | S | 16,475 | 94.17 | n/a | n/a | 659.00 | 4.0 |
| PILOT ADV | 041 | AHL | S | 37,950 | 24.68 | n/a | n/a | 1,138.50 | 3.0 |
| f FRANCIS MICHAEL MCCA | FID | ALV | B | 100 | 57.83 | n/a | 22-Jul | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | ANN | B | 15,000 | 23.79 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ARO | C | 40,000 | 14.34 | n/a | 20-May | non-brg | 4.0 |
| f HARALAMBOS EFSTATHI | FID | ASNA | B | 300 | 30.33 | n/a | n/a | 0.00 | 0.0 |
| DAVIDSON INV ADV | 035 | ATI | B | 30,440 | 51.53 | n/a | n/a | 1,217.60 | 4.0 |
| HUNTER GLOBAL INVESTOR | 028 | AXL | B | 130,000 | 9.87 | n/a | 1-Aug | 3,900.00 | 3.0 |
| B BUCK CAPITAL MGMT | | BBRG | C | 20,000 | 21.43 | n/a | n/a | non-brg | 4.0 |
| BALLAST CAP | 040 | BC | S | 12,000 | 18.91 | n/a | n/a | 600.00 | 5.0 |
| f KAREN F LEDDY | FID | BEE | S | 5300 | 5.98 | n/a | n/a | 0.00 | 0.0 |
| BALLAST CAP | 040 | BGC | B | 5,000 | 33.60 | n/a | n/a | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | BID | B | 10,000 | 39.28 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|-------------|----------|---------------|--------------|------------|--------------|----------------|------------|
| B BUCK CAPITAL MGMT | | BID | S | 24,000 | 41.53 | n/a | n/a | non-brg | 4.0 |
| PERRY PARTNERS | 085 | BP | B | 50,000 | 41.35 | n/a | n/a | 2,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | BX | B | 1,800 | 13.84 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BX | B | 18,800 | 13.84 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BX | B | 2,200 | 13.84 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BX | B | 2,500 | 13.84 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BX | B | 2,800 | 13.84 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BX | B | 600 | 13.84 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BX | B | 800 | 13.84 | n/a | n/a | non-brg | 4.0 |
| BARROW HANLEY MEWHINNEY | 031 | CCL | B | 202,500 | 30.78 | n/a | n/a | 7,087.50 | 3.5 |
| CHALSON | 041 | CCL | SS | 12,000 | 31.06 | n/a | n/a | 480.00 | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | CGI | B | 10,790 | 12.59 | n/a | n/a | 431.60 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | COF | S | 1000 | 44.15 | n/a | 4-Aug | 0.00 | 0.0 |
| SURVEYOR CAPITAL | 041 | COP | SS | 1,900 | 67.86 | n/a | n/a | 57.00 | 3.0 |
| f KAREN F LEDDY | FID | CPN | S | 3000 | 14.76 | n/a | n/a | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | CSX | SS | 48,520 | 23.08 | n/a | n/a | 1,455.60 | 3.0 |
| BALYASNY ASSET MGMT | 044 | CTB | B | 75,000 | 11.86 | n/a | n/a | 3,750.00 | 5.0 |
| f JOHN BARTMAN COLE | FID | CVGI | B | 700 | 8.52 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | CVGI | S | 1000 | 8.53 | n/a | n/a | 0.00 | 0.0 |
| f JOHN BARTMAN COLE | FID | CX | B | 300 | 5.78 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|--------------|---------------|----------------|------------|
| MERRILL ASSET/BLACKROCK | 297 | CYT | B | 11,500 | 49.77 | n/a | n/a | 460.00 | 4.0 |
| f ALEXANDER PRYLUCKI | FID | DAL | B | 200 | 7.21 | n/a | n/a | 0.00 | 0.0 |
| f STEFFANIE CARMELA CA | FID | DAL | B | 450 | 7.28 | n/a | n/a | 0.00 | 0.0 |
| MACQUARIE INVESTMENT MGMT. | 040 | DAN | B | 25,000 | 13.73 | n/a | 29-Jul | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | DDS | B | 15,000 | 54.60 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DDS | B | 17,500 | 54.06 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | DDS | S | 17,500 | 56.90 | n/a | n/a | non-brg | 4.0 |
| THE JAY GOLDMAN | 028 | DDS | SS | 45,000 | 54.37 | n/a | n/a | 1,800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | DECK | B | 12,700 | 97.13 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DECK | S | 10,000 | 93.76 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | DG | C | 50,000 | 31.09 | 4-Aug | 4-Aug | non-brg | 4.0 |
| SANDLER CAPITAL | 028 | DISCK | S | 150,000 | 33.34 | n/a | n/a | 6,000.00 | 4.0 |
| CHALSON | 041 | DMND | B | 6,000 | 67.88 | n/a | n/a | 240.00 | 4.0 |
| B BUCK CAPITAL MGMT | | DSW | S | 10,000 | 52.62 | n/a | 11-Feb | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | DSW | S | 45,596 | 50.02 | n/a | 11-Feb | non-brg | 4.0 |
| f MARK DEVEREAUX KAICH | FID | EGHT | S | 1300 | 3.62 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | EXPR | B | 125 | 20.24 | n/a | n/a | 0.00 | 0.0 |
| GLENHILL CAPITAL | 036 | FL | SS | 60,517 | 19.86 | n/a | 2-Aug | 3,025.85 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|--------------|---------------|------------|---------------|----------------|------------|
| f KAREN F LEDDY | FID | FOR | S | 2600 | 14.88 | n/a | 19-Jul | 0.00 | 0.0 |
| O CAPITAL MGMT | 029 | FOR | B | 10,000 | 14.96 | n/a | 19-Jul | 500.00 | 5.0 |
| OZ MGMT | 040 | F | S | 300,000 | 11.40 | n/a | 3-Aug | 9,000.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | GDXJ | C | 22,094 | 36.17 | n/a | n/a | 1,104.70 | 5.0 |
| LATEFF MGMT | 035 | GLW | B | 1,000 | 14.60 | n/a | 3-Aug | 100.00 | 10.0 |
| f KAREN F LEDDY | FID | GMCR | S | 1100 | 102.77 | n/a | n/a | 0.00 | 0.0 |
| OZ MGMT | 040 | GM | S | 55,000 | 26.47 | n/a | 3-Aug | 1,650.00 | 3.0 |
| f MARC PAUL LUCHANSKY | FID | GOOG | S | 26 | 589.50 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | GPS | B | 10,000 | 17.50 | n/a | n/a | 300.00 | 3.0 |
| MACQUARIE INVESTMENT MGMT. | 040 | GT | SS | 50,000 | 14.13 | n/a | n/a | 0.00 | 0.0 |
| CHALSON | 041 | HOG | B | 8,000 | 40.19 | n/a | n/a | 320.00 | 4.0 |
| f FRANCIS MICHAEL MCCA | FID | HWCC | S | 1000 | 14.98 | n/a | n/a | 0.00 | 0.0 |
| f FRANCIS MICHAEL MCCA | FID | HWCC | S | 1000 | 15.11 | n/a | n/a | 0.00 | 0.0 |
| f MARY B MCCARTAN | FID | HWCC | S | 200 | 14.96 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | IJH | C | 5,900 | 88.32 | n/a | n/a | non-brg | 2.0 |
| f JASON ERIC COHEN | FID | IWM | B | 100 | 75.75 | n/a | n/a | 0.00 | 0.0 |
| f JASON ERIC COHEN | FID | IWM | S | 2 | 5.31 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|-----------|-------|-----|----------|-------------|-----|
| ß BUCK CAPITAL MGMT | | IWO | C | 43,900 | 85.39 | n/a | n/a | non-brg | 2.0 |
| f JOHN FRANCIS MCERLEA | FID | JCI | B | 100 | 35.01 | n/a | 20-Jul | 0.00 | 0.0 |
| PRIMECAP MGMT | 084 | JNJ | B | 89,000 | 62.51 | n/a | n/a | 3,560.00 | 4.0 |
| BASIX | 033 | JNY | B | 45,000 | 11.56 | n/a | 28-Jul | 1,350.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | JNY | B | 100,000 | 11.94 | n/a | 28-Jul | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JWN | C | 140,000 | 46.47 | n/a | 28-Jul | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JWN | C | 50,000 | 45.55 | n/a | 28-Jul | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JWN | C | 50,000 | 46.47 | n/a | 28-Jul | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JWN | C | 60,000 | 46.47 | n/a | 28-Jul | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KKR | B | 1,100 | 12.22 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KKR | B | 1,400 | 12.22 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KKR | B | 3,100 | 12.22 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KKR | B | 3,700 | 12.22 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KKR | B | 31,800 | 12.22 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KKR | B | 4,200 | 12.22 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KKR | B | 4,700 | 12.22 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KR | SS | 20,000 | 23.94 | n/a | n/a | non-brg | 4.0 |
| INVESCO | 031 | KR | B | 1,400,000 | 23.91 | n/a | n/a | 56,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | KSS | C | 30,000 | 49.50 | n/a | 28-Jul | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KSS | C | 50,000 | 49.36 | n/a | 28-Jul | non-brg | 4.0 |
| f JASON ERIC COHEN | FID | LCC | B | 15 | 0.33 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|------|
| B BUCK CAPITAL MGMT | | LEA | B | 10,000 | 45.38 | n/a | 14-Jul | non-brg | 1.0 |
| f CHRISTOPHER ARTHUR K | FID | LEA | B | 250 | 43.50 | n/a | 14-Jul | 0.00 | 0.0 |
| f NILSA VAZQUEZ | FID | LEA | B | 250 | 43.77 | n/a | 14-Jul | 0.00 | 0.0 |
| Õ Nilsa Vazquez | | LEA | B | 250 | 43.77 | n/a | 14-Jul | 0.00 | 0.0 |
| f PATRICK TERRICE DUFF | FID | LEA | B | 250 | 43.55 | n/a | 14-Jul | 0.00 | 0.0 |
| PRIMECAP MGMT | 084 | LIFE | B | 51,000 | 43.31 | n/a | n/a | 2,040.00 | 4.0 |
| PRIMECAP MGMT | 084 | LLY | S | 9,000 | 36.63 | n/a | n/a | 360.00 | 4.0 |
| LATEFF MGMT | 035 | LOW | B | 1,500 | 20.24 | n/a | 3-Aug | 150.00 | 10.0 |
| DC CAPITAL | 044 | LPX | B | 25,000 | 6.83 | n/a | 19-Jul | 1,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | LVS | B | 10,000 | 44.70 | n/a | 13-Jun | non-brg | 4.0 |
| f FRANCIS MICHAEL MCCA | FID | LVS | B | 100 | 45.00 | n/a | 13-Jun | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MDY | C | 10,000 | 161.00 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | MDY | C | 5,633 | 160.33 | n/a | n/a | non-brg | 2.0 |
| CHALSON | 041 | MGM | B | 7,500 | 13.30 | n/a | 13-Jun | 300.00 | 4.0 |
| KLEINHEINZ CAP PART | 031 | MJN | B | 50,000 | 69.70 | n/a | n/a | 2,500.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | MON | S | 100 | 68.44 | n/a | 11-Jul | 0.00 | 0.0 |
| SURVEYOR CAPITAL | 041 | MSI | SS | 1,200 | 42.05 | n/a | n/a | 36.00 | 3.0 |
| BASIX | 033 | MTW | B | 25,000 | 11.77 | n/a | 28-Jul | 750.00 | 3.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|----------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|------|
| f | FRANCIS PATRICK GALL | FID | MTW | B | 275 | 11.34 | n/a | 28-Jul | 0.00 | 0.0 |
| f | JOHN BARTMAN COLE | FID | MTW | B | 900 | 11.32 | n/a | 28-Jul | 0.00 | 0.0 |
| | SCOPUS FUND | 041 | MWV | S | 261,659 | 28.06 | n/a | 27-Jul | 10,466.36 | 4.0 |
| f | JOHN BARTMAN COLE | FID | NCS | S | 1000 | 10.27 | n/a | n/a | 0.00 | 0.0 |
| f | KEVIN MICHAEL O'GORM | FID | NDN | B | 1000 | 17.81 | n/a | 15-Jul | 0.00 | 0.0 |
| | MERRILL ASSET/BLACKROCK | 297 | NDSN | S | 16,100 | 46.00 | n/a | n/a | 644.00 | 4.0 |
| | CHALSON | 041 | NKE | B | 4,000 | 84.79 | n/a | 1-Jul | 160.00 | 4.0 |
| | LATEFF MGMT | 035 | NKE | B | 600 | 83.22 | n/a | 1-Jul | 90.00 | 15.0 |
| | TALPION LLC | 040 | NKE | S | 10,000 | 83.21 | n/a | 1-Jul | 400.00 | 4.0 |
| | CYPRESS CAP MGMT LLC | 040 | ODP | B | 20,000 | 3.42 | n/a | n/a | 800.00 | 4.0 |
| f | ALEXANDER PRYLUCKI | FID | PCAR | B | 50 | 38.87 | n/a | 27-Jul | 0.00 | 0.0 |
| B | BUCK CAPITAL MGMT | | PLCE | B | 25,000 | 44.10 | n/a | 8-Jun | non-brg | 4.0 |
| f | EDWARD W WHEELER | FID | POWL | S | 3000 | 36.14 | n/a | n/a | 0.00 | 0.0 |
| B | BUCK CAPITAL MGMT | | PSUN | B | 255,187 | 2.67 | n/a | n/a | non-brg | 2.0 |
| | MACQUARIE INVESTMENT MGMT. | 040 | PTEN | B | 10,000 | 28.32 | n/a | n/a | 0.00 | 0.0 |
| | SURVEYOR CAPITAL | 041 | QEP | SS | 28,816 | 39.55 | n/a | n/a | 864.48 | 3.0 |
| B | BUCK CAPITAL MGMT | | RCL | B | 10,000 | 27.36 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| BUCK CAPITAL MGMT | | RCL | B | 10,000 | 27.37 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | RCL | B | 20,000 | 27.37 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 20,000 | 125.27 | n/a | 18-Jul | 600.00 | 3.0 |
| ELM RIDGE ADVISORS | 044 | RYN | B | 75,000 | 59.59 | n/a | 1-Aug | 3,000.00 | 4.0 |
| KAREN F LEDDY | FID | SBUX | S | 450 | 37.45 | n/a | 29-Jul | 0.00 | 0.0 |
| EDWARD W WHEELER | FID | SCSC | B | 124 | 0.50 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | SFLY | B | 10,000 | 46.97 | n/a | n/a | non-brg | 4.0 |
| JONATHAN RICHARD HAR | FID | SGI | B | 175 | 13.36 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | SIG | B | 30,000 | 38.02 | n/a | n/a | non-brg | 4.0 |
| EDWARD W WHEELER | FID | SI | B | 30 | 0.60 | n/a | n/a | 0.00 | 0.0 |
| AMBER CAPITAL | 046 | SNV | S | 349,932 | 1.65 | n/a | n/a | 3,499.32 | 1.0 |
| JOSEPH CIRO AMATURO | FID | SODA | B | 1000 | 72.06 | n/a | n/a | 0.00 | 0.0 |
| ALANA J A MADIGAN-SI | FID | SOXL | B | 650 | 33.51 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | SPB | SS | 20,000 | 24.21 | n/a | n/a | non-brg | 4.0 |
| JOHN BARTMAN COLE | FID | SPF | B | 500 | 2.58 | n/a | n/a | 0.00 | 0.0 |
| MARC PAUL LUCHANSKY | FID | SPY | B | 1000 | 122.88 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|----------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|-----|
| f | MARC PAUL LUCHANSKY | FID | SPY | S | 1000 | 123.91 | n/a | n/a | 0.00 | 0.0 |
| f | EDWARD W WHEELER | FID | STE | S | 5000 | 31.49 | n/a | n/a | 0.00 | 0.0 |
| f | PATRICK TERRICE DUFF | FID | TACT | B | 1000 | 10.87 | n/a | n/a | 0.00 | 0.0 |
| | NEUBERGER BERMAN | 036 | TEX | S | 87,150 | 17.92 | n/a | 22-Jul | 3,486.00 | 4.0 |
| | CHALSON | 041 | TFM | B | 7,000 | 33.68 | n/a | n/a | 280.00 | 4.0 |
| | MACQUARIE INVESTMENT MGMT. | 040 | TGT | B | 5,000 | 49.85 | n/a | 4-Aug | 0.00 | 0.0 |
| | BMO NESBITT BURNS | 041 | TIN | B | 10,000 | 26.49 | n/a | 4-Aug | 400.00 | 4.0 |
| f | RAVI SADARANGANI | FID | TIN | B | 500 | 26.55 | n/a | 4-Aug | 0.00 | 0.0 |
| f | MARK DEVEREAUX KAICH | FID | TIVO | S | 1000 | 8.36 | n/a | n/a | 0.00 | 0.0 |
| | CHALSON | 041 | TPX | B | 7,000 | 66.26 | n/a | n/a | 280.00 | 4.0 |
| | NOMURA CAPITAL | 029 | TXI | SS | 10,000 | 37.56 | n/a | n/a | 300.00 | 3.0 |
| f | ALEXANDER PRYLUCKI | FID | UAL | B | 100 | 17.44 | n/a | n/a | 0.00 | 0.0 |
| | CHALSON | 041 | ULTA | B | 8,000 | 59.19 | n/a | n/a | 320.00 | 4.0 |
| f | JASON ERIC COHEN | FID | USO | S | 6 | 1.86 | n/a | n/a | 0.00 | 0.0 |
| f | JOEL GIFFORD TISS | FID | VMC | S | 3043 | 33.01 | n/a | n/a | 0.00 | 0.0 |
| f | IAN L MILLER | FID | VXX | S | 30 | 28.44 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------------|-------------|----------|---------------|--------------|------------|-------------------|----------------|------------|
| PRIMECAP MGMT | 084 | V | B | 7,000 | 85.42 | n/a | 28-Jul | 280.00 | 4.0 |
| f JOHN BARTMAN COLE | FID | WCBO | S | 200 | 16.62 | n/a | n/a | 0.00 | 0.0 |
| f ANTHONY SUTERA | FID | WCRX | B | 1500 | 18.23 | n/a | 1-Aug | 0.00 | 0.0 |
| f NILSA VAZQUEZ | FID | WCRX | B | 750 | 18.78 | n/a | 1-Aug | 0.00 | 0.0 |
| Õ Nilsa Vazquez | | WCRX | B | 750 | 18.78 | n/a | 1-Aug | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | WSO | S | 8,600 | 56.89 | n/a | n/a | 344.00 | 4.0 |
| CHALSON | 041 | XLY | SS | 13,000 | 37.05 | n/a | n/a | 520.00 | 4.0 |
| f ALEXANDER PRYLUCKI | FID | XPO | B | 1000 | 3.18 | n/a | n/a | 0.00 | 0.0 |
| f JOHN BARTMAN COLE | FID | XPO | B | 1050 | 3.18 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | XRT | C | 33,675 | 50.95 | n/a | n/a | non-brg | 2.0 |
| CHALSON | 041 | XRT | SS | 10,000 | 49.86 | n/a | n/a | 400.00 | 4.0 |
| TOTAL (Trade Date) : | | | | | | | 143,207.51 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|----------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,CXL | 08/03 | JENNISON | 070 | PCS | B | 2,775 | 10.22 | n/a | n/a | 102.68 | 3.7 |
| AO,CRT | 08/03 | JENNISON | 070 | PCS | B | 2,775 | 10.22 | n/a | n/a | 102.68 | 3.7 |

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| TOTAL (AO, CXL, CRT) : | 0.00 |
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|------------------------|------------|
| TOTAL (Trade Date) : | 143,207.51 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

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| TOTAL (RUN DATE) / NFS: | 143,207.51 |
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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 4-Aug.

DG

MRI Securities without Trade Activity on 4-Aug.

CHD, AGN, MA

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

T-Date = 1%

YTD = 3%

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)