



Daily Compliance Activity Report

Trade Date: 08/13/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|-------------|------------|------------|---------------|------------|
| MELLON/BANK OF NEW YORK | 046 | AMGN | B | 45,740 | 54.85 | n/a | n/a | 2,287.00 | 5.0 |
| SCOPUS FUND | 041 | AN | SS | 20,000 | 22.74 | n/a | 4-Aug | 1,000.00 | 5.0 |
| MTB INV ADV | 034 | ARM | S | 23,850 | 14.48 | n/a | n/a | 1,192.50 | 5.0 |
| MTB INV ADV | 034 | ARO | S | 5,200 | 23.38 | n/a | 6-Aug | 260.00 | 5.0 |
| MTB INV ADV | 034 | AXL | S | 42,025 | 9.08 | n/a | 4-Aug | 1,260.75 | 3.0 |
| TROUBH PART | 067 | BAC | B | 15,000 | 13.29 | n/a | 10-Aug | 750.00 | 5.0 |
| EXIS CAPITAL | 044 | BONT | B | 5,000 | 7.83 | n/a | n/a | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BYD | B | 25,000 | 7.66 | n/a | n/a | 750.00 | 3.0 |
| PATTEN & PATTEN | 067 | CIU | S | 1,000 | 107.12 | n/a | n/a | 50.00 | 5.0 |
| MTB INV ADV | 034 | DAN | S | 41,500 | 11.20 | n/a | 2-Aug | 2,075.00 | 5.0 |
| PATTEN & PATTEN | 067 | EXC | B | 600 | 41.61 | n/a | n/a | 30.00 | 5.0 |
| EXIS CAPITAL | 044 | FINL | B | 10,000 | 13.02 | n/a | n/a | 500.00 | 5.0 |
| DSG CAPITAL | 225 | FL | B | 20,000 | 12.68 | n/a | 13-Aug | 600.00 | 3.0 |
| FIRST NY SEC/CHRIS | 041 | FL | B | 15,000 | 12.57 | n/a | 13-Aug | 750.00 | 5.0 |
| VISIUM/BALY BOBBY | 044 | FL | C | 25,000 | 12.60 | n/a | 13-Aug | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|-----------------|------------|
| SMITH MGMT LLC | 029 | FWS | S | 100,000 | 4.41 | n/a | n/a | 3,000.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 20,000 | 25.14 | n/a | n/a | 800.00 | 4.0 |
| MELLON/BANK OF NEW YORK | 046 | GLW | S | 22,900 | 16.87 | n/a | 28-Jul | 1,145.00 | 5.0 |
| MTB INV ADV | 034 | GYMB | S | 5,175 | 40.63 | n/a | 6-Aug | 258.75 | 5.0 |
| CAMBIAR CAP | 046 | HAR | B | 73,150 | 29.90 | n/a | 6-Aug | 2,926.00 | 4.0 |
| PATTEN & PATTEN | 067 | IEF | S | 2,200 | 97.92 | n/a | n/a | 110.00 | 5.0 |
| GEORGE WEISS | 034 | IP | SS | 70,000 | 22.01 | n/a | 28-Jul | 2,800.00 | 4.0 |
| EPOCH INV MGMT | 030 | IRIS | B | 5,650 | 8.40 | n/a | n/a | 169.50 | 3.0 |
| CASTLEROCK | 040 | ITT | SS | 24,888 | 44.71 | n/a | 30-Apr | 995.52 | 4.0 |
| PATTEN & PATTEN | 067 | ITT | S | 400 | 44.88 | n/a | 30-Apr | 20.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JAH | S | 60,300 | 26.95 | n/a | n/a | 2,412.00 | 4.0 |
| EPOCH INV MGMT | 030 | JBL | B | 6,100 | 11.78 | n/a | n/a | 183.00 | 3.0 |
| EXIS CAPITAL | 044 | JCP | B | 5,000 | 20.61 | n/a | 13-Aug | 250.00 | 5.0 |
| TROUBH PART | 067 | JNPR | B | 25,000 | 25.76 | n/a | n/a | 1,250.00 | 5.0 |
| TROUBH PART | 067 | JPM | B | 25,000 | 38.02 | n/a | 10-Aug | 1,250.00 | 5.0 |
| TROUBH PART | 067 | JPM | S | 15,000 | 37.87 | n/a | 10-Aug | 750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|-----------------|------------|
| EPOCH INV MGMT | 030 | KBH | B | 5,000 | 10.47 | n/a | n/a | 150.00 | 3.0 |
| PATTEN & PATTEN | 067 | KMB | B | 200 | 64.91 | n/a | 26-Jul | 10.00 | 5.0 |
| EPOCH INV MGMT | 030 | KMT | B | 1,150 | 26.37 | n/a | 30-Jul | 34.50 | 3.0 |
| BUCK CAPITAL MGMT | 001 | KMX | B | 30,000 | 21.03 | n/a | n/a | 1,200.00 | 4.0 |
| SLS CAPITAL LLC | 224 | KSS | SS | 22,800 | 45.90 | n/a | 13-Aug | 912.00 | 4.0 |
| EPOCH INV MGMT | 030 | LDR | B | 1,300 | 57.26 | n/a | n/a | 39.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | LPX | B | 25,000 | 6.77 | n/a | 5-Aug | 1,250.00 | 5.0 |
| T. ROWE PRICE | 033 | LPX | B | 203,913 | 6.74 | n/a | 5-Aug | 4,078.26 | 2.0 |
| BROADARCH CAP/OLD NEWC | 070 | LVS | S | 6,000 | 28.69 | n/a | 12-Aug | 240.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | LVS | SS | 10,000 | 28.70 | n/a | 12-Aug | 500.00 | 5.0 |
| EPOCH INV MGMT | 030 | MEOH | B | 2,900 | 21.40 | n/a | n/a | 87.00 | 3.0 |
| PATTEN & PATTEN | 067 | MS | S | 480 | 26.01 | n/a | 10-Aug | 24.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | MW | B | 20,000 | 19.38 | n/a | n/a | 800.00 | 4.0 |
| EPOCH INV MGMT | 030 | NLC | B | 3,000 | 23.41 | n/a | n/a | 90.00 | 3.0 |
| EPOCH INV MGMT | 030 | NST | B | 2,150 | 37.97 | n/a | n/a | 64.50 | 3.0 |
| EPOCH INV MGMT | 030 | OKE | B | 1,200 | 44.93 | n/a | n/a | 36.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|----------------|--------------|------------|--------------|-----------------|------------|
| PATTEN & PATTEN | 067 | PG | S | 150 | 59.86 | n/a | 4-Aug | 7.50 | 5.0 |
| MTB INV ADV | 034 | PII | S | 2,075 | 55.32 | n/a | n/a | 103.75 | 5.0 |
| HUTCHIN HILL CAPITAL LP | 233 | PLCE | B | 15,000 | 41.33 | n/a | 29-Jul | 450.00 | 3.0 |
| MTB INV ADV | 034 | PNRA | S | 2,075 | 74.46 | n/a | 28-Jul | 103.75 | 5.0 |
| EPOCH INV MGMT | 030 | PTP | B | 2,200 | 38.96 | n/a | n/a | 66.00 | 3.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | PVH | B | 28,050 | 50.00 | n/a | 19-Jul | 841.50 | 3.0 |
| TRUST CO/COWEN/CALF. | 040 | Q | S | 200,000 | 5.69 | n/a | n/a | 8,000.00 | 4.0 |
| PATTEN & PATTEN | 067 | RHHBY | S | 800 | 33.86 | n/a | n/a | 40.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 10,000 | 80.59 | n/a | 5-Aug | 400.00 | 4.0 |
| EPOCH INV MGMT | 030 | ROVI | B | 1,500 | 41.98 | n/a | n/a | 45.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | RS | B | 10,000 | 38.73 | n/a | n/a | 500.00 | 5.0 |
| EVERCORE WEALTH MGMT | 012 | RTN | S | 8,950 | 45.06 | n/a | 30-Jul | 447.50 | 5.0 |
| BUCK CAPITAL MGMT | 001 | RVI | S | 22,200 | 8.46 | n/a | n/a | 666.00 | 3.0 |
| MANNING & NAPIER | 034 | SCHW | B | 1,255,010 | 14.64 | n/a | n/a | 37,650.30 | 3.0 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 150,000 | 27.88 | n/a | n/a | 6,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------|--------|-----|---------|-------|-----|----------|-------------------|-----|
| MTB INV ADV | 034 | SKX | S | 10,400 | 27.87 | n/a | n/a | 520.00 | 5.0 |
| BENCHMARK | 025 | SLE | S | 7,500 | 14.32 | n/a | n/a | 375.00 | 5.0 |
| CASTLEROCK | 040 | SSCC | B | 284,869 | 18.35 | n/a | 3-Aug | 11,394.76 | 4.0 |
| GEORGE WEISS | 034 | SSCC | B | 100,000 | 18.38 | n/a | 3-Aug | 3,000.00 | 3.0 |
| IRIDIAN ASSET MGMT. | 036 | TCB | C | 51,130 | 14.55 | n/a | n/a | 2,556.50 | 5.0 |
| MTB INV ADV | 034 | TEN | S | 10,900 | 26.38 | n/a | n/a | 545.00 | 5.0 |
| EXIS CAPITAL | 044 | TJX | SS | 2,500 | 41.36 | n/a | 6-Aug | 125.00 | 5.0 |
| MELLON/BANK OF NEW YORK | 046 | TMO | S | 27,165 | 44.50 | n/a | n/a | 1,358.25 | 5.0 |
| HOPLITE MGMT | 025 | TSS | B | 111,127 | 14.33 | n/a | n/a | 4,445.08 | 4.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | TXI | S | 1,700 | 31.25 | n/a | n/a | 85.00 | 5.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | VALE | SS | 10,000 | 27.81 | n/a | n/a | 500.00 | 5.0 |
| STANDARD PACIFIC CAPITAL | 040 | X | S | 150,000 | 45.56 | n/a | n/a | 7,500.00 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 128,566.17 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|---------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO, | 08/12 | 1798 CAP/LOMBARD ASSET (1798MS) | 040 | CLF | S | 10,000 | 56.33 | n/a | n/a | 500.00 5.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43CONT) | 031 | EBAY | B | 2,650 | 21.68 | n/a | n/a | 106.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43CHIS) | 031 | EBAY | B | 355 | 21.68 | n/a | n/a | 14.20 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43VANN) | 031 | EBAY | B | 15,600 | 21.68 | n/a | n/a | 624.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43CARV) | 031 | EBAY | B | 9,900 | 21.68 | n/a | n/a | 396.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43GEOR) | 031 | EBAY | B | 2,140 | 21.68 | n/a | n/a | 85.60 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA05MORM) | 031 | EBAY | B | 2,250 | 21.68 | n/a | n/a | 90.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43RIVL) | 031 | EBAY | B | 1,850 | 21.68 | n/a | n/a | 74.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA06STRO) | 031 | EBAY | B | 3,500 | 21.68 | n/a | n/a | 140.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43AWBU) | 031 | EBAY | B | 2,200 | 21.68 | n/a | n/a | 88.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43BRIC) | 031 | EBAY | B | 560 | 21.68 | n/a | n/a | 22.40 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA06SHEN) | 031 | EBAY | B | 3,600 | 21.68 | n/a | n/a | 144.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA06NGEQ) | 031 | EBAY | B | 110 | 21.68 | n/a | n/a | 4.40 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43WICK) | 031 | EBAY | B | 520 | 21.68 | n/a | n/a | 20.80 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA06NBEQ) | 031 | EBAY | B | 1,270 | 21.68 | n/a | n/a | 50.80 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43LGCA) | 031 | EBAY | B | 5,050 | 21.68 | n/a | n/a | 202.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43WPSC) | 031 | EBAY | B | 2,500 | 21.68 | n/a | n/a | 100.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43WPEN) | 031 | EBAY | B | 7,100 | 21.68 | n/a | n/a | 284.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA05HEAT) | 031 | EBAY | B | 750 | 21.68 | n/a | n/a | 30.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43BRIC) | 031 | EBAY | B | 2,240 | 21.68 | n/a | n/a | 89.60 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43WPSL) | 031 | EBAY | B | 775 | 21.68 | n/a | n/a | 31.00 4.0 |
| AO, | 08/12 | WILLIAM BLAIR (WBLA43BURP) | 031 | EBAY | B | 825 | 21.68 | n/a | n/a | 33.00 4.0 |
| CRT | 08/13 | SMITH MGMT LLC (SMITJPMORG) | 029 | FWS | S | 100,000 | 4.41 | n/a | n/a | 3000.00 3.0 |
| AO, | 08/12 | MNNE (MNNEQ1509) | 034 | SCHW | B | 240 | 14.71 | n/a | n/a | 7.20 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1286) | 034 | SCHW | B | 1,330 | 14.71 | n/a | n/a | 39.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0448) | 034 | SCHW | B | 770 | 14.71 | n/a | n/a | 23.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1279) | 034 | SCHW | B | 230 | 14.71 | n/a | n/a | 6.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR9878) | 034 | SCHW | B | 4,160 | 14.71 | n/a | n/a | 124.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANN057436) | 034 | SCHW | B | 1,310 | 14.71 | n/a | n/a | 39.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4815) | 034 | SCHW | B | 1,120 | 14.71 | n/a | n/a | 33.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6481) | 034 | SCHW | B | 1,110 | 14.71 | n/a | n/a | 33.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0523) | 034 | SCHW | B | 390 | 14.71 | n/a | n/a | 11.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2823) | 034 | SCHW | B | 6,500 | 14.71 | n/a | n/a | 195.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0432) | 034 | SCHW | B | 300 | 14.71 | n/a | n/a | 9.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ8903) | 034 | SCHW | B | 740 | 14.71 | n/a | n/a | 22.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1662) | 034 | SCHW | B | 1,960 | 14.71 | n/a | n/a | 58.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD4633) | 034 | SCHW | B | 1,870 | 14.71 | n/a | n/a | 56.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR1042) | 034 | SCHW | B | 4,020 | 14.71 | n/a | n/a | 120.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1666) | 034 | SCHW | B | 230 | 14.71 | n/a | n/a | 6.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ8889) | 034 | SCHW | B | 810 | 14.71 | n/a | n/a | 24.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ8616) | 034 | SCHW | B | 810 | 14.71 | n/a | n/a | 24.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD6660) | 034 | SCHW | B | 220 | 14.71 | n/a | n/a | 6.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ8642) | 034 | SCHW | B | 150 | 14.71 | n/a | n/a | 4.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0431) | 034 | SCHW | B | 300 | 14.71 | n/a | n/a | 9.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6235) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0125) | 034 | SCHW | B | 560 | 14.71 | n/a | n/a | 16.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4951) | 034 | SCHW | B | 500 | 14.71 | n/a | n/a | 15.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ1595) | 034 | SCHW | B | 190 | 14.71 | n/a | n/a | 5.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR0035) | 034 | SCHW | B | 28,110 | 14.71 | n/a | n/a | 843.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0536) | 034 | SCHW | B | 510 | 14.71 | n/a | n/a | 15.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ5135) | 034 | SCHW | B | 2,260 | 14.71 | n/a | n/a | 67.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD2472) | 034 | SCHW | B | 130 | 14.71 | n/a | n/a | 3.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ3745) | 034 | SCHW | B | 470 | 14.71 | n/a | n/a | 14.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0449) | 034 | SCHW | B | 810 | 14.71 | n/a | n/a | 24.30 3.0 |

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|------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0278) | 034 | SCHW | B | 1,310 | 14.71 | n/a | n/a | 39.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6247) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6249) | 034 | SCHW | B | 830 | 14.71 | n/a | n/a | 24.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ3012) | 034 | SCHW | B | 2,010 | 14.71 | n/a | n/a | 60.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ3750) | 034 | SCHW | B | 5,040 | 14.71 | n/a | n/a | 151.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0429) | 034 | SCHW | B | 290 | 14.71 | n/a | n/a | 8.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6246) | 034 | SCHW | B | 330 | 14.71 | n/a | n/a | 9.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6248) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6199) | 034 | SCHW | B | 450 | 14.71 | n/a | n/a | 13.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7511) | 034 | SCHW | B | 970 | 14.71 | n/a | n/a | 29.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD7654) | 034 | SCHW | B | 530 | 14.71 | n/a | n/a | 15.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6244) | 034 | SCHW | B | 170 | 14.71 | n/a | n/a | 5.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6202) | 034 | SCHW | B | 450 | 14.71 | n/a | n/a | 13.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR3323) | 034 | SCHW | B | 3,230 | 14.71 | n/a | n/a | 96.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4849) | 034 | SCHW | B | 4,260 | 14.71 | n/a | n/a | 127.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ8110) | 034 | SCHW | B | 790 | 14.71 | n/a | n/a | 23.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6243) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6203) | 034 | SCHW | B | 430 | 14.71 | n/a | n/a | 12.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1464) | 034 | SCHW | B | 260 | 14.71 | n/a | n/a | 7.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ9940) | 034 | SCHW | B | 170 | 14.71 | n/a | n/a | 5.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ8640) | 034 | SCHW | B | 150 | 14.71 | n/a | n/a | 4.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4934) | 034 | SCHW | B | 500 | 14.71 | n/a | n/a | 15.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6241) | 034 | SCHW | B | 520 | 14.71 | n/a | n/a | 15.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6320) | 034 | SCHW | B | 200 | 14.71 | n/a | n/a | 6.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1113) | 034 | SCHW | B | 550 | 14.71 | n/a | n/a | 16.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD2220) | 034 | SCHW | B | 90 | 14.71 | n/a | n/a | 2.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ8641) | 034 | SCHW | B | 80 | 14.71 | n/a | n/a | 2.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6237) | 034 | SCHW | B | 2,050 | 14.71 | n/a | n/a | 61.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD8706) | 034 | SCHW | B | 480 | 14.71 | n/a | n/a | 14.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6647) | 034 | SCHW | B | 7,690 | 14.71 | n/a | n/a | 230.70 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6236) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0323) | 034 | SCHW | B | 310 | 14.71 | n/a | n/a | 9.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ5201) | 034 | SCHW | B | 320 | 14.71 | n/a | n/a | 9.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD8704) | 034 | SCHW | B | 290 | 14.71 | n/a | n/a | 8.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD5198) | 034 | SCHW | B | 81,960 | 14.71 | n/a | n/a | 2458.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR0059) | 034 | SCHW | B | 360 | 14.71 | n/a | n/a | 10.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD2139) | 034 | SCHW | B | 350 | 14.71 | n/a | n/a | 10.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ1593) | 034 | SCHW | B | 720 | 14.71 | n/a | n/a | 21.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6234) | 034 | SCHW | B | 680 | 14.71 | n/a | n/a | 20.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6010) | 034 | SCHW | B | 1,360 | 14.71 | n/a | n/a | 40.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD3367) | 034 | SCHW | B | 590 | 14.71 | n/a | n/a | 17.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4011) | 034 | SCHW | B | 640 | 14.71 | n/a | n/a | 19.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0476) | 034 | SCHW | B | 70 | 14.71 | n/a | n/a | 2.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6233) | 034 | SCHW | B | 440 | 14.71 | n/a | n/a | 13.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6312) | 034 | SCHW | B | 310 | 14.71 | n/a | n/a | 9.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD2141) | 034 | SCHW | B | 550 | 14.71 | n/a | n/a | 16.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4010) | 034 | SCHW | B | 470 | 14.71 | n/a | n/a | 14.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4937) | 034 | SCHW | B | 250 | 14.71 | n/a | n/a | 7.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6228) | 034 | SCHW | B | 750 | 14.71 | n/a | n/a | 22.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD7392) | 034 | SCHW | B | 80 | 14.71 | n/a | n/a | 2.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ1594) | 034 | SCHW | B | 290 | 14.71 | n/a | n/a | 8.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6337) | 034 | SCHW | B | 440 | 14.71 | n/a | n/a | 13.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ4472) | 034 | SCHW | B | 19,400 | 14.71 | n/a | n/a | 582.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4253) | 034 | SCHW | B | 13,530 | 14.71 | n/a | n/a | 405.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6028) | 034 | SCHW | B | 1,110 | 14.71 | n/a | n/a | 33.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD8516) | 034 | SCHW | B | 270 | 14.71 | n/a | n/a | 8.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR1354) | 034 | SCHW | B | 180 | 14.71 | n/a | n/a | 5.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ3078) | 034 | SCHW | B | 1,870 | 14.71 | n/a | n/a | 56.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4254) | 034 | SCHW | B | 8,080 | 14.71 | n/a | n/a | 242.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD6620) | 034 | SCHW | B | 610 | 14.71 | n/a | n/a | 18.30 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7585) | 034 | SCHW | B | 1,610 | 14.71 | n/a | n/a | 48.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD2474) | 034 | SCHW | B | 530 | 14.71 | n/a | n/a | 15.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR7515) | 034 | SCHW | B | 590 | 14.71 | n/a | n/a | 17.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4255) | 034 | SCHW | B | 5,550 | 14.71 | n/a | n/a | 166.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR7320) | 034 | SCHW | B | 710 | 14.71 | n/a | n/a | 21.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1311) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2650) | 034 | SCHW | B | 2,550 | 14.71 | n/a | n/a | 76.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR7535) | 034 | SCHW | B | 1,280 | 14.71 | n/a | n/a | 38.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4727) | 034 | SCHW | B | 130 | 14.71 | n/a | n/a | 3.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1310) | 034 | SCHW | B | 1,280 | 14.71 | n/a | n/a | 38.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2646) | 034 | SCHW | B | 3,800 | 14.71 | n/a | n/a | 114.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD0685) | 034 | SCHW | B | 840 | 14.71 | n/a | n/a | 25.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ5146) | 034 | SCHW | B | 800 | 14.71 | n/a | n/a | 24.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4933) | 034 | SCHW | B | 270 | 14.71 | n/a | n/a | 8.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD0717) | 034 | SCHW | B | 2,580 | 14.71 | n/a | n/a | 77.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2619) | 034 | SCHW | B | 200 | 14.71 | n/a | n/a | 6.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1648) | 034 | SCHW | B | 870 | 14.71 | n/a | n/a | 26.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2651) | 034 | SCHW | B | 2,100 | 14.71 | n/a | n/a | 63.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6444) | 034 | SCHW | B | 920 | 14.71 | n/a | n/a | 27.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1658) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0142) | 034 | SCHW | B | 160 | 14.71 | n/a | n/a | 4.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ6570) | 034 | SCHW | B | 390 | 14.71 | n/a | n/a | 11.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7586) | 034 | SCHW | B | 200 | 14.71 | n/a | n/a | 6.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0541) | 034 | SCHW | B | 830 | 14.71 | n/a | n/a | 24.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7512) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1952) | 034 | SCHW | B | 290 | 14.71 | n/a | n/a | 8.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7587) | 034 | SCHW | B | 200 | 14.71 | n/a | n/a | 6.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD6662) | 034 | SCHW | B | 1,400 | 14.71 | n/a | n/a | 42.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR5001) | 034 | SCHW | B | 340 | 14.71 | n/a | n/a | 10.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7588) | 034 | SCHW | B | 250 | 14.71 | n/a | n/a | 7.50 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7540) | 034 | SCHW | B | 2,690 | 14.71 | n/a | n/a | 80.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6165) | 034 | SCHW | B | 2,390 | 14.71 | n/a | n/a | 71.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2673) | 034 | SCHW | B | 690 | 14.71 | n/a | n/a | 20.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR5375) | 034 | SCHW | B | 1,940 | 14.71 | n/a | n/a | 58.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD6489) | 034 | SCHW | B | 700 | 14.71 | n/a | n/a | 21.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6230) | 034 | SCHW | B | 7,180 | 14.71 | n/a | n/a | 215.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ2008) | 034 | SCHW | B | 140 | 14.71 | n/a | n/a | 4.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7589) | 034 | SCHW | B | 200 | 14.71 | n/a | n/a | 6.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR7114) | 034 | SCHW | B | 500 | 14.71 | n/a | n/a | 15.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR9450) | 034 | SCHW | B | 430 | 14.71 | n/a | n/a | 12.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ7533) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ8867) | 034 | SCHW | B | 240 | 14.71 | n/a | n/a | 7.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR7089) | 034 | SCHW | B | 80 | 14.71 | n/a | n/a | 2.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR5318) | 034 | SCHW | B | 31,190 | 14.71 | n/a | n/a | 935.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1944) | 034 | SCHW | B | 1,880 | 14.71 | n/a | n/a | 56.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4343) | 034 | SCHW | B | 13,540 | 14.71 | n/a | n/a | 406.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD2657) | 034 | SCHW | B | 3,860 | 14.71 | n/a | n/a | 115.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ5535) | 034 | SCHW | B | 220 | 14.71 | n/a | n/a | 6.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR1643) | 034 | SCHW | B | 1,680 | 14.71 | n/a | n/a | 50.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4780) | 034 | SCHW | B | 760 | 14.71 | n/a | n/a | 22.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ5001) | 034 | SCHW | B | 100 | 14.71 | n/a | n/a | 3.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1400) | 034 | SCHW | B | 2,830 | 14.71 | n/a | n/a | 84.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0980) | 034 | SCHW | B | 1,020 | 14.71 | n/a | n/a | 30.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR1641) | 034 | SCHW | B | 1,840 | 14.71 | n/a | n/a | 55.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ5000) | 034 | SCHW | B | 290 | 14.71 | n/a | n/a | 8.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4680) | 034 | SCHW | B | 18,290 | 14.71 | n/a | n/a | 548.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6172) | 034 | SCHW | B | 390 | 14.71 | n/a | n/a | 11.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6238) | 034 | SCHW | B | 820 | 14.71 | n/a | n/a | 24.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD5797) | 034 | SCHW | B | 630 | 14.71 | n/a | n/a | 18.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD4322) | 034 | SCHW | B | 700 | 14.71 | n/a | n/a | 21.00 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------|------|--------|-----|---------|-------|-----|----------|--------------|
| AO, | 08/12 | MANNING & NAPIER (MANNEQ8750) | 034 | SCHW | B | 720 | 14.71 | n/a | n/a | 21.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6171) | 034 | SCHW | B | 380 | 14.71 | n/a | n/a | 11.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6229) | 034 | SCHW | B | 450 | 14.71 | n/a | n/a | 13.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD4321) | 034 | SCHW | B | 1,370 | 14.71 | n/a | n/a | 41.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4700) | 034 | SCHW | B | 4,230 | 14.71 | n/a | n/a | 126.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0389) | 034 | SCHW | B | 370 | 14.71 | n/a | n/a | 11.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR6442) | 034 | SCHW | B | 220 | 14.71 | n/a | n/a | 6.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1031) | 034 | SCHW | B | 1,380 | 14.71 | n/a | n/a | 41.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4723) | 034 | SCHW | B | 60,310 | 14.71 | n/a | n/a | 1809.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4701) | 034 | SCHW | B | 9,810 | 14.71 | n/a | n/a | 294.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0122) | 034 | SCHW | B | 670 | 14.71 | n/a | n/a | 20.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1086) | 034 | SCHW | B | 390 | 14.71 | n/a | n/a | 11.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1009) | 034 | SCHW | B | 280 | 14.71 | n/a | n/a | 8.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4724) | 034 | SCHW | B | 380 | 14.71 | n/a | n/a | 11.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR8542) | 034 | SCHW | B | 330 | 14.71 | n/a | n/a | 9.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0119) | 034 | SCHW | B | 250 | 14.71 | n/a | n/a | 7.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4286) | 034 | SCHW | B | 2,530 | 14.71 | n/a | n/a | 75.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1261) | 034 | SCHW | B | 510 | 14.71 | n/a | n/a | 15.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6197) | 034 | SCHW | B | 470 | 14.71 | n/a | n/a | 14.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0101) | 034 | SCHW | B | 450 | 14.71 | n/a | n/a | 13.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6232) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1401) | 034 | SCHW | B | 9,030 | 14.71 | n/a | n/a | 270.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR7175) | 034 | SCHW | B | 300 | 14.71 | n/a | n/a | 9.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0183) | 034 | SCHW | B | 340 | 14.71 | n/a | n/a | 10.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1919) | 034 | SCHW | B | 310 | 14.71 | n/a | n/a | 9.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0180) | 034 | SCHW | B | 530 | 14.71 | n/a | n/a | 15.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD7653) | 034 | SCHW | B | 160 | 14.71 | n/a | n/a | 4.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMU4060) | 034 | SCHW | B | 625,000 | 14.71 | n/a | n/a | 18750.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4722) | 034 | SCHW | B | 1,990 | 14.71 | n/a | n/a | 59.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0413) | 034 | SCHW | B | 4,120 | 14.71 | n/a | n/a | 123.60 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1259) | 034 | SCHW | B | 1,900 | 14.71 | n/a | n/a | 57.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0801) | 034 | SCHW | B | 1,510 | 14.71 | n/a | n/a | 45.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ8295) | 034 | SCHW | B | 2,170 | 14.71 | n/a | n/a | 65.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD0145) | 034 | SCHW | B | 610 | 14.71 | n/a | n/a | 18.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4721) | 034 | SCHW | B | 10,260 | 14.71 | n/a | n/a | 307.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNJS1062) | 034 | SCHW | B | 340 | 14.71 | n/a | n/a | 10.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ3771) | 034 | SCHW | B | 2,450 | 14.71 | n/a | n/a | 73.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR9451) | 034 | SCHW | B | 610 | 14.71 | n/a | n/a | 18.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ8795) | 034 | SCHW | B | 260 | 14.71 | n/a | n/a | 7.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1652) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0339) | 034 | SCHW | B | 1,330 | 14.71 | n/a | n/a | 39.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1660) | 034 | SCHW | B | 950 | 14.71 | n/a | n/a | 28.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6198) | 034 | SCHW | B | 1,040 | 14.71 | n/a | n/a | 31.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ4915) | 034 | SCHW | B | 27,560 | 14.71 | n/a | n/a | 826.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1663) | 034 | SCHW | B | 700 | 14.71 | n/a | n/a | 21.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD6590) | 034 | SCHW | B | 12,130 | 14.71 | n/a | n/a | 363.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2326) | 034 | SCHW | B | 230 | 14.71 | n/a | n/a | 6.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0443) | 034 | SCHW | B | 3,450 | 14.71 | n/a | n/a | 103.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2390) | 034 | SCHW | B | 1,280 | 14.71 | n/a | n/a | 38.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ4401) | 034 | SCHW | B | 800 | 14.71 | n/a | n/a | 24.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2325) | 034 | SCHW | B | 540 | 14.71 | n/a | n/a | 16.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD3311) | 034 | SCHW | B | 360 | 14.71 | n/a | n/a | 10.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNJ5137) | 034 | SCHW | B | 160 | 14.71 | n/a | n/a | 4.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR2449) | 034 | SCHW | B | 440 | 14.71 | n/a | n/a | 13.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ5144) | 034 | SCHW | B | 1,400 | 14.71 | n/a | n/a | 42.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ8796) | 034 | SCHW | B | 570 | 14.71 | n/a | n/a | 17.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6149) | 034 | SCHW | B | 1,780 | 14.71 | n/a | n/a | 53.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ7291) | 034 | SCHW | B | 400 | 14.71 | n/a | n/a | 12.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ5200) | 034 | SCHW | B | 260 | 14.71 | n/a | n/a | 7.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR5599) | 034 | SCHW | B | 1,090 | 14.71 | n/a | n/a | 32.70 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 08/12 | MANNING & NAPIER (MANNMJ4037) | 034 | SCHW | B | 2,140 | 14.71 | n/a | n/a | 64.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR8270) | 034 | SCHW | B | 3,740 | 14.71 | n/a | n/a | 112.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR1353) | 034 | SCHW | B | 950 | 14.71 | n/a | n/a | 28.50 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR7441) | 034 | SCHW | B | 330 | 14.71 | n/a | n/a | 9.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ9899) | 034 | SCHW | B | 520 | 14.71 | n/a | n/a | 15.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1661) | 034 | SCHW | B | 380 | 14.71 | n/a | n/a | 11.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ8131) | 034 | SCHW | B | 170 | 14.71 | n/a | n/a | 5.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ9898) | 034 | SCHW | B | 1,960 | 14.71 | n/a | n/a | 58.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1664) | 034 | SCHW | B | 870 | 14.71 | n/a | n/a | 26.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ3770) | 034 | SCHW | B | 1,940 | 14.71 | n/a | n/a | 58.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ6400) | 034 | SCHW | B | 1,430 | 14.71 | n/a | n/a | 42.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4729) | 034 | SCHW | B | 130 | 14.71 | n/a | n/a | 3.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD8707) | 034 | SCHW | B | 610 | 14.71 | n/a | n/a | 18.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0004) | 034 | SCHW | B | 2,360 | 14.71 | n/a | n/a | 70.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6206) | 034 | SCHW | B | 1,240 | 14.71 | n/a | n/a | 37.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANN2417) | 034 | SCHW | B | 410 | 14.71 | n/a | n/a | 12.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6208) | 034 | SCHW | B | 840 | 14.71 | n/a | n/a | 25.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2501) | 034 | SCHW | B | 980 | 14.71 | n/a | n/a | 29.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ8940) | 034 | SCHW | B | 140 | 14.71 | n/a | n/a | 4.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD9650) | 034 | SCHW | B | 13,460 | 14.71 | n/a | n/a | 403.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2190) | 034 | SCHW | B | 560 | 14.71 | n/a | n/a | 16.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6224) | 034 | SCHW | B | 1,200 | 14.71 | n/a | n/a | 36.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD0276) | 034 | SCHW | B | 580 | 14.71 | n/a | n/a | 17.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ8899) | 034 | SCHW | B | 660 | 14.71 | n/a | n/a | 19.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR4888) | 034 | SCHW | B | 14,770 | 14.71 | n/a | n/a | 443.10 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ0234) | 034 | SCHW | B | 2,990 | 14.71 | n/a | n/a | 89.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6223) | 034 | SCHW | B | 400 | 14.71 | n/a | n/a | 12.00 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD2314) | 034 | SCHW | B | 880 | 14.71 | n/a | n/a | 26.40 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1274) | 034 | SCHW | B | 940 | 14.71 | n/a | n/a | 28.20 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNGR3017) | 034 | SCHW | B | 1,170 | 14.71 | n/a | n/a | 35.10 3.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 08/12 | MANNING & NAPIER (MANNEQ6221) | 034 | SCHW | B | 390 | 14.71 | n/a | n/a | 11.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD1419) | 034 | SCHW | B | 930 | 14.71 | n/a | n/a | 27.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ9461) | 034 | SCHW | B | 310 | 14.71 | n/a | n/a | 9.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ1668) | 034 | SCHW | B | 1,820 | 14.71 | n/a | n/a | 54.60 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNMJ2042) | 034 | SCHW | B | 590 | 14.71 | n/a | n/a | 17.70 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNEQ0980) | 034 | SCHW | B | 1,160 | 14.71 | n/a | n/a | 34.80 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNCD6495) | 034 | SCHW | B | 1,910 | 14.71 | n/a | n/a | 57.30 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANN1325) | 034 | SCHW | B | 7,330 | 14.71 | n/a | n/a | 219.90 3.0 |
| AO, | 08/12 | MANNING & NAPIER (MANNJS5077) | 034 | SCHW | B | 8,330 | 14.71 | n/a | n/a | 249.90 3.0 |
| | | | | | | | | | | |
| AO,CRT | 08/12 | CASTLEROCK (CASTMS) | 040 | SSCC | B | 75,014 | 18.42 | n/a | 3-Aug | 3000.56 4.0 |
| AO,CXL | 08/12 | CASTLEROCK (CASTMERRIL) | 040 | SSCC | B | 75,014 | 18.42 | n/a | 3-Aug | 3000.56 4.0 |
| | | | | | | | | | | |
| CRT | 08/13 | IRIDIAN ASSET MGMT. (IRAM8006CS) | 036 | TCB | C | 15,030 | 14.55 | n/a | n/a | 751.50 5.0 |
| CRT | 08/13 | IRIDIAN ASSET MGMT. (IRAM8506) | 036 | TCB | C | 4,450 | 14.55 | n/a | n/a | 222.50 5.0 |
| CRT | 08/13 | IRIDIAN ASSET MGMT. (IRAM8006MS) | 036 | TCB | C | 15,370 | 14.55 | n/a | n/a | 768.50 5.0 |
| CRT | 08/13 | IRIDIAN ASSET MGMT. (IRAM8505) | 036 | TCB | C | 4,570 | 14.55 | n/a | n/a | 228.50 5.0 |
| CRT | 08/13 | IRIDIAN ASSET MGMT. (IRAM8504) | 036 | TCB | C | 9,330 | 14.55 | n/a | n/a | 466.50 5.0 |
| CRT | 08/13 | IRIDIAN ASSET MGMT. (IRAM8503) | 036 | TCB | C | 730 | 14.55 | n/a | n/a | 36.50 5.0 |
| CRT | 08/13 | IRIDIAN ASSET MGMT. (IRAM8500) | 036 | TCB | C | 1,240 | 14.55 | n/a | n/a | 62.00 5.0 |
| CRT | 08/13 | IRIDIAN ASSET MGMT. (IRAM8501) | 036 | TCB | C | 410 | 14.55 | n/a | n/a | 20.50 5.0 |

TOTAL (AO, CXL, CRT) :

46,186.30

TOTAL (Trade Date):

128,566.17

TOTAL (AO, CXL, CRT):

46,186.30

TOTAL (RUN DATE) / NFS:

174,752.47

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