



Daily Compliance Activity Report

Trade Date: 09/16/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------|------------|-----------|----------|---------------|--------------|------------|--------------|--------------|------------|
| LOMBARDIA CAP MGMT | 084 | AEL | S | 43,503 | 21.14 | n/a | n/a | 1,740.12 | 0.0 |
| PRIMECAP MGMT | 084 | AMGN | S | 20,000 | 116.10 | n/a | n/a | 800.00 | 0.0 |
| APEX CAPITAL MGMT. | 033 | ATI | C | 66,700 | 31.05 | n/a | 11-Jun | 2,668.00 | 0.0 |
| TUDOR INVESTORS | 028 | AWI | S | 10,000 | 53.30 | n/a | n/a | 3.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | AXL | S | 10,000 | 19.65 | n/a | 19-Jun | 400.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | AXP | B | 10,000 | 76.41 | n/a | 19-Jun | 500.00 | 0.0 |
| LATEEF MGMT | 033 | BA | S | 125 | 115.01 | n/a | 11-Jun | 37.50 | 0.0 |
| LATEEF MGMT | 033 | BBT | B | 500 | 34.43 | n/a | n/a | 50.00 | 0.0 |
| PRIMECAP MGMT | 084 | BIIB | S | 3,000 | 238.20 | n/a | n/a | 120.00 | 0.0 |
| MILLRACE FUND LP | 028 | CAKE | SS | 2,500 | 43.84 | n/a | 25-Apr | 100.00 | 0.0 |
| PRIMECAP MGMT | 084 | DCI | S | 2,500 | 38.60 | n/a | n/a | 100.00 | 0.0 |
| PARKWEST | 084 | DEPO | S | 25,000 | 7.65 | n/a | n/a | 750.00 | 0.0 |
| SCOUT/UMB | 047 | DG | S | 280,302 | 57.16 | n/a | 4-Jun | 8,409.06 | 0.0 |
| LISTED ERR | 099 | DG | B | 74,407 | 57.15 | n/a | 4-Jun | 0.00 | 0.0 |
| LISTED ERR | 099 | DG | S | 74,407 | 56.89 | n/a | 4-Jun | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| LATEEF MGMT | 033 | DRE | B | 400 | 15.45 | n/a | n/a | 40.00 | 0.0 |
| PRIMECAP MGMT | 084 | DTV | S | 5,000 | 62.24 | n/a | n/a | 200.00 | 0.0 |
| TUDOR INVESTORS | 028 | EMR | B | 5,000 | 64.96 | n/a | n/a | 1.50 | 0.0 |
| KAM ADVISORS LLC | 041 | ETN | B | 33,000 | 68.73 | n/a | 12-Jun | 990.00 | 0.0 |
| KAM ADVISORS LLC | 041 | EXP | S | 60,500 | 70.75 | n/a | n/a | 1,815.00 | 0.0 |
| PROSPECTOR PARTNERS LLC | 036 | FOR | B | 10,000 | 21.49 | n/a | 9-May | 400.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 041 | GM | B | 10,000 | 36.42 | n/a | 19-Jun | 300.00 | 0.0 |
| OZ MGMT | 040 | GM | S | 75,000 | 36.28 | n/a | 19-Jun | 2,250.00 | 0.0 |
| TUDOR INVESTORS | 028 | GM | B | 10,000 | 36.23 | n/a | 19-Jun | 3.00 | 0.0 |
| HOTCHKIS & WILEY | 084 | GXP | B | 95,000 | 21.78 | n/a | n/a | 3,800.00 | 0.0 |
| OSKIE CAPITAL MGMT | 224 | HRB | B | 40,000 | 27.53 | n/a | n/a | 2,000.00 | 0.0 |
| TUDOR INVESTORS | 028 | IR | S | 10,000 | 64.28 | n/a | 19-Jun | 3.00 | 0.0 |
| KAM ADVISORS LLC | 041 | ITT | B | 121,500 | 35.45 | n/a | n/a | 3,645.00 | 0.0 |
| INTERVAL PARTNERS | 033 | JCP | C | 10,000 | 13.70 | n/a | 18-Jun | 300.00 | 0.0 |
| LATEEF MGMT | 033 | JPM | S | 250 | 53.22 | n/a | 17-Jun | 32.50 | 0.0 |
| TUDOR INVESTORS | 028 | LOW | SS | 5,000 | 46.83 | n/a | n/a | 1.50 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | | |
|---------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|--------|-----|
| COBALT | 041 | LPX | B | 100,000 | 17.80 | n/a | 19-Jun | 4,000.00 | 0.0 | |
| TUDOR INVESTORS | 028 | LPX | SS | 5,000 | 17.57 | n/a | 19-Jun | 1.50 | 0.0 | |
| ROVER CAPITAL PARTNERS | 040 | LULU | SS | 2,000 | 70.30 | n/a | 19-Jun | 100.00 | 0.0 | |
| TUDOR INVESTORS | 028 | MAS | S | 15,000 | 21.50 | n/a | n/a | 4.50 | 0.0 | |
| TIEDEMANN/TIG ADVISORS LLC | 006 | MIC | B | 2,210 | 53.81 | n/a | n/a | 110.50 | 0.0 | |
| M&I FUNDS | 047 | MLI | S | 42,985 | 55.86 | n/a | 19-Jun | 1,719.40 | 0.0 | |
| MIDS | 047 | MLI | S | 15 | 55.86 | n/a | 19-Jun | 0.60 | 0.0 | |
| LATEEF MGMT | 033 | OLN | B | 400 | 23.07 | n/a | n/a | 40.00 | 0.0 | |
| TRUST CO/COWEN/CALF. | 040 | PKG | S | 41,100 | 58.35 | n/a | 17-Jun | 2,055.00 | 0.0 | |
| SANDLER O'NEILL ASSET | 031 | PNC | B | 10,000 | 74.26 | n/a | n/a | 500.00 | 0.0 | |
| LATEEF MGMT | 033 | RDSB | B | 300 | 68.89 | n/a | n/a | 42.00 | 0.0 | |
| KORT | 025 | SEE | B | 20,000 | 30.50 | n/a | 2-Jun | 600.00 | 0.0 | |
| PRIMECAP MGMT | 084 | SNE | B | 58,183 | 21.38 | n/a | n/a | 2,327.32 | 0.0 | |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | SUSS | S | 13,885 | 52.16 | | n/a | n/a | 416.55 | 0.0 |
| TUDOR INVESTORS | 028 | TKR | B | 5,000 | 63.04 | n/a | n/a | 1.50 | 0.0 | |
| PROSPECTOR PARTNERS LLC | 036 | TLM | B | 10,000 | 11.08 | n/a | n/a | 400.00 | 0.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------------|------|--------|-----|--------|--------|-----|----------|------------------|-----|
| KAM ADVISORS LLC | 041 | WBC | S | 36,000 | 85.71 | n/a | 31-May | 1,080.00 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | WEN | B | 25,000 | 8.73 | n/a | 20-May | 750.00 | 0.0 |
| PRIMECAP MGMT | 084 | WFC | B | 10,000 | 42.90 | n/a | 6-Jun | 400.00 | 0.0 |
| HERRING CREEK CAPITAL MGMT LLC040 | | WGO | B | 15,000 | 21.55 | n/a | n/a | 450.00 | 0.0 |
| PRIMECAP MGMT | 084 | WHR | S | 5,500 | 139.98 | n/a | n/a | 220.00 | 0.0 |
| TUDOR INVESTORS | 028 | WNC | SS | 10,000 | 11.51 | n/a | n/a | 3.00 | 0.0 |
| TOTAL (Trade Date) : | | | | | | | | 46,681.05 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO,CXL | 09/13 | SLS CAPITAL LLC (SLSCJEFF) | 006 | F | SS | 8,824 | 17.41 | n/a | 19-Jun | 441.20 0.0 |
| AO,CRT | 09/13 | SLS CAPITAL LLC (SLSCJEFF) | 006 | F | SS | 8,824 | 17.41 | n/a | 19-Jun | 352.96 4.0 |
| AO,CXL | 09/13 | SLS CAPITAL LLC (SLSCBARC) | 006 | F | SS | 196,655 | 17.41 | n/a | 19-Jun | 9832.75 0.0 |
| AO,CRT | 09/13 | SLS CAPITAL LLC (SLSCBARC) | 006 | F | SS | 196,655 | 17.41 | n/a | 19-Jun | 7866.20 4.0 |
| AO, | 09/13 | MIDS (MIDS61J129) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD993013) | 047 | MLI | S | 3,143 | 55.40 | n/a | 19-Jun | 125.72 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD213195) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61R276) | 047 | MLI | S | 1 | 55.40 | n/a | 19-Jun | 0.04 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611907) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO,CXL | 09/13 | M&I FUNDS (MIFDMAIN) | 047 | MLI | S | 6,105 | 55.40 | n/a | 19-Jun | 244.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD92M004) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61R201) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611876) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD907007) | 047 | MLI | S | 30 | 55.40 | n/a | 19-Jun | 1.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61N526) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611807) | 047 | MLI | S | 5 | 55.40 | n/a | 19-Jun | 0.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD900142) | 047 | MLI | S | 107 | 55.40 | n/a | 19-Jun | 4.28 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61N116) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611782) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD900111) | 047 | MLI | S | 5 | 55.40 | n/a | 19-Jun | 0.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61M678) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611720) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD900096) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61M672) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611713) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD900089) | 047 | MLI | S | 300 | 55.40 | n/a | 19-Jun | 12.00 0.0 |

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|------|-------|------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 09/13 | M&I FUNDS (MIFD61M546) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611559) | 047 | MLI | S | 10 | 55.40 | n/a | 19-Jun | 0.40 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD711394) | 047 | MLI | S | 11 | 55.40 | n/a | 19-Jun | 0.44 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61M519) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611503) | 047 | MLI | S | 5 | 55.40 | n/a | 19-Jun | 0.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD711276) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61M283) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611498) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD711275) | 047 | MLI | S | 12 | 55.40 | n/a | 19-Jun | 0.48 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61M273) | 047 | MLI | S | 5 | 55.40 | n/a | 19-Jun | 0.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611475) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD706470) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61M124) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611464) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD71M074) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61M087) | 047 | MLI | S | 22 | 55.40 | n/a | 19-Jun | 0.88 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611417) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD71L070) | 047 | MLI | S | 19 | 55.40 | n/a | 19-Jun | 0.76 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61L320) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611412) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD71J085) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61L311) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611381) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690737) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61L241) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611356) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690695) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61L228) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611351) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690641) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |

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|------|-------|------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 09/13 | M&I FUNDS (MIFD61L067) | 047 | MLI | S | 5 | 55.40 | n/a | 19-Jun | 0.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611340) | 047 | MLI | S | 9 | 55.40 | n/a | 19-Jun | 0.36 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611328) | 047 | MLI | S | 1 | 55.40 | n/a | 19-Jun | 0.04 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690584) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61G168) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611255) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690541) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61G067) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611189) | 047 | MLI | S | 5 | 55.40 | n/a | 19-Jun | 0.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690530) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD441097) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611145) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690526) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD61K144) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611131) | 047 | MLI | S | 9 | 55.40 | n/a | 19-Jun | 0.36 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690518) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD431651) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611127) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690483) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD431624) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611126) | 047 | MLI | S | 10 | 55.40 | n/a | 19-Jun | 0.40 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD690479) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD431623) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611109) | 047 | MLI | S | 8 | 55.40 | n/a | 19-Jun | 0.32 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD619B36) | 047 | MLI | S | 400 | 55.40 | n/a | 19-Jun | 16.00 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD431576) | 047 | MLI | S | 16 | 55.40 | n/a | 19-Jun | 0.64 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611106) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD619B35) | 047 | MLI | S | 180 | 55.40 | n/a | 19-Jun | 7.20 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD418061) | 047 | MLI | S | 6 | 55.40 | n/a | 19-Jun | 0.24 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611091) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |

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|------|-------|------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 09/13 | M&I FUNDS (MIFD619B34) | 047 | MLI | S | 600 | 55.40 | n/a | 19-Jun | 24.00 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD43M246) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611038) | 047 | MLI | S | 7 | 55.40 | n/a | 19-Jun | 0.28 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD619B27) | 047 | MLI | S | 10 | 55.40 | n/a | 19-Jun | 0.40 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD41M518) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD610887) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD619B25) | 047 | MLI | S | 350 | 55.40 | n/a | 19-Jun | 14.00 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD41V212) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD610885) | 047 | MLI | S | 8 | 55.40 | n/a | 19-Jun | 0.32 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD619B22) | 047 | MLI | S | 550 | 55.40 | n/a | 19-Jun | 22.00 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611931) | 047 | MLI | S | 10 | 55.40 | n/a | 19-Jun | 0.40 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD41M658) | 047 | MLI | S | 2 | 55.40 | n/a | 19-Jun | 0.08 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD610657) | 047 | MLI | S | 3 | 55.40 | n/a | 19-Jun | 0.12 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD619B19) | 047 | MLI | S | 16 | 55.40 | n/a | 19-Jun | 0.64 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD211337) | 047 | MLI | S | 10 | 55.40 | n/a | 19-Jun | 0.40 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD41M487) | 047 | MLI | S | 8 | 55.40 | n/a | 19-Jun | 0.32 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD610562) | 047 | MLI | S | 13 | 55.40 | n/a | 19-Jun | 0.52 0.0 |
| AO, | 09/13 | M&I FUNDS (MIFD611957) | 047 | MLI | S | 4 | 55.40 | n/a | 19-Jun | 0.16 0.0 |

| | |
|-------------------------------|------------------|
| TOTAL (AO, CXL, CRT) : | -2,054.79 |
|-------------------------------|------------------|

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 46,681.05 |
| TOTAL (AO, CXL, CRT) : | -2,054.79 |

| | |
|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 44,626.26 |
|---------------------------------|------------------|

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