



Daily Compliance Activity Report

Trade Date: 01/22/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | | |
|--------------------------|------|--------|-----|--------|--------|-----|----------|--------------|--------|-----|
| CASTLE ARK | 031 | AAPL | S | 100 | 503.74 | n/a | n/a | 5.00 | 0.0 | |
| BAIRD INVESTMENT | 047 | ADS | B | 400 | 156.09 | n/a | n/a | 20.00 | 5.0 | |
| CASTLE ARK | 031 | AGN | S | 140 | 105.78 | n/a | 22-Jan | 7.00 | 0.0 | |
| BAIRD INVESTMENT | 047 | ALTR | B | 1,100 | 35.51 | n/a | n/a | 55.00 | 5.0 | |
| BAIRD INVESTMENT | 047 | AMG | B | 400 | 142.59 | n/a | 2-Mar | 20.00 | 5.0 | |
| PATTEN & PATTEN | 025 | AMLP | B | 2,000 | 17.04 | n/a | n/a | 100.00 | 5.0 | |
| ALLIANZ/NICOLAS APPLGATE | 084 | AMZN | B | 19,700 | 270.43 | | n/a | n/a | 394.00 | 0.0 |
| CASTLE ARK | 031 | AMZN | S | 110 | 269.67 | n/a | n/a | 5.50 | 0.0 | |
| BAIRD INVESTMENT | 047 | ANSS | B | 700 | 72.51 | n/a | n/a | 35.00 | 5.0 | |
| CASTLE ARK | 031 | ANSS | S | 330 | 72.53 | n/a | n/a | 16.50 | 0.0 | |
| CASTLE ARK | 031 | APC | S | 380 | 79.35 | n/a | 17-Jan | 19.00 | 0.0 | |
| BAIRD INVESTMENT | 047 | ARG | B | 600 | 93.83 | n/a | 18-Jan | 30.00 | 5.0 | |
| HIGHBRIDGE CAP | 041 | ATI | SS | 8,000 | 29.81 | n/a | 18-Jan | 240.00 | 3.0 | |
| BAIRD INVESTMENT | 047 | ATR | B | 800 | 51.96 | n/a | n/a | 40.00 | 5.0 | |
| BAIRD INVESTMENT | 047 | ATU | B | 1,500 | 29.49 | n/a | n/a | 75.00 | 5.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----------|
| GEORGE WEISS | 278 | AXL | S | 20,000 | 11.39 | n/a | 22-Jan | 800.00 | 0.0 |
| CASTLE ARK | 031 | AXP | S | 430 | 59.35 | n/a | 18-Jan | 21.50 | 0.0 |
| BAIRD INVESTMENT | 047 | AYI | B | 600 | 68.00 | n/a | n/a | 30.00 | 5.0 |
| PATRIOT STRATEGY PARTNERS | 036 | BONT | B | 10,000 | 13.99 | n/a | 15-Jan | 400.00 | 4.0 |
| BTG PACTUAL | 040 | BRCD | B | 25,000 | 5.71 | n/a | 22-Jan | 750.00 | 3.0 |
| STRONG/MARK GRONET | 030 | BRCD | B | 200,000 | 5.71 | n/a | 22-Jan | 6,000.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | BRE | B | 100 | 51.27 | | n/a | n/a | 4.00 4.0 |
| CASTLE ARK | 031 | BWA | S | 370 | 75.46 | n/a | 11-Jan | 18.50 | 0.0 |
| BAIRD INVESTMENT | 047 | BWLD | B | 500 | 76.99 | n/a | n/a | 25.00 | 5.0 |
| PARKWEST | 084 | CAP | S | 2,700 | 24.50 | n/a | n/a | 108.00 | 4.0 |
| PARKWEST | 084 | CBI | S | 40,000 | 49.53 | n/a | n/a | 1,600.00 | 4.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | CBS | B | 2,444 | 41.43 | | n/a | n/a | 97.76 4.0 |
| BAIRD INVESTMENT | 047 | CERN | B | 500 | 81.24 | n/a | n/a | 25.00 | 5.0 |
| BAIRD INVESTMENT | 047 | CHD | B | 1,200 | 56.57 | n/a | 5-Dec | 60.00 | 5.0 |
| BAIRD INVESTMENT | 047 | CLB | B | 400 | 114.49 | n/a | 8-Jan | 20.00 | 5.0 |
| CASTLE ARK | 031 | CMG | C | 55 | 293.48 | n/a | 17-Jan | 2.75 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | | |
|---------------------------------|------|--------|-----|---------|--------|-----|----------|-------------|----------|-----|
| BAIRD INVESTMENT | 047 | COG | B | 700 | 51.65 | n/a | 17-Jan | 35.00 | 5.0 | |
| CASTLE ARK | 031 | COH | S | 190 | 60.46 | n/a | 18-Jan | 9.50 | 0.0 | |
| S.A.C. CAPITAL | 044 | COH | B | 15,000 | 60.10 | n/a | 18-Jan | 525.00 | 3.5 | |
| CASTLE ARK | 031 | CRM | S | 300 | 166.45 | n/a | n/a | 15.00 | 0.0 | |
| LATEEF MGMT | 033 | CTB | S | 500 | 26.18 | n/a | n/a | 50.00 | 10.0 | |
| BAIRD INVESTMENT | 047 | CTRX | B | 1,100 | 52.26 | n/a | n/a | 55.00 | 5.0 | |
| BAIRD INVESTMENT | 047 | CTXS | B | 700 | 67.26 | n/a | n/a | 35.00 | 5.0 | |
| LATEEF MGMT | 033 | CVS | S | 200 | 52.29 | n/a | n/a | 40.00 | 20.0 | |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | CXS | B | 56,509 | 12.48 | | n/a | n/a | 1,695.27 | 3.0 |
| CASTLE ARK | 031 | C | S | 270 | 41.73 | n/a | 18-Jan | 13.50 | 0.0 | |
| LATEEF MGMT | 033 | DAL | S | 750 | 14.00 | n/a | 14-Jan | 75.00 | 10.0 | |
| SENATOR INVESTMENT GROUP | 036 | DAL | S | 200,000 | 14.10 | n/a | 14-Jan | 6,000.00 | 3.0 | |
| CASTLE ARK | 031 | DE | C | 310 | 92.47 | n/a | 11-Jul | 15.50 | 0.0 | |
| BAIRD INVESTMENT | 047 | DG | B | 1,300 | 44.71 | n/a | 12-Dec | 65.00 | 5.0 | |
| BAIRD INVESTMENT | 047 | DKS | B | 1,200 | 47.91 | n/a | 10-Jan | 60.00 | 5.0 | |
| CASTLE ARK | 031 | DKS | S | 690 | 48.09 | n/a | 10-Jan | 34.50 | 0.0 | |
| BAIRD INVESTMENT | 047 | DLR | B | 900 | 71.51 | n/a | n/a | 45.00 | 5.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------|------|--------|-----|--------|--------|-----|----------|--------------|------|
| CASTLE ARK | 031 | EMR | C | 480 | 56.73 | n/a | n/a | 24.00 | 0.0 |
| LATEEF MGMT | 033 | ENR | S | 125 | 87.70 | n/a | 13-Dec | 31.25 | 25.0 |
| CASTLE ARK | 031 | EOG | S | 295 | 126.20 | n/a | n/a | 14.75 | 0.0 |
| PATTEN & PATTEN | 025 | EPP | B | 1,000 | 48.38 | n/a | n/a | 50.00 | 5.0 |
| BAIRD INVESTMENT | 047 | EWBC | B | 1,800 | 23.00 | n/a | n/a | 90.00 | 5.0 |
| PATTEN & PATTEN | 025 | EWG | S | 2,500 | 25.00 | n/a | n/a | 125.00 | 5.0 |
| CASTLE ARK | 031 | EW | S | 40 | 91.95 | n/a | n/a | 2.00 | 0.0 |
| PATTEN & PATTEN | 025 | EZU | B | 2,000 | 34.37 | n/a | n/a | 100.00 | 5.0 |
| BAIRD INVESTMENT | 047 | FAST | B | 1,000 | 48.21 | n/a | n/a | 50.00 | 5.0 |
| BAIRD INVESTMENT | 047 | FFIV | B | 200 | 95.16 | n/a | 11-Jan | 10.00 | 5.0 |
| BAIRD INVESTMENT | 047 | FIRE | B | 900 | 43.59 | n/a | n/a | 45.00 | 5.0 |
| BAIRD INVESTMENT | 047 | FLR | B | 700 | 63.21 | n/a | n/a | 35.00 | 5.0 |
| J. GOLDMAN | 028 | GCO | SS | 40,000 | 61.35 | n/a | n/a | 1,600.00 | 4.0 |
| NOKOMIS PARTNERS | 031 | GDI | B | 28,050 | 69.79 | n/a | n/a | 841.50 | 3.0 |
| BAIRD INVESTMENT | 047 | GHL | B | 700 | 58.43 | n/a | n/a | 35.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------|--------|-----|---------|--------|-----|----------|-------------|------|
| CASTLE ARK | 031 | GILD | S | 220 | 77.73 | n/a | n/a | 11.00 | 0.0 |
| MAIRS AND POWER INV | 030 | GLW | B | 20,000 | 12.01 | n/a | 18-Jan | 1,000.00 | 5.0 |
| OZ MGMT | 040 | GM | S | 100,000 | 28.83 | n/a | 22-Jan | 3,000.00 | 0.0 |
| CASTLE ARK | 031 | GWR | S | 100 | 84.44 | n/a | n/a | 5.00 | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | HBI | SS | 20,000 | 37.87 | n/a | 30-Nov | 600.00 | 3.0 |
| CASTLE ARK | 031 | HD | S | 480 | 65.72 | n/a | n/a | 24.00 | 0.0 |
| BAIRD INVESTMENT | 047 | HMSY | B | 1,300 | 28.27 | n/a | n/a | 65.00 | 5.0 |
| ARSENAL ASSET MANAGEMENT | 028 | HUBB | S | 5,000 | 86.58 | n/a | n/a | 200.00 | 0.0 |
| BAIRD INVESTMENT | 047 | ICLR | B | 1,700 | 28.65 | n/a | n/a | 85.00 | 5.0 |
| BAIRD INVESTMENT | 047 | IHG | B | 1,400 | 28.91 | n/a | n/a | 70.00 | 5.0 |
| PATTEN & PATTEN | 025 | IJR | B | 400 | 82.54 | n/a | n/a | 20.00 | 5.0 |
| BAIRD INVESTMENT | 047 | ILMN | B | 1,100 | 50.95 | n/a | n/a | 55.00 | 5.0 |
| LATEEF MGMT | 033 | IP | S | 300 | 41.92 | n/a | 17-Jan | 45.00 | 15.0 |
| CASTLE ARK | 031 | ISRG | S | 40 | 516.57 | n/a | n/a | 2.00 | 0.0 |
| BAIRD INVESTMENT | 047 | IVZ | B | 1,300 | 27.65 | n/a | 2-Mar | 65.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------|------|--------|-----|--------|--------|-----|----------|-------------|------|
| PATTEN & PATTEN | 025 | IYF | B | 1,000 | 64.14 | n/a | n/a | 50.00 | 5.0 |
| BAIRD INVESTMENT | 047 | JBHT | B | 900 | 63.67 | n/a | n/a | 45.00 | 5.0 |
| CASTLE ARK | 031 | JBHT | S | 540 | 63.64 | n/a | n/a | 27.00 | 0.0 |
| BTG PACTUAL | 040 | JBLU | B | 15,000 | 6.19 | n/a | 16-Jan | 450.00 | 3.0 |
| BAIRD INVESTMENT | 047 | JOY | B | 600 | 67.27 | n/a | 11-Jul | 30.00 | 5.0 |
| FIRST NY SEC/CHRIS | 041 | JWN | S | 10,000 | 55.18 | n/a | 4-Jan | 500.00 | 5.0 |
| CASTLE ARK | 031 | KORS | C | 470 | 54.88 | n/a | 17-Jan | 23.50 | 0.0 |
| PATTEN & PATTEN | 025 | KRE | S | 1,800 | 29.82 | n/a | n/a | 90.00 | 5.0 |
| CASTLE ARK | 031 | KSU | S | 280 | 91.55 | n/a | n/a | 14.00 | 0.0 |
| LATEEF MGMT | 033 | K | S | 150 | 57.99 | n/a | n/a | 37.50 | 25.0 |
| CORVEX CAPITAL | 041 | LEA | B | 50,000 | 47.62 | n/a | 22-Jan | 1,500.00 | 0.0 |
| CASTLE ARK | 031 | LECO | S | 290 | 51.96 | n/a | n/a | 14.50 | 0.0 |
| BAIRD INVESTMENT | 047 | LKQ | B | 1,200 | 22.41 | n/a | n/a | 60.00 | 5.0 |
| CASTLE ARK | 031 | LNKD | S | 210 | 119.07 | n/a | n/a | 10.50 | 0.0 |
| EPOCH INV MGMT | 030 | LVS | B | 50,000 | 52.77 | n/a | 13-Jun | 1,500.00 | 0.0 |
| HIGHBRIDGE CAP | 041 | LYB | S | 4,500 | 61.88 | n/a | n/a | 135.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------|------|--------|-----|---------|--------|-----|----------|-------------|------|
| BAIRD INVESTMENT | 047 | MAN | B | 1,000 | 47.13 | n/a | n/a | 50.00 | 5.0 |
| CASTLE ARK | 031 | MA | S | 50 | 519.27 | n/a | 17-Jan | 2.50 | 0.0 |
| BAIRD INVESTMENT | 047 | MCHP | B | 800 | 33.35 | n/a | n/a | 40.00 | 5.0 |
| BAIRD INVESTMENT | 047 | MKC | B | 1,000 | 66.45 | n/a | n/a | 50.00 | 5.0 |
| CASTLE ARK | 031 | MON | S | 260 | 102.38 | n/a | 18-Jan | 13.00 | 0.0 |
| LOMAS CAPITAL | 040 | MWV | B | 80,000 | 32.47 | n/a | 24-Oct | 2,400.00 | 3.0 |
| GEORGE WEISS | 278 | M | B | 25,000 | 38.15 | n/a | 14-Jan | 1,000.00 | 0.0 |
| S.A.C. CAPITAL | 044 | NOK | B | 100,000 | 4.55 | n/a | n/a | 3,500.00 | 3.5 |
| CASTLE ARK | 031 | NTAP | C | 710 | 34.76 | n/a | 18-Dec | 35.50 | 0.0 |
| LATEEF MGMT | 033 | NUE | S | 225 | 47.91 | n/a | n/a | 45.00 | 20.0 |
| BAIRD INVESTMENT | 047 | OII | B | 1,000 | 60.27 | n/a | n/a | 50.00 | 5.0 |
| CASTLE ARK | 031 | ORCL | S | 1,220 | 34.83 | n/a | n/a | 61.00 | 0.0 |
| BAIRD INVESTMENT | 047 | ORLY | B | 700 | 88.57 | n/a | n/a | 35.00 | 5.0 |
| CASTLE ARK | 031 | PANW | S | 40 | 55.15 | n/a | n/a | 2.00 | 0.0 |
| CASTLE ARK | 031 | PCAR | S | 690 | 46.40 | n/a | n/a | 34.50 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| CASTLE ARK | 031 | PH | B | 30 | 93.23 | n/a | n/a | 1.50 | 0.0 |
| BAIRD INVESTMENT | 047 | PII | B | 300 | 90.00 | n/a | n/a | 15.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | PKG | S | 40,000 | 38.58 | n/a | 22-Jan | 2,000.00 | 5.0 |
| BAIRD INVESTMENT | 047 | PLT | B | 700 | 37.74 | n/a | n/a | 35.00 | 5.0 |
| BAIRD INVESTMENT | 047 | PLXS | B | 1,200 | 26.07 | n/a | n/a | 60.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | PNRA | B | 15,000 | 164.08 | n/a | 3-Jan | 525.00 | 3.5 |
| BAIRD INVESTMENT | 047 | PRGO | B | 500 | 103.99 | n/a | 22-Jan | 25.00 | 5.0 |
| BAIRD INVESTMENT | 047 | PVH | B | 500 | 118.71 | n/a | 17-Jan | 25.00 | 5.0 |
| CASTLE ARK | 031 | QCOM | S | 640 | 64.51 | n/a | n/a | 32.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | RKT | B | 10,000 | 74.00 | n/a | 17-Jan | 500.00 | 5.0 |
| CASTLE ARK | 031 | RL | S | 100 | 165.07 | n/a | 5-Nov | 5.00 | 0.0 |
| BAIRD INVESTMENT | 047 | ROK | B | 600 | 87.52 | n/a | n/a | 30.00 | 5.0 |
| BAIRD INVESTMENT | 047 | ROP | B | 400 | 116.61 | n/a | n/a | 20.00 | 5.0 |
| CASTLE ARK | 031 | RRC | S | 320 | 68.45 | n/a | 17-Jan | 16.00 | 0.0 |
| BAIRD INVESTMENT | 047 | RVBD | B | 1,200 | 18.71 | n/a | n/a | 60.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|-------------|------|
| CSFB GLOBAL PROPRIETARY | 041 | RYN | S | 15,000 | 55.14 | n/a | 31-Oct | 750.00 | 5.0 |
| COLUMBUS CIRCLE | 036 | SHOO | B | 4,300 | 46.48 | n/a | n/a | 172.00 | 0.0 |
| CASTLE ARK | 031 | SHW | S | 190 | 163.54 | n/a | 18-Jan | 9.50 | 0.0 |
| SCOPUS FUND | 041 | SPF | B | 50,000 | 7.85 | n/a | n/a | 2,000.00 | 0.0 |
| BAIRD INVESTMENT | 047 | SRCL | B | 500 | 94.60 | n/a | n/a | 25.00 | 5.0 |
| FINDLAY PARK PART | 085 | STT | B | 146,000 | 55.17 | n/a | 18-Jan | 19,410.57 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | STX | S | 49,560 | 36.76 | n/a | n/a | 2,478.00 | 0.0 |
| NOMURA INTERNATIONAL PLC | 085 | STZ | S | 9,829 | 38.00 | n/a | 16-Jan | 373.51 | 0.0 |
| BAIRD INVESTMENT | 047 | SWKS | B | 1,600 | 21.03 | n/a | n/a | 80.00 | 5.0 |
| CASTLE ARK | 031 | SWN | S | 1,200 | 34.65 | n/a | 17-Jan | 60.00 | 0.0 |
| LATEEF MGMT | 033 | SWY | S | 400 | 18.56 | n/a | n/a | 40.00 | 10.0 |
| CASTLE ARK | 031 | SYK | C | 420 | 61.60 | n/a | n/a | 21.00 | 0.0 |
| BAIRD INVESTMENT | 047 | TDC | B | 800 | 65.19 | n/a | n/a | 40.00 | 5.0 |
| CASTLE ARK | 031 | TDC | S | 740 | 65.50 | n/a | n/a | 37.00 | 0.0 |
| CASTLE ARK | 031 | TDG | S | 40 | 136.82 | n/a | n/a | 2.00 | 0.0 |
| CASTLE ARK | 031 | TGT | S | 120 | 61.44 | n/a | 3-Jan | 6.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|--------|-------|-----|----------|-------------|------|
| SIGMA CAPITAL ASSOCIATES | 041 | TGT | SS | 25,000 | 61.55 | n/a | 3-Jan | 875.00 | 3.5 |
| CASTLE ARK | 031 | TIBX | S | 440 | 21.82 | n/a | n/a | 22.00 | 0.0 |
| BAIRD INVESTMENT | 047 | TIF | B | 600 | 62.72 | n/a | n/a | 30.00 | 5.0 |
| CASTLE ARK | 031 | TJX | S | 980 | 44.65 | n/a | 4-Jan | 49.00 | 0.0 |
| CASTLE ARK | 031 | TPX | C | 770 | 35.20 | n/a | n/a | 38.50 | 0.0 |
| BAIRD INVESTMENT | 047 | TRMB | B | 800 | 62.01 | n/a | n/a | 40.00 | 5.0 |
| BAIRD INVESTMENT | 047 | TSCO | B | 500 | 93.82 | n/a | n/a | 25.00 | 5.0 |
| LATEEF MGMT | 033 | TSN | S | 400 | 21.96 | n/a | n/a | 40.00 | 10.0 |
| CASTLE ARK | 031 | TXN | C | 830 | 33.35 | n/a | n/a | 41.50 | 0.0 |
| BAIRD INVESTMENT | 047 | UA | B | 800 | 47.06 | n/a | 26-Oct | 40.00 | 5.0 |
| BAIRD INVESTMENT | 047 | ULTA | B | 500 | 95.64 | n/a | n/a | 25.00 | 5.0 |
| CASTLE ARK | 031 | UNH | S | 630 | 55.97 | n/a | n/a | 31.50 | 0.0 |
| BAIRD INVESTMENT | 047 | URBN | B | 1,400 | 42.78 | n/a | n/a | 70.00 | 5.0 |
| CASTLE ARK | 031 | VMW | C | 250 | 92.56 | n/a | n/a | 12.50 | 0.0 |
| CASTLE ARK | 031 | WAB | S | 320 | 91.38 | n/a | n/a | 16.00 | 0.0 |
| BAIRD INVESTMENT | 047 | WBC | B | 700 | 65.25 | n/a | 8-Nov | 35.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| CASTLE ARK | 031 | WFM | S | 440 | 92.24 | n/a | n/a | 22.00 | 0.0 |
| BAIRD INVESTMENT | 047 | WLL | B | 800 | 47.87 | n/a | n/a | 40.00 | 5.0 |
| CASTLE ARK | 031 | WMT | C | 310 | 69.60 | n/a | 15-Nov | 15.50 | 0.0 |
| BAIRD INVESTMENT | 047 | WSO | B | 500 | 75.54 | n/a | n/a | 25.00 | 5.0 |
| PATTEN & PATTEN | 025 | XLV | B | 500 | 42.21 | n/a | n/a | 25.00 | 5.0 |
| GEORGE WEISS | 278 | YUM | SS | 15,000 | 65.14 | n/a | 14-Jan | 600.00 | 0.0 |
| BAIRD INVESTMENT | 047 | ZBRA | B | 800 | 41.67 | n/a | n/a | 40.00 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 70,911.36 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|-------------------------------|-------|-------------------------------|------|--------|-----|---------|-------|---------------------|------------------|
| CRT | 01/22 | FINDLAY PARK PART (FINDAMERS) | 085 | STT | B | 146,000 | 55.17 | n/a 18-Jan 19410.57 | 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 19,410.57 |

| | | | | | | | | | |
|--------------------------------|--|--|--|--|--|--|--|--|------------------|
| TOTAL (Trade Date): | | | | | | | | | 70,911.36 |
| TOTAL (AO, CXL, CRT): | | | | | | | | | 19,410.57 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 90,321.93 |

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