

## **Daily Compliance Activity Report** Trade Date: 11/12/2013

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
NEUBERGER BERMAN	036	ABB	В	25,000	25.03	n/a	n/a	1,000.00	0.0
PALISADE CAPITAL MANAGEME	ENT LLCO	25 ALJ	В	6,	500 11.88		n/a	n/a 26	0.00 0.0
CENTURION PARTNERS	041	ALL	S	15,000	53.43	n/a	n/a	600.00	0.0
HOLLIS CAPITAL	033	APC	S	5,000	89.99	n/a	13-Jun	250.00	0.0
WADDELL AND REED	047	ATML	S	382,100	7.19	n/a	n/a	15,284.00	0.0
MOORE CAPITAL	257	CAT	SS	25 <b>,</b> 000	83.68	n/a	11-Jul	750.00	0.0
KEY ASSET MGMT/VICTORY	220	CHRW	В	106,240	59.06	n/a	n/a	4,249.60	0.0
PARKWEST	084	CKEC	S	4,200	23.32	n/a	n/a	168.00	0.0
SAC CHRIS C	041	CYNO	S	25,000	24.01	n/a	n/a	750.00	0.0
ZWEIG FUNDS	006	DAL	В	100,000	27.93	n/a	18-Jun	5,000.00	0.0
LOMAS CAPITAL	040	DHI	В	100,000	18.74	n/a	n/a	3,000.00	0.0
NORTHWESTERN MUTUAL LIFE	047	EMC	В	61,300	24.22	n/a	26-Feb	2,452.00	0.0
ROTHSCHILD ASSET	040	ENS	S	7,099	67.37	n/a	n/a	283.96	0.0
CAMBIAR CAP	046	FINL	S	117,881	24.85	n/a	19-Jun	4,715.24	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
SCOPUS FUND	041	FINL	В	20,000	24.72	n/a	19-Jun	800.00	0.0
SCOPUS FUND	041	FIVE	В	25,000	51.92	n/a	13-Jun	1,000.00	0.0
CENTURION PARTNERS	041	GM	В	20,000	36.70	n/a	19-Jun	800.00	0.0
BTG PACTUAL	040	JBLU	S	100,000	8.18	n/a	18-Jun	3,000.00	0.0
ELM RIDGE ADVISORS	044	JBL	S	11,804	20.71	n/a	n/a	472.16	0.0
ELM RIDGE ADVISORS	044	JPM	S	4,261	54.00	n/a	17-Jun	170.44	0.0
S.A.C. CAPITAL	041	JWN	SS	20,000	62.45	n/a	18-Jun	600.00	0.0
ELM RIDGE ADVISORS	044	KSS	S	5 <b>,</b> 227	57.56	n/a	18-Jun	209.08	0.0
S.A.C. CAPITAL	044	KSS	В	20,000	57.63	n/a	18-Jun	600.00	0.0
S.A.C. CAPITAL	044	KS	SS	20,000	51.20	n/a	n/a	600.00	0.0
T. ROWE PRICE	243	KS	В	180,128	51.02	n/a	n/a	7,205.12	0.0
SANDLER O'NEILL ASSET	031	LAZ	S	15,000	40.50	n/a	6-May	750.00	0.0
EMPYREAN CAPITAL	084	LCC	В	100,000	22.99	n/a	18-Jun	3,000.00	0.0
PAR CAPITAL	029	LCC	S	150,000	23.03	n/a	18-Jun	6,000.00	0.0
STRONG/MARK GRONET	030	LCC	В	20,000	23.42	n/a	18-Jun	800.00	0.0
STRONG/MARK GRONET	030	LFL	В	45,400	16.50	n/a	n/a	1,816.00	0.0
ELM RIDGE ADVISORS	044	LLY	S	7,780	50.10	n/a	n/a	311.20	0.0
NEUBERGER BERMAN	036	MDLZ	В	15,000	32.46	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
NEUBERGER BERMAN	036	MSFT	В	15,000	37.38	n/a	n/a	600.00	0.0
COLUMBUS CIRCLE	036	MTH	S	3,793	41.21	n/a	n/a	151.72	0.0
ROSEDALE CAPITAL	046	NEM	В	10,000	26.93	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	NFG	В	10,000	70.63	n/a	n/a	400.00	0.0
THREE G	041	OC	В	131,874	35.69	n/a	n/a	3,956.22	0.0
NEUBERGER BERMAN	036	PFE	В	15,000	31.45	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	POOL	В	5,076	53.88	n/a	n/a	203.04	0.0
NEUBERGER BERMAN	036	RRC	В	10,000	74.55	n/a	13-Jun	400.00	0.0
FSI GROUP, LLC	047	RWT	S	72 <b>,</b> 770	17.98	n/a	n/a	2,910.80	0.0
STATE OF WISCONSIN	047	RWT	S	37,230	17.98	n/a	n/a	1,489.20	0.0
COLUMBUS CIRCLE	036	SFLY	В	2,783	48.78	n/a	n/a	111.32	0.0
WILLIAMS TRADING/FOX POIN	IT025	SIRI	В	100,000	3.71	n/a	n/a	4,000.00	0.0
THREE G	041	SPY	SS	26,505	177.09	n/a	n/a	795.15	0.0
SAC CHRIS C	041	THOR	SS	25,000	42.01	n/a	n/a	750.00	0.0
TROUBH PART	070	TOL	В	25,000	32.26	n/a	n/a	1,250.00	0.0
FRED ALGER MGMT	300	TYC	S	450	36.35	n/a	26-Apr	16.20	0.0
	NEUBERGER BERMAN  COLUMBUS CIRCLE  ROSEDALE CAPITAL  NEUBERGER BERMAN  THREE G  NEUBERGER BERMAN  NEUBERGER BERMAN  NEUBERGER BERMAN  FSI GROUP, LLC  STATE OF WISCONSIN  COLUMBUS CIRCLE  WILLIAMS TRADING/FOX POIN  THREE G  SAC CHRIS C  TROUBH PART	NEUBERGER BERMAN 036  COLUMBUS CIRCLE 036  ROSEDALE CAPITAL 046  NEUBERGER BERMAN 036  THREE G 041  NEUBERGER BERMAN 036  NEUBERGER BERMAN 036  NEUBERGER BERMAN 036  FSI GROUP, LLC 047  STATE OF WISCONSIN 047  COLUMBUS CIRCLE 036  WILLIAMS TRADING/FOX POINT025  THREE G 041  SAC CHRIS C 041  TROUBH PART 070	NEUBERGER BERMAN 036 MSFT  COLUMBUS CIRCLE 036 MTH  ROSEDALE CAPITAL 046 NEM  NEUBERGER BERMAN 036 NFG  THREE G 041 OC  NEUBERGER BERMAN 036 PFE  NEUBERGER BERMAN 036 POOL  NEUBERGER BERMAN 036 RRC  FSI GROUP, LLC 047 RWT  STATE OF WISCONSIN 047 RWT  COLUMBUS CIRCLE 036 SFLY  WILLIAMS TRADING/FOX POINT025 SIRI  THREE G 041 SPY  SAC CHRIS C 041 THOR  TROUBH PART 070 TOL	NEUBERGER BERMAN 036 MSFT B  COLUMBUS CIRCLE 036 MTH S  ROSEDALE CAPITAL 046 NEM B  NEUBERGER BERMAN 036 NFG B  THREE G 041 OC B  NEUBERGER BERMAN 036 PFE B  NEUBERGER BERMAN 036 POOL B  NEUBERGER BERMAN 036 RRC B  FSI GROUP, LLC 047 RWT S  STATE OF WISCONSIN 047 RWT S  COLUMBUS CIRCLE 036 SFLY B  WILLIAMS TRADING/FOX POINT025 SIRI B  THREE G 041 SPY SS  SAC CHRIS C 041 THOR SS  TROUBH PART 070 TOL B	NEUBERGER BERMAN         036         MSFT         B         15,000           COLUMBUS CIRCLE         036         MTH         S         3,793           ROSEDALE CAPITAL         046         NEM         B         10,000           NEUBERGER BERMAN         036         NFG         B         10,000           THREE G         041         OC         B         131,874           NEUBERGER BERMAN         036         PFE         B         15,000           NEUBERGER BERMAN         036         POOL         B         5,076           NEUBERGER BERMAN         036         RRC         B         10,000           FSI GROUP, LLC         047         RWT         S         72,770           STATE OF WISCONSIN         047         RWT         S         37,230           COLUMBUS CIRCLE         036         SFLY         B         2,783           WILLIAMS TRADING/FOX POINTO25         SIRI         B         100,000           THREE G         041         SPY         SS         26,505           SAC CHRIS C         041         THOR         SS         25,000           TROUBH PART         070         TOL         B         25,000 <td>NEUBERGER BERMAN         036         MSFT         B         15,000         37.38           COLUMBUS CIRCLE         036         MTH         S         3,793         41.21           ROSEDALE CAPITAL         046         NEM         B         10,000         26.93           NEUBERGER BERMAN         036         NFG         B         10,000         70.63           THREE G         041         OC         B         131,874         35.69           NEUBERGER BERMAN         036         PFE         B         15,000         31.45           NEUBERGER BERMAN         036         POOL         B         5,076         53.88           NEUBERGER BERMAN         036         RRC         B         10,000         74.55           FSI GROUP, LLC         047         RWT         S         72,770         17.98           STATE OF WISCONSIN         047         RWT         S         37,230         17.98           COLUMBUS CIRCLE         036         SFLY         B         2,783         48.78           WILLIAMS TRADING/FOX POINTO25         SIRI         B         100,000         3.71           THREE G         041         SPY         SS         26,505         <t< td=""><td>NEUBERGER BERMAN         036         MSFT         B         15,000         37.38         n/a           COLUMBUS CIRCLE         036         MTH         S         3,793         41.21         n/a           ROSEDALE CAPITAL         046         NEM         B         10,000         26.93         n/a           NEUBERGER BERMAN         036         NFG         B         10,000         70.63         n/a           THREE G         041         OC         B         131,874         35.69         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a           NEUBERGER BERMAN         036         RRC         B         10,000         74.55         n/a           FSI GROUP, LLC         047         RWT         S         72,770         17.98         n/a           COLUMBUS CIRCLE         036         SFLY         B         2,783         48.78         n/a           WILLIAMS TRADING/FOX POINTOZ5         SIRI         B         100,000         3.71         n/a           THREE G         041</td><td>NEUBERGER BERMAN         036         MSFT         B         15,000         37.38         n/a         n/a           COLUMBUS CIRCLE         036         MTH         S         3,793         41.21         n/a         n/a           ROSEDALE CAPITAL         046         NEM         B         10,000         26.93         n/a         n/a           NEUBERGER BERMAN         036         NFG         B         10,000         70.63         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         10,000         74.55         n/a         13-Jun           FSI GROUP, LLC         047         RWT         S         72,770         17.98         n/a         n/a           STATE OF WISCONSIN         047         RWT         S         37,230         17.98         n/a         n/a           WILLIAMS TRADING/FOX POINTO25         SIRI         B         100,000         3.71         n/a         n/a           <t< td=""><td>NEUBERGER BERMAN 036 MSFT B 15,000 37.38 n/a n/a 600.00 COLOMBUS CIRCLE 036 MTH S 3,793 41.21 n/a n/a 151.72 ROSEDALE CAPITAL 046 NEM B 10,000 26.93 n/a n/a 400.00 NEUBERGER BERMAN 036 NFG B 10,000 70.63 n/a n/a 400.00 THREE G 041 OC B 131,874 35.69 n/a n/a 3,956.22 NEUBERGER BERMAN 036 PFE B 15,000 31.45 n/a n/a 600.00 NEUBERGER BERMAN 036 PFE B 5,076 53.88 n/a n/a n/a 203.04 NEUBERGER BERMAN 036 RRC B 10,000 74.55 n/a 13-Jun 400.00 FSI GROUP, LLC 047 RWT S 72,770 17.98 n/a n/a 13-Jun 400.00 STATE OF WISCONSIN 047 RWT S 37,230 17.98 n/a n/a n/a 1,489.20 COLOMBUS CIRCLE 036 SFLY B 2,783 48.78 n/a n/a 111.32 WILLIAMS TRADING/FOX POINTO25 SIRI B 100,000 3.71 n/a n/a 795.15 SAC CHRIS C 041 THOR SS 25,000 42.01 n/a n/a 750.00 TROUBH PART 070 TOL B 25,000 32.26 n/a n/a 1,250.00</td></t<></td></t<></td>	NEUBERGER BERMAN         036         MSFT         B         15,000         37.38           COLUMBUS CIRCLE         036         MTH         S         3,793         41.21           ROSEDALE CAPITAL         046         NEM         B         10,000         26.93           NEUBERGER BERMAN         036         NFG         B         10,000         70.63           THREE G         041         OC         B         131,874         35.69           NEUBERGER BERMAN         036         PFE         B         15,000         31.45           NEUBERGER BERMAN         036         POOL         B         5,076         53.88           NEUBERGER BERMAN         036         RRC         B         10,000         74.55           FSI GROUP, LLC         047         RWT         S         72,770         17.98           STATE OF WISCONSIN         047         RWT         S         37,230         17.98           COLUMBUS CIRCLE         036         SFLY         B         2,783         48.78           WILLIAMS TRADING/FOX POINTO25         SIRI         B         100,000         3.71           THREE G         041         SPY         SS         26,505 <t< td=""><td>NEUBERGER BERMAN         036         MSFT         B         15,000         37.38         n/a           COLUMBUS CIRCLE         036         MTH         S         3,793         41.21         n/a           ROSEDALE CAPITAL         046         NEM         B         10,000         26.93         n/a           NEUBERGER BERMAN         036         NFG         B         10,000         70.63         n/a           THREE G         041         OC         B         131,874         35.69         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a           NEUBERGER BERMAN         036         RRC         B         10,000         74.55         n/a           FSI GROUP, LLC         047         RWT         S         72,770         17.98         n/a           COLUMBUS CIRCLE         036         SFLY         B         2,783         48.78         n/a           WILLIAMS TRADING/FOX POINTOZ5         SIRI         B         100,000         3.71         n/a           THREE G         041</td><td>NEUBERGER BERMAN         036         MSFT         B         15,000         37.38         n/a         n/a           COLUMBUS CIRCLE         036         MTH         S         3,793         41.21         n/a         n/a           ROSEDALE CAPITAL         046         NEM         B         10,000         26.93         n/a         n/a           NEUBERGER BERMAN         036         NFG         B         10,000         70.63         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         10,000         74.55         n/a         13-Jun           FSI GROUP, LLC         047         RWT         S         72,770         17.98         n/a         n/a           STATE OF WISCONSIN         047         RWT         S         37,230         17.98         n/a         n/a           WILLIAMS TRADING/FOX POINTO25         SIRI         B         100,000         3.71         n/a         n/a           <t< td=""><td>NEUBERGER BERMAN 036 MSFT B 15,000 37.38 n/a n/a 600.00 COLOMBUS CIRCLE 036 MTH S 3,793 41.21 n/a n/a 151.72 ROSEDALE CAPITAL 046 NEM B 10,000 26.93 n/a n/a 400.00 NEUBERGER BERMAN 036 NFG B 10,000 70.63 n/a n/a 400.00 THREE G 041 OC B 131,874 35.69 n/a n/a 3,956.22 NEUBERGER BERMAN 036 PFE B 15,000 31.45 n/a n/a 600.00 NEUBERGER BERMAN 036 PFE B 5,076 53.88 n/a n/a n/a 203.04 NEUBERGER BERMAN 036 RRC B 10,000 74.55 n/a 13-Jun 400.00 FSI GROUP, LLC 047 RWT S 72,770 17.98 n/a n/a 13-Jun 400.00 STATE OF WISCONSIN 047 RWT S 37,230 17.98 n/a n/a n/a 1,489.20 COLOMBUS CIRCLE 036 SFLY B 2,783 48.78 n/a n/a 111.32 WILLIAMS TRADING/FOX POINTO25 SIRI B 100,000 3.71 n/a n/a 795.15 SAC CHRIS C 041 THOR SS 25,000 42.01 n/a n/a 750.00 TROUBH PART 070 TOL B 25,000 32.26 n/a n/a 1,250.00</td></t<></td></t<>	NEUBERGER BERMAN         036         MSFT         B         15,000         37.38         n/a           COLUMBUS CIRCLE         036         MTH         S         3,793         41.21         n/a           ROSEDALE CAPITAL         046         NEM         B         10,000         26.93         n/a           NEUBERGER BERMAN         036         NFG         B         10,000         70.63         n/a           THREE G         041         OC         B         131,874         35.69         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a           NEUBERGER BERMAN         036         RRC         B         10,000         74.55         n/a           FSI GROUP, LLC         047         RWT         S         72,770         17.98         n/a           COLUMBUS CIRCLE         036         SFLY         B         2,783         48.78         n/a           WILLIAMS TRADING/FOX POINTOZ5         SIRI         B         100,000         3.71         n/a           THREE G         041	NEUBERGER BERMAN         036         MSFT         B         15,000         37.38         n/a         n/a           COLUMBUS CIRCLE         036         MTH         S         3,793         41.21         n/a         n/a           ROSEDALE CAPITAL         046         NEM         B         10,000         26.93         n/a         n/a           NEUBERGER BERMAN         036         NFG         B         10,000         70.63         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         15,000         31.45         n/a         n/a           NEUBERGER BERMAN         036         PFE         B         10,000         74.55         n/a         13-Jun           FSI GROUP, LLC         047         RWT         S         72,770         17.98         n/a         n/a           STATE OF WISCONSIN         047         RWT         S         37,230         17.98         n/a         n/a           WILLIAMS TRADING/FOX POINTO25         SIRI         B         100,000         3.71         n/a         n/a <t< td=""><td>NEUBERGER BERMAN 036 MSFT B 15,000 37.38 n/a n/a 600.00 COLOMBUS CIRCLE 036 MTH S 3,793 41.21 n/a n/a 151.72 ROSEDALE CAPITAL 046 NEM B 10,000 26.93 n/a n/a 400.00 NEUBERGER BERMAN 036 NFG B 10,000 70.63 n/a n/a 400.00 THREE G 041 OC B 131,874 35.69 n/a n/a 3,956.22 NEUBERGER BERMAN 036 PFE B 15,000 31.45 n/a n/a 600.00 NEUBERGER BERMAN 036 PFE B 5,076 53.88 n/a n/a n/a 203.04 NEUBERGER BERMAN 036 RRC B 10,000 74.55 n/a 13-Jun 400.00 FSI GROUP, LLC 047 RWT S 72,770 17.98 n/a n/a 13-Jun 400.00 STATE OF WISCONSIN 047 RWT S 37,230 17.98 n/a n/a n/a 1,489.20 COLOMBUS CIRCLE 036 SFLY B 2,783 48.78 n/a n/a 111.32 WILLIAMS TRADING/FOX POINTO25 SIRI B 100,000 3.71 n/a n/a 795.15 SAC CHRIS C 041 THOR SS 25,000 42.01 n/a n/a 750.00 TROUBH PART 070 TOL B 25,000 32.26 n/a n/a 1,250.00</td></t<>	NEUBERGER BERMAN 036 MSFT B 15,000 37.38 n/a n/a 600.00 COLOMBUS CIRCLE 036 MTH S 3,793 41.21 n/a n/a 151.72 ROSEDALE CAPITAL 046 NEM B 10,000 26.93 n/a n/a 400.00 NEUBERGER BERMAN 036 NFG B 10,000 70.63 n/a n/a 400.00 THREE G 041 OC B 131,874 35.69 n/a n/a 3,956.22 NEUBERGER BERMAN 036 PFE B 15,000 31.45 n/a n/a 600.00 NEUBERGER BERMAN 036 PFE B 5,076 53.88 n/a n/a n/a 203.04 NEUBERGER BERMAN 036 RRC B 10,000 74.55 n/a 13-Jun 400.00 FSI GROUP, LLC 047 RWT S 72,770 17.98 n/a n/a 13-Jun 400.00 STATE OF WISCONSIN 047 RWT S 37,230 17.98 n/a n/a n/a 1,489.20 COLOMBUS CIRCLE 036 SFLY B 2,783 48.78 n/a n/a 111.32 WILLIAMS TRADING/FOX POINTO25 SIRI B 100,000 3.71 n/a n/a 795.15 SAC CHRIS C 041 THOR SS 25,000 42.01 n/a n/a 750.00 TROUBH PART 070 TOL B 25,000 32.26 n/a n/a 1,250.00

Account	RR #	Symbol	B/S	Shares Price	MRI	Research	Comm.¢/Shr.
NORTHWESTERN MUTUAL LIFE	047	UNP	В	45,000 156.64	n/a	n/a	1,800.00 0.0
PALISADE CAPITAL MANAGEME	INT LLC02	5 WTR	В	3,000 25.05		n/a n/a	120.00 0.0
WOOSTER CAPITAL	044	WY	В	25,000 29.12	n/a	19-Jun	1,250.00 0.0

TOTAL (Trade Date): 88,700.45

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	11/07	AMICI CAPITAL N/C (PORTGS)	044	DAL	S	76,700	26.82	n/a	18-Jun	3068.00	0.0
AO,CXL	11/07	AMICI CAPITAL N/C (PORTMS)	044	DAL	S	80,000	26.82	n/a	18-Jun	3200.00	0.0
AO,	11/07	AMICI CAPITAL N/C (PORTMS)	044	DAL	S	3,300	26.82	n/a	18-Jun	132.00	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1143)	046	FINL	S	2,620	24.80	n/a	19-Jun	104.80	0.0
AO,	11/11	CAMBIAR CAP (CAMB1143)	046	FINL	S	2,626	24.80	n/a	19-Jun	105.04	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1451)	046	FINL	S	890	24.80	n/a	19-Jun	35.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB1451)	046	FINL	S	896	24.80	n/a	19-Jun	35.84	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB412)	046	FINL	S	73,290	24.80	n/a	19-Jun	2931.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB412)	046	FINL	S	73 <b>,</b> 295	24.80	n/a	19-Jun	2931.80	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1414)	046	FINL	S	2,590	24.80	n/a	19-Jun	103.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB1414)	046	FINL	S	2,595	24.80	n/a	19-Jun	103.80	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB600)	046	FINL	S	60	24.80	n/a	19-Jun	2.40	0.0
AO,	11/11	CAMBIAR CAP (CAMB600)	046	FINL	S	56	24.80	n/a	19-Jun	2.24	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1412)	046	FINL	S	1,600	24.80	n/a	19-Jun	64.00	0.0
AO,	11/11	CAMBIAR CAP (CAMB1412)	046	FINL	S	1,604	24.80	n/a	19-Jun	64.16	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1410)	046	FINL	S	3,250	24.80	n/a	19-Jun	130.00	0.0
AO,	11/11	CAMBIAR CAP (CAMB1410)	046	FINL	S	3,256	24.80	n/a	19-Jun	130.24	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1385)	046	FINL	S	70	24.80	n/a	19-Jun	2.80	0.0
AO,	11/11	CAMBIAR CAP (CAMB1385)	046	FINL	S	71	24.80	n/a	19-Jun	2.84	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1389)	046	FINL	S	1,990	24.80	n/a	19-Jun	79.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB1389)	046	FINL	S	1,989	24.80	n/a	19-Jun	79.56	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1377)	046	FINL	S	590	24.80	n/a	19-Jun	23.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB1377)	046	FINL	S	590	24.80	n/a	19-Jun	23.60	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1371)	046	FINL	S	27,340	24.80	n/a	19-Jun	1093.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB1371)	046	FINL	S	27,339	24.80	n/a	19-Jun	1093.56	0.0
AO,CXL		CAMBIAR CAP (CAMB1333)	046								

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	11/11	CAMBIAR CAP (CAMB1333)	046	FINL	S	54	24.80		19-Jun	2.16	0.0
AO, CXL	11/11	CAMBIAR CAP (CAMB1332)	046	FINL	S	250	24.80	n/a	19-Jun	10.00	0.0
AO,	11/11	CAMBIAR CAP (CAMB1332)	046	FINL	S	244	24.80	n/a	19-Jun	9.76	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1321)	046	FINL	S	40	24.80	n/a	19-Jun	1.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB1321)	046	FINL	S	40	24.80	n/a	19-Jun	1.60	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1260)	046	FINL	S	2,090	24.80	n/a	19-Jun	83.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB1260)	046	FINL	S	2,092	24.80	n/a	19-Jun	83.68	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1252)	046	FINL	S	50	24.80	n/a	19-Jun	2.00	0.0
AO,	11/11	CAMBIAR CAP (CAMB1252)	046	FINL	S	51	24.80	n/a	19-Jun	2.04	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1251)	046	FINL	S	130	24.80	n/a	19-Jun	5.20	0.0
AO,	11/11	CAMBIAR CAP (CAMB1251)	046	FINL	S	126	24.80	n/a	19-Jun	5.04	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1200)	046	FINL	S	610	24.80	n/a	19-Jun	24.40	0.0
AO,	11/11	CAMBIAR CAP (CAMB1200)	046	FINL	S	605	24.80	n/a	19-Jun	24.20	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1188)	046	FINL	S	290	24.80	n/a	19-Jun	11.60	0.0
AO,	11/11	CAMBIAR CAP (CAMB1188)	046	FINL	S	284	24.80	n/a	19-Jun	11.36	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1187)	046	FINL	S	400	24.80	n/a	19-Jun	16.00	0.0
AO,	11/11	CAMBIAR CAP (CAMB1187)	046	FINL	S	394	24.80	n/a	19-Jun	15.76	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1179)	046	FINL	S	260	24.80	n/a	19-Jun	10.40	0.0
AO,	11/11	CAMBIAR CAP (CAMB1179)	046	FINL	S	260	24.80	n/a	19-Jun	10.40	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1166)	046	FINL	S	320	24.80	n/a	19-Jun	12.80	0.0
AO,	11/11	CAMBIAR CAP (CAMB1166)	046	FINL	S	315	24.80	n/a	19-Jun	12.60	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1152)	046	FINL	S	120	24.80	n/a	19-Jun	4.80	0.0
AO,	11/11	CAMBIAR CAP (CAMB1152)	046	FINL	S	118	24.80	n/a	19-Jun	4.72	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1160)	046	FINL	S	650	24.80	n/a	19-Jun	26.00	0.0
AO,	11/11	CAMBIAR CAP (CAMB1160)	046	FINL	S	652	24.80	n/a	19-Jun	26.08	0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1448)	046	FINL	S	1,960	24.80	n/a	19-Jun	78.40	0.0
AO,	11/11	CAMBIAR CAP (CAMB1448)	046	FINL	S	1,966	24.80	n/a	19-Jun	78.64	0.0

TOTAL (AO, CXL, CRT):

0.00

TOTAL (RUN DATE) / NFS:	88,700.45
TOTAL (AO, CXL, CRT):	0.00
TOTAL (Trade Date):	88,700.45

## Legend:

O: 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