

Daily Compliance Activity Report Trade Date: 06/15/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| | | | | | 1011 | | IIIIIII | TRUDE VIO | E21110110 : 0 |
|---------------------|------|--------|-----|--------|--------|-----|----------|-----------|---------------|
| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
| PIONEER OAKRIDGE | 031 | AAPL | S | 560 | 259.14 | n/a | n/a | 11.20 | 2.0 |
| PIONEER OAKRIDGE | 031 | ABT | S | 1,765 | 47.99 | n/a | n/a | 35.30 | 2.0 |
| PIONEER OAKRIDGE | 031 | ADBE | S | 1,840 | 32.46 | n/a | n/a | 36.80 | 2.0 |
| EXIS CAPITAL | 044 | AEO | В | 5,000 | 13.39 | n/a | 4-Jun | 250.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | AGN | S | 1,105 | 61.47 | n/a | 14-Jun | 22.10 | 2.0 |
| ROYCE TRADING | 012 | AIN | В | 500 | 18.60 | n/a | n/a | 25.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | ALTR | S | 1,370 | 25.36 | n/a | n/a | 27.40 | 2.0 |
| BERMAN CAPITAL MGMT | 046 | ANN | В | 5,000 | 21.96 | n/a | n/a | 150.00 | 3.0 |
| PIONEER OAKRIDGE | 031 | APH | S | 855 | 42.89 | n/a | n/a | 17.10 | 2.0 |
| BERMAN CAPITAL MGMT | 046 | APP | В | 2,000 | 1.95 | n/a | n/a | 60.00 | 3.0 |
| EXIS CAPITAL | 044 | ARO | В | 5,000 | 30.25 | n/a | 4-Jun | 250.00 | 5.0 |
| ROYCE TRADING | 012 | BAS | В | 11,000 | 8.62 | n/a | n/a | 550.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | BAX | S | 1,140 | 42.19 | n/a | n/a | 22.80 | 2.0 |
| PIONEER OAKRIDGE | 031 | BBY | S | 1,705 | 38.39 | n/a | n/a | 34.10 | 2.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | /Shr. | |
|---------------------------|----------|--------|-----|--------|---------|-----|----------|----------|--------|-----|
| PIONEER OAKRIDGE | 031 | BDX | S | 825 | 70.62 | n/a | n/a | 16.50 | 2.0 | |
| CATAPULT | 040 | BEN | В | 2,500 | 93.74 | n/a | 2-Mar | 125.00 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | вЈ | SS | 20,000 | 38.87 | n/a | n/a | 800.00 | 4.0 | |
| CATAPULT | 040 | BLK | S | 2,500 | 162.78 | n/a | n/a | 125.00 | 5.0 | |
| BALYASNY ASSET MGMT | 044 | BRKB | В | 50,000 | 76.59 | n/a | n/a | 2,500.00 | 5.0 | |
| ROYCE TRADING | 012 | BWS | S | 10,000 | 17.25 | n/a | n/a | 500.00 | 5.0 | |
| STANDARD PACIFIC CAPITAL | 040 | BYI | SS | 20,000 | 40.66 | n/a | n/a | 800.00 | 4.0 | |
| ROYCE TRADING | 012 | BZ | В | 2,000 | 5.82 | n/a | n/a | 100.00 | 5.0 | |
| TRELLUS PARTNERS LP | 028 | BZ | S | 25,000 | 6.01 | n/a | n/a | 750.00 | 3.0 | |
| | | | 5 | | | | | | | 0 |
| WEDBUSH/PACIFIC GROWTH EQ | II TTC08 | 4 BZ | | S 10, | 000 5.9 | 70 | n/a | n/a 400 | .00 4. | . 0 |
| ROYCE TRADING | 012 | В | В | 5,500 | 18.33 | n/a | n/a | 275.00 | 5.0 | |
| JP MORGAN VENTURES | 046 | CAT | SS | 5,000 | 62.22 | n/a | 12-May | 250.00 | 5.0 | |
| BNP PARIBAS SEC | 040 | CBE | В | 15,000 | 48.37 | n/a | 27-May | 600.00 | 4.0 | |
| PIONEER OAKRIDGE | 031 | CELG | S | 1,050 | 54.82 | n/a | n/a | 21.00 | 2.0 | |
| MERRILL ASSET/BLACKROCK | 266 | CLX | S | 53,500 | 64.62 | n/a | 6-May | 2,140.00 | 4.0 | |
| ENTRUST CAPITAL | 040 | CPLA | SS | 25,900 | 84.07 | n/a | n/a | 1,295.00 | 5.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. | |
|---------------------------|--|---|--|--|--|---|---|---|---|---|
| PIONEER OAKRIDGE | 031 | CSCO | S | 2,830 | 23.40 | n/a | n/a | 56.60 | 2.0 | |
| PIONEER OAKRIDGE | 031 | CTSH | S | 1,465 | 53.42 | n/a | n/a | 29.30 | 2.0 | |
| ROYCE TRADING | 012 | CTS | S | 500 | 10.53 | n/a | n/a | 25.00 | 5.0 | |
| MARINER/TRICADIA | 041 | CXW | S | 30,000 | 21.05 | n/a | n/a | 1,500.00 | 5.0 | |
| FIRST NY SEC/CHRIS | 041 | С | В | 25,000 | 3.97 | n/a | 15-Jun | 0.00 | 0.0 | |
| PIONEER OAKRIDGE | 031 | DHR | S | 2,035 | 40.45 | n/a | n/a | 61.05 | 3.0 | |
| WEDBUSH/PACIFIC GROWTH EQ | TY LLC08 | 4 DKS | | SS 10, | 000 28.11 | | n/a 11-Jur | n 500 | 0.00 | 5.0 |
| BERMAN CAPITAL MGMT | 046 | DSW | В | 3,000 | 27.25 | n/a | 11-Jun | 90.00 | 3.0 | |
| PIONEER OAKRIDGE | 031 | ECL | S | 1,365 | 47.07 | n/a | 26-May | 27.30 | 2.0 | |
| ROTHSCHILD ASSET | 040 | EMS | S | 15,520 | 55.80 | n/a | n/a | 620.80 | 4.0 | |
| PIONEER OAKRIDGE | 031 | ESRX | S | 1,560 | 53.21 | n/a | n/a | 46.80 | 3.0 | |
| BNP PARIBAS SEC | 040 | ETN | SS | 10,000 | 74.46 | n/a | 27-May | 400.00 | 4.0 | |
| BERMAN CAPITAL MGMT | 046 | FINL | В | 2,000 | 16.60 | n/a | n/a | 60.00 | 3.0 | |
| LEVIN CAPITAL STRATEGIES | 012 | FL | В | 50,000 | 14.80 | n/a | 11-Jun | 1,500.00 | 3.0 | |
| ROYCE TRADING | 012 | FRM | В | 12,500 | 4.51 | n/a | n/a | 375.00 | 3.0 | |
| | PIONEER OAKRIDGE PIONEER OAKRIDGE ROYCE TRADING MARINER/TRICADIA FIRST NY SEC/CHRIS PIONEER OAKRIDGE WEDBUSH/PACIFIC GROWTH EQUITAL MGMT PIONEER OAKRIDGE ROTHSCHILD ASSET PIONEER OAKRIDGE BNP PARIBAS SEC BERMAN CAPITAL MGMT LEVIN CAPITAL STRATEGIES | PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 ROYCE TRADING 012 MARINER/TRICADIA 041 FIRST NY SEC/CHRIS 041 PIONEER OAKRIDGE 031 WEDBUSH/PACIFIC GROWTH EQTY LLC08 BERMAN CAPITAL MGMT 046 PIONEER OAKRIDGE 031 ROTHSCHILD ASSET 040 PIONEER OAKRIDGE 031 BNP PARIBAS SEC 040 BERMAN CAPITAL MGMT 046 LEVIN CAPITAL STRATEGIES 012 | PIONEER OAKRIDGE 031 CSCO ROYCE TRADING 012 CTS MARINER/TRICADIA 041 CXW FIRST NY SEC/CHRIS 041 C PIONEER OAKRIDGE 031 DHR WEDBUSH/PACIFIC GROWTH EQTY LLC084 DKS BERMAN CAPITAL MGMT 046 DSW PIONEER OAKRIDGE 031 ECL ROTHSCHILD ASSET 040 EMS PIONEER OAKRIDGE 031 ESRX BNP PARIBAS SEC 040 ETN BERMAN CAPITAL MGMT 046 FINL LEVIN CAPITAL STRATEGIES 012 FL | PIONEER OAKRIDGE 031 CSCO S PIONEER OAKRIDGE 031 CTSH S ROYCE TRADING 012 CTS S MARINER/TRICADIA 041 CXW S FIRST NY SEC/CHRIS 041 C B PIONEER OAKRIDGE 031 DHR S WEDBUSH/PACIFIC GROWTH EQTY LLC084 DKS B PIONEER OAKRIDGE 031 ECL S ROTHSCHILD ASSET 040 EMS S PIONEER OAKRIDGE 031 ESRX S PIONEER OAKRIDGE 031 ESRX S BENP PARIBAS SEC 040 ETN SS BERMAN CAPITAL MGMT 046 FINL B LEVIN CAPITAL STRATEGIES 012 FL B | PIONEER OAKRIDGE 031 CSCO S 2,830 PIONEER OAKRIDGE 031 CTSH S 1,465 ROYCE TRADING 012 CTS S 500 MARINER/TRICADIA 041 CXW S 30,000 FIRST NY SEC/CHRIS 041 C B 25,000 PIONEER OAKRIDGE 031 DHR S 2,035 WEDBUSH/PACIFIC GROWTH EQTY LLC084 DKS SS 10, BERMAN CAPITAL MGMT 046 DSW B 3,000 PIONEER OAKRIDGE 031 ECL S 1,365 ROTHSCHILD ASSET 040 EMS S 15,520 PIONEER OAKRIDGE 031 ESRX S 1,560 BNP PARIBAS SEC 040 ETN SS 10,000 BERMAN CAPITAL MGMT 046 FINL B 2,000 LEVIN CAPITAL MGMT 046 FINL B 50,000 | PIONEER OAKRIDGE 031 CSCO S 2,830 23.40 PIONEER OAKRIDGE 031 CTSH S 1,465 53.42 ROYCE TRADING 012 CTS S 500 10.53 MARINER/TRICADIA 041 CXW S 30,000 21.05 FIRST NY SEC/CHRIS 041 C B 25,000 3.97 PIONEER OAKRIDGE 031 DHR S 2,035 40.45 WEDBUSH/PACIFIC GROWTH EQTY LLC084 DKS SS 10,000 27.25 PIONEER OAKRIDGE 031 ECL S 1,365 47.07 ROTHSCHILD ASSET 040 EMS S 15,520 55.80 PIONEER OAKRIDGE 031 ESRX S 10,000 74.46 BERMAN CAPITAL MGMT 046 FINL B 2,000 16.60 LEVIN CAPITAL STRATEGIES 012 FL B 50,000 14.80 | PIONEER OAKRIDGE 031 CTSH S 1,465 53.42 n/a ROYCE TRADING 012 CTS S 500 10.53 n/a MARINER/TRICADIA 041 CXW S 30,000 21.05 n/a FIRST NY SEC/CHRIS 041 C B 25,000 3.97 n/a PIONEER OAKRIDGE 031 DHR S 2,035 40.45 n/a WEDBUSH/PACIFIC GROWTH EQTY LLCO84 DKS S 10,000 28.11 BERMAN CAPITAL MGMT 046 DSW B 3,000 27.25 n/a ROTHSCHILD ASSET 040 EMS S 1,365 47.07 n/a ROTHSCHILD ASSET 040 EMS S 15,520 55.80 n/a BNP PARIBAS SEC 040 ETN SS 10,000 74.46 n/a BERMAN CAPITAL MGMT 046 FINL B 2,000 16.60 n/a LEVIN CAPITAL MGMT 046 FINL B 50,000 14.80 n/a | PIONEER OAKRIDGE 031 CSCO S 2,830 23.40 | PIONEER OAKRIDGE 031 CSC0 S 2,830 23.40 | PIONEER OAKRIDGE 031 CSC0 S 2,830 23.40 |

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|--------------------------|------|--------|-----|-----------------|--------|-----|----------|-----------|------|
| ROYCE TRADING | 012 | FSS | S | 500 | 6.61 | n/a | n/a | 25.00 | 5.0 |
| MUHLENKAMP FUND | 046 | F | В | 1,150,000 | 11.66 | n/a | 3-Jun | 57,500.00 | 5.0 |
| OZ MGMT | 040 | F | SS | 220,843 | 11.58 | n/a | 3-Jun | 6,625.29 | 3.0 |
| OZ MGMT | 040 | F | S | 34,157 | 11.55 | n/a | 3-Jun | 1,024.71 | 3.0 |
| TROUBH PART | 067 | F | В | 50,000 | 11.74 | n/a | 3-Jun | 2,500.00 | 5.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | GES | В | 100,000 | 36.17 | n/a | 28-May | 3,000.00 | 3.0 |
| CHART WELL ADV | 028 | GET | В | 26,821 | 26.02 | n/a | n/a | 1,072.84 | 4.0 |
| PIONEER OAKRIDGE | 031 | GILD | S | 1,930 | 35.18 | n/a | n/a | 38.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | GOOG | S | 240 | 498.95 | n/a | n/a | 4.80 | 2.0 |
| BERMAN CAPITAL MGMT | 046 | GPS | В | 5,000 | 22.20 | n/a | n/a | 150.00 | 3.0 |
| CHART WELL ADV | 028 | GYMB | S | 36 , 875 | 45.44 | n/a | 10-Jun | 1,475.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | HPQ | S | 2,170 | 47.72 | n/a | n/a | 43.40 | 2.0 |
| PILOT ROCK | 028 | HTZ | В | 100,000 | 10.87 | n/a | n/a | 4,000.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | IBM | S | 790 | 129.60 | n/a | n/a | 15.80 | 2.0 |
| ROSEDALE CAPITAL | 046 | IBM | В | 10,000 | 129.27 | n/a | n/a | 500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | ICE | S | 490 | 123.70 | n/a | n/a | 9.80 | 2.0 |
| PIONEER OAKRIDGE | 031 | INTC | S | 4,050 | 21.51 | n/a | n/a | 81.00 | 2.0 |
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|--------------------------|------|--------|-----|----------------|-------|-----|----------|----------|--------|
| ROYCE TRADING | 012 | IN | В | 5,000 | 10.91 | n/a | n/a | 250.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | В | 40,000 | 25.26 | n/a | 29-Apr | 2,000.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | ITW | S | 1,460 | 46.48 | n/a | 30-Apr | 29.20 | 2.0 |
| PIONEER OAKRIDGE | 031 | IVZ | S | 2,900 | 19.36 | n/a | 2-Mar | 58.00 | 2.0 |
| MARINER/TRICADIA | 041 | IWM | В | 10,000 | 66.32 | n/a | n/a | 500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | JCI | S | 1,955 | 29.36 | n/a | 27-May | 39.10 | 2.0 |
| EXIS CAPITAL | 044 | JNY | В | 5,000 | 19.38 | n/a | 14-May | 250.00 | 5.0 |
| BERMAN CAPITAL MGMT | 046 | JPM | В | 5 , 000 | 37.55 | n/a | 15-Jun | 150.00 | 3.0 |
| EXIS CAPITAL | 044 | JPM | В | 20,000 | 38.25 | n/a | 15-Jun | 1,000.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | JWN | S | 1,705 | 39.98 | n/a | 4-Jun | 34.10 | 2.0 |
| EXIS CAPITAL | 044 | KSS | В | 5 , 000 | 51.80 | n/a | 4-Jun | 250.00 | 5.0 |
| GALT INVESTMENT | 041 | KSS | S | 30,000 | 52.70 | n/a | 4-Jun | 1,500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | K | S | 1,250 | 54.53 | n/a | n/a | 25.00 | 2.0 |
| THOMPSON SIEGAL&WALMSLEY | 029 | LHO | В | 5,700 | 23.90 | n/a | n/a | 171.00 | 3.0 |
| FIRST NEW YORK LEDDY | 035 | LVLT | S | 20,000 | 1.23 | n/a | n/a | 800.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | MSFT | S | 4,030 | 26.51 | n/a | n/a | 80.60 | 2.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. | |
|---|------------|------------|--------|----------------|----------------|------------|------------|-----------------|--------|--|
| PAW PARTNERS | 045 | NUAN | S | 10,000 | 17.25 | n/a | n/a | 500.00 | 5.0 | |
| THE JAY GOLDMAN | 028 | OEH | S | 10,000 | 9.35 | n/a | n/a | 400.00 | 4.0 | |
| PIONEER OAKRIDGE | 031 | ORLY | S | 1,615 | 50.99 | n/a | n/a | 32.30 | 2.0 | |
| COHE & STEERS | 041 | PCL | S | 21,400 | 36.79 | n/a | 27-Apr | 856.00 | 4.0 | |
| PIONEER OAKRIDGE | 031 | PCP | S | 515 | 112.36 | n/a | 15-Jun | 10.30 | 2.0 | |
| BERMAN CAPITAL MGMT PIONEER OAKRIDGE | 046 031 | PEP PEP | B S | 4,000 1,265 | 63.88 64.20 | n/a n/a | n/a n/a | 120.00 25.30 | 3.0 | |
| PIONEER OAKRIDGE | 031 | PG | S | 1,510 | 61.69 | n/a | 4-Jun | 30.20 | 2.0 | |
| ASCEND PARTNERS | 033 | PLCE | S | 93,214 | 48.82 | n/a | 3-Jun | 4,660.70 | 5.0 | |
| BUCK CAPITAL MGMT | 001 | PSS | S | 150,000 | 19.45 | n/a | n/a | 6,000.00 | 4.0 | |
| BERMAN CAPITAL MGMT | 046 | PXP | В | 5,000 | 23.95 | n/a | n/a | 150.00 | 3.0 | |
| PIONEER OAKRIDGE | 031 | PX | S | 765 | 78.72 | n/a | 10-May | 15.30 | 2.0 | |
| PIONEER OAKRIDGE | 031 | QCOM | S | 1,780 | 35.46 | n/a | n/a | 35.60 | 2.0 | |
| SYSTEMATIC FINANCIAL MGT | 035 | RAI | В | 98,600 | 52.58 | n/a | n/a | 2,958.00 | 3.0 | |
| BASIX | 033 | RST | SS | 28,000 | 24.54 | n/a | n/a | 840.00 | 3.0 | |
| PIONEER OAKRIDGE | 031 | RTN | S | 1,195 | 52.75 | n/a | 23-Apr | 23.90 | 2.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
|--------------------------|--|---|---|---|--|---|--|--|--|
| PIONEER OAKRIDGE | 031 | SCHW | S | 2,210 | 15.93 | n/a | n/a | 44.20 | 2.0 |
| BUCK CAPITAL MGMT | 001 | SHW | SS | 10,000 | 77.55 | n/a | 24-May | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | SIG | S | 20,000 | 32.08 | n/a | n/a | 800.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | SLB | S | 815 | 60.62 | n/a | n/a | 16.30 | 2.0 |
| PIONEER OAKRIDGE | 031 | SPLS | S | 3,225 | 22.11 | n/a | n/a | 64.50 | 2.0 |
| SENATOR INVESTMENT GROUP | 036 | ST | S | 55,491 | 17.37 | n/a | n/a | 1,664.73 | 3.0 |
| PIONEER OAKRIDGE | 031 | SWN | S | 1,235 | 44.64 | n/a | 3-Jun | 24.70 | 2.0 |
| PIONEER OAKRIDGE | 031 | SYK | S | 1,365 | 51.42 | n/a | n/a | 27.30 | 2.0 |
| BERMAN CAPITAL MGMT | 046 | TGT | S | 10,000 | 54.48 | n/a | 4-Jun | 300.00 | 3.0 |
| PIONEER OAKRIDGE | 031 | TGT | S | 1,730 | 54.55 | n/a | 4-Jun | 34.60 | 2.0 |
| BMO NESBITT BURNS | 041 | TIN | SS | 25,000 | 23.09 | n/a | 21-Apr | 1,250.00 | 5.0 |
| CHART WELL ADV | 028 | TIVO | S | 20,000 | 8.14 | n/a | n/a | 800.00 | 4.0 |
| EXIS CAPITAL | 044 | TJX | SS | 5,000 | 46.35 | n/a | 4-Jun | 250.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | TMO | S | 1,505 | 53.09 | n/a | n/a | 30.10 | 2.0 |
| COUGAR TRADING | 044 | TM | В | 10,000 | 72.59 | n/a | n/a | 500.00 | 5.0 |
| PAW PARTNERS | 045 | TNS | В | 10,000 | 19.42 | n/a | n/a | 500.00 | 5.0 |
| | BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT PIONEER OAKRIDGE PIONEER OAKRIDGE SENATOR INVESTMENT GROUP PIONEER OAKRIDGE PIONEER OAKRIDGE BERMAN CAPITAL MGMT PIONEER OAKRIDGE BMO NESBITT BURNS CHART WELL ADV EXIS CAPITAL PIONEER OAKRIDGE COUGAR TRADING | BUCK CAPITAL MGMT 001 BUCK CAPITAL MGMT 001 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 SENATOR INVESTMENT GROUP 036 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 BERMAN CAPITAL MGMT 046 PIONEER OAKRIDGE 031 BMO NESBITT BURNS 041 CHART WELL ADV 028 EXIS CAPITAL 044 PIONEER OAKRIDGE 031 COUGAR TRADING 044 | BUCK CAPITAL MGMT 001 SHW BUCK CAPITAL MGMT 001 SIG PIONEER OAKRIDGE 031 SLB PIONEER OAKRIDGE 031 SPLS SENATOR INVESTMENT GROUP 036 ST PIONEER OAKRIDGE 031 SWN PIONEER OAKRIDGE 031 SYK BERMAN CAPITAL MGMT 046 TGT PIONEER OAKRIDGE 031 TGT BMO NESBITT BURNS 041 TIN CHART WELL ADV 028 TIVO EXIS CAPITAL 044 TJX PIONEER OAKRIDGE 031 TMO COUGAR TRADING 044 TM | BUCK CAPITAL MGMT 001 SHW SS BUCK CAPITAL MGMT 001 SIG S PIONEER OAKRIDGE 031 SLB S PIONEER OAKRIDGE 031 SPLS S SENATOR INVESTMENT GROUP 036 ST S PIONEER OAKRIDGE 031 SWN S PIONEER OAKRIDGE 031 SWN S PIONEER OAKRIDGE 031 SYK S BERMAN CAPITAL MGMT 046 TGT S PIONEER OAKRIDGE 031 TGT S BMO NESBITT BURNS 041 TIN SS CHART WELL ADV 028 TIVO S EXIS CAPITAL 044 TJX SS PIONEER OAKRIDGE 031 TMO S COUGAR TRADING 044 TM B | BUCK CAPITAL MGMT 001 SHW SS 10,000 BUCK CAPITAL MGMT 001 SIG S 20,000 PIONEER OAKRIDGE 031 SLB S 815 PIONEER OAKRIDGE 031 SPLS S 3,225 SENATOR INVESTMENT GROUP 036 ST S 55,491 PIONEER OAKRIDGE 031 SWN S 1,235 PIONEER OAKRIDGE 031 SYK S 1,365 BERMAN CAPITAL MGMT 046 TGT S 10,000 PIONEER OAKRIDGE 031 TGT S 1,730 BMO NESBITT BURNS 041 TIN SS 25,000 CHART WELL ADV 028 TIVO S 20,000 EXIS CAPITAL 044 TJX SS 5,000 PIONEER OAKRIDGE 031 TMO S 1,505 COUGAR TRADING 044 TM B 10,000 | BUCK CAPITAL MGMT 001 SHW SS 10,000 77.55 BUCK CAPITAL MGMT 001 SIG S 20,000 32.08 PIONEER OAKRIDGE 031 SLB S 815 60.62 PIONEER OAKRIDGE 031 SPLS S 3,225 22.11 SENATOR INVESTMENT GROUP 036 ST S 55,491 17.37 PIONEER OAKRIDGE 031 SWN S 1,235 44.64 PIONEER OAKRIDGE 031 SYK S 1,365 51.42 BERMAN CAPITAL MGMT 046 TGT S 10,000 54.48 PIONEER OAKRIDGE 031 TGT S 1,730 54.55 BMO NESBITT BURNS 041 TIN SS 25,000 23.09 CHART WELL ADV 028 TIVO S 20,000 8.14 EXIS CAPITAL 044 TJX SS 5,000 46.35 PIONEER OAKRIDGE 031 TMO S 1,505 53.09 COUGAR TRADING 044 TM B 10,000 72.59 | PIONEER OAKRIDGE 031 SCHW S 2,210 15.93 n/a BUCK CAPITAL MGMT 001 SHW SS 10,000 77.55 n/a BUCK CAPITAL MGMT 001 SIG S 20,000 32.08 n/a PIONEER OAKRIDGE 031 SLB S 815 60.62 n/a PIONEER OAKRIDGE 031 SPLS S 3,225 22.11 n/a SENATOR INVESTMENT GROUP 036 ST S 55,491 17.37 n/a PIONEER OAKRIDGE 031 SWN S 1,235 44.64 n/a PIONEER OAKRIDGE 031 SYK S 1,365 51.42 n/a BERMAN CAPITAL MGMT 046 TGT S 10,000 54.48 n/a PIONEER OAKRIDGE 031 TGT S 10,000 54.55 n/a BMO NESBITT BURNS 041 TIN SS 25,000 23.09 n/a CHART WELL ADV 028 TIVO S 20,000 8.14 n/a PIONEER OAKRIDGE 031 TMO S 1,505 53.09 n/a COUGAR TRADING 044 TM B 10,000 72.59 n/a | PIONEER OAKRIDGE 031 SCHW S 2,210 15.93 n/a n/a BUCK CAPITAL MGMT 001 SHW SS 10,000 77.55 n/a 24-May BUCK CAPITAL MGMT 001 SIG S 20,000 32.08 n/a n/a PIONEER OAKRIDGE 031 SLB S 815 60.62 n/a n/a PIONEER OAKRIDGE 031 SPLS S 3,225 22.11 n/a n/a SENATOR INVESTMENT GROUP 036 ST S 55,491 17.37 n/a n/a PIONEER OAKRIDGE 031 SWN S 1,235 44.64 n/a 3-Jun PIONEER OAKRIDGE 031 SYK S 1,365 51.42 n/a n/a BERMAN CAPITAL MGMT 046 TGT S 10,000 54.48 n/a 4-Jun PIONEER OAKRIDGE 031 TGT S 1,730 54.55 n/a 4-Jun BMO NESBITT BURNS 041 TIN SS 25,000 23.09 n/a 21-Apr CHART WELL ADV 028 TIVO S 20,000 8.14 n/a n/a EXIS CAPITAL 044 TJX SS 5,000 46.35 n/a 4-Jun PIONEER OAKRIDGE 031 TMO S 1,505 53.09 n/a n/a COUGAR TRADING 044 TM B 10,000 72.59 n/a n/a | PIONEER OAKRIDGE 031 SCHW S 2,210 15.93 n/a n/a n/a 44.20 BUCK CAPITAL MGMT 001 SHW SS 10,000 77.55 n/a 24-May 400.00 BUCK CAPITAL MGMT 001 SIG S 20,000 32.08 n/a n/a n/a 800.00 PIONEER OAKRIDGE 031 SLB S 815 60.62 n/a n/a 16.30 PIONEER OAKRIDGE 031 SPLS S 3,225 22.11 n/a n/a n/a 64.50 SENATOR INVESTMENT GROUP 036 ST S 55,491 17.37 n/a n/a n/a 1,664.73 PIONEER OAKRIDGE 031 SWN S 1,235 44.64 n/a 3-Jun 24.70 PIONEER OAKRIDGE 031 SYK S 1,365 51.42 n/a n/a 27.30 BERMAN CAPITAL MGMT 046 TOT S 10,000 54.48 n/a 4-Jun 300.00 PIONEER OAKRIDGE 031 TGT S 1,730 54.55 n/a 4-Jun 34.60 BMO NESBITT BURNS 041 TIN SS 25,000 23.09 n/a 21-Apr 1,250.00 CHART WELL ADV 028 TIVO S 20,000 8.14 n/a n/a 800.00 EXIS CAPITAL 044 TJX SS 5,000 46.35 n/a 4-Jun 250.00 PIONEER OAKRIDGE 031 TMO S 1,505 53.09 n/a 1/a 30.10 COUGAR TRADING 044 TM B 10,000 72.59 n/a n/a 500.00 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | Shr. |
|--------------------------|------|--------|-----|---------|-------|-----|----------|-----------|------|
| BALYASNY ASSET MGMT | 044 | TPX | С | 35,000 | 33.62 | n/a | n/a | 1,750.00 | 5.0 |
| LEVIN CAPITAL STRATEGIES | 012 | TPX | С | 15,000 | 33.63 | n/a | n/a | 450.00 | 3.0 |
| SCOUT/UMB | 047 | UNT | В | 45,950 | 46.88 | n/a | 3-Jun | 2,297.50 | 5.0 |
| BNP PARIBAS SEC | 040 | URBN | SS | 1,100 | 37.55 | n/a | n/a | 44.00 | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | URBN | SS | 100,000 | 37.59 | n/a | n/a | 3,000.00 | 3.0 |
| PIONEER OAKRIDGE | 031 | UTX | S | 1,045 | 68.36 | n/a | n/a | 20.90 | 2.0 |
| RBC CAPITAL MARKETS | 040 | VALE | SS | 50,000 | 27.32 | n/a | n/a | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | VFC | s | 40,000 | 79.26 | n/a | 14-May | 1,600.00 | 4.0 |
| JP MORGAN VENTURES | 046 | VLO | В | 50,000 | 18.14 | n/a | n/a | 2,500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | V | S | 1,060 | 76.69 | n/a | 24-May | 21.20 | 2.0 |
| STANDARD PACIFIC CAPITAL | 040 | WMS | В | 40,000 | 45.70 | n/a | n/a | 1,600.00 | 4.0 |
| ARMATURE CAPITAL | 040 | WY | В | 30,000 | 40.67 | n/a | 27-May | 1,200.00 | 4.0 |
| COHE & STEERS | 041 | WY | S | 298,644 | 40.66 | n/a | 27-May | 11,945.76 | 4.0 |
| RBC CAPITAL MARKETS | 040 | WY | SS | 20,000 | 40.57 | n/a | 27-May | 800.00 | 4.0 |

TOTAL (Trade Date): 155,277.78

Cancel/Corrects and As-Of Trades

| Туре | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm | .¢/Shr. |
|-------|-------|-------------------------------|------|--------|-----|--------|-------|-----|--------------|---------|---------|
| CRT | 06/15 | MARINER/TRICADIA (MARITRICAD) | 041 | CXW | S | 30,000 | 21.05 | n/a | n/a | 1500.00 | 5.0 |
| TOTAL | (AO, | CXL, CRT): | | | | | | | 1, | 500.00 | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |
| TOTAL | (Trad | e Date): | | | | | | | 155 , | 277.78 | |
| TOTAL | (AO, | CXL, CRT): | | | | | | | 1, | 500.00 | |
| TOTAL | (RUN | DATE) / NFS: | | | | | | | 156, | 777.78 | |

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