

SEC Rule 606 Report - MR Beal & Company - 3rd Qtr, 2011

(Percentages of Total Non-Directed Orders Routed to Individual Route Venues)

Securities Listed on New York Stock Exchange Euronext

| Route Venues | Publicly Posted Percentages | | | | Private Supporting Data | | | | | | | |
|-------------------|-----------------------------|------------|-----------|------------|-------------------------|------------|-----------|--------------|--------------|-------------|-------------|---------------|
| | Total (%) | Market (%) | Limit (%) | Other (%) | Total (#) | Market (#) | Limit (#) | Other (#) | *Unknown (#) | Market (%) | Limit (%) | Other (%) |
| Total (%) | 100 | 0 | 0 | 100 | 7,720 | 0 | 0 | 7,720 | 0 | 0.00 | 0.00 | 100.00 |
| Credit Suisse | 50.18 | 0.00 | 0.00 | 50.18 | 3,874 | 0 | 0 | 3,874 | 0 | 0.00 | 0.00 | 100.00 |
| Knight Direct EMS | 19.84 | 0.00 | 0.00 | 19.84 | 1,532 | 0 | 0 | 1,532 | 0 | 0.00 | 0.00 | 100.00 |
| Archipelago LLC | 17.16 | 0.00 | 0.00 | 17.16 | 1,325 | 0 | 0 | 1,325 | 0 | 0.00 | 0.00 | 100.00 |
| ITG Inc. | 6.22 | 0.00 | 0.00 | 6.22 | 480 | 0 | 0 | 480 | 0 | 0.00 | 0.00 | 100.00 |

100.00% of total customer orders were non-directed orders.

Securities Listed on The Nasdaq Stock Market

| Route Venues | Publicly Posted Percentages | | | | Private Supporting Data | | | | | | | |
|---------------------|-----------------------------|------------|-----------|------------|-------------------------|------------|-----------|--------------|--------------|-------------|-------------|---------------|
| | Total (%) | Market (%) | Limit (%) | Other (%) | Total (#) | Market (#) | Limit (#) | Other (#) | *Unknown (#) | Market (%) | Limit (%) | Other (%) |
| Total (%) | 100 | 0 | 0 | 100 | 4,306 | 0 | 0 | 4,306 | 0 | 0.00 | 0.00 | 100.00 |
| Credit Suisse | 46.08 | 0.00 | 0.00 | 46.08 | 1,984 | 0 | 0 | 1,984 | 0 | 0.00 | 0.00 | 100.00 |
| Knight Direct EMS | 31.35 | 0.00 | 0.00 | 31.35 | 1,350 | 0 | 0 | 1,350 | 0 | 0.00 | 0.00 | 100.00 |
| Archipelago LLC | 10.96 | 0.00 | 0.00 | 10.96 | 472 | 0 | 0 | 472 | 0 | 0.00 | 0.00 | 100.00 |
| Morgan Stanley & Co | 5.11 | 0.00 | 0.00 | 5.11 | 220 | 0 | 0 | 220 | 0 | 0.00 | 0.00 | 100.00 |

100.00% of total customer orders were non-directed orders.

Securities Listed on NYSE Amex or Regional Exchanges

| Route Venues | Publicly Posted Percentages | | | | Private Supporting Data | | | | | | | |
|-------------------|-----------------------------|------------|-----------|------------|-------------------------|------------|-----------|------------|--------------|-------------|-------------|---------------|
| | Total (%) | Market (%) | Limit (%) | Other (%) | Total (#) | Market (#) | Limit (#) | Other (#) | *Unknown (#) | Market (%) | Limit (%) | Other (%) |
| Total (%) | 100 | 0 | 0 | 100 | 166 | 0 | 0 | 166 | 0 | 0.00 | 0.00 | 100.00 |
| Credit Suisse | 36.14 | 0.00 | 0.00 | 36.14 | 60 | 0 | 0 | 60 | 0 | 0.00 | 0.00 | 100.00 |
| Knight Direct EMS | 34.94 | 0.00 | 0.00 | 34.94 | 58 | 0 | 0 | 58 | 0 | 0.00 | 0.00 | 100.00 |
| Archipelago LLC | 26.51 | 0.00 | 0.00 | 26.51 | 44 | 0 | 0 | 44 | 0 | 0.00 | 0.00 | 100.00 |

100.00% of total customer orders were non-directed orders.

Exchange-Listed Options

No Covered Orders

Material Aspects of Relationship with Route Venues

How to read this report

*Unknown is part of Other.

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