



Daily Compliance Activity Report

Trade Date: 04/25/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMATURO	018	AAPL	S	1,000	95.05	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	ABG	B	3,100	28.80	n/a	25-Apr	186.00	6.0
NCM CAPITAL MGMT	035	ACV	S	125	23.67	n/a	n/a	6.25	5.0
WHITE PINE CAPITAL	030	AGU	S	375	42.03	n/a	n/a	18.75	5.0
BAIRD INVESTMENT	031	AIT	S	1,875	27.71	n/a	n/a	93.75	5.0
FIRST NEW YORK LEDDY	035	ALU	B	20,000	13.54	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	AMG	B	2,000	116.08	25-Apr	25-Apr	100.00	5.0
BUCK CAPITAL MGMT	001	AMG	B	14,400	117.12	25-Apr	25-Apr	576.00	4.0
Ⓐ BUCK CAPITAL MGMT		AMG	B	15,000	116.60	25-Apr	25-Apr	non-brg	2.0
Ⓐ BUCK CAPITAL MGMT		AMG	B	2,000	117.63	25-Apr	25-Apr	non-brg	5.0
NCM CAPITAL MGMT	035	AMG	S	75	116.89	25-Apr	25-Apr	3.75	5.0
MORGAN LEWIS/MLH	046	AMR	S	60,000	27.14	n/a	n/a	3,000.00	5.0
LISTED ERR	099	AMR	B	6,700	27.14	n/a	n/a	0.00	0.0
LISTED ERR	099	AMR	S	6,700	27.14	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		AMZN	C	47,400	54.38	n/a	n/a	non-brg	5.0
EFSTATHIOU	044	ANF	SS	100	83.01	2-Feb	25-Apr	0.00	0.0
JACOB	068	ANF	SS	100	83.00	2-Feb	25-Apr	0.00	0.0
VICTORIA INVESTORS LP	060	APD	B	5,000	77.67	n/a	25-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	AVZ	S	100,050	23.17	5-Mar	23-Apr	3,751.88	3.8
JENNISON	032	AV	S	618,600	12.65	n/a	22-Mar	24,744.00	4.0
MERRILL ASSET	032	AW	B	51,200	12.81	n/a	n/a	2,304.00	4.5
CIRCLE T PART	035	AXL	B	45,000	27.73	n/a	n/a	1,800.00	4.0
MORTAR ROCK	033	AXL	B	22,100	27.76	n/a	n/a	1,105.00	5.0
CATAPULT	040	BBT	B	10,000	41.66	n/a	n/a	500.00	5.0
NCM CAPITAL MGMT	035	BCR	S	25	85.04	n/a	22-Apr	1.25	5.0
ARIENCE CAPITAL	036	BC	S	249,730	30.82	n/a	n/a	12,486.50	5.0
MERRILL ASSET	032	BC	B	40,700	31.02	n/a	n/a	1,831.50	4.5
NCM CAPITAL MGMT	035	BEAV	S	150	34.21	n/a	n/a	7.50	5.0
NCM CAPITAL MGMT	035	BHE	S	175	21.36	n/a	n/a	8.75	5.0
SUNOVA CAPITAL	031	BLK	B	30,000	153.00	n/a	25-Apr	1,500.00	5.0
NCM CAPITAL MGMT	035	BOL	S	75	60.83	n/a	n/a	3.75	5.0
BAIRD INVESTMENT	031	BRC	S	1,525	32.36	n/a	n/a	76.25	5.0
NCM CAPITAL MGMT	035	BTU	S	75	49.28	n/a	n/a	3.75	5.0
NCM CAPITAL MGMT	035	BYD	S	150	47.45	21-Feb	21-Feb	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VICTORIA INVESTORS LP	060	CAKE	S	2,500	29.00	24-Apr	24-Apr	125.00	5.0
BUCK	015	CAKE	S	1,000	28.51	24-Apr	24-Apr	0.00	0.0
LUCHANSKY	036	CALL	S	1,100	3.26	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CBK	S	20,000	18.06	30-Mar	25-Apr	non-brg	5.0
NCM CAPITAL MGMT	035	CECO	S	175	29.94	n/a	n/a	8.75	5.0
KORMAN	003	CEUC	B	3,000	6.07	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	CHD	S	5,100	51.23	7-Feb	7-Feb	255.00	5.0
BUCK CAPITAL MGMT	001	CHS	S	20,000	26.31	27-Mar	25-Apr	800.00	4.0
NCM CAPITAL MGMT	035	CLMS	S	225	23.43	11-Apr	25-Apr	11.25	5.0
Õ Glenn Redemann		CLM	S	1119	9.02	n/a	n/a	0.00	0.0
KALINOWSKI	070	CMGEM	B	20	2.24	n/a	n/a	0.00	0.0
KALINOWSKI	070	CMG	B	1,000	65.58	24-Apr	24-Apr	0.00	0.0
TRIBECA/DOUG	040	COF	SS	7,500	73.40	n/a	n/a	300.00	4.0
ß BUCK CAPITAL MGMT		COH	C	20,000	50.71	23-Feb	25-Apr	non-brg	5.0
ß BUCK CAPITAL MGMT		COH	C	20,000	50.89	23-Feb	25-Apr	non-brg	5.0
NCM CAPITAL MGMT	035	COL	S	50	67.51	n/a	n/a	2.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SPRINGBOC	039	CPT	B	13,500	71.31	n/a	n/a	675.00	5.0
WHITE PINE CAPITAL	030	CRI	S	450	27.19	n/a	n/a	22.50	5.0
LEDDY	035	CRI	S	500	28.07	n/a	n/a	0.00	0.0
MANNING & NAPIER	034	CRM	B	317,420	42.18	n/a	n/a	0.00	0.0
PDYG	034	CRM	B	780	42.18	n/a	n/a	0.00	0.0
KORMAN	003	CSCA	B	2,000	6.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CWTR	B	10,000	21.62	n/a	n/a	non-brg	5.0
AMATURO	018	DAWUW	B	50	2.25	n/a	n/a	0.00	0.0
COUGAR TRADING	044	DBD	B	10,000	49.00	3-Apr	25-Apr	500.00	5.0
COUGAR TRADING	044	DBD	SS	10,000	48.88	3-Apr	25-Apr	500.00	5.0
B BUCK CAPITAL MGMT		DBRN	B	10,000	19.93	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		DKS	B	10,000	56.86	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		DKS	B	10,000	56.92	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DKS	B	30,000	56.85	n/a	n/a	non-brg	5.0
SCOPUS FUND	039	DOW	S	9,250	45.80	n/a	10-Apr	462.50	5.0
J L F ASSET MGMT	039	EAT	SS	86,900	30.74	24-Apr	24-Apr	3,476.00	4.0
BAIRD INVESTMENT	031	ESE	S	1,250	46.44	n/a	n/a	62.50	5.0
BALYASNY ASSET MGMT	044	ESE	B	5,000	46.58	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NCM CAPITAL MGMT	035	ESV	S	100	55.48	n/a	n/a	5.00	5.0
NCM CAPITAL MGMT	035	FAF	S	75	52.35	n/a	n/a	3.75	5.0
NCM CAPITAL MGMT	035	FIC	S	175	36.77	n/a	n/a	8.75	5.0
NCM CAPITAL MGMT	035	FIS	S	150	48.07	n/a	n/a	7.50	5.0
NCM CAPITAL MGMT	035	FNF	S	75	26.20	n/a	n/a	3.75	5.0
NCM CAPITAL MGMT	035	FRX	S	75	54.03	29-Nov	25-Apr	3.75	5.0
NCM CAPITAL MGMT	035	FWLT	S	25	69.60	n/a	n/a	1.25	5.0
BUCK CAPITAL MGMT	001	GCO	S	80,000	50.74	n/a	10-Jan	3,200.00	4.0
BUCK	015	GENZ	B	500	65.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	10,000	40.80	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		GES	B	25,000	41.32	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		GES	B	25,000	41.36	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GES	B	50,000	41.25	n/a	n/a	non-brg	5.0
LUCHANSKY	036	GES	B	100	40.98	n/a	n/a	0.00	0.0
MAGUIRE	090	GG	B	5,000	25.31	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIII	B	3,000	17.77	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	GIL	B	30,000	63.36	n/a	2-Apr	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	GLW	B	73,400	25.34	n/a	25-Apr	4,404.00	6.0
CIRCLE T PART	035	GPI	B	40,000	42.53	n/a	13-Apr	1,600.00	4.0
B BUCK CAPITAL MGMT		GPS	B	20,000	18.60	n/a	25-Apr	non-brg	5.0
AVESTA CAP	229	HD	S	25,000	39.50	n/a	1-Mar	1,250.00	5.0
NCM CAPITAL MGMT	035	HEW	S	175	29.79	n/a	n/a	8.75	5.0
BAIRD INVESTMENT	031	HPY	S	1,950	25.60	n/a	n/a	97.50	5.0
CATAPULT	040	HRB	B	2,500	22.61	n/a	n/a	125.00	5.0
WHITE PINE CAPITAL	030	HRL	S	375	38.05	n/a	n/a	18.75	5.0
NCM CAPITAL MGMT	035	HRS	S	100	51.93	31-Jan	31-Jan	5.00	5.0
MAGUIRE	039	ICO	B	1,000	6.00	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	IFF	S	100	48.47	30-Jan	22-Mar	5.00	5.0
XYLEM GLOBAL	091	IP	SS	55,000	37.26	20-Mar	18-Apr	2,750.00	5.0
LEDDY	035	IP	SS	400	37.69	20-Mar	18-Apr	0.00	0.0
BANK OF NEW YORK	040	ISE	S	5,470	46.81	n/a	25-Apr	246.15	4.5
B BUCK CAPITAL MGMT		ISE	B	83,400	47.54	n/a	25-Apr	non-brg	5.0
NCM CAPITAL MGMT	035	ITT	S	100	62.44	2-Feb	2-Feb	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	IWM	B	500	82.54	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	S	5,000	40.32	14-Mar	25-Apr	250.00	5.0
NCM CAPITAL MGMT	035	JCG	S	75	40.13	14-Mar	25-Apr	3.75	5.0
CUMBERLAND	038	JCP	B	5,000	82.51	20-Apr	20-Apr	200.00	4.0
WHITE PINE CAPITAL	030	JCS	S	800	10.96	n/a	n/a	40.00	5.0
NCM CAPITAL MGMT	035	JNS	S	350	25.36	18-Apr	23-Apr	17.50	5.0
SANDLER O'NEILL ASSET	031	JNS	SS	50,000	25.30	18-Apr	23-Apr	2,500.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	20,000	39.57	n/a	n/a	non-brg	5.0
JACOB	068	KOG	B	1,500	5.17	n/a	n/a	0.00	0.0
MAGUIRE	090	KOG	B	5,000	5.07	n/a	n/a	0.00	0.0
BARR	096	KOG	B	3,000	5.01	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	SS	10,000	77.51	27-Dec	12-Apr	500.00	5.0
CHARTER OAK	033	K	S	101,500	52.65	n/a	n/a	5,075.00	5.0
B BUCK CAPITAL MGMT		LAMR	B	20,000	62.09	n/a	n/a	non-brg	5.0
NCM CAPITAL MGMT	035	LBTYA	S	175	35.70	n/a	n/a	8.75	5.0
B BUCK CAPITAL MGMT		LNCR	S	66,283	39.12	21-Dec	24-Apr	non-brg	5.0
XYLEM GLOBAL	091	LPX	SS	120,000	21.29	20-Mar	18-Apr	6,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCM CAPITAL MGMT	035	LRCX	S	75	53.57	n/a	n/a	3.75	5.0
EATON VANCE MGMT	039	LTD	S	322,636	29.05	2-Mar	13-Apr	12,905.44	4.0
PERSHING SQUARE	028	MBI	SS	100,000	68.95	n/a	n/a	4,000.00	4.0
NCM CAPITAL MGMT	035	MDR	S	75	53.76	n/a	n/a	3.75	5.0
NCM CAPITAL MGMT	035	MGI	S	100	28.72	n/a	n/a	5.00	5.0
BALYASNY ASSET MGMT	044	MMM	B	15,000	76.61	n/a	2-Mar	750.00	5.0
NCM CAPITAL MGMT	035	NDN	S	375	14.53	16-Jan	12-Apr	18.75	5.0
MAGUIRE	090	NEM	B	3,000	44.32	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	NFX	S	100	45.42	n/a	n/a	5.00	5.0
BALYASNY ASSET MGMT	044	NIHD	B	9,500	76.99	n/a	n/a	475.00	5.0
MAGUIRE	090	NXG	B	20,000	3.69	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	NYB	S	250	17.76	n/a	n/a	12.50	5.0
NCM CAPITAL MGMT	035	OCR	S	150	40.83	n/a	1-Mar	7.50	5.0
B BUCK CAPITAL MGMT		OIH	SS	35,300	157.57	n/a	n/a	non-brg	2.0
BAIRD INVESTMENT	031	OII	S	1,725	47.02	n/a	n/a	86.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	PDLI	B	1,000	25.00	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	PFCB	B	30,000	42.29	24-Apr	24-Apr	1,500.00	5.0
BUCK	015	PJC	SS	500	64.92	n/a	n/a	0.00	0.0
SAC DOUG RODGERS	040	PKG	B	100,000	24.99	n/a	18-Apr	5,000.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	70,000	52.41	12-Apr	13-Apr	non-brg	5.0
COUGAR TRADING	044	PLCE	B	5,000	52.61	12-Apr	13-Apr	250.00	5.0
PAW PARTNERS	033	PLCE	B	15,400	52.01	12-Apr	13-Apr	770.00	5.0
J L F ASSET MGMT	039	PSUN	SS	50,000	21.33	n/a	13-Apr	2,000.00	4.0
NCM CAPITAL MGMT	035	PTEN	S	250	24.73	n/a	n/a	12.50	5.0
NCM CAPITAL MGMT	035	PTI	S	375	25.24	n/a	n/a	18.75	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	57.41	28-Mar	28-Mar	400.00	4.0
BALYASNY ASSET MGMT	044	RIMM	SS	2,500	134.00	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	96.09	2-Feb	13-Apr	400.00	4.0
DENVER INST. ADV	046	RL	S	81,400	95.40	2-Feb	13-Apr	3,256.00	4.0
BALYASNY ASSET MGMT	044	RSH	B	7,500	27.62	n/a	n/a	375.00	5.0
WHEELER	008	RUSHA	B	10,000	21.48	n/a	n/a	0.00	0.0
LEDDY	035	SDS	B	1,100	53.77	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MKT MAKER	099	SHPGY	SS	100	70.00	18-Apr	25-Apr	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		SKX	B	10,000	35.69	n/a	13-Mar	non-brg	5.0
COUGAR TRADING	044	SKX	B	5,000	35.42	n/a	13-Mar	250.00	5.0
KORMAN	003	SORL	B	3,000	8.64	n/a	n/a	0.00	0.0
BUCK	015	SPY	SS	500	148.91	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	SRX	S	3,250	24.74	n/a	n/a	162.50	5.0
Ⓕ BUCK CAPITAL MGMT		SSI	B	10,000	22.79	26-Feb	13-Apr	non-brg	5.0
MCCARTAN	028	SWK	C	100	60.66	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		TGT	B	50,000	60.37	n/a	24-Apr	non-brg	5.0
NCM CAPITAL MGMT	035	THI	S	225	32.23	24-Apr	24-Apr	11.25	5.0
CSFB GLOBAL PROPRIETARY	035	TIN	B	2,000	60.00	26-Apr	18-Apr	100.00	5.0
NCM CAPITAL MGMT	035	TUES	S	200	14.34	n/a	n/a	10.00	5.0
NCM CAPITAL MGMT	035	TXT	S	75	102.07	n/a	n/a	3.75	5.0
Ⓕ BUCK CAPITAL MGMT		UAG	B	10,000	20.98	n/a	13-Apr	non-brg	5.0
Ⓕ BUCK CAPITAL MGMT		URBN	B	10,000	25.11	2-Apr	2-Apr	non-brg	5.0
FRIESS MGMT	042	URBN	B	343,700	24.96	2-Apr	2-Apr	15,466.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	VOII	B	45,000	0.16	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	VRX	S	65,780	18.52	n/a	n/a	3,037.60	4.5
BALYASNY ASSET MGMT	044	WDR	S	25,000	23.90	5-Mar	25-Apr	1,250.00	5.0
SANDLER O'NEILL ASSET	031	WDR	B	20,200	24.15	5-Mar	25-Apr	1,010.00	5.0
NCM CAPITAL MGMT	035	WMB	S	275	29.98	n/a	n/a	13.75	5.0
BAIRD INVESTMENT	031	WSO	S	875	54.23	n/a	n/a	43.75	5.0
NCM CAPITAL MGMT	035	WYN	S	250	35.78	n/a	n/a	12.50	5.0
SINCLAIR	031	XOHO	S	2,250	5.15	n/a	n/a	0.00	0.0
Õ Glenn Redemann		X	B	7	0.28	n/a	n/a	0.00	0.0
Õ Glenn Redemann		X	B	7	0.53	n/a	n/a	0.00	0.0
Õ Glenn Redemann		X	SS	7	0.78	n/a	n/a	0.00	0.0
Õ Glenn Redemann		X	SS	7	1.28	n/a	n/a	0.00	0.0
KORMAN	003	YTEC	B	2,000	8.60	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							146,512.82		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/24	BALYASNY ASSET MGMT	044	AGIL	S	5,000	7.10	n/a	n/a	200.00 4.0
AO,CXL	04/24	BALYASNY ASSET MGMT	044	AGIL	S	5,000	7.10	n/a	n/a	250.00 5.0
AO,CXL	04/24	BALYASNY ASSET MGMT	044	BE	B	10,000	7.40	n/a	n/a	500.00 5.0
AO,CRT	04/24	BALYASNY ASSET MGMT	044	BE	B	10,000	7.40	n/a	n/a	400.00 4.0
AO,CRT	04/24	BALYASNY ASSET MGMT	044	BELM	S	5,000	7.10	n/a	n/a	200.00 4.0
AO,CXL	04/24	BALYASNY ASSET MGMT	044	BELM	S	5,000	7.10	n/a	n/a	250.00 5.0
AO,CRT	04/24	SUNOVA CAPITAL	031	BLK	B	36,800	151.99	n/a	25-Apr	1840.00 5.0
AO,CXL	04/24	SUNOVA CAPITAL	031	BLK	B	36,800	151.99	n/a	25-Apr	5.00 0.0
AO,CRT	04/24	MKT MAKER	099	HOT	B	3,300	68.50	n/a	n/a	0.00 0.0
AO,CXL	04/24	MKT MAKER	099	HOT	B	3,300	68.50	n/a	n/a	0.00 0.0
AO,CXL	04/19	REICH AND TANG	067	IMN	B	6,000	36.87	n/a	n/a	0.00 0.0
AO,CXL	04/24	BALYASNY ASSET MGMT	044	INPC	B	2,500	9.77	n/a	n/a	125.00 5.0
AO,CRT	04/24	BALYASNY ASSET MGMT	044	INPC	B	2,500	9.77	n/a	n/a	100.00 4.0
AO,CXL	04/24	MERRILL LYNCH STRATEGICI	034	OI	B	16,500	26.24	n/a	n/a	825.00 5.0
AO,CRT	04/24	MERRILL LYNCH STRATEGICI	034	OI	B	16,500	26.24	n/a	n/a	660.00 4.0
AO,CRT	04/24	SATELLITE ASSET MGMT	012	PLCE	B	30,000	51.06	12-Apr	13-Apr	1200.00 4.0
AO,CXL	04/24	SATELLITE ASSET MGMT	012	PLCE	B	30,000	51.06	12-Apr	13-Apr	1500.00 5.0
AO,CRT	04/24	SAVANNAH-BALTIMORE	012	T	SS	80,000	39.34	25-Apr	25-Apr	3200.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/24	SAVANNAH-BALTIMORE	012	T	SS	80,000	39.34	25-Apr	25-Apr	4000.00 5.0
AO,CXL	04/24	LISTED ERR	099	TGT	B	20,000	59.94	n/a	24-Apr	800.00 4.0
AO,CRT	04/24	LISTED ERR	099	TGT	B	20,000	59.94	n/a	24-Apr	0.00 0.0
AO,CRT	04/24	FRONTPOINT	044	VLO	B	50,000	68.45	n/a	n/a	2500.00 5.0
AO,CXL	04/24	FRONTPOINT	044	VLO	B	50,000	68.46	n/a	n/a	2500.00 5.0
TOTAL (AO, CXL, CRT) :										-455.00

TOTAL (Trade Date) :	146,512.82
TOTAL (AO, CXL, CRT) :	-455.00

TOTAL (RUN DATE) / NFS:	146,057.82
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MRI Securities with Trade Activity on 25-Apr.

AMG

MRI Securities without Trade Activity on 25-Apr.

AB, ASH, CL, SIAL, T, USG

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 18%

YTD = 17%

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