

## **Daily Compliance Activity Report** Trade Date: 05/23/2012

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

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
TUDOR INVESTORS	028	ASH	В	5,000	62.99	n/a	24-Apr	150.00	3.0
BASIX	033	BEAV	В	9,500	41.27	n/a	3-May	285.00	3.0
HIGHBRIDGE CAP	041	BG	В	4,412	60.74	n/a	n/a	132.36	3.0
EGS ASSOCIATES LP	091	BIG	SS	3,000	36.46	n/a	23-May	150.00	5.0
OZ MGMT	040	BWA	С	55,000	76.86	n/a	27-Apr	1,650.00	3.0
PEAK INV LLC	084	BWA	S	13,500	75.80	n/a	27-Apr	540.00	4.0
PEAK INV LLC	084	CAT	S	15,600	91.26	n/a	26-Apr	624.00	4.0
PEAK INV LLC	084	CMI	S	9,600	100.11	n/a	2-May	384.00	4.0
RBC CAPITAL MARKETS	040	COST	В	10,000	82.49	n/a	n/a	400.00	4.0
SCOPUS FUND	041	CP	В	37,200	72.05	n/a	n/a	1,488.00	4.0
BASSWOOD PARTNERS	267	DB	SS	12,371	36.29	n/a	n/a	494.84	4.0
ELM RIDGE ADVISORS	044	DELL	В	211,800	13.03	n/a	n/a	8,472.00	4.0
PEAK INV LLC	084	DE	S	4,500	75.03	n/a	17-May	180.00	4.0
SCOPUS FUND	041	DOV	В	9,300	56.58	n/a	n/a	372.00	4.0
HIGHFIELDS CAP MGMT	030	DVN	S	225,000	60.11	n/a	18-May	6,750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CLOVIS CAPITAL	033	ENS	SS	45,000	30.30	n/a	n/a	1,350.00	3.0
CATAPULT	040	EXPE	В	16,956	45.30	n/a	n/a	678.24	4.0
FARALLON CAP MGMT	040	FB	SS	300,000	31.97	n/a	n/a	9,000.00	3.0
SUFFOLK CAPITAL MGMT	040	FB	В	150,100	31.93	n/a	n/a	6,004.00	4.0
PEAK INV LLC	084	FCX	S	27,000	32.39	n/a	n/a	1,080.00	4.0
NEUBERGER BERMAN	036	FEIC	В	16,400	43.99	n/a	n/a	656.00	4.0
PEAK INV LLC	084	F	S	125,000	10.32	n/a	2-May	5,000.00	4.0
HIGHBRIDGE CAP	041	GE	В	27,000	19.08	n/a	n/a	810.00	3.0
TUDOR INVESTORS	028	GGC	В	5,000	29.90	n/a	n/a	150.00	3.0
BASSWOOD PARTNERS	267	НВС	SS	12,230	40.07	n/a	n/a	489.20	4.0
NEUBERGER BERMAN	036	нітт	В	8,819	49.45	n/a	n/a	352.76	4.0
CONIFER/ISF	025	HPQ	В	25,000	21.02	n/a	n/a	1,000.00	4.0
CLOVIS CAPITAL	033	INTC	В	310,000	25.23	n/a	n/a	9,300.00	3.0
PEAK INV LLC	084	INTC	S	22,000	25.28	n/a	n/a	880.00	4.0
LATEFF MGMT	035	IP	В	2,375	29.30	n/a	27-Apr	356.25	15.0
SIMMONS VENTURES	041	JNY	В	10,000	9.35	n/a	26-Apr	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
DECADE CAPITAL PARTNERS	040	JPM	В	29,500	34.01	n/a	24-May	1,180.00	4.0	
NEUBERGER BERMAN	036	KFT	В	15,000	38.60	n/a	n/a	600.00	4.0	
WEINTRAUB CAPITAL MGT.	269	KSS	В	25,000	49.00	n/a	11-May	1,000.00	4.0	
DECADE CAPITAL PARTNERS	040	LOW	В	10,000	25.44	n/a	22-May	400.00	4.0	
CSFB GLOBAL PROPRIETARY	041	MWV	S	100,000	27.52	n/a	25-Apr	5,000.00	5.0	
SCOPUS FUND SIMMONS VENTURES	041	M M	B B	85,000 5,000	36.46 36.39	n/a n/a	10-May 10-May	3,400.00	4.0	
RBC CAPITAL MARKETS	040	NKE	SS	5,000	106.70	n/a	23-Mar	200.00	4.0	
BRONSON POINT	036	NOC	SS	25,000	58.66	n/a	27-Apr	750.00	3.0	
NEWLAND CAPITAL MGT	025	OI	S	25,000	19.24	n/a	n/a	1,000.00	4.0	
RAINIER INV MGMT	035	RJF	В	59,100	33.05	n/a	n/a	2,364.00	4.0	
HIGHBRIDGE CAP	041	SHW	В	2,200	119.94	n/a	23-May	66.00	3.0	
HIGHBRIDGE CAP	041	SPN	S	12,000	21.15	n/a	n/a	360.00	3.0	
NEUBERGER BERMAN	036	SYNT	В	6,200	56.02	n/a	n/a	248.00	4.0	
PEAK INV LLC	084	TIF	S	10,500	61.20	n/a	n/a	420.00	4.0	
SCOPUS FUND	041	TJX	В	75 <b>,</b> 000	40.61	n/a	16-May	3,000.00	4.0	
	DECADE CAPITAL PARTNERS  NEUBERGER BERMAN  WEINTRAUB CAPITAL MGT.  DECADE CAPITAL PARTNERS  CSFB GLOBAL PROPRIETARY  SCOPUS FUND SIMMONS VENTURES  RBC CAPITAL MARKETS  BRONSON POINT  NEWLAND CAPITAL MGT  RAINIER INV MGMT  HIGHBRIDGE CAP  NEUBERGER BERMAN  PEAK INV LLC	DECADE CAPITAL PARTNERS 040  NEUBERGER BERMAN 036  WEINTRAUB CAPITAL MGT. 269  DECADE CAPITAL PARTNERS 040  CSFB GLOBAL PROPRIETARY 041  SCOPUS FUND 041  SIMMONS VENTURES 040  BRONSON POINT 036  NEWLAND CAPITAL MGT 025  RAINIER INV MGMT 035  HIGHBRIDGE CAP 041  HIGHBRIDGE CAP 041  NEUBERGER BERMAN 036  PEAK INV LLC 084	DECADE CAPITAL PARTNERS 040 JPM  NEUBERGER BERMAN 036 KFT  WEINTRAUB CAPITAL MGT. 269 KSS  DECADE CAPITAL PARTNERS 040 LOW  CSFB GLOBAL PROPRIETARY 041 MWV  SCOPUS FUND 041 M SIMMONS VENTURES 041 M  RBC CAPITAL MARKETS 040 NKE  BRONSON POINT 036 NOC  NEWLAND CAPITAL MGT 025 OI  RAINIER INV MGMT 035 RJF  HIGHBRIDGE CAP 041 SHW  HIGHBRIDGE CAP 041 SPN  NEUBERGER BERMAN 036 SYNT  PEAK INV LLC 084 TIF	DECADE CAPITAL PARTNERS 040 JPM B  NEUBERGER BERMAN 036 KFT B  WEINTRAUB CAPITAL MGT. 269 KSS B  DECADE CAPITAL PARTNERS 040 LOW B  CSFB GLOBAL PROPRIETARY 041 MWV S  SCOPUS FUND 041 M B  SIMMONS VENTURES 041 M B  RBC CAPITAL MARKETS 040 NKE SS  BRONSON POINT 036 NOC SS  NEWLAND CAPITAL MGT 025 OI S  RAINIER INV MGMT 035 RJF B  HIGHBRIDGE CAP 041 SHW B  HIGHBRIDGE CAP 041 SPN S  NEUBERGER BERMAN 036 SYNT B  PEAK INV LLC 084 TIF S	DECADE CAPITAL PARTNERS         040         JPM         B         29,500           NEUBERGER BERMAN         036         KFT         B         15,000           WEINTRAUB CAPITAL MGT.         269         KSS         B         25,000           DECADE CAPITAL PARTNERS         040         LOW         B         10,000           CSFB GLOBAL PROPRIETARY         041         MWV         S         100,000           SCOPUS FUND         041         M         B         85,000           SIMMONS VENTURES         041         M         B         5,000           RBC CAPITAL MARKETS         040         NKE         SS         5,000           BRONSON POINT         036         NOC         SS         25,000           NEWLAND CAPITAL MGT         025         OI         S         25,000           RAINIER INV MGMT         035         RJF         B         59,100           HIGHBRIDGE CAP         041         SHW         B         2,200           HIGHBRIDGE CAP         041         SPN         S         12,000           NEUBERGER BERMAN         036         SYNT         B         6,200           PEAK INV LLC         084         TIF         S </td <td>DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01  NEUBERGER BERMAN 036 KFT B 15,000 38.60  WEINTRAUB CAPITAL MGT. 269 KSS B 25,000 49.00  DECADE CAPITAL PARTNERS 040 LOW B 10,000 25.44  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52  SCOPUS FUND 041 M B 85,000 36.46  SIMMONS VENTURES 041 M B 5,000 36.39  RBC CAPITAL MARKETS 040 NKE SS 5,000 106.70  BRONSON POINT 036 NOC SS 25,000 58.66  NEWLAND CAPITAL MGT 025 OI S 25,000 19.24  RAINIER INV MGMT 035 RJF B 59,100 33.05  HIGHBRIDGE CAP 041 SHW B 2,200 119.94  HIGHBRIDGE CAP 041 SPN S 12,000 21.15  NEUBERGER BERMAN 036 SYNT B 6,200 56.02  PEAK INV LLC 084 TIF S 10,500 61.20</td> <td>DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01 n/a  NEUBERGER BERMAN 036 KFT B 15,000 38.60 n/a  WEINTRAUB CAPITAL MGT. 269 KSS B 25,000 49.00 n/a  DECADE CAPITAL PARTNERS 040 LOW B 10,000 25.44 n/a  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52 n/a  SCOPUS FUND 041 M B 85,000 36.46 n/a  SIMMONS VENTURES 041 M B 5,000 36.39 n/a  REC CAPITAL MARKETS 040 NKE SS 5,000 106.70 n/a  BRONSON POINT 036 NOC SS 25,000 58.66 n/a  NEWLAND CAPITAL MGT 025 0I S 25,000 19.24 n/a  RAINIER INV MGMT 035 RJF B 59,100 33.05 n/a  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a  HIGHBRIDGE CAP 041 SFN S 12,000 21.15 n/a  PEAK INV LLC 084 TIF S 10,500 61.20 n/a</td> <td>DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01 n/a 24-May  NEUBERGER BERMAN 036 KFT B 15,000 38.60 n/a n/a  WEINTRAUB CAPITAL MGT. 269 KSS B 25,000 49.00 n/a 11-May  DECADE CAPITAL PARTNERS 040 LOW B 10,000 25.44 n/a 22-May  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52 n/a 25-Apr  SCOPUS FUND 041 M B 85,000 36.46 n/a 10-May  SIMMONS VENTURES 041 M B 5,000 36.39 n/a 10-May  RBC CAPITAL MARKETS 040 NKE SS 5,000 106.70 n/a 23-Max  BRONSON FOINT 036 NOC SS 25,000 58.66 n/a 27-Apr  NEWLAND CAPITAL MGT 025 OI S 25,000 58.66 n/a 27-Apr  NEWLAND CAPITAL MGT 035 RJF B 59,100 33.05 n/a n/a  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a 23-May  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a 23-May  HIGHBRIDGE CAP 041 SPN S 12,000 21.15 n/a n/a  NEUBERGER BERMAN 036 SYNT B 6,200 56.02 n/a n/a  PEAK INV LLC 084 TIF S 10,500 61.20 n/a n/a</td> <td>DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01 n/a 24-May 1,180.00  NEUBERGER BERMAN 036 KFT B 15,000 38.60 n/a n/a 600.00  WEINTRAUB CAPITAL MGT. 269 KSS B 25,000 49.00 n/a 11-May 1,000.00  DECADE CAPITAL PARTNERS 040 LOM B 10,000 25.44 n/a 22-May 400.00  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52 n/a 25-Apr 5,000.00  SCOPUS FUND 041 M B 85,000 36.46 n/a 10-May 3,400.00  SIMMONS VENTURES 041 M B 5,000 36.39 n/a 10-May 200.00  RBC CAPITAL MARKETS 040 NKE SS 5,000 106.70 n/a 23-Mar 200.00  BRONSON POINT 036 NOC SS 25,000 58.66 n/a 27-Apr 750.00  NEWLAND CAPITAL MGT 025 01 S 25,000 19.24 n/a n/a 1,000.00  RAINIER INV MGNT 035 RJF B 59,100 33.05 n/a n/a 23-May 66.00  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a 23-May 66.00  HIGHBRIDGE CAP 041 SPN S 12,000 21.15 n/a n/a 360.00  NEUBERGER BERMAN 036 SYNT B 6,200 56.02 n/a n/a 1/a 248.00  PEAK INV LLC 084 TIF S 10,500 61.20 n/a n/a 420.00</td> <td>DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01 n/a 24-May 1,180.00 4.0  NEUBERGER BERMAN 036 KFT B 15,000 38.60 n/a n/a 600.00 4.0  WEINTRAUB CAPITAL MST. 269 KSS B 25,000 49.00 n/a 11-May 1,000.00 4.0  DECADE CAPITAL PARTNERS 040 LOW B 10,000 25.44 n/a 22-May 400.00 4.0  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52 n/a 25-Apr 5,000.00 5.0  SCOPUS FUND 041 M B 8,5,000 36.46 n/a 10-May 3,400.00 4.0  SIRMONS VENTURES 040 NKE SS 5,000 106.70 n/a 23-Mar 200.00 4.0  ERCO CAPITAL MARKETS 040 NKE SS 25,000 106.70 n/a 23-Mar 200.00 4.0  RBC CAPITAL MARKETS 025 01 S 25,000 58.66 n/a 27-Apr 750.00 3.0  NEMLAND CAPITAL MST 025 01 S 25,000 19.24 n/a n/a 1,000.00 4.0  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a n/a 1,000.00 4.0  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a 23-May 66.00 3.0  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a n/a 360.00 3.0  NEUBERGER BERMAN 036 SYNT B 6,200 56.02 n/a n/a n/a 248.00 4.0  FEAK INV LLC 084 TIF S 10,500 61.20 n/a n/a 10-d 2420.00 4.0</td>	DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01  NEUBERGER BERMAN 036 KFT B 15,000 38.60  WEINTRAUB CAPITAL MGT. 269 KSS B 25,000 49.00  DECADE CAPITAL PARTNERS 040 LOW B 10,000 25.44  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52  SCOPUS FUND 041 M B 85,000 36.46  SIMMONS VENTURES 041 M B 5,000 36.39  RBC CAPITAL MARKETS 040 NKE SS 5,000 106.70  BRONSON POINT 036 NOC SS 25,000 58.66  NEWLAND CAPITAL MGT 025 OI S 25,000 19.24  RAINIER INV MGMT 035 RJF B 59,100 33.05  HIGHBRIDGE CAP 041 SHW B 2,200 119.94  HIGHBRIDGE CAP 041 SPN S 12,000 21.15  NEUBERGER BERMAN 036 SYNT B 6,200 56.02  PEAK INV LLC 084 TIF S 10,500 61.20	DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01 n/a  NEUBERGER BERMAN 036 KFT B 15,000 38.60 n/a  WEINTRAUB CAPITAL MGT. 269 KSS B 25,000 49.00 n/a  DECADE CAPITAL PARTNERS 040 LOW B 10,000 25.44 n/a  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52 n/a  SCOPUS FUND 041 M B 85,000 36.46 n/a  SIMMONS VENTURES 041 M B 5,000 36.39 n/a  REC CAPITAL MARKETS 040 NKE SS 5,000 106.70 n/a  BRONSON POINT 036 NOC SS 25,000 58.66 n/a  NEWLAND CAPITAL MGT 025 0I S 25,000 19.24 n/a  RAINIER INV MGMT 035 RJF B 59,100 33.05 n/a  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a  HIGHBRIDGE CAP 041 SFN S 12,000 21.15 n/a  PEAK INV LLC 084 TIF S 10,500 61.20 n/a	DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01 n/a 24-May  NEUBERGER BERMAN 036 KFT B 15,000 38.60 n/a n/a  WEINTRAUB CAPITAL MGT. 269 KSS B 25,000 49.00 n/a 11-May  DECADE CAPITAL PARTNERS 040 LOW B 10,000 25.44 n/a 22-May  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52 n/a 25-Apr  SCOPUS FUND 041 M B 85,000 36.46 n/a 10-May  SIMMONS VENTURES 041 M B 5,000 36.39 n/a 10-May  RBC CAPITAL MARKETS 040 NKE SS 5,000 106.70 n/a 23-Max  BRONSON FOINT 036 NOC SS 25,000 58.66 n/a 27-Apr  NEWLAND CAPITAL MGT 025 OI S 25,000 58.66 n/a 27-Apr  NEWLAND CAPITAL MGT 035 RJF B 59,100 33.05 n/a n/a  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a 23-May  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a 23-May  HIGHBRIDGE CAP 041 SPN S 12,000 21.15 n/a n/a  NEUBERGER BERMAN 036 SYNT B 6,200 56.02 n/a n/a  PEAK INV LLC 084 TIF S 10,500 61.20 n/a n/a	DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01 n/a 24-May 1,180.00  NEUBERGER BERMAN 036 KFT B 15,000 38.60 n/a n/a 600.00  WEINTRAUB CAPITAL MGT. 269 KSS B 25,000 49.00 n/a 11-May 1,000.00  DECADE CAPITAL PARTNERS 040 LOM B 10,000 25.44 n/a 22-May 400.00  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52 n/a 25-Apr 5,000.00  SCOPUS FUND 041 M B 85,000 36.46 n/a 10-May 3,400.00  SIMMONS VENTURES 041 M B 5,000 36.39 n/a 10-May 200.00  RBC CAPITAL MARKETS 040 NKE SS 5,000 106.70 n/a 23-Mar 200.00  BRONSON POINT 036 NOC SS 25,000 58.66 n/a 27-Apr 750.00  NEWLAND CAPITAL MGT 025 01 S 25,000 19.24 n/a n/a 1,000.00  RAINIER INV MGNT 035 RJF B 59,100 33.05 n/a n/a 23-May 66.00  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a 23-May 66.00  HIGHBRIDGE CAP 041 SPN S 12,000 21.15 n/a n/a 360.00  NEUBERGER BERMAN 036 SYNT B 6,200 56.02 n/a n/a 1/a 248.00  PEAK INV LLC 084 TIF S 10,500 61.20 n/a n/a 420.00	DECADE CAPITAL PARTNERS 040 JPM B 29,500 34.01 n/a 24-May 1,180.00 4.0  NEUBERGER BERMAN 036 KFT B 15,000 38.60 n/a n/a 600.00 4.0  WEINTRAUB CAPITAL MST. 269 KSS B 25,000 49.00 n/a 11-May 1,000.00 4.0  DECADE CAPITAL PARTNERS 040 LOW B 10,000 25.44 n/a 22-May 400.00 4.0  CSFB GLOBAL PROPRIETARY 041 MWV S 100,000 27.52 n/a 25-Apr 5,000.00 5.0  SCOPUS FUND 041 M B 8,5,000 36.46 n/a 10-May 3,400.00 4.0  SIRMONS VENTURES 040 NKE SS 5,000 106.70 n/a 23-Mar 200.00 4.0  ERCO CAPITAL MARKETS 040 NKE SS 25,000 106.70 n/a 23-Mar 200.00 4.0  RBC CAPITAL MARKETS 025 01 S 25,000 58.66 n/a 27-Apr 750.00 3.0  NEMLAND CAPITAL MST 025 01 S 25,000 19.24 n/a n/a 1,000.00 4.0  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a n/a 1,000.00 4.0  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a 23-May 66.00 3.0  HIGHBRIDGE CAP 041 SHW B 2,200 119.94 n/a n/a 360.00 3.0  NEUBERGER BERMAN 036 SYNT B 6,200 56.02 n/a n/a n/a 248.00 4.0  FEAK INV LLC 084 TIF S 10,500 61.20 n/a n/a 10-d 2420.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
NWQ INVESTMENT MGMT CO	084	TLM	S	91,000	9.80	n/a	n/a	2,730.00 3.0
SONTERRA CAP	041	WFT	В	30,000	12.50	n/a	n/a	1,200.00 4.0
ASCEND PARTNERS LATEFF MGMT	033 035	WMT WMT	C S	103,268 2,100	63.89 64.41	n/a n/a	18-May 18-May	3,098.04 3.0 355.75 17.9
CSFB GLOBAL PROPRIETARY	041	WY	В	50,000	19.47	n/a	4-May	2,500.00 5.0
KAM ADVISORS LLC	041	XLE	SS	65,400	65.14	n/a	n/a	1,962.00 3.0

TOTAL (Trade Date): 91,612.44

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
CRT	05/23	SIMMONS VENTURES (SIMMJPM)	041	JNY	В	10,000	9.35	n/a	26-Apr	400.00	4.0
AO,CXL AO,CRT		HALCYON LLC (HALCMSPB) HALCYON LLC (HALCMSPB)	041 041	USO USO	В	20,000	34.43 34.43	n/a n/a	n/a n/a	600.00	3.0 2.0
TOTAL	(AO, (	CXL, CRT):							:	200.00	

TOTAL (RUN DATE) / NFS:	91,812.44
TOTAL (AO, CXL, CRT):	200.00
TOTAL (Trade Date):	91,612.44

## 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