



## Daily Compliance Activity Report

Trade Date: 11/19/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL LYNCH STRATEGICI	034	ACGY	B	40,000	22.70	n/a	n/a	1,600.00	4.0
GENERAL ELECTIC CO	033	ACV	B	48,932	25.30	n/a	n/a	1,957.28	4.0
MERRILL LYNCH STRATEGICI	034	ADM	SS	30,000	36.57	n/a	19-Nov	1,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>10,000</b>	<b>21.61</b>	<b>9-Nov</b>	<b>12-Nov</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	S	10,000	21.75	9-Nov	12-Nov	500.00	5.0
RH CAPITAL ASSOCIATES	060	AEO	S	13,100	22.00	9-Nov	12-Nov	655.00	5.0
THE BOSTON COMPANY	214	AET	S	4,030	54.99	n/a	n/a	201.50	5.0
MERRILL LYNCH STRATEGICI	034	AIV	S	16,000	37.41	n/a	n/a	640.00	4.0
SUNOVA CAPITAL	031	AMG	S	40,000	120.08	8-Nov	8-Nov	2,000.00	5.0
ROBX	035	AMR	B	100,000	21.60	n/a	n/a	4,000.00	4.0
BALYASNY ASSET MGMT	044	ANF	SS	10,000	73.61	2-Oct	19-Nov	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>15,000</b>	<b>72.95</b>	<b>2-Oct</b>	<b>19-Nov</b>	<b>600.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	B	5,000	73.00	2-Oct	19-Nov	250.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	74.19	2-Oct	19-Nov	500.00	5.0
MERRILL LYNCH STRATEGICI	034	APA	SS	5,700	99.86	18-Oct	15-Nov	342.00	6.0
<b>SINCLAIR</b>	<b>031</b>	<b>APCEL</b>	<b>B</b>	<b>10</b>	<b>4.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE BOSTON COMPANY	214	APD	S	45,970	92.49	n/a	24-Oct	2,298.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>EFSTATHIOU</b>	<b>044</b>	<b>BBI</b>	<b>B</b>	<b>400</b>	<b>3.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OPTIMUM INV ADV	030	BG	B	3,000	106.81	n/a	n/a	120.00	4.0
MERRILL LYNCH STRATEGICI	034	BJS	B	15,000	25.19	n/a	n/a	600.00	4.0
COUGAR TRADING	044	BONT	S	10,000	13.21	9-Nov	12-Nov	500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>CALPINE CORP</b>	<b>B</b>	<b>100,000</b>	<b>105.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CBK</b>	<b>SS</b>	<b>50,000</b>	<b>15.48</b>	<b>n/a</b>	<b>19-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CCE</b>	<b>SS</b>	<b>30,000</b>	<b>25.07</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CEC</b>	<b>SS</b>	<b>20,000</b>	<b>29.27</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>CFU</b>	<b>B</b>	<b>15</b>	<b>2.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OPTIMUM INV ADV	030	CGV	B	5,000	52.77	n/a	n/a	200.00	4.0
<b>STRATTON</b>	<b>N21</b>	<b>CHCG</b>	<b>B</b>	<b>500</b>	<b>3.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRUSS CAPITAL	045	CHKE	B	5,000	31.37	n/a	n/a	200.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CHS</b>	<b>SS</b>	<b>500</b>	<b>10.63</b>	<b>9-Nov</b>	<b>12-Nov</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	CLF	B	5,900	74.92	n/a	n/a	295.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>20,000</b>	<b>34.16</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	CVA	S	10,000	25.75	n/a	n/a	400.00	4.0
J.W. SELIGMAN	041	CVS	S	110,700	41.99	n/a	n/a	4,428.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>CWOMH</b>	<b>B</b>	<b>3</b>	<b>24.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MADIGAN</b>	<b>031</b>	<b>C</b>	<b>B</b>	<b>175</b>	<b>32.34</b>	<b>5-Nov</b>	<b>8-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>C</b>	<b>B</b>	<b>500</b>	<b>32.02</b>	<b>5-Nov</b>	<b>8-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>DAWMY</b>	<b>S</b>	<b>20</b>	<b>4.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	DD	SS	30,000	44.89	n/a	23-Oct	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>S</b>	<b>20,000</b>	<b>29.35</b>	<b>n/a</b>	<b>26-Oct</b>	<b>800.00</b>	<b>4.0</b>
MERRILL LYNCH STRATEGICI	034	DUK	SS	20,000	19.56	n/a	n/a	800.00	4.0
SERENGETI MGMT	030	EMC	S	100,000	19.56	n/a	n/a	4,000.00	4.0
THE BOSTON COMPANY	214	ESRX	S	3,350	66.03	n/a	n/a	167.50	5.0
NEUBERGER BERMAN	036	FNF	S	20,000	14.78	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>41.01</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>S</b>	<b>10,000</b>	<b>40.31</b>	<b>5-Nov</b>	<b>5-Nov</b>	<b>400.00</b>	<b>4.0</b>
MERRILL LYNCH STRATEGICI	034	GIS	S	5,000	56.27	n/a	n/a	250.00	5.0
GOLD SACHS SPECIAL SIT	030	GNTX	SS	250,000	18.96	24-Jul	23-Oct	12,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GPS	B	50,000	19.74	n/a	12-Nov	2,000.00	4.0
THE BOSTON COMPANY	214	GPS	B	34,000	19.76	n/a	12-Nov	1,360.00	4.0
BUCK CAPITAL MGMT	001	HBI	SS	20,000	28.85	n/a	n/a	800.00	4.0
THE BOSTON COMPANY	214	HNT	S	4,700	46.99	n/a	n/a	235.00	5.0
MERRILL LYNCH STRATEGICI	034	HOT	S	10,000	51.96	n/a	n/a	500.00	5.0
KARSCH CAPITAL	034	ICE	B	72,000	180.42	n/a	n/a	2,160.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	80,000	35.90	24-Oct	24-Oct	3,200.00	4.0
BUCK CAPITAL MGMT	001	JCP	S	40,000	42.07	15-Nov	16-Nov	1,600.00	4.0
MERRILL LYNCH STRATEGICI	034	JNJ	S	16,972	67.69	n/a	22-Apr	1,018.32	6.0
HIGHBRIDGE/MS OLDS	041	JOYG	B	60,300	50.44	n/a	n/a	2,412.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	30,000	31.53	12-Oct	15-Nov	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	JWN	B	7,000	30.69	12-Oct	15-Nov	350.00	5.0
JPMSI/TOM LEDDY	035	JWN	B	10,000	30.74	12-Oct	15-Nov	500.00	5.0
ROSENBERG	034	KCP	S	300	17.93	28-Sep	28-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	47.60	9-Nov	16-Nov	800.00	4.0
HIGHBRIDGE CAPITAL	038	KSS	B	6,000	47.80	9-Nov	16-Nov	300.00	5.0
BUCK CAPITAL MGMT	001	KWD	B	10,000	16.53	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUNOVA CAPITAL	031	LM	S	30,000	69.27	13-Nov	16-Nov	1,500.00	5.0
STRAUSS ASSET MGMT	040	LOJN	B	8,100	16.74	n/a	n/a	405.00	5.0
SECURITY MGMT	046	LPX	B	160,800	15.44	30-Oct	30-Oct	4,824.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTM</b>	<b>S</b>	<b>40,000</b>	<b>51.78</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
MS PRINCIPAL STRATEGIES	041	MAR	B	25,000	34.62	n/a	n/a	1,250.00	5.0
<b>Õ Manny Korman</b>		<b>MIR</b>	<b>S</b>	<b>622099435</b>	<b>36.8300</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MO</b>	<b>S</b>	<b>1,500</b>	<b>73.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J.W. SELIGMAN	041	MS	B	10,000	51.61	2-Jul	8-Nov	400.00	4.0
LOCUS WOOD CAPITAL MGMT	044	MS	S	40,000	51.55	2-Jul	8-Nov	1,600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>30,000</b>	<b>40.16</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>10,000</b>	<b>27.49</b>	<b>9-Nov</b>	<b>15-Nov</b>	<b>400.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	M	S	152,100	27.51	9-Nov	15-Nov	4,563.00	3.0
MERRILL LYNCH STRATEGICI	034	NBL	SS	10,000	72.00	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	NBR	B	35,000	27.23	n/a	n/a	1,400.00	4.0
MERRILL LYNCH STRATEGICI	034	NE	S	30,000	50.50	n/a	n/a	1,500.00	5.0
MERRILL LYNCH STRATEGICI	034	NOV	S	10,000	64.94	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL LYNCH STRATEGICI	034	NXY	B	30,000	29.71	n/a	n/a	1,200.00	4.0
MERRILL LYNCH STRATEGICI	034	OXY	B	10,000	68.16	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	OXY	SS	10,000	67.84	n/a	n/a	600.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PBG</b>	<b>SS</b>	<b>50,000</b>	<b>40.99</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
DAVIDSON KEMPNER ADVISOR	217	PDE	S	57,800	32.33	n/a	n/a	2,890.00	5.0
MERRILL LYNCH STRATEGICI	034	PDE	B	20,000	32.26	n/a	n/a	800.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>PDE</b>	<b>S</b>	<b>21</b>	<b>32.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PEP</b>	<b>SS</b>	<b>40,000</b>	<b>74.21</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
MERRILL LYNCH STRATEGICI	034	PHG	S	10,000	39.92	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PSUN	B	5,000	14.00	n/a	12-Nov	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PTT</b>	<b>S</b>	<b>10,000</b>	<b>10.20</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>10,000</b>	<b>39.88</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>400.00</b>	<b>4.0</b>
MERRILL LYNCH STRATEGICI	034	PWR	B	40,000	26.42	n/a	n/a	1,600.00	4.0
MERRILL LYNCH STRATEGICI	034	PWR	S	20,100	26.48	n/a	n/a	804.00	4.0
MERRILL LYNCH STRATEGICI	034	RCL	SS	10,000	39.05	23-Oct	23-Oct	400.00	4.0
MERRILL LYNCH STRATEGICI	034	REG	S	14,000	67.30	n/a	n/a	840.00	6.0
MERRILL LYNCH STRATEGICI	034	RIG	B	10,000	116.74	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Manny Korman		RLF	S	1000	17.3800	n/a	n/a	0.00	0.0
Õ Manny Korman		RLF	S	1900	17.3800	n/a	n/a	0.00	0.0
Õ Manny Korman		RLF	S	500	17.3800	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	10,000	64.29	8-Nov	8-Nov	400.00	4.0
Õ Manny Korman		RPF	S	3498	17.8300	n/a	n/a	0.00	0.0
Õ Manny Korman		RPF	S	3778	17.8300	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	RTH	B	19,000	92.96	n/a	n/a	950.00	5.0
ROSENBERG	034	SEE	S	1,000	23.17	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	SFD	SS	36,000	28.46	n/a	n/a	1,440.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	20.40	n/a	13-Mar	800.00	4.0
LEDDY	035	SLB	S	250	92.75	n/a	n/a	0.00	0.0
WELLS/STRONG LEDDY	035	SORC	S	16,700	2.00	n/a	n/a	334.00	2.0
MERRILL LYNCH STRATEGICI	034	SPG	S	10,000	92.24	n/a	n/a	600.00	6.0
MATRIX ASSET ADV.	036	SPLS	B	11,500	20.55	n/a	27-Jul	460.00	4.0
Õ Manny Korman		SRO	S	1500	13.9200	n/a	n/a	0.00	0.0
Õ Manny Korman		SRO	S	2800	13.9200	n/a	n/a	0.00	0.0
Õ Manny Korman		SRO	S	3000	13.9300	n/a	n/a	0.00	0.0
Õ Manny Korman		SRO	S	300	13.9300	n/a	n/a	0.00	0.0

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Õ Manny Korman		SRO	S	4400	13.9200	n/a	n/a	0.00	0.0
Õ Manny Korman		SRQ	S	4000	13.9300	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	SSI	S	275,000	16.06	3-Aug	12-Nov	11,000.00	4.0
MERRILL LYNCH STRATEGICI	034	STP	B	10,000	71.45	n/a	n/a	600.00	6.0
MERRILL LYNCH STRATEGICI	034	SUN	B	10,000	69.88	n/a	n/a	600.00	6.0
ROSENBERG	034	TBL	S	300	15.81	n/a	13-Mar	0.00	0.0
MERRILL LYNCH STRATEGICI	034	TDW	B	20,000	50.33	n/a	n/a	1,000.00	5.0
GAULT	063	TIN	B	500	43.89	9-Nov	9-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	S	50,000	26.51	19-Nov	19-Nov	2,000.00	4.0
STEADFAST FIN LLC	041	UAUA	B	64,500	40.62	n/a	n/a	3,225.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	10,000	50.58	n/a	n/a	400.00	4.0
J.W. SELIGMAN	041	UNM	B	30,000	24.25	n/a	n/a	1,200.00	4.0
MORGAN LEWIS/MLH	046	URBN	SS	15,000	23.85	9-Nov	12-Nov	750.00	5.0
CHARTER OAK	033	VAR	S	30,145	48.92	n/a	n/a	1,507.25	5.0
SINCLAIR	031	VCFA	B	20	0.60	n/a	n/a	0.00	0.0
MORTAR ROCK	033	VC	B	62,500	3.99	n/a	19-Nov	1,875.00	3.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EFSTATHIOU	044	VC	B	1,000	3.99	n/a	19-Nov	0.00	0.0
STRATTON	N21	VFWAV	S	4	2.55	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	VZ	SS	315,000	42.71	21-Sep	19-Nov	12,600.00	4.0
JPMSI/TOM LEDDY	035	WAG	SS	10,000	39.25	n/a	n/a	500.00	5.0
BUCK	015	WFMI	C	1,000	43.10	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	WFR	SS	20,000	68.87	n/a	n/a	1,200.00	6.0
BUCK CAPITAL MGMT	001	WWY	SS	10,000	61.62	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	WY	SS	35,600	69.63	1-Nov	1-Nov	1,780.00	5.0
PECONIC PARTNERS	036	YHOO	S	200,000	27.17	n/a	n/a	10,000.00	5.0
STRATTON	N21	ZHNP	B	200	12.45	n/a	n/a	0.00	0.0
<b>TOTAL (Trade Date):</b>								<b>162,687.35</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CEC	SS	20,000	29.27	n/a	n/a	800.00 4.0
AO,CRT	11/16	BAYA (BAYADEERHI)	031	IVZ	B	14,000	26.64	8-Oct	16-Nov	560.00 4.0
AO,CXL	11/16	BAYPOINT/PRIMEMOVERS (BAYPSLK)	041	IVZ	B	14,000	26.64	8-Oct	16-Nov	700.00 5.0
AO,	11/16	GOLDMAN SACHS ASSET MGMT (GSAM800122)	044	RIMM	B	4,860	102.90	n/a	n/a	72.90 1.5
AO,	11/16	GOLDMAN SACHS ASSET MGMT (GSAM800123)	044	RIMM	B	48,720	102.90	n/a	n/a	730.80 1.5
AO,	11/16	GOLDMAN SACHS ASSET MGMT (GSAM893)	044	RIMM	B	19,630	102.90	n/a	n/a	294.45 1.5
AO,	11/16	GOLDMAN SACHS ASSET MGMT (GSAM2752)	044	RIMM	B	32,700	102.90	n/a	n/a	490.50 1.5
AO,	11/16	GOLDMAN SACHS ASSET MGMT (GSAM3140)	044	RIMM	B	26,300	102.90	n/a	n/a	394.50 1.5
AO,	11/16	GOLDMAN SACHS ASSET MGMT (GSAM2140)	044	RIMM	B	15,020	102.90	n/a	n/a	225.30 1.5
AO,	11/16	GOLDMAN SACHS ASSET MGMT (GSAM3079)	044	RIMM	B	30,660	102.90	n/a	n/a	459.90 1.5
AO,CXL	11/14	NOMURA CAPITAL (NOMUSTRATE)	045	SCT	S	4,753	2.15	n/a	n/a	237.65 5.0
AO,	11/14	NOMURA CAPITAL (NOMUSTRATE)	045	SCT	S	4,753	2.15	n/a	n/a	142.59 3.0
AO,CXL	11/14	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	5,977	2.15	n/a	n/a	298.85 5.0
AO,	11/14	NOMURA CAPITAL (NOMUBATT2)	045	SCT	S	5,977	2.15	n/a	n/a	179.31 3.0
AO,CXL	11/14	NOMURA CAPITAL (NOMUBSMAIN)	045	SCT	S	8,570	2.15	n/a	n/a	428.50 5.0
AO,	11/14	NOMURA CAPITAL (NOMUBSMAIN)	045	SCT	S	8,570	2.15	n/a	n/a	257.10 3.0
AO,	11/16	BUCK CAPITAL MGMT (BUCK)	015	TIN	B	400	50.00	9-Nov	9-Nov	0.00 0.0
TOTAL (AO, CXL, CRT) :										2,942.35

TOTAL (Trade Date):

162,687.35

TOTAL (AO, CXL, CRT):

2,942.35

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TOTAL (RUN DATE) / NFS:

165,629.70

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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