

## **Daily Compliance Activity Report** Trade Date: 09/15/2011

**Potential ANALYST TRADE Violations: 0** Watch List ACTIVITY ALERT: 0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	ROTHSCHILD ASSET	040	ABC	S	37,964	38.45	n/a	n/a	1,518.56	4.0
	ROYCE TRADING	031	AEO	В	5,000	11.50	n/a	25-Aug	250.00	5.0
	RWC PARTNERS LTD	085	AGCO	В	30,785	43.78	n/a	14-Sep	923.55	3.0
	SURVEYOR CAPITAL	041	AGP	В	27,500	43.52	n/a	n/a	825.00	3.0
	BROADARCH CAP/OLD NEWC	070	AGU	S	3,000	86.66	n/a	n/a	120.00	4.0
	BROADARCH CAP/OLD NEWC	070	AME	В	2,000	38.73	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	AVGO	В	4,000	36.78	n/a	n/a	160.00	4.0
	LEVIN CAPITAL STRATEGIES	041	BAX	S	10,000	55.45	n/a	n/a	300.00	3.0
	LEVIN CAPITAL STRATEGIES	041	BBY	В	75,000	24.72	n/a	n/a	2,250.00	3.0
f	JOSEPH CIRO AMATURO	FID	BGZ	В	500	39.65	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	ВНІ	S	1,000	58.97	n/a	n/a	40.00	4.0
	BROADARCH CAP/OLD NEWC	070	BLL	SS	2,000	34.12	n/a	n/a	80.00	4.0
	HOLDEN CAPITAL MGMT	035	BLL	SS	5,000	34.13	n/a	n/a	200.00	4.0
	BROADARCH CAP/OLD NEWC	070	ВМҮ	S	4,000	29.91	n/a	n/a	160.00	4.0
ß	BUCK CAPITAL MGMT		BODY	В	15,000	18.97	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ß	BUCK CAPITAL MGMT		BODY	В	5,000	18.97	n/a	n/a	non-brg	4.0
	MACQUARIE INVESTMENT MGMT	. 040	BTU	В	3,000	47.48	n/a	n/a	0.00	0.0
	MA CAPITAL MGMT/MELLON AD	V041	BUD	В	2,000	51.51	n/a	1-Sep	100.00	5.0
	BROADARCH CAP/OLD NEWC	070	BWA	В	2,000	68.95	n/a	29-Jul	80.00	4.0
	MILLRACE FUND LP	028	BWA	В	7,000	69.51	n/a	29-Jul	280.00	4.0
	BMO NESBITT BURNS	041	BZ	S	7,000	6.59	n/a	n/a	350.00	5.0
	BROADARCH CAP/OLD NEWC	070	САН	S	2,000	41.24	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	CAT	В	2,000	86.77	n/a	14-Sep	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	CAT	S	1,000	86.01	n/a	14-Sep	40.00	4.0
	BROADARCH CAP/OLD NEWC	070	CBE	В	2,000	48.43	n/a	18-Aug	80.00	4.0
ß	BUCK CAPITAL MGMT		CHRS	В	250,000	2.91	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		CHRS	В	250,000	2.93	n/a	n/a	non-brg	0.8
	MACQUARIE INVESTMENT MGMT	. 040	CHS	SS	20,000	13.64	n/a	5-Feb	0.00	0.0
	MACQUARIE INVESTMENT MGMT	. 040	CL	S	1,500	91.32	n/a	1-Aug	0.00	0.0
	CYPRESS CAP MGMT LLC	040	СОН	В	10,900	57.71	n/a	3-Aug	436.00	4.0
f	EDWARD W WHEELER	FID	CPN	S	4373	15.24	n/a	n/a	0.00	0.0
	PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	15.29	n/a	n/a	400.00	4.0
	BALYASNY ASSET MGMT	044	CROX	С	8,000	27.17	n/a	n/a	400.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	BALYASNY ASSET MGMT	044	CROX	S	30,000	27.34	n/a	n/a	1,500.00	5.0
	CYPRESS CAP MGMT LLC	040	CROX	В	15,200	27.50	n/a	n/a	608.00	4.0
	RAINIER INV MGMT	035	CRS	В	58,200	53.23	n/a	n/a	2,328.00	4.0
ß	BUCK CAPITAL MGMT		CSTR	S	20,000	47.75	n/a	n/a	non-brg	4.0
	BROADARCH CAP/OLD NEWC	070	DAN	В	4,000	12.58	n/a	29-Jul	160.00	4.0
	MTB INV ADV	034	DAN	В	20,525	12.85	n/a	29-Jul	1,026.25	5.0
ß	BUCK CAPITAL MGMT		DIA	SS	2,500	113.06	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		DIA	SS	2,900	113.06	n/a	n/a	non-brg	2.0
	BROADARCH CAP/OLD NEWC	070	DOV	В	2,000	52.88	n/a	n/a	80.00	4.0
	MACQUARIE INVESTMENT MGMT	. 040	DRQ	В	2,500	63.72	n/a	n/a	0.00	0.0
f	JASON ERIC COHEN	FID	DRYS	S	110	3.22	n/a	n/a	0.00	0.0
	BALYASNY ASSET MGMT	044	EAT	В	30,000	21.45	n/a	12-Aug	1,500.00	5.0
	MACQUARIE INVESTMENT MGMT	. 040	EPL	S	10,000	12.39	n/a	n/a	0.00	0.0
	KAM ADVISORS LLC	041	EP	В	34,200	19.58	n/a	n/a	1,026.00	3.0
	FORTRESS INVESTMENT (US)	036	ERJ	В	8,000	26.46	n/a	n/a	320.00	4.0
	BROADARCH CAP/OLD NEWC	070	ESRX	S	4,500	40.88	n/a	n/a	180.00	4.0
	PROSPECTOR PARTNERS LLC	036	FE	S	10,000	44.58	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
BROADARCH CAP/OLD NEW	C 070	FSLR	В	2,000	92.37	n/a	n/a	80.00	4.0
OZ MGMT	040	F	В	90,713	10.52	n/a	2-Sep	2,721.39	3.0
PECONIC PARTNERS	036	F	В	800,000	10.51	n/a	2-Sep	40,000.00	5.0
LEVIN CAPITAL STRATEG	IES 041	GE	S	60,000	15.94	n/a	n/a	1,800.00	3.0
BUCK CAPITAL MGMT		GIII	В	25,000	22.91	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIII	В	25,000	23.40	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GIII	В	25,000	23.71	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIII	В	50,000	23.22	n/a	n/a	non-brg	4.0
CICILY S BACKUS	FID	GM	s	5000	22.75	n/a	2-Sep	0.00	0.0
CIRCLE T/SES PART	033	GM	В	7,500	22.52	n/a	2-Sep	300.00	4.0
LBP ENTERPRI SES INC	FID	GM	S	3000	22.72	n/a	2-Sep	0.00	0.0
OZ MGMT	040	GM	С	29,454	22.61	n/a	2-Sep	883.62	3.0
SNEJANA P GARFUNKEL	FID	GM	S	500	22.75	n/a	2-Sep	0.00	0.0
FORTRESS INVESTMENT (	US) 036	GNW	SS	100,000	6.03	n/a	n/a	3,000.00	3.0
CHRISTOPHER ROBERT C	FID	GPK	В	1000	4.02	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEW	C 070	GR	В	2,000	86.46	n/a	14-Sep	80.00	4.0
BROADARCH CAP/OLD NEW	C 070	GR	S	2,000	86.38	n/a	14-Sep	80.00	4.0
BROADARCH CAP/OLD NEW	C 070	GWW	В	2,000	159.99	n/a	18-Aug	80.00	4.0
BROADARCH CAP/OLD NEW	C 070	GWW	S	1,000	161.47	n/a	18-Aug	40.00	4.0
MARY CATHERI MADIGA	FID	HRS	s	200	40.56	n/a	11-Aug	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
	BROADARCH CAP/OLD NEWC	070	HSIC	SS	2,000	63.20	n/a	n/a	80.00	4.0	
	BROADARCH CAP/OLD NEWC	070	HUBB	В	4,000	58.14	n/a	n/a	160.00	4.0	
					·						
ß	BUCK CAPITAL MGMT		IJH	SS	2,000	85.63	n/a	n/a	non-brg	2.0	
ß	BUCK CAPITAL MGMT		IJH	SS	2,900	85.63	n/a	n/a	non-brg	2.0	
13	BOCK CAPITAL MGMI		1011	33	2, 300	03.03	11/ a	11/4	non-brg	2.0	
f	DAVID GEORGE BUCK	FID	ILMN	s	1500	49.87	n/a	- /-	0.00	0.0	
I	DAVID GEORGE BUCK	FID	ILMN	5	1500	49.87	n/a	n/a	0.00	0.0	
	O.F. MOME	0.40	TD		75 000	07.60	,	6. 6	0.050.00	2 0	
	OZ MGMT	040	IP	SS	75,000	27.62	n/a	6-Sep	2,250.00	3.0	
	,						,	,			
	BROADARCH CAP/OLD NEWC	070	IYT	SS	2,000	82.97	n/a	n/a	80.00	4.0	
	CYPRESS CAP MGMT LLC	040	JAH	В	21,900	30.15	n/a	n/a	876.00	4.0	
	CAERUS GLOBAL	041	JNY	В	4,600	10.81	n/a	28-Jul	184.00	4.0	
	SIMMONS VENTURES	041	JNY	В	5,000	11.14	n/a	28-Jul	200.00	4.0	
	BROADARCH CAP/OLD NEWC	070	JPM	В	2,000	33.38	15-Sep	15-Sep	80.00	4.0	
	BUCK CAPITAL MGMT	001	JWN	В	20,000	46.56	n/a	2-Sep	600.00	3.0	
f	EDWARD W WHEELER	FID	KEM	s	5000	8.66	n/a	n/a	0.00	0.0	
f	CHRISTOPHER ROBERT C	FID	KFN	В	1000	8.35	n/a	n/a	0.00	0.0	
	BROADARCH CAP/OLD NEWC	070	KMB	S	2,000	68.39	n/a	25-Jul	80.00	4.0	
					,		, -				
	AVESTA CAP	229	KO	В	100,000	70.60	n/a	20-Jul	3,000.00	3.0	
				_	_00,000		11, 0	20 001	٥,٥٥٥.٥٥	~ · ~	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	BROADARCH CAP/OLD NEWC	070	LEA	В	2,000	44.66	n/a	5-Aug	80.00	4.0
õ	Doug Rogers		LGND	s	200	14.90	n/a	n/a	0.00	0.0
Õ	Doug Rogers		LGND	S	5	14.89	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	LULU	В	2,000	58.76	n/a	12-Sep	80.00	4.0
	ROTHSCHILD ASSET	040	LYB	В	90,804	33.52	n/a	n/a	3,632.16	4.0
ß	BUCK CAPITAL MGMT		MDY	SS	1,000	155.60	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		MDY	SS	700	155.60	n/a	n/a	non-brg	2.0
	LEVIN CAPITAL STRATEGIES	041	MET	S	35,000	32.52	n/a	n/a	1,050.00	3.0
	MACQUARIE INVESTMENT MGMT	. 040	MHK	SS	2,500	45.23	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	041	МНР	S	10,000	44.02	n/a	n/a	300.00	3.0
	BROADARCH CAP/OLD NEWC	070	MMM	SS	2,000	79.86	n/a	7-Sep	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	MON	В	2,000	70.37	n/a	13-Sep	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	MOO	SS	2,000	50.89	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	MOS	В	2,000	71.57	n/a	n/a	80.00	4.0
ß	BUCK CAPITAL MGMT		MSMSBCM	С	155,000	90.87	n/a	n/a	non-brg	7.3
ß	BUCK CAPITAL MGMT		MSMSBCM	С	30,000	90.87	n/a	n/a	non-brg	7.3
ß	BUCK CAPITAL MGMT		MSMSBOB	В	277,658	103.91	n/a	n/a	non-brg	0.8

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ß	BUCK CAPITAL MGMT		MSMSBOB	S	260,000	103.91	n/a	n/a	non-brg	0.0
	BROADARCH CAP/OLD NEWC	070	MTD	В	2,000	157.20	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	MTD	S	1,000	155.86	n/a	n/a	40.00	4.0
	BUCK CAPITAL MGMT	001	MW	В	10,000	28.00	n/a	n/a	300.00	3.0
	TROUBH PART	070	М	S	25,000	26.61	n/a	2-Sep	1,250.00	5.0
	SMITH MGMT LLC	029	NDN	S	90,000	18.79	n/a	22-Aug	2,700.00	3.0
	MACQUARIE INVESTMENT MGMT	. 040	NFX	В	2,500	48.78	n/a	n/a	0.00	0.0
	TALPION LLC	040	NLSN	В	5,000	27.64	n/a	n/a	200.00	4.0
	MACQUARIE INVESTMENT MGMT	. 040	NOV	В	3,000	65.62	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	NSC	В	2,000	69.29	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	NSC	S	1,000	68.71	n/a	n/a	40.00	4.0
	LEVIN CAPITAL STRATEGIES	041	OMC	В	10,000	40.05	n/a	n/a	300.00	3.0
	TALPION LLC	040	ORLY	S	5,000	70.23	n/a	n/a	200.00	4.0
	BROADARCH CAP/OLD NEWC	070	OXY	В	2,000	83.92	n/a	n/a	80.00	4.0
	GREEN ARROW DOUG	040	PAET	В	50,000	5.68	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		PERY	В	20,000	20.42	n/a	n/a	non-brg	2.5
	BROADARCH CAP/OLD NEWC	070	PFE	S	4,000	18.47	n/a	n/a	160.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	BROADARCH CAP/OLD NEWC	070	PG	S	5,000	62.56	n/a	8-Aug	200.00	4.0
	BROADARCH CAP/OLD NEWC	070	РН	В	2,000	70.49	n/a	14-Sep	80.00	4.0
	MACQUARIE INVESTMENT MGMT	. 040	PIR	В	5,000	11.32	n/a	n/a	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	PKG	S	200	26.48	n/a	4-Aug	0.00	0.0
f	DAVID GEORGE BUCK	FID	РМ	s	1000	68.18	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	POT	S	2,000	56.98	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	QCOM	В	3,000	53.13	n/a	n/a	120.00	4.0
	BRANDWINE	028	RDSA	В	69,400	66.64	n/a	n/a	2,776.00	4.0
	BROADARCH CAP/OLD NEWC	070	RIMM	SS	4,000	29.29	n/a	n/a	160.00	4.0
	BROADARCH CAP/OLD NEWC	070	RKT	В	2,000	55.30	n/a	4-Aug	80.00	4.0
	NEWLAND CAPITAL MGT	025	RKT	S	10,000	54.54	n/a	4-Aug	400.00	4.0
ß	BUCK CAPITAL MGMT		RL	SS	10,000	144.80	n/a	11-Aug	non-brg	4.0
	MACQUARIE INVESTMENT MGMT	. 040	ROSE	SS	4,000	44.15	n/a	n/a	0.00	0.0
	MACQUARIE INVESTMENT MGMT	. 040	RRC	В	2,500	62.66	n/a	14-Sep	0.00	0.0
	RWC PARTNERS LTD	085	RSG	В	45,244	28.97	n/a	n/a	1,357.32	3.0
	SONTERRA CAP	041	RTI	В	25,000	25.37	n/a	n/a	1,000.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
f	DAVID GEORGE BUCK	FID	RYN	S	3000	39.96	n/a	1-Aug	0.00	0.0
f	EDWARD W WHEELER	FID	R	В	130	0.83	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	SHW	SS	3,000	75.73	n/a	7-Sep	120.00	4.0
	MACQUARIE INVESTMENT MGMT	. 040	SLB	SS	3,000	73.89	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	SMG	SS	2,000	47.25	n/a	9-Aug	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	SMH	В	3,000	30.77	n/a	n/a	120.00	4.0
	BROADARCH CAP/OLD NEWC	070	SNDK	В	2,000	43.01	n/a	n/a	80.00	4.0
ß	BUCK CAPITAL MGMT		SODA	S	20,000	41.48	n/a	n/a	non-brg	2.5
	MACQUARIE INVESTMENT MGMT	. 040	SPN	В	3,000	35.82	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	SPY	SS	·	120.92	n/a	n/a	120.00	4.0
ß	BUCK CAPITAL MGMT		SPY	SS	•	121.30	n/a	n/a	non-brg	2.0
	JANA CAPITAL	044	SPY	SS	80,000	121.35	n/a	n/a	3,200.00	4.0
	ROYCE TRADING	031	SUP	S	45,100	16.57	n/a	8-Aug	2,255.00	5.0
	BROADARCH CAP/OLD NEWC	070	SYMC	S	2,000	16.96	n/a	n/a	80.00	4.0
	FIRST NEW YORK LEDDY	035	S	В	20,000	3.44	n/a	n/a	800.00	4.0
	BROADARCH CAP/OLD NEWC	070	TECD	В	2,000	47.35	n/a	n/a	80.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	MATRIX ASSET ADV.	091	TEVA	В	2,500	38.48	n/a	15-Sep	100.00	4.0
f	MARY CATHERI MADIGA	FID	TEX	s	300	14.21	n/a	14-Sep	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	TGT	В	2,000	51.51	n/a	1-Sep	80.00	4.0
	OZ MGMT	040	TGT	В	75 <b>,</b> 000	51.70	n/a	1-Sep	2,250.00	3.0
	PRIMECAP MGMT	084	TGT	S	12,900	51.73	n/a	1-Sep	516.00	4.0
	RIDGECREST INV MGMT LLC	028	TGT	В	5,000	51.64	n/a	1-Sep	250.00	5.0
	BROADARCH CAP/OLD NEWC	070	TMO	S	2,000	53.84	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	UNP	S	2,000	90.29	n/a	n/a	80.00	4.0
	DELTEC ASSET MGMT.	040	URI	S	11,800	17.51	n/a	n/a	590.00	5.0
	LEVIN CAPITAL STRATEGIES	041	UTX	S	10,000	74.83	n/a	n/a	300.00	3.0
ß	BUCK CAPITAL MGMT		VECO	С	20,000	29.86	n/a	n/a	non-brg	4.0
f	DAVID GEORGE BUCK	FID	VNO	В	1000	85.49	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	WAG	В	2000	37.01	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	WAT	В	2,000	80.27	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	070	WBC	S	1,500	48.29	n/a	18-Aug	60.00	4.0
f	CHRISTOPHER ROBERT C	FID	WBC	S	75	48.57	n/a	18-Aug	0.00	0.0
	DAVIDSON KEMPNER ADVISOR	040	WCRX	В	20,000	14.92	n/a	14-Sep	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BROADARCH CAP/OLD NEWC	070	WERN	В	4,000	23.49	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	WFC	В	2,000	25.08	n/a	15-Sep	80.00	4.0
GREEN ARROW DOUG	040	WIN	SS	23,000	12.82	n/a	n/a	690.00	3.0
KAM ADVISORS LLC	041	WMB	В	25 <b>,</b> 600	27.18	n/a	n/a	768.00	3.0
CHRISTOPHER ROBERT C	FID	WNC	S	1000	5.38	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	WRC	SS	20,000	52.35	n/a	2-Aug	1,000.00	5.0
MACQUARIE INVESTMENT MGMT	г. 040	XLE	В	3,000	66.87	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT	Γ. 040	XLE	SS	4,000	67.23	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	XLI	В	4,000	31.94	n/a	n/a	160.00	4.0
BRANDWINE	028	XOM	S	33,800	73.12	n/a	n/a	1,352.00	4.0
BROADARCH CAP/OLD NEWC	070	MOX	SS	2,000	72.78	n/a	n/a	80.00	4.0
JOEL GIFFORD TISS	FID	XPO	В	350	9.80	n/a	n/a	0.00	0.0
KAREN F LEDDY	FID	XPO	В	1100	10.00	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	XRT	SS	2,000	49.34	n/a	n/a	80.00	4.0
BUCK CAPITAL MGMT		XRT	С	10,100	49.84	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		XRT	С	9,900	49.84	n/a	n/a	non-brg	2.0
TUDOR INVESTORS	028	ZUMZ	SS	22,393	19.06	n/a	n/a	671.79	3.0

TOTAL (Trade Date): 109,524.64

## Cancel/Corrects and As-Of Trades

Туре	e Date Account		RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	Shr.
•		ADAGE CAPITAL MGMT ADAGE CAPITAL MGMT	030 030	KR KR	В	522 522	21.97 21.97	n/a n/a	n/a n/a		3.0
TOTAL	(AO, (	CXL, CRT):								0.00	

TOTAL (AO, CXL, CRT):	0.00
TOTAL (RUN DATE) / NFS:	109,524.64

## BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
				•				•

MRI Securities with Trade Activity on 15-Sep.

JPM

MRI Securities without Trade Activity on 15-Sep.

GS, BAC, C, LAZ, MS

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

T-Date = 3%

YTD = 2%

## Legend:

O: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)