



Daily Compliance Activity Report

Trade Date: 02/27/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	AAPL	B	50	120.88	n/a	n/a	2.50	5.0
B BUCK CAPITAL MGMT		AAWW	C	25,000	51.73	n/a	n/a	non-brg	2.5
BAIRD INVESTMENT	031	ABT	B	100	54.76	n/a	22-Apr	5.00	5.0
BAIRD INVESTMENT	031	ADBE	B	150	35.23	n/a	n/a	7.50	5.0
COUGAR TRADING	044	AEO	S	10,000	23.19	5-Feb	8-Feb	500.00	5.0
BAIRD INVESTMENT	031	AGN	B	50	62.82	31-Jan	26-Feb	2.50	5.0
IRIDIAN ASSET MGMT.	036	AIG	B	34,250	51.64	n/a	n/a	1,712.50	5.0
COUGAR TRADING	044	ANF	B	5,000	81.50	10-Jan	15-Feb	250.00	5.0
COUGAR TRADING	044	ANN	S	30,000	26.02	11-Jan	8-Feb	1,500.00	5.0
LEDDY	035	AN	SS	800	15.79	n/a	8-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	28.82	29-Nov	8-Feb	400.00	4.0
BAIRD INVESTMENT	031	AVP	B	100	39.36	5-Feb	21-Feb	5.00	5.0
BAIRD INVESTMENT	031	A	B	125	31.96	n/a	n/a	6.25	5.0
IRIDIAN ASSET MGMT.	036	BAC	B	37,570	43.01	13-Nov	21-Feb	1,878.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FINANCIAL STOCK LP	028	BAM	B	40,000	31.14	n/a	n/a	1,600.00	4.0
IRIDIAN ASSET MGMT.	036	BAX	S	10,080	59.85	n/a	22-Apr	504.00	5.0
WHALE ROCK CAP	030	BC	B	92,500	18.07	n/a	n/a	3,700.00	4.0
PHILADELPHIA FINANCIAL	033	BEN	B	4,667	101.55	25-Sep	21-Feb	233.35	5.0
IRIDIAN ASSET MGMT.	036	BIIB	S	3,250	61.77	n/a	n/a	162.50	5.0
GRUSS CAPITAL	045	BKC	B	7,500	26.26	n/a	24-Apr	300.00	4.0
B BUCK CAPITAL MGMT		BONT	S	20,000	6.44	4-Jan	15-Feb	non-brg	4.0
KENNEDY CAPITAL	046	BRCM	B	21,270	19.64	n/a	n/a	850.80	4.0
ROYCE TRADING	216	BWS	B	10,000	16.27	n/a	n/a	500.00	5.0
ROARING BLUE LION MGMT	012	BX	B	16,700	17.33	n/a	n/a	668.00	4.0
ROYCE TRADING	216	B	B	10,000	23.51	n/a	n/a	500.00	5.0
VISIUM/BALY HOWARD	038	CBK	S	30,000	11.77	n/a	11-Feb	1,500.00	5.0
ROYCE TRADING	216	CBR	S	15,000	4.98	n/a	n/a	450.00	3.0
ROYCE TRADING	216	CCC	S	10,000	18.01	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	031	CELG	B	50	56.86	n/a	n/a	2.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	CHIC	B	10,000	20.14	n/a	n/a	600.00	6.0
BUCK CAPITAL MGMT	001	CHS	SS	10,000	10.55	31-Jan	8-Feb	400.00	4.0
GALLEON MGMT LP	033	CLWR	S	10,000	16.81	n/a	n/a	500.00	5.0
BARR	096	COF	C	300	49.73	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	COST	B	50	63.73	n/a	27-Jul	2.50	5.0
⌘ BUCK CAPITAL MGMT		CROX	B	10,000	24.78	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	031	CSCO	B	200	24.73	n/a	22-Mar	10.00	5.0
ROYCE TRADING	216	CSK	B	5,000	4.07	n/a	n/a	150.00	3.0
ROYCE TRADING	216	CTB	S	2,600	18.77	n/a	n/a	130.00	5.0
ROYCE TRADING	216	CTGX	S	10,700	4.33	n/a	n/a	321.00	3.0
⌘ BUCK CAPITAL MGMT		CTRN	S	13,900	16.29	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DAI	SS	10,000	86.04	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	DAI	SS	30,000	86.34	n/a	n/a	1,500.00	5.0
GALLEON MGMT LP	033	DBA	SS	10,000	41.12	n/a	n/a	500.00	5.0
ROYCE TRADING	216	DCO	S	15,000	29.64	n/a	n/a	750.00	5.0
⌘ BUCK CAPITAL MGMT		DECK	B	20,000	127.17	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	DFS	C	1,500	16.03	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	DHR	B	75	74.63	n/a	n/a	3.75	5.0
BAIRD INVESTMENT	031	DIS	B	125	33.11	n/a	n/a	6.25	5.0
ß BUCK CAPITAL MGMT		DLTR	C	120,000	29.05	9-Nov	27-Feb	non-brg	4.0
GLG PARTNERS	034	DLTR	SS	25,000	28.62	9-Nov	27-Feb	1,250.00	5.0
BAIRD INVESTMENT	031	DNA	B	50	77.10	n/a	n/a	2.50	5.0
BULL PATH CAPITAL	044	DPZ	B	30,000	13.76	n/a	24-Apr	1,500.00	5.0
BAIRD INVESTMENT	031	ECL	B	100	48.09	4-Jan	27-Feb	5.00	5.0
BAIRD INVESTMENT	031	EMR	B	100	53.55	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	031	ERTS	B	100	47.40	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	031	FAST	B	75	42.89	n/a	n/a	3.75	5.0
Õ Claire Mencke		FLI	S	400	31.32	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FOSL	B	20,000	34.36	13-Nov	20-Feb	non-brg	4.0
ROYCE TRADING	216	FRM	S	1,600	11.03	n/a	n/a	80.00	5.0
PHILADELPHIA FINANCIAL	033	GBL	SS	10,000	59.15	n/a	21-Feb	500.00	5.0
IRIDIAN ASSET MGMT.	036	GENZ	S	8,230	73.08	n/a	n/a	411.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	130,000	43.64	n/a	n/a	5,200.00	4.0
PROSPECTOR PARTNERS LLC	036	GFI	B	20,000	14.43	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	031	GILD	B	100	43.75	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	031	GLW	B	225	24.16	n/a	11-Feb	11.25	5.0
DELTEC ASSET MGMT.	040	GLW	B	20,000	24.25	n/a	11-Feb	1,000.00	5.0
TRELLUS PARTNERS LP	028	GM	SS	50,000	24.87	3-Jan	13-Feb	2,500.00	5.0
EGS ASSOCIATES LP	091	GPI	B	7,500	27.04	25-Jan	27-Feb	450.00	6.0
CATTANI	041	GR	S	200	63.00	25-Oct	31-Jan	0.00	0.0
IRIDIAN ASSET MGMT.	036	GS	B	28,040	177.30	21-Sep	21-Feb	1,402.00	5.0
B BUCK CAPITAL MGMT		GYMB	S	60,000	41.72	n/a	8-Feb	non-brg	4.0
ROYCE TRADING	216	HMN	S	10,000	18.19	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	031	HOLX	B	75	61.76	n/a	n/a	3.75	5.0
BAIRD INVESTMENT	031	HON	B	75	59.39	n/a	25-Jan	3.75	5.0
BAIRD INVESTMENT	031	HPQ	B	75	48.74	n/a	n/a	3.75	5.0
BRIGHTPOINT CAP	067	HRS	SS	25,000	54.28	11-Jan	30-Jan	1,000.00	4.0
MAGUIRE	039	IBN	C	200	55.33	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	IHP	B	30,000	44.07	n/a	n/a	1,200.00	4.0
IRIDIAN ASSET MGMT.	036	INTC	S	127,590	20.77	n/a	n/a	6,379.50	5.0
BAIRD INVESTMENT	031	IRM	B	150	33.89	n/a	n/a	7.50	5.0
WASHINGTON ASSET	048	IR	B	10,000	42.19	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	031	ITT	B	75	58.66	n/a	6-Feb	3.75	5.0
BAIRD INVESTMENT	031	ITW	B	75	49.63	n/a	n/a	3.75	5.0
BUCK CAPITAL MGMT	001	JAH	S	10,000	25.53	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	42.30	28-Nov	21-Feb	400.00	4.0
BAIRD INVESTMENT	031	JCI	B	150	34.83	23-Jan	23-Jan	7.50	5.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	15.47	n/a	15-Feb	800.00	4.0
CATAPULT	040	JPM	SS	5,000	44.22	17-Jan	21-Feb	250.00	5.0
BAIRD INVESTMENT	031	KSS	B	100	46.14	4-Jan	21-Feb	5.00	5.0
BUCK CAPITAL MGMT	001	LIZ	B	25,000	19.14	n/a	15-Feb	1,000.00	4.0
FORD FDN.	032	LLY	S	25,000	51.73	n/a	n/a	1,250.00	5.0
&MIL	028	LM	B	50,000	71.02	17-Dec	21-Feb	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	LOW	B	100	25.45	n/a	27-Jul	5.00	5.0
ROYCE TRADING	216	LPX	B	20,000	12.02	30-Oct	6-Feb	1,000.00	5.0
COUGAR TRADING	044	LTD	B	25,000	17.89	n/a	8-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	LTM	B	10,000	30.85	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	MA	B	5,000	189.92	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		MA	C	6,600	189.81	n/a	n/a	non-brg	1.0
BAIRD INVESTMENT	031	MI	B	75	25.81	n/a	n/a	3.75	5.0
PRINCIPLE CAPITAL	040	MLHR	B	90,000	32.67	n/a	n/a	2,700.00	3.0
BAIRD INVESTMENT	031	MSFT	B	175	28.14	n/a	3-Apr	8.75	5.0
NEWLAND CAPITAL MGT	067	MTZ	S	10,000	8.21	n/a	n/a	500.00	5.0
ROYCE TRADING	216	MTZ	B	25,000	8.25	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	M	S	5,000	26.27	7-Feb	27-Feb	200.00	4.0
EGS ASSOCIATES LP	091	M	SS	6,100	26.40	7-Feb	27-Feb	366.00	6.0
ROSEDALE CAPITAL	046	NR	B	30,000	4.84	n/a	n/a	1,200.00	4.0
BAIRD INVESTMENT	031	NTAP	B	125	23.66	n/a	n/a	6.25	5.0
BAIRD INVESTMENT	031	NTRS	B	50	71.44	n/a	21-Feb	2.50	5.0
ROARING BLUE LION MGMT	012	OZM	B	4,200	23.63	n/a	n/a	168.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	PAG	B	35,000	19.33	6-Feb	20-Feb	1,750.00	5.0
BAIRD INVESTMENT	031	PAYX	B	100	32.68	n/a	n/a	5.00	5.0
XYLEM GLOBAL	091	PCL	S	20,000	42.62	8-Jan	30-Jan	1,000.00	5.0
LEDDY	035	PCL	S	250	43.12	8-Jan	30-Jan	0.00	0.0
B BUCK CAPITAL MGMT		PERY	S	5,000	19.43	n/a	n/a	non-brg	2.5
BAIRD INVESTMENT	031	PFJ	B	75	60.81	n/a	n/a	3.75	5.0
HIGHBRIDGE CAPITAL	038	PKG	SS	4,000	24.02	23-Jan	23-Jan	200.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	22.30	10-Jan	8-Feb	non-brg	4.0
ROYCE TRADING	216	PSS	B	10,000	17.05	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	38.97	5-Feb	15-Feb	800.00	4.0
VISIUM/BALY HOWARD	038	PVH	S	25,000	40.19	5-Feb	15-Feb	1,250.00	5.0
BAIRD INVESTMENT	031	PX	B	50	83.95	n/a	23-Jan	2.50	5.0
COUGAR TRADING	044	PZN	B	5,000	12.02	12-Feb	21-Feb	250.00	5.0
B BUCK CAPITAL MGMT		PZZA	C	50,000	27.06	n/a	24-Apr	non-brg	4.0
ROYCE TRADING	216	QADI	S	5,000	8.78	n/a	n/a	250.00	5.0
FIRST NY SEC/CHRIS	041	Q	B	20,000	5.62	n/a	n/a	1,200.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	RAS	B	10,000	7.95	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	5,000	67.91	7-Feb	15-Feb	200.00	4.0
WHEELER	008	RUSHA	B	3,000	15.49	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RVI	S	20,000	7.19	n/a	n/a	800.00	4.0
CATTANI	041	SHPGY	B	200	61.17	22-Feb	26-Feb	0.00	0.0
BARR	096	SKF	S	170	105.50	n/a	n/a	0.00	0.0
ROYCE TRADING	216	SKS	B	10,000	16.57	n/a	n/a	500.00	5.0
CATTANI	041	SLBCR	S	2	2.10	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	SLB	B	50	88.25	n/a	n/a	2.50	5.0
ROYCE TRADING	216	SPA	S	900	4.90	n/a	n/a	27.00	3.0
BAIRD INVESTMENT	031	SPLS	B	175	23.80	n/a	27-Jul	8.75	5.0
LEDY	035	SSCC	B	1,100	8.84	8-Jan	30-Jan	0.00	0.0
BAIRD INVESTMENT	031	STJ	B	75	43.56	n/a	n/a	3.75	5.0
BAIRD INVESTMENT	031	STT	B	50	82.98	n/a	n/a	2.50	5.0
AVESTA CAP	229	SVU	SS	25,000	27.46	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	SWN	B	100	66.12	14-Jan	14-Feb	5.00	5.0
BAIRD INVESTMENT	031	SYU	B	125	29.74	n/a	24-Apr	6.25	5.0
BAIRD INVESTMENT	031	TGT	B	50	54.74	n/a	27-Jul	2.50	5.0
J.W. SELIGMAN	041	TGT	B	77,400	54.66	n/a	27-Jul	3,096.00	4.0
BUCK CAPITAL MGMT	001	TJX	S	35,000	32.91	n/a	21-Feb	1,400.00	4.0
BAIRD INVESTMENT	031	TMO	B	50	57.64	n/a	n/a	2.50	5.0
B BUCK CAPITAL MGMT		TPX	B	110,000	18.60	n/a	n/a	non-brg	4.0
FIRST NY SEC/CHRIS	041	TRA	B	10,000	48.44	n/a	n/a	600.00	6.0
BAIRD INVESTMENT	031	TROW	B	50	53.88	9-Jan	21-Feb	2.50	5.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	30.46	21-Feb	21-Feb	400.00	4.0
BAIRD INVESTMENT	031	TXN	B	150	31.27	n/a	n/a	7.50	5.0
BUCK CAPITAL MGMT	001	UA	S	2,800	39.79	n/a	n/a	112.00	4.0
MADIGAN	031	UNT	S	200	56.07	14-Jan	26-Feb	0.00	0.0
ROYCE TRADING	216	VOL	S	4,000	17.62	n/a	n/a	200.00	5.0
BAIRD INVESTMENT	031	WAG	B	50	37.31	n/a	n/a	2.50	5.0
BUCK	015	WBCG	S	22	1.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STERLING JOHNSTON	035	WCRX	S	21,850	16.95	n/a	26-Feb	874.00	4.0
BAIRD INVESTMENT	031	WFMI	B	75	36.27	n/a	n/a	3.75	5.0
BAIRD INVESTMENT	031	WFT	B	50	69.84	n/a	n/a	2.50	5.0
ROYCE TRADING	216	WLT	S	10,000	52.84	n/a	n/a	500.00	5.0
BASIX	033	WRNC	S	16,200	39.82	14-Jan	27-Feb	648.00	4.0
EGS ASSOCIATES LP	091	WRNC	SS	4,000	40.03	14-Jan	27-Feb	240.00	6.0
JPMSI/TOM LEDDY	035	WRNC	S	15,000	40.25	14-Jan	27-Feb	750.00	5.0
B BUCK CAPITAL MGMT		WSO	B	10,000	38.40	n/a	n/a	non-brg	1.0
BAIRD INVESTMENT	031	WU	B	200	21.46	n/a	n/a	10.00	5.0
FINANCIAL STOCK LP	028	WY	B	20,000	65.10	8-Jan	11-Feb	800.00	4.0
GALLEON MGMT LP	033	XHB	C	30,000	22.21	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		ZLC	SS	10,000	19.80	n/a	n/a	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	237	ZUMZ	SS	50,000	19.55	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	ZZ	SS	50,000	9.97	n/a	n/a	2,000.00	4.0
TOTAL (Trade Date):								89,394.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/26	FORWARD MGMT	033	ARW	B	2,100	34.72	n/a	n/a	105.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	ARW	B	2,100	34.72	n/a	n/a	105.00 5.0
AO,CXL	02/26	FORWARD MGMT	033	CDNS	B	4,000	11.33	n/a	n/a	200.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	CDNS	B	4,000	11.33	n/a	n/a	200.00 5.0
AO,CXL	02/26	FORWARD MGMT	033	COH	B	2,700	32.48	24-Oct	24-Jan	135.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	COH	B	2,700	32.48	24-Oct	24-Jan	135.00 5.0
AO,CXL	02/26	FORWARD MGMT	033	ETN	B	500	83.99	22-Jan	5-Feb	25.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	ETN	B	500	83.99	22-Jan	5-Feb	25.00 5.0
AO,CRT	02/26	SUN AMERICA ASSET MGMT	030	INTC	B	122,900	20.24	n/a	n/a	4916.00 4.0
AO,CXL	02/26	SUN AMERICA ASSET MGMT	030	INTC	B	122,900	20.24	n/a	n/a	6145.00 5.0
AO,CXL	02/26	FORWARD MGMT	033	JWN	B	2,400	38.65	26-Feb	26-Feb	120.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	JWN	B	2,400	38.65	26-Feb	26-Feb	120.00 5.0
AO,CXL	02/26	FORWARD MGMT	033	KSS	B	1,300	47.71	4-Jan	21-Feb	65.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	KSS	B	1,300	47.71	4-Jan	21-Feb	65.00 5.0
AO,	02/26	NEUBERGER BERMAN	036	LBTYA	S	13,100	38.60	n/a	n/a	589.50 4.5
AO,CXL	02/26	BLUE HARBOR	036	OZM	B	7,800	22.46	n/a	n/a	390.00 5.0
AO,CRT	02/26	ROARING BLUE LION MGMT	012	OZM	B	7,800	22.46	n/a	n/a	312.00 4.0
AO,CXL	02/26	FORWARD MGMT	033	PH	B	1,000	66.35	n/a	n/a	50.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/26	FORWARD MGMT	033	PH	B	1,000	66.35	n/a	n/a	50.00 5.0
AO,CXL	02/26	FORWARD MGMT	033	PVH	B	1,300	37.70	5-Feb	15-Feb	65.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	PVH	B	1,300	37.70	5-Feb	15-Feb	65.00 5.0
AO,	02/26	DURANGO INVESTMENTS	031	QLGC	S	40,000	16.49	n/a	n/a	1600.00 4.0
AO,CXL	02/26	FORWARD MGMT	033	ROST	B	2,300	29.55	n/a	n/a	115.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	ROST	B	2,300	29.55	n/a	n/a	115.00 5.0
AO,CXL	02/26	FORWARD MGMT	033	WCC	B	1,700	43.35	n/a	n/a	85.00 5.0
AO,CRT	02/26	FORWARD MGMT	033	WCC	B	1,700	43.35	n/a	n/a	85.00 5.0
AO,	02/26	OMEGA ADVISORS	041	WYE	B	8,000	42.93	n/a	31-Mar	320.00 4.0
AO,CRT	02/26	OMEGA ADVISORS	041	WYE	B	122,000	42.93	n/a	31-Mar	4880.00 4.0
AO,CXL	02/26	OMEGA ADVISORS	041	WYE	B	130,000	42.93	n/a	31-Mar	5200.00 4.0

TOTAL (AO, CXL, CRT) :	882.50
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TOTAL (Trade Date) :	89,394.65
TOTAL (AO, CXL, CRT) :	882.50

TOTAL (RUN DATE) / NFS :	90,277.15
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MRI Securities with Trade Activity on 27-Feb.
NONE

MRI Securities without Trade Activity on 27-Feb.
NDN, SAH

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 46%
YTD = 27%

Legend:

Õ: 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