



# Daily Compliance Activity Report

Trade Date: 07/06/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price        | MRI           | Research     | Comm. ¢/Shr.  |            |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|--------------|---------------|------------|
| PIONEER OAKRIDGE         | 031        | AAPL       | S        | 255           | 136.52       | n/a           | n/a          | 5.10          | 2.0        |
| PIONEER OAKRIDGE         | 031        | ABT        | S        | 645           | 45.89        | n/a           | 22-Apr       | 12.90         | 2.0        |
| PIONEER OAKRIDGE         | 031        | ADBE       | S        | 810           | 26.84        | n/a           | n/a          | 16.20         | 2.0        |
| PIONEER OAKRIDGE         | 031        | ADS        | S        | 455           | 39.20        | n/a           | n/a          | 9.10          | 2.0        |
| <b>EGS ASSOCIATES LP</b> | <b>091</b> | <b>AEO</b> | <b>B</b> | <b>3,000</b>  | <b>13.14</b> | <b>25-Jun</b> | <b>6-Jul</b> | <b>180.00</b> | <b>6.0</b> |
| HIGHBRIDGE CAPITAL       | 038        | AEO        | B        | 50,000        | 13.20        | 25-Jun        | 6-Jul        | 2,500.00      | 5.0        |
| PIONEER OAKRIDGE         | 031        | AGN        | S        | 585           | 46.49        | 24-Mar        | 30-Jun       | 11.70         | 2.0        |
| OPPENHEIMER MGMT.        | 231        | AMAT       | S        | 199,660       | 11.25        | n/a           | n/a          | 7,986.40      | 4.0        |
| PIONEER OAKRIDGE         | 031        | AMG        | S        | 240           | 56.57        | 5-Jun         | 2-Jul        | 4.80          | 2.0        |
| PIONEER OAKRIDGE         | 031        | ANSS       | S        | 840           | 30.26        | n/a           | n/a          | 16.80         | 2.0        |
| PIONEER OAKRIDGE         | 031        | ARG        | S        | 625           | 38.37        | 23-Mar        | 2-Jul        | 12.50         | 2.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ARO</b> | <b>B</b> | <b>10,000</b> | <b>33.63</b> | <b>n/a</b>    | <b>6-Jul</b> | <b>400.00</b> | <b>4.0</b> |
| BMO NESBITT BURNS        | 041        | AXL        | B        | 50,000        | 3.00         | n/a           | 10-Jun       | 2,500.00      | 5.0        |
| RBC CAPITAL MARKETS      | 040        | CCL        | SS       | 15,000        | 25.21        | n/a           | 26-Jan       | 600.00        | 4.0        |
| PIONEER OAKRIDGE         | 031        | CELG       | S        | 470           | 46.43        | n/a           | n/a          | 9.40          | 2.0        |

| Account                  | RR #       | Symbol     | B/S       | Shares         | Price         | MRI           | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|-----------|----------------|---------------|---------------|---------------|-----------------|------------|
| PIONEER OAKRIDGE         | 031        | CHD        | S         | 645            | 53.60         | 27-Apr        | 14-May        | 12.90           | 2.0        |
| PIONEER OAKRIDGE         | 031        | CHSI       | S         | 650            | 23.01         | n/a           | n/a           | 13.00           | 2.0        |
| <b>David Keidan</b>      |            | <b>CIT</b> | <b>B</b>  | <b>100000</b>  | <b>1.8000</b> | <b>23-Apr</b> | <b>1-Jul</b>  | <b>0.00</b>     | <b>0.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>COH</b> | <b>B</b>  | <b>100,000</b> | <b>25.39</b>  | <b>n/a</b>    | <b>22-Apr</b> | <b>4,000.00</b> | <b>4.0</b> |
| RBC CAPITAL MARKETS      | 040        | COH        | SS        | 10,000         | 25.30         | n/a           | 22-Apr        | 400.00          | 4.0        |
| RBC CAPITAL MARKETS      | 040        | COST       | SS        | 5,000          | 45.06         | n/a           | 27-Jul        | 200.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>CRM</b> | <b>SS</b> | <b>20,000</b>  | <b>37.39</b>  | <b>n/a</b>    | <b>n/a</b>    | <b>800.00</b>   | <b>4.0</b> |
| PIONEER OAKRIDGE         | 031        | CSCO       | S         | 1,900          | 18.31         | n/a           | 22-Mar        | 38.00           | 2.0        |
| STERLING JOHNSTON        | 035        | CWTR       | B         | 100,000        | 5.94          | n/a           | n/a           | 4,000.00        | 4.0        |
| CIRCLE T/SES PART        | 035        | DAI        | B         | 5,000          | 34.22         | n/a           | n/a           | 200.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>DDS</b> | <b>SS</b> | <b>50,000</b>  | <b>8.76</b>   | <b>n/a</b>    | <b>n/a</b>    | <b>1,500.00</b> | <b>3.0</b> |
| SANDLER O'NEILL ASSET    | 031        | DFS        | S         | 50,000         | 10.23         | n/a           | 1-Jul         | 2,500.00        | 5.0        |
| PIONEER OAKRIDGE         | 031        | DHR        | S         | 510            | 59.06         | n/a           | n/a           | 10.20           | 2.0        |
| PIONEER OAKRIDGE         | 031        | DNR        | S         | 780            | 13.26         | n/a           | n/a           | 15.60           | 2.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>EAT</b> | <b>SS</b> | <b>30,000</b>  | <b>16.88</b>  | <b>n/a</b>    | <b>24-Apr</b> | <b>1,200.00</b> | <b>4.0</b> |
| PIONEER OAKRIDGE         | 031        | ECL        | S         | 565            | 37.62         | 28-Apr        | 2-Jul         | 11.30           | 2.0        |

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price        | MRI           | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| UBS OCONNOR              | 031        | EV         | C        | 49,990        | 24.74        | 19-May        | 2-Jul         | 1,499.70        | 3.0        |
| RBC CAPITAL MARKETS      | 040        | FL         | B        | 25,000        | 10.10        | 27-Apr        | 26-Jun        | 1,000.00        | 4.0        |
| COUGAR TRADING           | 044        | FOSL       | B        | 15,000        | 22.37        | n/a           | 30-Jan        | 750.00          | 5.0        |
| STRAUSS ASSET MGMT       | 040        | FUQI       | SS       | 15,000        | 18.76        | n/a           | n/a           | 600.00          | 4.0        |
| PIONEER OAKRIDGE         | 031        | GILD       | S        | 645           | 45.25        | n/a           | n/a           | 12.90           | 2.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GIL</b> | <b>B</b> | <b>25,000</b> | <b>13.27</b> | <b>25-Jun</b> | <b>25-Jun</b> | <b>1,000.00</b> | <b>4.0</b> |
| PIONEER OAKRIDGE         | 031        | GME        | S        | 600           | 20.76        | n/a           | n/a           | 12.00           | 2.0        |
| PIONEER OAKRIDGE         | 031        | GOOG       | S        | 100           | 402.29       | n/a           | n/a           | 2.00            | 2.0        |
| PIONEER OAKRIDGE         | 031        | HITT       | S        | 525           | 33.27        | n/a           | n/a           | 10.50           | 2.0        |
| PIONEER OAKRIDGE         | 031        | HK         | S        | 620           | 19.39        | n/a           | n/a           | 12.40           | 2.0        |
| PIONEER OAKRIDGE         | 031        | HPQ        | S        | 655           | 37.56        | n/a           | n/a           | 13.10           | 2.0        |
| PIONEER OAKRIDGE         | 031        | HSIC       | S        | 500           | 45.92        | n/a           | n/a           | 10.00           | 2.0        |
| PIONEER OAKRIDGE         | 031        | IBM        | S        | 365           | 100.65       | n/a           | n/a           | 7.30            | 2.0        |
| PIONEER OAKRIDGE         | 031        | ICE        | S        | 215           | 110.07       | n/a           | n/a           | 4.30            | 2.0        |
| PIONEER OAKRIDGE         | 031        | IEX        | S        | 790           | 23.55        | n/a           | n/a           | 15.80           | 2.0        |

| Account                  | RR #       | Symbol     | B/S       | Shares         | Price        | MRI           | Research      | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|-----------|----------------|--------------|---------------|---------------|-----------------|------------|
| SCOPUS FUND              | 041        | IP         | B         | 10,000         | 14.75        | 23-Jun        | 23-Jun        | 500.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>JCG</b> | <b>B</b>  | <b>30,000</b>  | <b>24.14</b> | <b>n/a</b>    | <b>30-Jan</b> | <b>1,200.00</b> | <b>4.0</b> |
| NEWCASTLE FUNDS          | 255        | JCI        | S         | 25,000         | 20.67        | 2-Jun         | 2-Jun         | 1,000.00        | 4.0        |
| PIONEER OAKRIDGE         | 031        | JCI        | S         | 880            | 20.52        | 2-Jun         | 2-Jun         | 17.60           | 2.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>JCP</b> | <b>B</b>  | <b>150,000</b> | <b>27.51</b> | <b>13-Apr</b> | <b>6-Jul</b>  | <b>6,000.00</b> | <b>4.0</b> |
| HIGHBRIDGE CAPITAL       | 038        | JCP        | B         | 50,000         | 26.98        | 13-Apr        | 6-Jul         | 2,500.00        | 5.0        |
| MADISON ST PARTNERS LLC  | 046        | JNS        | B         | 12,655         | 10.96        | 5-May         | 2-Jul         | 632.75          | 5.0        |
| RBC CAPITAL MARKETS      | 040        | JWN        | B         | 25,000         | 18.97        | 20-Feb        | 6-Jul         | 1,000.00        | 4.0        |
| NEWCASTLE FUNDS          | 255        | KR         | B         | 77,300         | 21.49        | n/a           | n/a           | 3,092.00        | 4.0        |
| PIONEER OAKRIDGE         | 031        | KR         | S         | 840            | 21.27        | n/a           | n/a           | 16.80           | 2.0        |
| COUGAR TRADING           | 044        | KSS        | B         | 5,000          | 42.57        | 8-May         | 6-Jul         | 250.00          | 5.0        |
| DISCIPLINED GROWTH INV.  | 030        | LTD        | B         | 2,700          | 11.50        | n/a           | 30-Jan        | 135.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>MHK</b> | <b>B</b>  | <b>20,000</b>  | <b>33.36</b> | <b>n/a</b>    | <b>n/a</b>    | <b>800.00</b>   | <b>4.0</b> |
| PIONEER OAKRIDGE         | 031        | MON        | S         | 140            | 71.90        | n/a           | 26-Jun        | 2.80            | 2.0        |
| PIONEER OAKRIDGE         | 031        | MSFT       | S         | 1,115          | 22.87        | n/a           | 3-Apr         | 22.30           | 2.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>NKE</b> | <b>SS</b> | <b>30,000</b>  | <b>51.44</b> | <b>n/a</b>    | <b>n/a</b>    | <b>1,200.00</b> | <b>4.0</b> |
| PIONEER OAKRIDGE         | 031        | ORLY       | S         | 645            | 37.09        | n/a           | n/a           | 12.90           | 2.0        |

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.   |            |
|--------------------------|------------|------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| PIONEER OAKRIDGE         | 031        | PCP        | S         | 240           | 67.52        | n/a           | n/a           | 4.80          | 2.0        |
| PIONEER OAKRIDGE         | 031        | PEP        | S         | 530           | 56.78        | n/a           | n/a           | 10.60         | 2.0        |
| PIONEER OAKRIDGE         | 031        | PG         | S         | 655           | 50.92        | 5-Jun         | 5-Jun         | 13.10         | 2.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>PVH</b> | <b>B</b>  | <b>20,000</b> | <b>26.82</b> | <b>20-Apr</b> | <b>21-May</b> | <b>800.00</b> | <b>4.0</b> |
| PIONEER OAKRIDGE         | 031        | PWR        | S         | 980           | 21.35        | n/a           | n/a           | 19.60         | 2.0        |
| PIONEER OAKRIDGE         | 031        | QCOM       | S         | 1,050         | 44.67        | n/a           | n/a           | 21.00         | 2.0        |
| DISCIPLINED GROWTH INV.  | 030        | RCL        | B         | 2,000         | 12.80        | 22-Apr        | 24-Apr        | 100.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>RL</b>  | <b>B</b>  | <b>10,000</b> | <b>50.19</b> | <b>25-Jun</b> | <b>25-Jun</b> | <b>400.00</b> | <b>4.0</b> |
| PIONEER OAKRIDGE         | 031        | RMD        | S         | 570           | 39.28        | n/a           | n/a           | 11.40         | 2.0        |
| PIONEER OAKRIDGE         | 031        | RTN        | S         | 460           | 42.84        | n/a           | n/a           | 9.20          | 2.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>SAI</b> | <b>SS</b> | <b>20,000</b> | <b>18.04</b> | <b>n/a</b>    | <b>n/a</b>    | <b>800.00</b> | <b>4.0</b> |
| PIONEER OAKRIDGE         | 031        | SAP        | S         | 600           | 38.50        | n/a           | n/a           | 12.00         | 2.0        |
| PIONEER OAKRIDGE         | 031        | SCHW       | S         | 1,390         | 16.82        | n/a           | n/a           | 27.80         | 2.0        |
| SANDELL ADV              | 040        | SFD        | B         | 50,000        | 13.13        | n/a           | n/a           | 2,000.00      | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>SKX</b> | <b>B</b>  | <b>2,500</b>  | <b>9.12</b>  | <b>n/a</b>    | <b>13-Mar</b> | <b>0.00</b>   | <b>0.0</b> |

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price        | MRI          | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|-----------|---------------|--------------|--------------|---------------|-----------------|------------|
| PIONEER OAKRIDGE         | 031        | SLB        | S         | 585           | 50.60        | n/a          | n/a           | 11.70           | 2.0        |
| PIONEER OAKRIDGE         | 031        | SPLS       | S         | 1,440         | 18.84        | n/a          | 27-Jul        | 28.80           | 2.0        |
| PIONEER OAKRIDGE         | 031        | SRCL       | S         | 465           | 49.93        | n/a          | n/a           | 9.30            | 2.0        |
| PIONEER OAKRIDGE         | 031        | SWN        | S         | 1,365         | 35.29        | 27-Feb       | 1-Jul         | 27.30           | 2.0        |
| WASHINGTON ASSET         | 048        | TAN        | S         | 15,000        | 8.88         | n/a          | n/a           | 750.00          | 5.0        |
| HIGHBRIDGE CAPITAL       | 038        | TGT        | B         | 50,000        | 37.36        | 25-Feb       | 6-Jul         | 2,500.00        | 5.0        |
| PIONEER OAKRIDGE         | 031        | TGT        | S         | 425           | 37.03        | 25-Feb       | 6-Jul         | 8.50            | 2.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>THI</b> | <b>SS</b> | <b>30,000</b> | <b>24.58</b> | <b>n/a</b>   | <b>24-Apr</b> | <b>1,200.00</b> | <b>4.0</b> |
| BMO NESBITT BURNS        | 041        | TIN        | B         | 25,000        | 12.09        | 5-Jun        | 5-Jun         | 1,250.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>TJX</b> | <b>S</b>  | <b>52,700</b> | <b>30.61</b> | <b>4-May</b> | <b>6-Jul</b>  | <b>2,108.00</b> | <b>4.0</b> |
| DISCIPLINED GROWTH INV.  | 030        | TJX        | B         | 3,200         | 30.85        | 4-May        | 6-Jul         | 160.00          | 5.0        |
| PIONEER OAKRIDGE         | 031        | TMO        | S         | 770           | 39.35        | n/a          | n/a           | 15.40           | 2.0        |
| CIRCLE T/SES PART        | 035        | TM         | B         | 5,000         | 75.70        | n/a          | n/a           | 200.00          | 4.0        |
| PIONEER OAKRIDGE         | 031        | TXN        | S         | 850           | 21.09        | n/a          | n/a           | 17.00           | 2.0        |
| SIGMA CAPITAL ASSOCIATES | 041        | URBN       | SS        | 50,000        | 19.81        | n/a          | 30-Jan        | 2,000.00        | 4.0        |
| HIGHBRIDGE CAPITAL       | 038        | VZ         | SS        | 84,000        | 30.27        | n/a          | 4-Jan         | 4,200.00        | 5.0        |

| Account                     | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm. ¢/Shr.     |     |
|-----------------------------|------|--------|-----|--------|-------|--------|----------|------------------|-----|
| PIONEER OAKRIDGE            | 031  | V      | S   | 270    | 60.75 | n/a    | 1-Jul    | 5.40             | 2.0 |
| AVESTA CAP                  | 229  | WAG    | B   | 50,000 | 28.98 | n/a    | n/a      | 2,000.00         | 4.0 |
| PIONEER OAKRIDGE            | 031  | WCN    | S   | 1,190  | 25.40 | n/a    | n/a      | 23.80            | 2.0 |
| HUNTER GLOBAL INVESTOR      | 067  | WFC    | B   | 50,000 | 22.72 | n/a    | n/a      | 2,500.00         | 5.0 |
| HOLLIS CAPITAL              | 033  | WFT    | S   | 5,000  | 17.72 | n/a    | n/a      | 250.00           | 5.0 |
| BUCK CAPITAL MGMT           | 001  | WRC    | B   | 500    | 31.24 | 13-May | 13-May   | 20.00            | 4.0 |
| PIONEER OAKRIDGE            | 031  | XTO    | S   | 755    | 33.71 | n/a    | n/a      | 15.10            | 2.0 |
| <b>TOTAL (Trade Date) :</b> |      |        |     |        |       |        |          | <b>76,027.85</b> |     |

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

| Type                   | Date  | Account                             | RR # | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm.¢/Shr. |     |
|------------------------|-------|-------------------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| AO,CXL                 | 07/01 | PHILADELPHIA FINANCIAL (PHILMSCOM)  | 033  | BLK    | B   | 20,000  | 175.05 | 12-Jun | 2-Jul    | 1000.00     | 5.0 |
| AO,CRT                 | 07/01 | PHILADELPHIA FINANCIAL (PHILMSCOM)  | 033  | BLK    | B   | 20,000  | 175.05 | 12-Jun | 2-Jul    | 800.00      | 4.0 |
| AO,CXL                 | 07/02 | COLUMBIA PARTNERS (COLPTID)         | 028  | EPR    | B   | 14      | 20.25  | n/a    | n/a      | 0.56        | 4.0 |
| AO,                    | 07/02 | COLUMBIA PARTNERS (COLPTID)         | 028  | EPR    | B   | 14      | 20.25  | n/a    | n/a      | 0.56        | 4.0 |
| AO,                    | 07/02 | ASCEND PARTNERS (ASCEDBAB)          | 033  | GYMB   | B   | 7,655   | 34.29  | 21-May | 6-Jul    | 382.75      | 5.0 |
| AO,                    | 07/02 | ASCEND PARTNERS (ASCECITI)          | 033  | GYMB   | B   | 3,528   | 34.29  | 21-May | 6-Jul    | 176.40      | 5.0 |
| AO,                    | 07/02 | ASCEND PARTNERS (ASCEMSPB)          | 033  | GYMB   | B   | 19,420  | 34.29  | 21-May | 6-Jul    | 971.00      | 5.0 |
| AO,                    | 07/02 | ASCEND PARTNERS (ASCEBNPC)          | 033  | GYMB   | B   | 6,897   | 34.29  | 21-May | 6-Jul    | 344.85      | 5.0 |
| AO,CXL                 | 07/02 | HUNTER GLOBAL INVESTOR (HUNTDEUTSC) | 067  | GYMB   | B   | 37,500  | 34.29  | 21-May | 6-Jul    | 0.00        | 0.0 |
| AO,                    | 07/02 | HUNTER GLOBAL INVESTOR (HUNTJPMORG) | 067  | PEP    | B   | 100,000 | 56.56  | n/a    | n/a      | 5000.00     | 5.0 |
| AO,CRT                 | 07/02 | ARMATURE CAPITAL (ARMACSFBI)        | 041  | PH     | SS  | 25,000  | 42.00  | n/a    | 19-Jun   | 1000.00     | 4.0 |
| AO,CXL                 | 07/02 | MILLENIUM PARTNERS (MILPCREDSU)     | 028  | PH     | SS  | 25,000  | 42.00  | n/a    | 19-Jun   | 1250.00     | 5.0 |
| AO,                    | 07/02 | BUCK CAPITAL MGMT (BUCKMSMAIN)      | 001  | RL     | B   | 10,000  | 51.79  | 25-Jun | 25-Jun   | 400.00      | 4.0 |
| AO,                    | 07/02 | ASCEND PARTNERS (ASCEDBAB)          | 033  | TJX    | B   | 5,103   | 30.50  | 4-May  | 6-Jul    | 255.15      | 5.0 |
| AO,                    | 07/02 | ASCEND PARTNERS (ASCECITI)          | 033  | TJX    | B   | 2,353   | 30.50  | 4-May  | 6-Jul    | 117.65      | 5.0 |
| AO,                    | 07/02 | ASCEND PARTNERS (ASCEMSPB)          | 033  | TJX    | B   | 12,947  | 30.50  | 4-May  | 6-Jul    | 647.35      | 5.0 |
| AO,                    | 07/02 | ASCEND PARTNERS (ASCEBNPC)          | 033  | TJX    | B   | 4,597   | 30.50  | 4-May  | 6-Jul    | 229.85      | 5.0 |
| TOTAL (AO, CXL, CRT) : |       |                                     |      |        |     |         |        |        |          | 8,075.00    |     |



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|---------------------|-----------|
| TOTAL (Trade Date): | 76,027.85 |
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| TOTAL (AO, CXL, CRT): | 8,075.00 |
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| <b>TOTAL (RUN DATE) / NFS:</b> | <b>84,102.85</b> |
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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