



Daily Compliance Activity Report

Trade Date: 03/22/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		7974 JP	B	5,000	275.28	n/a	n/a	non-brg	41.3
EATON VANCE MGMT	048	AAPL	B	400	342.09	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	AAPL	S	100	340.52	n/a	n/a	3.00	3.0
EATON VANCE MGMT	048	ACN	B	2,900	50.28	n/a	n/a	87.00	3.0
RBC CAPITAL MARKETS	040	ADM	B	29,000	36.04	n/a	14-Mar	1,160.00	4.0
IMPALA ASSET MMT	012	ALK	B	5,000	61.53	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	AMAT	S	1,400	15.11	n/a	n/a	42.00	3.0
EATON VANCE MGMT	048	AMP	B	3,200	61.03	n/a	n/a	96.00	3.0
B BUCK CAPITAL MGMT		ANF	S	7,800	55.23	n/a	14-Mar	non-brg	2.0
B BUCK CAPITAL MGMT		APC	S	3,757	79.14	n/a	25-Feb	non-brg	2.0
f JOHN MICHAEL DEMARTI	FID	APC	S	500	79.42	n/a	25-Feb	0.00	0.0
f JOSEPH CIRO AMATURO	FID	APC	S	2000	79.96	n/a	25-Feb	0.00	0.0
f WILLIAM J GAULT	FID	APC	S	1000	79.44	n/a	25-Feb	0.00	0.0
EATON VANCE MGMT	048	APD	B	1,800	88.41	n/a	8-Mar	54.00	3.0
B BUCK CAPITAL MGMT		ASNA	S	20,000	30.58	n/a	n/a	non-brg	0.0
EATON VANCE MGMT	048	AVB	B	1,800	118.12	n/a	n/a	54.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID S HOCHSTIM	FID	AXE	B	1200	68.40	n/a	1-Feb	0.00	0.0
SCOPUS FUND	041	AXL	SS	50,000	12.79	n/a	9-Feb	2,000.00	4.0
B BUCK CAPITAL MGMT		AXP	S	5,500	44.42	n/a	22-Mar	non-brg	2.0
EATON VANCE MGMT	048	AXP	B	5,900	44.44	n/a	22-Mar	177.00	3.0
EATON VANCE MGMT	048	BAC	B	39,200	14.04	n/a	21-Mar	1,176.00	3.0
B BUCK CAPITAL MGMT		BA	S	2,700	71.69	n/a	16-Mar	non-brg	2.0
EATON VANCE MGMT	048	BA	B	2,300	71.11	n/a	16-Mar	69.00	3.0
DELTEC ASSET MGMT.	040	BEAV	B	20,000	34.29	n/a	4-Mar	1,000.00	5.0
B BUCK CAPITAL MGMT		BHI	C	4,639	71.03	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		BHI	S	4,639	71.03	n/a	n/a	non-brg	2.0
EATON VANCE MGMT	048	BHP	B	4,200	89.49	n/a	n/a	126.00	3.0
HILLIARD LYONS CAP MGMT	047	BLK	B	130	185.28	n/a	n/a	3.90	3.0
f BARBARA S LEDDY	FID	BODY	S	300	17.34	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BODY	S	7,900	17.20	n/a	n/a	non-brg	0.0
EATON VANCE MGMT	048	BXP	B	1,800	92.61	n/a	n/a	54.00	3.0
EPOCH INV MGMT	030	CAM	S	600	60.83	n/a	n/a	18.00	3.0
B BUCK CAPITAL MGMT		CAR	S	27,400	16.88	n/a	n/a	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		CAR	S	50,000	16.92	n/a	n/a	non-brg	0.0
f	MARC PAUL LUCHANSKY	FID	CAR	B	1000	16.80	n/a	n/a	0.00	0.0
	EATON VANCE MGMT	048	CAT	B	1,300	107.37	n/a	28-Jan	39.00	3.0
	PZENA INV ADV	044	CA	B	70,000	23.17	n/a	n/a	2,450.21	3.5
B	BUCK CAPITAL MGMT		CBK	S	26,824	6.10	n/a	n/a	non-brg	2.5
	IMPALA ASSET MMT	012	CCL	S	127,912	39.22	n/a	n/a	5,116.48	4.0
	RBC CAPITAL MARKETS	040	CE	B	25,000	41.22	n/a	n/a	1,000.00	4.0
	FARALLON CAP MGMT	040	CMCSA	B	75,000	24.21	n/a	n/a	2,250.00	3.0
	EPOCH INV MGMT	030	COL	S	850	63.65	n/a	4-Mar	25.50	3.0
B	BUCK CAPITAL MGMT		CPKI	S	1,000	16.33	n/a	15-Mar	non-brg	2.0
	EATON VANCE MGMT	048	CSCO	B	12,300	17.43	n/a	n/a	369.00	3.0
f	JOHN MICHAEL DEMARTI	FID	CVGI	S	2000	15.86	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	CVGI	S	10000	15.92	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	CVGI	S	9000	15.91	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		CVS	B	30,000	33.42	n/a	n/a	non-brg	0.0
f	DAVID S HOCHSTIM	FID	C	B	20000	4.43	n/a	21-Mar	0.00	0.0
	EATON VANCE MGMT	048	C	B	86,400	4.41	n/a	21-Mar	864.00	1.0
B	BUCK CAPITAL MGMT		DAL	S	43,680	10.03	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		DAN	S	12,300	16.84	n/a	24-Feb	non-brg 2.0
MERRILL ASSET/BLACKROCK	266	DCOM	S	6,776	14.45	n/a	n/a	271.04 4.0
BUCK CAPITAL MGMT		DIA	C	4,000	119.94	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		DSW	B	40,000	37.50	n/a	11-Feb	non-brg 2.0
BUCK CAPITAL MGMT		DVN	S	2,644	92.74	n/a	4-Mar	non-brg 2.0
MARC PAUL LUCHANSKY	FID	EL	B	500	92.17	n/a	25-Feb	0.00 0.0
EATON VANCE MGMT	048	FCX	B	7,200	52.40	n/a	n/a	216.00 3.0
BUCK CAPITAL MGMT		FINL	S	14,000	17.62	n/a	18-Mar	non-brg 2.5
ROYCE TRADING	012	FINL	B	60,000	17.66	n/a	18-Mar	3,000.00 5.0
EPOCH INV MGMT	030	FIS	S	1,100	31.45	n/a	n/a	33.00 3.0
BUCK CAPITAL MGMT		FITB	S	18,900	14.14	n/a	n/a	non-brg 2.0
EATON VANCE MGMT	048	FITB	B	19,200	14.13	n/a	n/a	576.00 3.0
BUCK CAPITAL MGMT		FL	S	21,000	18.79	n/a	3-Mar	non-brg 2.0
MTB INV ADV	034	FL	S	5,175	18.79	n/a	3-Mar	258.75 5.0
BUCK CAPITAL MGMT		FOR	S	400	19.52	n/a	7-Feb	non-brg 1.0
BUCK CAPITAL MGMT		FOR	S	5,300	19.55	n/a	7-Feb	non-brg 2.5
WILLIAM J GAULT	FID	FOR	S	2000	19.68	n/a	7-Feb	0.00 0.0
MITCHELL JAMES SPEIS	FID	FSNXX	S	10000	1.00	n/a	n/a	0.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	F	SS	200,000	14.40	n/a	2-Mar	6,000.00	3.0
ROSEDALE CAPITAL	046	F	S	50,000	14.33	n/a	2-Mar	2,000.00	4.0
EATON VANCE MGMT	048	GD	B	4,300	75.80	n/a	15-Feb	129.00	3.0
DENVER INST. ADV	046	GES	B	13,900	37.81	n/a	17-Mar	556.00	4.0
EATON VANCE MGMT	048	GE	B	26,800	19.74	n/a	n/a	804.00	3.0
⌘ BUCK CAPITAL MGMT		GIL	S	15,000	32.37	n/a	9-Feb	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GIL	S	18,800	31.97	n/a	9-Feb	non-brg	0.0
⌘ BUCK CAPITAL MGMT		GIL	S	50,000	32.61	n/a	9-Feb	non-brg	0.0
⌘ BUCK CAPITAL MGMT		GIL	S	65,000	32.45	n/a	9-Feb	non-brg	0.0
⌘ BUCK CAPITAL MGMT		GLW	S	25,700	20.80	n/a	11-Feb	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GM	C	3,200	30.83	n/a	2-Mar	non-brg	2.0
CATAPULT	040	GM	SS	60,000	30.70	n/a	2-Mar	2,400.00	4.0
IRIDIAN ASSET MGMT.	036	GM	S	6,650	30.81	n/a	2-Mar	332.50	5.0
WEINTRAUB CAPITAL MGT.	040	GM	SS	100,000	30.68	n/a	2-Mar	4,000.00	4.0
EPOCH INV MGMT	030	GPC	S	500	52.79	n/a	n/a	15.00	3.0
KLEINHEINZ CAP PART	031	GPS	S	100,000	21.90	n/a	n/a	5,000.00	5.0
⌘ BUCK CAPITAL MGMT		GS	S	1,729	161.85	n/a	21-Mar	non-brg	2.0
EATON VANCE MGMT	048	GS	B	3,200	160.56	n/a	21-Mar	96.00	3.0
BNP PARIBAS SEC	040	HOG	S	25,000	40.01	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	HOT	S	10,000	56.78	n/a	23-Feb	500.00	5.0
EATON VANCE MGMT	048	HPQ	B	5,800	41.78	n/a	n/a	174.00	3.0
M&I FUNDS	047	HRS	B	5,278	48.63	n/a	21-Mar	211.12	4.0
B BUCK CAPITAL MGMT		HTZ	S	27,500	15.87	n/a	n/a	non-brg	0.0
EATON VANCE MGMT	048	IBM	B	1,600	158.45	n/a	n/a	48.00	3.0
PLATTE RIVER CAPITAL	240	IGT	S	22,670	16.01	n/a	21-Mar	906.80	4.0
B BUCK CAPITAL MGMT		IJH	C	4,800	95.70	n/a	n/a	non-brg	2.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	26.82	n/a	17-Mar	1,000.00	5.0
EATON VANCE MGMT	048	ITW	B	5,100	55.04	n/a	1-Feb	153.00	3.0
B BUCK CAPITAL MGMT		IVZ	S	8,902	25.36	n/a	2-Mar	non-brg	2.0
B BUCK CAPITAL MGMT		IWO	C	53,500	90.80	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		JBHT	S	8,200	43.30	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		JBLU	S	31,000	5.84	n/a	n/a	non-brg	2.0
EATON VANCE MGMT	048	JPM	B	15,900	45.58	n/a	21-Mar	477.00	3.0
B BUCK CAPITAL MGMT		JWN	B	10,000	42.65	n/a	3-Mar	non-brg	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡	BUCK CAPITAL MGMT		JWN	S	11,100	42.88	n/a	3-Mar	non-brg	0.0
	EATON VANCE MGMT	048	KEY	B	30,500	8.77	n/a	n/a	610.00	2.0
⚡	BUCK CAPITAL MGMT		KNX	S	16,900	19.15	n/a	n/a	non-brg	2.0
	EPOCH INV MGMT	030	KSS	S	600	53.08	n/a	3-Mar	18.00	3.0
	OSKIE CAPITAL MGMT	224	LEA	S	5,000	48.79	n/a	21-Mar	250.00	5.0
	EATON VANCE MGMT	048	LMT	B	2,600	81.41	n/a	15-Feb	78.00	3.0
	EATON VANCE MGMT	048	LNC	B	10,400	30.36	n/a	n/a	312.00	3.0
⚡	BUCK CAPITAL MGMT		LTD	S	3,000	31.53	n/a	n/a	non-brg	2.0
	COUGAR TRADING	044	LULU	B	10,000	77.44	n/a	17-Mar	500.00	5.0
	MA CAPITAL MGMT/MELLON ADV	041	LVS	B	2,000	38.50	n/a	21-Mar	100.00	5.0
f	MARC PAUL LUCHANSKY	FID	LVS	B	500	39.00	n/a	21-Mar	0.00	0.0
	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	LVS	S	10,000	38.59		n/a 21-Mar	500.00	5.0
⚡	BUCK CAPITAL MGMT		MA	S	1,325	248.81	n/a	7-Mar	non-brg	2.0
	HILLIARD LYONS CAP MGMT	047	MCD	S	163	74.16	n/a	8-Mar	4.89	3.0
	EATON VANCE MGMT	048	MET	B	10,900	44.61	n/a	n/a	327.00	3.0
	DENVER INST. ADV	046	MFB	B	30,000	27.25	n/a	n/a	1,200.00	4.0
⚡	BUCK CAPITAL MGMT		MNRO	B	10,000	31.27	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	MSFT	B	11,500	25.32	n/a	n/a	345.00	3.0
FIRST NY SEC/CHRIS	041	MSFT	B	25,000	25.44	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		MS	S	40,200	28.18	n/a	21-Mar	non-brg	2.0
DELTEC ASSET MGMT.	040	MWA	B	400	4.00	n/a	n/a	16.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	MYL	B	90,596	22.05	n/a	21-Mar	3,536.36	4.0
EGS ASSOCIATES LP	091	M	B	4,000	23.12	n/a	3-Mar	240.00	6.0
B BUCK CAPITAL MGMT		NBD CN	S	3,500	14.91	n/a	n/a	non-brg	0.0
SMITH MGMT LLC	029	NDN	B	25,000	19.58	n/a	11-Mar	1,250.00	5.0
B BUCK CAPITAL MGMT		NWY	S	50,000	6.54	n/a	n/a	non-brg	3.0
EPOCH INV MGMT	030	NYX	S	1,150	34.56	n/a	n/a	34.50	3.0
B BUCK CAPITAL MGMT		ODFL	S	2,700	34.05	n/a	n/a	non-brg	2.0
EATON VANCE MGMT	048	ORCL	B	5,800	31.44	n/a	n/a	174.00	3.0
B BUCK CAPITAL MGMT		OXM	B	10,000	23.26	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PCAR	S	8,800	49.35	n/a	2-Feb	non-brg	2.0
LATEFF MGMT	035	PG	B	1,750	61.09	n/a	21-Mar	492.50	30.5
MTB INV ADV	034	PII	S	1,050	83.12	n/a	n/a	52.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PLCE	S	6,100	47.66	n/a	9-Mar	non-brg	2.0
ROYCE TRADING	012	PLCE	B	25,930	47.31	n/a	9-Mar	1,296.50	5.0
EATON VANCE MGMT	048	PNC	B	9,000	62.26	n/a	n/a	270.00	3.0
EPOCH INV MGMT	030	PNC	S	500	62.30	n/a	n/a	15.00	3.0
EATON VANCE MGMT	048	PRU	B	8,800	61.21	n/a	n/a	264.00	3.0
EPOCH INV MGMT	030	PRU	S	800	61.16	n/a	n/a	24.00	3.0
IMPALA ASSET MMT	012	RCL	S	101,348	41.45	n/a	n/a	5,067.40	5.0
EPOCH INV MGMT	030	RE	S	350	82.78	n/a	n/a	10.50	3.0
EATON VANCE MGMT	048	RIMM	B	2,600	63.04	n/a	n/a	78.00	3.0
B BUCK CAPITAL MGMT		RYL	S	29,600	16.45	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		R	B	10,000	48.75	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		R	S	2,300	48.68	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SAH	B	20,000	13.19	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		SLM	S	34,439	14.79	n/a	21-Mar	non-brg	2.0
B BUCK CAPITAL MGMT		SODA	B	30,000	41.57	n/a	n/a	non-brg	0.0
EATON VANCE MGMT	048	SPG	B	1,200	105.17	n/a	n/a	36.00	3.0
EPOCH INV MGMT	030	SPLS	S	1,650	20.04	n/a	n/a	49.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SPY	C	400	129.39	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		STT	S	11,364	43.94	n/a	21-Mar	non-brg	2.0
B BUCK CAPITAL MGMT		SWFT	S	26,545	14.65	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SWN	S	7,563	42.01	n/a	25-Feb	non-brg	2.0
f WILLIAM J GAULT	FID	SWN	S	1000	42.23	n/a	25-Feb	0.00	0.0
FIRST NEW YORK LEDDY	035	S	S	25,000	4.50	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		TGT	S	7,200	50.83	n/a	24-Feb	non-brg	2.0
B BUCK CAPITAL MGMT		TJX	S	7,100	49.38	n/a	3-Mar	non-brg	2.0
EPOCH INV MGMT	030	TJX	S	900	49.35	n/a	3-Mar	27.00	3.0
f KAREN F LEDDY	FID	TLB	B	2000	4.54	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	TMO	S	950	53.74	n/a	n/a	28.50	3.0
EPOCH INV MGMT	030	TRV	S	400	58.97	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	TWX	S	600	35.42	n/a	n/a	18.00	3.0
EPOCH INV MGMT	030	TXN	S	1,500	33.76	n/a	n/a	45.00	3.0
EATON VANCE MGMT	048	T	B	9,200	28.29	n/a	n/a	276.00	3.0
B BUCK CAPITAL MGMT		UAL	S	8,940	23.57	n/a	n/a	non-brg	2.0

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IMPALA ASSET MMT	012	UAL	B	5,000	24.17	n/a	n/a	200.00	4.0
MTB INV ADV	034	ULTA	S	4,150	46.73	n/a	n/a	207.50	5.0
EPOCH INV MGMT	030	UNH	S	800	43.26	n/a	n/a	24.00	3.0
EATON VANCE MGMT	048	UNP	B	4,300	96.21	n/a	n/a	129.00	3.0
f KAREN F LEDDY	FID	URRE	B	5000	2.20	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	URZ	S	30000	3.69	n/a	n/a	0.00	0.0
EATON VANCE MGMT	048	USB	B	15,200	26.62	n/a	n/a	456.00	3.0
EATON VANCE MGMT	048	UTX	B	4,300	81.31	n/a	n/a	129.00	3.0
EATON VANCE MGMT	048	VNO	B	1,400	86.97	n/a	n/a	42.00	3.0
EATON VANCE MGMT	048	VOD	B	8,500	28.86	n/a	n/a	255.00	3.0
EPOCH INV MGMT	030	VTR	S	900	52.93	n/a	n/a	27.00	3.0
f JOSEPH CIRO AMATURO	FID	VXX	B	5000	32.46	n/a	n/a	0.00	0.0
EATON VANCE MGMT	048	VZ	B	10,400	36.51	n/a	n/a	312.00	3.0
EPOCH INV MGMT	030	V	S	450	71.80	n/a	7-Mar	13.50	3.0
f MITCHELL JAMES SPEIS	FID	WAG	B	200	39.28	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	WAG	B	133,800	39.34	n/a	n/a	4,014.00	3.0

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⚡ BUCK CAPITAL MGMT		WBC	C	1,241	57.65	n/a	11-Feb	non-brg	2.0
⚡ BUCK CAPITAL MGMT		WBC	S	5,000	57.71	n/a	11-Feb	non-brg	2.0
EPOCH INV MGMT	030	WEC	S	1,450	30.03	n/a	n/a	43.50	3.0
⚡ BUCK CAPITAL MGMT		WERN	S	22,100	25.38	n/a	n/a	non-brg	2.0
EATON VANCE MGMT	048	WFC	B	31,000	31.80	n/a	14-Mar	930.00	3.0
EPOCH INV MGMT	030	WFR	S	1,150	12.51	n/a	n/a	34.50	3.0
EATON VANCE MGMT	048	WM	B	3,500	36.85	n/a	n/a	105.00	3.0
EPOCH INV MGMT	030	WM	S	1,300	36.84	n/a	n/a	39.00	3.0
f JOSEPH CIRO AMATURO	FID	WNC	S	10000	11.12	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		XLF	C	200,000	16.29	n/a	n/a	non-brg	2.0
EPOCH INV MGMT	030	XOM	S	900	82.97	n/a	n/a	27.00	3.0
⚡ BUCK CAPITAL MGMT		XRT	C	60,000	48.49	n/a	n/a	non-brg	2.0
EATON VANCE MGMT	048	X	B	3,600	53.78	n/a	n/a	108.00	3.0
OSKIE CAPITAL MGMT	224	X	S	5,000	52.92	n/a	n/a	250.00	5.0
ADALY INV MGMT	031	YHOO	B	24,000	16.20	n/a	n/a	840.00	3.5
EPOCH INV MGMT	030	YHOO	S	1,600	16.36	n/a	n/a	48.00	3.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	50.78	n/a	3-Feb	2,500.00	5.0

TOTAL (Trade Date):

79,445.45

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/21	BROADARCH CAP/OLD NEWC	070	BWA	B	1,500	76.27	n/a	11-Feb	60.00 4.0
AO,CXL	03/21	BROADARCH CAP/OLD NEWC	070	BWA	B	1,500	76.27	n/a	11-Feb	60.00 4.0
AO,CRT	03/21	BROADARCH CAP/OLD NEWC	070	IR	S	405	48.01	n/a	4-Mar	16.20 4.0
AO,CXL	03/21	BROADARCH CAP/OLD NEWC	070	IR	S	405	48.01	n/a	4-Mar	16.20 4.0
AO,CXL	03/18	IRIDIAN ASSET MGMT.	036	PKG	B	40	27.08	n/a	17-Mar	2.00 5.0
AO,CRT	03/18	IRIDIAN ASSET MGMT.	036	PKG	B	40	27.08	n/a	17-Mar	2.00 5.0
AO,CRT	03/21	HARVEST MGMT	029	PSS	B	10,000	20.14	n/a	n/a	400.00 4.0
AO,CXL	03/21	HARVEST MGMT	029	PSS	B	10,000	20.14	n/a	n/a	500.00 5.0

TOTAL (AO, CXL, CRT) :	-100.00
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TOTAL (Trade Date) :	79,445.45
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS :	79,345.45
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 22-Mar.
NONE

MRI Securities without Trade Activity on 22-Mar.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 4%

<u>Legend:</u>
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
Watch List Trades
f: Employee Trades (Fidelity)