



Daily Compliance Activity Report

Trade Date: 09/26/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	AEO	S	20,000	15.60	n/a	5-Sep	1,000.00	5.0
REINHART & MAHONEY	031	AFG	B	20,492	28.67	n/a	n/a	1,024.60	5.0
BARROW HANLEY MEWHINNEY	031	AMAT	B	403,800	16.02	n/a	n/a	16,152.00	4.0
ROTHSCHILD ASSET	040	AMB	S	19,800	41.67	n/a	n/a	891.03	4.5
COUGAR TRADING	044	ANF	B	5,000	38.59	7-Aug	17-Sep	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ANF	B	8,100	38.07	7-Aug	17-Sep	303.75	3.8
BAYPOINT TRADING/XYLEM	091	ARA	B	30,000	36.60	n/a	n/a	1,500.00	5.0
MERRILL ASSET	032	ARE	S	4,800	110.81	n/a	n/a	216.00	4.5
BUCK CAPITAL MGMT	001	ARO	B	90,000	31.58	28-Apr	5-Sep	3,600.00	4.0
COUGAR TRADING	044	ARO	B	15,000	31.68	28-Apr	5-Sep	750.00	5.0
PROSPECTOR PARTNERS LLC	036	AU	B	25,000	24.70	n/a	n/a	1,000.00	4.0
BAYPOINT TRADING/XYLEM	091	AVY	B	39,027	45.10	9-Sep	15-Sep	1,951.35	5.0
J L F ASSET MGMT	039	BBBY	S	23,900	31.78	n/a	n/a	956.00	4.0
NATIONAL BK OF CAN	031	BBX	S	84,700	1.64	n/a	n/a	1,694.00	2.0
J L F ASSET MGMT	039	BBY	S	18,500	38.61	n/a	27-Jul	740.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUBER MACBAINE	033	BJ	SS	14,000	39.42	n/a	27-Jul	560.00	4.0
BUCK	015	CAT	SS	1,000	62.05	19-Sep	19-Sep	0.00	0.0
FRONTPOINT CHRIS C	041	CBE	B	6,500	41.42	n/a	25-Jul	260.00	4.0
WHEELER	008	CBI	B	1,000	20.25	n/a	n/a	0.00	0.0
US BANCORP	030	CBK	B	70,000	8.02	n/a	26-Sep	3,500.00	5.0
COUGAR TRADING	044	CBT	B	5,000	31.23	n/a	24-Sep	250.00	5.0
PROSPECTOR PARTNERS LLC	036	CCE	B	25,000	17.38	n/a	n/a	1,000.00	4.0
NATIONAL BK OF CAN	031	CFR	B	10,000	56.46	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	CHS	S	20,000	5.55	8-Aug	24-Sep	800.00	4.0
LUCHANSKY1	036	CMG	S	100	57.76	12-Sep	12-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	148,380	25.61	30-Jul	28-Aug	5,935.20	4.0
MERRILL ASSET	032	CRR	S	7,500	51.28	29-Aug	24-Sep	375.00	5.0
LUCID PARTNERS	067	CTV	B	15,000	36.38	n/a	n/a	750.00	5.0
BUCK	015	CYPB	S	5,000	7.07	n/a	n/a	0.00	0.0
FRONTPOINT CHRIS C	041	DCI	B	6,300	43.26	n/a	n/a	252.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OGORMAN	046	DDM	B	250	57.44	n/a	n/a	0.00	0.0
ZOLIDIS	011	DECK	S	200	110.00	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	ECL	S	20,000	49.42	3-Jul	15-Sep	1,000.00	5.0
FRONTPOINT CHRIS C	041	EQIX	B	3,300	74.02	n/a	n/a	132.00	4.0
BRANDWINE	028	ETN	B	34,350	57.47	15-Jul	16-Jul	1,374.00	4.0
LUCHANSKY1	036	FDO	C	500	26.88	23-Jul	5-Sep	0.00	0.0
ZOLIDIS	011	FINL	SS	2,000	9.04	n/a	28-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	20,000	16.93	11-Aug	22-Aug	800.00	4.0
MERRILL ASSET	032	FL	S	57,700	17.19	11-Aug	22-Aug	2,596.50	4.5
BUCK CAPITAL MGMT	001	GCO	S	3,000	34.41	n/a	10-Jan	120.00	4.0
BUCK CAPITAL MGMT	001	GES	S	25,000	36.86	n/a	n/a	1,000.00	4.0
WILLIAM BLAIR	031	GIL	B	142,700	23.51	8-Sep	8-Sep	5,708.00	4.0
ROYAL CAPITAL	039	HAS	SS	217,965	35.59	n/a	n/a	10,898.25	5.0
MTB INV ADV	034	HLF	B	15,100	40.02	n/a	n/a	755.00	5.0
FRONTPOINT CHRIS C	041	IWM	SS	7,000	69.18	n/a	n/a	280.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	45,400	28.31	n/a	17-Sep	1,816.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	B	10,000	28.70	n/a	17-Sep	500.00	5.0
COUGAR TRADING	044	JCG	S	5,000	28.90	n/a	17-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	20,000	34.62	n/a	5-Sep	800.00	4.0
BUCK CAPITAL MGMT	001	JWN	SS	100,000	29.15	10-Jul	17-Sep	4,000.00	4.0
BUCK CAPITAL MGMT	001	KMT	SS	50,000	29.71	18-Sep	18-Sep	2,000.00	4.0
PRINCIPLE CAPITAL	040	KMX	S	62,300	14.40	n/a	10-Jan	1,869.00	3.0
ADAGE CAPITAL MGMT	030	KSS	B	100,000	47.81	n/a	5-Sep	4,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	70,000	48.84	n/a	5-Sep	2,800.00	4.0
FRONTPOINT CHRIS C	041	LAMR	B	7,500	33.25	n/a	n/a	300.00	4.0
FRONTPOINT/COPIA-ANDREW	031	LEAP	SS	12,100	40.96	n/a	n/a	484.00	4.0
LUCHANSKY3	036	LEHMQ	S	500	0.27	n/a	n/a	0.00	0.0
BUCK	015	LIZ	C	1,500	16.99	n/a	18-Sep	0.00	0.0
N STRATTON	014	LNET	B	1,000	2.33	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	LSI	SS	400,000	5.67	n/a	n/a	12,000.00	3.0
TRUST CO/COWEN/CALF.	040	LSI	B	1,000,000	5.68	n/a	n/a	40,000.00	4.0
WHEELER	008	LZ	B	1,000	44.88	n/a	n/a	0.00	0.0
FRONTPOINT CHRIS C	041	MAN	B	6,000	43.74	n/a	n/a	240.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT CHRIS C	041	MCRS	B	8,100	28.69	n/a	n/a	324.00	4.0
COLUMBUS CIRCLE	036	MRVL	S	963,040	9.76	n/a	n/a	35,358.46	3.3
JP MORGAN VENTURES	046	M	SS	20,000	18.67	12-Aug	29-Aug	1,000.00	5.0
PILOT ADV	038	M	S	10,000	18.59	12-Aug	29-Aug	400.00	4.0
NATIONAL BK OF CAN	031	NCC	B	100,000	3.99	n/a	n/a	2,000.00	2.0
NATIONAL BK OF CAN	031	NCC	S	100,000	3.76	n/a	n/a	2,000.00	2.0
KAICHER	064	NCC	B	5,000	2.80	n/a	n/a	0.00	0.0
KAICHER	064	NCC	S	5,000	3.64	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	NTY	S	40,000	29.58	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	10,000	9.39	n/a	17-Sep	400.00	4.0
BAYPOINT TRADING/XYLEM	091	PKG	S	50,000	23.77	11-Sep	22-Sep	2,500.00	5.0
ROTHSCHILD ASSET	040	PNR	B	24,640	38.39	n/a	n/a	1,108.80	4.5
BUCK CAPITAL MGMT	001	PVH	S	5,000	36.72	n/a	28-Aug	200.00	4.0
COUGAR TRADING	044	PVH	B	5,000	37.24	n/a	28-Aug	250.00	5.0
FRONTPOINT CHRIS C	041	QQQQ	SS	23,800	40.64	n/a	n/a	952.00	4.0
MTB INV ADV	034	RDEN	B	29,300	19.98	15-Aug	15-Aug	1,465.00	5.0
MS PRINCIPAL STRATEGIES	041	RIMM	S	153,700	71.47	n/a	n/a	7,685.00	5.0
SOUTH POINT CAP	067	RIO	S	100,000	20.56	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	5,000	68.78	n/a	28-Aug	200.00	4.0
MERRILL LYNCH STRATEGICI	034	ROST	SS	10,000	36.26	n/a	n/a	400.00	4.0
BAYPOINT TRADING/XYLEM	091	RYN	B	26,971	46.95	n/a	11-Sep	1,348.55	5.0
LEDDY	035	SCC	B	300	97.52	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SPY	B	100	121.28	n/a	n/a	0.00	0.0
OGORMAN	046	SSO	B	300	53.99	n/a	n/a	0.00	0.0
LEDDY	035	SZK	B	200	71.65	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	TGT	SS	14,400	50.40	n/a	22-Sep	576.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	40,000	32.16	11-Aug	5-Sep	1,600.00	4.0
LUCHANSKY1	036	TSU	S	200	22.67	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TWB	B	25,000	9.11	n/a	20-Aug	1,250.00	5.0
MCCARTAN	028	UQM	S	1,000	2.21	n/a	n/a	0.00	0.0
BAYPOINT TRADING/XYLEM	091	USG	B	20,000	28.69	23-Apr	11-Sep	1,000.00	5.0
MCCARTAN	028	UYG	B	300	19.38	n/a	n/a	0.00	0.0
LEDDY	035	VC	B	7	2.25	n/a	31-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT CHRIS C	041	VMI	B	3,600	89.61	n/a	n/a	144.00	4.0
MERRILL ASSET	032	VTR	B	13,100	48.43	n/a	n/a	655.00	5.0
MCCARTAN	028	WBC	S	233	36.49	n/a	30-Jul	0.00	0.0
J L F ASSET MGMT	039	WMT	SS	27,400	60.65	8-Aug	5-Sep	1,096.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	48.12	8-Aug	28-Aug	800.00	4.0
BAYPOINT TRADING/XYLEM	091	WY	S	50,000	60.97	n/a	11-Sep	2,500.00	5.0
NATIONAL BK OF CAN	031	XLFF	B	40,000	20.66	n/a	n/a	1,600.00	4.0
KAICHER	064	YHOO	B	2,000	19.18	n/a	n/a	0.00	0.0
CIRCLE T PART	035	YUM	B	20,000	33.83	14-Aug	25-Sep	1,000.00	5.0
COUGAR TRADING	044	YUM	B	3,000	34.00	14-Aug	25-Sep	150.00	5.0
COUGAR TRADING	044	ZQK	B	30,000	6.04	27-Aug	5-Sep	1,500.00	5.0
NOMURA CAPITAL	045	ZZ	SS	20,000	7.22	n/a	n/a	800.00	4.0
TOTAL (Trade Date) :								221,096.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/25	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	ANN	C	25,000	22.11	n/a	17-Sep	1250.00	5.0
CRT	09/26	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ARO	B	90,000	31.58	28-Apr	5-Sep	3600.00	4.0
AO,	09/25	MKT MAKER (MKT MAKER)	099	ENDP	S	100	20.75	1-Aug	23-Sep	0.00	0.0
AO,	09/25	WILLIAM BLAIR (WBLA47NEWB)	031	GIL	B	600	23.97	8-Sep	8-Sep	24.00	4.0
AO,CXL	09/25	WILLIAM BLAIR (WBLA47DEAR)	031	GIL	B	600	23.97	8-Sep	8-Sep	24.00	4.0
AO,	09/25	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	GPS	S	25,000	18.39	n/a	23-Sep	1250.00	5.0
AO,	09/25	ROYAL CAPITAL (ROYAGOLDMA)	039	HAS	S	16,100	36.11	n/a	n/a	805.00	5.0
AO,CXL	09/25	ROYAL CAPITAL (ROYABNYPER)	039	HAS	SS	195,900	36.11	n/a	n/a	9795.00	5.0
AO,CRT	09/25	ROYAL CAPITAL (ROYABNYPER)	039	HAS	SS	179,800	36.11	n/a	n/a	8990.00	5.0
AO,	09/25	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	HBI	C	4,300	23.33	n/a	n/a	215.00	5.0
CRT	09/26	COUGAR TRADING (COUGPB MS)	044	JCG	B	10,000	28.70	n/a	17-Sep	500.00	5.0
AO,	09/25	COLUMBUS CIRCLE (COLC4400)	036	JPM	B	135,000	42.85	26-Sep	26-Sep	5400.00	4.0
AO,	09/25	NOMURA CAPITAL (NOMUSTRATE)	045	NCS	SS	3,075	34.01	n/a	n/a	153.75	5.0
AO,	09/25	NOMURA CAPITAL (NOMUBATT2)	045	NCS	SS	3,250	34.01	n/a	n/a	162.50	5.0
AO,	09/25	NOMURA CAPITAL (NOMUBSMAIN)	045	NCS	SS	3,675	34.01	n/a	n/a	183.75	5.0
AO,CRT	09/25	BUCK CAPITAL MGMT (BUCK)	015	SFBKZ	S	14	1.92	n/a	n/a	0.00	0.0
AO,CXL	09/25	BUCK CAPITAL MGMT (BUCK)	015	SFBKZ	S	14	1.92	n/a	n/a	0.00	0.0
AO,	09/25	CAMBIAR CAP (CAMB42)	046	TEVA	B	79,000	45.72	n/a	23-Sep	3160.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/25	CAMBIAR CAP (CAMB409)	046	TEVA	B	300	45.72	n/a	23-Sep	12.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB65)	046	TEVA	B	7,100	45.72	n/a	23-Sep	284.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB43)	046	TEVA	B	4,200	45.72	n/a	23-Sep	168.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB28)	046	TEVA	B	200	45.72	n/a	23-Sep	8.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB912)	046	TEVA	B	250	45.72	n/a	23-Sep	10.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB903)	046	TEVA	B	10	45.72	n/a	23-Sep	0.40 4.0
AO,	09/25	CAMBIAR CAP (CAMB890)	046	TEVA	B	20	45.72	n/a	23-Sep	0.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB781)	046	TEVA	B	20	45.72	n/a	23-Sep	0.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB799)	046	TEVA	B	50	45.72	n/a	23-Sep	2.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB771)	046	TEVA	B	20	45.72	n/a	23-Sep	0.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB802)	046	TEVA	B	30	45.72	n/a	23-Sep	1.20 4.0
AO,	09/25	CAMBIAR CAP (CAMB879)	046	TEVA	B	510	45.72	n/a	23-Sep	20.40 4.0
AO,	09/25	CAMBIAR CAP (CAMB875)	046	TEVA	B	20	45.72	n/a	23-Sep	0.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB836)	046	TEVA	B	40	45.72	n/a	23-Sep	1.60 4.0
AO,	09/25	CAMBIAR CAP (CAMB784)	046	TEVA	B	40	45.72	n/a	23-Sep	1.60 4.0
AO,	09/25	CAMBIAR CAP (CAMB823)	046	TEVA	B	20	45.72	n/a	23-Sep	0.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB841)	046	TEVA	B	50	45.72	n/a	23-Sep	2.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB883)	046	TEVA	B	600	45.72	n/a	23-Sep	24.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB810)	046	TEVA	B	20	45.72	n/a	23-Sep	0.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB831)	046	TEVA	B	300	45.72	n/a	23-Sep	12.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB832)	046	TEVA	B	200	45.72	n/a	23-Sep	8.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB804)	046	TEVA	B	400	45.72	n/a	23-Sep	16.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB766)	046	TEVA	B	300	45.72	n/a	23-Sep	12.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB748)	046	TEVA	B	32,700	45.72	n/a	23-Sep	1308.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB755)	046	TEVA	B	20	45.72	n/a	23-Sep	0.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB754)	046	TEVA	B	30	45.72	n/a	23-Sep	1.20 4.0
AO,	09/25	CAMBIAR CAP (CAMB758)	046	TEVA	B	20	45.72	n/a	23-Sep	0.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB694)	046	TEVA	B	900	45.72	n/a	23-Sep	36.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB710)	046	TEVA	B	110	45.72	n/a	23-Sep	4.40 4.0
AO,	09/25	CAMBIAR CAP (CAMB716)	046	TEVA	B	140	45.72	n/a	23-Sep	5.60 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/25	CAMBIAR CAP (CAMB717)	046	TEVA	B	50	45.72	n/a	23-Sep	2.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB741)	046	TEVA	B	30	45.72	n/a	23-Sep	1.20 4.0
AO,	09/25	CAMBIAR CAP (CAMB743)	046	TEVA	B	300	45.72	n/a	23-Sep	12.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB714)	046	TEVA	B	1,000	45.72	n/a	23-Sep	40.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB535)	046	TEVA	B	980	45.72	n/a	23-Sep	39.20 4.0
AO,	09/25	CAMBIAR CAP (CAMB30)	046	TEVA	B	80	45.72	n/a	23-Sep	3.20 4.0
AO,	09/25	CAMBIAR CAP (CAMB204)	046	TEVA	B	230	45.72	n/a	23-Sep	9.20 4.0
AO,	09/25	CAMBIAR CAP (CAMB18)	046	TEVA	B	220	45.72	n/a	23-Sep	8.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB527)	046	TEVA	B	30	45.72	n/a	23-Sep	1.20 4.0
AO,	09/25	CAMBIAR CAP (CAMB520)	046	TEVA	B	1,200	45.72	n/a	23-Sep	48.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB525)	046	TEVA	B	520	45.72	n/a	23-Sep	20.80 4.0
AO,	09/25	CAMBIAR CAP (CAMB502)	046	TEVA	B	1,000	45.72	n/a	23-Sep	40.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB526)	046	TEVA	B	740	45.72	n/a	23-Sep	29.60 4.0
AO,	09/25	CAMBIAR CAP (CAMB26)	046	TEVA	B	400	45.72	n/a	23-Sep	16.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB25)	046	TEVA	B	400	45.72	n/a	23-Sep	16.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB24)	046	TEVA	B	300	45.72	n/a	23-Sep	12.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB21)	046	TEVA	B	4,000	45.72	n/a	23-Sep	160.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB20)	046	TEVA	B	5,500	45.72	n/a	23-Sep	220.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB10)	046	TEVA	B	300	45.72	n/a	23-Sep	12.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB10)	046	TEVA	B	300	45.72	n/a	23-Sep	12.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB10)	046	TEVA	B	4,700	45.72	n/a	23-Sep	188.00 4.0
AO,	09/25	CAMBIAR CAP (CAMB29)	046	TEVA	B	100	45.72	n/a	23-Sep	4.00 4.0
CRT	09/26	COUGAR TRADING (COUGPB MS)	044	TWB	B	25,000	9.11	n/a	20-Aug	1250.00 5.0
TOTAL (AO, CXL, CRT) :										19,965.00

TOTAL (Trade Date):	221,096.49
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TOTAL (AO, CXL, CRT):	19,965.00
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TOTAL (RUN DATE) / NFS:	241,061.49
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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