



# Daily Compliance Activity Report

Trade Date: 02/03/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		210 HK	B	992,000	0.78	n/a	n/a	non-brg	0.2
<b>f</b> NEIL M STRATTON	FID	AAME	B	2500	1.39	n/a	n/a	0.00	0.0
WEISS PECK	040	AEO	S	13,520	16.59	n/a	29-Jan	676.00	5.0
<b>f</b> DAVID GEORGE BUCK	FID	AET	S	2000	30.35	n/a	n/a	0.00	0.0
CIRCLE T/SES PART	035	AN	S	30,000	18.32	n/a	4-Jan	1,200.00	4.0
WOOSTER CAPITAL	035	AN	S	50,000	18.40	n/a	4-Jan	2,500.00	5.0
NUMERIC	060	ASH	B	67,900	43.98	n/a	26-Jan	2,037.00	3.0
NEUBERGER BERMAN	036	AVT	B	36,700	27.48	n/a	n/a	1,468.00	4.0
CENTURION PARTNERS	041	AXL	B	30,000	9.92	n/a	4-Jan	1,200.00	4.0
OZ MGMT	040	AXL	B	50,000	10.34	n/a	4-Jan	1,500.00	3.0
FORD FDN.	032	AXP	S	15,000	38.63	n/a	3-Feb	600.00	4.0
ROSEDALE CAPITAL	046	AXP	B	20,000	38.62	n/a	3-Feb	1,000.00	5.0
FORD FDN.	032	BAC	S	20,000	15.60	n/a	21-Jan	800.00	4.0
BROADARCH CAP/OLD NEWC	070	BA	B	300	61.63	3-Feb	3-Feb	12.00	4.0
KAILIX INV ADV	048	BA	B	15,000	61.54	3-Feb	3-Feb	750.00	5.0
WAGONHOUND/NIC	048	BBBY	S	1,060	39.66	n/a	n/a	42.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	BIIB	B	300	54.10	n/a	n/a	15.00	5.0
PZENA INV ADV	044	BJS	S	11,200	21.50	n/a	n/a	392.09	3.5
BUCK CAPITAL MGMT	001	BKS	SS	20,000	19.50	n/a	n/a	800.00	4.0
f ANDREW SINCLAIR	FID	BKZ	B	20	1.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BOBE	C	25,000	28.30	n/a	n/a	non-brg	4.0
f JOHN CAREY MAGUIRE	FID	BYO	B	20	0.81	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	BZ	B	15,000	5.33	n/a	n/a	450.00	3.0
ROYCE TRADING	216	BZ	B	11,000	5.33	n/a	n/a	550.00	5.0
SMITH MGMT LLC	029	BZ	S	178,700	5.35	n/a	n/a	7,148.00	4.0
MATRIX ASSET ADV.	036	CCL	S	5,000	34.66	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	25,000	13.70	n/a	n/a	875.00	3.5
BROADARCH CAP/OLD NEWC	070	CNX	B	1,700	50.31	n/a	n/a	68.00	4.0
B BUCK CAPITAL MGMT		COLM	SS	10,000	43.88	n/a	n/a	non-brg	4.0
GOLD SACHS SPECIAL SIT	030	CRDN	B	26,762	19.74	n/a	n/a	1,338.10	5.0
f CHRISTOPHER ROBERT C	FID	CRI	S	300	26.79	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	CSCO	S	10,000	23.23	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>CTAS</b>	<b>C</b>	<b>1,100</b>	<b>25.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	CVS	B	5,000	32.71	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	CWTR	S	13,580	4.55	n/a	n/a	679.00	5.0
MISSOURI VALLEY PART	046	C	S	167,465	3.41	n/a	21-Jan	5,023.95	3.0
OZ MGMT	040	DAN	B	35,000	10.91	n/a	6-Jan	1,050.00	3.0
LEVEL GLOBAL SHARED ACCT	257	DLTR	B	50,000	50.99	n/a	1-Feb	1,500.00	3.0
RBC CAPITAL MARKETS	040	DLTR	S	5,000	51.51	n/a	1-Feb	200.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>DNDN</b>	<b>B</b>	<b>2000</b>	<b>30.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EPP</b>	<b>B</b>	<b>1000</b>	<b>39.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>EPP</b>	<b>B</b>	<b>400</b>	<b>39.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.55	n/a	n/a	600.00	6.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FAGIX</b>	<b>S</b>	<b>411</b>	<b>8.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FASIX</b>	<b>S</b>	<b>181</b>	<b>12.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FFRHX</b>	<b>S</b>	<b>443</b>	<b>9.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>S</b>	<b>2,000</b>	<b>11.94</b>	<b>n/a</b>	<b>3-Feb</b>	<b>non-brg</b>	<b>4.0</b>
GRUSS CAPITAL	045	FOR	S	5,000	17.83	n/a	25-Jan	150.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b>	<b>THOMAS MACTAGGART LE</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>80</b>	<b>18.00</b>	<b>n/a</b>	<b>25-Jan</b>	<b>0.00</b>	<b>0.0</b>
	BALYASNY ASSET MGMT	044	F	SS	100,000	11.57	n/a	3-Feb	5,000.00	5.0
	EXIS CAPITAL	044	GCO	S	14,403	22.66	n/a	n/a	720.15	5.0
<b>f</b>	<b>ANDREW SINCLAIR</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>25</b>	<b>1.34</b>	<b>n/a</b>	<b>26-Jan</b>	<b>0.00</b>	<b>0.0</b>
	ISLE RIDGE PARTNERS	041	GPS	S	22,500	19.06	n/a	n/a	900.00	4.0
<b>f</b>	<b>ANDREW SINCLAIR</b>	<b>FID</b>	<b>GPY</b>	<b>S</b>	<b>5</b>	<b>8.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>S</b>	<b>2,000</b>	<b>40.39</b>	<b>n/a</b>	<b>29-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>S</b>	<b>30,000</b>	<b>40.45</b>	<b>n/a</b>	<b>29-Jan</b>	<b>non-brg</b>	<b>4.0</b>
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>B</b>	<b>30,000</b>	<b>22.62</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
	COOPER CREEK PART	028	IP	B	10,000	23.01	n/a	3-Feb	400.00	4.0
	CSFB GLOBAL PROPRIETARY	041	IP	B	220,000	22.96	n/a	3-Feb	11,000.00	5.0
	ELM RIDGE ADVISORS	044	IP	B	264,300	23.07	n/a	3-Feb	10,572.00	4.0
	MILLENIUM PARTNERS	028	IP	S	10,000	22.98	n/a	3-Feb	400.00	4.0
	SCOPUS FUND	041	IP	B	50,800	22.73	n/a	3-Feb	2,540.00	5.0
	TRELLUS PARTNERS LP	028	IP	B	20,000	22.83	n/a	3-Feb	1,000.00	5.0
<b>f</b>	<b>MANNY I KORMAN</b>	<b>FID</b>	<b>IQP</b>	<b>B</b>	<b>100</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	SIGMA CAP BOBBY	044	ITT	SS	25,000	50.31	n/a	23-Nov	1,000.00	4.0
	RBC CAPITAL MARKETS	040	JCP	B	25,000	26.01	n/a	29-Jan	1,000.00	4.0
	SANDLER O'NEILL ASSET	031	JNS	B	20,000	12.15	n/a	3-Feb	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	JPM	S	12,500	40.37	n/a	21-Jan	500.00	4.0
MISSOURI VALLEY PART	046	JPM	B	13,720	40.46	n/a	21-Jan	686.00	5.0
THE JAY GOLDMAN	028	JWN	B	10,000	35.62	n/a	29-Jan	400.00	4.0
ROYCE TRADING	216	KCI	B	100	41.30	n/a	n/a	5.00	5.0
TRELLUS PARTNERS LP	028	KMX	SS	50,000	21.46	n/a	n/a	2,500.00	5.0
CAERUS GLOBAL	041	KSS	S	25,000	51.71	n/a	29-Jan	750.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	B	35,000	38.97	n/a	3-Feb	1,750.00	5.0
KAILIX INV ADV	048	LEA	S	12,500	72.01	n/a	8-Jan	625.00	5.0
S.A.C. HEALTHCARE BOBBY	044	LLY	B	20,000	35.27	n/a	n/a	700.00	3.5
BUCK CAPITAL MGMT	001	LL	S	20,000	24.73	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	LNC	B	41,900	25.86	n/a	n/a	1,676.00	4.0
f NICOLAS EVAN PAKLER	FID	LNK	S	170	21.98	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	LOW	B	5,000	21.90	n/a	16-Nov	200.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	70,000	20.28	n/a	n/a	2,800.00	4.0
RAINIER INV MGMT	035	MDRX	B	75,090	17.49	n/a	n/a	3,754.50	5.0
AELTUS/ING INVESTMENT MGT	215	MDT	B	32,100	43.97	n/a	n/a	1,123.50	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>MFB</b>	<b>B</b>	<b>10,000</b>	<b>14.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>20</b>	<b>1.15</b>	<b>n/a</b>	<b>21-Jan</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	MTW	B	13,020	11.45	n/a	12-Jan	651.00	5.0
GEORGE WEISS	034	MTW	B	50,000	11.56	n/a	12-Jan	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>500,000</b>	<b>169.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>11.9</b>
RBC CAPITAL MARKETS	040	MW	SS	10,000	20.66	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	M	B	5,000	16.22	n/a	29-Jan	200.00	4.0
M&I FUNDS	047	NOC	S	32,952	58.37	n/a	2-Feb	1,318.08	4.0
JAT CAPITAL MANAGEMENT	041	NVDA	S	75,300	16.74	n/a	n/a	3,012.00	4.0
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>ODR</b>	<b>S</b>	<b>2</b>	<b>1.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>B</b>	<b>10,000</b>	<b>14.03</b>	<b>n/a</b>	<b>22-Jan</b>	<b>non-brg</b>	<b>0.8</b>
COLONIAL FUND LLC	036	PAG	B	50,000	14.39	n/a	22-Jan	2,500.00	5.0
ROSEDALE CAPITAL	046	PAG	S	15,000	14.17	n/a	22-Jan	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>SS</b>	<b>50,000</b>	<b>25.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAERUS GLOBAL	041	PIR	B	25,000	5.23	n/a	n/a	750.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	70,000	21.80	n/a	26-Jan	3,500.00	5.0
S.A.C.HABER/BOBBY	044	PNC	S	100,000	54.10	n/a	n/a	3,500.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>PNRA</b>	<b>S</b>	<b>20,000</b>	<b>74.00</b>	<b>n/a</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MICHAEL THOMAS NOLAN	<b>FID</b>	<b>PRGO</b>	<b>B</b>	<b>150</b>	<b>46.61</b>	<b>n/a</b>	<b>2-Feb</b>	<b>0.00</b>	<b>0.0</b>
FORD FDN.	032	PRU	S	5,000	50.66	n/a	n/a	200.00	4.0
CUMBERLAND	239	RIMM	S	25,000	66.94	n/a	n/a	1,000.00	4.0
WHALE ROCK CAP	030	RIMM	B	47,087	66.84	n/a	n/a	1,883.48	4.0
BUCK CAPITAL MGMT	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>79.59</b>	<b>n/a</b>	<b>28-Jan</b>	<b>400.00</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>80.48</b>	<b>n/a</b>	<b>28-Jan</b>	<b>non-brg</b>	<b>0.8</b>
CAERUS GLOBAL	041	ROST	S	15,000	46.01	n/a	n/a	450.00	3.0
RBC CAPITAL MARKETS	040	ROST	SS	10,000	46.05	n/a	n/a	400.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>SIG</b>	<b>S</b>	<b>2,400</b>	<b>27.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	SKS	S	20,000	6.75	n/a	n/a	1,000.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>SKX</b>	<b>S</b>	<b>1,000</b>	<b>28.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BERMAN CAPITAL MGMT	046	SPY	B	15,000	109.92	n/a	n/a	450.00	3.0
TROUBH PART	067	STT	S	15,000	44.40	n/a	20-Jan	750.00	5.0
AAD CAPITAL	048	TIN	B	9,300	17.84	n/a	25-Jan	279.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	180,000	18.04	n/a	25-Jan	9,000.00	5.0
RBC CAPITAL MARKETS	040	TJX	B	5,000	38.77	n/a	29-Jan	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	TM	SS	12,500	74.80	n/a	n/a	625.00	5.0
THIRD COAST CAPITAL	035	TM	SS	5,000	72.71	n/a	n/a	250.00	5.0
FORD FDN.	032	TRV	S	7,500	50.51	n/a	n/a	300.00	4.0
SIGMA CAP BOBBY	044	TWX	B	25,000	28.10	n/a	n/a	1,000.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>UQB</b>	<b>S</b>	<b>10</b>	<b>3.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>31.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>VAX</b>	<b>S</b>	<b>2</b>	<b>2.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f STRATTON PAR TNERSHI</b>	<b>FID</b>	<b>VAX</b>	<b>S</b>	<b>1</b>	<b>2.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>1000</b>	<b>3.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARMATURE CAPITAL	041	WY	B	10,000	42.05	n/a	25-Jan	400.00	4.0
EXIS CAPITAL	044	XLI	SS	25,000	28.27	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLY</b>	<b>C</b>	<b>3,000</b>	<b>29.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>2,400,000</b>	<b>35.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
WHALE ROCK CAP	030	XXIA	B	25,380	7.43	n/a	n/a	1,015.20	4.0
HIGHBRIDGE CAP	041	YHOO	B	195,649	15.44	n/a	n/a	7,825.96	4.0
MATRIX ASSET ADV.	036	YHOO	S	9,900	15.42	n/a	n/a	297.00	3.0
ISLE RIDGE PARTNERS	041	YUM	S	22,500	35.34	n/a	3-Feb	900.00	4.0



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**TOTAL (Trade Date):**

**138,983.41**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/02	EXIS CAPITAL	044	BAC	B	20,000	15.56	n/a	21-Jan	1000.00 5.0
AO,CXL	02/02	EXIS CAPITAL	044	BAC	B	20,000	15.56	n/a	21-Jan	0.00 0.0
<b>AO,</b>	<b>02/02</b>	<b>LISTED ERR</b>	<b>099</b>	<b>CA</b>	<b>S</b>	<b>100</b>	<b>22.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CRT	02/02	CONIFER/ISF	025	CA	S	3,000	22.09	n/a	n/a	150.00 5.0
AO,CXL	02/02	CONIFER/ISF	025	CA	S	3,100	22.09	n/a	n/a	155.00 5.0
AO,CRT	02/01	JMP ASSET MGMT	210	CTRN	B	3,700	30.49	n/a	n/a	185.00 5.0
AO,CXL	02/01	JMP ASSET MGMT	210	CTRN	B	3,700	30.49	n/a	n/a	185.00 5.0
AO,CXL	02/02	BMO NESBITT BURNS	041	FOR	B	5,000	18.63	n/a	25-Jan	250.00 5.0
AO,CRT	02/02	BMO NESBITT BURNS	041	FOR	B	5,000	18.63	n/a	25-Jan	500.00 10.0
AO,CXL	02/02	S.A.C. HEALTHCARE BOBBY	044	FRX	B	10,000	29.95	n/a	1-Feb	3.00 0.0
AO,CRT	02/02	S.A.C. HEALTHCARE BOBBY	044	FRX	B	10,000	29.95	n/a	1-Feb	350.00 3.5
AO,CRT	02/02	MTB INV ADV	034	THS	S	18,150	38.81	n/a	n/a	907.50 5.0
AO,CXL	02/02	MTB INV ADV	034	THS	S	18,150	38.81	n/a	n/a	907.50 5.0
AO,CRT	02/02	JP MORGAN VENTURES	046	XLF	SS	17,200	14.53	n/a	n/a	516.00 3.0
AO,CXL	02/02	JP MORGAN VENTURES	046	XLF	SS	17,200	14.53	n/a	n/a	860.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,248.00</b>

TOTAL (Trade Date) :

138,983.41

TOTAL (AO, CXL, CRT):

1,248.00

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TOTAL (RUN DATE) / NFS:

140,231.41

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MRI Securities with Trade Activity on 3-Feb.

BA

MRI Securities without Trade Activity on 3-Feb.

KEG

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

T-Date = 6%

YTD = 19%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)