

## **Daily Compliance Activity Report** Trade Date: 09/06/2012

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

								THE IDE VIOLETITORIS V			
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.		
LOCUST WOOD CAPITAL MGMT	044	AAPL	В	50	673.75	n/a	n/a	2.00	4.0		
COBALT	041	ACE	В	50,000	74.90	n/a	n/a	2,000.00	4.0		
EPOCH INV MGMT	030	ALKS	В	1,200	18.76	n/a	n/a	36.00	0.0		
EPOCH INV MGMT	030	ALR	В	300	18.72	n/a	n/a	9.00	0.0		
SIMMONS VENTURES	041	ANF	SS	5,000	35.45	n/a	16-Aug	200.00	4.0		
SEVEN LOCKS CAPITAL	025	AOS	S	7,000	55.63	n/a	19-Jul	210.00	3.0		
BRONSON POINT	036	ARO	В	50,000	14.41	n/a	n/a	1,500.00	0.0		
LOCUST WOOD CAPITAL MGMT	044	ARP	В	1,400	25.83	n/a	n/a	56.00	4.0		
LATEEF MGMT	035	ATI	В	200	30.62	n/a	7-Aug	30.00	15.0		
SYMPHONY ASSET	033	ATR	SS	5,610	51.61	n/a	n/a	168.30	0.0		
OZ MGMT	040	AXL	S	32,900	11.92	n/a	30-Jul	987.00	0.0		
CRAMER ROSENTHAL	070	BBBY	S	6,370	69.00	n/a	n/a	254.80	0.0		
LOCUST WOOD CAPITAL MGMT	044	BRKB	В	400	85.99	n/a	n/a	16.00	4.0		
EPOCH INV MGMT	030	BRKL	В	1,550	8.66	n/a	n/a	46.50	0.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
NEW JERSEY DIV OF INV.	030	BTU	В	25,000	21.21	n/a	n/a	1,000.00	4.0	
SMITH MGMT/ALDEN GLOBAL		029 B	ZH	S 25	3.05		n/a	n/a 7,	500.00 3.0	
SCOPUS FUND	041	CAR	В	25,000	16.68	n/a	n/a	1,000.00	0.0	
EPOCH INV MGMT	030	CFX	В	150	34.46	n/a	n/a	4.50	0.0	
LATEEF MGMT	035	CMCSK	S	300	33.62	n/a	n/a	36.00	12.0	
NEUBERGER BERMAN	036	CNQR	S	16,000	73.36	n/a	n/a	640.00	0.0	
EPOCH INV MGMT	030	CNW	В	350	30.00	n/a	n/a	10.50	0.0	
NEW JERSEY DIV OF INV.	030	CNX	В	25,000	28.87	n/a	n/a	1,000.00	4.0	
BRONSON POINT	036	СОН	SS	25,000	59.24	n/a	1-Aug	750.00	0.0	
CENTURION PARTNERS	041	CROX	В	10,000	18.18	n/a	n/a	400.00	4.0	
HALCYON LLC	041	CRS	В	5,000	47.99	n/a	n/a	150.00	3.0	
NEUBERGER BERMAN	036	CRZO	В	16,300	27.21	n/a	n/a	652.00	0.0	
CENTURION PARTNERS	041	DD	В	10,000	49.85	n/a	30-Aug	400.00	4.0	
LATEEF MGMT	035	DE	В	200	76.72	n/a	11-Jul	40.00	20.0	
RBC CAPITAL MARKETS	040	DLTR	SS	25,000	48.08	n/a	16-Aug	1,000.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
LATEEF MGMT	035	DOW	В	350	29.36	n/a	5-Sep	35.00	10.0
SYMPHONY ASSET	033	DOW	SS	11,780	29.17	n/a	5-Sep	353.40	0.0
WEINTRAUB CAPITAL MGT.	084	DRI	SS	50,000	53.08	n/a	13-Jul	2,000.00	4.0
EPOCH INV MGMT	030	DVR	В	1,500	1.64	n/a	n/a	45.00	0.0
RBC CAPITAL MARKETS	040	EAT	В	10,000	35.43	n/a	10-Aug	400.00	4.0
LOCUST WOOD CAPITAL MGMT	044	ECL	В	600	64.79	n/a	9-Aug	24.00	4.0
EPOCH INV MGMT	030	ESL	В	150	59.83	n/a	n/a	4.50	0.0
CYRUS CAPITAL	025	FBP	S	25,000	4.19	n/a	n/a	750.00	3.0
CENTURION PARTNERS	041	FCX	В	10,000	36.08	n/a	n/a	400.00	4.0
SUFFOLK CAPITAL MGMT	040	FCX	S	143,100	36.21	n/a	n/a	5,724.00	0.0
CHILTON CAPITAL MGMT	031	GLW	В	35,270	12.19	n/a	20-Aug	1,058.10	3.0
BASIX	033	GNTX	В	16,100	18.41	n/a	25-Jul	483.00	3.0
EPOCH INV MGMT	030	GXP	В	900	21.98	n/a	n/a	27.00	0.0
LOCUST WOOD CAPITAL MGMT	044	ННС	В	300	65.99	n/a	n/a	12.00	4.0
EPOCH INV MGMT	030	HLIT	В	3,300	4.69	n/a	n/a	99.00	0.0
EPOCH INV MGMT	030	ICON	В	650	18.96	n/a	n/a	19.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ARMATURE CAPITAL	041	IP	В	25,000	35.64	n/a	20-Aug	1,000.00	0.0
EPOCH INV MGMT	030	ISBC	В	750	17.29	n/a	n/a	22.50	0.0
IMPALA ASSET MMT	040	JBHT	В	45,800	52.26	n/a	n/a	2,290.00	5.0
EPOCH INV MGMT	030	JBT	В	700	16.30	n/a	n/a	21.00	0.0
LATEEF MGMT	035	JCI	В	150	27.56	n/a	20-Jul	30.00	20.0
LOCUST WOOD CAPITAL MGMT	044	JCP	В	1,600	27.08	n/a	13-Aug	64.00	4.0
CENTURION PARTNERS	041	JNY	В	15,000	13.21	n/a	26-Jul	600.00	4.0
LOCUST WOOD CAPITAL MGMT	044	JPM	В	16,100	38.31	n/a	6-Sep	644.00	4.0
M&I FUNDS	047	JWN	В	6,026	57.62	n/a	31-Aug	241.04	4.0
CENTURION PARTNERS	041	KEY	В	20,000	8.44	n/a	n/a	800.00	4.0
LOCUST WOOD CAPITAL MGMT	044	KFT	В	500	42.17	n/a	n/a	20.00	4.0
LOCUST WOOD CAPITAL MGMT	044	KMI	В	1,100	35.71	n/a	n/a	44.00	4.0
ARSENAL ASSET MANAGEMENT	028	KMT	В	25,000	37.93	n/a	n/a	1,000.00	0.0
CATAPULT	040	KO	В	34,000	38.15	n/a	4-Sep	1,360.00	0.0
SUFFOLK CAPITAL MGMT	040	KSS	В	149,800	52.69	n/a	31-Aug	5,992.00	0.0
	ARMATURE CAPITAL  EPOCH INV MGMT  IMPALA ASSET MMT  EPOCH INV MGMT  LATEEF MGMT  LOCUST WOOD CAPITAL MGMT  CENTURION PARTNERS  LOCUST WOOD CAPITAL MGMT  M&I FUNDS  CENTURION PARTNERS  LOCUST WOOD CAPITAL MGMT  LOCUST WOOD CAPITAL MGMT  ARSENAL ASSET MANAGEMENT  CATAPULT	ARMATURE CAPITAL 041  EPOCH INV MGMT 030  IMPALA ASSET MMT 040  EPOCH INV MGMT 030  LATEEF MGMT 035  LOCUST WOOD CAPITAL MGMT 044  CENTURION PARTNERS 041  LOCUST WOOD CAPITAL MGMT 044  M&I FUNDS 047  CENTURION PARTNERS 041  LOCUST WOOD CAPITAL MGMT 044  LOCUST WOOD CAPITAL MGMT 044  LOCUST WOOD CAPITAL MGMT 044  ARSENAL ASSET MANAGEMENT 028  CATAPULT 040	ARMATURE CAPITAL 041 IP  EPOCH INV MGMT 030 ISBC  IMPALA ASSET MMT 040 JBHT  EPOCH INV MGMT 030 JBT  LATEEF MGMT 035 JCI  LOCUST WOOD CAPITAL MGMT 044 JCP  CENTURION PARTNERS 041 JNY  LOCUST WOOD CAPITAL MGMT 044 JPM  M&I FUNDS 047 JWN  CENTURION PARTNERS 041 KEY  LOCUST WOOD CAPITAL MGMT 044 KFT  LOCUST WOOD CAPITAL MGMT 044 KMI  ARSENAL ASSET MANAGEMENT 028 KMT  CATAPULT 040 KO	ARMATURE CAPITAL 041 IP B  EPOCH INV MGMT 030 ISBC B  IMPALA ASSET MMT 040 JBHT B  EPOCH INV MGMT 030 JBT B  LATEEF MGMT 035 JCI B  LOCUST WOOD CAPITAL MGMT 044 JCP B  CENTURION PARTNERS 041 JNY B  LOCUST WOOD CAPITAL MGMT 044 JPM B  M&I FUNDS 047 JWN B  CENTURION PARTNERS 041 KEY B  LOCUST WOOD CAPITAL MGMT 044 KFT B  LOCUST WOOD CAPITAL MGMT 044 KMI B  ARSENAL ASSET MANAGEMENT 028 KMT B  CATAPULT 040 KO B	ARMATURE CAPITAL 041 IP B 25,000  EPOCH INV MGMT 030 ISBC B 750  IMPALA ASSET MMT 040 JBHT B 45,800  EPOCH INV MGMT 030 JBT B 700  LATEEF MGMT 035 JCI B 150  LOCUST WOOD CAPITAL MGMT 044 JCP B 1,600  CENTURION PARTNERS 041 JNY B 15,000  LOCUST WOOD CAPITAL MGMT 044 JPM B 16,100  M&I FUNDS 047 JWN B 6,026  CENTURION PARTNERS 041 KEY B 20,000  LOCUST WOOD CAPITAL MGMT 044 KFT B 500  LOCUST WOOD CAPITAL MGMT 044 KMI B 1,100  ARSENAL ASSET MANAGEMENT 028 KMT B 25,000  CATAPULT 040 KO B 34,000	ARMATURE CAPITAL 041 IP B 25,000 35.64  EPOCH INV MGMT 030 ISBC B 750 17.29  IMPALA ASSET MMT 040 JBHT B 45,800 52.26  EPOCH INV MGMT 030 JBT B 700 16.30  LATEEF MGMT 035 JCI B 150 27.56  LOCUST WOOD CAPITAL MGMT 044 JCP B 1,600 27.08  CENTURION PARTNERS 041 JNY B 15,000 13.21  LOCUST WOOD CAPITAL MGMT 044 JPM B 16,100 38.31  M&I FUNDS 047 JWN B 6,026 57.62  CENTURION PARTNERS 041 KEY B 20,000 8.44  LOCUST WOOD CAPITAL MGMT 044 KFT B 500 42.17  LOCUST WOOD CAPITAL MGMT 044 KMI B 1,100 35.71  ARSENAL ASSET MANAGEMENT 028 KMT B 25,000 37.93  CATAPULT 040 KO B 34,000 38.15	ARMATURE CAPITAL 041 IP B 25,000 35.64 n/a  EPOCH INV MGMT 030 ISBC B 750 17.29 n/a  IMPALA ASSET MMT 040 JBHT B 45,800 52.26 n/a  EPOCH INV MGMT 030 JBT B 700 16.30 n/a  LATEEF MGMT 035 JCI B 150 27.56 n/a  LOCUST WOOD CAPITAL MGMT 044 JCP B 1,600 27.08 n/a  LOCUST WOOD CAPITAL MGMT 044 JPM B 16,100 38.31 n/a  M&I FUNDS 047 JWN B 6,026 57.62 n/a  CENTURION PARTNERS 041 KEY B 20,000 8.44 n/a  LOCUST WOOD CAPITAL MGMT 044 KFT B 500 42.17 n/a  LOCUST WOOD CAPITAL MGMT 044 KMI B 1,100 35.71 n/a  ARSENAL ASSET MANAGEMENT 028 KMT B 25,000 37.93 n/a  CATAPULT 040 KO B 34,000 38.15 n/a	ARMATURE CAPITAL 041 IP B 25,000 35.64 n/a 20-Aug  EPOCH INV MGMT 030 ISBC B 750 17.29 n/a n/a  IMPALA ASSET MMT 040 JBHT B 45,800 52.26 n/a n/a  EPOCH INV MGMT 030 JBT B 700 16.30 n/a n/a  LATEEF MGMT 035 JCI B 150 27.56 n/a 20-Jul  LOCUST WOOD CAPITAL MGMT 044 JCP B 1,600 27.08 n/a 13-Aug  CENTURION PARTNERS 041 JNY B 15,000 13.21 n/a 26-Jul  LOCUST WOOD CAPITAL MGMT 044 JFM B 16,100 38.31 n/a 6-Sep  M&I FUNDS 047 JWN B 6,026 57.62 n/a 31-Aug  CENTURION PARTNERS 041 KEY B 20,000 8.44 n/a n/a  LOCUST WOOD CAPITAL MGMT 044 KFT B 500 42.17 n/a n/a  LOCUST WOOD CAPITAL MGMT 044 KMI B 1,100 35.71 n/a n/a  ARSENAL ASSET MANAGEMENT 028 KMT B 25,000 37.93 n/a n/a  CATAPULT 040 KO B 34,000 38.15 n/a 4-Sep	ARMATURE CAPITAL 041 IP B 25,000 35.64

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THE JAY GOLDMAN	028	KSS	S	100,000	52.47	n/a	31-Aug	4,000.00	0.0
CYRUS CAPITAL	025	LEG	В	25,000	24.19	n/a	n/a	750.00	3.0
LOCUST WOOD CAPITAL MGMT	044	LINTA	В	800	19.09	n/a	n/a	32.00	4.0
BALYASNY ASSET MGMT	044	LULU	SS	26,000	68.37	n/a	4-Sep	1,300.00	0.0
SCOPUS FUND	041	LULU	S	65,000	68.65	n/a	4-Sep	2,600.00	0.0
NEUBERGER BERMAN	036	MANH	В	10,000	52.83	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	MATW	S	23,900	29.98	n/a	n/a	956.00	0.0
EPOCH INV MGMT	030	МЕОН	В	500	29.48	n/a	n/a	15.00	0.0
HALCYON LLC	041	MEOH	В	7,000	29.70	n/a	n/a	210.00	3.0
EPOCH INV MGMT	030	MGAM	В	850	15.74	n/a	n/a	25.50	0.0
EPOCH INV MGMT	030	MNRO	В	50	35.53	n/a	n/a	1.50	0.0
HALCYON LLC	041	MOLX	В	5,000	26.98	n/a	n/a	150.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 MRGE	В	50,	000 3.40		n/a n	/a 1,000	.00 2.0
LOCUST WOOD CAPITAL MGMT	044	MSI	S	2,500	48.29	n/a	n/a	100.00	4.0
RBC CAPITAL MARKETS	040	MTN	SS	3,000	53.44	n/a	n/a	120.00	4.0
VISIUM/BALY BOBBY	044	MTW	S	10,000	13.77	n/a	11-Jul	500.00	0.0
EPOCH INV MGMT	030	NATI	В	400	25.33	n/a	n/a	12.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
NEW JERSEY DIV OF INV.	030	NFG	S	25,000	51.36	n/a	n/a	1,000.00	4.0
LATEEF MGMT	035	OI	В	175	18.94	n/a	n/a	31.50	18.0
CAISSE DEPOT PLACEMENT Q	295	OVTI	В	25,000	16.37	n/a	n/a	750.00	3.0
LATEEF MGMT	035	PCH	S	250	36.59	n/a	25-Jul	30.00	12.0
RBC CAPITAL MARKETS	040	PENN	SS	5,000	39.15	n/a	n/a	200.00	4.0
LATEEF MGMT	035	PG	S	150	68.16	n/a	4-Sep	30.00	20.0
VISIUM/BALY BOBBY	044	PH	В	5,000	81.84	n/a	n/a	250.00	0.0
RBC CAPITAL MARKETS	040	PII	SS	3,000	77.43	n/a	n/a	120.00	4.0
HALCYON LLC	041	PLD	В	20,000	35.46	n/a	n/a	600.00	3.0
EPOCH INV MGMT	030	PLOW	В	650	14.14	n/a	n/a	19.50	0.0
NEUBERGER BERMAN	036	POOL	В	5,926	40.44	n/a	n/a	237.04	0.0
SYMPHONY ASSET	033	PPG	В	5,640	112.43	n/a	9-Aug	169.20	0.0
LOCUST WOOD CAPITAL MGMT	044	QCOM	В	300	62.12	n/a	n/a	12.00	4.0
EPOCH INV MGMT	030	SPTN	В	1,050	15.53	n/a	n/a	31.50	0.0
EPOCH INV MGMT	030	SSD	В	300	26.10	n/a	n/a	9.00	0.0
	NEW JERSEY DIV OF INV.  LATEEF MGMT  CAISSE DEPOT PLACEMENT Q  LATEEF MGMT  RBC CAPITAL MARKETS  LATEEF MGMT  VISIUM/BALY BOBBY  RBC CAPITAL MARKETS  HALCYON LLC  EPOCH INV MGMT  NEUBERGER BERMAN  SYMPHONY ASSET  LOCUST WOOD CAPITAL MGMT  EPOCH INV MGMT	NEW JERSEY DIV OF INV. 030  LATEEF MGMT 035  CAISSE DEPOT PLACEMENT Q 295  LATEEF MGMT 035  RBC CAPITAL MARKETS 040  LATEEF MGMT 035  VISIUM/BALY BOBBY 044  RBC CAPITAL MARKETS 040  HALCYON LLC 041  EPOCH INV MGMT 030  NEUBERGER BERMAN 036  SYMPHONY ASSET 033  LOCUST WOOD CAPITAL MGMT 044  EPOCH INV MGMT 030	NEW JERSEY DIV OF INV. 030 NFG  LATEEF MGMT 035 OI  CAISSE DEPOT PLACEMENT Q 295 OVTI  LATEEF MGMT 035 PCH  RBC CAPITAL MARKETS 040 PENN  LATEEF MGMT 035 PG  VISIUM/BALY BOBBY 044 PH  RBC CAPITAL MARKETS 040 PII  HALCYON LLC 041 PLD  EPOCH INV MGMT 030 PLOW  NEUBERGER BERMAN 036 POOL  SYMPHONY ASSET 033 PPG  LOCUST WOOD CAPITAL MGMT 044 QCOM  EPOCH INV MGMT 030 SPTN	NEW JERSEY DIV OF INV. 030 NFG S  LATEEF MGMT 035 OI B  CAISSE DEPOT PLACEMENT Q 295 OVTI B  LATEEF MGMT 035 PCH S  RBC CAPITAL MARKETS 040 PENN SS  LATEEF MGMT 035 PG S  VISIUM/BALY BOBBY 044 PH B  RBC CAPITAL MARKETS 040 PII SS  HALCYON LLC 041 PLD B  EPOCH INV MGMT 030 PLOW B  SYMPHONY ASSET 033 PPG B  LOCUST WOOD CAPITAL MGMT 044 QCOM B  EPOCH INV MGMT 030 SPTN B	NEW JERSEY DIV OF INV. 030 NFG S 25,000  LATEEF MGMT 035 OI B 175  CAISSE DEPOT PLACEMENT Q 295 OVTI B 25,000  LATEEF MGMT 035 PCH S 250  RBC CAPITAL MARKETS 040 PENN SS 5,000  LATEEF MGMT 035 PG S 150  VISIUM/BALY BOBBY 044 PH B 5,000  RBC CAPITAL MARKETS 040 PII SS 3,000  HALCYON LLC 041 PLD B 20,000  EPOCH INV MGMT 030 PLOW B 650  NEUBERGER BERMAN 036 POOL B 5,926  SYMPHONY ASSET 033 PPG B 5,640  LOCUST WOOD CAPITAL MGMT 044 QCOM B 300  EPOCH INV MGMT 030 SPTN B 1,050	NEW JERSEY DIV OF INV. 030 NFG S 25,000 51.36  LATEEF MGMT 035 OI B 175 18.94  CAISSE DEPOT PLACEMENT Q 295 OVTI B 25,000 16.37  LATEEF MGMT 035 PCH S 250 36.59  RBC CAPITAL MARKETS 040 PENN SS 5,000 39.15  LATEEF MGMT 035 PG S 150 68.16  VISIUM/BALY BOBBY 044 PH B 5,000 81.84  RBC CAPITAL MARKETS 040 PII SS 3,000 77.43  HALCYON LLC 041 PLD B 20,000 35.46  EPOCH INV MGMT 030 PLOW B 650 14.14  NEUBERGER BERMAN 036 POOL B 5,926 40.44  SYMPHONY ASSET 033 PPG B 5,640 112.43  LOCUST WOOD CAPITAL MGMT 044 QCOM B 300 62.12  EPOCH INV MGMT 030 SPTN B 1,050 15.53	NEW JERSEY DIV OF INV. 030 NFG S 25,000 51.36 n/a  LATEEF MGMT 035 OI B 175 18.94 n/a  CAISSE DEPOT PLACEMENT Q 295 OVTI B 25,000 16.37 n/a  LATEEF MGMT 035 PCH S 250 36.59 n/a  RBC CAPITAL MARKETS 040 PENN SS 5,000 39.15 n/a  LATEEF MGMT 035 PG S 150 68.16 n/a  VISIUM/BALY BOBBY 044 PH B 5,000 81.84 n/a  RBC CAPITAL MARKETS 040 PII SS 3,000 77.43 n/a  RBC CAPITAL MARKETS 040 PII SS 3,000 77.43 n/a  HALCYON LLC 041 PLD B 20,000 35.46 n/a  EPOCH INV MGMT 030 PLOW B 650 14.14 n/a  SYMPHONY ASSET 033 PPG B 5,640 112.43 n/a  LOCUST WOOD CAPITAL MGMT 044 QCOM B 300 62.12 n/a  EPOCH INV MGMT 030 SPTN B 1,050 15.53 n/a	NEW JERSEY DIV OF INV. 030 NFG S 25,000 51.36	NEW JERSEY DIV OF INV. 030 NFG S 25,000 51.36

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	WEINTRAUB CAPITAL MGT.	084	SWY	S	100,000	16.38	n/a	n/a	4,000.00	4.0
	BRONSON POINT	036	TEX	В	25,000	21.89	n/a	n/a	750.00	0.0
	VISIUM/BALY BOBBY	044	TOL	С	10,000	33.48	n/a	n/a	500.00	0.0
	IMPALA ASSET MMT	040	TRN	В	40,000	29.43	n/a	n/a	1,600.00	4.0
õ	Jill Rosenberg		U <b>A</b>	S	300 5	8.0300	n/a	22-Aug	0.00	0.0
	DELTEC ASSET MGMT.	040	URI	S	10,500	37.10	n/a	17-Apr	525.00	5.0
	EPOCH INV MGMT	030	VECO	В	200	34.93	n/a	n/a	6.00	0.0
	EPOCH INV MGMT	030	VR	В	300	34.16	n/a	n/a	9.00	0.0
	EPOCH INV MGMT	030	WCG	В	300	59.20	n/a	n/a	9.00	0.0
	CATAPULT/KGLT	040	WFT	В	25,000	12.26	n/a	n/a	1,000.00	4.0
	TUDOR INVESTORS	028	ZUMZ	В	25,000	28.56	n/a	n/a	750.00	3.0

TOTAL (Trade Date): 70,472.38

Туре	Date Account	RR # Symbol B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAI	L (AO, CXL, CRT):					0.00
OTA I	(Trade Date)				70 4	72 20
	L (Trade Date): L (AO, CXL, CRT):				70,4	72.38
	L (RUN DATE) / NFS:				70,4	

## Legend:

O: 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