



Daily Compliance Activity Report

Trade Date: 07/17/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	ABT	B	1,000	57.56	n/a	22-Apr	0.00	0.0
FIRST NY SEC/CHRIS	041	ALV	B	3,600	45.14	17-Apr	17-Jul	216.00	6.0
SCOPUS FUND	041	ALV	B	50,000	46.25	17-Apr	17-Jul	2,500.00	5.0
GRISANTI BROWN & PARTNER	048	AMR	S	94,700	6.05	n/a	n/a	2,841.00	3.0
GAULT	063	ANFGY	S	10	3.34	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	ANF	S	10,000	58.54	10-Jul	11-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	60.52	10-Jul	11-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	40,000	24.11	14-Mar	11-Jul	1,600.00	4.0
WAGONHOUND/NIC	048	AOS	SS	9,182	35.44	17-Jul	17-Jul	367.28	4.0
EFSTATHIOU	044	APP	S	1,000	6.60	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	ARD	S	24,800	49.43	n/a	n/a	1,240.00	5.0
LEDDY	035	ARGN	B	2,000	6.92	24-Jun	17-Jul	0.00	0.0
EFSTATHIOU	044	ARGN	B	1,000	7.06	24-Jun	17-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	30.44	28-Apr	11-Jul	800.00	4.0
COUGAR TRADING	044	ARO	SS	5,000	30.90	28-Apr	11-Jul	250.00	5.0
GAULT	063	ASH	S	1,600	38.21	14-Jul	14-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	BAC	B	1,000	24.54	n/a	14-Jul	0.00	0.0
EFSTATHIOU	044	BAC	B	600	24.39	n/a	14-Jul	0.00	0.0
KACELA CAPITAL	034	BBBY	S	40,000	28.75	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	BBY	B	100,000	38.87	n/a	27-Jul	4,000.00	4.0
PRINCIPLE CAPITAL	040	BBY	B	250,000	39.24	n/a	27-Jul	7,500.00	3.0
SUNOVA CAPITAL	031	BEN	B	20,000	92.72	15-Jul	17-Jul	1,000.00	5.0
KORMAN	003	BHQSZ	S	100	3.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BIG	B	70,000	30.01	29-May	11-Jul	2,800.00	4.0
BUCK CAPITAL MGMT	001	BJ	B	60,000	42.82	n/a	27-Jul	2,400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	BJ	S	107,200	42.71	n/a	27-Jul	4,020.00	3.8
UBS OCONNOR	031	BLK	B	20,000	204.58	n/a	17-Jul	600.00	3.0
NEW JERSEY DIV OF INV.	220	BMY	B	450,000	22.52	n/a	n/a	18,000.00	4.0
FARALLON CAP MGMT	040	BRL	B	100,600	56.19	17-Jul	17-Jul	4,024.00	4.0
ZANDER CAPITAL MGMT	035	BRL	B	20,500	56.19	17-Jul	17-Jul	820.00	4.0
LATEFF MGMT	035	BUD	S	750	67.05	n/a	n/a	225.00	30.0
BUCK CAPITAL MGMT	001	BWA	SS	30,000	42.59	10-Jun	17-Jul	1,200.00	4.0
METROPOLITAN CAPITAL	044	BWS	S	45,400	15.16	n/a	n/a	2,270.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	CLX	SS	10,000	53.52	n/a	24-Jun	500.00	5.0
LEDDY	035	CMI	SS	250	67.33	n/a	23-May	0.00	0.0
COUGAR TRADING	044	COH	B	5,000	27.47	4-Apr	9-Jul	250.00	5.0
THIRD COAST CAPITAL	035	COST	B	14,000	72.50	n/a	27-Jul	700.00	5.0
COUGAR TRADING	044	CPKI	B	5,000	13.13	10-Jul	10-Jul	250.00	5.0
ZOLIDIS	011	CWTR	SS	1,000	6.50	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	C	S	35,000	17.88	19-Jun	14-Jul	1,400.00	4.0
BUCK CAPITAL MGMT	001	DKS	B	10,000	18.03	7-Jul	9-Jul	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	10,600	37.75	n/a	11-Jul	424.00	4.0
KORMAN	003	ELSJ	S	50	6.90	n/a	n/a	0.00	0.0
LEDDY	035	EPG	S	300	3.70	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	ERTS	S	6,200	47.93	n/a	n/a	248.00	4.0
BUCK CAPITAL MGMT	001	ETH	SS	10,000	25.57	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	EV	SS	9,200	34.92	15-Jul	17-Jul	368.00	4.0
BUCK CAPITAL MGMT	001	FDO	SS	40,000	23.86	30-Jun	11-Jul	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE BOSTON COMPANY	401	FDO	S	11,680	23.57	30-Jun	11-Jul	467.20	4.0
SUNOVA CAPITAL	031	FII	S	20,000	34.09	14-Apr	17-Jul	1,000.00	5.0
BUCK CAPITAL MGMT	001	FL	S	30,000	12.62	2-Apr	9-Jul	1,200.00	4.0
COUGAR TRADING	044	FOSL	B	5,000	25.27	n/a	9-Jul	250.00	5.0
BUCK	015	FREHM	B	30	1.00	n/a	n/a	0.00	0.0
ZOLIDIS	011	FRE	B	2,000	8.26	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	40,000	34.02	n/a	n/a	1,600.00	4.0
WAGONHOUND/NIC	048	GES	B	390	33.72	n/a	n/a	15.60	4.0
SERENGETI MGMT	030	GGB	SS	50,000	21.27	n/a	n/a	2,500.00	5.0
ROYCE TRADING	216	GIL	B	50,000	23.78	30-Apr	9-Jul	2,500.00	5.0
MAIRS AND POWER INV	030	GIS	S	10,000	63.67	n/a	n/a	500.00	5.0
ZOLIDIS	011	GMHC	B	20	0.39	n/a	n/a	0.00	0.0
ZOLIDIS	011	GMHC	S	20	0.68	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GNTX	SS	50,000	15.34	24-Jun	17-Jul	2,500.00	5.0
COUGAR TRADING	044	GPS	B	10,000	16.31	n/a	11-Jul	500.00	5.0
LEDDY	035	GSI	S	510	13.49	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	GS	B	20,000	183.24	19-Mar	14-Jul	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	HAS	SS	10,000	38.04	n/a	n/a	400.00	4.0
J L F ASSET MGMT	039	HBAN	B	115,000	7.33	n/a	n/a	4,600.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	100,000	25.95	n/a	n/a	4,000.00	4.0
THE BOSTON COMPANY	401	HD	S	12,940	22.77	n/a	27-Jul	517.60	4.0
MORGAN LEWIS/MLH	046	HERO	S	25,000	32.38	n/a	n/a	1,250.00	5.0
J L F ASSET MGMT	039	HOT	B	45,700	37.40	n/a	n/a	1,828.00	4.0
GLOBAL 56 LLC	060	HXL	S	2,500	19.78	n/a	n/a	125.00	5.0
NOMURA CAPITAL	045	IAR	B	64,770	1.76	n/a	n/a	1,295.40	2.0
BUCK	015	IGT	C	1,000	22.16	n/a	16-Jul	0.00	0.0
THIRD COAST CAPITAL	035	INFY	B	14,000	39.60	n/a	n/a	700.00	5.0
WHEELER	008	INTC	S	10,000	22.25	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	12,300	22.74	15-Jul	17-Jul	492.00	4.0
DEER HILL POND/BAYPOINT	031	IVZ	B	5,000	22.78	15-Jul	17-Jul	200.00	4.0
COUGAR TRADING	044	JCG	SS	5,000	29.48	n/a	30-May	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	31.97	n/a	11-Jul	2,000.00	4.0
BUCK	015	JNJ	S	1,200	67.80	n/a	22-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALA MANAGEMENT	041	JNS	SS	10,000	24.94	15-Jul	17-Jul	500.00	5.0
GRUBER MACBAINE	033	JPM	S	40,000	39.38	8-May	14-Jul	1,600.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	40.81	n/a	17-Jul	1,200.00	4.0
COUGAR TRADING	044	KSS	B	10,000	40.60	n/a	17-Jul	500.00	5.0
KACELA CAPITAL	034	KSS	S	12,000	40.22	n/a	17-Jul	480.00	4.0
THE JAY GOLDMAN	034	KSS	B	10,000	41.19	n/a	17-Jul	400.00	4.0
STRAUSS ASSET MGMT	040	LCC	B	25,000	2.41	n/a	n/a	1,000.00	4.0
N STRATTON	014	LEG	SS	200	17.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	B	40,000	12.80	n/a	14-May	1,600.00	4.0
N STRATTON	014	LRN	SS	150	23.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LTM	B	50,000	32.54	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	MA	B	4,000	278.48	n/a	16-Jul	160.00	4.0
COUGAR TRADING	044	MA	B	5,000	275.56	n/a	16-Jul	250.00	5.0
COUGAR TRADING	044	MA	S	10,000	277.61	n/a	16-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	MCD	B	20,000	60.88	9-Jun	14-Jul	800.00	4.0
JP MORGAN VENTURES	046	MCD	SS	10,000	59.35	9-Jun	14-Jul	500.00	5.0
IRIDIAN ASSET MGMT.	036	MMR	B	54,200	24.56	n/a	n/a	2,710.00	5.0
PAULSON & CO INC	041	MS	SS	450,000	38.23	n/a	14-Jul	13,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	MTW	B	500	27.54	n/a	23-May	0.00	0.0
DSG CAPITAL	225	MYL	B	36,000	12.53	30-May	17-Jul	1,800.00	5.0
BUCK CAPITAL MGMT	001	M	B	20,000	17.99	14-Jul	14-Jul	800.00	4.0
COUGAR TRADING	044	M	B	10,000	18.03	14-Jul	14-Jul	500.00	5.0
DECADE CAPITAL PARTNERS	040	NLY	S	30,000	14.49	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	NWY	SS	30,000	9.30	n/a	22-May	1,200.00	4.0
APEX CAPITAL MGMT.	091	ODP	S	550,000	6.61	n/a	27-Jul	16,500.00	3.0
BUCK CAPITAL MGMT	001	OXM	SS	10,000	19.44	n/a	n/a	400.00	4.0
VISIUM/BALY HOWARD	038	OXM	B	10,800	20.19	n/a	n/a	540.00	5.0
JP MORGAN VENTURES	046	PFCB	C	35,000	24.61	n/a	16-Jul	1,750.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	10,000	24.17	7-Apr	11-Jul	500.00	5.0
AAD CAPITAL	048	PLCE	SS	739	40.17	23-Jun	17-Jul	29.56	4.0
J L F ASSET MGMT	039	PLCE	B	45,900	39.28	23-Jun	17-Jul	1,836.00	4.0
NICOLAS APPLGATE	048	PLCE	B	13,450	38.95	23-Jun	17-Jul	538.00	4.0
DECADE CAPITAL PARTNERS	040	PL	B	40,000	34.96	n/a	n/a	2,000.00	5.0
ZANDER CAPITAL MGMT	035	PSS	B	400	10.49	n/a	n/a	20.00	5.0
SINCLAIR	031	PXDIQ	B	25	0.95	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	QAYSH	S	50	6.31	n/a	n/a	0.00	0.0
KARPNANCY	023	REV	B	500	0.77	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	30,000	62.14	7-Feb	29-May	1,200.00	4.0
COUGAR TRADING	044	RL	B	5,000	60.51	7-Feb	29-May	250.00	5.0
MERRILL LYNCH STRATEGICI	034	ROST	SS	10,000	39.87	n/a	n/a	300.00	3.0
THE BOSTON COMPANY	401	ROST	S	8,390	39.12	n/a	n/a	335.60	4.0
FARALLON CAP MGMT	040	RPM	B	25,000	21.07	n/a	n/a	1,000.00	4.0
WASHINGTON ASSET	048	SHW	SS	10,000	51.19	n/a	17-Jul	500.00	5.0
KACELA CAPITAL	034	SMG	B	25,000	19.18	6-May	24-Jun	1,000.00	4.0
KORMAN	003	SPLS	C	8,000	21.04	n/a	27-Jul	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	40,000	4.65	7-Apr	11-Jul	2,000.00	5.0
LEDDY	035	SSCC	B	2,500	4.58	7-Apr	11-Jul	0.00	0.0
WASHINGTON ASSET	048	TEX	B	10,000	48.47	n/a	10-Jul	500.00	5.0
AVESTA CAP	229	TGT	B	50,000	47.61	n/a	16-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	TIF	B	100,000	40.35	n/a	2-Jun	4,000.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	35.17	n/a	11-Jul	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	TRA	B	50,000	46.53	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	TROW	C	300	53.05	15-Jul	17-Jul	0.00	0.0
EFSTATHIOU	044	TTWO	S	600	24.95	n/a	n/a	0.00	0.0
EFSTATHIOU	044	TWTC	B	600	14.45	n/a	4-Jan	0.00	0.0
NOLAN	067	TWTC	B	150	14.43	n/a	4-Jan	0.00	0.0
TROUBH PART	067	TXT	B	50,000	41.79	n/a	n/a	2,500.00	5.0
TROUBH PART	067	TXT	S	26,100	43.25	n/a	n/a	1,305.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	31.57	15-May	9-Jul	250.00	5.0
N STRATTON	014	URBN	SS	100	32.00	15-May	9-Jul	0.00	0.0
LEDDY	035	VC	B	4,800	2.36	n/a	17-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	S	16,000	71.08	n/a	n/a	640.00	4.0
COUGAR TRADING	044	V	B	5,000	73.95	n/a	16-Jul	250.00	5.0
COUGAR TRADING	044	V	S	10,000	73.03	n/a	16-Jul	500.00	5.0
TRELLUS PARTNERS LP	028	WB	C	100,000	11.97	n/a	n/a	5,000.00	5.0
SUNOVA CAPITAL	031	WDR	B	45,000	31.93	15-Jul	15-Jul	2,250.00	5.0
CAXTON PART	040	WFC	B	58,305	26.24	n/a	n/a	2,040.69	3.5
DIAMONDBACK CAP MGMT	232	WFC	SS	25,000	26.57	n/a	n/a	1,250.00	5.0
N STRATTON	014	WFSL	SS	200	16.60	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	401	WMT	S	7,610	56.91	30-Jun	11-Jul	304.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROARING BLUE LION MGMT	012	WM	SS	80,000	5.01	n/a	n/a	2,400.00	3.0
KORMAN	003	WSMSZ	S	50	11.60	n/a	n/a	0.00	0.0
KORMAN	003	WSMTX	B	100	3.36	n/a	n/a	0.00	0.0
SAC TRADING/BILLY	063	WYE	SS	25,000	47.59	n/a	31-Mar	1,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	YUM	B	50,000	33.85	17-Jul	17-Jul	2,000.00	4.0
COUGAR TRADING	044	ZQK	S	30,000	9.02	5-Feb	9-Jul	1,500.00	5.0
TOTAL (Trade Date):								197,743.33	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	AAPL	B	200	168.59	n/a	n/a	0.00	0.0
AO,CXL	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	AAPL	B	200	168.59	n/a	n/a	0.00	0.0
AO,CRT	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	ABX	B	1,000	51.52	n/a	n/a	0.00	0.0
AO,CXL	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	ABX	B	1,000	51.52	n/a	n/a	0.00	0.0
AO,CRT	07/15	SAB CAPITAL (SABCMORGAN)	034	AEO	B	150,000	12.60	6-Mar	16-Jul	7500.00	5.0
AO,CXL	07/15	SAB CAPITAL (SABCGOLDMA)	034	AEO	B	150,000	12.60	6-Mar	16-Jul	7500.00	5.0
AO,	07/15	MANNING & NAPIER (MANNCD1219)	034	BAC	S	145	19.16	n/a	14-Jul	4.35	3.0
AO,	07/15	MANNING & NAPIER (MANNGR5556)	034	BAC	S	930	19.16	n/a	14-Jul	27.90	3.0
AO,CXL	07/15	MANNING & NAPIER (MANNGR5556)	034	BAC	S	930	19.16	n/a	14-Jul	27.90	3.0
AO,CXL	07/15	MANNING & NAPIER (MANNEQ4440)	034	BAC	S	970	19.16	n/a	14-Jul	29.10	3.0
AO,CXL	07/15	MANNING & NAPIER (MANNCD1219)	034	BAC	S	145	19.16	n/a	14-Jul	4.35	3.0
AO,	07/15	MANNING & NAPIER (MANNEQ4440)	034	BAC	S	970	19.16	n/a	14-Jul	29.10	3.0
AO,	07/16	NORTHPOINT (NORP1267T)	030	CLDN	B	2,490	10.84	n/a	n/a	99.60	4.0
AO,CXL	07/16	NORTHPOINT (NORP1267T)	030	CLDN	B	2,490	10.84	n/a	n/a	99.60	4.0
AO,	07/16	MKT MAKER (MKT MAKER)	099	CLMS	S	100	15.56	15-Jul	15-Jul	0.00	0.0
AO,CXL	07/15	GRUSS CAPITAL (GRUS)	045	CPN	B	75,000	18.55	n/a	n/a	3000.00	4.0
AO,CRT	07/15	GRUSS CAPITAL (GRUS)	045	CPN	B	75,000	18.55	n/a	n/a	2250.00	3.0
AO,	07/16	GENERAL MOTORS INV CO (GMIC7MM2)	040	DRH	S	87,500	8.79	n/a	n/a	3500.00	4.0
AO,	07/16	MKT MAKER (MKT MAKER)	099	FOSL	S	200	24.50	n/a	9-Jul	0.00	0.0
AO,CRT	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	GG	B	1,000	51.80	n/a	n/a	0.00	0.0

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AO,CXL	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	GG	B	1,000	51.80	n/a	n/a	0.00 0.0
AO,CRT	07/15	SAB CAPITAL (SABCMORGAN)	034	GIL	B	67,600	22.92	30-Apr	9-Jul	3380.00 5.0
AO,CXL	07/15	SAB CAPITAL (SABCGOLDMA)	034	GIL	B	67,600	22.92	30-Apr	9-Jul	3380.00 5.0
AO,CRT	07/14	BARROW HANLEY MEWHINNEY (BARR)	096	GLD	B	500	95.50	n/a	n/a	0.00 0.0
AO,CXL	07/14	BARROW HANLEY MEWHINNEY (BARR)	096	GLD	B	500	95.50	n/a	n/a	0.00 0.0
AO,CRT	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	KGC	B	1,000	25.20	n/a	n/a	0.00 0.0
AO,CXL	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	KGC	B	1,000	25.20	n/a	n/a	0.00 0.0
AO,CRT	07/14	BARROW HANLEY MEWHINNEY (BARR)	096	NEM	B	500	51.91	n/a	n/a	0.00 0.0
AO,CXL	07/14	BARROW HANLEY MEWHINNEY (BARR)	096	NEM	B	500	51.91	n/a	n/a	0.00 0.0
AO,CRT	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	NEM	B	1,000	52.79	n/a	n/a	0.00 0.0
AO,CXL	07/15	BARROW HANLEY MEWHINNEY (BARR)	096	NEM	B	1,000	52.79	n/a	n/a	0.00 0.0
AO,	07/08	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	040	NWA	S	184,000	6.41	n/a	n/a	9200.00 5.0
AO,CXL	07/08	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	040	NWA	S	184,000	6.41	n/a	n/a	9200.00 5.0
AO,CRT	07/14	BARROW HANLEY MEWHINNEY (BARR)	096	PDFS	B	3,000	5.05	n/a	n/a	0.00 0.0
AO,CXL	07/14	BARROW HANLEY MEWHINNEY (BARR)	096	PDFS	B	3,000	5.05	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										2,750.00

TOTAL (Trade Date) :	197,743.33
TOTAL (AO, CXL, CRT) :	2,750.00

TOTAL (RUN DATE) / NFS:

200,493.33

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