



# Daily Compliance Activity Report

Trade Date: 03/16/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
	SUN AMERICA ASSET MGMT	030	AAPL	S	200	330.45	n/a	n/a	8.00	4.0
	SUN AMERICA ASSET MGMT	030	ADBE	S	3,600	31.94	n/a	n/a	144.00	4.0
f	DAVID GEORGE BUCK	FID	AIG	S	1500	35.71	n/a	n/a	0.00	0.0
	MA CAPITAL MGMT/MELLON ADV041	ALV	B	2,000	70.27	n/a	2-Feb	100.00	5.0	
	SCOPUS FUND	041	ANF	B	25,000	53.87	n/a	14-Mar	1,000.00	4.0
	SAC TRADING TOM LEDDY	035	ANN	B	20,000	27.84	n/a	n/a	700.00	3.5
	SAC CAP/ROSEN FOR BOBBY	044	ANSS	SS	25,000	51.60	n/a	n/a	875.00	3.5
	SURSUM CAPITAL	215	ARO	B	5,000	23.85	n/a	11-Mar	150.00	3.0
B	BUCK CAPITAL MGMT		ASNA	S	30,000	30.59	n/a	n/a	non-brg	4.0
	BMO NESBITT BURNS	041	AXL	B	25,000	12.85	n/a	9-Feb	0.00	0.0
	TRELLUS PARTNERS LP	028	AXL	C	27,930	12.86	n/a	9-Feb	1,396.50	5.0
B	BUCK CAPITAL MGMT		BBBY	B	30,000	45.39	n/a	n/a	non-brg	4.0
f	JOEL GIFFORD TISS	FID	BC	B	5000	23.74	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	BC	B	800	23.65	n/a	n/a	0.00	0.0
	RBC CAPITAL MARKETS	040	BHP	SS	35,000	86.42	n/a	n/a	1,400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		BID	B	23,000	43.64	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BX	B	1,400	15.86	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BX	B	15,200	15.86	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BX	B	2,000	15.86	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BX	B	4,700	15.86	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BX	B	500	15.86	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BX	B	600	15.86	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BX	B	7,600	15.86	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		CACH	B	5,200	4.50	n/a	n/a	non-brg 2.5
IMPALA ASSET MMT	012	CHRW	SS	9,900	71.28	n/a	n/a	495.00 5.0
HOTCHKIS & WILEY	035	CNW	S	180,000	36.64	n/a	n/a	9,000.00 5.0
ß BUCK CAPITAL MGMT		COH	S	100,000	50.87	n/a	26-Jan	non-brg 4.0
ß BUCK CAPITAL MGMT		COH	S	25,000	50.72	n/a	26-Jan	non-brg 4.0
ß BUCK CAPITAL MGMT		COH	S	25,000	50.75	n/a	26-Jan	non-brg 1.0
ß BUCK CAPITAL MGMT		CPKI	B	30,000	15.76	n/a	15-Mar	non-brg 2.5
DSG CAPITAL	012	CPKI	B	15,000	15.76	n/a	15-Mar	750.00 5.0
MILLRACE FUND LP	028	CPKI	B	15,000	15.75	n/a	15-Mar	600.00 4.0
WEINTRAUB CAPITAL MGT.	040	CPKI	B	28,770	15.76	n/a	15-Mar	1,150.80 4.0
IMPALA ASSET MMT	012	CP	SS	4,400	62.67	n/a	n/a	220.00 5.0
BMO NESBITT BURNS	041	CRI	S	2,500	27.92	n/a	n/a	0.00 0.0
IMPALA ASSET MMT	012	CSX	B	3,000	74.55	n/a	n/a	150.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CVS	B	100,000	32.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CVS	B	25,000	33.02	n/a	n/a	non-brg	1.0
FINDLAY PARK PART	291	C	B	610,000	4.42	n/a	16-Mar	30,500.00	5.0
RBC CAPITAL MARKETS	040	DAL	B	25,000	10.18	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	266	DCOM	S	1,947	14.39	n/a	n/a	77.88	4.0
B BUCK CAPITAL MGMT		DIA	C	21,045	115.85	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DRI	C	20,000	46.17	n/a	2-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		DSW	B	45,000	38.81	n/a	11-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		DSW	B	50,000	38.69	n/a	11-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		DSW	B	55,000	38.75	n/a	11-Feb	non-brg	4.0
SCOPUS FUND	041	DSW	B	10,000	39.16	n/a	11-Feb	400.00	4.0
B BUCK CAPITAL MGMT		EAT	C	40,000	24.15	n/a	26-Jan	non-brg	4.0
f KAREN F LEDDY	FID	EGO	B	1000	15.31	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	EMC	S	5,200	25.33	n/a	n/a	208.00	4.0
ROYCE TRADING	012	FINL	B	87,000	17.62	n/a	1-Mar	4,350.00	5.0
SUN AMERICA ASSET MGMT	030	FNSR	B	3,200	23.16	n/a	n/a	128.00	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	9822	1.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAVU CAP ADV	028	F	B	25,000	14.14	n/a	2-Mar	1,250.00	5.0
IMPALA ASSET MMT	012	F	B	10,000	14.61	n/a	2-Mar	300.00	3.0
OZ MGMT	040	F	B	809,228	14.27	n/a	2-Mar	24,276.84	3.0
ROSEDALE CAPITAL	046	F	B	50,000	14.26	n/a	2-Mar	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>B</b>	<b>30,000</b>	<b>44.33</b>	<b>n/a</b>	<b>20-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>B</b>	<b>45,100</b>	<b>42.13</b>	<b>n/a</b>	<b>20-Jan</b>	<b>non-brg</b>	<b>1.0</b>
OZ MGMT	040	GM	S	183,379	31.88	n/a	2-Mar	5,501.37	3.0
RBC CAPITAL MARKETS	040	GM	SS	50,000	31.57	n/a	2-Mar	2,000.00	4.0
SURSUM CAPITAL	215	GPS	B	5,000	21.41	n/a	n/a	150.00	3.0
FINDLAY PARK PART	291	GS	B	30,500	155.37	n/a	14-Mar	1,525.00	5.0
AVESTA CAP	229	HD	SS	200,000	35.75	n/a	22-Feb	6,000.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>HL</b>	<b>B</b>	<b>1500</b>	<b>8.32</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>HON</b>	<b>B</b>	<b>100</b>	<b>54.59</b>	<b>n/a</b>	<b>10-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HSIC</b>	<b>S</b>	<b>2000</b>	<b>65.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	IR	B	56,200	45.38	n/a	4-Mar	1,686.00	3.0
PORTER-ORLIN	044	IWM	SS	105,000	78.74	n/a	n/a	5,250.00	5.0
HUNTER GLOBAL INVESTOR	028	JCI	S	226,060	39.51	n/a	20-Jan	11,303.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>B</b>	<b>20,000</b>	<b>41.49</b>	<b>n/a</b>	<b>3-Mar</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f BARRY JONAS</b>	<b>FID</b>	<b>KEG</b>	<b>B</b>	<b>750</b>	<b>15.13</b>	<b>n/a</b>	<b>24-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>B</b>	<b>1,400</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>B</b>	<b>15,500</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>B</b>	<b>2,100</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>B</b>	<b>4,200</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>B</b>	<b>500</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>B</b>	<b>6,700</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>B</b>	<b>600</b>	<b>15.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
IMPALA ASSET MMT	012	KSU	S	3,006	50.78	n/a	n/a	150.30	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>LEA</b>	<b>B</b>	<b>5,000</b>	<b>95.51</b>	<b>n/a</b>	<b>2-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>LEA</b>	<b>B</b>	<b>75</b>	<b>96.76</b>	<b>n/a</b>	<b>2-Feb</b>	<b>0.00</b>	<b>0.0</b>
MATRIX ASSET ADV.	091	MET	B	3,000	42.76	n/a	n/a	120.00	4.0
IMPALA ASSET MMT	012	MMYT	S	5,900	24.99	n/a	n/a	236.00	4.0
MERRILL ASSET/BLACKROCK	266	MNKD	B	25,000	3.75	n/a	n/a	1,000.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MO</b>	<b>S</b>	<b>3000</b>	<b>24.24</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>MRK</b>	<b>S</b>	<b>2500</b>	<b>31.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	MSFT	B	30,000	24.99	n/a	n/a	1,500.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>B</b>	<b>1,300</b>	<b>7.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>B</b>	<b>1,800</b>	<b>7.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MSSR	B	100	7.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	B	2,100	7.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	B	2,800	7.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	B	20,400	7.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	B	600	7.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	B	900	7.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MTG	B	65,000	7.90	n/a	n/a	non-brg	3.0
f KAREN F LEDDY	FID	MWA	S	4000	3.90	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	M	B	50,000	23.02	n/a	3-Mar	2,500.00	5.0
SUN AMERICA ASSET MGMT	030	OCLR	B	4,400	12.20	n/a	n/a	176.00	4.0
ß BUCK CAPITAL MGMT		OZM	B	1,100	15.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	1,800	15.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	100	15.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	200	15.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	4,300	15.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	400	15.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	600	15.38	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	PCH	B	250	37.64	n/a	9-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		PERY	B	10,400	25.59	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	PFE	B	1500	19.18	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	PH	B	200	86.28	n/a	21-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
<b>B</b> BUCK CAPITAL MGMT		<b>PIR</b>	<b>B</b>	<b>55,000</b>	<b>9.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 3.0</b>
SENATOR INVESTMENT GROUP	036	PKI	B	25,000	25.80	n/a	n/a	750.00 3.0
BMO NESBITT BURNS	041	PLCE	B	2,500	47.00	n/a	9-Mar	0.00 0.0
<b>B</b> BUCK CAPITAL MGMT		<b>PLCE</b>	<b>S</b>	<b>15,347</b>	<b>47.16</b>	<b>n/a</b>	<b>9-Mar</b>	<b>non-brg 4.0</b>
ROYCE TRADING	012	PLCE	B	33,000	47.12	n/a	9-Mar	1,650.00 5.0
THIRD COAST CAPITAL	035	PLCE	B	10,000	47.73	n/a	9-Mar	500.00 5.0
SAC CAP/ROSEN FOR BOBBY	044	PRX	B	35,000	29.28	n/a	16-Mar	1,225.00 3.5
IMPALA ASSET MMT	012	QCOM	S	5,000	51.03	n/a	n/a	250.00 5.0
<b>f</b> JOHN BARTMAN COLE	<b>FID</b>	<b>RRR</b>	<b>S</b>	<b>500</b>	<b>13.70</b>	<b>n/a</b>	<b>12-Jan</b>	<b>0.00 0.0</b>
IRIDIAN ASSET MGMT.	036	RTN	B	56,240	49.96	n/a	15-Feb	2,812.00 5.0
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>RUE</b>	<b>S</b>	<b>150</b>	<b>30.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
COHE & STEERS	041	RYN	S	50,000	60.39	n/a	26-Jan	2,000.00 4.0
ELM RIDGE ADVISORS	044	RYN	S	100	60.46	n/a	26-Jan	4.00 4.0
<b>B</b> BUCK CAPITAL MGMT		<b>R</b>	<b>B</b>	<b>5,000</b>	<b>47.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 1.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>SBUX</b>	<b>B</b>	<b>1500</b>	<b>35.01</b>	<b>n/a</b>	<b>10-Mar</b>	<b>0.00 0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>SCS</b>	<b>B</b>	<b>30,000</b>	<b>9.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 3.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>SDS</b>	<b>B</b>	<b>1080</b>	<b>22.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	SDS	S	1080	22.83	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SFLY	B	20,000	40.39	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SIG	B	20,000	41.70	n/a	n/a	non-brg	2.5
	DE SHAW	070	SLE	B	70,000	16.78	n/a	n/a	2,100.00	3.0
f	JASON ERIC COHEN	FID	SNCR	B	1	7.70	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SPY	C	19,300	125.75	n/a	n/a	non-brg	2.0
f	JONATHAN RICHARD HAR	FID	SWN	B	375	40.00	n/a	25-Feb	0.00	0.0
	BALLAST CAP	040	SY	B	11,000	27.58	n/a	n/a	550.00	5.0
	WALKER SMITH	031	S	B	100,000	4.97	n/a	n/a	4,000.00	4.0
f	KATHERINE L O'GORMAN	FID	TBT	S	700	35.98	n/a	n/a	0.00	0.0
f	KEVIN MICHAEL O'GORM	FID	TBT	S	1000	36.05	n/a	n/a	0.00	0.0
	DELTEC ASSET MGMT.	040	TEL	B	10,000	33.65	n/a	n/a	500.00	5.0
	IMPALA ASSET MMT	012	TPX	B	5,000	48.87	n/a	n/a	250.00	5.0
	S.A.C. HEALTHCARE BOBBY	044	UAM	B	13,500	21.30	n/a	n/a	472.50	3.5
f	JONATHAN RICHARD HAR	FID	URRE	S	445	1.48	n/a	n/a	0.00	0.0
	CAXTON PART	040	UTX	B	12,933	79.51	n/a	n/a	452.68	3.5



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BUCK CAPITAL MGMT		VRA	C	10,000	36.15	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	V	B	1500	70.86	n/a	7-Mar	0.00	0.0
CASTLEROCK	040	WMT	B	145,878	51.40	n/a	22-Feb	5,835.12	4.0
BUCK CAPITAL MGMT		XLFX	C	150,000	15.84	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		XRT	C	50,000	48.00	n/a	n/a	non-brg	2.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	51.14	n/a	3-Feb	2,500.00	5.0
TOTAL (Trade Date):							147,578.99		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/15	BMO NESBITT BURNS	041	BWS	B	14,000	11.06	n/a	n/a	1400.00 0.0
AO,CXL	03/15	BMO NESBITT BURNS	041	BWS	B	14,000	11.06	n/a	n/a	0.00 0.0
AO,CRT	03/15	MERRILL ASSET/BLACKROCK	266	MNKD	B	160,000	3.71	n/a	n/a	4800.00 3.0
AO,CXL	03/15	MERRILL ASSET/BLACKROCK	266	MNKD	B	160,000	3.71	n/a	n/a	6400.00 4.0
AO,CRT	03/15	BALLAST CAP	040	MON	B	15,500	67.94	n/a	7-Feb	775.00 5.0
AO,CXL	03/15	BALLAST CAP	040	MON	B	15,500	67.94	n/a	7-Feb	0.00 0.0
AO,CRT	03/15	SCOPUS FUND	041	PVH	S	44,400	59.49	n/a	1-Feb	1776.00 4.0
AO,CXL	03/15	SCOPUS FUND	041	PVH	S	44,400	59.49	n/a	1-Feb	1776.00 4.0
AO,CXL	03/15	SCOPUS FUND	041	RKT	B	28,032	65.00	n/a	n/a	1121.28 4.0
AO,CRT	03/15	SCOPUS FUND	041	RKT	B	28,032	65.00	n/a	n/a	1121.28 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>575.00</b>
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TOTAL (Trade Date):	147,578.99
TOTAL (AO, CXL, CRT):	575.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>148,153.99</b>
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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 16-Mar.  
NONE

MRI Securities without Trade Activity on 16-Mar.  
IFF, ENDP, LULU

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)