



# Daily Compliance Activity Report

Trade Date: 04/28/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	AET	S	26,000	41.81	n/a	n/a	1,300.00	5.0
STATE TEACHERS RET SYS	047	AKAM	B	60,000	35.00	n/a	n/a	3,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>S</b>	<b>20,000</b>	<b>71.54</b>	<b>n/a</b>	<b>6-Apr</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ANR	B	30,000	56.36	n/a	n/a	1,200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARCO</b>	<b>B</b>	<b>20,000</b>	<b>22.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TRAFELET & COMP.	028	ATML	SS	200,000	15.18	n/a	n/a	6,000.00	3.0
STATE TEACHERS RET SYS	047	AVB	S	3,000	128.58	n/a	n/a	150.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>AVP</b>	<b>S</b>	<b>100</b>	<b>29.51</b>	<b>n/a</b>	<b>18-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>BBEP</b>	<b>B</b>	<b>93</b>	<b>21.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC COHEN	044	BBY	S	60,000	30.59	n/a	n/a	2,100.00	3.5
STATE TEACHERS RET SYS	047	BFS	S	5,000	43.28	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	BTU	B	10,000	64.81	n/a	n/a	400.00	4.0
STATE TEACHERS RET SYS	047	BXP	S	3,000	103.00	n/a	n/a	150.00	5.0
AVESTA CAP	229	CAT	S	50,000	111.63	n/a	12-Apr	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>CBK</b>	<b>SS</b>	<b>33,700</b>	<b>6.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CBK</b>	<b>SS</b>	<b>39,900</b>	<b>6.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
CATAPULT	040	CLD	S	25,000	19.88	n/a	n/a	1,000.00	4.0
SHUMWAY CAPITAL	029	CLR	S	25,000	67.12	n/a	n/a	1,000.00	4.0
MILLENNIUM-ANDEW	031	CMI	S	15,000	118.97	n/a	27-Apr	900.00	6.0
MILLRACE FUND LP	028	CPKI	B	5,000	16.02	n/a	11-Apr	200.00	4.0
STATE TEACHERS RET SYS	047	CTXS	S	25,000	85.33	n/a	n/a	1,250.00	5.0
<b>f</b> JENNIFER CORWIN GLIC	<b>FID</b>	<b>C</b>	<b>S</b>	<b>2700</b>	<b>4.48</b>	<b>n/a</b>	<b>18-Apr</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	DCT	S	10,000	5.82	n/a	n/a	500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>DECK</b>	<b>B</b>	<b>50,000</b>	<b>86.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>DG</b>	<b>SS</b>	<b>10,000</b>	<b>33.06</b>	<b>n/a</b>	<b>22-Mar</b>	<b>300.00</b>	<b>3.0</b>
STATE TEACHERS RET SYS	047	DLR	S	10,000	59.50	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	DOW	B	43,648	40.49	n/a	28-Apr	1,745.92	4.0
STATE TEACHERS RET SYS	047	DRH	S	10,000	12.15	n/a	n/a	500.00	5.0
STATE TEACHERS RET SYS	047	DTV	B	50,000	48.20	n/a	n/a	2,500.00	5.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>DVY</b>	<b>B</b>	<b>1000</b>	<b>53.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	EQY	S	15,000	19.75	n/a	n/a	750.00	5.0
STATE TEACHERS RET SYS	047	ESS	S	3,000	136.29	n/a	n/a	150.00	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>EWJ</b>	<b>S</b>	<b>2100</b>	<b>10.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC COHEN	044	EXPE	B	100,000	24.45	n/a	n/a	3,500.00	3.5
ROYCE TRADING	012	FINL	B	19,000	21.42	n/a	25-Mar	950.00	5.0
<b>f JENNIFER CORWIN GLIC</b>	<b>FID</b>	<b>FL</b>	<b>S</b>	<b>500</b>	<b>21.77</b>	<b>n/a</b>	<b>3-Mar</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	FNSR	B	65,000	27.31	n/a	n/a	3,250.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>FOR</b>	<b>S</b>	<b>30,700</b>	<b>19.77</b>	<b>n/a</b>	<b>14-Apr</b>	<b>non-brg</b>	<b>2.0</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>FTR</b>	<b>B</b>	<b>455</b>	<b>8.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	F	SS	50,000	15.49	n/a	27-Apr	1,500.00	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>13,100</b>	<b>42.80</b>	<b>n/a</b>	<b>25-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>16,900</b>	<b>42.92</b>	<b>n/a</b>	<b>25-Apr</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>24,000</b>	<b>42.98</b>	<b>n/a</b>	<b>25-Apr</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>13,500</b>	<b>37.14</b>	<b>n/a</b>	<b>25-Apr</b>	<b>non-brg</b>	<b>4.0</b>
MERCHANTS GATE CAP LP	036	GLT	SS	15,000	13.56	n/a	n/a	600.00	4.0
CIRCLE T/SES PART	033	GM	SS	10,000	31.80	n/a	13-Apr	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	GNC	S	29,600	19.08	n/a	n/a	1,184.00	4.0
SONTERRA CAP	041	GPC	SS	10,000	53.73	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>SS</b>	<b>10,000</b>	<b>23.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GRT</b>	<b>B</b>	<b>4000</b>	<b>9.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARMATURE CAPITAL	041	GT	S	50,000	16.15	n/a	n/a	2,000.00	4.0
SONTERRA CAP	041	HAS	SS	6,800	46.34	n/a	n/a	272.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>45,000</b>	<b>32.95</b>	<b>n/a</b>	<b>21-Apr</b>	<b>non-brg</b>	<b>4.0</b>
COBALT	041	HK	B	100,000	26.50	n/a	n/a	4,000.00	4.0
WADDELL AND REED	047	HON	S	324,500	61.13	n/a	25-Apr	12,980.00	4.0
STATE TEACHERS RET SYS	047	HPQ	S	50,000	40.89	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	ILMN	B	147,785	70.90	n/a	n/a	5,911.40	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	45,000	30.77	28-Apr	28-Apr	2,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	75,000	31.11	28-Apr	28-Apr	3,750.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	S	4,000	30.61	28-Apr	28-Apr	200.00	5.0
SCHOTTENFELD ASSOC	041	IP	S	15,000	30.56	28-Apr	28-Apr	450.00	3.0
SCOPUS FUND	041	IR	S	63,116	50.75	n/a	25-Apr	2,524.64	4.0
DELTEC ASSET MGMT.	040	JCI	B	10,000	41.04	n/a	26-Apr	500.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b>	<b>JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>JCI</b>	<b>S</b>	<b>375</b>	<b>40.96</b>	<b>n/a</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>
	RIDGECREST INV MGMT LLC	028	KBR	S	7,500	38.26	n/a	n/a	375.00	5.0
	COUGAR TRADING	044	KMT	B	10,000	42.82	n/a	28-Jan	500.00	5.0
	COUGAR TRADING	044	KMT	S	10,000	42.09	n/a	28-Jan	500.00	5.0
	MA CAPITAL MGMT/MELLON ADV	041	KSS	SS	2,000	53.14	n/a	8-Apr	100.00	5.0
	SCOPUS FUND	041	KSS	SS	50,000	53.09	n/a	8-Apr	2,000.00	4.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>B</b>	<b>500,000</b>	<b>6.24</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>3.0</b>
	JMP ASSET MGMT	210	LIZ	B	45,000	6.36	n/a	7-Oct	1,800.00	4.0
	THE JAY GOLDMAN	028	MAR	B	10,000	35.38	n/a	21-Apr	400.00	4.0
<b>f</b>	<b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MHS</b>	<b>S</b>	<b>2000</b>	<b>60.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b>	<b>KAREN F LEDDY</b>	<b>FID</b>	<b>MS</b>	<b>S</b>	<b>800</b>	<b>25.69</b>	<b>n/a</b>	<b>21-Apr</b>	<b>0.00</b>	<b>0.0</b>
	THRIVENT ASSET MGMT	030	MS	S	59,391	25.90	n/a	21-Apr	2,375.64	4.0
	MA CAPITAL MGMT/MELLON ADV	041	MWV	B	2,000	33.88	n/a	27-Apr	60.00	3.0
	MA CAPITAL MGMT/MELLON ADV	041	MWV	S	2,000	33.95	n/a	27-Apr	60.00	3.0
	MA CAPITAL MGMT/MELLON ADV	041	M	B	4,000	24.28	n/a	8-Apr	200.00	5.0
	CR INTRINIC INVESTMENT	044	NEM	SS	25,000	58.73	n/a	n/a	875.00	3.5
	STATE TEACHERS RET SYS	047	OFC	S	25,000	35.52	n/a	n/a	1,250.00	5.0
	TALPION LLC	040	OMX	S	25,000	11.00	n/a	n/a	1,000.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	REUBEN D DVORETSKY	FID	PDLI	S	600	6.34	n/a	n/a	0.00	0.0	
f	DAVID GEORGE BUCK	FID	PFE	B	1000	20.72	n/a	n/a	0.00	0.0	
	NEUBERGER BERMAN	036	PFE	S	200,000	20.78	n/a	n/a	8,000.00	4.0	
	STATE TEACHERS RET SYS	047	PKY	S	5,000	17.95	n/a	n/a	250.00	5.0	
	ROYCE TRADING	012	PLCE	B	42,500	54.19	n/a	9-Mar	2,125.00	5.0	
f	ALICE BEEBE LONGLEY	FID	PTTDX	B	9074	11.02	n/a	n/a	0.00	0.0	
B	BUCK CAPITAL MGMT		PVH	S	30,000	71.06	n/a	25-Apr	non-brg	4.0	
	CR INTRINIC INVESTMENT	044	QQQ	B	25,000	58.97	n/a	n/a	875.00	3.5	
	WEISS PECK	040	QQQ	C	6,600	59.21	n/a	n/a	198.00	3.0	
	ENTRUST CAPITAL	040	RHI	B	19,000	30.40	n/a	n/a	950.00	5.0	
	DSG CAPITAL	012	RRR	B	20,000	12.93	n/a	26-Apr	600.00	3.0	
f	KAREN F LEDDY	FID	RRR	S	1000	13.19	n/a	26-Apr	0.00	0.0	
f	JONATHAN RICHARD HAR	FID	SBUX	S	220	36.78	n/a	28-Apr	0.00	0.0	
B	BUCK CAPITAL MGMT		SFLY	S	10,000	64.55	n/a	n/a	non-brg	1.0	
B	BUCK CAPITAL MGMT		SFLY	S	17,500	63.15	n/a	n/a	non-brg	4.0	
	WEDBUSH/PACIFIC GROWTH EQTY LLC084	SKX		B	7,500	19.27		n/a	n/a	375.00	5.0
	STATE TEACHERS RET SYS	047	SLG	S	3,000	84.03	n/a	n/a	150.00	5.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>SMRT</b>	<b>S</b>	<b>1500</b>	<b>10.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	SPG	S	10,000	114.75	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>SS</b>	<b>20,000</b>	<b>19.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NEW YORK LEDDY	035	S	B	40,000	5.07	n/a	n/a	1,600.00	4.0
ROTHSCHILD ASSET	040	TER	B	61,719	15.74	n/a	n/a	2,468.76	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TFM</b>	<b>B</b>	<b>70,000</b>	<b>42.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>f JENNIFER CORWIN GLIC</b>	<b>FID</b>	<b>TFM</b>	<b>B</b>	<b>200</b>	<b>41.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TFM</b>	<b>B</b>	<b>45</b>	<b>42.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TALPION LLC	040	TFM	S	20,000	42.39	n/a	n/a	800.00	4.0
<b>f JENNIFER CORWIN GLIC</b>	<b>FID</b>	<b>TGT</b>	<b>S</b>	<b>200</b>	<b>50.64</b>	<b>n/a</b>	<b>8-Apr</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	TGT	S	59,865	50.21	n/a	8-Apr	2,394.60	4.0
NEUBERGER BERMAN	036	TISI	S	11,400	24.87	n/a	n/a	456.00	4.0
<b>f COLE THOMAS KAICHER</b>	<b>FID</b>	<b>TIVO</b>	<b>B</b>	<b>900</b>	<b>9.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	TJX	S	40,000	53.65	n/a	8-Apr	2,000.00	5.0
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>TLT</b>	<b>S</b>	<b>49</b>	<b>93.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	TMO	S	24,800	59.98	n/a	n/a	1,240.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TNA	B	10,000	93.03	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	TRS	B	51,820	23.71	n/a	n/a	2,072.80	4.0
SCHOTTENFELD ASSOC	041	TYC	S	20,000	48.58	28-Apr	28-Apr	600.00	3.0
SHUMWAY CAPITAL	029	T	C	98,000	31.41	n/a	n/a	3,920.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>31.33</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>20,000</b>	<b>31.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>UVE</b>	<b>B</b>	<b>370</b>	<b>5.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	VNO	S	3,000	96.01	n/a	n/a	150.00	5.0
STATE TEACHERS RET SYS	047	VOD	B	50,000	28.81	n/a	n/a	2,500.00	5.0
STATE TEACHERS RET SYS	047	VTR	S	5,000	56.80	n/a	n/a	250.00	5.0
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>VZ</b>	<b>S</b>	<b>84</b>	<b>38.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>WBC</b>	<b>S</b>	<b>1000</b>	<b>72.25</b>	<b>n/a</b>	<b>11-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>WBC</b>	<b>S</b>	<b>400</b>	<b>72.53</b>	<b>n/a</b>	<b>11-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WERN</b>	<b>S</b>	<b>15,000</b>	<b>26.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WERN</b>	<b>S</b>	<b>5,000</b>	<b>25.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WFMI</b>	<b>SS</b>	<b>20,000</b>	<b>62.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	WY	B	10,000	23.73	n/a	14-Apr	500.00	5.0
SACC-SCHWARTZ	044	XLI	B	50,000	38.47	n/a	n/a	1,750.00	3.5



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> <b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ZMH</b>	<b>S</b>	<b>1000</b>	<b>65.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	ZMH	B	23,690	64.99	n/a	n/a	947.60	4.0
<b>f</b> <b>JONATHAN RICHARD HAR</b>	<b>FID</b>		<b>B</b>	<b>905</b>	<b>22.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>126,136.36</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/27	ELM RIDGE ADVISORS	044	IP	S	1,500	29.99	28-Apr	28-Apr	60.00 4.0
AO,CRT	04/27	SIGMA CAPITAL ASSOCIATES	041	JWN	S	25,000	48.17	n/a	13-Apr	875.00 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>935.00</b>

TOTAL (Trade Date):	126,136.36
TOTAL (AO, CXL, CRT):	935.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>127,071.36</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 28-Apr.

IP, TYC

MRI Securities without Trade Activity on 28-Apr.

SHPGY

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

T-Date = 1%

YTD = 4%

<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)