



## Daily Compliance Activity Report

Trade Date: 10/07/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	133	375.55	n/a	n/a	5.32	4.0
BESSEMER INVESTMENT	085	ACE	S	540	61.36	n/a	n/a	21.60	4.0
BESSEMER INVESTMENT	085	ADM	S	12,935	25.58	n/a	23-Sep	517.40	4.0
BESSEMER INVESTMENT	085	AXP	S	6,112	43.83	n/a	7-Oct	244.48	4.0
PARKWEST	084	BEAV	SS	50,000	32.37	n/a	7-Oct	2,000.00	4.0
MA CAPITAL MGMT/MELLON ADV041		BIG	B	4,400	34.47	n/a	25-Aug	220.00	5.0
BESSEMER INVESTMENT	085	BMJ	S	1,000	32.36	n/a	n/a	40.00	4.0
MERRILL ASSET/BLACKROCK	297	BOH	B	6,800	36.37	n/a	n/a	272.00	4.0
SURVEYOR CAPITAL	041	BWS	S	64,683	7.56	n/a	n/a	1,940.49	3.0
CHART WELL ADV	028	CAKE	S	189,675	25.23	n/a	3-Oct	7,587.00	4.0
EPOCH INV MGMT	030	CAM	S	1,900	45.92	n/a	n/a	57.00	3.0
PRIMECAP MGMT	084	CAM	B	8,000	45.20	n/a	n/a	320.00	4.0
MERRILL ASSET/BLACKROCK	297	CFR	B	3,300	46.34	n/a	n/a	132.00	4.0
MACQUARIE INVESTMENT MGMT. 040		CLB	SS	2,500	92.15	n/a	21-Jul	0.00	0.0
TALPION LLC	040	CLGX	B	25,000	10.53	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOLLIS CAPITAL	033	CNX	B	4,000	36.02	n/a	n/a	200.00	5.0
MERRILL ASSET/BLACKROCK	297	COG	S	17,900	64.27	n/a	27-Sep	716.00	4.0
EPOCH INV MGMT	030	COL	S	1,450	55.26	n/a	7-Oct	43.50	3.0
CATAPULT	040	COP	SS	4,828	64.46	n/a	n/a	193.12	4.0
CATAPULT	040	COP	S	20,172	64.47	n/a	n/a	806.88	4.0
Õ Nilsa Vazquez		CRSU	S	500	16.3200	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	DIS	S	764	32.18	n/a	n/a	30.56	4.0
BESSEMER INVESTMENT	085	ECL	S	807	50.49	n/a	28-Sep	32.28	4.0
MA CAPITAL MGMT/MELLON ADV	041	FDO	SS	2,800	52.68	n/a	29-Sep	140.00	5.0
EPOCH INV MGMT	030	FIS	S	3,150	24.86	n/a	n/a	94.50	3.0
BESSEMER INVESTMENT	085	GE	S	2,426	15.73	n/a	n/a	97.04	4.0
STRONG/MARK GRONET	030	GLBL	S	161,965	7.92	n/a	n/a	4,858.95	3.0
PRIMECAP MGMT	084	GLW	B	44,200	13.41	n/a	23-Sep	1,768.00	4.0
OZ MGMT	040	GM	SS	25,000	21.98	n/a	4-Oct	750.00	3.0
EPOCH INV MGMT	030	GPC	S	1,400	52.35	n/a	n/a	42.00	3.0
CASTLEROCK	040	GPI	SS	65,152	37.66	n/a	27-Jul	2,606.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	GPS	B	84,277	17.46	n/a	n/a	2,528.31	3.0
BESSEMER INVESTMENT	085	IP	S	1,331	24.53	n/a	6-Sep	53.24	4.0
BESSEMER INVESTMENT	085	JCI	S	763	29.43	n/a	5-Oct	30.52	4.0
BESSEMER INVESTMENT	085	JPM	S	809	32.24	n/a	7-Oct	32.36	4.0
BESSEMER INVESTMENT	085	KFT	S	512	33.62	n/a	n/a	20.48	4.0
DE SHAW	070	KSS	SS	45,000	50.67	n/a	7-Oct	1,350.00	3.0
BASIX	033	LIFE	S	48,100	36.87	n/a	n/a	1,443.00	3.0
MACQUARIE INVESTMENT MGMT.	040	LIFE	S	5,000	36.52	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	LIFE	B	20,000	36.80	n/a	n/a	800.00	4.0
HARVEST MGMT	029	LTD	S	5,000	40.72	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	LVL	S	3,660	1.64	n/a	n/a	146.40	4.0
BESSEMER INVESTMENT	085	MA	S	730	312.82	n/a	16-Sep	29.20	4.0
PRIMECAP MGMT	084	MDT	B	5,000	32.99	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	1,687	26.48	n/a	n/a	67.48	4.0
BNP PARIBAS SEC	040	NDN	S	30,000	20.07	n/a	16-Sep	1,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	NFG	B	5,000	52.88	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BESSEMER INVESTMENT	085	NOV	S	377	59.85	n/a	n/a	15.08	4.0	
EPOCH INV MGMT	030	NYX	S	3,300	24.58	n/a	n/a	99.00	3.0	
BESSEMER INVESTMENT	085	OXY	S	128	79.30	n/a	n/a	5.12	4.0	
BESSEMER INVESTMENT	085	PFE	S	1,824	18.48	n/a	n/a	72.96	4.0	
BESSEMER INVESTMENT	085	PG	S	521	64.15	n/a	29-Sep	20.84	4.0	
EPOCH INV MGMT	030	PRU	S	2,250	47.64	n/a	n/a	67.50	3.0	
BESSEMER INVESTMENT	085	QCOM	S	310	50.63	n/a	n/a	12.40	4.0	
TRUST CO OF THE WEST/NY	040	RGA	B	1,700	49.73	n/a	n/a	85.00	5.0	
TRUST CO/COWEN/CALF.	040	RGA	B	2,095	49.73	n/a	n/a	104.75	5.0	
BRONSON POINT	036	SOA	B	85,000	14.19	n/a	n/a	2,550.00	3.0	
ROARING BLUE LION MGMT	031	SSI	S	4,200	15.03	n/a	n/a	168.00	4.0	
BESSEMER INVESTMENT	085	STJ	S	609	37.28	n/a	n/a	24.36	4.0	
EPOCH INV MGMT	030	TRV	S	1,000	49.83	n/a	n/a	30.00	3.0	
NUVEEN - US BANCORP		030	VRX	B	52,127	35.89	n/a	n/a	2,345.73	4.5
EPOCH INV MGMT	030	V	S	1,800	86.85	n/a	24-Aug	54.00	3.0	
BESSEMER INVESTMENT	085	XOM	S	583	73.72	n/a	n/a	23.32	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	YHOO	S	6,050	15.65	n/a	n/a	181.50	3.0
<b>TOTAL (Trade Date):</b>								<b>40,996.75</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/06	SURVEYOR CAPITAL (SURVGSNY)	041	AA	B	20,367	9.79	n/a	n/a	611.01 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVGSNY)	041	AA	B	20,367	9.79	n/a	n/a	611.01 3.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	AGCO	SS	3,000	34.70	n/a	14-Sep	90.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	AGCO	SS	3,000	34.70	n/a	14-Sep	90.00 3.0
AO,CRT	10/06	CATAPULT (CATAML)	040	AVY	SS	5,000	26.29	n/a	6-Sep	200.00 4.0
AO,CXL	10/06	CATAPULT (CATAML)	040	AVY	SS	5,000	26.29	n/a	6-Sep	200.00 4.0
AO,CXL	10/06	COUGAR TRADING (COUGPB MS)	044	BA	S	5,000	60.96	n/a	6-Oct	250.00 5.0
AO,CRT	10/06	COUGAR TRADING (COUGPB MS)	044	BA	S	10,000	60.96	n/a	6-Oct	500.00 5.0
AO,CRT	10/06	ASCEND PARTNERS (ASCEMSIL)	033	BIG	B	7,139	34.30	n/a	25-Aug	214.17 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCEMSIL)	033	BIG	B	7,139	34.30	n/a	25-Aug	214.17 3.0
AO,CRT	10/06	ASCEND PARTNERS (ASCEBAML)	033	BIG	B	30,702	34.30	n/a	25-Aug	921.06 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCEBAML)	033	BIG	B	30,702	34.30	n/a	25-Aug	921.06 3.0
AO,CRT	10/06	ASCEND PARTNERS (ASCEDBAB)	033	BIG	B	33,671	34.30	n/a	25-Aug	1010.13 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCEDBAB)	033	BIG	B	33,671	34.30	n/a	25-Aug	1010.13 3.0
AO,CRT	10/06	ASCEND PARTNERS (ASCECITI)	033	BIG	B	1,740	34.30	n/a	25-Aug	52.20 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCECITI)	033	BIG	B	1,740	34.30	n/a	25-Aug	52.20 3.0
AO,CRT	10/06	ASCEND PARTNERS (ASCEMSPB)	033	BIG	B	76,748	34.30	n/a	25-Aug	2302.44 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCEMSPB)	033	BIG	B	76,748	34.30	n/a	25-Aug	2302.44 3.0
AO,CRT	10/06	WEISS PECK (PECKCBS)	040	BWS	B	3,800	7.50	n/a	n/a	152.00 4.0
AO,CXL	10/06	WEISS PECK (PECKCBS)	040	BWS	B	3,800	7.50	n/a	n/a	152.00 4.0
AO,CRT	10/06	WEISS PECK (PECKCELANE)	040	BWS	B	3,800	7.50	n/a	n/a	152.00 4.0
AO,CXL	10/06	WEISS PECK (PECKCELANE)	040	BWS	B	3,800	7.50	n/a	n/a	152.00 4.0
AO,CRT	10/06	WEISS PECK (PECKSIITSM)	040	BWS	B	8,800	7.50	n/a	n/a	352.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/06	WEISS PECK (PECKSIITSM)	040	BWS	B	8,800	7.50	n/a	n/a	352.00 4.0
AO,CRT	10/06	WEISS PECK (PECKFEDEXP)	040	BWS	B	34,200	7.50	n/a	n/a	1368.00 4.0
AO,CXL	10/06	WEISS PECK (PECKFEDEXP)	040	BWS	B	34,200	7.50	n/a	n/a	1368.00 4.0
AO,CRT	10/06	WEISS PECK (PECKSIMTSC)	040	BWS	B	3,900	7.50	n/a	n/a	156.00 4.0
AO,CXL	10/06	WEISS PECK (PECKSIMTSC)	040	BWS	B	3,900	7.50	n/a	n/a	156.00 4.0
AO,CRT	10/06	WEISS PECK (PECKPFA)	040	BWS	B	11,500	7.50	n/a	n/a	460.00 4.0
AO,CXL	10/06	WEISS PECK (PECKPFA)	040	BWS	B	11,500	7.50	n/a	n/a	460.00 4.0
AO,CRT	10/06	WEISS PECK (PECKQUALEX)	040	BWS	B	1,140	7.50	n/a	n/a	45.60 4.0
AO,CXL	10/06	WEISS PECK (PECKQUALEX)	040	BWS	B	1,140	7.50	n/a	n/a	45.60 4.0
AO,CRT	10/06	WEISS PECK (PECK453)	040	BWS	B	12,900	7.50	n/a	n/a	516.00 4.0
AO,CXL	10/06	WEISS PECK (PECK453)	040	BWS	B	12,900	7.50	n/a	n/a	516.00 4.0
AO,CRT	10/06	WEISS PECK (PECK454)	040	BWS	B	720	7.50	n/a	n/a	28.80 4.0
AO,CXL	10/06	WEISS PECK (PECK454)	040	BWS	B	720	7.50	n/a	n/a	28.80 4.0
AO,CRT	10/06	WEISS PECK (PECK448)	040	BWS	B	6,400	7.50	n/a	n/a	256.00 4.0
AO,CXL	10/06	WEISS PECK (PECK448)	040	BWS	B	6,400	7.50	n/a	n/a	256.00 4.0
AO,CRT	10/06	WEISS PECK (PECKSIMT)	040	BWS	B	13,060	7.50	n/a	n/a	522.40 4.0
AO,CXL	10/06	WEISS PECK (PECKSIMT)	040	BWS	B	13,060	7.50	n/a	n/a	522.40 4.0
AO,CRT	10/06	WEISS PECK (PECKSIIT)	040	BWS	B	8,900	7.50	n/a	n/a	356.00 4.0
AO,CXL	10/06	WEISS PECK (PECKSIIT)	040	BWS	B	8,900	7.50	n/a	n/a	356.00 4.0
AO,CRT	10/06	WEISS PECK (PECKKKPHOL)	040	BWS	B	820	7.50	n/a	n/a	32.80 4.0
AO,CXL	10/06	WEISS PECK (PECKKKPHOL)	040	BWS	B	820	7.50	n/a	n/a	32.80 4.0
AO,CRT	10/06	WEISS PECK (PECKTUDOR)	040	BWS	B	5,920	7.50	n/a	n/a	236.80 4.0
AO,CXL	10/06	WEISS PECK (PECKTUDOR)	040	BWS	B	5,920	7.50	n/a	n/a	236.80 4.0
AO,CXL	10/05	ACK ASSET (ACKAMS)	028	CMI	B	15,217	86.71	n/a	14-Sep	456.51 3.0
AO,CRT	10/05	ACK ASSET (ACKABEARPB)	028	CMI	B	15,217	86.71	n/a	14-Sep	456.51 3.0
AO,CRT	10/06	CATAPULT (CATADEUTCH)	040	CPX	B	9,100	20.59	n/a	n/a	364.00 4.0
AO,CXL	10/06	CATAPULT (CATADEUTCH)	040	CPX	B	9,100	20.59	n/a	n/a	364.00 4.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT (SYST21)	035	CROX	B	450	25.45	n/a	n/a	13.50 3.0

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AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT (SYST21)	035	CROX	B	450	25.45	n/a	n/a	13.50 3.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT (SYST6)	035	CROX	B	1,700	25.45	n/a	n/a	51.00 3.0
AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT (SYST6)	035	CROX	B	1,700	25.45	n/a	n/a	51.00 3.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT (SYST202)	035	CROX	B	1,150	25.45	n/a	n/a	34.50 3.0
AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT (SYST202)	035	CROX	B	1,150	25.45	n/a	n/a	34.50 3.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT (SYST167)	035	CROX	B	850	25.45	n/a	n/a	25.50 3.0
AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT (SYST167)	035	CROX	B	850	25.45	n/a	n/a	25.50 3.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT (SYST161)	035	CROX	B	650	25.45	n/a	n/a	19.50 3.0
AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT (SYST161)	035	CROX	B	650	25.45	n/a	n/a	19.50 3.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT (SYST157)	035	CROX	B	1,000	25.45	n/a	n/a	30.00 3.0
AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT (SYST157)	035	CROX	B	1,000	25.45	n/a	n/a	30.00 3.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT (SYST19)	035	CROX	B	23,750	25.45	n/a	n/a	712.50 3.0
AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT (SYST19)	035	CROX	B	23,750	25.45	n/a	n/a	712.50 3.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT (SYST111)	035	CROX	B	450	25.45	n/a	n/a	13.50 3.0
AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT (SYST111)	035	CROX	B	450	25.45	n/a	n/a	13.50 3.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	EXPD	SS	4,000	42.64	n/a	n/a	120.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	EXPD	SS	4,000	42.64	n/a	n/a	120.00 3.0
AO,CRT	10/06	MERCHANTS GATE CAP LP (MERGCSPB)	036	GLT	SS	24,000	13.85	n/a	n/a	960.00 4.0
AO,CXL	10/06	MERCHANTS GATE CAP LP (MERGCSPB)	036	GLT	SS	24,000	13.85	n/a	n/a	960.00 4.0
AO,CXL	10/06	OZ MGMT (OZFFJPMBS)	040	GM	SS	42,964	21.80	n/a	4-Oct	1288.92 3.0
AO,CXL	10/06	OZ MGMT (OZFFJPMBS)	040	GM	SS	1,802	21.80	n/a	4-Oct	54.06 3.0
AO,CRT	10/06	OZ MGMT (OZFFCSFB)	040	GM	SS	1,126	21.80	n/a	4-Oct	33.78 3.0
AO,CRT	10/06	OZ MGMT (OZFFCSFB)	040	GM	SS	1,419	21.80	n/a	4-Oct	42.57 3.0
AO,CXL	10/06	OZ MGMT (OZFFCSFB)	040	GM	SS	1,126	21.80	n/a	4-Oct	33.78 3.0
AO,CXL	10/06	OZ MGMT (OZFFCSFB)	040	GM	SS	1,419	21.80	n/a	4-Oct	42.57 3.0
AO,CRT	10/06	OZ MGMT (OZFFMS)	040	GM	SS	1,126	21.80	n/a	4-Oct	33.78 3.0
AO,CXL	10/06	OZ MGMT (OZFFMS)	040	GM	SS	1,126	21.80	n/a	4-Oct	33.78 3.0



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AO,CRT	10/06	OZ MGMT (OZFFJPMBS)	040	GM	SS	1,563	21.80	n/a	4-Oct	46.89 3.0
AO,CRT	10/06	OZ MGMT (OZFFJPMBS)	040	GM	SS	42,964	21.80	n/a	4-Oct	1288.92 3.0
AO,CRT	10/06	OZ MGMT (OZFFJPMBS)	040	GM	SS	1,802	21.80	n/a	4-Oct	54.06 3.0
AO,CXL	10/06	OZ MGMT (OZFFJPMBS)	040	GM	SS	1,563	21.80	n/a	4-Oct	46.89 3.0
AO,CRT	10/06	TRELLUS PARTNERS LP (TRELGS)	028	GM	SS	400	22.35	n/a	4-Oct	20.00 5.0
AO,CXL	10/06	TRELLUS PARTNERS LP (TRELGS)	028	GM	SS	400	22.35	n/a	4-Oct	20.00 5.0
AO,CRT	10/06	TRELLUS PARTNERS LP (TRELMAIN)	028	GM	SS	19,600	22.35	n/a	4-Oct	980.00 5.0
AO,CXL	10/06	TRELLUS PARTNERS LP (TRELMAIN)	028	GM	SS	19,600	22.35	n/a	4-Oct	980.00 5.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	HII	B	4,201	23.70	n/a	n/a	126.03 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	HII	B	4,201	23.70	n/a	n/a	126.03 3.0
AO,CRT	10/06	CATAPULT (CATAML)	040	HON	SS	5,000	44.51	n/a	7-Oct	200.00 4.0
AO,CXL	10/06	CATAPULT (CATAML)	040	HON	SS	5,000	44.51	n/a	7-Oct	200.00 4.0
AO,CRT	10/06	GREEN ARROW DOUG (GADRMLICS)	040	IFF	SS	5,000	57.68	n/a	6-Sep	250.00 5.0
AO,CXL	10/06	GREEN ARROW DOUG (GADRMLICS)	040	IFF	SS	5,000	57.68	n/a	6-Sep	250.00 5.0
AO,CRT	10/06	LEVIN CAPITAL STRATEGIES (LEVSMS)	041	LEA	S	35,000	43.80	n/a	5-Aug	1050.00 3.0
AO,CXL	10/06	LEVIN CAPITAL STRATEGIES (LEVSMS)	041	LEA	S	35,000	43.80	n/a	5-Aug	1050.00 3.0
AO,CRT	10/06	TALPION LLC (TALPGSPB)	040	MIDD	SS	3,758	73.21	n/a	14-Sep	150.32 4.0
AO,CXL	10/06	TALPION LLC (TALPGSPB)	040	MIDD	SS	3,758	73.21	n/a	14-Sep	150.32 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMVFUN)	084	MON	S	10,000	70.05	n/a	5-Oct	400.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMVFUN)	084	MON	S	10,000	70.05	n/a	5-Oct	400.00 4.0
AO,CRT	10/06	PILOT ADV (PILOCAMPBE)	041	MYL	B	500	17.06	n/a	7-Oct	15.00 3.0
AO,CXL	10/06	PILOT ADV (PILOCAMPBE)	041	MYL	B	500	17.06	n/a	7-Oct	15.00 3.0
AO,CRT	10/06	PILOT ADV (PILOPERSH)	041	MYL	B	94,500	17.06	n/a	7-Oct	2835.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/06	PILOT ADV (PILOPERSH)	041	MYL	B	94,500	17.06	n/a	7-Oct	2835.00 3.0
AO,CRT	10/06	BASSWOOD PARTNERS (BASWJPM)	267	NAV	B	7,782	33.54	n/a	14-Sep	311.28 4.0
AO,CXL	10/06	BASSWOOD PARTNERS (BASWJPM)	267	NAV	B	7,782	33.54	n/a	14-Sep	311.28 4.0
AO,CRT	10/06	BASSWOOD PARTNERS (BASWBNPPB)	267	NAV	B	3,818	33.54	n/a	14-Sep	152.72 4.0
AO,CXL	10/06	BASSWOOD PARTNERS (BASWBNPPB)	267	NAV	B	3,818	33.54	n/a	14-Sep	152.72 4.0
AO,CRT	10/06	MOORE CAPITAL (MOORUBS)	041	NDN	B	14,220	19.76	n/a	16-Sep	568.80 4.0
AO,CXL	10/06	MOORE CAPITAL (MOORUBS)	041	NDN	B	14,220	19.76	n/a	16-Sep	568.80 4.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	PCP	SS	1,110	152.20	n/a	22-Sep	33.30 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	PCP	SS	1,110	152.20	n/a	22-Sep	33.30 3.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVSCLDN)	041	PCP	SS	200	152.20	n/a	22-Sep	6.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVSCLDN)	041	PCP	SS	200	152.20	n/a	22-Sep	6.00 3.0
AO,CRT	10/06	AVESTA CAP (AVESDEUTS)	229	PEP	SS	9,000	59.87	n/a	n/a	270.00 3.0
AO,CRT	10/06	AVESTA CAP (AVESDEUTS)	229	PEP	SS	1,800	59.87	n/a	n/a	54.00 3.0
AO,CRT	10/06	AVESTA CAP (AVESDEUTS)	229	PEP	SS	35,680	59.87	n/a	n/a	1070.40 3.0
AO,CXL	10/06	AVESTA CAP (AVESDEUTS)	229	PEP	SS	9,000	59.87	n/a	n/a	270.00 3.0
AO,CXL	10/06	AVESTA CAP (AVESDEUTS)	229	PEP	SS	1,800	59.87	n/a	n/a	54.00 3.0
AO,CXL	10/06	AVESTA CAP (AVESDEUTS)	229	PEP	SS	35,680	59.87	n/a	n/a	1070.40 3.0
AO,CRT	10/06	AVESTA CAP (AVESGSUSE)	229	PEP	SS	53,520	59.87	n/a	n/a	1605.60 3.0
AO,CXL	10/06	AVESTA CAP (AVESGSUSE)	229	PEP	SS	53,520	59.87	n/a	n/a	1605.60 3.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	PHM	B	2,476	4.04	n/a	n/a	74.28 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	PHM	B	2,476	4.04	n/a	n/a	74.28 3.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVSCLDN)	041	PHM	B	22,400	4.04	n/a	n/a	672.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVSCLDN)	041	PHM	B	22,400	4.04	n/a	n/a	672.00 3.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	PLL	B	2,500	44.78	n/a	n/a	75.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	PLL	B	2,500	44.78	n/a	n/a	75.00 3.0

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AO,CRT	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	PPO	SS	1,000	56.23	n/a	n/a	30.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	PPO	SS	1,000	56.23	n/a	n/a	30.00 3.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMPBC)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMFVB)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMFVB)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMJON)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMJON)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMSMA6)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMSMA6)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMSMA4)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMSMA4)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMCON)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMCON)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMRKP2)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMRKP2)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMGMS)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMGMS)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMGMH)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMGMH)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMCAT)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMCAT)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMFOR)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMFOR)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMROA)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMROA)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMBAS)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMBAS)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMBUR)	084	PSS	S	100	13.94	n/a	n/a	4.00 4.0

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AO,CXL	10/06	PRIMECAP MGMT (PRIMBUR)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMNSC)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMNSC)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMGMC)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMGMC)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMCTX)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMCTX)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMNOR)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMNOR)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMCHE)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMCHE)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMJNJ)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CXL	10/06	PRIMECAP MGMT (PRIMJNJ)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CRT	10/06	PRIMECAP MGMT (PRIMPBC)	084	PSS	S	100	13.94	n/a	n/a	4.00	4.0
AO,CRT	10/06	BRONSON POINT (BRONMS)	036	RGC	SS	50,000	12.41	n/a	n/a	1500.00	3.0
AO,CXL	10/06	BRONSON POINT (BRONMS)	036	RGC	SS	50,000	12.41	n/a	n/a	1500.00	3.0
AO,CRT	10/06	CATAPULT (CATAML)	040	RKT	S	5,000	50.30	n/a	4-Aug	200.00	4.0
AO,CXL	10/06	CATAPULT (CATAML)	040	RKT	S	5,000	50.30	n/a	4-Aug	200.00	4.0
AO,CRT	10/06	WEISS PECK (PECKOPPVAL)	040	SDS	B	31,500	24.20	n/a	n/a	945.00	3.0
AO,CXL	10/06	WEISS PECK (PECKOPPVAL)	040	SDS	B	31,500	24.20	n/a	n/a	945.00	3.0
AO,CRT	10/06	KAM ADVISORS LLC (KAMAMS)	041	SU	SS	76,500	27.48	n/a	n/a	2295.00	3.0
AO,CXL	10/06	KAM ADVISORS LLC (KAMAMS)	041	SU	SS	76,500	27.48	n/a	n/a	2295.00	3.0
AO,CRT	10/06	BASSWOOD PARTNERS (BASWJPM)	267	TEX	B	5,792	11.93	n/a	14-Sep	231.68	4.0
AO,CXL	10/06	BASSWOOD PARTNERS (BASWJPM)	267	TEX	B	5,792	11.93	n/a	14-Sep	231.68	4.0
AO,CRT	10/06	BASSWOOD PARTNERS (BASWBNPPB)	267	TEX	B	2,908	11.93	n/a	14-Sep	116.32	4.0

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AO,CXL	10/06	BASSWOOD PARTNERS (BASWBNPPB)	267	TEX	B	2,908	11.93	n/a	14-Sep	116.32 4.0
AO,CRT	10/06	ASCEND PARTNERS (ASCEMSIL)	033	TGT	S	2,377	51.92	n/a	6-Oct	71.31 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCEMSIL)	033	TGT	S	2,377	51.92	n/a	6-Oct	71.31 3.0
AO,CRT	10/06	ASCEND PARTNERS (ASCEBAML)	033	TGT	S	10,233	51.92	n/a	6-Oct	306.99 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCEBAML)	033	TGT	S	10,233	51.92	n/a	6-Oct	306.99 3.0
AO,CRT	10/06	ASCEND PARTNERS (ASCEDBAB)	033	TGT	S	11,227	51.92	n/a	6-Oct	336.81 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCEDBAB)	033	TGT	S	11,227	51.92	n/a	6-Oct	336.81 3.0
AO,CRT	10/06	ASCEND PARTNERS (ASCECITI)	033	TGT	S	584	51.92	n/a	6-Oct	17.52 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCECITI)	033	TGT	S	584	51.92	n/a	6-Oct	17.52 3.0
AO,CRT	10/06	ASCEND PARTNERS (ASCEMSPB)	033	TGT	S	25,579	51.92	n/a	6-Oct	767.37 3.0
AO,CXL	10/06	ASCEND PARTNERS (ASCEMSPB)	033	TGT	S	25,579	51.92	n/a	6-Oct	767.37 3.0
AO,CRT	10/06	OZ MGMT (OZFFJPMBS)	040	TGT	S	312	51.30	n/a	6-Oct	9.36 3.0
AO,CRT	10/06	OZ MGMT (OZFFJPMBS)	040	TGT	S	8,592	51.30	n/a	6-Oct	257.76 3.0
AO,CRT	10/06	OZ MGMT (OZFFJPMBS)	040	TGT	S	360	51.30	n/a	6-Oct	10.80 3.0
AO,CXL	10/06	OZ MGMT (OZFFJPMBS)	040	TGT	S	312	51.30	n/a	6-Oct	9.36 3.0
AO,CXL	10/06	OZ MGMT (OZFFJPMBS)	040	TGT	S	8,592	51.30	n/a	6-Oct	257.76 3.0
AO,CXL	10/06	OZ MGMT (OZFFJPMBS)	040	TGT	S	360	51.30	n/a	6-Oct	10.80 3.0
AO,CRT	10/06	OZ MGMT (OZFFCSFB)	040	TGT	S	227	51.30	n/a	6-Oct	6.81 3.0
AO,CRT	10/06	OZ MGMT (OZFFCSFB)	040	TGT	S	284	51.30	n/a	6-Oct	8.52 3.0
AO,CXL	10/06	OZ MGMT (OZFFCSFB)	040	TGT	S	227	51.30	n/a	6-Oct	6.81 3.0
AO,CXL	10/06	OZ MGMT (OZFFCSFB)	040	TGT	S	284	51.30	n/a	6-Oct	8.52 3.0
AO,CRT	10/06	OZ MGMT (OZFFMS)	040	TGT	S	225	51.30	n/a	6-Oct	6.75 3.0
AO,CXL	10/06	OZ MGMT (OZFFMS)	040	TGT	S	225	51.30	n/a	6-Oct	6.75 3.0
AO,CRT	10/06	MERRILL ASSET/BLACKROCK (MERR44)	297	UPL	B	700	28.32	n/a	27-Sep	28.00 4.0
AO,CRT	10/06	MERRILL ASSET/BLACKROCK (MERR44)	297	UPL	B	1,400	28.14	n/a	27-Sep	56.00 4.0
AO,CXL	10/06	MERRILL ASSET/BLACKROCK (MERR44)	297	UPL	B	700	28.32	n/a	27-Sep	28.00 4.0
AO,CXL	10/06	MERRILL ASSET/BLACKROCK (MERR44)	297	UPL	B	1,400	28.14	n/a	27-Sep	56.00 4.0
AO,CRT	10/06	MERRILL ASSET/BLACKROCK (MERR3400)	297	UPL	B	2,200	28.32	n/a	27-Sep	88.00 4.0

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AO,CRT	10/06	MERRILL ASSET/BLACKROCK (MERR3400)	297	UPL	B	3,900	28.14	n/a	27-Sep	156.00 4.0
AO,CXL	10/06	MERRILL ASSET/BLACKROCK (MERR3400)	297	UPL	B	2,200	28.32	n/a	27-Sep	88.00 4.0
AO,CXL	10/06	MERRILL ASSET/BLACKROCK (MERR3400)	297	UPL	B	3,900	28.14	n/a	27-Sep	156.00 4.0
AO,CRT	10/06	AVESTA CAP (AVESDEUTS)	229	UTX	C	4,500	70.01	n/a	n/a	135.00 3.0
AO,CRT	10/06	AVESTA CAP (AVESDEUTS)	229	UTX	C	800	70.01	n/a	n/a	24.00 3.0
AO,CXL	10/06	AVESTA CAP (AVESDEUTS)	229	UTX	C	4,500	70.01	n/a	n/a	135.00 3.0
AO,CXL	10/06	AVESTA CAP (AVESDEUTS)	229	UTX	C	800	70.01	n/a	n/a	24.00 3.0
AO,CRT	10/06	AVESTA CAP (AVESGSUSE)	229	UTX	C	44,700	70.01	n/a	n/a	1341.00 3.0
AO,CXL	10/06	AVESTA CAP (AVESGSUSE)	229	UTX	C	44,700	70.01	n/a	n/a	1341.00 3.0
AO,CRT	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	WMT	SS	5,716	52.47	n/a	25-Aug	171.48 3.0
AO,CXL	10/06	SURVEYOR CAPITAL (SURVCDRGS)	041	WMT	SS	5,716	52.47	n/a	25-Aug	171.48 3.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFSOCALE)	040	YUM	B	1,100	48.89	n/a	5-Oct	44.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFSOCALE)	040	YUM	B	1,100	48.89	n/a	5-Oct	44.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFRIFM)	040	YUM	B	600	48.89	n/a	5-Oct	24.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFRIFM)	040	YUM	B	600	48.89	n/a	5-Oct	24.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFOMNI)	040	YUM	B	300	48.89	n/a	5-Oct	12.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFOMNI)	040	YUM	B	300	48.89	n/a	5-Oct	12.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFKPL)	040	YUM	B	3,200	48.89	n/a	5-Oct	128.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFKPL)	040	YUM	B	3,200	48.89	n/a	5-Oct	128.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFFRTC)	040	YUM	B	700	48.89	n/a	5-Oct	28.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFFRTC)	040	YUM	B	700	48.89	n/a	5-Oct	28.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFILGWU)	040	YUM	B	200	48.89	n/a	5-Oct	8.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFILGWU)	040	YUM	B	200	48.89	n/a	5-Oct	8.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFFPI)	040	YUM	B	900	48.89	n/a	5-Oct	36.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFFPI)	040	YUM	B	900	48.89	n/a	5-Oct	36.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFEMG)	040	YUM	B	200	48.89	n/a	5-Oct	8.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFEMG)	040	YUM	B	200	48.89	n/a	5-Oct	8.00 4.0

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AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFBLUE)	040	YUM	B	1,400	48.89	n/a	5-Oct	56.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFBLUE)	040	YUM	B	1,400	48.89	n/a	5-Oct	56.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFRUSS)	040	YUM	B	4,500	48.89	n/a	5-Oct	180.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFRUSS)	040	YUM	B	4,500	48.89	n/a	5-Oct	180.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFLSP)	040	YUM	B	900	48.89	n/a	5-Oct	36.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFLSP)	040	YUM	B	900	48.89	n/a	5-Oct	36.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFFREQ2)	040	YUM	B	5,200	48.89	n/a	5-Oct	208.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFFREQ2)	040	YUM	B	5,200	48.89	n/a	5-Oct	208.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFRICG2)	040	YUM	B	700	48.89	n/a	5-Oct	28.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFRICG2)	040	YUM	B	700	48.89	n/a	5-Oct	28.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFURICG)	040	YUM	B	300	48.89	n/a	5-Oct	12.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFURICG)	040	YUM	B	300	48.89	n/a	5-Oct	12.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFBGROWT)	040	YUM	B	1,300	48.89	n/a	5-Oct	52.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFBGROWT)	040	YUM	B	1,300	48.89	n/a	5-Oct	52.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFMSM)	040	YUM	B	200	48.89	n/a	5-Oct	8.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFMSM)	040	YUM	B	200	48.89	n/a	5-Oct	8.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFUAL)	040	YUM	B	700	48.89	n/a	5-Oct	28.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFUAL)	040	YUM	B	700	48.89	n/a	5-Oct	28.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT (SUFFBRI)	040	YUM	B	2,600	48.89	n/a	5-Oct	104.00 4.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT (SUFFBRI)	040	YUM	B	2,600	48.89	n/a	5-Oct	104.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>250.00</b>

TOTAL (Trade Date) :	40,996.75
TOTAL (AO, CXL, CRT) :	250.00

**TOTAL (RUN DATE) / NFS:**

**41,246.75**



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