



Daily Compliance Activity Report

Trade Date: 03/18/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ACS	S	14,600	47.28	n/a	n/a	657.00	4.5
B BUCK CAPITAL MGMT		ADM	C	70,000	28.62	5-Jan	5-May	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	50,000	11.57	n/a	4-May	non-brg	4.0
COUGAR TRADING	044	ALV	B	5,000	16.83	12-Mar	22-Apr	250.00	5.0
COLUMBIA PARTNERS	028	AMB	B	56,684	14.17	n/a	n/a	2,267.36	4.0
f MANNY I KORMAN	FID	AMTD	B	7000	13.62	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	C	83,500	22.82	n/a	4-May	non-brg	4.0
JP MORGAN VENTURES	046	ANF	SS	15,000	22.73	n/a	4-May	750.00	5.0
NEWLAND CAPITAL MGT	067	AOS	S	115,000	23.54	12-Feb	17-Apr	4,600.00	4.0
NEUBERGER BERMAN	036	ARE	B	16,300	39.00	n/a	n/a	733.50	4.5
JAT CAPITAL MANAGEMENT	041	ATVI	B	130,000	9.47	n/a	n/a	3,900.00	3.0
f EDWARD W WHEELER	FID	AVYDG	B	30	0.10	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	AVY	S	3000	20.49	27-Jan	28-Apr	0.00	0.0
f MANNY I KORMAN	FID	BACPRU	B	3000	10.97	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	BAC	B	500	7.36	2-Mar	7-May	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	BAC	B	355	7.09	2-Mar	7-May	0.00	0.0
	KACELA CAPITAL	034	BBBY	B	54,000	23.70	n/a	n/a	2,160.00	4.0
	DC CAPITAL	044	BC	B	50,000	3.27	n/a	n/a	1,500.00	3.0
f	JOSEPH CIRO AMATURO	FID	BGZ	B	2000	66.94	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		BKC	C	70,000	23.01	6-Feb	29-Apr	non-brg	4.0
B	BUCK CAPITAL MGMT		BK	S	34,800	26.76	21-Jan	24-Apr	non-brg	4.0
	SANDLER O'NEILL ASSET	031	BK	S	24,900	28.20	21-Jan	24-Apr	1,245.00	5.0
B	BUCK CAPITAL MGMT		BRE	C	8,968	22.24	n/a	n/a	non-brg	4.0
	MATLIN PATTERSON	046	BTU	S	100,000	27.15	n/a	n/a	3,000.00	3.0
	ACK ASSET	028	BWA	SS	7,700	20.63	12-Mar	1-May	231.00	3.0
	BMO NESBITT BURNS	041	BWA	SS	25,000	20.07	12-Mar	1-May	1,250.00	5.0
	BRENCOURT	028	BWA	SS	25,000	20.07	12-Mar	1-May	1,250.00	5.0
	COUGAR TRADING	044	BWA	B	5,000	20.75	12-Mar	1-May	250.00	5.0
f	MARC PAUL LUCHANSKY	FID	BWA	B	1000	19.96	12-Mar	1-May	0.00	0.0
	NEUBERGER BERMAN	036	BXP	B	18,000	37.69	n/a	n/a	810.00	4.5
B	BUCK CAPITAL MGMT		CBRL	C	40,000	27.72	n/a	n/a	non-brg	4.0
	WAGONHOUND/NIC	048	CCK	S	921	22.17	n/a	n/a	36.84	4.0
B	BUCK CAPITAL MGMT		CCL	SS	50,000	21.20	n/a	26-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	036	CENX	S	20,000	1.51	n/a	n/a	600.00	3.0
RAINIER INV MGMT	035	CEPH	B	57,170	69.14	13-Feb	6-May	2,858.50	5.0
B BUCK CAPITAL MGMT		CHS	S	50,000	5.09	5-Dec	30-Jan	non-brg	3.0
BUCK CAPITAL MGMT	001	COH	B	100,000	15.84	9-Jan	22-Apr	4,000.00	4.0
NEWCASTLE FUNDS	033	CONN	B	17,000	13.45	n/a	n/a	680.00	4.0
B BUCK CAPITAL MGMT		CPKI	SS	20,000	12.53	30-Oct	5-May	non-brg	1.0
B BUCK CAPITAL MGMT		CPKI	SS	45,000	12.61	30-Oct	5-May	non-brg	4.0
f MANNY I KORMAN	FID	CPRE	B	5000	8.25	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	CSGP	B	10,000	27.39	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		CTX	S	40,000	8.38	n/a	n/a	non-brg	3.0
f WILLIAM RAYMOND KATZ	FID	C	S	1000	3.08	n/a	24-Apr	0.00	0.0
f JOSEPH CIRO AMATURO	FID	DELL	S	3000	9.39	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	6.93	n/a	7-May	1,500.00	3.0
DIAMONDBACK CAP MGMT	232	DHI	C	50,000	7.84	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		DIN	SS	12,600	11.34	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	DKS	B	4000	14.52	24-Mar	5-May	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	DNA	B	35,300	93.65	n/a	n/a	1,059.00	3.0
RAINIER INV MGMT	035	DNA	S	240,025	93.71	n/a	n/a	9,601.00	4.0
B BUCK CAPITAL MGMT		DOU GR	C	10,000	41.19	n/a	n/a	non-brg	6.2
B BUCK CAPITAL MGMT		DRI	SS	24,000	34.86	19-Dec	19-Mar	non-brg	4.0
EGS ASSOCIATES LP	091	DSW	B	4,000	9.18	14-Nov	5-May	240.00	6.0
KACELA CAPITAL	034	DVN	S	12,000	47.56	5-Feb	6-May	480.00	4.0
B BUCK CAPITAL MGMT		EAT	SS	58,000	14.11	n/a	24-Apr	non-brg	4.0
SASCO	038	EP	B	14,545	6.48	n/a	n/a	581.80	4.0
HIGHBRIDGE/MS OLDS	041	ERTS	S	57,955	18.09	n/a	n/a	2,318.20	4.0
NEWCASTLE FUNDS	033	ETH	B	10,000	8.63	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	FACT	S	1430	8.00	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	FAS	S	725	6.90	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	FDO	SS	4,000	32.02	5-Mar	5-May	240.00	6.0
PIONEER MICHAEL NOLAN	067	FHN	B	28,600	10.92	n/a	n/a	858.00	3.0
NEUBERGER BERMAN	036	FIS	S	52,500	17.44	n/a	n/a	2,362.50	4.5
B BUCK CAPITAL MGMT		FOR	S	75,000	7.30	12-Feb	20-Apr	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	10,000	15.84	n/a	10-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	GES	B	180,000	16.61	n/a	n/a	7,200.00	4.0
EGS ASSOCIATES LP	091	GES	SS	4,500	17.77	n/a	n/a	270.00	6.0
US BANCORP	030	GES	B	15,000	15.79	n/a	n/a	750.00	5.0
♢ BUCK CAPITAL MGMT		GIL	S	121,700	7.79	11-Dec	14-Apr	non-brg	3.0
COLUMBUS CIRCLE	036	GIS	S	81,731	48.69	n/a	n/a	3,269.24	4.0
f DAVID GEORGE BUCK	FID	GIS	B	1200	48.35	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	GLD	B	100	89.01	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	GMOH	S	100	1.25	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GNTX	SS	25,000	8.86	30-Jan	23-Apr	1,000.00	4.0
BUCK CAPITAL MGMT	001	GPS	B	250,000	12.51	n/a	30-Jan	10,000.00	4.0
♢ BUCK CAPITAL MGMT		HD	C	50,000	22.76	n/a	5-May	non-brg	4.0
WAGONHOUND/NIC	048	IBM	B	10,000	92.02	n/a	n/a	400.00	4.0
WAGONHOUND/NIC	048	IWC	B	7,865	25.33	n/a	n/a	235.95	3.0
♢ BUCK CAPITAL MGMT		IYR	SS	140,000	26.16	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	JAVA	S	70	8.23	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	JAVA	S	2	8.08	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		JCG	B	50,000	13.06	n/a	30-Jan	non-brg	4.0
AVESTA CAP	229	JCP	B	75,000	17.16	6-Feb	4-May	3,750.00	5.0
B BUCK CAPITAL MGMT		JCP	C	116,972	17.81	6-Feb	4-May	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	100,000	17.72	6-Feb	4-May	5,000.00	5.0
f MANNY I KORMAN	FID	JEF	B	6000	13.06	n/a	n/a	0.00	0.0
JAT CAPITAL MANAGEMENT	041	JNPR	B	110,000	15.27	n/a	22-Mar	4,400.00	4.0
B BUCK CAPITAL MGMT		JOSB	B	20,000	28.93	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	JPMPRW	B	3000	18.33	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	JPM	B	3,300	26.64	16-Jan	24-Apr	132.00	4.0
BUCK CAPITAL MGMT	001	JWN	SS	50,000	15.22	20-Feb	4-May	2,000.00	4.0
RAINIER INV MGMT	035	KEX	S	23,450	25.05	n/a	n/a	1,172.50	5.0
B BUCK CAPITAL MGMT		KIM	C	29,600	8.41	n/a	n/a	non-brg	3.0
KACELA CAPITAL	034	KMX	B	80,000	11.82	n/a	10-Jan	3,200.00	4.0
PRINCIPLE CAPITAL	040	KMX	S	82,200	11.72	n/a	10-Jan	2,466.00	3.0
RBC CAPITAL MARKETS	034	KR	S	20,000	21.31	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		KSS	B	100,000	41.99	17-Mar	4-May	non-brg	4.0
T. ROWE PRICE	033	K	B	208,400	36.95	n/a	n/a	8,336.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS OCONNOR	031	LAZ	B	93,966	27.77	n/a	28-Apr	2,818.98	3.0
⚡ BUCK CAPITAL MGMT		LEN	S	43,000	9.58	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		LPX	S	270,000	2.04	3-Mar	6-May	non-brg	2.0
⚡ BUCK CAPITAL MGMT		LPX	S	50,000	2.03	3-Mar	6-May	non-brg	1.5
DE SHAW	040	LQD	S	5,000	92.32	n/a	n/a	250.00	5.0
⚡ BUCK CAPITAL MGMT		LVS	B	400,000	2.37	n/a	n/a	non-brg	2.0
NEUBERGER BERMAN	036	MAC	B	53,300	8.00	n/a	n/a	1,599.00	3.0
TOKIO MARINE ASSET MGMT	045	MCD	S	11,200	54.10	13-Oct	6-May	448.00	4.0
⚡ BUCK CAPITAL MGMT		MDC	S	9,000	31.55	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	MERPRK	B	5000	9.63	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	METPRB	B	3000	14.94	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	045	MMM	S	12,200	48.04	8-Dec	24-Apr	488.00	4.0
⚡ BUCK CAPITAL MGMT		MVRX	SS	40,000	90.75	n/a	n/a	non-brg	9.1
BUCK CAPITAL MGMT	001	MWV	S	40,000	11.19	28-Jan	30-Apr	1,600.00	4.0
ROSEDALE CAPITAL	046	MYL	S	25,000	13.63	n/a	7-May	1,250.00	5.0
BUCK CAPITAL MGMT	001	M	S	100,000	8.38	n/a	4-May	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		NKE	B	50,000	45.91	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	NTRS	B	100,000	59.66	14-Jan	28-Apr	5,000.00	5.0
TOKIO MARINE ASSET MGMT	045	NTRS	B	25,300	59.11	14-Jan	28-Apr	1,012.00	4.0
MOORE CAPITAL	036	NWL	SS	25,000	6.66	n/a	n/a	1,000.00	4.0
TOKIO MARINE ASSET MGMT	045	OXY	S	10,900	54.03	n/a	n/a	436.00	4.0
SENATOR INVESTMENT GROUP	036	PBI	S	50,000	21.61	n/a	n/a	2,000.00	4.0
WAGONHOUND/NIC	048	PCLN	B	1,002	77.10	n/a	n/a	40.08	4.0
B BUCK CAPITAL MGMT		PFCB	C	20,000	22.67	8-Jan	23-Apr	non-brg	4.0
DE SHAW	040	PFE	SS	100,000	14.20	n/a	31-Mar	3,000.00	3.0
TOKIO MARINE ASSET MGMT	045	PG	S	15,200	47.34	12-Mar	4-May	608.00	4.0
B BUCK CAPITAL MGMT		PKG	S	30,000	12.33	5-Dec	21-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		PKY	C	10,240	12.30	n/a	n/a	non-brg	4.0
SAXON WOODS ADVISORS	038	PNC	B	145,600	29.78	n/a	n/a	5,824.00	4.0
CASTLE ARK	031	PRE	S	22,140	60.43	n/a	n/a	1,328.40	6.0
f EDWARD W WHEELER	FID	PRUCK	B	40	1.90	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	PRUIU	S	40	5.20	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PVH	S	25,000	18.42	22-Jan	20-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		PVH	S	97,800	18.38	22-Jan	20-Apr	non-brg	4.0
f JASON ERIC COHEN	FID	QNQIV	S	2	5.50	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	QNQUZ	B	2	5.46	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	067	RKT	B	6,100	25.41	n/a	n/a	244.00	4.0
B BUCK CAPITAL MGMT		RL	C	50,000	40.21	n/a	16-Apr	non-brg	4.0
f MANNY I KORMAN	FID	RL	B	3000	39.62	n/a	16-Apr	0.00	0.0
B BUCK CAPITAL MGMT		ROST	C	70,000	33.83	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	RUSHA	S	5000	8.13	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RYL	S	18,000	17.20	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	SEF	B	100	90.32	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SGP	B	1000	23.46	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SHOO	S	1000	16.99	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SHS	B	6200	3.08	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SIG LN	C	21,000	9.42	n/a	n/a	non-brg	1.4
f MANNY I KORMAN	FID	SKFCS	B	80	0.35	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SKF	B	14,271	118.78	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SKX	B	10,000	6.03	n/a	13-Mar	non-brg	3.0
GLOBAL 56 LLC	060	SKX	B	2,500	5.93	n/a	13-Mar	125.00	5.0
US BANCORP	030	SKX	S	46,141	5.98	n/a	13-Mar	2,307.05	5.0
f DAVID GEORGE BUCK	FID	SMG	S	1000	33.88	5-Feb	29-Apr	0.00	0.0
CR INTRINIC INVESTMENT	044	SNY	B	15,000	27.53	n/a	n/a	750.00	5.0
f EDWARD W WHEELER	FID	SPNC	S	2846	2.30	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	B	500	77.67	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SUI	C	24,160	10.75	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	SUP	B	5,000	11.59	27-Feb	27-Feb	250.00	5.0
f ANDREW SINCLAIR	FID	TBTRW	S	100	5.10	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	TBT	B	2000	44.47	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	TBT	S	2000	45.57	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	TBT	S	100	43.91	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	TBT	S	15,000	44.80	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		TCO	C	10,000	16.69	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	TDW	S	15,000	38.59	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		THI	C	70,600	25.81	n/a	24-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	TIN	SS	41,700	4.90	5-Dec	22-Apr	2,085.00	5.0
BMO NESBITT BURNS	041	TIN	S	8,300	4.90	5-Dec	22-Apr	415.00	5.0
⌘ BUCK CAPITAL MGMT		TIN	S	107,500	4.97	5-Dec	22-Apr	non-brg	3.0
MASTERS CAPITAL MANAGE	091	TIN	S	45,600	4.32	5-Dec	22-Apr	1,368.00	3.0
BENCHMARK	028	TJX	B	10,000	25.51	n/a	4-May	400.00	4.0
COUGAR TRADING	044	TJX	B	10,000	25.59	n/a	4-May	500.00	5.0
NEUBERGER BERMAN	036	TXN	S	171,400	16.66	n/a	n/a	7,713.00	4.5
NEUBERGER BERMAN	036	VNO	B	18,800	36.21	n/a	n/a	846.00	4.5
NEUBERGER BERMAN	036	WMGI	B	24,400	13.03	n/a	n/a	1,098.00	4.5
⌘ BUCK CAPITAL MGMT		WMS	C	50,000	21.69	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		WMS	C	63,100	21.39	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	WMT	S	10,000	50.07	10-Oct	5-May	400.00	4.0
⌘ BUCK CAPITAL MGMT		WRC	S	50,000	19.42	27-Feb	20-Apr	non-brg	4.0
COUGAR TRADING	044	WRC	B	5,000	19.43	27-Feb	20-Apr	250.00	5.0
EGS ASSOCIATES LP	091	WRC	B	4,500	18.63	27-Feb	20-Apr	270.00	6.0
⌘ BUCK CAPITAL MGMT		WYN	S	50,000	4.14	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		WYN	S	50,000	4.30	n/a	n/a	non-brg	1.5
⌘ BUCK CAPITAL MGMT		XRT	SS	350,000	21.60	n/a	n/a	non-brg	2.0
THIRD POINT MGMT	044	X	C	150,000	19.30	n/a	n/a	6,000.00	4.0

TOTAL (Trade Date):

168,424.90

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	03/12	SOLARIS INV MGMT	029	BRCM	B	2,700	18.99	n/a	n/a	135.00	5.0
AO,CXL	03/12	SOLARIS INV MGMT	029	BRCM	B	2,700	18.99	n/a	n/a	135.00	5.0
AO,CXL	03/17	LISTED ERR	099	CONN	S	90	13.44	n/a	n/a	0.00	0.0
AO,CRT	03/17	MILLENIUUM PARTNERS	028	PKG	S	20,000	11.91	5-Dec	21-Apr	800.00	4.0
AO,CXL	03/17	MILLENIUUM PARTNERS	028	PKG	S	20,000	11.91	5-Dec	21-Apr	800.00	4.0
AO,CXL	03/17	MILLENIUUM PARTNERS	028	RKT	SS	20,000	25.43	n/a	n/a	800.00	4.0
AO,CRT	03/17	MILLENIUUM PARTNERS	028	RKT	SS	20,000	25.43	n/a	n/a	800.00	4.0
AO,CRT	03/17	AMBER CAPITAL	046	TD	SS	1,500	33.40	n/a	n/a	60.00	4.0
AO,CXL	03/17	ARAGON GLOBAL	041	TD	SS	1,500	33.40	n/a	n/a	60.00	4.0
TOTAL (AO, CXL, CRT) :										0.00	

TOTAL (Trade Date) :	168,424.90
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	168,424.90
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MRI Securities with Trade Activity on 18-Mar. NONE

MRI Securities without Trade Activity on 18-Mar.

NONE

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

T-Date = 21%

YTD = 24%

Legend:

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)