



Daily Compliance Activity Report

Trade Date: 03/19/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	AAGPX	B	288	11.10	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	ACL	S	200	86.10	n/a	4-May	8.00	4.0
CHART WELL ADV	028	ADS	S	160,493	32.91	n/a	n/a	6,419.72	4.0
B BUCK CAPITAL MGMT		AEO	B	12,961	11.39	n/a	4-May	non-brg	1.0
B BUCK CAPITAL MGMT		AEO	B	87,039	11.44	n/a	4-May	non-brg	4.0
BALYASNY ASSET MGMT	044	ALV	SS	20,000	18.10	12-Mar	22-Apr	1,000.00	5.0
WINSLOW CAPITAL	030	AMT	S	300	30.76	n/a	n/a	12.00	4.0
B BUCK CAPITAL MGMT		ANF	SS	150,000	22.94	n/a	4-May	non-brg	4.0
NEWLAND CAPITAL MGT	067	AOS	S	2,800	24.33	12-Feb	17-Apr	112.00	4.0
B BUCK CAPITAL MGMT		APC	S	7,000	42.56	3-Feb	7-May	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	SS	100,000	25.60	n/a	4-May	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	100,000	25.59	n/a	4-May	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	ATVI	S	2500	9.87	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	BAX	S	300	50.23	n/a	22-Apr	12.00	4.0
f FRANCIS MICHAEL MCCA	FID	BGZ	B	200	67.65	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		BHI	S	15,500	33.89	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BIG	SS	50,000	20.68	4-Mar	7-May	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BIG	SS	50,000	20.71	4-Mar	7-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BOBE	C	50,000	21.51	n/a	n/a	non-brg	4.0
ACK ASSET	028	BWA	SS	7,700	20.00	12-Mar	1-May	231.00	3.0
BRENCOURT	028	BWA	SS	50,000	20.03	12-Mar	1-May	2,500.00	5.0
⚡ BUCK CAPITAL MGMT		BWA	SS	40,000	19.95	12-Mar	1-May	non-brg	4.0
COUGAR TRADING	044	BWA	SS	10,000	20.26	12-Mar	1-May	500.00	5.0
LITESPEED	028	BWA	SS	150,000	19.82	12-Mar	1-May	4,500.00	3.0
MARINER/TRICADIA	041	BWA	SS	20,000	20.02	12-Mar	1-May	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		CCL	C	100,000	22.54	n/a	26-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CCL	S	30,000	22.46	n/a	26-Jan	non-brg	4.0
WINSLOW CAPITAL	030	CCL	S	300	22.54	n/a	26-Jan	12.00	4.0
f LEE F BACKUS	FID	CHCG	B	10000	0.70	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	CHCG	B	4999	0.70	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	CIVVX	B	243	7.42	n/a	n/a	0.00	0.0
SCOPUS FUND	041	CLW	B	16,700	8.80	n/a	n/a	835.00	5.0
STELLIAM INV ADV	040	CLW	B	15,000	8.49	n/a	n/a	750.00	5.0
FRONTPOINT/COPIA-ANDREW	031	CNQ	B	47,700	42.37	n/a	n/a	1,669.50	3.5
NEWCASTLE FUNDS	033	CONN	B	3,000	13.77	n/a	n/a	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL MARRANO	FID	CSCO	B	200	16.18	n/a	22-Mar	0.00	0.0
WINSLOW CAPITAL	030	CVS	S	600	26.46	n/a	n/a	24.00	4.0
AMBER CAPITAL	046	CX	SS	200,000	5.82	n/a	n/a	8,000.00	4.0
DELTEC ASSET MGMT.	040	DBC	B	20,000	20.72	n/a	n/a	1,000.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	6.56	n/a	7-May	1,500.00	3.0
WINSLOW CAPITAL	030	DHR	S	300	55.08	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	DLB	S	100	33.95	n/a	n/a	4.00	4.0
B BUCK CAPITAL MGMT		DLTR	S	30,000	41.24	10-Feb	5-May	non-brg	4.0
FARALLON CAP MGMT	040	DNA	B	285,000	93.72	n/a	n/a	11,400.00	4.0
B BUCK CAPITAL MGMT		DOU GR	C	20,000	41.91	n/a	n/a	non-brg	6.3
Õ Ted Wheeler		DVQ	S	35	14.18	n/a	n/a	0.00	0.0
f ANN M GAULT	FID	DXO	S	13000	2.94	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	DXO	B	2000	3.00	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	DXO	S	20000	2.94	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	DXO	S	30000	2.94	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	ECL	S	300	32.86	10-Nov	28-Apr	12.00	4.0
f BARBARA S LEDDY	FID	EFT	B	450	8.29	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	EHSTX	B	147	12.24	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	EV	B	25,000	19.97	9-Mar	7-May	1,250.00	5.0
f MARC PAUL LUCHANSKY	FID	EXWAX	B	227	5.28	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAGIX	B	613	5.38	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FDGRX	B	87	46.91	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FDIVX	B	122	18.91	n/a	n/a	0.00	0.0
TPG-AXON	040	FDO	C	55,000	31.15	5-Mar	5-May	2,750.00	5.0
f MARC PAUL LUCHANSKY	FID	FDVIX	B	118	10.14	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEFX	B	199	5.53	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FINL	S	5,000	5.75	n/a	28-Mar	200.00	4.0
f MARC PAUL LUCHANSKY	FID	FINSX	B	370	12.43	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FLPSX	B	192	20.84	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	B	60,000	15.79	23-Jan	30-Jan	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	FRESX	B	98	10.16	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSCFX	B	406	5.91	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	FSHBX	B	631	7.93	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSMAX	B	50	54.30	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FTBFX	B	672	9.22	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	FTI	S	300	32.92	n/a	n/a	12.00	4.0
f MARC PAUL LUCHANSKY	FID	FVSAX	B	565	9.03	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	80,000	18.09	n/a	n/a	3,200.00	4.0
THE BOSTON COMPANY	401	GES	S	53,680	17.88	n/a	n/a	2,147.20	4.0
f BARBARA S LEDDY	FID	GE	S	250	10.62	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	GE	B	300	10.67	n/a	n/a	0.00	0.0
CAXTON PART	040	GIS	B	6,194	46.91	n/a	n/a	216.81	3.5
PROSPECTOR PARTNERS LLC	036	GIS	B	33,100	47.74	n/a	n/a	1,324.00	4.0
WINSLOW CAPITAL	030	GIS	S	200	47.01	n/a	n/a	8.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	GLD	B	300	93.47	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	GLW	B	26,606	13.02	9-Feb	27-Apr	1,064.24	4.0
f RAGHAV NAYAR	FID	GOTTQ	S	244	0.10	n/a	n/a	0.00	0.0
AAD CAPITAL	048	GPI	SS	3,300	14.34	n/a	29-Apr	99.00	3.0
B BUCK CAPITAL MGMT		GPS	B	100,000	12.49	n/a	30-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	GPS	S	50,000	12.33	n/a	30-Jan	2,500.00	5.0
CADIAN CAPITAL	067	HIBB	SS	50,000	17.96	n/a	n/a	2,000.00	4.0
WINSLOW CAPITAL	030	HPQ	S	300	29.12	n/a	n/a	12.00	4.0
f MARC PAUL LUCHANSKY	FID	HRINX	B	38	33.97	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	HSTX	B	11990	4.27	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	ICE	S	200	75.04	n/a	n/a	8.00	4.0
KINGDON ASSET MGMT	041	ISIL	S	100,000	11.96	n/a	n/a	4,000.00	4.0
f MARC PAUL LUCHANSKY	FID	ITHAX	B	285	19.67	n/a	n/a	0.00	0.0
Õ Alice Longley		IYR	B	600	28.33	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	JANSX	B	346	18.20	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	JLPSX	B	147	12.24	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	JMCVX	B	201	13.93	n/a	n/a	0.00	0.0
CAXTON PART	040	JPM	S	31,470	25.05	16-Jan	24-Apr	1,101.47	3.5
WINSLOW CAPITAL	030	JPM	S	200	25.22	16-Jan	24-Apr	8.00	4.0
B BUCK CAPITAL MGMT		JWN	SS	50,000	15.44	20-Feb	4-May	non-brg	4.0
CADIAN CAPITAL	067	JWN	SS	75,000	15.40	20-Feb	4-May	3,000.00	4.0
SCOPUS FUND	041	KPPC	B	10,000	2.28	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	KSS	S	300	40.64	17-Mar	4-May	12.00	4.0
T. ROWE PRICE	033	K	B	306,000	36.86	n/a	n/a	9,629.00	3.5
WINSLOW CAPITAL	030	LOW	S	400	17.51	31-Mar	5-May	16.00	4.0
B BUCK CAPITAL MGMT		LVS	B	200,000	2.52	n/a	n/a	non-brg	2.0
MATRIX ASSET ADV.	036	MDT	B	18,000	28.10	n/a	22-Apr	720.00	4.0
f MARC PAUL LUCHANSKY	FID	MFOCX	B	393	10.42	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	MIQBX	B	190	9.46	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	MMR	B	60,000	5.25	n/a	n/a	1,800.00	3.0
WINSLOW CAPITAL	030	MON	S	200	82.55	n/a	2-Apr	8.00	4.0
TROUBH PART	067	MRK	B	25,000	25.87	n/a	n/a	1,250.00	5.0
THOMSON HORSTMAN BRYANT	040	NWY	B	25,000	2.89	n/a	30-Jan	750.00	3.0
f MARC PAUL LUCHANSKY	FID	OAKMX	B	107	22.51	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	OKE	B	1,650	22.36	n/a	n/a	66.00	4.0
EPOCH INV MGMT	030	ORCL	B	4,250	17.59	n/a	n/a	170.00	4.0
f MARC PAUL LUCHANSKY	FID	PAHIX	B	532	4.70	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	PAVLX	B	273	13.18	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	PBR	S	200	32.55	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	PBR	S	100	32.64	n/a	n/a	4.00	4.0
PROSPECTOR PARTNERS LLC	036	PCG	SS	21,400	38.31	n/a	n/a	856.00	4.0
RAMIUS CAP	040	PCH	B	45,000	21.94	n/a	29-Apr	1,800.00	4.0
WINSLOW CAPITAL	030	PCP	S	200	58.94	n/a	n/a	8.00	4.0
f MARC PAUL LUCHANSKY	FID	PCRRX	B	1098	6.29	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	PCS	S	300	17.17	n/a	n/a	12.00	4.0
FRONTPOINT/COPIA-ANDREW	031	PDE	B	24,922	20.20	n/a	n/a	872.27	3.5
B BUCK CAPITAL MGMT		PFCB	C	30,000	24.18	8-Jan	23-Apr	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	PFUUX	B	267	8.23	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	PG	S	600	46.39	12-Mar	4-May	24.00	4.0
f MARC PAUL LUCHANSKY	FID	PHYAX	B	435	6.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	B	70,000	23.30	19-Mar	5-May	non-brg	4.0
COUGAR TRADING	044	PLCE	SS	10,000	21.38	19-Mar	5-May	500.00	5.0
f MARC PAUL LUCHANSKY	FID	PSFAX	B	374	9.35	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PSS	B	30,000	8.84	n/a	n/a	900.00	3.0
f MARC PAUL LUCHANSKY	FID	PTRAX	B	655	10.09	n/a	n/a	0.00	0.0
CADIAN CAPITAL	067	PVH	B	50,000	18.56	22-Jan	20-Apr	2,000.00	4.0
SHAREVEST CAPITAL MGMT.	038	PWR	S	3,500	21.45	n/a	n/a	175.00	5.0
EPOCH INV MGMT	030	PX	B	1,400	65.46	4-Feb	29-Apr	56.00	4.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.54	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		RCL	S	100,000	8.52	30-Jan	24-Apr	non-brg	1.5
B BUCK CAPITAL MGMT		RCL	S	100,000	8.54	30-Jan	24-Apr	non-brg	3.0
SONTERRA CAP	041	RCL	SS	60,000	8.56	30-Jan	24-Apr	1,800.00	3.0
EPOCH INV MGMT	030	RE	B	1,200	69.69	n/a	n/a	48.00	4.0
B BUCK CAPITAL MGMT		RIG	S	13,000	63.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ROST	C	20,000	34.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ROST	C	20,000	34.17	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	SBLGX	B	224	15.61	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SCG	B	2,200	29.80	n/a	n/a	88.00	4.0
f HARALAMBOS EFSTATHI	FID	SDS	B	200	82.26	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SDS	B	1000	82.97	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SIG LN	C	36,198	10.44	n/a	n/a	non-brg	1.6
GLOBAL 56 LLC	060	SKX	S	2,500	6.38	n/a	13-Mar	125.00	5.0
WEISS PECK	040	SKX	B	53,420	6.45	n/a	13-Mar	2,136.80	4.0
f MARC PAUL LUCHANSKY	FID	SLASX	B	215	24.63	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SLGN	B	1,650	50.47	n/a	n/a	66.00	4.0
f MARC PAUL LUCHANSKY	FID	SPY	S	2000	79.01	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	S	500	79.31	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SRVEX	B	149	10.07	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	STJ	S	400	35.30	n/a	n/a	16.00	4.0
GOLDMAN SACHS ASSET MGMT	044	STLD	B	350,000	8.08	n/a	n/a	5,875.00	1.8
EPOCH INV MGMT	030	SUG	B	3,400	15.00	n/a	n/a	136.00	4.0
B BUCK CAPITAL MGMT		SUMR	B	25,000	1.80	n/a	n/a	non-brg	2.5
EPOCH INV MGMT	030	SWY	B	3,100	19.69	n/a	n/a	124.00	4.0
Õ Ted Wheeler		TEN	B	200	8.58	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	TIF	S	25,000	21.21	n/a	30-Jan	1,250.00	5.0
BMO NESBITT BURNS	041	TIN	SS	50,000	4.91	5-Dec	22-Apr	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	TIN	B	40,000	4.99	5-Dec	22-Apr	1,400.01	3.5
EPOCH INV MGMT	030	TMO	B	1,550	33.92	n/a	n/a	62.00	4.0
SANDLER O'NEILL ASSET	031	TROW	B	25,000	25.45	n/a	7-May	1,250.00	5.0
WINSLOW CAPITAL	030	UNP	S	500	39.76	n/a	n/a	20.00	4.0
f ANDREW SINCLAIR	FID	UPLPZ	B	100	0.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	100,000	18.93	n/a	30-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	100,000	18.97	n/a	30-Jan	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	USGLX	B	134	17.95	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	UTX	S	200	41.25	n/a	n/a	8.00	4.0
B BUCK CAPITAL MGMT		VFC	B	10,000	57.09	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	VTR	B	2,100	25.41	n/a	n/a	84.00	4.0
WINSLOW CAPITAL	030	V	S	300	54.43	n/a	7-May	12.00	4.0
f MARC PAUL LUCHANSKY	FID	WBIGX	B	168	11.94	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WFR	B	2,400	15.62	n/a	n/a	96.00	4.0
EPOCH INV MGMT	030	WFT	B	2,400	12.51	n/a	n/a	96.00	4.0
WINSLOW CAPITAL	030	WMT	S	400	49.84	10-Oct	5-May	16.00	4.0

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BUCK CAPITAL MGMT		WRC	S	40,000	20.54	27-Feb	20-Apr	non-brg	4.0
CADIAN CAPITAL	067	WSM	SS	100,000	10.04	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT		WYN	S	50,000	4.25	n/a	n/a	non-brg	3.0
TOTAL (Trade Date):							110,871.02		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/18	FARALLON CAP MGMT	040	DNA	B	35,300	93.65	n/a	n/a	1412.00 4.0
AO,CXL	03/18	FARALLON CAP MGMT	040	DNA	B	35,300	93.65	n/a	n/a	1059.00 3.0
AO,CXL	03/18	BUCK CAPITAL MGMT	001	JWN	SS	50,000	15.22	20-Feb	4-May	2000.00 4.0
AO,CRT	03/18	BUCK CAPITAL MGMT	001	JWN	SS	50,000	15.22	20-Feb	4-May	2000.00 4.0
AO,CXL	03/18	DE SHAW	040	LQD	S	5,000	92.32	n/a	n/a	250.00 5.0
AO,CRT	03/18	WASHINGTON ASSET	048	LQD	S	5,000	92.32	n/a	n/a	250.00 5.0
AO,CRT	03/18	BUCK CAPITAL MGMT	001	MWV	S	15,200	11.19	28-Jan	30-Apr	608.00 4.0
AO,CXL	03/18	BUCK CAPITAL MGMT	001	MWV	S	40,000	11.19	28-Jan	30-Apr	1600.00 4.0
AO,	03/18	BUCK CAPITAL MGMT	001	MWV	S	24,800	11.19	28-Jan	30-Apr	992.00 4.0
AO,CRT	03/18	CR INTRINIC INVESTMENT	044	SNY	B	15,000	27.53	n/a	n/a	600.00 4.0
AO,CXL	03/18	CR INTRINIC INVESTMENT	044	SNY	B	15,000	27.53	n/a	n/a	750.00 5.0
AO,	03/18	SYSTEMATIC FINANCIAL MGT	035	TUP	S	150,000	13.94	n/a	n/a	5250.00 3.5
TOTAL (AO, CXL, CRT) :										5,453.00

TOTAL (Trade Date) :	110,871.02
TOTAL (AO, CXL, CRT) :	5,453.00

TOTAL (RUN DATE) / NFS :	116,324.02
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MRI Securities with Trade Activity on 19-Mar.

PLCE

MRI Securities without Trade Activity on 19-Mar.

DRI

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

T-Date = 6%

YTD = 24%

<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)