



Daily Compliance Activity Report

Trade Date: 03/12/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PHILADELPHIA FINANCIAL	033	AB	S	63,951	12.03	20-Feb	7-May	2,558.04	4.0
ACK ASSET	028	AEO	B	31,000	9.89	n/a	4-May	930.00	3.0
BUCK CAPITAL MGMT	001	AEO	B	120,000	10.00	n/a	4-May	3,600.00	3.0
COUGAR TRADING	044	ALV	SS	10,000	14.43	12-Mar	22-Apr	500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	ALV	SS	10,000	14.33	12-Mar	22-Apr	400.00	4.0
TRELLUS PARTNERS LP	028	ALV	SS	15,000	14.65	12-Mar	22-Apr	750.00	5.0
BALYASNY ASSET MGMT	044	AMG	S	7,500	35.90	13-Nov	7-May	375.00	5.0
B BUCK CAPITAL MGMT		AMT	S	30,000	29.86	n/a	n/a	non-brg	4.0
1798 CAPITAL MGMT	040	ANF	S	25,000	20.27	n/a	4-May	1,250.00	5.0
COUGAR TRADING	044	AN	SS	5,000	11.52	30-Jan	24-Apr	250.00	5.0
f NEIL M STRATTON	FID	ASUR	B	745	0.14	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	C	50,000	22.54	n/a	n/a	non-brg	1.0
ASCEND PARTNERS	033	BBY	S	25,000	28.73	n/a	27-Jul	1,250.00	5.0
f JONATHAN RICHARD HAR	FID	BGZ	S	30	81.07	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	3000	81.42	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	BJS	SS	128,800	9.68	n/a	n/a	4,508.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BKC	C	50,000	22.53	6-Feb	29-Apr	non-brg	4.0
SOLARIS INV MGMT	029	BRCM	B	113,000	18.99	n/a	n/a	5,650.00	5.0
CATAPULT	040	BWA	SS	20,000	16.25	12-Mar	1-May	1,000.00	5.0
COUGAR TRADING	044	BWA	B	10,000	17.36	12-Mar	1-May	500.00	5.0
COUGAR TRADING	044	BWA	SS	15,000	16.24	12-Mar	1-May	750.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BWA	SS	10,000	16.16	12-Mar	1-May	400.00	4.0
MARINER/TRICADIA	041	BWA	SS	25,000	16.28	12-Mar	1-May	1,250.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	15,000	16.75	12-Mar	1-May	750.00	5.0
1798 CAPITAL MGMT	040	BYI	C	30,000	17.30	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		CAKE	C	30,000	9.71	n/a	24-Apr	non-brg	3.0
CATAPULT	040	CAKE	B	75,000	9.55	n/a	24-Apr	3,000.00	4.0
STERLING JOHNSTON	035	CAKE	S	50,000	9.29	n/a	24-Apr	2,000.00	4.0
B BUCK CAPITAL MGMT		CCI	S	45,000	20.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CCL	B	20,000	19.99	n/a	26-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		CHRS	B	500,000	0.83	n/a	22-Mar	non-brg	1.0
B BUCK CAPITAL MGMT		CIT	S	100,000	2.62	22-Jan	6-May	non-brg	2.0
B BUCK CAPITAL MGMT		CIT	S	100,000	2.63	22-Jan	6-May	non-brg	1.0
f KAREN F LEDDY	FID	CIT	B	3000	2.62	22-Jan	6-May	0.00	0.0
BMO NESBITT BURNS	041	CMI	S	25,000	22.99	14-Nov	6-May	1,250.00	5.0
BUCK CAPITAL MGMT	001	COH	B	50,000	14.50	9-Jan	22-Apr	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		COST	C	50,000	40.93	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT		CPKI	C	17,954	11.50	30-Oct	5-May	non-brg	4.0
BLUE HARBOR	036	CRL	B	50,000	26.96	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT		CTX	S	25,000	7.18	n/a	n/a	non-brg	3.0
PRINCIPLE CAPITAL	040	CVS	B	40,000	26.04	n/a	n/a	1,200.00	3.0
BUCK CAPITAL MGMT		DAI	SS	50,000	27.89	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DAI	SS	70,000	27.45	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	DAI	SS	5,000	27.12	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	DAI	SS	10,000	27.26	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DAL	C	100,000	5.26	n/a	n/a	5,000.00	5.0
FORD FDN.	032	DE	B	80,000	28.77	26-Jan	19-Feb	4,000.00	5.0
TRUSTCO/SUNTRUST	040	DKS	S	20,000	13.01	24-Mar	5-May	640.00	3.2
ROARING BLUE LION MGMT	012	EV	SS	6,900	17.60	9-Mar	7-May	276.00	4.0
CUMBERLAND	038	EXH	B	11,984	16.19	27-Jan	3-Apr	359.52	3.0
KAREN F LEDDY	FID	FIG	B	3000	1.35	n/a	n/a	0.00	0.0
KAREN F LEDDY	FID	FIG	S	3500	1.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	75,000	14.87	n/a	10-Jan	3,000.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		GCO	B	21,700	15.22	n/a	10-Jan	non-brg	1.0
	BUCK CAPITAL MGMT	001	GES	S	39,000	14.06	n/a	n/a	1,560.00	4.0
ß	BUCK CAPITAL MGMT		GPS	B	200,000	11.43	n/a	30-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		GPS	B	300,000	11.38	n/a	30-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		GSIC	B	20,000	11.65	n/a	n/a	non-brg	1.0
f	KAREN F LEDDY	FID	GSI	B	2000	2.21	n/a	n/a	0.00	0.0
	NATIONAL BK OF CAN	031	GS	SS	15,000	97.14	n/a	24-Apr	600.00	4.0
	WASHINGTON ASSET	048	GS	B	6,000	94.79	n/a	24-Apr	300.00	5.0
ß	BUCK CAPITAL MGMT		GWV	C	30,000	66.06	n/a	14-Apr	non-brg	4.0
ß	BUCK CAPITAL MGMT		GYMB	B	50,000	18.39	5-Mar	7-May	non-brg	4.0
ß	BUCK CAPITAL MGMT		GYMB	S	48,000	18.35	5-Mar	7-May	non-brg	2.5
	COUGAR TRADING	044	HAR	SS	5,000	10.87	12-Mar	1-May	250.00	5.0
	BLUE HARBOR	036	HBI	B	46,766	7.24	n/a	n/a	1,402.98	3.0
ß	BUCK CAPITAL MGMT		HD	C	100,000	20.21	n/a	5-May	non-brg	4.0
	DC CAPITAL	044	IP	B	50,000	5.77	n/a	1-May	1,500.00	3.0
	SCOPUS FUND	041	ITW	SS	40,000	28.09	30-Jan	17-Apr	2,000.00	5.0
	KENNEDY CAPITAL	046	JAH	S	35,050	11.22	n/a	n/a	1,402.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	S	57,800	10.92	n/a	30-Jan	2,312.00	4.0
BMO NESBITT BURNS	041	JCI	B	50,000	8.96	26-Jan	22-Apr	2,500.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	16.56	6-Feb	4-May	2,000.00	4.0
DC CAPITAL	044	JCP	B	50,000	16.24	6-Feb	4-May	2,000.00	4.0
BUCK CAPITAL MGMT		JWN	SS	130,000	14.82	20-Feb	4-May	non-brg	4.0
TRELLUS PARTNERS LP	028	JWN	SS	15,000	14.59	20-Feb	4-May	750.00	5.0
CATAPULT	040	KBR	B	50,000	14.45	n/a	n/a	2,500.00	5.0
NEWCASTLE FUNDS	033	KSS	B	50,000	37.28	n/a	4-May	2,000.00	4.0
BUCK CAPITAL MGMT		LEN	S	30,000	8.36	n/a	n/a	non-brg	3.0
PORTER-ORLIN-FELDMAN	044	LH	B	2,000	54.98	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	7.84	8-Jan	30-Jan	900.00	3.0
BUCK CAPITAL MGMT		MCD	S	58,200	52.22	13-Oct	6-May	non-brg	4.0
BUCK CAPITAL MGMT		MDC	S	15,000	28.20	n/a	n/a	non-brg	4.0
FORD FDN.	032	MMM	B	45,000	47.63	8-Dec	24-Apr	2,250.00	5.0
WYPER CAPITAL	044	MON	B	40,000	82.10	n/a	2-Apr	1,600.00	4.0
BUCK CAPITAL MGMT		MSM	S	53,500	30.54	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⚡ BUCK CAPITAL MGMT		MS	S	18,000	23.69	18-Dec	24-Apr	non-brg 1.0
NATIONAL BK OF CAN	031	MS	SS	60,000	24.17	18-Dec	24-Apr	2,400.00 4.0
NATIONAL BK OF CAN	031	MS	S	45,000	24.18	18-Dec	24-Apr	1,800.00 4.0
SANDLER O'NEILL ASSET	031	MS	SS	25,000	23.52	18-Dec	24-Apr	1,250.00 5.0
⚡ BUCK CAPITAL MGMT		MVRX	SS	42,500	84.23	n/a	n/a	non-brg 8.4
BMO NESBITT BURNS	041	NCX	S	20,000	5.75	n/a	n/a	600.00 3.0
⚡ BUCK CAPITAL MGMT		NKE	B	20,000	44.43	n/a	n/a	non-brg 4.0
FRONTPOINT/COPIA-ANDREW	031	OXY	SS	21,700	55.13	n/a	n/a	759.50 3.5
⚡ BUCK CAPITAL MGMT		PFCB	C	100,000	20.79	8-Jan	23-Apr	non-brg 2.5
ASCEND PARTNERS	033	PLCE	SS	25,000	21.07	6-Jan	5-May	1,250.00 5.0
⚡ BUCK CAPITAL MGMT		PLCE	B	40,000	21.04	6-Jan	5-May	non-brg 4.0
f MARK MEGALLI	FID	PNK	S	4000	6.89	n/a	n/a	0.00 0.0
⚡ BUCK CAPITAL MGMT		PNRA	S	20,000	49.31	n/a	29-Apr	non-brg 4.0
⚡ BUCK CAPITAL MGMT		PSS	B	50,000	8.36	n/a	n/a	non-brg 3.0
⚡ BUCK CAPITAL MGMT		PSUN	B	50,000	1.21	6-Feb	6-Feb	non-brg 2.0
⚡ BUCK CAPITAL MGMT		PVH+FW[PVH]	SS	2,000	1.30	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT	001	PVH	S	130,000	16.32	22-Jan	20-Apr	5,200.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		PVH	S	25,000	16.16	22-Jan	20-Apr	non-brg	1.5
⚡ BUCK CAPITAL MGMT		PVH	S	59,300	16.67	22-Jan	20-Apr	non-brg	4.0
COUGAR TRADING	044	PVH	S	5,000	16.70	22-Jan	20-Apr	250.00	5.0
SAC CAP/ROSEN FOR BOBBY	044	QSII	B	23,200	41.13	n/a	n/a	1,160.00	5.0
⚡ BUCK CAPITAL MGMT		QUK+FJ[DECK]	SS	1,000	4.21	n/a	n/a	non-brg	300.0
BLUE HARBOR	036	RBA	B	25,000	15.55	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		RCL	B	125,000	7.16	30-Jan	24-Apr	non-brg	3.0
⚡ BUCK CAPITAL MGMT		RCL	B	25,000	7.36	30-Jan	24-Apr	non-brg	3.0
f JOHN FRANCIS MCERLEA	FID	RIG	S	1000	55.13	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	35.10	n/a	16-Apr	800.00	4.0
⚡ BUCK CAPITAL MGMT		RRGB	C	25,000	14.23	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		RYL	S	15,000	15.59	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SBAC	S	50,000	23.35	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SGPHE	S	10	0.75	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SHOO	B	1000	14.74	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SHS	B	25000	3.50	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	SII	B	8,675	21.03	n/a	n/a	433.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	SKDCX	S	150	7.33	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	SKDOR	B	80	51.80	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	SKFCS	S	80	19.68	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	5.38	n/a	13-Mar	300.00	3.0
B BUCK CAPITAL MGMT		SLB	S	45,700	39.28	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	SLB	B	300	39.37	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SONC	C	30,000	7.93	n/a	n/a	non-brg	3.0
f PEARL LUCHANSKY	FID	SO	B	2400	26.74	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	B	1000	75.04	n/a	n/a	0.00	0.0
WYPER CAPITAL	044	STT	B	150,000	23.63	n/a	n/a	6,000.00	4.0
MILLRACE FUND LP	028	SUP	SS	10,000	10.26	27-Feb	27-Feb	400.00	4.0
f ANDREW SINCLAIR	FID	SZCRR	B	50	4.60	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SZCRR	S	150	4.00	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	TBTRW	S	37	6.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	THI	B	20,000	24.86	n/a	24-Apr	800.00	4.0
B BUCK CAPITAL MGMT		TIF	C	50,000	19.48	n/a	30-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	TIN	B	8,300	3.30	5-Dec	22-Apr	415.00	5.0
SCOPUS FUND	041	TIN	B	50,000	3.34	5-Dec	22-Apr	2,500.00	5.0
BENCHMARK	028	TJX	B	15,000	24.15	n/a	4-May	750.00	5.0
COUGAR TRADING	044	TM	SS	5,000	59.76	n/a	n/a	250.00	5.0
f JONATHAN RICHARD HAR	FID	TZA	S	46	74.02	n/a	n/a	0.00	0.0
COUGAR TRADING	044	UA	S	5,000	15.23	n/a	29-Apr	250.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	UA	B	1400	14.15	n/a	29-Apr	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	UA	S	1400	15.23	n/a	29-Apr	0.00	0.0
f ANDREW SINCLAIR	FID	UPLPZ	B	100	2.50	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	UPYOB	B	1	2.25	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	S	38,900	17.15	n/a	30-Jan	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	URBN	SS	25,000	16.99	n/a	30-Jan	1,250.00	5.0
f JOHN FRANCIS MCERLEA	FID	USO	S	1500	27.72	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	UYG	B	25,000	2.09	n/a	n/a	750.00	3.0
WYPER CAPITAL	044	V	B	40,000	52.90	n/a	7-May	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	237	WAG	B	25,000	22.98	n/a	n/a	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	WEC	S	4,000	36.78	n/a	n/a	160.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	WEN	B	20,000	4.93	n/a	24-Apr	600.00	3.0
TROUBH PART	067	WEN	S	50,000	4.65	n/a	24-Apr	2,500.00	5.0
THIRD POINT MGMT	044	WFC	SS	150,000	13.81	n/a	n/a	6,000.00	4.0
ß BUCK CAPITAL MGMT		WMS	C	10,000	18.32	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		WMS	C	40,000	19.72	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WMT+DJ[???	SS	2,000	1.43	n/a	n/a	non-brg	150.0
ß BUCK CAPITAL MGMT		WRC+GE[WRC]	SS	2,000	1.35	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		WRC	S	175,000	19.86	27-Feb	20-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	S	25,000	19.75	27-Feb	20-Apr	non-brg	2.0
ß BUCK CAPITAL MGMT		WRC	S	47,100	20.11	27-Feb	20-Apr	non-brg	2.5
ß BUCK CAPITAL MGMT		WRC	S	5,000	19.65	27-Feb	20-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	S	70,890	19.84	27-Feb	20-Apr	non-brg	1.5
BUCK CAPITAL MGMT	001	WSM	SS	150,000	9.48	n/a	n/a	4,500.00	3.0
ß BUCK CAPITAL MGMT		WSO	B	25,000	32.49	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	WU	S	19,400	11.54	n/a	n/a	776.00	4.0
f DAVID GEORGE BUCK	FID	WWRAX	S	45	1.40	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		XRT	C	350,000	20.60	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	SS	750,000	19.82	n/a	n/a	non-brg	1.0

TOTAL (Trade Date):

130,277.79

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/10	HIGHBRIDGE CAPITAL	038	ABX	B	72,000	26.53	n/a	n/a	2880.00 4.0
AO,CXL	03/10	HIGHBRIDGE CAPITAL	038	ABX	B	72,000	26.53	n/a	n/a	3600.00 5.0
AO,CXL	03/10	LISTED ERR	012	AMX	S	1,200	25.31	n/a	n/a	60.00 5.0
AO,	03/10	EVERCORE WEALTH MGMT	012	AMX	S	1,200	25.31	n/a	n/a	60.00 5.0
AO,CRT	03/10	LISTED ERR	099	BA	B	16,200	31.76	n/a	n/a	0.00 0.0
AO,CXL	03/10	EPOCH INV MGMT	099	BA	B	16,200	31.76	n/a	n/a	0.00 0.0
AO,CXL	03/11	JP MORGAN VENTURES	046	CHIC	B	40,000	6.55	n/a	n/a	2000.00 5.0
AO,CRT	03/11	JP MORGAN VENTURES	046	CHIC	B	40,000	6.55	n/a	n/a	1200.00 3.0
AO,CRT	03/10	LISTED ERR	099	SLGN	B	17,700	47.39	n/a	n/a	0.00 0.0
AO,CXL	03/10	OTC ERROR	099	SLGN	B	17,700	47.39	n/a	n/a	0.00 0.0
AO,CXL	03/10	OTC ERROR	099	SLGN	S	17,700	47.08	n/a	n/a	0.00 0.0
AO,CRT	03/10	LISTED ERR	099	SLGN	S	17,700	47.08	n/a	n/a	0.00 0.0
AO,CRT	03/11	SOUTH POINT CAP	067	TCK	SS	100,000	3.55	n/a	n/a	5000.00 5.0
AO,CXL	03/11	SOUTH POINT CAP	067	TCK	SS	100,000	3.55	n/a	n/a	4000.00 4.0
AO,CXL	03/10	MTB INV ADV	034	UA	S	45,000	13.78	n/a	29-Apr	1800.00 4.0
AO,CRT	03/10	MTB INV ADV	034	UA	S	45,000	13.78	n/a	29-Apr	2250.00 5.0
TOTAL (AO, CXL, CRT) :										-70.00

TOTAL (Trade Date):	130,277.79
TOTAL (AO, CXL, CRT):	-70.00

TOTAL (RUN DATE) / NFS:	130,207.79
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MRI Securities with Trade Activity on 12-Mar. ALV, BWA, HAR
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MRI Securities without Trade Activity on 12-Mar. PG, ZQK

BRG comm. as a % of BCM Total Comm. paid. T-Date = 17% YTD = 24%
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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)