



Daily Compliance Activity Report

Trade Date: 08/07/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------|------|--------|-----|---------|-------|--------|----------|--------------|
| BUCK CAPITAL MGMT | | ABG | S | 25,000 | 20.44 | 18-Jun | 27-Jul | non-brg 2.0 |
| BUCK CAPITAL MGMT | | ABG | S | 88,700 | 20.49 | 18-Jun | 27-Jul | non-brg 5.0 |
| J.W. SELIGMAN | 032 | ABT | B | 104,400 | 54.11 | n/a | 22-Apr | 4,176.00 4.0 |
| BUCK CAPITAL MGMT | | ADSGR | C | 120,000 | 59.43 | n/a | n/a | non-brg 11.9 |
| LUCHANSKY | 036 | AEMD | S | 1,000 | 0.75 | n/a | n/a | 0.00 0.0 |
| BUCK CAPITAL MGMT | | AEO | S | 100,000 | 23.71 | 10-Jul | 6-Aug | non-brg 5.0 |
| BUCK CAPITAL MGMT | | AEO | S | 100,000 | 23.84 | 10-Jul | 6-Aug | non-brg 5.0 |
| BUCK CAPITAL MGMT | | AEO | S | 100,000 | 24.01 | 10-Jul | 6-Aug | non-brg 5.0 |
| BUCK CAPITAL MGMT | | AEO | S | 200,000 | 24.01 | 10-Jul | 6-Aug | non-brg 4.0 |
| BUCK CAPITAL MGMT | | AEO | S | 270,200 | 23.97 | 10-Jul | 6-Aug | non-brg 5.0 |
| BUCK CAPITAL MGMT | | AEO | S | 375,000 | 24.11 | 10-Jul | 6-Aug | non-brg 2.0 |
| BUCK CAPITAL MGMT | | AEO | S | 54,800 | 24.08 | 10-Jul | 6-Aug | non-brg 5.0 |
| SLS CAPITAL LLC | 224 | AEO | B | 208,800 | 24.00 | 10-Jul | 6-Aug | 8,352.00 4.0 |
| ROBX | 035 | AHR | B | 150,000 | 7.17 | n/a | n/a | 5,250.00 3.5 |
| LISTED ERR | 099 | AIG | B | 2,700 | 65.01 | n/a | n/a | 0.00 0.0 |
| AMBER CAPITAL | 046 | AIN | S | 151,100 | 40.08 | n/a | n/a | 6,044.00 4.0 |
| COUGAR TRADING | 044 | ANF | S | 15,000 | 71.72 | 12-Jul | 6-Aug | 750.00 5.0 |
| J L F ASSET MGMT | 039 | ANF | B | 20,900 | 71.57 | 12-Jul | 6-Aug | 836.00 4.0 |
| U.S.TRUST COMPANY | 012 | APC | B | 55,000 | 50.45 | 22-Jun | 31-Jul | 2,475.00 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------|-----------|----------------|---------------|---------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | ARO | SS | 250,000 | 36.59 | n/a | 6-Aug | non-brg | 4.0 |
| THE JAY GOLDMAN | 034 | ARO | B | 80,000 | 36.65 | n/a | 6-Aug | 3,200.00 | 4.0 |
| SUFFOLK CAPITAL MGMT | 040 | BAC | B | 181,500 | 48.19 | 20-Apr | 20-Jul | 7,260.00 | 4.0 |
| LEDDY | 035 | BBW | B | 500 | 18.20 | 15-Jun | 27-Jul | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | BGC | S | 60,000 | 59.81 | n/a | n/a | 3,000.00 | 5.0 |
| KERN | 050 | BHP | B | 100 | 62.48 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BONT | B | 100,000 | 21.15 | 3-Aug | 6-Aug | non-brg | 5.0 |
| COUGAR TRADING | 044 | BONT | S | 5,000 | 20.72 | 3-Aug | 6-Aug | 250.00 | 5.0 |
| KERN | 050 | BSCTC | B | 10 | 5.20 | n/a | n/a | 0.00 | 0.0 |
| KERN | 050 | BSCTC | S | 10 | 7.00 | n/a | n/a | 0.00 | 0.0 |
| ZOLIDIS | 011 | BSC | B | 39 | 120.17 | n/a | 6-Aug | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | BWS | B | 20,000 | 20.05 | n/a | n/a | 800.00 | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | CASY | B | 25,000 | 26.92 | n/a | n/a | 750.00 | 3.0 |
| MAGUIRE | 090 | CCOI | B | 3,000 | 23.39 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | CDNS | S | 125,000 | 20.39 | n/a | n/a | non-brg | 5.0 |
| REINHART & MAHONEY | 031 | CDWC | S | 10,900 | 83.91 | n/a | n/a | 545.00 | 5.0 |
| Ö Glenn Redemann | | CEPH | B | 3 | 0.75 | 1-Aug | 6-Aug | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|----------------|-----|--------|-------|--------|----------|--------------|-----|
| Ö Glenn Redemann | | CEPH | B | 3 | 1.12 | 1-Aug | 6-Aug | 0.00 | 0.0 |
| ZOLIDIS | 011 | CHS | C | 700 | 18.47 | 12-Jul | 6-Aug | 0.00 | 0.0 |
| Ö Glenn Redemann | | COGN | B | 3 | 0.11 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | COGN | B | 3 | 0.20 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | COGN | SS | 3 | 0.75 | n/a | n/a | 0.00 | 0.0 |
| Ö Glenn Redemann | | COGN | SS | 3 | 0.91 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | COH | B | 25,000 | 47.81 | n/a | 1-Aug | non-brg | 5.0 |
| ß BUCK CAPITAL MGMT | | CWTR | B | 20,000 | 19.39 | n/a | n/a | non-brg | 5.0 |
| BRANDWINE | 028 | C | B | 83,900 | 48.69 | n/a | 23-Jul | 3,775.50 | 4.5 |
| ROSENBERG | 034 | DBD | S | 1,100 | 50.68 | 2-Aug | 2-Aug | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | DBRN | B | 30,000 | 17.75 | n/a | n/a | non-brg | 5.0 |
| BARON ASSET MGMT* | 012 | DKS | B | 10,000 | 58.49 | n/a | n/a | 500.00 | 5.0 |
| MCCARTAN | 028 | DURA OPER CORP | S | 25,000 | 52.00 | n/a | n/a | 0.00 | 0.0 |
| MANNING & NAPIER | 034 | DWA | S | 90,500 | 30.64 | n/a | n/a | 3,620.00 | 4.0 |
| MAGUIRE | 090 | EFT | B | 1,900 | 17.05 | n/a | n/a | 0.00 | 0.0 |
| BRUNNER | 012 | EXPD | S | 500 | 49.72 | n/a | n/a | 0.00 | 0.0 |
| LEDDY | 035 | FIG | B | 1,500 | 19.96 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| TRELLUS PARTNERS LP | 028 | FITB | SS | 20,000 | 39.61 | n/a | n/a | 1,000.00 | 5.0 |
| NWQ INVESTMENT MGMT CO | 048 | GFF | B | 15,000 | 12.84 | n/a | n/a | 600.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | GIII | B | 4,000 | 15.20 | n/a | n/a | non-brg | 5.0 |
| ß BUCK CAPITAL MGMT | | GIII | B | 6,000 | 14.70 | n/a | n/a | non-brg | 5.0 |
| J.W. SELIGMAN | 032 | GT | B | 67,500 | 26.24 | n/a | n/a | 2,700.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | GYMB | B | 20,000 | 41.83 | n/a | 6-Aug | non-brg | 5.0 |
| LOOMIS SALES/BOSTON | 036 | HAS | C | 32,400 | 27.08 | n/a | n/a | 1,296.00 | 4.0 |
| FARALLON CAP MGMT | 040 | HD | S | 316,100 | 36.54 | n/a | 27-Jul | 6,322.00 | 2.0 |
| Õ Glenn Redemann | | HNT | B | 3 | 0.62 | n/a | n/a | 0.00 | 0.0 |
| Õ Glenn Redemann | | HNT | B | 3 | 1.18 | n/a | n/a | 0.00 | 0.0 |
| CAXTON PART | 040 | INTC | S | 235,000 | 23.78 | n/a | n/a | 9,400.00 | 4.0 |
| BARR | 096 | IPGP | S | 1,900 | 17.35 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | IVZ | B | 10,000 | 24.59 | 2-Aug | 2-Aug | non-brg | 5.0 |
| ß BUCK CAPITAL MGMT | | JCG | B | 40,000 | 48.33 | 22-Jun | 6-Aug | non-brg | 5.0 |
| COUGAR TRADING | 044 | JCG | S | 20,500 | 50.32 | 22-Jun | 6-Aug | 1,025.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | JCP | C | 66,900 | 68.13 | 21-Jun | 6-Aug | 2,676.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | JCP | B | 20,000 | 68.47 | 21-Jun | 6-Aug | 1,000.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | JWN | B | 50,000 | 47.56 | 12-Jul | 6-Aug | 2,000.00 | 4.0 |
| MAGUIRE | 039 | KSS | B | 100 | 60.26 | 14-Jun | 27-Jul | 0.00 | 0.0 |
| KERN | 050 | LEH | B | 100 | 61.19 | 12-Jun | 2-Aug | 0.00 | 0.0 |
| Ⓐ BUCK CAPITAL MGMT | | LIZ | SS | 20,000 | 36.45 | n/a | 6-Aug | non-brg | 5.0 |
| CAMBIAR CAP | 046 | LPNT | B | 38,940 | 28.32 | n/a | 25-Jul | 1,557.60 | 4.0 |
| LEDDY | 035 | LULU | B | 500 | 35.50 | n/a | n/a | 0.00 | 0.0 |
| FARALLON CAP MGMT | 040 | LUV | S | 32,600 | 15.75 | n/a | n/a | 978.00 | 3.0 |
| FIRST NEW YORK LEDDY | 035 | LVL | B | 20,000 | 4.90 | 26-Jul | 7-Aug | 1,200.00 | 6.0 |
| LEDDY | 035 | MER | B | 400 | 76.52 | 18-Jul | 2-Aug | 0.00 | 0.0 |
| MORGAN LEWIS/MLH | 046 | MGI | B | 15,000 | 23.69 | n/a | n/a | 750.00 | 5.0 |
| BARR | 096 | MTG | SS | 700 | 35.50 | n/a | n/a | 0.00 | 0.0 |
| Ⓐ BUCK CAPITAL MGMT | | M | B | 10,000 | 34.66 | 13-Jul | 6-Aug | non-brg | 1.0 |
| Ⓐ BUCK CAPITAL MGMT | | M | B | 100,000 | 34.60 | 13-Jul | 6-Aug | non-brg | 5.0 |
| J L F ASSET MGMT | 039 | M | B | 123,400 | 34.63 | 13-Jul | 6-Aug | 4,936.00 | 4.0 |
| PRINCIPLE CAPITAL | 040 | M | B | 100,000 | 34.57 | 13-Jul | 6-Aug | 3,000.00 | 3.0 |
| WAGONHOUND | 048 | M | B | 4,770 | 33.75 | 13-Jul | 6-Aug | 190.80 | 4.0 |
| Ⓐ BUCK CAPITAL MGMT | | NEXC | B | 10,000 | 7.29 | n/a | n/a | non-brg | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| PAKLER | N22 | NILE | S | 71 | 93.60 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | NLS | C | 1,400 | 9.16 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | 001 | NWY | B | 100,000 | 8.82 | 25-May | 6-Aug | 4,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | NWY | B | 350,000 | 9.11 | 25-May | 6-Aug | non-brg | 4.0 |
| LEDDY | 035 | OPY | B | 300 | 47.75 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PERY | B | 30,000 | 26.79 | n/a | n/a | non-brg | 1.0 |
| REINHART & MAHONEY | 031 | PMD | S | 7,200 | 19.86 | n/a | n/a | 360.00 | 5.0 |
| BARR | 096 | PMI | SS | 250 | 30.79 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | PSUN | SS | 10,000 | 17.92 | n/a | 6-Aug | 500.00 | 5.0 |
| MAGUIRE | 039 | PVH | B | 200 | 55.47 | 31-May | 6-Aug | 0.00 | 0.0 |
| STANDARD PACIFIC CAPITAL | 040 | RAD | SS | 500,000 | 5.03 | n/a | n/a | 15,000.00 | 3.0 |
| BARR | 096 | RDN | SS | 500 | 23.79 | n/a | n/a | 0.00 | 0.0 |
| STADIA CAPITAL | 035 | RL | B | 10,000 | 91.31 | 21-Jun | 7-Aug | 400.00 | 4.0 |
| ZOLIDIS | 011 | RTH | C | 300 | 101.36 | n/a | n/a | 0.00 | 0.0 |
| REINHART & MAHONEY | 031 | RX | S | 47,160 | 29.54 | n/a | n/a | 2,358.00 | 5.0 |
| PAKLER | N22 | SAM | B | 141 | 46.93 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | SHOO | C | 35,000 | 26.62 | n/a | n/a | non-brg | 5.0 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 30,000 | 19.85 | n/a | 13-Mar | 1,200.00 | 4.0 |
| OTC ERROR | 099 | SLB | B | 100 | 89.02 | n/a | n/a | 0.00 | 0.0 |
| OTC ERROR | 099 | SLB | S | 100 | 88.99 | n/a | n/a | 0.00 | 0.0 |
| BELMONT GLOBAL ADV | 248 | SMBL | B | 20,000 | 8.90 | n/a | n/a | 1,000.00 | 5.0 |
| LEDDY | 035 | SUNW | B | 1,500 | 5.02 | n/a | n/a | 0.00 | 0.0 |
| LUCHANSKY2 | 036 | S | SS | 1,000 | 19.82 | n/a | n/a | 0.00 | 0.0 |
| U.S.TRUST COMPANY | 012 | TEL | S | 111,607 | 34.75 | n/a | n/a | 5,022.33 | 4.5 |
| LUCHANSKY2 | 036 | TGIC | C | 1,000 | 24.36 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | TJX | S | 5,000 | 28.68 | 13-Jul | 6-Aug | 250.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | TRLG | B | 10,000 | 19.17 | n/a | n/a | non-brg | 5.0 |
| SAC DOUG RODGERS | 040 | TROW | SS | 50,000 | 53.05 | n/a | 2-Aug | 2,500.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | TWB | B | 10,000 | 36.75 | 2-Jul | 6-Aug | non-brg | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | TWB | B | 10,000 | 37.47 | 2-Jul | 6-Aug | non-brg | 5.0 |
| LEDDY | 035 | TWB | B | 700 | 36.98 | 2-Jul | 6-Aug | 0.00 | 0.0 |
| LEDDY | 035 | TWM | S | 1,800 | 74.05 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | TWTC | B | 20,000 | 17.00 | 4-May | 7-Aug | non-brg | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| FARALLON CAP MGMT | 040 | TXU | S | 373,964 | 64.82 | n/a | n/a | 7,479.28 | 2.0 |
| HEALY CIRCLE | 044 | TYC | S | 10,000 | 47.41 | 6-Aug | 7-Aug | 500.00 | 5.0 |
| CAXTON PART | 040 | UFS | B | 100,000 | 8.69 | n/a | n/a | 4,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | URBN | S | 100,000 | 23.25 | 31-Jul | 7-Aug | non-brg | 5.0 |
| COUGAR TRADING | 044 | URBN | SS | 10,000 | 23.02 | 31-Jul | 7-Aug | 500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | USTR | C | 21,102 | 55.36 | 23-May | 27-Jul | non-brg | 5.0 |
| SINCLAIR | 031 | VLCM | S | 100 | 40.26 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | WDR | B | 10,000 | 24.79 | 13-Jul | 2-Aug | non-brg | 5.0 |
| ß BUCK CAPITAL MGMT | | WRNC | S | 120,000 | 40.25 | 18-Jul | 6-Aug | non-brg | 5.0 |
| ß BUCK CAPITAL MGMT | | WRNC | S | 80,000 | 40.20 | 18-Jul | 6-Aug | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | WTSLA | B | 20,000 | 3.96 | n/a | n/a | non-brg | 3.0 |
| GRUBER MACBAINE | 033 | XLY | B | 10,000 | 36.69 | n/a | n/a | 400.00 | 4.0 |
| COUGAR TRADING | 044 | ZQK | S | 5,000 | 14.47 | 9-Mar | 27-Jun | 250.00 | 5.0 |
| MCCARTAN | 028 | ZQK | S | 325 | 13.91 | 9-Mar | 27-Jun | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | ZUMZ | S | 40,000 | 39.77 | n/a | n/a | non-brg | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 137,934.51 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|----------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| AO, | 08/03 | LISTED ERR | 099 | AIG | S | 2,700 | 61.79 | n/a | n/a | 0.00 | 0.0 |
| AO, | 08/06 | COUGAR TRADING | 044 | ANF | B | 5,000 | 69.45 | 12-Jul | 6-Aug | 250.00 | 5.0 |
| AO,CRT | 08/06 | RAMIUS CAP | 040 | BIG | C | 25,000 | 25.36 | 9-Mar | 7-Aug | 1250.00 | 5.0 |
| AO,CXL | 08/06 | RAMIUS CAP | 040 | BIG | C | 25,000 | 25.36 | 9-Mar | 7-Aug | 0.00 | 0.0 |
| AO,CXL | 08/06 | COUGAR TRADING | 044 | BONT | S | 5,000 | 20.47 | 3-Aug | 6-Aug | 0.00 | 0.0 |
| AO,CRT | 08/06 | COUGAR TRADING | 044 | BONT | S | 5,000 | 20.47 | 3-Aug | 6-Aug | 250.00 | 5.0 |
| AO, | 08/06 | AVENUE CAPITAL MGMT | 036 | FDC | S | 200,000 | 31.90 | n/a | n/a | 6000.00 | 3.0 |
| AO, | 08/06 | SUFFOLK CAPITAL MGMT | 040 | GLW | B | 100,000 | 23.02 | n/a | 1-Aug | 4000.00 | 4.0 |
| AO, | 08/06 | HIGHFIELDS CAP MGMT | 039 | NT | S | 256,418 | 18.29 | n/a | 22-Mar | 12820.90 | 5.0 |
| AO, | 08/06 | SNYDER CAPITAL | 038 | OMX | B | 33,500 | 34.00 | n/a | 15-Apr | 1340.00 | 4.0 |
| AO, | 08/06 | COUGAR TRADING | 044 | RL | SS | 10,000 | 86.06 | 21-Jun | 7-Aug | 500.00 | 5.0 |
| AO,CXL | 08/06 | COUGAR TRADING | 044 | RL | SS | 15,000 | 28.93 | 21-Jun | 7-Aug | 750.00 | 5.0 |
| AO, | 08/06 | AVENUE CAPITAL MGMT | 036 | TXU | B | 50,000 | 64.10 | n/a | n/a | 1500.00 | 3.0 |
| AO, | 08/06 | MKT MAKER | 099 | URBN | S | 20,455 | 20.96 | 31-Jul | 7-Aug | 0.00 | 0.0 |
| AO,CRT | 07/17 | SOCIETY GENERALE | 040 | WBC | S | 7,000 | 58.00 | n/a | n/a | 280.00 | 4.0 |
| AO,CXL | 07/17 | SOCIETY GENERALE | 040 | WBC | S | 7,000 | 58.00 | n/a | n/a | 350.00 | 5.0 |

TOTAL (AO, CXL, CRT) :**27,090.90**

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|-----------------------|------------|
| TOTAL (Trade Date): | 137,934.51 |
| TOTAL (AO, CXL, CRT): | 27,090.90 |

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|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 165,025.41 |
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| MRI Securities with Trade Activity on 7-Aug. NONE |
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| MRI Securities without Trade Activity on 7-Aug. MCCC, SPC |
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| BRG comm. as a % of BCM Total Comm. paid. T-Date = 6% YTD = 17% |
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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