



Daily Compliance Activity Report

Trade Date: 02/01/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	B	55	457.10	n/a	n/a	2.20	4.0
MELLON/BANK OF NEW YORK	046	AAPL	S	77	457.21	n/a	n/a	3.08	4.0
MELLON/BANK OF NEW YORK	046	ABT	B	1,700	54.26	n/a	n/a	68.00	4.0
MELLON/BANK OF NEW YORK	046	ADS	B	220	111.19	n/a	n/a	8.80	4.0
ROYCE TRADING	031	AIN	S	1,000	24.42	n/a	n/a	50.00	5.0
HOLLIS CAPITAL	033	ALR	B	5,000	24.38	n/a	n/a	250.00	5.0
WEINTRAUB CAPITAL MGT.	269	ALV	SS	15,000	63.92	n/a	25-Jan	600.00	4.0
PILOT ADV	041	AMD	B	139,000	6.89	n/a	n/a	2,780.00	2.0
MELLON/BANK OF NEW YORK	046	AMZN	B	1,190	179.18	n/a	n/a	47.60	4.0
MELLON/BANK OF NEW YORK	046	AMZN	S	175	175.82	n/a	n/a	7.00	4.0
CADIAN CAPITAL	041	ANF	B	70,000	47.12	n/a	9-Jan	2,100.00	3.0
MELLON/BANK OF NEW YORK	046	ARCO	S	330	21.41	n/a	6-Jan	13.20	4.0
MELLON/BANK OF NEW YORK	046	AVP	S	3,000	18.25	n/a	9-Jan	120.00	4.0
NEWLAND CAPITAL MGT	025	AXL	S	29,000	12.14	n/a	25-Jan	1,160.00	4.0
MELLON/BANK OF NEW YORK	046	BAC	B	3,300	7.40	n/a	1-Feb	132.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	BAC	S	9,100	7.38	n/a	1-Feb	364.00	4.0
MELLON/BANK OF NEW YORK	046	BEAM	S	185	53.07	n/a	n/a	7.40	4.0
MELLON/BANK OF NEW YORK	046	BEN	B	85	109.82	n/a	2-Mar	3.40	4.0
ROYCE TRADING	031	BHE	S	2,000	17.69	n/a	n/a	100.00	5.0
MELLON/BANK OF NEW YORK	046	BIDU	B	230	127.24	n/a	n/a	9.20	4.0
CATAPULT CAP/DEFRANCO	040	BMV	SS	63,000	32.39	n/a	n/a	2,520.00	4.0
MELLON/BANK OF NEW YORK	046	BMV	B	1,000	32.54	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	CAT	B	932	111.34	n/a	27-Jan	37.28	4.0
MELLON/BANK OF NEW YORK	046	CAT	S	515	110.79	n/a	27-Jan	20.60	4.0
MELLON/BANK OF NEW YORK	046	CBG	B	1,300	19.05	n/a	n/a	52.00	4.0
MELLON/BANK OF NEW YORK	046	CCE	S	250	27.09	n/a	n/a	10.00	4.0
ASCEND PARTNERS	033	CFN	B	20,414	23.96	n/a	n/a	612.42	3.0
ROYCE TRADING	031	CLI	S	1,000	29.11	n/a	n/a	50.00	5.0
MELLON/BANK OF NEW YORK	046	CL	B	1,000	91.37	n/a	26-Jan	40.00	4.0
FARALLON CAP MGMT	040	CMCSA	S	150,000	26.68	n/a	n/a	4,500.00	3.0
MELLON/BANK OF NEW YORK	046	CMI	B	500	107.29	n/a	25-Jan	20.00	4.0
MELLON/BANK OF NEW YORK	046	COV	B	1,370	52.56	n/a	n/a	54.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	CRM	S	454	118.16	n/a	n/a	18.16	4.0
ROARING BLUE LION MGMT	031	CROX	S	9,600	19.91	n/a	n/a	384.00	4.0
MELLON/BANK OF NEW YORK	046	CSJ	S	150	104.71	n/a	n/a	6.00	4.0
MELLON/BANK OF NEW YORK	046	CVC	B	1,000	14.41	n/a	n/a	40.00	4.0
KENNEDY CAPITAL	046	CVGI	S	8,768	13.10	n/a	n/a	350.72	4.0
MELLON/BANK OF NEW YORK	046	CVS	S	1,200	42.11	n/a	n/a	48.00	4.0
MELLON/BANK OF NEW YORK	046	CVX	B	2,038	103.78	n/a	n/a	81.52	4.0
MELLON/BANK OF NEW YORK	046	CVX	S	500	102.95	n/a	n/a	20.00	4.0
ROYCE TRADING	031	CYT	S	500	56.56	n/a	n/a	25.00	5.0
MELLON/BANK OF NEW YORK	046	C	B	1,500	31.84	n/a	1-Feb	60.00	4.0
MELLON/BANK OF NEW YORK	046	C	S	1,300	31.35	n/a	1-Feb	52.00	4.0
CENTURION PARTNERS	041	DAL	B	20,000	10.94	n/a	n/a	800.00	4.0
MELLON/BANK OF NEW YORK	046	DD	B	2,000	51.66	n/a	24-Jan	80.00	4.0
MELLON/BANK OF NEW YORK	046	DD	S	5,000	51.60	n/a	24-Jan	200.00	4.0
MELLON/BANK OF NEW YORK	046	DIA	S	100	127.53	n/a	n/a	4.00	4.0
MELLON/BANK OF NEW YORK	046	DOV	B	1,500	64.61	n/a	n/a	60.00	4.0
TUDOR INVESTORS	028	DOW	B	15,000	33.99	n/a	14-Dec	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	DTV	B	1,700	45.48	n/a	n/a	68.00	4.0
MELLON/BANK OF NEW YORK	046	DUK	S	5,170	21.47	n/a	n/a	206.80	4.0
MELLON/BANK OF NEW YORK	046	D	S	3,000	50.44	n/a	n/a	120.00	4.0
MELLON/BANK OF NEW YORK	046	EA	B	1,000	18.47	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	EEM	B	5,935	42.76	n/a	n/a	237.40	4.0
MELLON/BANK OF NEW YORK	046	EEM	S	7,125	43.11	n/a	n/a	285.00	4.0
NORTHWESTERN MUTUAL LIFE	047	EEM	S	464,100	43.09	n/a	n/a	9,282.00	2.0
PATTEN & PATTEN	025	EEM	B	300	43.09	n/a	n/a	15.00	5.0
MELLON/BANK OF NEW YORK	046	EFA	S	15,348	53.17	n/a	n/a	613.92	4.0
MELLON/BANK OF NEW YORK	046	ETN	B	1,250	50.05	n/a	27-Jan	50.00	4.0
MELLON/BANK OF NEW YORK	046	EUO	S	500	19.48	n/a	n/a	20.00	4.0
MELLON/BANK OF NEW YORK	046	EXC	S	1,125	39.58	n/a	n/a	45.00	4.0
CATAPULT CAP/DEFRANCO	040	EXP	S	12,694	29.39	n/a	n/a	507.76	4.0
MELLON/BANK OF NEW YORK	046	FBHS	S	185	19.14	n/a	n/a	7.40	4.0
FARALLON CAP MGMT	040	FIS	S	35,000	28.68	n/a	n/a	1,400.00	4.0
GEORGE WEISS	034	FL	S	23,000	26.67	n/a	9-Jan	920.00	4.0
ROARING BLUE LION MGMT	031	FL	S	4,000	26.77	n/a	9-Jan	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	FOE	S	2,500	7.02	n/a	n/a	125.00	5.0
ROYCE TRADING	031	FRM	S	1,500	7.91	n/a	n/a	75.00	5.0
MELLON/BANK OF NEW YORK	046	FTR	S	929	4.27	n/a	n/a	37.16	4.0
CAPITAL GROWTH MGMT.	241	F	S	150,000	12.31	n/a	31-Jan	3,000.00	2.0
MELLON/BANK OF NEW YORK	046	F	B	3,500	12.42	n/a	31-Jan	140.00	4.0
VERITION	028	GCI	S	22,500	14.38	n/a	n/a	675.00	3.0
MELLON/BANK OF NEW YORK	046	GE	B	14,000	18.98	n/a	n/a	560.00	4.0
MELLON/BANK OF NEW YORK	046	GE	S	2,500	18.87	n/a	n/a	100.00	4.0
MELLON/BANK OF NEW YORK	046	GLD	S	130	169.76	n/a	n/a	5.20	4.0
OZ MGMT	040	GM	C	75,000	24.28	n/a	31-Jan	2,250.00	3.0
OZ MGMT	040	GM	SS	75,000	24.15	n/a	31-Jan	2,250.00	3.0
MELLON/BANK OF NEW YORK	046	GOOG	B	175	582.12	n/a	n/a	7.00	4.0
MELLON/BANK OF NEW YORK	046	GOOG	S	10	582.55	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	GSG	B	2,170	33.95	n/a	n/a	86.80	4.0
MELLON/BANK OF NEW YORK	046	GSG	S	5,020	33.95	n/a	n/a	200.80	4.0
MELLON/BANK OF NEW YORK	046	GSVC	B	1,000	17.99	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	GS	S	710	115.18	n/a	1-Feb	28.40	4.0
BALLAST CAP	040	HD	S	12,500	44.63	n/a	8-Dec	625.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	HES	B	61,950	56.78	n/a	n/a	2,478.00	4.0
PILOT ADV	041	HMA	B	7,700	6.54	n/a	n/a	154.00	2.0
MELLON/BANK OF NEW YORK	046	HPQ	S	1,000	28.84	n/a	n/a	40.00	4.0
FIRST NY SEC/CHRIS	041	HRS	B	11,000	41.15	n/a	1-Feb	550.00	5.0
MELLON/BANK OF NEW YORK	046	IBM	B	500	194.20	n/a	n/a	20.00	4.0
MELLON/BANK OF NEW YORK	046	IBM	S	190	193.96	n/a	n/a	7.60	4.0
MELLON/BANK OF NEW YORK	046	ICE	S	10	115.18	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	IDIX	B	1,690	13.60	n/a	n/a	67.60	4.0
MOORE CAPITAL	041	ITB	S	22,500	13.16	n/a	n/a	675.00	3.0
MELLON/BANK OF NEW YORK	046	IVR	B	220	15.84	n/a	n/a	8.80	4.0
MELLON/BANK OF NEW YORK	046	IVR	S	20	15.83	n/a	n/a	0.80	4.0
MELLON/BANK OF NEW YORK	046	IVV	B	175	132.77	n/a	n/a	7.00	4.0
MELLON/BANK OF NEW YORK	046	IVV	S	9,177	133.44	n/a	n/a	367.08	4.0
MELLON/BANK OF NEW YORK	046	IVZ	B	10,530	23.19	n/a	2-Mar	421.20	4.0
MELLON/BANK OF NEW YORK	046	IWR	S	480	105.98	n/a	n/a	19.20	4.0
MELLON/BANK OF NEW YORK	046	JCI	B	7,920	32.14	n/a	19-Jan	316.80	4.0
THE JAY GOLDMAN	028	JCP	SS	60,000	41.41	n/a	27-Jan	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	JNJ	B	1,400	65.98	n/a	n/a	56.00	4.0
ROYCE TRADING	031	JNY	S	3,000	9.28	n/a	23-Jan	150.00	5.0
WEISS PECK - ROBECO INV		040	JNY	B	24,400	9.33	n/a	23-Jan	976.00 4.0
MELLON/BANK OF NEW YORK	046	JPM	B	8,110	37.84	n/a	1-Feb	324.40	4.0
ROYCE TRADING	031	KEG	S	2,500	14.80	n/a	6-Jan	125.00	5.0
ROYCE TRADING	031	KEM	S	2,500	9.43	n/a	n/a	125.00	5.0
MELLON/BANK OF NEW YORK	046	KMI	B	1,170	32.43	n/a	n/a	46.80	4.0
MELLON/BANK OF NEW YORK	046	K	S	1,000	49.74	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	LEA	B	49,350	43.12	n/a	25-Jan	1,974.00	4.0
MELLON/BANK OF NEW YORK	046	LNC	S	1,080	22.23	n/a	n/a	43.20	4.0
MELLON/BANK OF NEW YORK	046	LO	B	1,535	108.01	n/a	n/a	61.40	4.0
MELLON/BANK OF NEW YORK	046	LO	S	5	107.98	n/a	n/a	0.20	4.0
MELLON/BANK OF NEW YORK	046	LQD	B	15	116.03	n/a	n/a	0.60	4.0
MELLON/BANK OF NEW YORK	046	MA	B	15	356.72	n/a	31-Jan	0.60	4.0
MELLON/BANK OF NEW YORK	046	MA	S	84	358.86	n/a	31-Jan	3.36	4.0
ROYCE TRADING	031	MBI	S	2,000	12.93	n/a	n/a	100.00	5.0
MELLON/BANK OF NEW YORK	046	MCHP	B	2,500	37.50	n/a	n/a	100.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	MDY	S	300	172.93	n/a	n/a	12.00	4.0
MELLON/BANK OF NEW YORK	046	MET	B	3,500	36.43	n/a	n/a	140.00	4.0
MELLON/BANK OF NEW YORK	046	MMM	B	1,000	87.55	n/a	26-Jan	40.00	4.0
MELLON/BANK OF NEW YORK	046	MRO	B	6,240	31.91	n/a	n/a	249.60	4.0
MELLON/BANK OF NEW YORK	046	MSFT	S	2,700	29.98	n/a	n/a	108.00	4.0
VISIUM/BALY BOBBY	044	MTW	SS	20,000	14.75	n/a	25-Jan	1,000.00	5.0
YORK CAPITAL	036	MTW	B	700	14.50	n/a	25-Jan	21.00	3.0
ROYCE TRADING	031	MTX	B	500	64.40	n/a	n/a	25.00	5.0
GEORGE WEISS	034	MW	S	11,500	35.00	n/a	n/a	460.00	4.0
BASIX	033	NAV	B	30,000	45.63	n/a	25-Jan	900.00	3.0
MELLON/BANK OF NEW YORK	046	NAV	B	52,450	45.12	n/a	25-Jan	2,098.00	4.0
NEWLAND CAPITAL MGT	025	NAV	S	25,000	45.67	n/a	25-Jan	1,000.00	4.0
TALKOT CAPITAL LLC	084	NAV	SS	10,000	45.50	n/a	25-Jan	500.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	NAV	B	10,000	44.85		n/a 25-Jan	500.00	5.0
MELLON/BANK OF NEW YORK	046	NBL	S	200	101.75	n/a	n/a	8.00	4.0
MELLON/BANK OF NEW YORK	046	NEE	B	1,000	60.24	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	NE	B	1,500	35.38	n/a	n/a	60.00	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.15	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	NSC	B	1,000	73.14	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	NXPI	B	10,480	22.24	n/a	n/a	419.20	4.0
MELLON/BANK OF NEW YORK	046	ORCL	B	1,500	28.75	n/a	n/a	60.00	4.0
CAPITAL GROWTH MGMT.	241	OXY	S	350,000	99.47	n/a	n/a	17,500.00	5.0
BRONSON POINT	036	PCAR	S	25,000	43.97	n/a	1-Feb	750.00	3.0
MELLON/BANK OF NEW YORK	046	PEP	S	2,000	66.39	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	PFE	B	1,500	21.38	n/a	n/a	60.00	4.0
MELLON/BANK OF NEW YORK	046	PG	B	1,000	63.40	n/a	30-Jan	40.00	4.0
MELLON/BANK OF NEW YORK	046	PM	B	1,300	75.87	n/a	n/a	52.00	4.0
ASCEND PARTNERS	033	PVH	B	22,140	77.07	n/a	23-Jan	1,107.00	5.0
MELLON/BANK OF NEW YORK	046	PVH	B	100	77.05	n/a	23-Jan	4.00	4.0
MELLON/BANK OF NEW YORK	046	PX	B	265	107.64	n/a	26-Jan	10.60	4.0
MELLON/BANK OF NEW YORK	046	PX	S	410	107.63	n/a	26-Jan	16.40	4.0
MELLON/BANK OF NEW YORK	046	QCOM	B	1,740	59.61	n/a	n/a	69.60	4.0
WATERFRONT CAP	028	RCL	B	50,000	28.24	n/a	n/a	2,000.00	4.0
MELLON/BANK OF NEW YORK	046	RDSB	B	1,300	73.96	n/a	n/a	52.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	REM	B	7,335	13.63	n/a	n/a	293.40	4.0
ARMATURE CAPITAL	041	RKT	B	30,000	63.91	n/a	26-Jan	1,200.00	4.0
MELLON/BANK OF NEW YORK	046	ROVI	B	4,440	33.04	n/a	n/a	177.60	4.0
MELLON/BANK OF NEW YORK	046	SCHW	S	3,000	11.84	n/a	n/a	120.00	4.0
DELTEC ASSET MGMT.	040	SI	B	5,000	96.40	n/a	n/a	250.00	5.0
PHILADELPHIA FINANCIAL	033	SLM	S	44,171	15.41	n/a	26-Jan	1,766.84	4.0
MELLON/BANK OF NEW YORK	046	SONS	S	2,000	2.65	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	SPF	S	3,830	3.79	n/a	n/a	153.20	4.0
MELLON/BANK OF NEW YORK	046	SPLS	B	8,425	14.83	n/a	n/a	337.00	4.0
MELLON/BANK OF NEW YORK	046	SPY	S	1,615	132.75	n/a	n/a	64.60	4.0
MELLON/BANK OF NEW YORK	046	STBZ	S	500	16.14	n/a	n/a	20.00	4.0
MELLON/BANK OF NEW YORK	046	STX	B	140	25.41	n/a	n/a	5.60	4.0
MELLON/BANK OF NEW YORK	046	STX	S	210	25.13	n/a	n/a	8.40	4.0
MELLON/BANK OF NEW YORK	046	SUB	B	700	106.68	n/a	n/a	28.00	4.0
MELLON/BANK OF NEW YORK	046	SWK	S	200	72.02	n/a	n/a	8.00	4.0
MELLON/BANK OF NEW YORK	046	SXC	S	106	14.00	n/a	n/a	4.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	TGT	B	3,100	51.29	n/a	31-Jan	124.00	4.0
MELLON/BANK OF NEW YORK	046	TIP	S	275	118.99	n/a	n/a	11.00	4.0
MELLON/BANK OF NEW YORK	046	TMO	B	4,500	54.50	n/a	n/a	180.00	4.0
MELLON/BANK OF NEW YORK	046	TXN	B	2,175	33.10	n/a	n/a	87.00	4.0
MELLON/BANK OF NEW YORK	046	TXT	S	2,000	25.78	n/a	n/a	80.00	4.0
BRONSON POINT	036	UPS	S	17,500	76.88	n/a	n/a	525.00	3.0
MELLON/BANK OF NEW YORK	046	USB	B	2,000	28.71	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	USB	S	1,000	28.70	n/a	n/a	40.00	4.0
CENTURION PARTNERS	041	USG	S	10,000	13.38	n/a	23-Jan	400.00	4.0
MELLON/BANK OF NEW YORK	046	VALE	B	1,000	26.29	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	VEA	S	57,500	32.78	n/a	n/a	2,300.00	4.0
MELLON/BANK OF NEW YORK	046	VWO	B	6,500	43.03	n/a	n/a	260.00	4.0
MELLON/BANK OF NEW YORK	046	V	S	11	101.64	n/a	5-Jan	0.44	4.0
MELLON/BANK OF NEW YORK	046	WFC	B	2,740	29.95	n/a	1-Feb	109.60	4.0
CRAMER ROSENTHAL/SCOTT	070	WMB	B	120,630	29.53	n/a	n/a	4,825.20	4.0
MELLON/BANK OF NEW YORK	046	WPX	S	141	16.24	n/a	n/a	5.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	S	15,000	20.10	n/a	23-Jan	750.00	5.0
MELLON/BANK OF NEW YORK	046	XLFX	S	44,500	14.33	n/a	n/a	1,780.00	4.0
MELLON/BANK OF NEW YORK	046	XLK	S	15,500	27.38	n/a	n/a	620.00	4.0
MELLON/BANK OF NEW YORK	046	XLY	S	6,400	41.55	n/a	n/a	256.00	4.0
MELLON/BANK OF NEW YORK	046	XYL	B	100	26.48	n/a	n/a	4.00	4.0
TUDOR INVESTORS	028	ZUMZ	B	12,500	28.90	n/a	n/a	375.00	3.0
TOTAL (Trade Date) :							101,898.62		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/31	DC CAPITAL (DCCAGOLDMA)	044	F	S	50,000	12.43	n/a	31-Jan	2000.00 4.0
AO,CRT	01/31	DC CAPITAL (DCCAGOLDMA)	044	F	S	50,000	12.43	n/a	31-Jan	1500.00 3.0
CRT	02/01	VERITION (VERTBAMLAC)	028	GCI	S	22,500	14.38	n/a	n/a	675.00 3.0
AO,CXL	01/25	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	IDXX	S	1,050	86.21	n/a	n/a	52.50 5.0
AO,	01/25	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	IDXX	S	1,050	86.21	n/a	n/a	52.50 5.0
TOTAL (AO, CXL, CRT) :										175.00

TOTAL (Trade Date) :	101,898.62
TOTAL (AO, CXL, CRT) :	175.00

TOTAL (RUN DATE) / NFS:	102,073.62
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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