



Daily Compliance Activity Report

Trade Date: 08/07/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	70,000	43.72	n/a	n/a	2,800.00	4.0
BUCK	015	ABT	S	1,500	58.36	n/a	22-Apr	0.00	0.0
PATTEN & PATTEN	067	AB	B	200	51.82	15-Jul	5-Aug	10.00	5.0
PATTEN & PATTEN	067	ADM	B	17,450	26.27	29-Apr	5-Aug	872.50	5.0
COUGAR TRADING	044	AEO	S	40,000	13.69	6-Mar	4-Aug	2,000.00	5.0
GRISANTI BROWN & PARTNER	048	AEO	B	16,700	13.68	6-Mar	4-Aug	835.00	5.0
BUCK	015	AET	B	300	43.15	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	AGN	B	600	54.85	n/a	5-Aug	30.00	5.0
MERRILL ASSET	032	AIG	B	720,100	24.42	n/a	n/a	32,404.50	4.5
WHEELER	008	AIXD	B	20,000	2.55	n/a	n/a	0.00	0.0
TYEE/TYGH	035	AMG	B	50,000	89.18	23-Jul	5-Aug	2,000.00	4.0
ARIENCE CAPITAL	036	ANF	SS	24,100	51.74	7-Aug	7-Aug	1,205.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	220,000	50.01	7-Aug	7-Aug	8,800.00	4.0
ARIENCE CAPITAL	036	ARO	C	37,200	33.93	28-Apr	4-Aug	1,860.00	5.0
COUGAR TRADING	044	ARO	B	5,000	33.37	28-Apr	4-Aug	250.00	5.0
PATTEN & PATTEN	067	AVY	B	400	45.04	22-Apr	22-Jul	20.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	BBBY	C	5,000	28.80	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BBT	S	348	29.19	n/a	n/a	17.40	5.0
PATTEN & PATTEN	067	BBY	B	250	40.70	n/a	27-Jul	12.50	5.0
DANIELS	N25	BQI	B	100	4.13	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BRKB	S	23,790.00		n/a	n/a	0.10	5.0
WHEELER	008	BTN	B	5,000	4.35	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	BWA	SS	32,580	40.14	10-Jun	1-Aug	1,303.20	4.0
ROYCE TRADING	216	CAB	B	10,000	10.56	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	CAG	S	1,100	21.40	n/a	n/a	55.00	5.0
TOKIO MARINE ASSET MGMT	045	CAM	B	9,500	48.85	n/a	n/a	380.00	4.0
AVESTA CAP	229	CCL	S	50,000	38.00	n/a	26-Jan	2,500.00	5.0
TRUST CO/COWEN/CALF.	040	CNS	B	5,800	24.59	n/a	n/a	232.00	4.0
COUGAR TRADING	044	CPKI	B	5,000	13.91	10-Jul	5-Aug	250.00	5.0
PATTEN & PATTEN	067	CSCO	S	1,400	23.81	n/a	22-Mar	70.00	5.0
RAINIER INV MGMT	035	CTV	B	108,450	44.85	n/a	n/a	4,338.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	034	DDS	B	25,000	10.16	n/a	n/a	1,250.00	5.0
STELLIAM INV ADV	040	DE	SS	5,000	67.55	n/a	23-May	250.00	5.0
WEISS PECK	040	DLM	S	175,840	8.59	n/a	n/a	7,033.60	4.0
GABELLI FUNDS	028	EDS	B	100,000	24.87	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	EWG	S	14,600	28.94	n/a	n/a	730.00	5.0
PATTEN & PATTEN	067	EWZ	B	600	77.21	n/a	n/a	30.00	5.0
BMO NESBITT BURNS	041	FDO	SS	25,000	24.04	23-Jul	4-Aug	1,250.00	5.0
COUGAR TRADING	044	FOSL	B	10,000	26.12	n/a	6-Aug	500.00	5.0
COUGAR TRADING	044	FOSL	S	10,000	26.27	n/a	6-Aug	500.00	5.0
PATTEN & PATTEN	067	FRP	B	197	5.99	n/a	n/a	9.85	5.0
TRELLUS PARTNERS LP	028	F	SS	110,000	4.94	25-Jul	28-Jul	3,300.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	29.53	n/a	10-Jan	800.00	4.0
WEISS PECK	040	GIL	S	9,700	24.82	30-Apr	18-Jul	485.00	5.0
TOKIO MARINE ASSET MGMT	045	GIS	B	33,000	66.00	n/a	n/a	1,320.00	4.0
COUGAR TRADING	044	GPS	B	5,000	16.81	n/a	4-Aug	250.00	5.0
NOMURA CAPITAL	045	GRA	S	1,400	25.78	n/a	n/a	70.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOKIO MARINE ASSET MGMT	045	HAL	B	15,000	44.78	n/a	n/a	600.00	4.0
SAB CAPITAL	034	HBI	SS	100,000	23.93	n/a	n/a	5,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	HRS	B	123,300	48.59	2-Jun	6-Aug	4,932.00	4.0
WHEELER	008	HSTX	B	5,000	7.70	n/a	n/a	0.00	0.0
J COHEN	N27	HSTX	B	180	7.95	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	IAT	B	7,300	30.13	n/a	n/a	365.00	5.0
MAIRS AND POWER INV	030	INTC	S	20,000	23.94	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	IYT	S	200	90.61	n/a	n/a	10.00	5.0
KORMAN	003	JASO	S	5,000	15.53	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	B	5,000	28.96	n/a	30-May	250.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	29.07	n/a	30-May	250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	80,000	33.55	n/a	4-Aug	3,200.00	4.0
HEALY CIRCLE	044	JCP	B	10,000	33.48	n/a	4-Aug	500.00	5.0
PATTEN & PATTEN	067	JNJ	S	200	70.85	n/a	22-Apr	10.00	5.0
COUGAR TRADING	044	JWN	B	25,000	28.34	10-Jul	4-Aug	1,250.00	5.0
COUGAR TRADING	044	JWN	S	10,000	28.61	10-Jul	4-Aug	500.00	5.0
TRUST CO/COWEN/CALF.	040	KEG	B	12,300	15.97	n/a	7-Aug	492.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	KRE	B	155	31.62	n/a	n/a	7.75	5.0
BUCK CAPITAL MGMT	001	KSS	B	50,000	44.19	n/a	4-Aug	2,000.00	4.0
COUGAR TRADING	044	KSS	B	5,000	44.83	n/a	4-Aug	250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	43.50	n/a	4-Aug	250.00	5.0
ZOLIDIS	011	KSWS	C	1,000	15.80	n/a	13-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	S	50,000	13.95	n/a	25-Jul	2,000.00	4.0
KORMAN	003	LL	C	3,000	13.00	n/a	n/a	0.00	0.0
CROWN ADVISORS	045	LM	B	2,000	40.12	1-Jul	5-Aug	100.00	5.0
PATTEN & PATTEN	067	LOW	S	2,200	21.05	n/a	27-Jul	110.00	5.0
COUGAR TRADING	044	LTD	B	30,000	17.42	n/a	4-Aug	1,500.00	5.0
PATTEN & PATTEN	067	MAR	S	5,300	27.48	n/a	n/a	265.00	5.0
SECOND CURVE	031	MBI	B	50,000	8.30	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	MDT	S	494	53.11	n/a	22-Apr	24.70	5.0
SANDLER CAPITAL	038	MEE	SS	70,000	61.91	n/a	n/a	4,200.00	6.0
SANDLER O'NEILL ASSET	031	MER	B	50,000	26.76	24-Jun	29-Jul	2,500.00	5.0
EMP ERROR	099	MER	B	500	27.43	24-Jun	29-Jul	0.00	0.0
EMP ERROR	099	MER	S	500	27.42	24-Jun	29-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	MGU	S	1,500	22.12	n/a	n/a	75.00	5.0
PATTEN & PATTEN	067	MIC	B	400	22.11	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	MIC	S	6,000	22.11	n/a	n/a	300.00	5.0
PATTEN & PATTEN	067	MRK	B	4,100	35.42	n/a	n/a	205.00	5.0
PATTEN & PATTEN	067	MSFT	S	3,628	27.40	n/a	3-Apr	181.40	5.0
SANDLER O'NEILL ASSET	031	MS	S	50,000	42.94	n/a	14-Jul	2,500.00	5.0
PATTEN & PATTEN	067	MUB	B	500	99.72	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	20.71	n/a	n/a	1,200.00	4.0
TRUST CO/COWEN/CALF.	040	MYL	B	25,245	14.30	30-May	7-Aug	1,009.80	4.0
COUGAR TRADING	044	M	S	10,000	19.05	14-Jul	4-Aug	500.00	5.0
GOLDMAN SACHS ASSET MGMT	044	NCMI	S	73,000	12.67	n/a	n/a	1,095.00	1.5
PERRY PARTNERS	041	NFS	S	50,000	51.06	n/a	n/a	2,500.00	5.0
TOKIO MARINE ASSET MGMT	045	NFX	B	5,000	45.35	n/a	n/a	200.00	4.0
NOMURA CAPITAL	045	NRG	B	2,700	33.54	n/a	n/a	135.00	5.0
PATTEN & PATTEN	067	NT	S	46	5.89	n/a	22-Mar	2.30	5.0
PATTEN & PATTEN	067	NVS	S	5,200	58.03	n/a	n/a	260.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	NYB	B	27,312	16.22	n/a	n/a	1,365.60	5.0
NOMURA CAPITAL	045	OC	B	2,400	24.89	n/a	n/a	120.00	5.0
PATTEN & PATTEN	067	OSK	B	300	16.01	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	OSK	S	2,450	16.01	n/a	n/a	122.50	5.0
HOLDEN CAPITAL MGMT	035	PACR	SS	45,000	19.69	n/a	n/a	2,250.00	5.0
COUGAR TRADING	044	PAG	SS	5,000	13.89	10-Jun	1-Aug	250.00	5.0
WHALE ROCK CAP	030	PCLN	S	15,597	95.04	n/a	n/a	623.88	4.0
PATTEN & PATTEN	067	PCL	S	2,100	48.74	n/a	11-Jul	105.00	5.0
J COHEN	N27	PDFS	S	300	5.22	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PVH	B	5,000	37.44	5-May	18-Jul	250.00	5.0
CHART WELL ADV	028	PXD	B	52,260	57.97	17-Jul	1-Aug	2,090.40	4.0
OGORMAN	046	QZSHE	S	10	0.25	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	B	100,000	3.45	n/a	n/a	6,000.00	6.0
PATTEN & PATTEN	067	RF	S	2,196	9.57	n/a	n/a	109.80	5.0
COUGAR TRADING	044	RL	B	5,000	67.74	n/a	7-Aug	250.00	5.0
COUGAR TRADING	044	RL	SS	7,500	66.98	n/a	7-Aug	375.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	RSG	S	8,800	34.36	n/a	n/a	440.00	5.0
PATTEN & PATTEN	067	RYN	S	300	45.65	n/a	24-Jul	15.00	5.0
TRUST CO/COWEN/CALF.	040	SKS	B	13,000	10.49	n/a	n/a	520.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	19.29	n/a	13-Mar	800.00	4.0
CARDINAL CAPITAL	044	SSI	B	15,100	14.39	n/a	4-Aug	755.00	5.0
EGS ASSOCIATES LP	091	SSI	SS	4,000	14.63	n/a	4-Aug	240.00	6.0
THE JAY GOLDMAN	034	SSI	SS	40,000	14.11	n/a	4-Aug	2,000.00	5.0
COUGAR TRADING	044	SSO	B	10,000	59.75	n/a	n/a	500.00	5.0
COUGAR TRADING	044	SSO	S	15,000	61.00	n/a	n/a	750.00	5.0
TRELLUS PARTNERS LP	028	SUP	SS	200	17.74	25-Jul	28-Jul	10.00	5.0
BUCK CAPITAL MGMT	001	SYX	SS	20,000	29.22	n/a	24-Apr	800.00	4.0
NEUBERGER BERMAN	036	TCO	S	24,200	48.14	n/a	n/a	1,089.00	4.5
TOKIO MARINE ASSET MGMT	045	TGT	B	9,200	46.40	n/a	4-Aug	368.00	4.0
HLTH	038	THC	B	200,000	5.45	n/a	7-Aug	10,000.00	5.0
VICTORIA INVESTORS LP	060	TJX	B	5,000	34.45	n/a	4-Aug	250.00	5.0
LISTED ERR	099	TJX	SS	1,000	34.45	n/a	4-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	TLB	S	30,000	12.81	7-Aug	7-Aug	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	TLB	B	40,430	13.77	7-Aug	7-Aug	1,617.20	4.0
COUGAR TRADING	044	TWB	S	20,000	13.24	17-Mar	22-May	1,000.00	5.0
PATTEN & PATTEN	067	UNM	S	1,000	23.28	n/a	n/a	50.00	5.0
BRIGHTPOINT CAP	067	URBN	C	45,000	32.97	15-May	4-Aug	1,800.00	4.0
PRYLUCKI	092	UYG	B	225	22.32	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	VIAB	B	25,900	28.52	n/a	n/a	1,036.00	4.0
WHALE ROCK CAP	030	VISN	S	177,600	20.43	n/a	n/a	7,104.00	4.0
PATTEN & PATTEN	067	VLO	B	3,200	33.45	n/a	n/a	160.00	5.0
BUCK	015	VTIV	S	1,000	17.20	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WFR	B	1,800	44.18	n/a	n/a	90.00	5.0
GALT INVESTMENT	041	WHR	B	10,000	76.25	n/a	n/a	500.00	5.0
LEDDY	035	WLT	B	150	88.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	46.67	13-May	18-Jul	2,000.00	4.0
TRUST CO/COWEN/CALF.	040	WRC	S	38,980	46.23	13-May	18-Jul	1,949.00	5.0
PATTEN & PATTEN	067	WY	B	7,500	49.73	n/a	6-Aug	375.00	5.0
TOKIO MARINE ASSET MGMT	045	XOM	S	6,000	78.27	n/a	n/a	240.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRISANTI BROWN & PARTNER	048	YRCW	B	8,100	18.52	n/a	n/a	405.00	5.0
PATTEN & PATTEN	067	ZMH	S	100	70.22	n/a	n/a	5.00	5.0
KORMAN	003	ZOLT	S	5,000	20.32	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							181,793.98		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/06	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ANF	S	200,000	55.48	7-Aug	7-Aug	8000.00 4.0
AO,CRT	08/06	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ANF	S	199,900	55.48	7-Aug	7-Aug	7996.00 4.0
AO,	08/06	BUCK CAPITAL MGMT (BUCKGIL)	001	ANF	S	100	55.48	7-Aug	7-Aug	4.00 4.0
AO,CRT	08/04	CAVU CAP ADV (CAVUBSMERL)	028	BBBY	B	358	27.58	n/a	n/a	17.90 5.0
AO,CXL	08/04	CAVU CAP ADV (&CAVUUBS)	028	BBBY	B	358	27.58	n/a	n/a	17.90 5.0
AO,CRT	08/06	CATTANI (CATTANI)	041	C	B	500	19.83	19-Jun	31-Jul	0.00 0.0
AO,CXL	08/06	CATTANI (CATTANI)	041	C	B	500	19.83	19-Jun	31-Jul	0.00 0.0
AO,	08/06	PILOT ADV (PILOBSOMNI)	038	CIT	SS	1,000	8.94	n/a	n/a	30.00 3.0
AO,	08/06	PILOT ADV (PILOPARADI)	038	CIT	SS	49,000	8.94	n/a	n/a	1470.00 3.0
AO,	08/06	PILOT ADV (PILOBSOMNI)	038	IM	SS	500	19.26	n/a	n/a	20.00 4.0
AO,	08/06	PILOT ADV (PILOPARADI)	038	IM	SS	19,500	19.26	n/a	n/a	780.00 4.0
AO,CRT	08/06	CATTANI (CATTANI)	041	JNS	B	500	27.28	25-Jul	5-Aug	0.00 0.0
AO,CXL	08/06	CATTANI (CATTANI)	041	JNS	B	500	27.28	25-Jul	5-Aug	0.00 0.0
AO,CRT	08/06	CATTANI (CATTANI)	041	JNS	S	500	27.65	25-Jul	5-Aug	0.00 0.0
AO,CXL	08/06	CATTANI (CATTANI)	041	JNS	S	500	27.65	25-Jul	5-Aug	0.00 0.0
AO,CRT	08/06	CATTANI (CATTANI)	041	JPM	B	500	40.95	8-May	29-Jul	0.00 0.0
AO,CXL	08/06	CATTANI (CATTANI)	041	JPM	B	500	40.95	8-May	29-Jul	0.00 0.0
AO,CRT	08/06	CATTANI (CATTANI)	041	JPM	S	500	41.10	8-May	29-Jul	0.00 0.0
AO,CXL	08/06	CATTANI (CATTANI)	041	JPM	S	500	41.10	8-May	29-Jul	0.00 0.0
AO,CXL	08/06	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	KSS	S	25,000	44.66	n/a	4-Aug	1000.00 4.0
AO,CRT	08/06	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	KSS	S	24,700	44.66	n/a	4-Aug	988.00 4.0
AO,	08/06	BUCK CAPITAL MGMT (BUCKGIL)	001	KSS	S	300	44.66	n/a	4-Aug	12.00 4.0
CRT	08/07	EMP ERROR (EMP ERROR)	099	MER	B	500	27.43	24-Jun	29-Jul	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/04	CAVU CAP ADV (CAVUBSMERL)	028	SHW	SS	240	52.50	n/a	17-Jul	12.00 5.0
AO,CXL	08/04	CAVU CAP ADV (&CAVUUBS)	028	SHW	SS	240	52.50	n/a	17-Jul	12.00 5.0
AO,CXL	08/06	REINHART & MAHONEY (REINNGLWM)	031	SSW	B	900	22.99	n/a	n/a	1.15 0.0
AO,CRT	08/06	REINHART & MAHONEY (REINNGLWM)	031	SSW	B	900	22.99	n/a	n/a	45.00 5.0
AO,	08/04	CAVU CAP ADV (CAVUBSMERL)	028	VC	B	800	2.80	n/a	31-Jul	40.00 5.0
AO,CXL	08/04	CAVU CAP ADV (&CAVUUBS)	028	VC	B	800	2.80	n/a	31-Jul	40.00 5.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM704083)	044	WU	S	12,367	26.90	n/a	n/a	247.34 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM3050)	044	WU	S	4,300	26.90	n/a	n/a	86.00 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM2752)	044	WU	S	8,500	26.90	n/a	n/a	170.00 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM3140)	044	WU	S	9,400	26.90	n/a	n/a	188.00 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM2140)	044	WU	S	4,560	26.90	n/a	n/a	91.20 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM772)	044	WU	S	3,750	26.90	n/a	n/a	75.00 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM3079)	044	WU	S	10,330	26.90	n/a	n/a	206.60 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM26)	044	WU	S	10,300	26.90	n/a	n/a	206.00 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM771)	044	WU	S	7,000	26.90	n/a	n/a	140.00 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM2546)	044	WU	S	5,300	26.90	n/a	n/a	106.00 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM2001)	044	WU	S	7,940	26.90	n/a	n/a	158.80 2.0
AO,	08/06	GOLDMAN SACHS ASSET MGMT (GSAM2762)	044	WU	S	6,350	26.90	n/a	n/a	127.00 2.0

TOTAL (AO, CXL, CRT) :

4,145.79

TOTAL (Trade Date) :

181,793.98

TOTAL (AO, CXL, CRT):

4,145.79

TOTAL (RUN DATE) / NFS:

185,939.77

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