



## Daily Compliance Activity Report

Trade Date: 12/20/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	S	50,000	14.84	31-Oct	4-Dec	non-brg	4.0
BUCK CAPITAL MGMT		ABG	S	8,900	14.86	31-Oct	4-Dec	non-brg	2.0
METROPOLITAN CAPITAL	044	AEO	B	13,800	21.36	9-Nov	7-Dec	690.00	5.0
LEVIN CAPITAL STRATEGIES	012	AIG	B	15,000	57.40	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT		AMT	S	45,000	41.14	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	ANN	B	35,000	27.39	6-Aug	7-Dec	1,400.00	4.0
BUCK CAPITAL MGMT		APC	S	39,300	64.11	4-Dec	4-Dec	non-brg	4.0
TRUST CO/COWEN/CALF.	040	AVY	B	106,960	51.25	13-Aug	20-Dec	5,348.00	5.0
TROOB CAPITAL	067	BBI	B	50,000	3.57	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	BBY	S	67,800	51.83	n/a	27-Jul	2,712.00	4.0
FIRST INV MGMT CORP	036	BEBE	S	105,000	12.72	n/a	n/a	5,250.00	5.0
MAZAMA CAPITAL MGMT.	035	BGS	S	40,000	10.08	n/a	n/a	1,600.00	4.0
ASCEND PARTNERS	033	BIG	C	40,000	15.98	30-Nov	7-Dec	2,000.00	5.0
AVESTA CAP	229	BJ	S	25,000	34.63	n/a	27-Jul	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	SS	22,000	81.01	n/a	n/a	1,100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BOBE	SS	50,000	26.55	n/a	n/a	non-brg	4.0
CHRISTENSE	022	BPSG	S	300	1.15	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BSC	S	70,000	89.98	5-Dec	19-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		BSC	S	71,400	89.59	5-Dec	19-Dec	non-brg	4.0
NATIONAL BK OF CAN	031	BSC	S	10,000	92.03	5-Dec	19-Dec	400.00	4.0
ß BUCK CAPITAL MGMT		BWLD	SS	20,000	25.61	n/a	n/a	non-brg	4.0
BACKUS	005	CALPINE CORPB		200,000	114.13	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CBRL	SS	50,000	32.62	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CCE	SS	10,000	26.22	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CCI	S	40,000	39.86	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	CELL	SS	50,000	15.41	n/a	n/a	2,500.00	5.0
GRANITE CAPITAL	045	CMCSK	S	99,500	17.90	n/a	n/a	4,975.00	5.0
ß BUCK CAPITAL MGMT		COST	SS	30,000	68.70	n/a	27-Jul	non-brg	4.0
WHEELER	008	CPNLQ	S	100,000	0.34	29-Jun	29-Jun	0.00	0.0
HOFFMAN	014	CPNLQ	B	8,000	0.32	29-Jun	29-Jun	0.00	0.0
MERRILL ASSET	032	CRR	B	15,100	35.95	25-Oct	30-Nov	679.50	4.5
GALLEON MGMT LP	033	CSG	SS	10,000	50.09	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>Õ Alice Longley</b>		<b>CS</b>	<b>S</b>	<b>20</b>	<b>58.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	CTSH	B	10,000	34.52	n/a	n/a	500.00	5.0
CLOVIS CAPITAL	012	CTV	B	50,000	49.35	n/a	n/a	2,500.00	5.0
FRIESS MGMT	042	CYH	B	83,100	36.52	10-Oct	3-Dec	3,739.50	4.5
<b>ß BUCK CAPITAL MGMT</b>		<b>C</b>	<b>S</b>	<b>42,400</b>	<b>29.96</b>	<b>5-Nov</b>	<b>19-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>C</b>	<b>S</b>	<b>50,000</b>	<b>29.98</b>	<b>5-Nov</b>	<b>19-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>C</b>	<b>S</b>	<b>50,000</b>	<b>30.07</b>	<b>5-Nov</b>	<b>19-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>WHEELER</b>	<b>008</b>	<b>DGTC</b>	<b>S</b>	<b>11,500</b>	<b>2.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HEALY CIRCLE	044	DIS	SS	30,000	32.21	n/a	n/a	1,500.00	5.0
MERRILL ASSET	032	DRC	S	15,000	37.08	n/a	n/a	675.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>S</b>	<b>56,600</b>	<b>17.42</b>	<b>26-Oct</b>	<b>14-Dec</b>	<b>2,264.00</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>S</b>	<b>10,000</b>	<b>17.39</b>	<b>26-Oct</b>	<b>14-Dec</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>S</b>	<b>15,000</b>	<b>17.33</b>	<b>26-Oct</b>	<b>14-Dec</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>S</b>	<b>8,400</b>	<b>17.53</b>	<b>26-Oct</b>	<b>14-Dec</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DVN</b>	<b>S</b>	<b>20,300</b>	<b>88.43</b>	<b>22-Oct</b>	<b>30-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>JACOB</b>	<b>068</b>	<b>EEE</b>	<b>S</b>	<b>370</b>	<b>2.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	EL	SS	21,300	43.89	25-Oct	17-Dec	1,065.00	5.0
MAIRS AND POWER INV	030	EMR	S	10,000	55.38	n/a	n/a	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	FSP	S	10,000	15.08	n/a	n/a	500.00	5.0
BUCK	015	GAADQ	S	8	2.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	20,000	39.73	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	GNTX	SS	6,000	17.77	24-Jul	23-Oct	300.00	5.0
EMP ERROR	099	GOOG	B	180	682.48	n/a	n/a	0.00	0.0
KERN	099	GOOG	B	20	682.48	n/a	n/a	0.00	0.0
EMP ERROR	099	GOOG	S	180	683.82	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	B	10,000	21.31	n/a	7-Dec	400.00	4.0
HOFFMAN	014	HSHL	S	15,000	0.00	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		HSTX	S	20,000	16.70	n/a	n/a	non-brg	4.0
PALMYRA CAPITAL	048	HZO	SS	33,100	16.26	n/a	n/a	993.00	3.0
TRIVIMUM CAP MGMT	251	IAR	SS	25,000	17.68	n/a	n/a	1,000.00	4.0
CHART WELL ADV	243	IBKR	B	59,044	31.60	n/a	n/a	2,657.02	4.5
WHEELER	008	IMMC	S	16,200	0.90	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	INFY	B	10,000	43.56	n/a	n/a	500.00	5.0
SERENGETI MGMT	030	IVZ	B	100,000	29.50	20-Dec	20-Dec	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JAH	B	15,000	24.01	n/a	n/a	600.00	4.0
THIRD COAST CAPITAL	035	JCG	SS	10,000	47.32	28-Nov	30-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	43.57	15-Nov	7-Dec	4,000.00	4.0
IRON HORSE CAPITAL MGMT	038	JMBA	S	15,650	3.91	n/a	n/a	469.50	3.0
ß BUCK CAPITAL MGMT		JNY	C	38,000	16.33	n/a	1-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	C	50,000	16.32	n/a	1-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	C	50,000	16.53	n/a	1-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	JWN	S	90,000	35.07	20-Nov	7-Dec	3,600.00	4.0
IRIDIAN ASSET MGMT.	036	KMB	B	51,920	69.42	n/a	n/a	2,596.00	5.0
ß BUCK CAPITAL MGMT		KMX	SS	30,000	19.10	n/a	10-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		LAMR	S	66,000	48.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LEH	S	153,700	60.94	n/a	19-Dec	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	LEH	B	12,500	62.47	n/a	19-Dec	500.00	4.0
SINCLAIR	031	LESAM	B	35	1.25	n/a	n/a	0.00	0.0
VISIUM/BALY HOWARD	038	LIZ	B	50,000	21.26	n/a	31-Oct	2,500.00	5.0
ß BUCK CAPITAL MGMT		LM	S	50,000	70.48	17-Dec	20-Dec	non-brg	4.0
SARAS CAPITAL	038	LM	S	15,000	71.42	17-Dec	20-Dec	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	MBT	S	30,000	94.52	n/a	n/a	1,500.00	5.0
AMBER CAPITAL	046	MCO	SS	200,000	37.04	n/a	n/a	8,000.00	4.0
⚡ BUCK CAPITAL MGMT		MER	S	128,800	53.58	16-Nov	13-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MPWR	SS	50,000	21.24	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MSMSBOIH	SS	89,272	100.64	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MS	B	70,200	51.43	20-Dec	20-Dec	non-brg	1.0
HIGHFIELDS CAP MGMT	039	MS	B	300,000	50.57	20-Dec	20-Dec	12,000.00	4.0
BUCK CAPITAL MGMT	001	M	B	25,000	26.39	9-Nov	7-Dec	1,000.00	4.0
COUGAR TRADING	044	M	B	10,000	26.18	9-Nov	7-Dec	500.00	5.0
KARSCH CAPITAL	034	M	SS	60,000	25.95	9-Nov	7-Dec	1,800.00	3.0
STELLIAM INV ADV	040	M	B	7,500	25.71	9-Nov	7-Dec	375.00	5.0
STRATTON	N21	NETM	B	500	6.20	n/a	n/a	0.00	0.0
LUCID PARTNERS	067	NP	S	10,000	28.62	3-Dec	3-Dec	500.00	5.0
HIGHBRIDGE CAPITAL	038	NSC	SS	36,000	48.88	n/a	n/a	1,800.00	5.0
SAGE ASSET MGMT	012	NWS	B	25,000	20.92	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		OIH	C	50,000	179.88	n/a	n/a	non-brg	2.0
MERRILL ASSET	032	ONB	S	53,300	14.95	n/a	n/a	2,398.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	ORCL	S	50,000	22.46	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	OXM	SS	30,000	24.45	n/a	n/a	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		PAG	S	5,000	18.05	n/a	12-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PAG	S	75,000	18.04	n/a	12-Dec	non-brg	4.0
HIGHBRIDGE CAPITAL	038	PCL	B	10,000	45.39	n/a	23-Oct	500.00	5.0
HOOVER INV. MGMT	033	PCR	B	62,600	45.80	n/a	n/a	3,130.00	5.0
⌘ BUCK CAPITAL MGMT		PERY	B	40,000	15.70	n/a	n/a	non-brg	1.0
STRAUSS ASSET MGMT	040	PETM	S	7,500	24.83	n/a	n/a	375.00	5.0
⌘ BUCK CAPITAL MGMT		PFCB	SS	20,000	23.14	n/a	24-Apr	non-brg	4.0
METROPOLITAN CAPITAL	044	PLCE	B	16,800	26.72	3-Dec	7-Dec	840.00	5.0
CHRISTENSE	022	PLUG	S	42	3.85	n/a	n/a	0.00	0.0
WHEELER	008	PMD	S	4,300	15.15	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PNRA	SS	20,000	34.90	n/a	n/a	non-brg	4.0
KNOTT PARTNERS	044	PRX	S	50,000	21.52	28-Sep	18-Dec	2,500.00	5.0
COUGAR TRADING	044	PSUN	SS	10,000	14.89	n/a	7-Dec	500.00	5.0
⌘ BUCK CAPITAL MGMT		PTT	S	10,000	12.84	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	PVH	B	15,000	38.18	5-Dec	5-Dec	750.00	5.0
UBS OCONNOR	031	PVH	B	50,000	38.22	5-Dec	5-Dec	1,500.00	3.0
SENTINAL CAPITAL	067	PX	S	4,900	87.66	n/a	24-Oct	245.00	5.0
⌘ BUCK CAPITAL MGMT		RCL	S	60,000	41.98	23-Oct	23-Oct	non-brg	4.0
ROTHSCHILD ASSET	040	RJF	S	37,690	32.85	n/a	n/a	1,696.05	4.5
BUCK CAPITAL MGMT	001	RVI	B	200,000	4.96	n/a	n/a	8,000.00	4.0
⌘ BUCK CAPITAL MGMT		SBAC	S	36,000	32.79	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SDXC	S	34,900	15.02	n/a	n/a	non-brg	4.0
STRAUSS ASSET MGMT	040	SFLY	S	7,500	26.76	n/a	n/a	375.00	5.0
JACOB	068	SIRI	S	225	3.08	n/a	n/a	0.00	0.0
TROOB CAPITAL	067	SIX	B	50,000	2.39	n/a	n/a	1,500.00	3.0
AVESTA CAP	229	SVU	B	25,000	37.38	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		SWN	S	50,000	54.42	15-Nov	20-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SYNP	S	19,600	5.21	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		SYNP	S	30,700	5.20	n/a	n/a	non-brg	4.0
BARR	096	SYNP	B	1,700	5.02	n/a	n/a	0.00	0.0
STRATTON	N21	TGTDL	B	3	1.80	n/a	n/a	0.00	0.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
UBS OCONNOR	031	TGT	B	50,000	50.08	n/a	27-Jul	1,500.00	3.0
<b>WHEELER</b>	<b>008</b>	<b>TIN</b>	<b>B</b>	<b>2,000</b>	<b>29.90</b>	<b>11-Dec</b>	<b>11-Dec</b>	<b>0.00</b>	<b>0.0</b>
PRIME LOGIC ADV	039	TLB	SS	38,800	12.69	n/a	27-Nov	1,940.00	5.0
HIGHBRIDGE CAPITAL	038	UNP	SS	14,000	122.99	n/a	n/a	700.00	5.0
SENTINAL CAPITAL	067	UNP	B	5,000	123.43	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>10,000</b>	<b>26.08</b>	<b>9-Nov</b>	<b>7-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>USBCZ</b>	<b>S</b>	<b>20</b>	<b>1.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL MGMT.	044	USB	SS	200,000	31.41	n/a	n/a	10,000.00	5.0
CLOVIS CAPITAL	012	WFC	SS	130,000	30.31	n/a	n/a	6,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WFMI</b>	<b>SS</b>	<b>15,000</b>	<b>41.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HARVEST MGMT	039	WMT	B	50,000	47.72	20-Nov	7-Dec	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WSM</b>	<b>SS</b>	<b>50,000</b>	<b>26.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WSO</b>	<b>S</b>	<b>20,200</b>	<b>37.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TROUBH PART	067	YHOO	S	50,000	23.42	n/a	n/a	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>YUM</b>	<b>SS</b>	<b>20,000</b>	<b>37.13</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>

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**TOTAL (Trade Date):**

**155,888.07**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/18	MARK ASSETMGMT (SR)	040	CFC	B	50,000	9.26	n/a	n/a	2500.00 5.0
AO,CXL	12/18	MARK/JETCAP	030	CFC	B	50,000	9.26	n/a	n/a	2500.00 5.0
AO,CRT	12/19	MATTHES CAPITAL MGMT	033	COH	SS	10,000	31.00	24-Oct	24-Oct	400.00 4.0
AO,CXL	12/19	MATTHES CAPITAL MGMT	033	COH	SS	10,000	31.00	24-Oct	24-Oct	500.00 5.0
AO,CXL	12/19	REINHART & MAHONEY	031	FSP	S	3,000	15.19	n/a	n/a	150.00 5.0
AO,CRT	12/19	REINHART & MAHONEY	031	FSP	S	3,000	15.19	n/a	n/a	150.00 5.0
AO,CRT	12/18	SAB CAPITAL	034	IWM	B	47,000	74.99	n/a	n/a	2350.00 5.0
AO,CXL	12/18	SAB CAPITAL	034	IWM	B	47,000	74.99	n/a	n/a	2350.00 5.0
AO,CRT	12/19	SAB CAPITAL	034	IWM	B	67,500	75.27	n/a	n/a	3375.00 5.0
AO,CXL	12/19	SAB CAPITAL	034	IWM	B	67,500	75.27	n/a	n/a	3375.00 5.0
AO,CRT	12/19	MATTHES CAPITAL MGMT	033	JCG	SS	50,000	47.41	28-Nov	30-Nov	2000.00 4.0
AO,CXL	12/19	MATTHES CAPITAL MGMT	033	JCG	SS	50,000	47.41	28-Nov	30-Nov	2500.00 5.0
AO,CXL	12/14	REICH AND TANG	067	KCI	B	3,300	51.39	n/a	n/a	165.00 5.0
AO,CRT	12/14	REICH AND TANG	067	KCI	B	3,300	51.39	n/a	n/a	165.00 5.0
AO,CRT	12/18	CAPITAL GROWTH MGMT.	241	MHS	B	20,000	99.48	n/a	n/a	1000.00 5.0
AO,CXL	12/18	CAPITAL GROWTH MGMT.	241	MHS	B	20,000	99.48	n/a	n/a	1000.00 5.0
AO,CRT	12/18	MARK ASSETMGMT (SR)	040	QQQQ	SS	240,000	49.28	n/a	n/a	7200.00 3.0
AO,CXL	12/18	MARK/JETCAP	030	QQQQ	SS	240,000	49.28	n/a	n/a	7200.00 3.0
AO,	12/19	TROOB CAPITAL	067	SIX	B	52,500	2.34	n/a	n/a	1575.00 3.0

**TOTAL (AO, CXL, CRT) :****975.00**

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TOTAL (Trade Date):	155,888.07
TOTAL (AO, CXL, CRT):	975.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>156,863.07</b>
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MRI Securities with Trade Activity on 20-Dec. <b>IVZ, MS</b>
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MRI Securities without Trade Activity on 20-Dec. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 26% YTD = 21%
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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**