



## Daily Compliance Activity Report

Trade Date: 12/17/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SHAREVEST CAPITAL MGMT.	038	AEO	B	36,300	16.46	n/a	4-Dec	1,452.00	4.0
DAVIDSON KEMPNER ADVISOR	040	AET	B	21,300	32.85	n/a	n/a	1,065.00	5.0
COOKBIELER	028	ALV	S	151,900	43.29	n/a	14-Dec	6,076.00	4.0
PLATTE RIVER CAPITAL	240	AMR	B	48,000	7.70	n/a	n/a	1,920.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>35.45</b>	<b>n/a</b>	<b>4-Dec</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>50,000</b>	<b>15.49</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
RWC PARTNERS LTD	067	AN	B	153,600	18.39	n/a	30-Oct	4,608.00	3.0
EPOCH INV MGMT	030	APC	B	350,000	62.13	n/a	17-Dec	10,500.00	3.0
EXIS CAPITAL	044	ARO	B	10,000	32.07	n/a	4-Dec	500.00	5.0
REINHART & MAHONEY	031	ATI	B	5,000	39.55	n/a	n/a	250.00	5.0
REINHART & MAHONEY	031	AXE	B	3,500	47.43	n/a	23-Nov	175.00	5.0
DALTON GREINER	012	BEN	C	63,517	104.19	n/a	15-Dec	3,175.85	5.0
UBS OCONNOR	031	BEN	C	60,000	104.27	n/a	15-Dec	1,800.00	3.0
ARCHON CAPITAL	035	BPI	SS	5,000	15.24	n/a	n/a	150.00	3.0
JP MORGAN VENTURES	046	BUCY	B	10,000	52.43	n/a	26-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	BWA	SS	17,300	32.67	n/a	9-Nov	865.00	5.0
MADISON ST PARTNERS LLC	046	BYD	S	59,955	8.39	n/a	28-Oct	2,398.20	4.0
NUMERIC	060	CAB	S	58,100	14.13	n/a	n/a	1,743.00	3.0
ROYCE TRADING	216	CAB	S	5,500	14.13	n/a	n/a	275.00	5.0
TOKIO MARINE ASSET MGMT	045	CERN	S	5,000	77.39	n/a	n/a	200.00	4.0
MADISON ST PARTNERS LLC	046	CKR	S	11,332	8.30	n/a	n/a	453.28	4.0
BENCHMARK	025	COF	S	2,500	38.57	n/a	16-Dec	125.00	5.0
HUTCHIN HILL CAPITAL LP	233	COST	SS	15,000	58.49	n/a	n/a	450.00	3.0
SCOPUS FUND	041	CRI	B	20,000	24.22	n/a	n/a	1,000.00	5.0
HARBORWATCH/DIAMBACK	232	C	S	250,000	3.19	n/a	17-Dec	12,500.00	5.0
HUNTER GLOBAL INVESTOR	067	C	S	1,000,000	3.20	n/a	17-Dec	10,000.00	1.0
PLATTE RIVER CAPITAL	240	DBD	S	10,000	27.10	n/a	23-Nov	400.00	4.0
PLATTE RIVER CAPITAL	240	DE	S	10,190	54.06	n/a	30-Nov	407.60	4.0
HARBORWATCH/DIAMBACK	232	DHR	S	10,000	74.65	n/a	n/a	500.00	5.0
FRONTPOINT/COPIA-ANDREW	031	DNR	S	7,000	14.16	n/a	n/a	245.00	3.5
NEUBERGER BERMAN	036	DNR	B	100,000	14.34	n/a	n/a	4,500.00	4.5
STADIA CAPITAL	035	DNR	S	104,100	14.16	n/a	n/a	3,643.50	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	DPS	B	12,900	27.97	n/a	n/a	645.00	5.0
GCORE MANAGEMENT	041	ERTS	SS	10,000	16.59	n/a	n/a	500.00	5.0
CUMBERLAND	239	EXH	B	5,000	20.51	n/a	17-Dec	200.00	4.0
UBS OCONNOR	031	FII	SS	37,700	25.75	n/a	15-Dec	1,131.00	3.0
UBS OCONNOR	031	FL	B	200,000	10.04	n/a	17-Dec	6,000.00	3.0
WEISS PECK	040	FL	B	2,800	10.05	n/a	17-Dec	140.00	5.0
SOUTH POINT CAP	067	FSLR	B	25,000	136.15	n/a	n/a	1,250.00	5.0
COLUMBIA PARTNERS	028	FUL	C	30,000	22.16	n/a	n/a	1,200.00	4.0
TROUBH PART	067	GE	B	50,000	15.88	n/a	n/a	2,500.00	5.0
COLUMBIA PARTNERS	028	GIL	C	30,000	22.99	n/a	11-Dec	1,200.00	4.0
EXIS CAPITAL	044	GYMB	B	5,000	42.09	n/a	4-Dec	250.00	5.0
SCOPUS FUND	041	HBI	B	5,000	25.43	n/a	n/a	250.00	5.0
FORD FDN.	032	HON	B	25,000	39.88	n/a	16-Dec	1,000.00	4.0
TOKIO MARINE ASSET MGMT	045	HPQ	S	89,968	50.62	n/a	n/a	3,598.72	4.0
SANDLER CAPITAL	226	IFF	S	75,000	40.88	n/a	23-Nov	4,500.00	6.0
IVORY CAPITAL	034	ILMN	SS	65,900	27.33	n/a	n/a	3,295.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	IP	B	25,000	26.14	n/a	28-Oct	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	120,000	26.24	n/a	28-Oct	6,000.00	5.0
SCHOTTENFELD ASSOC	041	IP	B	30,000	26.42	n/a	28-Oct	900.00	3.0
SCOPUS FUND	041	IP	B	42,500	26.18	n/a	28-Oct	2,125.00	5.0
CUMBERLAND	239	IWM	B	10,000	60.47	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	JCG	B	5,000	45.75	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	JOYG	B	15,000	52.89	n/a	8-Dec	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>S</b>	<b>30,000</b>	<b>35.33</b>	<b>n/a</b>	<b>4-Dec</b>	<b>1,200.00</b>	<b>4.0</b>
SHAREVEST CAPITAL MGMT.	038	KMX	B	17,000	21.75	n/a	n/a	680.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>15,000</b>	<b>53.43</b>	<b>n/a</b>	<b>4-Dec</b>	<b>600.00</b>	<b>4.0</b>
MADISON ST PARTNERS LLC	046	LM	S	24,844	28.56	n/a	15-Dec	1,242.20	5.0
REINHART & MAHONEY	031	LPS	B	5,000	42.15	n/a	n/a	250.00	5.0
REINHART & MAHONEY	031	LUV	B	18,000	11.29	n/a	n/a	900.00	5.0
FRONTPOINT/COPIA-ANDREW	031	ME	SS	60,000	11.80	n/a	n/a	2,100.00	3.5
WHITE PINE CAPITAL	030	MIDD	B	9,600	44.89	n/a	11-Nov	480.00	5.0
CAERUS GLOBAL	041	MPEL	S	11,878	3.62	n/a	15-Dec	475.12	4.0
AVESTA CAP	229	MSFT	B	100,000	29.69	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	MSM	B	3,000	46.69	n/a	n/a	150.00	5.0
MADISON ST PARTNERS LLC	046	NLY	S	98,121	18.61	n/a	n/a	4,906.05	5.0
FRONTPOINT/COPIA-ANDREW	031	NR	B	3,700	4.09	n/a	n/a	111.00	3.0
STADIA CAPITAL	035	NR	B	57,498	4.09	n/a	n/a	1,724.94	3.0
REINHART & MAHONEY	031	OMC	B	5,500	37.78	n/a	n/a	275.00	5.0
SHEFFIELD ASSET MGMT	031	OMC	B	30,000	37.73	n/a	n/a	1,500.00	5.0
REINHART & MAHONEY	031	PDCO	B	7,000	27.18	n/a	n/a	350.00	5.0
REINHART & MAHONEY	031	PETM	B	6,000	27.09	n/a	n/a	300.00	5.0
MAIRS AND POWER INV	030	PFGB	B	20,000	23.74	n/a	n/a	1,000.00	5.0
CAERUS GLOBAL	041	PIR	S	25,000	5.51	n/a	n/a	1,000.00	4.0
REINHART & MAHONEY	031	PKI	B	10,500	20.31	n/a	n/a	525.00	5.0
WAGONHOUND/NIC	048	PLCE	B	588	30.81	n/a	11-Dec	23.52	4.0
REINHART & MAHONEY	031	PLL	B	5,000	34.32	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>10,000</b>	<b>22.24</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>10,000</b>	<b>39.84</b>	<b>n/a</b>	<b>20-Nov</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	PVH	SS	5,000	39.92	n/a	20-Nov	250.00	5.0
MADISON ST PARTNERS LLC	046	QLTI	B	10,000	4.70	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	SHOO	B	447	40.62	n/a	n/a	17.88	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>28.36</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
LATEFF MGMT	035	SPLS	S	3,000	24.57	n/a	n/a	390.00	13.0
IVORY CAPITAL	034	SPR	SS	23,200	19.47	n/a	n/a	1,160.00	5.0
JMP ASSET MGMT	210	TICC	S	11,600	5.63	n/a	n/a	464.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	120,000	21.38	n/a	22-Oct	6,000.00	5.0
SCOPUS FUND	041	TIN	B	35,800	21.58	n/a	22-Oct	1,790.00	5.0
MADISON ST PARTNERS LLC	046	TRLG	S	20,510	18.49	n/a	n/a	1,025.50	5.0
PLATTE RIVER CAPITAL	240	T	B	15,000	27.31	n/a	n/a	600.00	4.0
CASTLE ARK	031	UNH	B	281,850	31.79	n/a	n/a	16,911.00	6.0
DAVIDSON KEMPNER ADVISOR	040	UNH	B	21,900	31.93	n/a	n/a	1,095.00	5.0
RBC CAPITAL MARKETS	040	VALE	B	25,000	27.56	n/a	n/a	1,000.00	4.0
PARTNER REINSURANCE	033	WGO	S	29,500	13.23	n/a	n/a	1,180.00	4.0
DAVIDSON KEMPNER ADVISOR	040	WLP	B	11,900	59.05	n/a	n/a	595.00	5.0
HUTCHIN HILL CAPITAL LP	233	WMT	SS	10,000	52.96	n/a	1-Dec	300.00	3.0
PRINCIPLE CAPITAL	040	WMT	S	60,000	52.83	n/a	1-Dec	2,400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>30,000</b>	<b>42.76</b>	<b>n/a</b>	<b>5-Nov</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DENVER INST. ADV	046	WRC	B	43,700	42.75	n/a	5-Nov	1,748.00	4.0
EXIS CAPITAL	044	WRC	B	15,000	42.91	n/a	5-Nov	750.00	5.0
SCOPUS FUND	041	WY	B	10,000	43.66	n/a	15-Dec	500.00	5.0
CATAPULT	040	YHOO	B	25,000	15.86	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>180,031.36</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/16	SOROS (SOROGS)	036	BBY	B	72,000	41.77	n/a	n/a	2880.00 4.0
AO,CXL	12/16	RWC PARTNERS LTD (RWCPBILUBS)	067	DAN	B	94,000	9.40	n/a	n/a	2820.00 3.0
AO,CRT	12/16	RWC PARTNERS LTD (RWCPBPER)	067	DAN	B	94,000	9.40	n/a	n/a	2820.00 3.0
AO,	12/16	FRIESS MGMT (BWAM2903)	033	DELL	B	34,900	13.68	n/a	n/a	1396.00 4.0
AO,	12/16	FRIESS MGMT (BWAM2903)	033	HON	B	10,600	40.92	n/a	16-Dec	424.00 4.0
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST228)	035	LLY	S	1,700	35.87	n/a	n/a	59.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST226)	035	LLY	S	20,600	35.87	n/a	n/a	721.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST212)	035	LLY	S	1,200	35.87	n/a	n/a	42.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST214)	035	LLY	S	1,600	35.87	n/a	n/a	56.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST205)	035	LLY	S	49,500	35.87	n/a	n/a	1732.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST200)	035	LLY	S	550	35.87	n/a	n/a	19.25 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST201)	035	LLY	S	700	35.87	n/a	n/a	24.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST197)	035	LLY	S	550	35.87	n/a	n/a	19.25 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST198)	035	LLY	S	1,400	35.87	n/a	n/a	49.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST192)	035	LLY	S	2,000	35.87	n/a	n/a	70.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST48)	035	LLY	S	1,200	35.87	n/a	n/a	42.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST99)	035	LLY	S	2,500	35.87	n/a	n/a	87.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST33)	035	LLY	S	8,600	35.87	n/a	n/a	301.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST188)	035	LLY	S	58,900	35.87	n/a	n/a	2061.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST183)	035	LLY	S	4,800	35.87	n/a	n/a	168.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST98)	035	LLY	S	700	35.87	n/a	n/a	24.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST174)	035	LLY	S	9,400	35.87	n/a	n/a	329.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST172)	035	LLY	S	37,900	35.87	n/a	n/a	1326.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST7)	035	LLY	S	17,000	35.87	n/a	n/a	595.00 3.5



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST166)	035	LLY	S	73,000	35.87	n/a	n/a	2555.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST140)	035	LLY	S	28,300	35.87	n/a	n/a	990.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST139)	035	LLY	S	4,300	35.87	n/a	n/a	150.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST276GS)	035	LLY	S	28,600	35.87	n/a	n/a	1001.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST126)	035	LLY	S	11,600	35.87	n/a	n/a	406.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST274)	035	LLY	S	4,600	35.87	n/a	n/a	161.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST119)	035	LLY	S	18,100	35.87	n/a	n/a	633.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST229)	035	LLY	S	1,100	35.87	n/a	n/a	38.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST110)	035	LLY	S	9,800	35.87	n/a	n/a	343.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST273)	035	LLY	S	1,500	35.87	n/a	n/a	52.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST108)	035	LLY	S	2,100	35.87	n/a	n/a	73.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST262)	035	LLY	S	1,900	35.87	n/a	n/a	66.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST37)	035	LLY	S	2,100	35.87	n/a	n/a	73.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST14)	035	LLY	S	29,500	35.87	n/a	n/a	1032.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST92)	035	LLY	S	6,300	35.87	n/a	n/a	220.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST257)	035	LLY	S	2,900	35.87	n/a	n/a	101.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST20)	035	LLY	S	2,400	35.87	n/a	n/a	84.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST91)	035	LLY	S	1,000	35.87	n/a	n/a	35.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST26)	035	LLY	S	1,900	35.87	n/a	n/a	66.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST23)	035	LLY	S	3,500	35.87	n/a	n/a	122.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST3)	035	LLY	S	800	35.87	n/a	n/a	28.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST141)	035	LLY	S	5,800	35.87	n/a	n/a	203.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST45)	035	LLY	S	2,900	35.87	n/a	n/a	101.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST250)	035	LLY	S	900	35.87	n/a	n/a	31.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST70)	035	LLY	S	4,000	35.87	n/a	n/a	140.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST254)	035	LLY	S	8,900	35.87	n/a	n/a	311.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST5)	035	LLY	S	15,500	35.87	n/a	n/a	542.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST248)	035	LLY	S	900	35.87	n/a	n/a	31.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST17)	035	LLY	S	200	35.87	n/a	n/a	7.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST236)	035	LLY	S	1,800	35.87	n/a	n/a	63.00 3.5

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AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST2)	035	LLY	S	1,600	35.87	n/a	n/a	56.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST233)	035	LLY	S	2,200	35.87	n/a	n/a	77.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST95)	035	LLY	S	1,700	35.87	n/a	n/a	59.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST234)	035	LLY	S	3,000	35.87	n/a	n/a	105.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST89)	035	LLY	S	600	35.87	n/a	n/a	21.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST230)	035	LLY	S	500	35.87	n/a	n/a	17.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST231)	035	LLY	S	1,200	35.87	n/a	n/a	42.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST217)	035	LLY	S	5,900	35.87	n/a	n/a	206.50 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST223)	035	LLY	S	3,400	35.87	n/a	n/a	119.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST225)	035	LLY	S	1,600	35.87	n/a	n/a	56.00 3.5
AO,	12/16	SYSTEMATIC FINANCIAL MGT (SYST227)	035	LLY	S	4,500	35.87	n/a	n/a	157.50 3.5
AO,CRT	12/11	ARCHON CAPITAL (ARCCUBS)	035	SIG	SS	10,000	25.02	n/a	n/a	400.00 4.0
AO,CXL	12/11	ARCHON PARTNERS (ARCHGOLDS)	032	SIG	SS	10,000	25.02	n/a	n/a	300.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>23,112.00</b>
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TOTAL (Trade Date) :	180,031.36
TOTAL (AO, CXL, CRT) :	23,112.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>203,143.36</b>
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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