



## Daily Compliance Activity Report

Trade Date: 01/31/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>CATTANI</b>	<b>041</b>	<b>AAPL</b>	<b>S</b>	<b>100</b>	<b>134.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BACKBAY	041	ABG	B	12,600	13.47	25-Jan	31-Jan	630.00	5.0
BACKBAY	041	ABG	S	12,600	14.08	25-Jan	31-Jan	630.00	5.0
BALYASNY ASSET MGMT	044	ABG	B	15,000	13.74	25-Jan	31-Jan	750.00	5.0
COUGAR TRADING	044	ABG	B	10,000	13.78	25-Jan	31-Jan	500.00	5.0
FIRST NY SEC/CHRIS	041	ABG	B	17,000	13.46	25-Jan	31-Jan	850.00	5.0
FIRST NY SEC/CHRIS	041	ABG	S	22,500	14.18	25-Jan	31-Jan	1,125.00	5.0
HEALY CIRCLE	044	ABG	B	25,000	14.26	25-Jan	31-Jan	1,250.00	5.0
SCOPUS FUND	041	ABG	B	60,000	13.70	25-Jan	31-Jan	3,000.00	5.0
GLOB	060	ABG	B	4,000	14.07	25-Jan	31-Jan	160.00	4.0
PATTEN & PATTEN	067	ADSK	B	150	40.92	n/a	n/a	7.50	5.0
NEUBERGER BERMAN	036	ADS	B	132,300	49.31	n/a	n/a	5,953.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>400,000</b>	<b>22.48</b>	<b>11-Jan</b>	<b>11-Jan</b>	<b>16,000.00</b>	<b>4.0</b>
STRAUSS ASSET MGMT	040	AERO	B	138	5.50	n/a	n/a	4.14	3.0
PATTEN & PATTEN	067	AGG	B	250	103.38	n/a	n/a	12.50	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>AMZN</b>	<b>C</b>	<b>300</b>	<b>70.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>ANF</b>	<b>B</b>	<b>150</b>	<b>79.62</b>	<b>10-Jan</b>	<b>29-Jan</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ANN	B	5,000	24.10	11-Jan	31-Jan	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	ANN	B	10,000	22.84	11-Jan	31-Jan	600.00	6.0
CHARTER OAK	033	AN	SS	100,000	16.41	n/a	25-Jan	5,000.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>ARO</b>	<b>B</b>	<b>500</b>	<b>27.73</b>	<b>29-Nov</b>	<b>29-Jan</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	AXE	B	5,000	69.11	29-Jan	29-Jan	250.00	5.0
COUGAR TRADING	044	AXE	SS	5,000	66.98	29-Jan	29-Jan	250.00	5.0
RAINIER INV MGMT	035	AXE	S	107,575	69.88	29-Jan	29-Jan	4,303.00	4.0
MATRIX ASSET ADV.	036	BAC	S	12,700	43.35	13-Nov	23-Jan	508.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	100.51	25-Sep	28-Jan	500.00	5.0
GRANITE CAPITAL	045	BKC	B	50,000	24.74	n/a	24-Apr	2,500.00	5.0
SANDLER O'NEILL ASSET	031	BK	SS	25,000	44.62	19-Oct	18-Jan	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	B	36,000	85.96	n/a	n/a	1,800.00	5.0
<b>KERN</b>	<b>050</b>	<b>BRWIX</b>	<b>B</b>	<b>1,084</b>	<b>32.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	BUCY	S	10,000	92.56	n/a	n/a	500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>CHCG</b>	<b>B</b>	<b>4,500</b>	<b>3.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>160</b>	<b>CHP</b>	<b>S</b>	<b>2,500</b>	<b>5.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	CLMS	B	15,000	21.96	29-Jan	29-Jan	750.00	5.0
REICH AND TANG	067	CMC	S	25,000	28.39	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	COH	SS	20,000	29.97	24-Oct	24-Jan	800.00	4.0
ZOLIDIS	011	CROX	S	400	32.41	n/a	n/a	0.00	0.0
TROUBH PART	067	CSCO	B	50,000	24.50	n/a	22-Mar	2,500.00	5.0
BALYASNY ASSET MGMT	044	CTX	B	50,000	27.41	n/a	n/a	2,500.00	5.0
FIRST NY SEC/CHRIS	041	CY	S	15,000	20.70	n/a	n/a	900.00	6.0
BUCK	015	DD	B	500	45.19	n/a	22-Jan	0.00	0.0
ZOLIDIS	011	DECK	B	200	120.38	n/a	n/a	0.00	0.0
TROUBH PART	067	DISH	B	50,000	28.59	15-Nov	4-Jan	2,500.00	5.0
PATTEN & PATTEN	067	DIS	S	1,225	29.75	n/a	n/a	61.25	5.0
PRINCIPLE CAPITAL	040	DKS	SS	29,700	32.70	n/a	27-Nov	891.00	3.0
ARIENCE CAPITAL	036	DST	B	18,500	71.18	n/a	n/a	925.00	5.0
GAULT	063	DUG	S	500	46.84	n/a	n/a	0.00	0.0
BACKBAY	041	EJ	B	21,200	18.65	n/a	n/a	1,060.00	5.0
REICH AND TANG	067	EMN	S	10,000	66.26	n/a	n/a	500.00	5.0
SUTERA	160	ETFC	B	2,500	4.92	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	FCX	B	75	89.27	n/a	n/a	3.75	5.0
MATTHES CAPITAL MGMT	033	FDO	SS	50,000	20.32	8-Jan	11-Jan	2,000.00	4.0
<b>MAGUIRE</b>	<b>039</b>	<b>FXP</b>	<b>S</b>	<b>100</b>	<b>105.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>20,000</b>	<b>37.04</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>WHEELER</b>	<b>000</b>	<b>GFG</b>	<b>B</b>	<b>2,400</b>	<b>13.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	GLW	S	5,000	24.15	n/a	28-Jan	250.00	5.0
<b>HART</b>	<b>056</b>	<b>GMRE</b>	<b>B</b>	<b>10</b>	<b>2.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>GMRX</b>	<b>B</b>	<b>50</b>	<b>1.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	GM	SS	30,000	27.28	3-Jan	31-Jan	1,500.00	5.0
CAXTON PART	040	GM	S	50,000	26.53	3-Jan	31-Jan	1,750.01	3.5
<b>GAULT</b>	<b>063</b>	<b>GM</b>	<b>SS</b>	<b>1,000</b>	<b>28.40</b>	<b>3-Jan</b>	<b>31-Jan</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	GS	B	10,000	201.51	21-Sep	22-Jan	500.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	38.22	n/a	29-Jan	250.00	5.0
DELTEC ASSET MGMT.	040	HRS	S	20,000	53.59	11-Jan	30-Jan	1,000.00	5.0
WESTLANE CAPITAL	044	HRS	S	4,000	53.92	11-Jan	30-Jan	200.00	5.0
<b>WHEELER</b>	<b>000</b>	<b>HSTX</b>	<b>B</b>	<b>5,000</b>	<b>10.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BRUNNER</b>	<b>012</b>	<b>HSTX</b>	<b>B</b>	<b>1,000</b>	<b>10.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	IGM	B	100	51.95	n/a	n/a	5.00	5.0
THIRD AVE MGMT	030	IM	S	100,000	17.82	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	067	ITT	B	75	59.06	n/a	13-Nov	3.75	5.0
IRON HORSE CAPITAL MGMT	038	IVZ	S	15,000	26.57	20-Dec	30-Jan	750.00	5.0
U.S.TRUST COMPANY	012	IVZ	B	110,000	26.51	20-Dec	30-Jan	3,300.00	3.0
BALYASNY ASSET MGMT	044	JBX	S	15,000	29.16	n/a	24-Apr	750.00	5.0
PRINCIPLE CAPITAL	040	JCG	SS	100,000	45.68	28-Nov	18-Jan	4,000.00	4.0
BEAR STEARNS ASSET MGMT.	033	JCP	S	50,000	46.41	4-Jan	11-Jan	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>S</b>	<b>50,000</b>	<b>47.49</b>	<b>4-Jan</b>	<b>11-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	JCP	B	5,000	47.73	4-Jan	11-Jan	250.00	5.0
DELTEC ASSET MGMT.	040	JCP	S	9,000	47.47	4-Jan	11-Jan	450.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>JCP</b>	<b>B</b>	<b>1,100</b>	<b>47.39</b>	<b>4-Jan</b>	<b>11-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>30,000</b>	<b>16.46</b>	<b>n/a</b>	<b>30-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
EATON VANCE MGMT	039	JPM	S	127,435	47.49	17-Jan	22-Jan	5,097.40	4.0
SANDLER CAPITAL	038	JPM	B	3,400	47.37	17-Jan	22-Jan	204.00	6.0
COUGAR TRADING	044	JWN	S	15,000	39.18	20-Nov	29-Jan	750.00	5.0
MATTHES CAPITAL MGMT	033	JWN	SS	50,000	38.30	20-Nov	29-Jan	2,000.00	4.0
SLS CAPITAL LLC	224	JWN	B	215,800	37.53	20-Nov	29-Jan	8,632.00	4.0
<b>BUCK</b>	<b>015</b>	<b>JWN</b>	<b>C</b>	<b>700</b>	<b>39.47</b>	<b>20-Nov</b>	<b>29-Jan</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	KO	B	400	58.86	n/a	n/a	20.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	SS	50,000	44.09	4-Jan	11-Jan	2,000.00	4.0
COUGAR TRADING	044	KSS	B	40,000	45.24	4-Jan	11-Jan	2,000.00	5.0
COUGAR TRADING	044	KSS	S	5,000	46.28	4-Jan	11-Jan	250.00	5.0
CAPITAL GROWTH MGMT.	241	LEH	B	10,000	64.38	n/a	22-Jan	500.00	5.0
BALYASNY ASSET MGMT	044	LM	B	10,000	72.00	17-Dec	30-Jan	500.00	5.0
DIAMONDBACK CAP MGMT	232	LOW	B	25,000	26.24	n/a	27-Jul	1,250.00	5.0
HEALY CIRCLE	044	MAT	B	25,000	21.05	n/a	n/a	1,250.00	5.0
ZOLIDIS	011	MAT	C	400	20.43	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MIC	B	200	33.00	n/a	n/a	10.00	5.0
NEUBERGER BERMAN	036	MO	S	99,570	75.60	n/a	n/a	4,480.66	4.5
PATTEN & PATTEN	067	MRK	B	400	45.88	n/a	n/a	20.00	5.0
PRINCIPLE CAPITAL	040	MYL	SS	400,000	14.84	n/a	29-Jan	12,000.00	3.0
JP MORGAN VENTURES	046	M	S	25,000	25.90	4-Jan	29-Jan	1,250.00	5.0
THE JAY GOLDMAN	034	M	B	10,000	26.14	4-Jan	29-Jan	400.00	4.0
BUCK	015	NCC	SS	1,500	17.78	n/a	n/a	0.00	0.0
REICH AND TANG	067	NCS	S	25,000	27.40	n/a	n/a	1,250.00	5.0
LEDDY	035	NEXC	B	3,000	4.27	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	NOV	S	63,400	60.86	n/a	n/a	2,853.00	4.5
HIGHBRIDGE CAPITAL	038	NSC	B	59,000	51.41	n/a	n/a	2,950.00	5.0
PATTEN & PATTEN	067	NVS	B	75	50.54	n/a	n/a	3.75	5.0
PATTEN & PATTEN	067	OIH	S	100	157.03	n/a	n/a	5.00	5.0
CATAPULT	040	OZM	B	5,000	21.55	n/a	n/a	250.00	5.0
WOOSTER CAPITAL	035	PAG	B	100,000	18.11	n/a	31-Jan	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PEP</b>	<b>B</b>	<b>10,000</b>	<b>67.17</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	PFE	S	600	23.28	n/a	31-Mar	30.00	5.0
GENERAL ELECTIC CO	033	PG	S	47,184	65.58	11-Dec	15-Jan	1,371.46	3.0
PATTEN & PATTEN	067	PPH	S	100	73.84	n/a	n/a	5.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>40,000</b>	<b>41.27</b>	<b>16-Jan</b>	<b>29-Jan</b>	<b>1,600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>40,000</b>	<b>59.47</b>	<b>14-Jan</b>	<b>14-Jan</b>	<b>1,600.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>RL</b>	<b>S</b>	<b>200</b>	<b>60.27</b>	<b>14-Jan</b>	<b>14-Jan</b>	<b>0.00</b>	<b>0.0</b>
ENTRUST CAPITAL	040	ROST	S	62,900	29.12	n/a	n/a	3,145.00	5.0
NEW JERSEY DIV OF INV.	220	RUS	S	10,000	14.61	n/a	n/a	400.00	4.0
<b>GRONET</b>	<b>030</b>	<b>SBLK</b>	<b>B</b>	<b>1,000</b>	<b>10.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	SBUX	B	1,500	18.88	n/a	24-Apr	0.00	0.0
GAULT	063	SKF	B	500	95.97	n/a	n/a	0.00	0.0
GAULT	063	SKF	S	500	106.27	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	19.82	n/a	13-Mar	400.00	4.0
SAXON WOODS ADVISORS	038	SLM	B	10,000	21.71	n/a	n/a	500.00	5.0
THIRD AVE MGMT	030	SNPS	B	100,000	21.82	n/a	n/a	4,000.00	4.0
REICH AND TANG	067	STE	B	25,000	24.73	n/a	22-Apr	1,250.00	5.0
NATIONAL BK OF CAN	031	STT	B	10,000	78.31	n/a	n/a	400.00	4.0
REICH AND TANG	067	SUG	B	25,000	26.67	n/a	n/a	1,250.00	5.0
AVESTA CAP	229	SVU	B	35,000	30.25	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	TGT	SS	50,000	54.02	n/a	27-Jul	2,000.00	4.0
IRONBOUND CAPITAL	012	TIN	S	29,000	18.08	8-Jan	23-Jan	1,160.00	4.0
LEDY	035	TIN	B	700	18.87	8-Jan	23-Jan	0.00	0.0
BALYASNY ASSET MGMT	044	TROW	B	15,000	50.18	9-Jan	29-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	UA	S	30,000	39.18	n/a	n/a	1,200.00	4.0
GRACIE CAPITAL	028	UA	B	25,000	39.61	n/a	n/a	1,250.00	5.0
GRACIE CAPITAL	028	UA	SS	25,000	38.74	n/a	n/a	1,250.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GAULT	063	UYG	B	1,000	36.82	n/a	n/a	0.00	0.0
GAULT	063	UYG	S	1,000	38.04	n/a	n/a	0.00	0.0
GRONET	030	WBC	B	1,000	40.39	n/a	12-Dec	0.00	0.0
CATTANI	041	WBC	B	500	40.25	n/a	12-Dec	0.00	0.0
CAPITAL GROWTH MGMT.	241	WB	B	300,000	37.09	n/a	n/a	15,000.00	5.0
CASTLEROCK	040	WB	B	40,600	36.26	n/a	n/a	2,436.00	6.0
NATIONAL BK OF CAN	031	WB	B	21,000	37.89	n/a	n/a	840.00	4.0
NATIONAL BK OF CAN	031	WB	SS	21,000	36.59	n/a	n/a	840.00	4.0
BENCHMARK	028	WHR	B	2,500	84.76	n/a	n/a	125.00	5.0
NEUBERGER BERMAN	036	WRI	B	22,700	32.90	n/a	n/a	1,021.50	4.5
BUCK CAPITAL MGMT	001	WSM	SS	10,000	27.05	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	XHB	S	50,000	21.56	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	XLY	B	550	32.35	n/a	n/a	27.50	5.0
THE JAY GOLDMAN	034	ZQK	S	20,000	9.70	23-Jan	23-Jan	800.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>194,810.67</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/30	STRAUSS ASSET MGMT (STRAJEFUSE)	040	AERO	B	21,400	5.49	n/a	n/a	642.00 3.0
AO,CXL	01/30	STRAUSS ASSET MGMT (STRAJEFUSE)	040	AERO	B	21,400	5.49	n/a	n/a	1070.00 5.0
AO,CXL	01/30	SERENGETI MGMT (SEREMSPB)	030	DRQ	B	70,000	50.57	n/a	n/a	2800.00 4.0
AO,CRT	01/30	SERENGETI MGMT (SEREMSPB)	030	DRQ	B	70,000	50.57	n/a	n/a	3500.00 5.0
AO,	01/30	TRELLUS PARTNERS LP (TRELMMERR)	028	GM	SS	4,320	27.73	3-Jan	31-Jan	216.00 5.0
AO,	01/30	TRELLUS PARTNERS LP (TRELGS)	028	GM	SS	4,320	27.73	3-Jan	31-Jan	216.00 5.0
AO,	01/30	TRELLUS PARTNERS LP (TRELMAIN)	028	GM	SS	41,360	27.73	3-Jan	31-Jan	2068.00 5.0
AO,	01/30	TRELLUS PARTNERS LP (TRELGS)	028	GR	B	4,106	62.50	25-Oct	31-Jan	205.30 5.0
AO,	01/30	TRELLUS PARTNERS LP (TRELMAIN)	028	GR	B	41,788	62.50	25-Oct	31-Jan	2089.40 5.0
AO,	01/30	TRELLUS PARTNERS LP (TRELMMERR)	028	GR	B	4,106	62.50	25-Oct	31-Jan	205.30 5.0
AO,CXL	01/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	VC	S	10,000	3.85	n/a	18-Jan	400.00 4.0
AO,CRT	01/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	VC	S	10,000	3.85	n/a	18-Jan	300.00 3.0
AO,CXL	01/30	CAPITAL GROWTH MGMT. (CAPGLONGWO)	241	X	S	35,000	102.50	n/a	n/a	5.12 0.0
AO,CRT	01/30	CAPITAL GROWTH MGMT. (CAPGLONGWO)	241	X	S	35,000	102.50	n/a	n/a	1750.00 5.0
AO,CXL	01/30	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	B	20,000	8.89	23-Jan	23-Jan	800.00 4.0
AO,CRT	01/30	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	B	20,000	8.89	23-Jan	23-Jan	800.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>6,916.88</b>

TOTAL (Trade Date) :

194,810.67

TOTAL (AO, CXL, CRT):

6,916.88

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**TOTAL (RUN DATE) / NFS:**

**201,727.55**

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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