



# Daily Compliance Activity Report

Trade Date: 10/07/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	S	20,000	16.14	n/a	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	30,000	15.80	n/a	1-Oct	non-brg	0.8
BUCK CAPITAL MGMT		AEO	S	38,400	15.89	n/a	1-Oct	non-brg	2.0
BUCK CAPITAL MGMT	001	ANF	S	15,000	42.01	n/a	1-Oct	600.00	4.0
BUCK CAPITAL MGMT		ANF	S	120,000	42.12	n/a	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		ANF	S	30,000	41.77	n/a	1-Oct	non-brg	1.0
CAVU CAP ADV	028	ANF	B	35,000	42.11	n/a	1-Oct	1,750.00	5.0
PIONEER PATH	226	ANF	S	59,038	42.29	n/a	1-Oct	1,771.14	3.0
JONATHAN RICHARD HAR	FID	ANN	S	350	21.31	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		APC	S	231	56.63	n/a	30-Sep	non-brg	4.0
BUCK CAPITAL MGMT		APC	S	338	56.63	n/a	30-Sep	non-brg	4.0
BUCK CAPITAL MGMT		APC	S	688	56.63	n/a	30-Sep	non-brg	4.0
BUCK CAPITAL MGMT		APC	S	8,822	56.63	n/a	30-Sep	non-brg	4.0
BUCK CAPITAL MGMT		APC	S	913	56.63	n/a	30-Sep	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	250,000	24.19	n/a	1-Oct	non-brg	4.0
COUGAR TRADING	044	ARO	B	5,000	23.58	n/a	1-Oct	250.00	5.0
METROPOLITAN CAPITAL	044	ARO	B	15,000	23.37	n/a	1-Oct	750.00	5.0
LISTED ERR	099	ARO	B	1,000	23.37	n/a	1-Oct	0.00	0.0
LISTED ERR	099	ARO	S	1,000	23.34	n/a	1-Oct	0.00	0.0
PENNANT CAP MGMT	029	ATLS	B	80,000	29.89	n/a	n/a	2,400.00	3.0
SHEFFIELD ASSET MGMT	031	ATVI	B	200,000	11.19	n/a	n/a	6,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	AXL	S	60,000	8.71	n/a	4-Aug	1,800.00	3.0
BROADARCH CAP/OLD NEWC	070	BA	B	2,700	68.25	n/a	17-Sep	108.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BBD</b>	<b>B</b>	<b>1000</b>	<b>21.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRANITE CAPITAL	028	BEAV	SS	20,000	31.55	7-Oct	7-Oct	1,000.00	5.0
WEISS PECK	040	BEAV	S	19,960	31.30	7-Oct	7-Oct	998.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BJ</b>	<b>C</b>	<b>30,000</b>	<b>41.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CATAPULT	040	BMS	SS	10,000	32.97	n/a	n/a	400.00	4.0
KACELA CAPITAL	034	BUCY	B	13,420	72.64	n/a	26-Jul	536.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CAKE</b>	<b>SS</b>	<b>20,000</b>	<b>27.50</b>	<b>n/a</b>	<b>29-Sep</b>	<b>non-brg</b>	<b>4.0</b>
CAVU CAP ADV	028	CAT	B	20,000	78.91	n/a	23-Jul	1,000.00	5.0
TPG-AXON	040	CBE	SS	36,000	49.62	n/a	22-Jul	1,800.00	5.0
SCOPIA CAPITAL	048	CCK	S	50,000	29.04	n/a	n/a	2,000.00	4.0
CATAPULT	040	CE	B	10,000	32.79	n/a	n/a	400.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CHS</b>	<b>S</b>	<b>750</b>	<b>10.38</b>	<b>n/a</b>	<b>5-Feb</b>	<b>0.00</b>	<b>0.0</b>
GALT INVESTMENT	041	CLUB	S	10,000	2.94	n/a	n/a	250.00	2.5
BALYASNY ASSET MGMT	044	CMA	SS	25,000	38.50	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	COL	B	2,300	58.90	n/a	21-Jul	92.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>COST</b>	<b>SS</b>	<b>20,000</b>	<b>65.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	CSCO	B	10,000	22.32	n/a	n/a	500.00	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>2000</b>	<b>10.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ACK ASSET	028	DAN	B	45,948	12.99	n/a	2-Aug	1,378.44	3.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>20</b>	<b>0.75</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>40,000</b>	<b>48.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>C</b>	<b>40,000</b>	<b>28.76</b>	<b>n/a</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	DOW	B	6,400	29.10	n/a	24-Aug	256.00	4.0
GREEN ARROW DOUG	040	DPS	B	25,000	34.65	n/a	n/a	1,250.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>DPTR</b>	<b>B</b>	<b>8712</b>	<b>0.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	DPZ	B	40,000	13.95	n/a	29-Sep	1,400.02	3.5
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>DVN</b>	<b>B</b>	<b>200</b>	<b>65.57</b>	<b>n/a</b>	<b>30-Sep</b>	<b>0.00</b>	<b>0.0</b>
GRANITE CAPITAL	028	EMC	S	15,000	19.45	n/a	n/a	750.00	5.0
PENNANT CAP MGMT	029	EME	SS	20,000	24.91	n/a	n/a	600.00	3.0
AAD CAPITAL	084	FDO	SS	20,000	46.21	n/a	7-Oct	800.00	4.0

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<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>40,000</b>	<b>14.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>FRO</b>	<b>B</b>	<b>300</b>	<b>28.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FRO</b>	<b>B</b>	<b>900</b>	<b>28.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>FRO</b>	<b>B</b>	<b>200</b>	<b>28.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>120</b>	<b>13.32</b>	<b>n/a</b>	<b>4-Oct</b>	<b>0.00</b>	<b>0.0</b>
TALKOT CAPITAL LLC	084	F	SS	10,000	13.22	n/a	4-Oct	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	25,300	39.98	n/a	26-Aug	759.00	3.0
JET CAPITAL/CHRIS	041	GGP	S	100,000	15.88	n/a	n/a	3,000.00	3.0
GALT INVESTMENT	041	GMAN	S	2,488	11.95	n/a	n/a	99.52	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>B</b>	<b>200,000</b>	<b>18.41</b>	<b>n/a</b>	<b>n/a</b>	<b>8,000.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	GPS	SS	50,000	18.56	n/a	n/a	2,500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GS</b>	<b>B</b>	<b>15</b>	<b>1.36</b>	<b>n/a</b>	<b>5-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>GS</b>	<b>B</b>	<b>100</b>	<b>151.12</b>	<b>n/a</b>	<b>5-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>S</b>	<b>37,500</b>	<b>52.88</b>	<b>n/a</b>	<b>1-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HD</b>	<b>SS</b>	<b>30,000</b>	<b>31.66</b>	<b>7-Oct</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	HD	SS	75,000	31.63	7-Oct	7-Oct	3,750.00	5.0
RBC CAPITAL MARKETS	040	HD	B	15,000	31.72	7-Oct	7-Oct	600.00	4.0
SCHOTTENFELD ASSOC	041	HD	B	20,000	31.67	7-Oct	7-Oct	600.00	3.0
LATEFF MGMT	035	HON	S	1,500	45.31	n/a	18-Aug	360.00	24.0

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<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>HOT</b>	<b>S</b>	<b>1500</b>	<b>53.52</b>	<b>n/a</b>	<b>8-Sep</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	HOT	B	15,000	54.69	n/a	8-Sep	600.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>HTZ</b>	<b>B</b>	<b>40,000</b>	<b>9.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
TPG-AXON	040	ITW	SS	33,000	48.21	n/a	30-Jul	1,650.00	5.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>JBHT</b>	<b>B</b>	<b>150</b>	<b>35.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>20,000</b>	<b>34.37</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>f</b> HARALAMBOS EFSTATHI	<b>FID</b>	<b>JCG</b>	<b>S</b>	<b>200</b>	<b>34.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>JCG</b>	<b>S</b>	<b>60</b>	<b>34.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>JCP</b>	<b>SS</b>	<b>40,000</b>	<b>30.14</b>	<b>n/a</b>	<b>1-Oct</b>	<b>1,600.00</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>JCP</b>	<b>SS</b>	<b>70,000</b>	<b>29.63</b>	<b>n/a</b>	<b>1-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>JOSB</b>	<b>S</b>	<b>10,000</b>	<b>45.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAXTON PART	040	JPM	B	11,606	40.16	n/a	5-Oct	406.22	3.5
SAC CAPITAL/M GRONET	030	KSS	S	10,000	52.83	n/a	1-Oct	350.00	3.5
<b>B</b> BUCK CAPITAL MGMT		<b>LIZ</b>	<b>B</b>	<b>150,000</b>	<b>6.69</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>3.0</b>
PARAMETER CAPITAL MGMT LLC	044	LRV	B	25,000	33.11	n/a	n/a	1,000.00	4.0
HG VORA CAP MGMT LLC	025	LVS	B	10,000	36.11	n/a	4-Oct	300.00	3.0
CAVU CAP ADV	028	MAR	S	30,000	35.64	n/a	7-Oct	1,500.00	5.0

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TPG-AXON	040	MMM	SS	20,000	88.95	n/a	17-Sep	1,000.00	5.0
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>MON</b>	<b>B</b>	<b>200</b>	<b>48.48</b>	<b>n/a</b>	<b>6-Oct</b>	<b>0.00</b>	<b>0.0</b>
HG VORA CAP MGMT LLC	025	MPEL	B	25,000	5.46	n/a	4-Oct	750.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MRK</b>	<b>B</b>	<b>1000</b>	<b>37.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>MSFT</b>	<b>B</b>	<b>750</b>	<b>24.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW2</b>	<b>C</b>	<b>450,000</b>	<b>116.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW3</b>	<b>SS</b>	<b>450,000</b>	<b>115.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.8</b>
DELTEC ASSET MGMT.	040	MTW	S	14,000	12.05	n/a	3-Aug	700.00	5.0
PENNANT CAP MGMT	029	NSR	SS	60,000	24.21	n/a	n/a	1,800.00	3.0
BENNETT LAWRENCE	028	OPEN	S	4,600	62.25	n/a	n/a	184.00	4.0
BROADARCH CAP/OLD NEWC	070	OXY	B	2,300	82.42	n/a	n/a	92.00	4.0
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>PBCT</b>	<b>B</b>	<b>1000</b>	<b>13.41</b>	<b>n/a</b>	<b>28-Sep</b>	<b>0.00</b>	<b>0.0</b>
COHE & STEERS	041	PCL	S	56,600	36.03	n/a	26-Aug	2,264.00	4.0
CAXTON PART	040	PEP	B	38,684	65.78	n/a	n/a	1,353.98	3.5
CAVU CAP ADV	028	PH	S	10,000	70.34	n/a	4-Aug	500.00	5.0

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NEW JERSEY DIV OF INV.	030	PNC	S	100,000	53.04	n/a	n/a	4,000.00	4.0
FIRST NEW YORK NICK	029	Q	B	30,000	6.39	n/a	n/a	1,500.00	5.0
RBC CAPITAL MARKETS	040	RCL	S	20,000	33.10	n/a	n/a	800.00	4.0
ROXBURY CAPITAL MGMT	035	RFMD	S	540,740	6.22	n/a	n/a	21,629.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RGC</b>	<b>B</b>	<b>100,000</b>	<b>13.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PENNANT CAP MGMT	029	RIMM	SS	5,000	47.82	n/a	n/a	150.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ROST</b>	<b>SS</b>	<b>15,000</b>	<b>55.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ROST</b>	<b>SS</b>	<b>5,000</b>	<b>56.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>B</b>	<b>30,000</b>	<b>24.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>50</b>	<b>0.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>100</b>	<b>0.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEINTRAUB CAPITAL MGT.	040	SSCC	B	25,000	19.94	n/a	7-Oct	1,000.00	4.0
ROSEDALE CAPITAL	046	SWN	B	20,000	33.51	n/a	30-Sep	1,000.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.53	n/a	n/a	800.00	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>TBT</b>	<b>B</b>	<b>8</b>	<b>0.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>TBT</b>	<b>B</b>	<b>400</b>	<b>31.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	TGT	B	90,000	54.25	n/a	2-Sep	4,500.00	5.0

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AVESTA CAP	229	TGT	C	100,000	54.48	n/a	2-Sep	3,000.00	3.0
CAMBIAR CAP	046	TGT	B	220,903	53.94	n/a	2-Sep	8,836.12	4.0
RBC CAPITAL MARKETS	040	TGT	B	25,000	54.42	n/a	2-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	TGT	SS	20,000	53.85	n/a	2-Sep	800.00	4.0
SANDELL ADV	028	TPCG	S	39,443	26.47	n/a	n/a	1,577.72	4.0
COBALT	041	UFS	B	21,344	66.91	n/a	n/a	1,067.20	5.0
GALT INVESTMENT	041	URBN	S	50,000	31.77	n/a	n/a	2,500.00	5.0
TPG-AXON	040	UTX	SS	23,000	72.88	n/a	n/a	1,150.00	5.0
FIRST NY SEC/CHRIS	041	VIAB	B	10,000	36.61	n/a	n/a	500.00	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>VXX</b>	<b>B</b>	<b>5000</b>	<b>16.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	WFC	B	11,606	26.54	n/a	5-Oct	406.22	3.5
CAVU CAP ADV	028	WHR	B	10,000	80.26	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>125,725.98</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	10/06	IMPALA ASSET MMT	012	INT	S	20,200	26.91	n/a	n/a	808.00	4.0
AO,CRT	10/06	HG VORA CAP MGMT LLC	025	IWM	B	5,000	68.40	n/a	n/a	150.00	3.0
AO,CXL	10/06	HG VORA CAP MGMT LLC	025	IWM	B	5,000	68.40	n/a	n/a	200.00	4.0
AO,CRT	10/06	HG VORA CAP MGMT LLC	025	LVS	B	15,000	36.14	n/a	4-Oct	450.00	3.0
AO,CXL	10/06	HG VORA CAP MGMT LLC	025	LVS	B	15,000	36.14	n/a	4-Oct	600.00	4.0
AO,CXL	10/06	HG VORA CAP MGMT LLC	025	MPEL	B	25,000	5.40	n/a	4-Oct	1000.00	4.0
AO,CRT	10/06	HG VORA CAP MGMT LLC	025	MPEL	B	25,000	5.40	n/a	4-Oct	750.00	3.0
AO,	10/06	CAMBIAR CAP	046	TGT	B	246,797	53.97	n/a	2-Sep	9871.88	4.0

**TOTAL (AO, CXL, CRT) :****8,613.88**

TOTAL (Trade Date):

125,725.98

TOTAL (AO, CXL, CRT):

8,613.88

**TOTAL (RUN DATE) / NFS:****134,339.86****MRI Securities with Trade Activity on 7-Oct.****BEAV, HD**

MRI Securities without Trade Activity on 7-Oct.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 10%  
YTD = 11%

**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**

**Watch List Trades**

**f: Employee Trades (Fidelity)**