



Daily Compliance Activity Report

Trade Date: 02/14/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	B	219	505.53	n/a	n/a	8.76	4.0
MELLON/BANK OF NEW YORK	046	AAPL	S	1,065	509.37	n/a	n/a	42.60	4.0
TUDOR INVESTORS	028	AAWW	S	7,000	50.07	n/a	n/a	210.00	3.0
MELLON/BANK OF NEW YORK	046	ACWX	S	2,710	40.08	n/a	n/a	108.40	4.0
ROYCE TRADING	031	AHL	B	9,300	28.09	n/a	n/a	465.00	5.0
ROYCE TRADING	031	AIN	S	6,000	24.47	n/a	n/a	300.00	5.0
MELLON/BANK OF NEW YORK	046	AMZN	B	416	190.70	n/a	n/a	16.64	4.0
MELLON/BANK OF NEW YORK	046	AMZN	S	135	191.30	n/a	n/a	5.40	4.0
CAERUS GLOBAL	041	ANF	S	9,100	44.04	n/a	3-Feb	364.00	4.0
MELLON/BANK OF NEW YORK	046	ARCC	S	4,000	16.23	n/a	n/a	160.00	4.0
MELLON/BANK OF NEW YORK	046	BIDU	B	51	140.80	n/a	n/a	2.04	4.0
MELLON/BANK OF NEW YORK	046	BIDU	S	10	140.26	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	BIIB	S	25	118.53	n/a	n/a	1.00	4.0
MELLON/BANK OF NEW YORK	046	BRKB	S	3,000	79.28	n/a	n/a	120.00	4.0
ROYCE TRADING	031	B	S	2,500	26.35	n/a	n/a	125.00	5.0
MELLON/BANK OF NEW YORK	046	CAT	B	39	113.99	n/a	27-Jan	1.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	CAT	S	325	114.33	n/a	27-Jan	13.00	4.0
TUDOR INVESTORS	028	CBE	B	10,000	60.68	n/a	25-Jan	300.00	3.0
ROYCE TRADING	031	CBM	S	2,000	7.31	n/a	n/a	100.00	5.0
ROYCE TRADING	031	CBR	B	2,000	4.23	n/a	n/a	60.00	3.0
ROYCE TRADING	031	CIR	S	2,500	41.07	n/a	n/a	125.00	5.0
MELLON/BANK OF NEW YORK	046	CME	S	750	289.33	n/a	28-Apr	30.00	4.0
MELLON/BANK OF NEW YORK	046	CMI	S	70	121.48	n/a	6-Feb	2.80	4.0
MELLON/BANK OF NEW YORK	046	COV	B	560	52.17	n/a	n/a	22.40	4.0
MELLON/BANK OF NEW YORK	046	COV	S	240	52.23	n/a	n/a	9.60	4.0
MELLON/BANK OF NEW YORK	046	CRM	B	21	130.48	n/a	n/a	0.84	4.0
MELLON/BANK OF NEW YORK	046	CRM	S	240	133.20	n/a	n/a	9.60	4.0
MELLON/BANK OF NEW YORK	046	CSCO	S	3,000	19.87	n/a	n/a	120.00	4.0
MELLON/BANK OF NEW YORK	046	CSJ	S	35	104.74	n/a	n/a	1.40	4.0
ROYCE TRADING	031	CTP	B	270	6.71	n/a	n/a	13.50	5.0
MELLON/BANK OF NEW YORK	046	CVX	B	34	106.01	n/a	n/a	1.36	4.0
MELLON/BANK OF NEW YORK	046	CVX	S	645	106.31	n/a	n/a	25.80	4.0
ROYCE TRADING	031	DAN	S	1,000	15.90	n/a	13-Jan	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	ECA	B	5,000	19.29	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	EEM	S	20,543	43.33	n/a	n/a	821.72	4.0
MELLON/BANK OF NEW YORK	046	EOG	S	105	113.50	n/a	n/a	4.20	4.0
MELLON/BANK OF NEW YORK	046	EWJ	S	4,800	9.69	n/a	n/a	192.00	4.0
MELLON/BANK OF NEW YORK	046	EWS	S	2,200	12.64	n/a	n/a	88.00	4.0
ROYCE TRADING	031	FBN	B	2,500	1.81	n/a	n/a	75.00	3.0
MELLON/BANK OF NEW YORK	046	FFIV	B	180	125.50	n/a	n/a	7.20	4.0
MELLON/BANK OF NEW YORK	046	FFIV	S	75	125.44	n/a	n/a	3.00	4.0
MOORE CAPITAL	041	FL	B	8,482	27.40	n/a	9-Jan	254.46	3.0
SCOPUS FUND	041	FL	S	24,853	27.05	n/a	9-Jan	994.12	4.0
NEUBERGER BERMAN	036	FNSR	B	73,750	22.51	n/a	n/a	2,950.00	4.0
MELLON/BANK OF NEW YORK	046	FTR	S	873	4.15	n/a	n/a	34.92	4.0
ROYCE TRADING	031	GB	S	1,000	24.84	n/a	n/a	50.00	5.0
BRANDWINE	028	GE	B	396,050	18.92	n/a	n/a	15,842.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GIL	B	1,250	24.37	n/a	9-Feb	0.00	0.0
MELLON/BANK OF NEW YORK	046	GLD	B	345	167.11	n/a	n/a	13.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	GMT	SS	5,000	43.84	n/a	n/a	150.00	3.0
DEVENNY CAP LLC	044	GNTX	B	10,000	25.57	n/a	1-Feb	300.00	3.0
MELLON/BANK OF NEW YORK	046	GNVC	S	5,000	2.60	n/a	n/a	200.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GPS	B	5,000	22.29	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	GRC	B	2,100	32.82	n/a	n/a	84.00	4.0
MELLON/BANK OF NEW YORK	046	GSG	B	1,083	34.52	n/a	n/a	43.32	4.0
MELLON/BANK OF NEW YORK	046	GSG	S	3,865	34.52	n/a	n/a	154.60	4.0
TUDOR INVESTORS	028	GWW	B	2,000	207.94	n/a	26-Jan	60.00	3.0
MACQUARIE INVESTMENT MGMT.	040	HES	B	3,000	61.58	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	HOTT	B	80,000	8.12	n/a	n/a	2,400.00	3.0
MOORE CAPITAL	041	HTZ	B	10,000	14.61	n/a	n/a	300.00	3.0
MELLON/BANK OF NEW YORK	046	IBM	B	27	192.21	n/a	n/a	1.08	4.0
MELLON/BANK OF NEW YORK	046	IBM	S	435	191.40	n/a	n/a	17.40	4.0
JET CAPITAL/CHRIS	041	ILMN	SS	55,000	53.95	n/a	n/a	1,650.00	3.0
MELLON/BANK OF NEW YORK	046	INP	B	50	59.62	n/a	n/a	2.00	4.0
ARMATURE CAPITAL	041	IP	B	39,000	32.97	n/a	2-Feb	1,560.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	ITT	S	2,625	22.28	n/a	n/a	105.00	4.0
MELLON/BANK OF NEW YORK	046	IWM	S	1,125	81.49	n/a	n/a	45.00	4.0
MELLON/BANK OF NEW YORK	046	IWS	S	1,992	46.83	n/a	n/a	79.68	4.0
SIMMONS VENTURES	041	JNY	SS	10,000	9.76	n/a	9-Feb	400.00	4.0
MACQUARIE INVESTMENT MGMT.	040	KSS	B	5,000	50.57	n/a	3-Feb	0.00	0.0
MOORE CAPITAL	041	LIZ	B	14,000	9.90	n/a	7-Oct	420.00	3.0
MELLON/BANK OF NEW YORK	046	LNCE	B	364	21.97	n/a	n/a	14.56	4.0
MELLON/BANK OF NEW YORK	046	LNKD	B	264	85.57	n/a	n/a	10.56	4.0
MELLON/BANK OF NEW YORK	046	LO	B	50	121.90	n/a	n/a	2.00	4.0
MELLON/BANK OF NEW YORK	046	MAIN	B	998	22.62	n/a	n/a	39.92	4.0
MELLON/BANK OF NEW YORK	046	MDY	B	15	176.74	n/a	n/a	0.60	4.0
MELLON/BANK OF NEW YORK	046	MDY	S	50	176.47	n/a	n/a	2.00	4.0
MELLON/BANK OF NEW YORK	046	MIL	S	2,000	8.01	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	MSON	S	5,000	1.89	n/a	n/a	200.00	4.0
MELLON/BANK OF NEW YORK	046	MTGE	B	20,000	21.70	n/a	n/a	800.00	4.0
ROYCE TRADING	031	MTX	B	16,350	65.86	n/a	n/a	817.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	MU	S	8,200	8.34	n/a	n/a	328.00	4.0
RIDGECREST INV MGMT LLC	028	MWV	B	10,000	29.97	n/a	26-Jan	500.00	5.0
TROUBH PART	070	M	S	22,000	35.36	n/a	3-Feb	1,100.00	5.0
MTB INV ADV	034	NAV	S	9,250	44.31	n/a	25-Jan	462.50	5.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.11	n/a	n/a	800.00	4.0
MELLON/BANK OF NEW YORK	046	NXPI	B	1,380	23.27	n/a	n/a	55.20	4.0
TUDOR INVESTORS	028	OC	B	15,000	33.22	n/a	n/a	450.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ODP	S	15,000	3.07	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	ORCL	S	135,903	28.09	n/a	n/a	4,756.62	3.5
MELLON/BANK OF NEW YORK	046	OXY	B	80	104.16	n/a	n/a	3.20	4.0
MELLON/BANK OF NEW YORK	046	OXY	S	100	103.77	n/a	n/a	4.00	4.0
MELLON/BANK OF NEW YORK	046	PHO	S	600	19.06	n/a	n/a	24.00	4.0
TUDOR INVESTORS	028	PH	SS	5,000	89.07	n/a	25-Jan	150.00	3.0
TUDOR INVESTORS	028	PNR	SS	10,000	38.66	n/a	n/a	300.00	3.0
ROYCE TRADING	031	PSS	S	5,000	18.28	n/a	n/a	250.00	5.0
MELLON/BANK OF NEW YORK	046	PST	S	1,000	30.40	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	QEP	B	195	31.10	n/a	n/a	7.80	4.0
MELLON/BANK OF NEW YORK	046	QEP	S	315	30.88	n/a	n/a	12.60	4.0
NEUBERGER BERMAN	036	ROL	B	10,100	20.98	n/a	n/a	404.00	4.0
MELLON/BANK OF NEW YORK	046	SDY	B	630	55.64	n/a	n/a	25.20	4.0
MELLON/BANK OF NEW YORK	046	SHPGY	B	35	106.65	n/a	13-Feb	1.40	4.0
MELLON/BANK OF NEW YORK	046	SHPGY	S	135	106.68	n/a	13-Feb	5.40	4.0
MELLON/BANK OF NEW YORK	046	SLV	B	694	32.51	n/a	n/a	27.76	4.0
MACQUARIE INVESTMENT MGMT.	040	SPLS	S	25,000	14.77	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	SPLS	B	3,375	14.74	n/a	n/a	135.00	4.0
MELLON/BANK OF NEW YORK	046	SPY	B	90	135.00	n/a	n/a	3.60	4.0
MELLON/BANK OF NEW YORK	046	SPY	S	3,125	134.99	n/a	n/a	125.00	4.0
MOORE CAPITAL	041	SPY	SS	7,410	134.31	n/a	n/a	222.30	3.0
WOODWAY FINANCIAL	031	STT	B	65,000	39.62	n/a	10-Feb	3,900.00	6.0
MELLON/BANK OF NEW YORK	046	TEL	S	660	34.93	n/a	n/a	26.40	4.0
PZENA INV ADV	044	TEL	B	6,500	34.70	n/a	n/a	227.50	3.5
DEVENNY CAP LLC	044	TEX	SS	12,700	23.70	n/a	25-Jan	381.00	3.0
TROUBH PART	070	TIF	B	10,000	65.00	n/a	n/a	500.00	5.0
MELLON/BANK OF NEW YORK	046	TIP	S	240	118.79	n/a	n/a	9.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	TNA	B	376	60.00	n/a	n/a	15.04	4.0
MELLON/BANK OF NEW YORK	046	UNP	B	25	113.24	n/a	n/a	1.00	4.0
MELLON/BANK OF NEW YORK	046	UNP	S	285	113.00	n/a	n/a	11.40	4.0
CATAPULT	040	VALE	SS	25,000	25.57	n/a	n/a	1,000.00	4.0
MELLON/BANK OF NEW YORK	046	VCIT	B	7,100	84.32	n/a	n/a	284.00	4.0
PZENA INV ADV	044	VCI	B	300	23.19	n/a	n/a	10.50	3.5
MELLON/BANK OF NEW YORK	046	VCSH	B	7,600	79.07	n/a	n/a	304.00	4.0
MELLON/BANK OF NEW YORK	046	VWO	B	3,020	43.66	n/a	n/a	120.80	4.0
MELLON/BANK OF NEW YORK	046	WDTI	S	900	44.05	n/a	n/a	36.00	4.0
GALT INVESTMENT	041	WMT	B	30,000	62.02	n/a	8-Feb	1,500.00	5.0
MERRILL ASSET/BLACKROCK	297	WRB	S	37,700	36.18	n/a	n/a	1,508.00	4.0
TUDOR INVESTORS	028	WSO	S	5,000	71.81	n/a	n/a	150.00	3.0
MELLON/BANK OF NEW YORK	046	XLF	S	10,000	14.62	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	XLI	S	620	37.16	n/a	n/a	24.80	4.0
MELLON/BANK OF NEW YORK	046	XLP	S	620	32.74	n/a	n/a	24.80	4.0
MELLON/BANK OF NEW YORK	046	XLS	S	5,252	10.42	n/a	n/a	210.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	XLU	S	1,000	34.83	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	XLV	S	600	36.12	n/a	n/a	24.00	4.0
MELLON/BANK OF NEW YORK	046	XYL	B	200	27.00	n/a	n/a	8.00	4.0
MELLON/BANK OF NEW YORK	046	XYL	S	5,252	26.99	n/a	n/a	210.08	4.0
PERRY PARTNERS	085	YHOO	B	50,000	15.20	n/a	n/a	1,500.00	3.0
CENTURION PARTNERS	041	ZNGA	S	20,000	14.01	n/a	n/a	800.00	4.0
TOTAL (Trade Date):								57,506.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/13	STELLIAM INV ADV (STLLGSBULK)	034	CBOE	SS	25,000	28.34	n/a	n/a	1250.00 5.0
AO,CRT	02/13	STELLIAM INV ADV (STLLMSEXEC)	034	CBOE	SS	25,000	28.34	n/a	n/a	1250.00 5.0
AO,CXL	02/13	MA CAPITAL MGMT/MELLON ADV (MACAJPM)	041	MWV	B	4,000	30.04	n/a	26-Jan	200.00 5.0
AO,CRT	02/13	MA CAPITAL MGMT/MELLON ADV (MACAJPM)	041	MWV	B	5,000	30.04	n/a	26-Jan	250.00 5.0
TOTAL (AO, CXL, CRT) :										50.00

TOTAL (Trade Date) :	57,506.32
TOTAL (AO, CXL, CRT) :	50.00

TOTAL (RUN DATE) / NFS :	57,556.32
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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