



Daily Compliance Activity Report

Trade Date: 01/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	B	60	445.95	n/a	n/a	2.40	4.0
MELLON/BANK OF NEW YORK	046	AAPL	S	56	446.30	n/a	n/a	2.24	4.0
SUN AMERICA ASSET MGMT	030	AAPL	B	2,676	446.12	n/a	n/a	107.04	4.0
BALLAST CAP	040	ABFS	B	4,000	18.86	n/a	n/a	200.00	5.0
MELLON/BANK OF NEW YORK	046	ALV	B	1,000	63.58	n/a	25-Jan	40.00	4.0
MELLON/BANK OF NEW YORK	046	AMGN	S	1,500	68.60	n/a	n/a	60.00	4.0
MELLON/BANK OF NEW YORK	046	AMZN	B	17	195.47	n/a	n/a	0.68	4.0
MELLON/BANK OF NEW YORK	046	APA	B	2,000	97.50	n/a	23-Jan	80.00	4.0
MELLON/BANK OF NEW YORK	046	APC	B	1,000	79.72	n/a	6-Jan	40.00	4.0
MELLON/BANK OF NEW YORK	046	APKT	S	1,460	30.01	n/a	n/a	58.40	4.0
MELLON/BANK OF NEW YORK	046	ARCO	B	1,500	21.62	n/a	6-Jan	60.00	4.0
MELLON/BANK OF NEW YORK	046	ARIA	B	5,530	14.81	n/a	n/a	221.20	4.0
MELLON/BANK OF NEW YORK	046	ARMH	S	2,700	27.98	n/a	n/a	108.00	4.0
SONTERRA CAP	041	ATI	S	50,000	46.94	n/a	27-Jan	2,000.00	4.0
CATAPULT	040	ATU	B	20,000	25.00	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	AVT	B	3,600	34.77	n/a	n/a	144.00	4.0
COUGAR TRADING	044	AXL	B	10,000	12.47	n/a	25-Jan	500.00	5.0
COUGAR TRADING	044	AXL	SS	10,000	12.29	n/a	25-Jan	500.00	5.0
MELLON/BANK OF NEW YORK	046	AXP	B	1,000	50.02	n/a	27-Jan	40.00	4.0
MELLON/BANK OF NEW YORK	046	BAX	B	2,000	55.64	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	BAX	S	2,160	55.73	n/a	n/a	86.40	4.0
MELLON/BANK OF NEW YORK	046	BBY	S	4,175	25.30	n/a	n/a	167.00	4.0
SCOPUS FUND	041	BBY	SS	50,000	24.95	n/a	n/a	2,000.00	4.0
MELLON/BANK OF NEW YORK	046	BIDU	B	370	125.94	n/a	n/a	14.80	4.0
KACELA CAPITAL	034	BIG	B	20,400	39.99	n/a	27-Jan	816.00	4.0
MA CAPITAL MGMT/MELLON ADV041		BIG	B	4,000	40.07	n/a	27-Jan	200.00	5.0
MACQUARIE INVESTMENT MGMT. 040		BIG	B	7,500	40.09	n/a	27-Jan	0.00	0.0
SCOPUS FUND	041	BIG	B	30,000	40.04	n/a	27-Jan	1,200.00	4.0
ROYCE TRADING	031	BKE	B	500	42.72	n/a	n/a	25.00	5.0
BNP PARIBAS SEC	040	BKI	B	20,000	33.98	n/a	n/a	1,000.00	5.0
MELLON/BANK OF NEW YORK	046	BK	B	2,900	20.13	n/a	19-Jan	116.00	4.0
MELLON/BANK OF NEW YORK	046	BRKB	B	1,300	79.02	n/a	n/a	52.00	4.0
MELLON/BANK OF NEW YORK	046	CAH	S	2,010	42.46	n/a	n/a	80.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	CBG	B	3,800	19.11	n/a	n/a	152.00	4.0
MELLON/BANK OF NEW YORK	046	CHD	B	30,000	45.88	n/a	11-Jan	1,200.00	4.0
MELLON/BANK OF NEW YORK	046	CMI	B	500	106.64	n/a	25-Jan	20.00	4.0
MELLON/BANK OF NEW YORK	046	CRM	S	580	115.65	n/a	n/a	23.20	4.0
MELLON/BANK OF NEW YORK	046	CSJ	S	500	104.49	n/a	n/a	20.00	4.0
TUDOR INVESTORS	028	DSW	SS	25,000	49.01	n/a	11-Feb	750.00	3.0
MELLON/BANK OF NEW YORK	046	EMC	B	2,000	25.72	n/a	n/a	80.00	4.0
SENATOR INVESTMENT GROUP	036	EMN	B	100,000	49.48	n/a	n/a	3,000.00	3.0
MELLON/BANK OF NEW YORK	046	ENR	S	1,200	78.94	n/a	9-Jan	48.00	4.0
MELLON/BANK OF NEW YORK	046	ESRX	B	2,260	51.30	n/a	n/a	90.40	4.0
MELLON/BANK OF NEW YORK	046	ESV	B	1,000	53.51	n/a	n/a	40.00	4.0
COLUMBUS CIRCLE	036	FCX	B	2,600	47.03	n/a	n/a	104.00	4.0
MELLON/BANK OF NEW YORK	046	FDX	B	1,200	92.28	n/a	n/a	48.00	4.0
MACQUARIE INVESTMENT MGMT.	040	F	SS	50,000	12.27	n/a	25-Jan	0.00	0.0
MELLON/BANK OF NEW YORK	046	F	B	13,600	12.23	n/a	25-Jan	544.00	4.0
OZ MGMT	040	F	B	175,000	12.44	n/a	25-Jan	5,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	C	178,486	12.22	n/a	25-Jan	5,354.58	3.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	24.14	n/a	25-Jan	2,500.00	5.0
BNP PARIBAS SEC	040	GM	B	30,000	24.10	n/a	25-Jan	1,500.00	5.0
DEVENNY CAP LLC	044	GM	SS	14,000	24.47	n/a	25-Jan	420.00	3.0
MELLON/BANK OF NEW YORK	046	GM	S	7,300	24.40	n/a	25-Jan	292.00	4.0
SUN AMERICA ASSET MGMT	030	GNC	B	42,400	26.99	n/a	n/a	1,696.00	4.0
MELLON/BANK OF NEW YORK	046	GOOG	S	200	574.50	n/a	n/a	8.00	4.0
MELLON/BANK OF NEW YORK	046	GSG	B	3,000	34.09	n/a	n/a	120.00	4.0
MELLON/BANK OF NEW YORK	046	GSG	S	280	34.00	n/a	n/a	11.20	4.0
MELLON/BANK OF NEW YORK	046	HES	S	2,965	54.79	n/a	n/a	118.60	4.0
TUDOR INVESTORS	028	HUN	S	10,000	12.37	n/a	n/a	300.00	3.0
MELLON/BANK OF NEW YORK	046	IAU	B	12,000	16.93	n/a	n/a	480.00	4.0
MELLON/BANK OF NEW YORK	046	ILMN	B	1,520	52.43	n/a	n/a	60.80	4.0
THOMAS WEISEL ASSET MGMT	035	INAP	S	29,700	6.56	n/a	n/a	891.00	3.0
SCOPUS FUND	041	IP	S	38,313	31.01	n/a	23-Jan	1,532.52	4.0
JAT CAPITAL MANAGEMENT	041	JCP	B	81,261	40.16	n/a	27-Jan	3,250.44	4.0
Õ Nilsa Vazquez		JNPR	S	500	20.2710	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	JPM	S	100,000	37.35	n/a	13-Jan	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	JWN	SS	5,000	48.39	n/a	27-Jan	200.00	4.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	46.58	n/a	27-Jan	300.00	3.0
PRIMECAP MGMT	084	KSS	S	4,838	46.69	n/a	27-Jan	193.52	4.0
MELLON/BANK OF NEW YORK	046	LTD	S	1,500	41.13	n/a	n/a	60.00	4.0
MELLON/BANK OF NEW YORK	046	LULU	B	1,440	63.40	n/a	10-Jan	57.60	4.0
MELLON/BANK OF NEW YORK	046	LVS	B	2,000	49.24	n/a	13-Jun	80.00	4.0
MELLON/BANK OF NEW YORK	046	MDRX	S	3,580	18.66	n/a	n/a	143.20	4.0
MELLON/BANK OF NEW YORK	046	MDT	S	2,000	39.12	n/a	n/a	80.00	4.0
AMBER CAPITAL	046	MET	SS	50,000	34.63	n/a	n/a	2,000.00	4.0
ROYCE TRADING	031	MLI	B	757	44.06	n/a	26-Oct	37.85	5.0
MELLON/BANK OF NEW YORK	046	MSFT	B	2,000	29.31	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	MSFT	S	10,560	29.30	n/a	n/a	422.40	4.0
MELLON/BANK OF NEW YORK	046	MS	S	7,169	18.17	n/a	19-Jan	286.76	4.0
MELLON/BANK OF NEW YORK	046	MTH	S	25,270	27.53	n/a	n/a	1,010.80	4.0
ROYCE TRADING	031	MTX	B	749	64.36	n/a	n/a	37.45	5.0
FIRST NY SEC/CHRIS	041	M	SS	10,000	33.38	n/a	27-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	NOV	B	1,000	77.81	n/a	n/a	40.00	4.0
BALYASNY ASSET MGMT	044	OI	C	50,000	24.57	n/a	n/a	2,500.00	5.0
MELLON/BANK OF NEW YORK	046	OMC	S	1,500	46.37	n/a	n/a	60.00	4.0
MELLON/BANK OF NEW YORK	046	OXY	B	500	100.13	n/a	n/a	20.00	4.0
MELLON/BANK OF NEW YORK	046	PG	S	1,000	64.19	n/a	27-Jan	40.00	4.0
MELLON/BANK OF NEW YORK	046	PM	B	2,000	75.72	n/a	n/a	80.00	4.0
PRIMECAP MGMT	084	POT	S	500	47.15	n/a	n/a	20.00	4.0
MELLON/BANK OF NEW YORK	046	QCOM	B	1,000	57.71	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	QEP	B	70	29.00	n/a	n/a	2.80	4.0
MELLON/BANK OF NEW YORK	046	RYL	S	73,920	18.20	n/a	n/a	2,956.80	4.0
MELLON/BANK OF NEW YORK	046	SCHW	S	6,100	11.60	n/a	n/a	244.00	4.0
SENATOR INVESTMENT GROUP	036	SIAL	SS	100,000	67.88	n/a	19-Jan	3,000.00	3.0
PHILADELPHIA FINANCIAL	033	SLM	S	10,967	15.10	n/a	26-Jan	438.68	4.0
MELLON/BANK OF NEW YORK	046	STT	S	6,410	38.98	n/a	18-Jan	256.40	4.0
MELLON/BANK OF NEW YORK	046	SWN	S	2,600	31.46	n/a	6-Jan	104.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	TDC	B	1,000	53.45	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	TECD	B	1,520	52.98	n/a	n/a	60.80	4.0
MELLON/BANK OF NEW YORK	046	TEX	S	30,900	20.87	n/a	25-Jan	1,236.00	4.0
MELLON/BANK OF NEW YORK	046	TMO	S	2,000	52.82	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	TROW	B	1,500	59.87	n/a	n/a	60.00	4.0
MTB INV ADV	034	TRW	B	18,000	38.51	n/a	n/a	900.00	5.0
MELLON/BANK OF NEW YORK	046	TWC	S	2,030	74.19	n/a	n/a	81.20	4.0
SUN AMERICA ASSET MGMT	030	TXN	B	1,300	32.35	n/a	n/a	52.00	4.0
MELLON/BANK OF NEW YORK	046	TYC	B	1,000	49.32	n/a	16-Nov	40.00	4.0
MELLON/BANK OF NEW YORK	046	T	S	1,200	29.33	n/a	n/a	48.00	4.0
MELLON/BANK OF NEW YORK	046	URI	S	17,100	38.31	n/a	n/a	684.00	4.0
MOORE CAPITAL	041	URI	B	13,000	38.33	n/a	n/a	390.00	3.0
MELLON/BANK OF NEW YORK	046	VALE	S	2,000	24.74	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	VLO	B	4,400	23.81	n/a	n/a	176.00	4.0
MELLON/BANK OF NEW YORK	046	VZ	S	2,260	37.55	n/a	n/a	90.40	4.0
ACK ASSET	028	WBC	B	55,000	51.94	n/a	19-Jan	1,650.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEVENNY CAP LLC	044	WBC	S	8,000	52.00	n/a	19-Jan	240.00	3.0
MTB INV ADV	034	WCC	B	13,375	64.24	n/a	n/a	668.75	5.0
MELLON/BANK OF NEW YORK	046	WFC	B	2,000	29.30	n/a	17-Jan	80.00	4.0
CAERUS GLOBAL	041	WMS	S	27,500	23.89	n/a	13-Jun	1,100.00	4.0
TOTAL (Trade Date):								68,755.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/26	MFP INVESTORS (MFPIGS)	085	JCP	S	70,000	39.66	n/a	27-Jan	2800.00 4.0
AO,CRT	01/26	MFP INVESTORS (MFPIGS)	085	JCP	S	70,000	39.66	n/a	27-Jan	3500.00 5.0
AO,CXL	01/26	PATTEN & PATTEN (PATTREGION)	025	RSG	B	450	28.85	n/a	n/a	22.50 5.0
AO,CRT	01/26	PATTEN & PATTEN (PATTSCHWAB)	025	RSG	B	450	28.85	n/a	n/a	22.50 5.0
AO,	01/26	COLUMBUS CIRCLE (COLC3040)	036	SIMO	S	3,416	22.39	n/a	n/a	136.64 4.0
AO,CXL	01/25	SENATOR INVESTMENT GROUP (SENA123A)	036	XLE	B	214,000	71.42	n/a	n/a	6420.00 3.0
AO,CRT	01/25	SENATOR INVESTMENT GROUP (SENA123B)	036	XLE	B	214,000	71.42	n/a	n/a	6420.00 3.0
TOTAL (AO, CXL, CRT) :										836.64

TOTAL (Trade Date) :	68,755.71
TOTAL (AO, CXL, CRT) :	836.64

TOTAL (RUN DATE) / NFS :	69,592.35
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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