



Daily Compliance Activity Report

Trade Date: 01/31/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	B	20	454.69	n/a	n/a	0.80	4.0
MELLON/BANK OF NEW YORK	046	AAPL	S	530	457.39	n/a	n/a	21.20	4.0
MELLON/BANK OF NEW YORK	046	ADS	S	917	111.05	n/a	n/a	36.68	4.0
SIMMONS VENTURES	041	AEO	SS	5,000	14.07	n/a	2-Dec	200.00	4.0
HOLLIS CAPITAL	033	ALR	B	5,000	24.08	n/a	n/a	250.00	5.0
f DAVID S HOCHSTIM	FID	ALV	S	1000	63.39	n/a	25-Jan	0.00	0.0
DEVENNY CAP LLC	044	ALV	B	1,689	63.36	n/a	25-Jan	50.67	3.0
WEINTRAUB CAPITAL MGT.	269	ALV	SS	30,000	62.96	n/a	25-Jan	1,200.00	4.0
MELLON/BANK OF NEW YORK	046	AMLY	B	80	18.37	n/a	n/a	3.20	4.0
MELLON/BANK OF NEW YORK	046	AMT	S	120	63.00	n/a	n/a	4.80	4.0
MELLON/BANK OF NEW YORK	046	AMZN	B	65	192.65	n/a	n/a	2.60	4.0
MELLON/BANK OF NEW YORK	046	AMZN	S	233	194.32	n/a	n/a	9.32	4.0
BRONSON POINT	036	AOL	C	100,000	16.20	n/a	n/a	3,000.00	3.0
MERRILL ASSET/BLACKROCK	297	AON	B	17,540	48.29	n/a	n/a	701.60	4.0
f KEVIN MICHAEL O'GORM	FID	APC	B	500	81.18	n/a	6-Jan	0.00	0.0
MELLON/BANK OF NEW YORK	046	ASBFY	B	150	18.26	n/a	n/a	6.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AVIFY	B	650	4.85	n/a	n/a	26.00	4.0
MELLON/BANK OF NEW YORK	046	AXL	B	1,550	12.04	n/a	25-Jan	62.00	4.0
MELLON/BANK OF NEW YORK	046	A	B	1,056	42.63	n/a	n/a	42.24	4.0
MELLON/BANK OF NEW YORK	046	BAC	B	1,500	7.10	n/a	19-Jan	60.00	4.0
MELLON/BANK OF NEW YORK	046	BAC	S	5,270	7.18	n/a	19-Jan	210.80	4.0
LATEFF MGMT	035	BBT	S	150	27.25	n/a	n/a	30.00	20.0
MELLON/BANK OF NEW YORK	046	BIDU	B	355	128.64	n/a	n/a	14.20	4.0
MELLON/BANK OF NEW YORK	046	BIDU	S	30	127.33	n/a	n/a	1.20	4.0
MELLON/BANK OF NEW YORK	046	BIIB	S	25	118.05	n/a	n/a	1.00	4.0
B BUCK CAPITAL MGMT		BODY	S	10,000	26.25	n/a	n/a	non-brg	4.0
MELLON/BANK OF NEW YORK	046	BP	S	2,000	44.76	n/a	n/a	80.00	4.0
SENATOR INVESTMENT GROUP	036	BP	S	150,000	44.74	n/a	n/a	4,500.00	3.0
MELLON/BANK OF NEW YORK	046	BRGY	B	22	112.53	n/a	n/a	0.88	4.0
MELLON/BANK OF NEW YORK	046	BRKB	S	250	78.50	n/a	n/a	10.00	4.0
SUFFOLK CAPITAL MGMT	040	BUD	S	97,300	60.80	n/a	23-Jan	3,892.00	4.0
RBC CAPITAL MARKETS	040	BWLD	SS	5,000	66.60	n/a	n/a	200.00	4.0
MELLON/BANK OF NEW YORK	046	CAT	B	405	109.57	n/a	27-Jan	16.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	CAT	S	349	111.20	n/a	27-Jan	13.96	4.0
MELLON/BANK OF NEW YORK	046	CBHMY	B	340	5.90	n/a	n/a	13.60	4.0
MELLON/BANK OF NEW YORK	046	CBS	B	1,070	28.43	n/a	n/a	42.80	4.0
MELLON/BANK OF NEW YORK	046	CCE	S	285	26.70	n/a	n/a	11.40	4.0
MELLON/BANK OF NEW YORK	046	CCL	S	12,560	29.97	n/a	n/a	502.40	4.0
MELLON/BANK OF NEW YORK	046	CDE	B	100	27.67	n/a	n/a	4.00	4.0
MELLON/BANK OF NEW YORK	046	CF	S	92	176.84	n/a	n/a	3.68	4.0
MELLON/BANK OF NEW YORK	046	CJES	S	990	16.78	n/a	n/a	39.60	4.0
MELLON/BANK OF NEW YORK	046	CMI	S	339	106.53	n/a	25-Jan	13.56	4.0
DEVENNY CAP LLC	044	CNH	B	5,000	44.03	n/a	n/a	150.00	3.0
CASTLE ARK	031	COH	B	49,158	69.25	n/a	25-Jan	2,457.90	5.0
MELLON/BANK OF NEW YORK	046	COV	B	220	51.85	n/a	n/a	8.80	4.0
MELLON/BANK OF NEW YORK	046	COV	S	1,210	51.89	n/a	n/a	48.40	4.0
MELLON/BANK OF NEW YORK	046	CRM	B	260	117.03	n/a	n/a	10.40	4.0
MELLON/BANK OF NEW YORK	046	CRM	S	255	116.76	n/a	n/a	10.20	4.0
THOMAS WEISEL ASSET MGMT	035	CRZO	B	6,278	24.42	n/a	n/a	125.56	2.0
MELLON/BANK OF NEW YORK	046	CSJ	B	934	104.63	n/a	n/a	37.36	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	CSJ	S	440	104.60	n/a	n/a	17.60	4.0
f RAVI SADARANGANI	FID	CVGI	S	3000	12.49	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	CVLT	B	1,553	47.72	n/a	n/a	31.06	2.0
MELLON/BANK OF NEW YORK	046	CVX	B	202	103.28	n/a	n/a	8.08	4.0
MELLON/BANK OF NEW YORK	046	CVX	S	425	104.70	n/a	n/a	17.00	4.0
f JONATHAN RICHARD HAR	FID	CWTR	S	10000	0.90	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	C	S	3,910	30.74	n/a	17-Jan	156.40	4.0
VISIUM/BALY BOBBY	044	DAN	S	16,000	14.87	n/a	13-Jan	800.00	5.0
B BUCK CAPITAL MGMT		DDS	B	30,000	44.18	n/a	n/a	non-brg	4.0
MELLON/BANK OF NEW YORK	046	DD	B	2,000	50.51	n/a	24-Jan	80.00	4.0
COLUMBUS CAP MGMT LLC	084	DE	SS	16,000	85.91	n/a	25-Jan	800.00	5.0
HOPLITE MGMT	025	DHI	B	27,422	13.85	n/a	n/a	1,096.88	4.0
MELLON/BANK OF NEW YORK	046	DIS	B	4,161	38.91	n/a	n/a	166.44	4.0
B BUCK CAPITAL MGMT		DKS	B	30,000	41.14	n/a	12-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	30,000	41.14	n/a	12-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	30,000	41.23	n/a	12-Jan	non-brg	4.0
MELLON/BANK OF NEW YORK	046	DNHBY	B	19	107.00	n/a	n/a	0.76	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	DQJCY	B	23	112.00	n/a	n/a	0.92	4.0
MELLON/BANK OF NEW YORK	046	DTV	S	700	45.15	n/a	n/a	28.00	4.0
LATEFF MGMT	035	DVN	B	200	64.01	n/a	6-Jan	44.00	22.0
THOMAS WEISEL ASSET MGMT	035	DXCM	B	16,380	10.99	n/a	n/a	327.60	2.0
MELLON/BANK OF NEW YORK	046	EEM	S	5,600	41.95	n/a	n/a	224.00	4.0
MELLON/BANK OF NEW YORK	046	EFA	S	2,400	52.38	n/a	n/a	96.00	4.0
MELLON/BANK OF NEW YORK	046	EOG	S	200	105.56	n/a	n/a	8.00	4.0
MELLON/BANK OF NEW YORK	046	EUO	B	500	19.86	n/a	n/a	20.00	4.0
PATTEN & PATTEN	025	FCX	S	250	45.51	n/a	n/a	12.50	5.0
RBC CAPITAL MARKETS	040	FDO	SS	5,000	55.81	n/a	9-Jan	200.00	4.0
LATEFF MGMT	035	FDX	S	100	91.37	n/a	n/a	30.00	30.0
MELLON/BANK OF NEW YORK	046	FDX	B	1,290	91.10	n/a	n/a	51.60	4.0
MELLON/BANK OF NEW YORK	046	FFIV	S	350	119.81	n/a	n/a	14.00	4.0
f PETER D GOLDSTEIN	FID	FGOVX	B	168	10.81	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	FLS	S	85	110.12	n/a	n/a	3.40	4.0
LATEFF MGMT	035	FL	S	7,000	26.27	n/a	9-Jan	535.00	8.7

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	FOSL	SS	400	95.71	n/a	n/a	16.00	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	3350	1.00	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	FTA	S	274	27.78	n/a	n/a	10.96	4.0
MELLON/BANK OF NEW YORK	046	FTR	S	12	4.25	n/a	n/a	0.48	4.0
ROYCE TRADING	031	FUL	S	3,000	28.61	n/a	n/a	150.00	5.0
DC CAPITAL	044	F	S	50,000	12.43	n/a	31-Jan	2,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	F	SS	25,000	12.38	n/a	31-Jan	0.00	0.0
MELLON/BANK OF NEW YORK	046	F	S	1,070	12.30	n/a	31-Jan	42.80	4.0
PATTEN & PATTEN	025	F	S	1,000	12.34	n/a	31-Jan	50.00	5.0
ROYCE TRADING	031	GDP	S	7,500	17.98	n/a	n/a	375.00	5.0
BRONSON POINT	036	GD	S	10,000	69.15	n/a	27-Jan	300.00	3.0
KAM ADVISORS LLC	041	GE	SS	92,800	18.77	n/a	n/a	2,784.00	3.0
MELLON/BANK OF NEW YORK	046	GE	S	1,530	18.76	n/a	n/a	61.20	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	21.54	n/a	23-Jan	non-brg	4.0
MELLON/BANK OF NEW YORK	046	GLD	B	15	169.59	n/a	n/a	0.60	4.0
B BUCK CAPITAL MGMT		GMCR	B	10,000	53.48	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GMCR	B	50,000	53.39	n/a	n/a	non-brg	4.0
STELLIAM INV ADV	034	GME	B	15,000	23.44	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	GM	SS	50,000	24.30	n/a	31-Jan	2,500.00	5.0
CASTLEROCK	040	GM	SS	55,670	24.03	n/a	31-Jan	2,226.80	4.0
OZ MGMT	040	GM	C	92,152	24.09	n/a	31-Jan	2,764.56	3.0
DEVENNY CAP LLC	044	GNTX	B	8,899	28.35	n/a	21-Oct	266.97	3.0
MELLON/BANK OF NEW YORK	046	GOOG	S	150	583.00	n/a	n/a	6.00	4.0
MELLON/BANK OF NEW YORK	046	GSG	B	2,360	34.18	n/a	n/a	94.40	4.0
MELLON/BANK OF NEW YORK	046	GSG	S	5,976	34.18	n/a	n/a	239.04	4.0
MELLON/BANK OF NEW YORK	046	GSVC	B	2,000	16.45	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	GS	S	237	111.30	n/a	18-Jan	9.48	4.0
ROYCE TRADING	031	GY	B	12,500	5.56	n/a	n/a	625.00	5.0
MELLON/BANK OF NEW YORK	046	HAL	B	1,218	37.11	n/a	n/a	48.72	4.0
ROYCE TRADING	031	HAR	S	1,000	43.20	n/a	3-Feb	50.00	5.0
SCOPUS FUND	041	HD	SS	18,100	44.39	n/a	8-Dec	724.00	4.0
MELLON/BANK OF NEW YORK	046	HERO	S	10	4.47	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	HES	S	2,010	55.57	n/a	n/a	80.40	4.0
MELLON/BANK OF NEW YORK	046	HGSI	S	1,550	10.07	n/a	n/a	62.00	4.0
LATEFF MGMT	035	HPQ	B	200	27.81	n/a	n/a	34.00	17.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	HPQ	S	10,000	27.70	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	HTCMY	B	50	40.87	n/a	n/a	2.00	4.0
MELLON/BANK OF NEW YORK	046	HUIHY	B	820	34.33	n/a	n/a	32.80	4.0
ROYCE TRADING	031	HXL	S	3,000	25.25	n/a	30-Jan	150.00	5.0
MELLON/BANK OF NEW YORK	046	IBM	B	35	191.51	n/a	n/a	1.40	4.0
MELLON/BANK OF NEW YORK	046	IBM	S	1,239	193.00	n/a	n/a	49.56	4.0
MELLON/BANK OF NEW YORK	046	ICE	S	177	115.85	n/a	n/a	7.08	4.0
MELLON/BANK OF NEW YORK	046	INFN	B	6,259	7.18	n/a	n/a	250.36	4.0
THOMAS WEISEL ASSET MGMT	035	INHX	B	2,638	25.53	n/a	n/a	52.76	2.0
MELLON/BANK OF NEW YORK	046	INTC	S	16,145	26.63	n/a	n/a	645.80	4.0
MELLON/BANK OF NEW YORK	046	IPXHY	B	160	17.05	n/a	n/a	6.40	4.0
MELLON/BANK OF NEW YORK	046	IVR	B	430	15.70	n/a	n/a	17.20	4.0
MELLON/BANK OF NEW YORK	046	IVR	S	350	15.69	n/a	n/a	14.00	4.0
MELLON/BANK OF NEW YORK	046	IVV	S	115	131.58	n/a	n/a	4.60	4.0
MELLON/BANK OF NEW YORK	046	IWB	S	7,205	72.67	n/a	n/a	288.20	4.0
MELLON/BANK OF NEW YORK	046	IWR	S	620	104.40	n/a	n/a	24.80	4.0
MELLON/BANK OF NEW YORK	046	JCI	B	1,418	31.73	n/a	19-Jan	56.72	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	KERX	B	81,385	3.40	n/a	n/a	1,627.70	2.0
MELLON/BANK OF NEW YORK	046	KFT	B	1,178	38.24	n/a	n/a	47.12	4.0
MELLON/BANK OF NEW YORK	046	KMI	B	330	32.27	n/a	n/a	13.20	4.0
MELLON/BANK OF NEW YORK	046	KND	S	1,420	12.33	n/a	n/a	56.80	4.0
f NICOLAS EVAN PAKLER	FID	KORS	B	125	30.93	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	KO	S	2,000	67.22	n/a	9-Jan	80.00	4.0
B BUCK CAPITAL MGMT		LL	S	40,000	21.44	n/a	n/a	non-brg	4.0
MELLON/BANK OF NEW YORK	046	LNC	S	5,940	21.53	n/a	n/a	237.60	4.0
f ALEX JOSEPH DEFILIPP	FID	LOW	S	100	27.24	n/a	7-Dec	0.00	0.0
f JILL ROSENBERG	FID	LOW	S	100	27.25	n/a	7-Dec	0.00	0.0
f VICTORIA JEAN DEFILI	FID	LOW	S	100	27.24	n/a	7-Dec	0.00	0.0
MELLON/BANK OF NEW YORK	046	LO	B	268	107.44	n/a	n/a	10.72	4.0
MELLON/BANK OF NEW YORK	046	LO	S	192	109.62	n/a	n/a	7.68	4.0
RBC CAPITAL MARKETS	040	LTD	B	10,000	41.13	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		LVS	S	10,000	48.94	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		LVS	S	30,000	49.13	n/a	13-Jun	non-brg	4.0
MELLON/BANK OF NEW YORK	046	MA	S	10	353.52	n/a	31-Jan	0.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	MDY	S	30	170.11	n/a	n/a	1.20	4.0
f DAVID GEORGE BUCK	FID	MHN	S	3000	15.67	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MHP	B	1500	45.61	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	MKTG	S	16,731	11.75	n/a	n/a	669.24	4.0
ROYCE TRADING	031	MLI	B	2,200	43.97	n/a	26-Oct	110.00	5.0
MELLON/BANK OF NEW YORK	046	MMM	S	1,000	86.16	n/a	26-Jan	40.00	4.0
MELLON/BANK OF NEW YORK	046	MRO	B	4,445	31.43	n/a	n/a	177.80	4.0
MELLON/BANK OF NEW YORK	046	MSI	S	84	46.09	n/a	n/a	3.36	4.0
MELLON/BANK OF NEW YORK	046	MS	B	1,000	18.66	n/a	19-Jan	40.00	4.0
f JASON ERIC COHEN	FID	MTH	B	120	24.08	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	MTU	S	2,000	4.57	n/a	n/a	80.00	4.0
VISIUM/BALY BOBBY	044	MTW	S	15,000	13.21	n/a	25-Jan	750.00	5.0
ROYCE TRADING	031	MTX	B	10,800	63.69	n/a	n/a	540.00	5.0
B BUCK CAPITAL MGMT		M	B	20,000	33.37	n/a	27-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	60,000	33.40	n/a	27-Jan	non-brg	4.0
MELLON/BANK OF NEW YORK	046	NKE	S	320	104.10	n/a	9-Jan	12.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	NKE	SS	7,300	104.65	n/a	9-Jan	292.00	4.0
FIRST NEW YORK LEDDY	035	NOK	S	30,000	5.01	n/a	n/a	1,200.00	4.0
MELLON/BANK OF NEW YORK	046	NSP	S	130	28.02	n/a	n/a	5.20	4.0
f DAVID GEORGE BUCK	FID	NSRGY	B	800	57.45	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	NWS	S	1,020	19.51	n/a	n/a	40.80	4.0
MELLON/BANK OF NEW YORK	046	NXPI	B	255	21.53	n/a	n/a	10.20	4.0
MELLON/BANK OF NEW YORK	046	NXPI	S	190	21.12	n/a	n/a	7.60	4.0
MELLON/BANK OF NEW YORK	046	NXTM	S	2,979	17.99	n/a	n/a	119.16	4.0
LATEFF MGMT	035	NYB	B	350	12.76	n/a	25-Jan	35.00	10.0
TUDOR INVESTORS	028	ODFL	S	3,000	42.61	n/a	n/a	90.00	3.0
LATEFF MGMT	035	OI	S	300	24.10	n/a	n/a	33.00	11.0
LATEFF MGMT	035	OLN	S	250	22.31	n/a	n/a	32.50	13.0
MELLON/BANK OF NEW YORK	046	ORCL	S	1,010	28.35	n/a	n/a	40.40	4.0
MELLON/BANK OF NEW YORK	046	ORLY	S	20	81.68	n/a	n/a	0.80	4.0
TUDOR INVESTORS	028	OSK	S	8,000	25.38	n/a	n/a	240.00	3.0
MELLON/BANK OF NEW YORK	046	OXY	S	139	100.42	n/a	n/a	5.56	4.0

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B BUCK CAPITAL MGMT		PCAR	S	10,000	46.18	n/a	25-Jan	non-brg	4.0
f DAVID S HOCHSTIM	FID	PCAR	S	2000	44.41	n/a	25-Jan	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCH	S	15,000	31.47	31-Jan	31-Jan	750.00	5.0
f MARC PAUL LUCHANSKY	FID	PCH	B	100	30.50	31-Jan	31-Jan	0.00	0.0
MELLON/BANK OF NEW YORK	046	PEP	B	2,000	65.42	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	PEP	S	1,000	65.36	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	PFE	B	1,000	21.41	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	PFE	S	1,390	21.24	n/a	n/a	55.60	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	10,000	27.99	n/a	24-Jan	500.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	49.61	n/a	18-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	49.61	n/a	18-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	49.61	n/a	18-Jan	non-brg	4.0
f DAVID GEORGE BUCK	FID	PM	S	1000	74.76	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	PNDZY	B	2,180	3.37	n/a	n/a	87.20	4.0
TUDOR INVESTORS	028	PNR	B	4,000	36.38	n/a	n/a	120.00	3.0
MELLON/BANK OF NEW YORK	046	PPR	S	17	5.48	n/a	n/a	0.68	4.0
MELLON/BANK OF NEW YORK	046	PSA	B	10	138.25	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	PVH	S	340	77.08	n/a	23-Jan	13.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	PX	S	663	106.78	n/a	26-Jan	26.52	4.0
MELLON/BANK OF NEW YORK	046	P	B	2,000	13.40	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	QEP	B	415	28.85	n/a	n/a	16.60	4.0
B BUCK CAPITAL MGMT		RCII	S	90,000	33.94	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	10,000	61.31	n/a	26-Jan	500.00	5.0
SENATOR INVESTMENT GROUP	036	RKT	B	100,000	61.63	n/a	26-Jan	3,000.00	3.0
PECONIC PARTNERS	036	RRC	SS	62,800	57.21	n/a	6-Jan	3,140.00	5.0
MELLON/BANK OF NEW YORK	046	SCG	S	1,000	44.83	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	SDY	S	6,225	54.90	n/a	n/a	249.00	4.0
MELLON/BANK OF NEW YORK	046	SFE	S	300	16.57	n/a	n/a	12.00	4.0
LATEFF MGMT	035	SFG	S	425	38.49	n/a	n/a	42.50	10.0
B BUCK CAPITAL MGMT		SHOO	S	22,500	41.28	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SHOO	S	22,500	41.28	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SHOO	S	7,500	41.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SHOO	S	7,500	41.39	n/a	n/a	non-brg	4.0
PHILADELPHIA FINANCIAL	033	SLM	S	37,651	15.04	n/a	26-Jan	1,506.04	4.0
MELLON/BANK OF NEW YORK	046	SM	S	25	72.61	n/a	n/a	1.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	SNV	B	1,000	1.73	n/a	n/a	50.00	5.0
MELLON/BANK OF NEW YORK	046	SPF	S	2,350	3.74	n/a	n/a	94.00	4.0
MELLON/BANK OF NEW YORK	046	SPG	B	60	135.28	n/a	n/a	2.40	4.0
MOORE CAPITAL	041	SPLS	SS	33,500	14.63	n/a	n/a	1,005.00	3.0
MELLON/BANK OF NEW YORK	046	SPY	B	670	130.87	n/a	n/a	26.80	4.0
MELLON/BANK OF NEW YORK	046	SPY	S	5,030	131.32	n/a	n/a	201.20	4.0
PATTEN & PATTEN	025	SRZ	S	1,000	7.18	n/a	n/a	50.00	5.0
MELLON/BANK OF NEW YORK	046	SSEZY	B	120	19.45	n/a	n/a	4.80	4.0
MELLON/BANK OF NEW YORK	046	STX	B	270	21.00	n/a	n/a	10.80	4.0
MELLON/BANK OF NEW YORK	046	STX	S	220	21.00	n/a	n/a	8.80	4.0
MELLON/BANK OF NEW YORK	046	SUOPY	B	40	17.68	n/a	n/a	1.60	4.0
SENATOR INVESTMENT GROUP	036	SXC	S	100,000	13.50	n/a	n/a	3,000.00	3.0
MELLON/BANK OF NEW YORK	046	TBT	B	11,000	18.16	n/a	n/a	440.00	4.0
f JONATHAN RICHARD HAR	FID	TEA	B	200	18.98	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	TEL	S	10	33.81	n/a	n/a	0.40	4.0
B BUCK CAPITAL MGMT		TEX	C	100,000	19.77	n/a	25-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY BOBBY	044	TEX	S	10,000	19.70	n/a	25-Jan	500.00	5.0
RBC CAPITAL MARKETS	040	TGT	B	25,000	50.85	n/a	31-Jan	1,000.00	4.0
MELLON/BANK OF NEW YORK	046	TIP	B	110	119.24	n/a	n/a	4.40	4.0
MELLON/BANK OF NEW YORK	046	TLK	B	1,484	30.56	n/a	n/a	59.36	4.0
RBC CAPITAL MARKETS	040	TPX	B	5,000	66.53	n/a	n/a	200.00	4.0
STELLIAM INV ADV	034	TPX	B	15,000	66.62	n/a	n/a	750.00	5.0
⌘ BUCK CAPITAL MGMT		TRLG	B	14,300	35.34	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		TRLG	B	25,000	35.68	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		TRLG	B	31,834	36.18	n/a	n/a	non-brg	4.0
MELLON/BANK OF NEW YORK	046	TSM	S	1,050	14.10	n/a	n/a	42.00	4.0
MELLON/BANK OF NEW YORK	046	T	B	1,000	29.48	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	T	S	1,000	29.52	n/a	n/a	40.00	4.0
LATEFF MGMT	035	UAL	S	250	23.07	n/a	n/a	32.50	13.0
MELLON/BANK OF NEW YORK	046	UFS	S	20	85.83	n/a	n/a	0.80	4.0
MELLON/BANK OF NEW YORK	046	UGA	B	48	52.60	n/a	n/a	1.92	4.0
MELLON/BANK OF NEW YORK	046	UNP	B	130	114.39	n/a	n/a	5.20	4.0
MELLON/BANK OF NEW YORK	046	UNP	S	110	114.10	n/a	n/a	4.40	4.0
MELLON/BANK OF NEW YORK	046	UPL	B	1,879	24.09	n/a	6-Jan	75.16	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	USG	B	25,000	12.82	n/a	23-Jan	1,250.00	5.0
MELLON/BANK OF NEW YORK	046	VALE	S	3,500	25.31	n/a	n/a	140.00	4.0
MELLON/BANK OF NEW YORK	046	VEA	S	13,115	32.27	n/a	n/a	524.60	4.0
RBC CAPITAL MARKETS	040	VFC	SS	5,000	131.54	n/a	23-Jan	200.00	4.0
MELLON/BANK OF NEW YORK	046	VG	S	40	2.46	n/a	n/a	1.60	4.0
MELLON/BANK OF NEW YORK	046	VIG	B	8,035	55.96	n/a	n/a	321.40	4.0
MELLON/BANK OF NEW YORK	046	VLO	B	1,870	24.15	n/a	n/a	74.80	4.0
MELLON/BANK OF NEW YORK	046	VWO	B	15,200	42.22	n/a	n/a	608.00	4.0
MA CAPITAL MGMT/MELLON ADV041	WEN		SS	20,000	4.90	n/a	31-Jan	600.00	3.0
MELLON/BANK OF NEW YORK	046	WFC	B	3,480	29.30	n/a	31-Jan	139.20	4.0
MELLON/BANK OF NEW YORK	046	WFC	S	1,090	29.21	n/a	31-Jan	43.60	4.0
f JONATHAN RICHARD HAR	FID	WNC	B	500	9.00	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	WRC	SS	800	57.71	n/a	23-Jan	32.00	4.0
f JONATHAN RICHARD HAR	FID	WSM	S	420	35.44	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	WY	S	25,000	20.03	n/a	23-Jan	1,250.00	5.0
CATAPULT	040	WY	S	10,000	19.91	n/a	23-Jan	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	S	25,000	20.03	n/a	23-Jan	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	WY	S	4,000	19.96	n/a	23-Jan	200.00	5.0
LISTED ERR	099	WY	B	4,000	19.96	n/a	23-Jan	0.00	0.0
LISTED ERR	099	WY	S	4,000	19.96	n/a	23-Jan	0.00	0.0
TUDOR INVESTORS	028	ZUMZ	B	43,679	28.14	n/a	n/a	1,310.37	3.0
TOTAL (Trade Date):								74,608.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/30	COLUMBUS CIRCLE	036	CAVM	S	3,202	31.57	n/a	n/a	128.08 4.0
AO,	01/30	ROYCE TRADING	031	DLGC	S	10,000	0.96	n/a	n/a	200.00 2.0
AO,CRT	01/30	STANDARD PACIFIC CAPITAL	269	MS	B	296,000	18.41	n/a	19-Jan	14800.00 5.0
AO,CXL	01/30	STANDARD PACIFIC CAPITAL	269	MS	B	296,000	18.41	n/a	19-Jan	11840.00 4.0
TOTAL (AO, CXL, CRT) :										3,288.08

TOTAL (Trade Date) :	74,608.83
TOTAL (AO, CXL, CRT) :	3,288.08

TOTAL (RUN DATE) / NFS:	77,896.91
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 31-Jan.

PCH

MRI Securities without Trade Activity on 31-Jan.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

<u>Legend:</u>
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)