



Daily Compliance Activity Report

Trade Date: 02/15/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	B	2,405	519.20	n/a	n/a	96.20	4.0
MELLON/BANK OF NEW YORK	046	AAPL	S	81	517.84	n/a	n/a	3.24	4.0
MELLON/BANK OF NEW YORK	046	ADS	S	100	120.74	n/a	n/a	4.00	4.0
ROYCE TRADING	031	AHL	B	10,000	27.54	n/a	n/a	500.00	5.0
ROYCE TRADING	031	AIN	S	9,000	24.34	n/a	n/a	450.00	5.0
ROYCE TRADING	031	AMRC	B	5,000	13.79	n/a	n/a	250.00	5.0
MELLON/BANK OF NEW YORK	046	AMZN	B	5	189.75	n/a	n/a	0.20	4.0
MELLON/BANK OF NEW YORK	046	AMZN	S	14	190.03	n/a	n/a	0.56	4.0
LANE GATE PARTNERS LLC	030	APA	B	1,500	108.18	n/a	23-Jan	45.00	3.0
LEVIN CAPITAL STRATEGIES	041	AVP	B	51,000	18.59	n/a	14-Feb	1,530.00	3.0
SF SENTRY	085	AVP	B	12,500	18.09	n/a	14-Feb	625.00	5.0
SIMMONS VENTURES	041	AVP	B	5,000	18.40	n/a	14-Feb	200.00	4.0
LANE GATE PARTNERS LLC	030	AXE	S	2,500	69.06	n/a	1-Feb	75.00	3.0
MELLON/BANK OF NEW YORK	046	BIDU	B	5	140.81	n/a	n/a	0.20	4.0
MELLON/BANK OF NEW YORK	046	BIDU	S	18	141.56	n/a	n/a	0.72	4.0
MELLON/BANK OF NEW YORK	046	CAT	B	10	113.67	n/a	27-Jan	0.40	4.0
MELLON/BANK OF NEW YORK	046	CAT	S	82	113.74	n/a	27-Jan	3.28	4.0

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MACQUARIE INVESTMENT MGMT.	040	CHK	SS	7,500	22.71	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	CMI	S	100	121.77	n/a	6-Feb	4.00	4.0
MELLON/BANK OF NEW YORK	046	COV	B	10	52.14	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	COV	S	66	52.25	n/a	n/a	2.64	4.0
MELLON/BANK OF NEW YORK	046	CRM	B	5	132.38	n/a	n/a	0.20	4.0
MELLON/BANK OF NEW YORK	046	CRM	S	27	132.55	n/a	n/a	1.08	4.0
MELLON/BANK OF NEW YORK	046	CSCO	S	2,000	20.12	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	CVX	B	10	105.47	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	CVX	S	65	105.51	n/a	n/a	2.60	4.0
LATEFF MGMT	035	DD	B	2,025	49.50	n/a	10-Feb	345.00	21.0
MELLON/BANK OF NEW YORK	046	DIA	S	297	129.01	n/a	n/a	11.88	4.0
ROYCE TRADING	031	DLA	B	5,000	16.49	n/a	n/a	250.00	5.0
BNP PARIBAS SEC	040	DLTR	S	50,000	87.97	n/a	9-Feb	2,500.00	5.0
RBC CAPITAL MARKETS	040	DRI	B	15,000	49.36	n/a	6-Jan	600.00	4.0
MELLON/BANK OF NEW YORK	046	DTV	B	120	46.34	n/a	n/a	4.80	4.0
MELLON/BANK OF NEW YORK	046	EFA	S	2,850	53.72	n/a	n/a	114.00	4.0
ROYCE TRADING	031	ELY	B	10,000	6.42	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	FCS	B	5,000	15.01	n/a	n/a	250.00	5.0
CAERUS GLOBAL	041	FDO	B	5,000	56.12	n/a	9-Jan	200.00	4.0
SCOPUS FUND	041	FDO	SS	84,800	56.21	n/a	9-Jan	3,392.00	4.0
COLUMBIA PARTNERS	028	FINL	B	102,015	23.60	n/a	20-Jan	4,080.60	4.0
RBC CAPITAL MARKETS	040	FL	B	10,000	27.83	n/a	9-Jan	400.00	4.0
MELLON/BANK OF NEW YORK	046	FTR	S	120	4.10	n/a	n/a	4.80	4.0
ROYCE TRADING	031	FUL	S	4,000	29.63	n/a	n/a	200.00	5.0
MACQUARIE INVESTMENT MGMT.	040	GDP	B	5,000	18.83	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	GDX	S	1,500	54.16	n/a	n/a	60.00	4.0
TUDOR INVESTORS	028	GD	B	5,000	70.03	n/a	14-Feb	150.00	3.0
Õ Michael Ehrlich		GLCH	S	100	1.5916	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GLCH	S	1200	1.5800	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GLCH	S	600	1.5810	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GLCH	S	700	1.5800	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GLCH	S	700	1.5900	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GLCH	S	700	1.5910	n/a	n/a	0.00	0.0
CASTLEROCK	040	GM	B	108,999	25.23	n/a	15-Feb	4,359.96	4.0
NEUBERGER BERMAN	036	GRC	B	4,334	32.77	n/a	n/a	173.36	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	GSG	B	70	34.62	n/a	n/a	2.80	4.0
Õ Michael Ehrlich		GSL	S	2200	2.8900	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	GSMI	S	833	0.00	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	GWV	B	2,000	208.76	n/a	26-Jan	60.00	3.0
MELLON/BANK OF NEW YORK	046	HLXC	S	750	0.00	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	IBM	B	8	192.56	n/a	n/a	0.32	4.0
MELLON/BANK OF NEW YORK	046	IBM	S	25	192.28	n/a	n/a	1.00	4.0
ROYCE TRADING	031	IRF	B	5,000	22.19	n/a	n/a	250.00	5.0
KLEINHEINZ CAP PART	031	JCP	SS	20,000	41.96	n/a	27-Jan	1,000.00	5.0
COBALT	041	KOG	B	450,000	9.84	n/a	n/a	4,500.00	1.0
CATAPULT	040	MAS	SS	10,000	11.30	n/a	n/a	400.00	4.0
LISTED ERR	099	MAS	B	3,186	11.30	n/a	n/a	0.00	0.0
LISTED ERR	099	MAS	S	3,186	11.30	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	MLM	S	5,000	89.07	n/a	n/a	150.00	3.0
MOORE CAPITAL	041	MTN	SS	12,000	41.42	n/a	n/a	360.00	3.0
ROYCE TRADING	031	MTX	B	12,494	65.59	n/a	n/a	624.70	5.0
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	30.06	n/a	26-Jan	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	M	S	20,000	35.41	n/a	3-Feb	1,000.00	5.0
RBC CAPITAL MARKETS	040	M	S	7,400	35.13	n/a	3-Feb	296.00	4.0
TUDOR INVESTORS	028	NAV	B	5,000	43.00	n/a	25-Jan	150.00	3.0
BAIRD INVESTMENT	047	NBL	S	4,621	104.45	n/a	n/a	231.05	5.0
MELLON/BANK OF NEW YORK	046	NXPI	B	50	23.90	n/a	n/a	2.00	4.0
MELLON/BANK OF NEW YORK	046	NXPI	S	100	24.01	n/a	n/a	4.00	4.0
CRAMER ROSENTHAL/SCOTT	070	NYX	S	89,095	29.32	n/a	n/a	3,563.80	4.0
WEISS PECK - ROBECO INV		040	PAG	B	5,000	23.56	n/a	13-Jan	250.00 5.0
MELLON/BANK OF NEW YORK	046	PFF	S	3,980	38.63	n/a	n/a	159.20	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	25,000	29.62	n/a	24-Jan	1,250.00	5.0
MELLON/BANK OF NEW YORK	046	QEP	B	120	31.31	n/a	n/a	4.80	4.0
MELLON/BANK OF NEW YORK	046	QEP	S	43	31.24	n/a	n/a	1.72	4.0
MTB INV ADV	034	RA	B	14,400	19.51	n/a	n/a	576.00	4.0
MATRIX ASSET ADV.	091	SCHW	B	2,000	12.18	n/a	n/a	60.00	3.0
CATAPULT	040	SGY	S	25,000	33.55	n/a	n/a	1,000.00	4.0
MELLON/BANK OF NEW YORK	046	SHPGY	B	5	107.56	n/a	13-Feb	0.20	4.0
MELLON/BANK OF NEW YORK	046	SHPGY	S	31	107.14	n/a	13-Feb	1.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	041	SMG	SS	7,500	47.86	n/a	13-Feb	225.00	3.0
MELLON/BANK OF NEW YORK	046	SPY	B	407	135.49	n/a	n/a	16.28	4.0
MELLON/BANK OF NEW YORK	046	SPY	S	100	135.57	n/a	n/a	4.00	4.0
ACK ASSET	028	TRMB	SS	23,000	50.87	n/a	n/a	690.00	3.0
MELLON/BANK OF NEW YORK	046	UNP	B	5	112.78	n/a	n/a	0.20	4.0
MELLON/BANK OF NEW YORK	046	UNP	S	477	113.88	n/a	n/a	19.08	4.0
STANDARD PACIFIC CAPITAL	084	VALE	SS	200,000	25.59	n/a	n/a	10,000.00	5.0
MELLON/BANK OF NEW YORK	046	VWO	B	750	44.05	n/a	n/a	30.00	4.0
MELLON/BANK OF NEW YORK	046	VWO	S	1,910	44.00	n/a	n/a	76.40	4.0
CAERUS GLOBAL	041	WAG	B	11,403	33.74	n/a	n/a	456.12	4.0
MOORE CAPITAL	041	WFM	S	7,500	80.00	n/a	n/a	225.00	3.0
TUDOR INVESTORS	028	WM	SS	5,000	35.12	n/a	n/a	150.00	3.0
SONTERRA CAP	041	XCO	B	50,000	7.50	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date) :								51,012.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/14	COLUMBUS CIRCLE (COLC3040)	036	EDMC	S	509	19.19	n/a	n/a	20.36 4.0
TOTAL (AO, CXL, CRT) :										20.36

TOTAL (Trade Date):	51,012.43
TOTAL (AO, CXL, CRT):	20.36
TOTAL (RUN DATE) / NFS:	51,032.79

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