



Daily Compliance Activity Report

Trade Date: 02/02/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	AAPL	S	1,015	454.40	n/a	n/a	40.60	4.0
MELLON/BANK OF NEW YORK	046	AAPL	B	45	455.56	n/a	n/a	1.80	4.0
MELLON/BANK OF NEW YORK	046	AAPL	S	112	456.01	n/a	n/a	4.48	4.0
COLUMBIA PARTNERS	028	ABT	S	3,077	54.44	n/a	n/a	123.08	4.0
BESSEMER INVESTMENT	085	ACE	B	630	72.41	n/a	n/a	25.20	4.0
CATAPULT CAP/DEFRANCO	040	ACM	SS	79,300	22.98	n/a	n/a	3,172.00	4.0
BESSEMER INVESTMENT	085	ACN	B	655	57.83	n/a	n/a	26.20	4.0
MELLON/BANK OF NEW YORK	046	ADS	S	60	108.99	n/a	n/a	2.40	4.0
STATE TEACHERS RET SYS	047	ALL	S	50,000	30.40	n/a	n/a	2,500.00	5.0
DEVENNY CAP LLC	044	ALV	SS	7,023	64.34	n/a	2-Feb	210.69	3.0
WEINTRAUB CAPITAL MGT.	269	ALV	SS	10,000	63.76	n/a	2-Feb	400.00	4.0
COLUMBIA PARTNERS	028	AMGN	S	2,661	69.65	n/a	n/a	106.44	4.0
MELLON/BANK OF NEW YORK	046	AMT	S	100	63.16	n/a	n/a	4.00	4.0
MELLON/BANK OF NEW YORK	046	AMZN	B	5,870	180.05	n/a	n/a	234.80	4.0
BNP PARIBAS SEC	040	ANN	B	25,000	22.71	n/a	n/a	1,250.00	5.0
DELTEC ASSET MGMT.	040	APA	S	7,250	99.50	n/a	23-Jan	362.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	ARCO	S	200	22.24	n/a	6-Jan	8.00	4.0
TUDOR INVESTORS	028	ARG	B	5,000	78.37	n/a	26-Jan	150.00	3.0
PATTEN & PATTEN	025	AVY	B	300	28.91	n/a	31-Jan	15.00	5.0
COLUMBIA PARTNERS	028	AZN	B	5,665	47.26	n/a	n/a	226.60	4.0
MELLON/BANK OF NEW YORK	046	BAC	B	25,500	7.48	n/a	1-Feb	1,020.00	4.0
MELLON/BANK OF NEW YORK	046	BAC	S	1,200	7.45	n/a	1-Feb	48.00	4.0
COLUMBIA PARTNERS	028	BAX	B	212	56.61	n/a	n/a	8.48	4.0
MELLON/BANK OF NEW YORK	046	BBT	B	1,000	27.90	n/a	n/a	40.00	4.0
TUDOR INVESTORS	028	BEAV	S	5,000	44.85	n/a	1-Feb	150.00	3.0
MELLON/BANK OF NEW YORK	046	BEN	S	28	111.88	n/a	2-Mar	1.12	4.0
COLUMBIA PARTNERS	028	BFB	S	811	82.97	n/a	n/a	32.44	4.0
ROYCE TRADING	031	BHE	S	3,000	17.88	n/a	n/a	150.00	5.0
MELLON/BANK OF NEW YORK	046	BIDU	B	40	128.50	n/a	n/a	1.60	4.0
MACQUARIE INVESTMENT MGMT.	040	BIG	S	5,000	42.96	n/a	2-Feb	0.00	0.0
MELLON/BANK OF NEW YORK	046	BLK	S	4	182.79	n/a	n/a	0.16	4.0
COLUMBIA PARTNERS	028	BMY	S	931	32.29	n/a	n/a	37.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	BP	S	2,321	45.45	n/a	n/a	92.84	4.0
PATTEN & PATTEN	025	BP	B	500	45.31	n/a	n/a	25.00	5.0
MELLON/BANK OF NEW YORK	046	BRKB	S	450	78.63	n/a	n/a	18.00	4.0
MELLON/BANK OF NEW YORK	046	BR	S	3,692	24.58	n/a	n/a	147.68	4.0
COLUMBIA PARTNERS	028	BTI	B	2,301	94.37	n/a	n/a	92.04	4.0
PATTEN & PATTEN	025	BTU	B	100	37.01	n/a	n/a	5.00	5.0
COLUMBIA PARTNERS	028	BUD	S	252	63.06	n/a	23-Jan	10.08	4.0
Õ Nilsa Vazquez		BZH	S	3000	3.3000	n/a	n/a	0.00	0.0
ROYCE TRADING	031	BZ	S	5,000	7.96	n/a	n/a	250.00	5.0
MELLON/BANK OF NEW YORK	046	CALX	S	1,250	7.97	n/a	n/a	50.00	4.0
MELLON/BANK OF NEW YORK	046	CAT	B	4,740	110.44	n/a	27-Jan	189.60	4.0
MELLON/BANK OF NEW YORK	046	CAT	S	145	110.82	n/a	27-Jan	5.80	4.0
COLUMBIA PARTNERS	028	CERN	B	3	61.76	n/a	n/a	0.12	4.0
COLUMBIA PARTNERS	028	CHD	S	336	45.67	n/a	11-Jan	13.44	4.0
ROYCE TRADING	031	CHMT	S	2,000	14.25	n/a	18-Feb	100.00	5.0
STRONG/MARK GRONET	030	CIM	S	100,000	3.10	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	CIR	S	1,000	39.03	n/a	n/a	50.00	5.0
COLUMBIA PARTNERS	028	CLX	S	119	68.78	n/a	9-Jan	4.76	4.0
COLUMBIA PARTNERS	028	CL	B	1,019	91.06	n/a	26-Jan	40.76	4.0
BESSEMER INVESTMENT	085	CMCSA	B	905	26.73	n/a	n/a	36.20	4.0
MELLON/BANK OF NEW YORK	046	CMI	S	120	113.75	n/a	25-Jan	4.80	4.0
TUDOR INVESTORS	028	CMI	B	5,000	112.12	n/a	25-Jan	150.00	3.0
MELLON/BANK OF NEW YORK	046	COV	B	330	52.19	n/a	n/a	13.20	4.0
MELLON/BANK OF NEW YORK	046	COV	S	50	52.13	n/a	n/a	2.00	4.0
COLUMBIA PARTNERS	028	CPB	S	92	31.82	n/a	n/a	3.68	4.0
MELLON/BANK OF NEW YORK	046	CQP	B	14,000	20.57	n/a	n/a	560.00	4.0
MELLON/BANK OF NEW YORK	046	CRM	B	60	120.07	n/a	n/a	2.40	4.0
COLUMBIA PARTNERS	028	CSCO	S	41,210	19.88	n/a	n/a	1,648.40	4.0
MELLON/BANK OF NEW YORK	046	CSCO	S	48,931	19.95	n/a	n/a	1,957.24	4.0
MELLON/BANK OF NEW YORK	046	CSJ	S	1,500	104.58	n/a	n/a	60.00	4.0
ROYCE TRADING	031	CTB	S	2,000	15.43	n/a	n/a	100.00	5.0
KENNEDY CAPITAL	046	CVGI	S	17,017	12.95	n/a	n/a	680.68	4.0
MELLON/BANK OF NEW YORK	046	CVLT	S	8,313	52.20	n/a	n/a	332.52	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	CVS	B	520	42.74	n/a	n/a	20.80	4.0
COLUMBIA PARTNERS	028	CVX	B	122	103.39	n/a	n/a	4.88	4.0
MELLON/BANK OF NEW YORK	046	CVX	B	70	103.86	n/a	n/a	2.80	4.0
MELLON/BANK OF NEW YORK	046	CVX	S	370	103.64	n/a	n/a	14.80	4.0
MELLON/BANK OF NEW YORK	046	CYTX	B	1,000	3.94	n/a	n/a	40.00	4.0
ROYCE TRADING	031	DAN	S	2,000	15.18	n/a	13-Jan	100.00	5.0
COLUMBIA PARTNERS	028	DCM	B	53	17.97	n/a	n/a	2.12	4.0
MELLON/BANK OF NEW YORK	046	DD	B	19,500	51.58	n/a	24-Jan	780.00	4.0
MELLON/BANK OF NEW YORK	046	DD	S	1,875	51.34	n/a	24-Jan	75.00	4.0
PATTEN & PATTEN	025	DD	B	600	51.31	n/a	24-Jan	30.00	5.0
VISIUM/BALY BOBBY	044	DE	C	16,000	87.78	n/a	25-Jan	800.00	5.0
COLUMBIA PARTNERS	028	DGX	S	3,765	57.89	n/a	n/a	150.60	4.0
RBC CAPITAL MARKETS	040	DG	B	5,000	42.50	n/a	27-Jan	200.00	4.0
BESSEMER INVESTMENT	085	DIS	S	690	38.94	n/a	n/a	27.60	4.0
ROYCE TRADING	031	DLA	S	529	15.55	n/a	n/a	26.45	5.0
BNP PARIBAS SEC	040	DLTR	B	40,000	86.12	n/a	27-Jan	2,000.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	DLTR	B	1,500	85.94	n/a	27-Jan	75.00	5.0
PATTEN & PATTEN	025	DOW	S	900	33.41	n/a	2-Feb	45.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	DSX	S	3,734	8.11	n/a	n/a	186.70	5.0
COLUMBIA PARTNERS	028	EBAY	S	198	32.63	n/a	n/a	7.92	4.0
BESSEMER INVESTMENT	085	ECL	S	725	60.62	n/a	19-Jan	29.00	4.0
MELLON/BANK OF NEW YORK	046	EEM	S	29,400	43.24	n/a	n/a	1,176.00	4.0
PATTEN & PATTEN	025	EFG	B	700	56.07	n/a	n/a	35.00	5.0
MELLON/BANK OF NEW YORK	046	ENDTF	S	1,666	13.61	n/a	n/a	66.64	4.0
PATTEN & PATTEN	025	EP	S	500	27.03	n/a	n/a	25.00	5.0
COLUMBIA PARTNERS	028	ESRX	B	3,993	51.79	n/a	n/a	159.72	4.0
TUDOR INVESTORS	028	EXPD	B	17,000	44.06	n/a	n/a	510.00	3.0
TUDOR INVESTORS	028	FAST	SS	5,000	47.35	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	FE	B	710	43.98	n/a	n/a	28.40	4.0
FARALLON CAP MGMT	040	FIS	S	250,000	28.76	n/a	n/a	10,000.00	4.0
MELLON/BANK OF NEW YORK	046	FLR	B	2,000	58.10	n/a	n/a	80.00	4.0
GEORGE WEISS	034	FL	S	15,000	26.49	n/a	9-Jan	600.00	4.0
MELLON/BANK OF NEW YORK	046	FTNT	S	8,752	25.56	n/a	n/a	350.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	FTR	S	1,492	4.23	n/a	n/a	59.68	4.0
ROYCE TRADING	031	FUL	S	1,700	29.50	n/a	n/a	85.00	5.0
ROYCE TRADING	031	GB	S	500	23.97	n/a	n/a	25.00	5.0
ROYCE TRADING	031	GDP	S	2,500	17.26	n/a	n/a	125.00	5.0
CAMBIAR CAP	046	GES	B	175,190	30.96	n/a	23-Jan	7,007.60	4.0
ROYCE TRADING	031	GET	S	1,000	28.76	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	GE	B	400	18.78	n/a	n/a	20.00	5.0
ROYCE TRADING	031	GFIG	S	4,500	4.74	n/a	n/a	135.00	3.0
ROYCE TRADING	031	GGC	S	1,000	34.88	n/a	n/a	50.00	5.0
COLUMBIA PARTNERS	028	GILD	S	3,787	49.26	n/a	n/a	151.48	4.0
COLUMBIA PARTNERS	028	GIS	S	1,013	39.84	n/a	n/a	40.52	4.0
COLUMBIA PARTNERS	028	GOOG	B	927	584.20	n/a	n/a	37.08	4.0
MELLON/BANK OF NEW YORK	046	GOOG	S	47	584.87	n/a	n/a	1.88	4.0
MELLON/BANK OF NEW YORK	046	GSG	B	1,878	33.61	n/a	n/a	75.12	4.0
MELLON/BANK OF NEW YORK	046	GSG	S	10	33.40	n/a	n/a	0.40	4.0
COLUMBIA PARTNERS	028	GSK	S	2,364	44.38	n/a	n/a	94.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	GS	S	600	114.50	n/a	1-Feb	24.00	4.0
NEW JERSEY DIV OF INV.	030	GT	B	100,000	13.30	n/a	n/a	4,000.00	4.0
ROYCE TRADING	031	GY	B	2,000	5.89	n/a	n/a	100.00	5.0
ROYCE TRADING	031	HAR	S	1,000	43.78	n/a	3-Feb	50.00	5.0
MELLON/BANK OF NEW YORK	046	HD	B	22,500	44.49	n/a	8-Dec	900.00	4.0
MERRILL ASSET/BLACKROCK	297	HFC	S	5,400	31.05	n/a	n/a	216.00	4.0
COLUMBIA PARTNERS	028	HNZ	S	48	52.29	n/a	n/a	1.92	4.0
MELLON/BANK OF NEW YORK	046	HPQ	S	60,680	28.78	n/a	n/a	2,427.20	4.0
NICOLAS APPLGATE	084	HRS	S	20,500	41.48	n/a	1-Feb	410.00	2.0
MELLON/BANK OF NEW YORK	046	IBM	B	1,625	192.38	n/a	n/a	65.00	4.0
MELLON/BANK OF NEW YORK	046	IBM	S	258	192.82	n/a	n/a	10.32	4.0
BALYASNY ASSET MGMT	044	IP	SS	15,000	31.69	n/a	2-Feb	750.00	5.0
BESSEMER INVESTMENT	085	IP	S	1,110	31.76	n/a	2-Feb	44.40	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	35,000	32.10	n/a	2-Feb	1,750.00	5.0
MA CAPITAL MGMT/MELLON ADV041	041	IP	S	4,500	31.95	n/a	2-Feb	225.00	5.0
SCOPUS FUND	041	IP	S	22,000	31.68	n/a	2-Feb	880.00	4.0
TRELLUS PARTNERS LP	028	IP	SS	30,000	31.61	n/a	2-Feb	900.00	3.0
MELLON/BANK OF NEW YORK	046	IVR	B	200	15.85	n/a	n/a	8.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	IVV	S	750	133.33	n/a	n/a	30.00	4.0
PATTEN & PATTEN	025	IYG	B	100	50.47	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	JPM	B	450	37.78	n/a	1-Feb	22.50	5.0
BESSEMER INVESTMENT	085	KFT	S	490	38.68	n/a	n/a	19.60	4.0
MELLON/BANK OF NEW YORK	046	KMI	B	80	32.13	n/a	n/a	3.20	4.0
MELLON/BANK OF NEW YORK	046	KO	S	1,100	67.87	n/a	9-Jan	44.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	KSS	B	27,800	46.21	n/a	27-Jan	1,112.00	4.0
DEVENNY CAP LLC	044	LEA	B	5,000	42.54	n/a	25-Jan	150.00	3.0
ROSEDALE CAPITAL	046	LEA	B	8,000	42.75	n/a	25-Jan	400.00	5.0
MELLON/BANK OF NEW YORK	046	LO	B	110	109.21	n/a	n/a	4.40	4.0
BNP PARIBAS SEC	040	LTD	B	50,000	43.56	n/a	n/a	2,500.00	5.0
CATAPULT CAP/DEFRANCO	040	MDC	B	33,368	22.03	n/a	n/a	1,334.72	4.0
MELLON/BANK OF NEW YORK	046	MDY	S	25	174.30	n/a	n/a	1.00	4.0
MELLON/BANK OF NEW YORK	046	MHP	S	1,000	45.92	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	MKTG	S	2,844	11.47	n/a	n/a	113.76	4.0
MELLON/BANK OF NEW YORK	046	MMI	S	27	38.65	n/a	n/a	1.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	MMM	S	1,500	87.30	n/a	26-Jan	60.00	4.0
MELLON/BANK OF NEW YORK	046	MOS	S	10	57.72	n/a	n/a	0.40	4.0
STATE TEACHERS RET SYS	047	MO	B	100,000	28.60	n/a	n/a	5,000.00	5.0
MELLON/BANK OF NEW YORK	046	MPC	S	130	42.16	n/a	n/a	5.20	4.0
BESSEMER INVESTMENT	085	MRO	B	525	31.44	n/a	n/a	21.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	1,985	29.97	n/a	n/a	79.40	4.0
HOTCHKIS & WILEY	035	MSFT	S	96,200	29.78	n/a	n/a	3,848.00	4.0
MELLON/BANK OF NEW YORK	046	MSFT	S	1,500	29.83	n/a	n/a	60.00	4.0
MELLON/BANK OF NEW YORK	046	MSI	S	31	46.41	n/a	n/a	1.24	4.0
MELLON/BANK OF NEW YORK	046	MTU	S	1,500	4.81	n/a	n/a	60.00	4.0
ROYCE TRADING	031	MTX	B	1,000	65.61	n/a	n/a	50.00	5.0
STANDARD PACIFIC CAPITAL	084	MU	B	250,000	7.79	n/a	n/a	10,000.00	4.0
DENVER INST. ADV	046	M	S	10,500	35.08	n/a	27-Jan	420.00	4.0
BASIX	033	NAV	B	10,000	45.89	n/a	25-Jan	300.00	3.0
DEVENNY CAP LLC	044	NAV	B	4,700	45.15	n/a	25-Jan	141.00	3.0
TUDOR INVESTORS	028	NAV	SS	5,000	45.36	n/a	25-Jan	150.00	3.0
BESSEMER INVESTMENT	085	NEM	B	535	62.31	n/a	n/a	21.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	NE	B	710	36.51	n/a	n/a	28.40	4.0
BESSEMER INVESTMENT	085	NOV	S	300	77.02	n/a	n/a	12.00	4.0
COOPER CREEK PART	028	NP	S	2,134	25.12	n/a	23-Jan	85.36	4.0
FORTRESS INVESTMENT (US)	036	NSC	SS	41,000	72.47	n/a	n/a	1,640.00	4.0
MELLON/BANK OF NEW YORK	046	NXPI	B	810	22.43	n/a	n/a	32.40	4.0
MELLON/BANK OF NEW YORK	046	NXTM	S	1,842	18.54	n/a	n/a	73.68	4.0
BESSEMER INVESTMENT	085	PFE	S	1,630	21.07	n/a	n/a	65.20	4.0
BESSEMER INVESTMENT	085	PG	S	480	63.43	n/a	30-Jan	19.20	4.0
MELLON/BANK OF NEW YORK	046	PG	S	1,200	63.37	n/a	30-Jan	48.00	4.0
PATTEN & PATTEN	025	PHO	S	1,000	18.67	n/a	n/a	50.00	5.0
NEW JERSEY DIV OF INV.	030	PH	B	30,000	82.69	n/a	25-Jan	1,200.00	4.0
TUDOR INVESTORS	028	PH	SS	5,000	82.20	n/a	25-Jan	150.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	55,000	28.48	n/a	24-Jan	2,750.00	5.0
MELLON/BANK OF NEW YORK	046	PM	B	2,600	75.70	n/a	n/a	104.00	4.0
MELLON/BANK OF NEW YORK	046	PX	S	590	107.02	n/a	26-Jan	23.60	4.0
MELLON/BANK OF NEW YORK	046	QEP	B	530	29.24	n/a	n/a	21.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	RKT	SS	15,000	63.81	n/a	26-Jan	750.00	5.0
TUDOR INVESTORS	028	RTN	SS	5,000	48.61	n/a	31-Jan	150.00	3.0
COHE & STEERS	041	RYN	S	27,629	45.57	n/a	26-Jan	1,105.16	4.0
TALPION LLC	040	SBH	B	15,000	21.50	n/a	n/a	600.00	4.0
MELLON/BANK OF NEW YORK	046	SDY	S	13,970	55.42	n/a	n/a	558.80	4.0
MELLON/BANK OF NEW YORK	046	SFE	S	200	16.97	n/a	n/a	8.00	4.0
PATTEN & PATTEN	025	SLB	B	100	76.75	n/a	n/a	5.00	5.0
MELLON/BANK OF NEW YORK	046	SPG	S	30	136.77	n/a	n/a	1.20	4.0
MELLON/BANK OF NEW YORK	046	SPY	S	97	132.42	n/a	n/a	3.88	4.0
MELLON/BANK OF NEW YORK	046	STD	B	2,500	8.30	n/a	n/a	100.00	4.0
MELLON/BANK OF NEW YORK	046	STX	B	100	25.72	n/a	n/a	4.00	4.0
MELLON/BANK OF NEW YORK	046	SUB	S	7,800	106.44	n/a	n/a	312.00	4.0
PATTEN & PATTEN	025	SWN	B	200	30.80	n/a	6-Jan	10.00	5.0
MELLON/BANK OF NEW YORK	046	TEL	S	5,250	34.52	n/a	n/a	210.00	4.0
TOCQUEVILLE	035	TER	S	50,000	16.89	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	TEVA	B	175	45.83	n/a	1-Feb	8.75	5.0
AAD CAPITAL	084	TEX	SS	40,000	21.81	n/a	25-Jan	1,200.00	3.0
BESSEMER INVESTMENT	085	TGT	B	825	52.14	n/a	2-Feb	33.00	4.0
BMO NESBITT BURNS	041	TIN	SS	25,000	31.91	n/a	23-Jan	750.00	3.0
MELLON/BANK OF NEW YORK	046	TXN	S	2,520	33.12	n/a	n/a	100.80	4.0
MELLON/BANK OF NEW YORK	046	TXT	S	6,000	25.65	n/a	n/a	240.00	4.0
MELLON/BANK OF NEW YORK	046	T	S	1,700	29.89	n/a	n/a	68.00	4.0
MELLON/BANK OF NEW YORK	046	UNP	B	20	115.09	n/a	n/a	0.80	4.0
MELLON/BANK OF NEW YORK	046	UNP	S	10	115.35	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	USB	S	1,000	28.64	n/a	n/a	40.00	4.0
MERCHANTS GATE CAP LP	036	USO	C	100,000	36.84	n/a	n/a	4,000.00	4.0
HOTCHKIS & WILEY	035	VOD	S	103,400	27.20	n/a	n/a	4,136.00	4.0
MELLON/BANK OF NEW YORK	046	VWO	B	57,575	43.57	n/a	n/a	2,303.00	4.0
MELLON/BANK OF NEW YORK	046	V	S	10	103.78	n/a	5-Jan	0.40	4.0
HOTCHKIS & WILEY	035	WFC	S	138,200	29.84	n/a	1-Feb	5,528.00	4.0
PATTEN & PATTEN	025	WFC	B	300	29.86	n/a	1-Feb	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	WMT	B	20,000	61.97	n/a	20-Jan	800.00	4.0
BESSEMER INVESTMENT	085	WU	B	850	19.20	n/a	n/a	34.00	4.0
VISIUM/BALY BOBBY	044	XLI	C	15,000	36.61	n/a	n/a	750.00	5.0
NEW JERSEY DIV OF INV.	030	XOM	B	50,000	83.53	n/a	n/a	2,000.00	4.0
MELLON/BANK OF NEW YORK	046	XYL	S	100	26.68	n/a	n/a	4.00	4.0
BESSEMER INVESTMENT	085	YUM	B	575	63.88	n/a	6-Jan	23.00	4.0
COOPER CREEK PART	028	ZUMZ	SS	5,000	28.57	n/a	n/a	200.00	4.0
TUDOR INVESTORS	028	ZUMZ	B	125,000	29.58	n/a	n/a	3,750.00	3.0
TOTAL (Trade Date):							123,123.87		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/01	PILOT ADV (PILOJPMJEF)	041	AMD	B	42,820	6.89	n/a	n/a	856.40 2.0
AO,CXL	02/01	PILOT ADV (PILOPERSH)	041	HMA	B	7,700	6.54	n/a	n/a	154.00 2.0
AO,	02/01	PILOT ADV (PILOPERSH)	041	HMA	B	7,400	6.54	n/a	n/a	148.00 2.0
CRT	02/02	ROSEDALE CAPITAL (ROSEJPM)	046	LEA	B	8,000	42.75	n/a	25-Jan	400.00 5.0
AO,	02/01	PILOT ADV (PILOJPMJEF)	041	M	S	5,000	33.68	n/a	27-Jan	150.00 3.0

TOTAL (AO, CXL, CRT) :	1,400.40
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TOTAL (Trade Date) :	123,123.87
TOTAL (AO, CXL, CRT) :	1,400.40

TOTAL (RUN DATE) / NFS:	124,524.27
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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