



Daily Compliance Activity Report

Trade Date: 02/13/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	AAPL	B	20	500.33	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	AAPL	B	405	501.35	n/a	n/a	16.20	4.0
MELLON/BANK OF NEW YORK	046	AAPL	S	57	501.32	n/a	n/a	2.28	4.0
BESSEMER INVESTMENT	085	ABT	S	550	55.20	n/a	n/a	22.00	4.0
BESSEMER INVESTMENT	085	ABX	B	71	47.92	n/a	n/a	2.84	4.0
MELLON/BANK OF NEW YORK	046	ACOM	S	80	28.99	n/a	n/a	3.20	4.0
MELLON/BANK OF NEW YORK	046	ADS	B	19	118.49	n/a	n/a	0.76	4.0
MELLON/BANK OF NEW YORK	046	ADS	S	1	118.67	n/a	n/a	0.04	4.0
MELLON/BANK OF NEW YORK	046	AEG	S	781	5.18	n/a	n/a	31.24	4.0
BESSEMER INVESTMENT	085	AET	S	1,200	46.32	n/a	n/a	48.00	4.0
MELLON/BANK OF NEW YORK	046	AMG	B	4	106.50	n/a	2-Mar	0.16	4.0
MELLON/BANK OF NEW YORK	046	AMZN	B	138	191.86	n/a	n/a	5.52	4.0
ROTHSCHILD ASSET	040	ANDE	B	2,240	42.77	n/a	n/a	89.60	4.0
f CHRISTOPHER ROBERT C	FID	AONE	B	1000	2.12	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	APA	B	433	106.24	n/a	23-Jan	17.32	4.0
B BUCK CAPITAL MGMT		ARO	B	25,000	17.64	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		ARO	B	25,000	17.69	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	B	50,000	17.41	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	B	50,000	17.58	n/a	n/a	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	ASH	S	5,000	64.12	n/a	10-Feb	200.00	4.0
FORTRESS INVESTMENT (US)	036	ATI	SS	5,000	45.50	n/a	27-Jan	200.00	4.0
NEUBERGER BERMAN	036	ATR	B	6,500	52.35	n/a	n/a	260.00	4.0
MELLON/BANK OF NEW YORK	046	AVB	S	150	135.24	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	AVNW	S	125	2.46	n/a	n/a	5.00	4.0
PERRY PARTNERS	085	AVP	B	100,000	17.70	n/a	9-Jan	5,000.00	5.0
MELLON/BANK OF NEW YORK	046	AXP	S	12,432	52.04	n/a	9-Feb	497.28	4.0
BESSEMER INVESTMENT	085	BAC	S	550	8.28	n/a	6-Feb	22.00	4.0
MELLON/BANK OF NEW YORK	046	BAX	S	13,944	56.96	n/a	n/a	557.76	4.0
MELLON/BANK OF NEW YORK	046	BIDU	B	418	139.90	n/a	n/a	16.72	4.0
ß BUCK CAPITAL MGMT		BKS	S	20,000	13.27	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BKS	S	20,000	13.27	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BKS	S	20,000	13.27	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BODY	S	16,625	26.41	n/a	n/a	non-brg	4.0
MELLON/BANK OF NEW YORK	046	BXP	B	3	104.43	n/a	n/a	0.12	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	CAT	S	5,000	112.30	n/a	27-Jan	150.00	3.0
MELLON/BANK OF NEW YORK	046	CAT	B	641	113.60	n/a	27-Jan	25.64	4.0
MELLON/BANK OF NEW YORK	046	CAT	S	3,020	113.80	n/a	27-Jan	120.80	4.0
NEW JERSEY DIV OF INV.	030	CAT	S	25,000	112.75	n/a	27-Jan	1,000.00	4.0
STELLIAM INV ADV	034	CBOE	SS	25,000	28.34	n/a	n/a	1,250.00	5.0
BESSEMER INVESTMENT	085	CBS	S	700	30.15	n/a	n/a	28.00	4.0
MELLON/BANK OF NEW YORK	046	CHD	S	12,418	47.74	n/a	8-Feb	496.72	4.0
NEUBERGER BERMAN	036	CHD	B	13,600	47.77	n/a	8-Feb	544.00	4.0
BESSEMER INVESTMENT	085	CMCSA	B	70	27.39	n/a	n/a	2.80	4.0
MELLON/BANK OF NEW YORK	046	CMI	B	15	122.44	n/a	6-Feb	0.60	4.0
MELLON/BANK OF NEW YORK	046	CNO	B	20	7.29	n/a	n/a	0.80	4.0
HIGHBRIDGE CAP	041	CNX	B	2,000	35.75	n/a	n/a	60.00	3.0
f MARC PAUL LUCHANSKY	FID	COF	B	200	48.61	n/a	8-Feb	0.00	0.0
BNP PARIBAS SEC	040	COST	S	60,000	83.52	n/a	n/a	3,000.00	5.0
MELLON/BANK OF NEW YORK	046	COV	B	1,695	52.01	n/a	n/a	67.80	4.0
MELLON/BANK OF NEW YORK	046	COV	S	60	52.04	n/a	n/a	2.40	4.0
MELLON/BANK OF NEW YORK	046	CRME	S	990	2.39	n/a	n/a	39.60	4.0
MELLON/BANK OF NEW YORK	046	CRM	B	94	131.59	n/a	n/a	3.76	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	CRM	S	494	132.57	n/a	n/a	19.76	4.0
f HARALAMBOS EFSTATHI	FID	CROX	S	400	20.06	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	CRRFY	S	1,273	4.66	n/a	n/a	50.92	4.0
BESSEMER INVESTMENT	085	CVX	S	125	106.35	n/a	n/a	5.00	4.0
MELLON/BANK OF NEW YORK	046	CVX	B	650	106.39	n/a	n/a	26.00	4.0
MELLON/BANK OF NEW YORK	046	CVX	S	176	106.47	n/a	n/a	7.04	4.0
f MICHAEL C PERILLO	FID	CWTR	S	1685	1.07	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	DCI	B	5,400	76.39	n/a	n/a	216.00	4.0
B BUCK CAPITAL MGMT		DECK	C	10,000	82.25	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	DECK	B	200	81.70	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	DECK	B	50	81.86	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	DECK	B	150	81.64	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	DE	S	125	88.59	n/a	25-Jan	5.00	4.0
BESSEMER INVESTMENT	085	DFS	S	100	28.61	n/a	8-Feb	4.00	4.0
B BUCK CAPITAL MGMT		DKS	B	20,000	44.06	n/a	12-Jan	non-brg	4.0
MELLON/BANK OF NEW YORK	046	DLLR	S	300	18.90	n/a	n/a	12.00	4.0
FORTRESS INVESTMENT (US)	036	DOV	SS	14,000	65.04	n/a	n/a	560.00	4.0
VERITION	028	DRI	B	15,000	49.47	n/a	6-Jan	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	DRI	B	8,100	49.60	n/a	6-Jan	0.00	0.0
LISTED ERR	099	DRI	S	8,100	49.35	n/a	6-Jan	0.00	0.0
MELLON/BANK OF NEW YORK	046	DSNKY	S	201	18.13	n/a	n/a	8.04	4.0
BESSEMER INVESTMENT	085	DTV	S	125	45.69	n/a	n/a	5.00	4.0
MELLON/BANK OF NEW YORK	046	DTV	B	1,040	45.73	n/a	n/a	41.60	4.0
MELLON/BANK OF NEW YORK	046	DTV	S	10	45.84	n/a	n/a	0.40	4.0
IRIDIAN ASSET MGMT.	036	DVN	S	127,663	65.43	n/a	6-Jan	6,383.15	5.0
MELLON/BANK OF NEW YORK	046	ECL	S	10,465	61.56	n/a	19-Jan	418.60	4.0
COLUMBUS CIRCLE	036	EDMC	S	2,079	20.05	n/a	n/a	83.16	4.0
MELLON/BANK OF NEW YORK	046	EEM	S	6,650	43.62	n/a	n/a	266.00	4.0
MELLON/BANK OF NEW YORK	046	EFA	S	5,300	53.91	n/a	n/a	212.00	4.0
MOORE CAPITAL	041	EL	SS	10,177	55.50	n/a	6-Feb	305.31	3.0
BESSEMER INVESTMENT	085	EMN	S	375	54.36	n/a	n/a	15.00	4.0
MELLON/BANK OF NEW YORK	046	EOG	B	409	113.37	n/a	n/a	16.36	4.0
MELLON/BANK OF NEW YORK	046	EQIX	S	24	129.41	n/a	n/a	0.96	4.0
TUDOR INVESTORS	028	ETN	B	5,000	51.65	n/a	27-Jan	150.00	3.0
MELLON/BANK OF NEW YORK	046	EWS	S	3,400	12.76	n/a	n/a	136.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	EXC	B	26,000	39.55	n/a	n/a	780.00	3.0
FORTRESS INVESTMENT (US)	036	EXPD	SS	10,000	43.17	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	EXXI	B	10	37.67	n/a	n/a	0.40	4.0
TUDOR INVESTORS	028	FAST	SS	5,000	50.03	n/a	n/a	150.00	3.0
HIGHBRIDGE CAP	041	FE	B	47,000	43.14	n/a	n/a	1,410.00	3.0
BESSEMER INVESTMENT	085	FL	S	600	27.06	n/a	9-Jan	24.00	4.0
TUDOR INVESTORS	028	FL	B	87,500	27.02	n/a	9-Jan	2,625.00	3.0
ARSENAL ASSET MANAGEMENT	028	FMC	B	5,000	92.74	n/a	8-Dec	200.00	4.0
MELLON/BANK OF NEW YORK	046	FNMA	S	1,403	0.32	n/a	n/a	56.12	4.0
B BUCK CAPITAL MGMT		FOSL	C	25,000	103.91	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	C	40,000	103.91	n/a	n/a	non-brg	4.0
MELLON/BANK OF NEW YORK	046	FULT	S	2,270	9.66	n/a	n/a	90.80	4.0
B BUCK CAPITAL MGMT		GCO	B	20,000	64.66	n/a	n/a	non-brg	4.0
MELLON/BANK OF NEW YORK	046	GDX	B	500	54.26	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	GE	S	600	19.05	n/a	n/a	24.00	4.0
MELLON/BANK OF NEW YORK	046	GLD	B	150	167.52	n/a	n/a	6.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	EDWARD W WHEELER	FID	GLW	B	5000	13.63	n/a	10-Feb	0.00	0.0
	OZ MGMT	040	GM	C	28,230	25.23	n/a	2-Feb	846.90	3.0
	NEUBERGER BERMAN	036	GNTX	B	10,500	25.93	n/a	1-Feb	420.00	4.0
	MELLON/BANK OF NEW YORK	046	GOOG	B	51	613.20	n/a	n/a	2.04	4.0
	MELLON/BANK OF NEW YORK	046	GOOG	S	79	612.72	n/a	n/a	3.16	4.0
	NEUBERGER BERMAN	036	GRC	B	6,500	33.15	n/a	n/a	260.00	4.0
	MELLON/BANK OF NEW YORK	046	GSG	B	6,769	34.53	n/a	n/a	270.76	4.0
	MELLON/BANK OF NEW YORK	046	GSG	S	724	34.45	n/a	n/a	28.96	4.0
	MELLON/BANK OF NEW YORK	046	GS	B	125	114.38	n/a	6-Feb	5.00	4.0
	MELLON/BANK OF NEW YORK	046	GTAT	S	110	9.15	n/a	n/a	4.40	4.0
	TUDOR INVESTORS	028	GWV	SS	3,000	204.00	n/a	26-Jan	90.00	3.0
B	BUCK CAPITAL MGMT		HBI	S	30,000	26.76	n/a	23-Jan	non-brg	4.0
	HIGHBRIDGE CAP	041	HFC	S	31,000	32.53	n/a	n/a	930.00	3.0
	MELLON/BANK OF NEW YORK	046	HPQ	S	22,451	28.79	n/a	n/a	898.04	4.0
	BESSEMER INVESTMENT	085	HRS	S	550	42.21	n/a	1-Feb	22.00	4.0
	MELLON/BANK OF NEW YORK	046	IBM	B	271	192.90	n/a	n/a	10.84	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	IBM	S	256	192.84	n/a	n/a	10.24	4.0
MELLON/BANK OF NEW YORK	046	ICE	B	8	133.32	n/a	n/a	0.32	4.0
JET CAPITAL/CHRIS	041	ILMN	SS	50,000	54.00	n/a	n/a	1,500.00	3.0
MELLON/BANK OF NEW YORK	046	INTC	B	9,400	26.63	n/a	n/a	376.00	4.0
BESSEMER INVESTMENT	085	INT	S	1,500	47.37	n/a	n/a	60.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	35,000	32.62	n/a	2-Feb	1,750.00	5.0
DC CAPITAL	044	IP	S	50,000	32.90	n/a	2-Feb	2,000.00	4.0
FORTRESS INVESTMENT (US)	036	IP	B	17,768	32.67	n/a	2-Feb	710.72	4.0
IRIDIAN ASSET MGMT.	036	IP	B	32,480	32.69	n/a	2-Feb	1,624.00	5.0
LONG OAR GLOBAL INV	040	IP	B	77,000	32.84	n/a	2-Feb	3,080.00	4.0
SCOPUS FUND	041	IP	B	15,000	32.27	n/a	2-Feb	600.00	4.0
MELLON/BANK OF NEW YORK	046	IVR	B	36,600	15.84	n/a	n/a	1,464.00	4.0
MELLON/BANK OF NEW YORK	046	IVR	S	40	15.80	n/a	n/a	1.60	4.0
MELLON/BANK OF NEW YORK	046	IVV	B	20	135.91	n/a	n/a	0.80	4.0
WHITE PINE CAPITAL	030	IWC	SS	7,500	50.51	n/a	n/a	375.00	5.0
MELLON/BANK OF NEW YORK	046	IWS	S	1,737	47.02	n/a	n/a	69.48	4.0
f MANNY I KORMAN	FID	JCI	B	10000	33.24	13-Feb	13-Feb	0.00	0.0
TUDOR INVESTORS	028	JCI	B	5,000	33.25	13-Feb	13-Feb	150.00	3.0
JET CAPITAL/CHRIS	041	JDAS	B	50,000	27.03	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	JNJ	B	25,000	64.79	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	JPM	S	850	38.20	n/a	6-Feb	34.00	4.0
MA CAPITAL MGMT/MELLON ADV041	JWN		SS	3,000	50.58	n/a	3-Feb	150.00	5.0
DSG CAPITAL	030	KEG	B	20,000	14.67	n/a	6-Jan	600.00	3.0
BESSEMER INVESTMENT	085	KFT	S	100	38.49	n/a	n/a	4.00	4.0
MELLON/BANK OF NEW YORK	046	KITD	B	170	11.39	n/a	n/a	6.80	4.0
MELLON/BANK OF NEW YORK	046	KMI	B	600	32.43	n/a	n/a	24.00	4.0
MELLON/BANK OF NEW YORK	046	KMI	S	8,020	32.46	n/a	n/a	320.80	4.0
MELLON/BANK OF NEW YORK	046	KOG	B	1,430	8.98	n/a	n/a	57.20	4.0
THE JAY GOLDMAN	028	KSS	S	20,000	50.19	n/a	3-Feb	800.00	4.0
MELLON/BANK OF NEW YORK	046	LEA	B	600	44.59	n/a	3-Feb	24.00	4.0
B BUCK CAPITAL MGMT		LIZ	S	50,000	9.72	n/a	7-Oct	non-brg	3.0
B BUCK CAPITAL MGMT		LIZ	S	50,000	9.72	n/a	7-Oct	non-brg	3.0
BESSEMER INVESTMENT	085	LLY	S	550	38.87	n/a	n/a	22.00	4.0
MELLON/BANK OF NEW YORK	046	LNC	S	16,570	24.65	n/a	n/a	662.80	4.0
MELLON/BANK OF NEW YORK	046	LO	B	10	122.16	n/a	n/a	0.40	4.0

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MELLON/BANK OF NEW YORK	046	LO	S	10	121.99	n/a	n/a	0.40	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	11,300	45.27	n/a	n/a	565.00	5.0
MELLON/BANK OF NEW YORK	046	MDCA	S	300	13.76	n/a	n/a	12.00	4.0
MELLON/BANK OF NEW YORK	046	MDT	S	11,337	40.38	n/a	n/a	453.48	4.0
MELLON/BANK OF NEW YORK	046	MDY	B	930	177.00	n/a	n/a	37.20	4.0
MELLON/BANK OF NEW YORK	046	MDY	S	1,100	176.77	n/a	n/a	44.00	4.0
MELLON/BANK OF NEW YORK	046	MFG	S	1,215	3.20	n/a	n/a	48.60	4.0
BESSEMER INVESTMENT	085	MMM	S	550	88.05	n/a	10-Feb	22.00	4.0
FORTRESS INVESTMENT (US)	036	MMM	SS	12,000	87.32	n/a	10-Feb	480.00	4.0
MELLON/BANK OF NEW YORK	046	MMYT	S	10	23.05	n/a	n/a	0.40	4.0
MELLON/BANK OF NEW YORK	046	MNST	S	28	108.82	n/a	n/a	1.12	4.0
BESSEMER INVESTMENT	085	MON	S	1,000	78.00	n/a	19-Jan	40.00	4.0
MELLON/BANK OF NEW YORK	046	MOS	S	30	55.14	n/a	n/a	1.20	4.0
MELLON/BANK OF NEW YORK	046	MOTR	S	810	1.43	n/a	n/a	32.40	4.0
BESSEMER INVESTMENT	085	MO	S	150	29.26	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	MRK	S	150	38.15	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	MRO	B	72	33.19	n/a	n/a	2.88	4.0

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MELLON/BANK OF NEW YORK	046	MSADY	S	557	10.61	n/a	n/a	22.28	4.0
BESSEMER INVESTMENT	085	MSFT	B	126	30.64	n/a	n/a	5.04	4.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	1,186,323	104.99	n/a	n/a	non-brg	0.6
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	1,567,733	104.99	n/a	n/a	non-brg	0.6
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	1,186,323	104.99	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	1,567,733	104.99	n/a	n/a	non-brg	0.0
NEUBERGER BERMAN	036	MSM	B	5,400	79.80	n/a	n/a	216.00	4.0
BESSEMER INVESTMENT	085	MS	S	225	19.57	n/a	6-Feb	9.00	4.0
NEUBERGER BERMAN	036	MTD	B	2,300	182.02	n/a	n/a	92.00	4.0
MELLON/BANK OF NEW YORK	046	MTU	S	837	4.94	n/a	n/a	33.48	4.0
ROYCE TRADING	031	MTX	B	5,000	66.53	n/a	n/a	250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	MUR	B	4,000	60.84	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	MWV	B	25,000	30.05	n/a	26-Jan	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	100,000	29.99	n/a	26-Jan	5,000.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	B	4,000	30.04	n/a	26-Jan	200.00	5.0
SCOPUS FUND	041	MWV	B	42,739	30.06	n/a	26-Jan	1,709.56	4.0
MELLON/BANK OF NEW YORK	046	NBL	S	25	100.94	n/a	n/a	1.00	4.0
MELLON/BANK OF NEW YORK	046	NEU	S	141	195.63	n/a	n/a	5.64	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	NOK	S	110	5.08	n/a	n/a	4.40	4.0
TRUSTCO/SUNTRUST	040	NTAP	S	86,842	39.02	n/a	n/a	3,039.49	3.5
MELLON/BANK OF NEW YORK	046	NXPI	B	1,160	22.32	n/a	n/a	46.40	4.0
MACQUARIE INVESTMENT MGMT.	040	ODP	S	8,810	3.10	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	OHI	S	10,000	21.93	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	ORCL	B	11,000	28.46	n/a	n/a	440.00	4.0
MELLON/BANK OF NEW YORK	046	ORLY	S	60	83.71	n/a	n/a	2.40	4.0
MELLON/BANK OF NEW YORK	046	OXY	B	73	104.06	n/a	n/a	2.92	4.0
MELLON/BANK OF NEW YORK	046	OXY	S	54	103.45	n/a	n/a	2.16	4.0
B BUCK CAPITAL MGMT		PCLN	C	6,000	564.60	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	PCL	S	325	39.60	n/a	31-Jan	13.00	4.0
MELLON/BANK OF NEW YORK	046	PCP	S	5	168.96	n/a	30-Jan	0.20	4.0
BESSEMER INVESTMENT	085	PFE	S	6,000	21.37	n/a	n/a	240.00	4.0
NEW JERSEY DIV OF INV.	030	PH	S	50,000	89.35	n/a	25-Jan	2,000.00	4.0
TUDOR INVESTORS	028	PH	SS	5,000	88.29	n/a	25-Jan	150.00	3.0
NEUBERGER BERMAN	036	PII	B	1,900	69.17	n/a	n/a	76.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	PLCE	S	1,280	50.68	n/a	18-Jan	51.20	4.0
HIGHBRIDGE CAP	041	PLL	B	16,000	63.46	n/a	n/a	480.00	3.0
BESSEMER INVESTMENT	085	PM	S	150	81.80	n/a	n/a	6.00	4.0
B BUCK CAPITAL MGMT		PSMT	B	10,000	73.05	n/a	n/a	non-brg	2.5
MELLON/BANK OF NEW YORK	046	PVH	B	20	81.92	n/a	23-Jan	0.80	4.0
MELLON/BANK OF NEW YORK	046	PX	B	13	107.42	n/a	26-Jan	0.52	4.0
MELLON/BANK OF NEW YORK	046	QEP	B	390	30.76	n/a	n/a	15.60	4.0
MELLON/BANK OF NEW YORK	046	QEP	S	10	30.55	n/a	n/a	0.40	4.0
DISCIPLINED GROWTH INV.	030	RCL	S	8,200	30.75	n/a	n/a	410.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	RKT	S	1,000	69.77	n/a	26-Jan	50.00	5.0
TUDOR INVESTORS	028	RKT	S	5,000	69.69	n/a	26-Jan	150.00	3.0
NEUBERGER BERMAN	036	ROL	B	13,000	21.25	n/a	n/a	520.00	4.0
MELLON/BANK OF NEW YORK	046	RWX	S	1,690	35.59	n/a	n/a	67.60	4.0
TUDOR INVESTORS	028	SAI	SS	10,000	12.75	n/a	n/a	300.00	3.0
NEUBERGER BERMAN	036	SBH	B	6,200	23.29	n/a	n/a	248.00	4.0
MELLON/BANK OF NEW YORK	046	SCZ	B	2,000	39.17	n/a	n/a	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KAREN F LEDDY	FID	SGI	B	950	9.55	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	SHOO	B	12,500	39.63	n/a	n/a	375.00	3.0
MELLON/BANK OF NEW YORK	046	SHPGY	B	110	106.77	n/a	13-Feb	4.40	4.0
MELLON/BANK OF NEW YORK	046	SHPGY	S	40	106.66	n/a	13-Feb	1.60	4.0
ARSENAL ASSET MANAGEMENT	028	SHW	S	15,000	98.97	n/a	26-Jan	600.00	4.0
f KAREN F LEDDY	FID	SIMO	B	1300	19.27	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	SMFG	S	598	6.67	n/a	n/a	23.92	4.0
MELLON/BANK OF NEW YORK	046	SM	S	150	76.55	n/a	n/a	6.00	4.0
MELLON/BANK OF NEW YORK	046	SNY	S	6,105	37.59	n/a	n/a	244.20	4.0
MELLON/BANK OF NEW YORK	046	SPLS	S	22,037	14.86	n/a	n/a	881.48	4.0
MELLON/BANK OF NEW YORK	046	SPY	S	2,500	135.25	n/a	n/a	100.00	4.0
f KAREN F LEDDY	FID	SRI	B	1000	10.05	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	SSREY	S	116	56.86	n/a	n/a	4.64	4.0
BESSEMER INVESTMENT	085	STI	S	850	22.30	n/a	n/a	34.00	4.0
MELLON/BANK OF NEW YORK	046	STX	B	400	26.06	n/a	n/a	16.00	4.0
MELLON/BANK OF NEW YORK	046	STX	S	60	26.05	n/a	n/a	2.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	STX	S	2,000	26.08	n/a	n/a	100.00	5.0
BESSEMER INVESTMENT	085	SUG	S	1,500	43.51	n/a	n/a	60.00	4.0
f CHRISTOPHER ROBERT C	FID	SWN	B	100	33.60	n/a	6-Jan	0.00	0.0
WHITE PINE CAPITAL	030	SYMM	S	8,000	6.17	n/a	n/a	400.00	5.0
IVORY CAPITAL	034	S	S	1,000,000	2.30	n/a	n/a	5,000.00	0.5
HIGHBRIDGE CAP	041	TDW	B	9,000	60.26	n/a	n/a	270.00	3.0
f JONATHAN RICHARD HAR	FID	TEA	S	840	23.67	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	TEL	S	167	35.18	n/a	n/a	6.68	4.0
WHITE PINE CAPITAL	030	TEVA	S	600	44.09	n/a	13-Feb	30.00	5.0
MELLON/BANK OF NEW YORK	046	TIP	S	815	118.55	n/a	n/a	32.60	4.0
DISCIPLINED GROWTH INV.	030	TJX	S	21,800	34.51	n/a	3-Feb	1,090.00	5.0
MELLON/BANK OF NEW YORK	046	TKPYY	S	181	21.54	n/a	n/a	7.24	4.0
ROARING BLUE LION MGMT	031	TRLG	B	40,000	26.63	n/a	n/a	1,600.00	4.0
MELLON/BANK OF NEW YORK	046	UNP	B	173	113.03	n/a	n/a	6.92	4.0
MELLON/BANK OF NEW YORK	046	UNP	S	21	112.89	n/a	n/a	0.84	4.0
ARSENAL ASSET MANAGEMENT	028	UPS	SS	10,000	76.86	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	UTF	B	2,004	17.39	n/a	n/a	80.16	4.0
MELLON/BANK OF NEW YORK	046	UTX	S	13,800	84.85	n/a	n/a	552.00	4.0
TUDOR INVESTORS	028	UTX	B	5,000	84.37	n/a	n/a	150.00	3.0
MELLON/BANK OF NEW YORK	046	VEA	B	8,560	33.42	n/a	n/a	342.40	4.0
MELLON/BANK OF NEW YORK	046	VEA	S	1,500	33.45	n/a	n/a	60.00	4.0
BESSEMER INVESTMENT	085	VIAB	S	700	49.52	n/a	n/a	28.00	4.0
MELLON/BANK OF NEW YORK	046	VLO	S	7,000	24.41	n/a	n/a	280.00	4.0
ROTHSCHILD ASSET	040	VR	B	5,739	31.28	n/a	n/a	229.56	4.0
MELLON/BANK OF NEW YORK	046	VTI	S	665	69.81	n/a	n/a	26.60	4.0
MELLON/BANK OF NEW YORK	046	VWO	B	47,575	44.01	n/a	n/a	1,903.00	4.0
MELLON/BANK OF NEW YORK	046	VWO	S	1,000	43.95	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	VXF	S	593	58.19	n/a	n/a	23.72	4.0
BESSEMER INVESTMENT	085	VZ	S	125	38.20	n/a	n/a	5.00	4.0
MELLON/BANK OF NEW YORK	046	VZ	B	5,610	38.22	n/a	n/a	224.40	4.0
MTB INV ADV	034	WBC	S	8,225	59.00	n/a	2-Feb	411.25	5.0
TUDOR INVESTORS	028	WCC	B	10,000	64.29	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	WFC	S	300	30.62	n/a	6-Feb	12.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	WFC	B	78,800	30.62	n/a	6-Feb	1,576.00	2.0
MOORE CAPITAL	041	WFM	S	8,000	81.00	n/a	n/a	240.00	3.0
MELLON/BANK OF NEW YORK	046	WFT	B	750	17.87	n/a	n/a	30.00	4.0
MELLON/BANK OF NEW YORK	046	WPX	S	133	16.99	n/a	n/a	5.32	4.0
B BUCK CAPITAL MGMT		WSM	S	20,000	36.56	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WSM	S	84,613	36.56	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	WU	B	118	17.68	n/a	n/a	4.72	4.0
BESSEMER INVESTMENT	085	XOM	S	1,200	84.45	n/a	n/a	48.00	4.0
f JOHN MICHAEL DEMARTI	FID	XPO	S	1250	14.10	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	X	S	140,000	29.15	n/a	n/a	5,600.00	4.0
MELLON/BANK OF NEW YORK	046	ZAGG	S	1,190	10.10	n/a	n/a	47.60	4.0
WHITE PINE CAPITAL	030	ZIXI	S	6,000	3.19	n/a	n/a	180.00	3.0
f KAREN F LEDDY	FID	ZLC	B	2500	3.02	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								94,792.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/10	STANDARD PACIFIC CAPITAL	084	ATVI	SS	300,000	12.50	n/a	n/a	15000.00 5.0
AO,CXL	02/10	STANDARD PACIFIC CAPITAL	084	ATVI	SS	300,000	12.50	n/a	n/a	12000.00 4.0
AO,CRT	02/10	IRIDIAN ASSET MGMT.	036	DVN	S	30	64.96	n/a	6-Jan	1.50 5.0
AO,CXL	02/10	IRIDIAN ASSET MGMT.	036	DVN	S	30	64.96	n/a	6-Jan	1.50 5.0
AO,	02/10	IRIDIAN ASSET MGMT.	036	IP	B	32,920	31.51	n/a	2-Feb	1646.00 5.0

TOTAL (AO, CXL, CRT) :	4,646.00
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TOTAL (Trade Date) :	94,792.26
TOTAL (AO, CXL, CRT) :	4,646.00

TOTAL (RUN DATE) / NFS :	99,438.26
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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 13-Feb.

JCI

MRI Securities without Trade Activity on 13-Feb.

APD

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)