



## Daily Compliance Activity Report

Trade Date: 01/30/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	S	150	453.21	n/a	n/a	6.00	4.0
MELLON/BANK OF NEW YORK	046	ACE	S	1,650	69.04	n/a	n/a	66.00	4.0
MELLON/BANK OF NEW YORK	046	ADM	B	4,000	29.81	n/a	2-Dec	160.00	4.0
DEVENNY CAP LLC	044	ALV	SS	3,100	63.60	n/a	25-Jan	93.00	3.0
MELLON/BANK OF NEW YORK	046	APA	S	1,540	98.66	n/a	23-Jan	61.60	4.0
MELLON/BANK OF NEW YORK	046	BAC	B	2,940	7.07	n/a	19-Jan	117.60	4.0
MELLON/BANK OF NEW YORK	046	BAX	B	1,600	55.12	n/a	n/a	64.00	4.0
MELLON/BANK OF NEW YORK	046	BIIB	S	500	116.26	n/a	n/a	20.00	4.0
MELLON/BANK OF NEW YORK	046	BK	S	7,936	20.04	n/a	19-Jan	317.44	4.0
SUFFOLK CAPITAL MGMT	040	BUD	S	200,000	61.07	n/a	23-Jan	8,000.00	4.0
GALT INVESTMENT	041	CAB	B	25,000	26.31	n/a	n/a	1,250.00	5.0
MELLON/BANK OF NEW YORK	046	CELG	S	2,000	72.47	n/a	n/a	80.00	4.0
TUDOR INVESTORS	028	CFX	B	5,000	30.92	n/a	n/a	150.00	3.0
MELLON/BANK OF NEW YORK	046	CHD	B	7,300	45.25	n/a	11-Jan	292.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	CMI	B	5,000	104.93	n/a	25-Jan	150.00	3.0
DEVENNY CAP LLC	044	CNH	SS	2,700	46.61	n/a	n/a	81.00	3.0
MELLON/BANK OF NEW YORK	046	CSCO	S	3,650	19.52	n/a	n/a	146.00	4.0
ROYCE TRADING	031	CVGI	S	1,000	12.45	n/a	n/a	50.00	5.0
MELLON/BANK OF NEW YORK	046	CVS	S	9,800	41.83	n/a	n/a	392.00	4.0
MELLON/BANK OF NEW YORK	046	DD	B	5,000	50.88	n/a	24-Jan	200.00	4.0
MELLON/BANK OF NEW YORK	046	DIS	S	2,000	39.00	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	DOW	S	1,090	33.38	n/a	14-Dec	43.60	4.0
SCOPUS FUND	041	DOW	B	25,000	33.21	n/a	14-Dec	1,000.00	4.0
YORK CAPITAL	036	DOW	S	100,000	33.11	n/a	14-Dec	3,000.00	3.0
ROYCE TRADING	031	DRAD	S	10,000	2.01	n/a	n/a	300.00	3.0
MELLON/BANK OF NEW YORK	046	DUK	S	1,500	21.11	n/a	n/a	60.00	4.0
MELLON/BANK OF NEW YORK	046	DVY	B	7,500	53.69	n/a	n/a	300.00	4.0
KACELA CAPITAL	034	ELX	B	155,000	10.37	n/a	n/a	6,200.00	4.0
MELLON/BANK OF NEW YORK	046	EMC	B	13,000	25.68	n/a	n/a	520.00	4.0
IRIDIAN ASSET MGMT.	036	EMN	S	86,520	50.40	n/a	n/a	4,326.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	EOG	S	500	105.13	n/a	n/a	20.00	4.0
MELLON/BANK OF NEW YORK	046	ETN	S	1,000	49.49	n/a	27-Jan	40.00	4.0
LAGRANGE CAP ADV	085	FII	B	10,000	17.10	n/a	2-Mar	500.00	5.0
ROARING BLUE LION MGMT	031	FL	S	10,700	26.24	n/a	9-Jan	428.00	4.0
MELLON/BANK OF NEW YORK	046	F	B	2,880	12.30	n/a	30-Jan	115.20	4.0
MELLON/BANK OF NEW YORK	046	GE	S	7,192	18.90	n/a	n/a	287.68	4.0
MELLON/BANK OF NEW YORK	046	GLW	S	8,000	12.62	n/a	25-Jan	320.00	4.0
OZ MGMT	040	GM	C	50,000	24.31	n/a	25-Jan	1,500.00	3.0
MELLON/BANK OF NEW YORK	046	GOOG	S	230	577.16	n/a	n/a	9.20	4.0
MELLON/BANK OF NEW YORK	046	GSG	B	1,465	33.76	n/a	n/a	58.60	4.0
MELLON/BANK OF NEW YORK	046	HNZ	S	1,500	52.01	n/a	n/a	60.00	4.0
TUDOR INVESTORS	028	HSC	B	5,000	22.09	n/a	31-Oct	150.00	3.0
MELLON/BANK OF NEW YORK	046	IBM	S	25	192.18	n/a	n/a	1.00	4.0
MELLON/BANK OF NEW YORK	046	IFF	S	1,200	56.50	n/a	19-Jan	48.00	4.0
MELLON/BANK OF NEW YORK	046	INTC	S	4,000	26.72	n/a	n/a	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	IP	S	2,500	31.23	n/a	23-Jan	100.00	4.0
MOORE CAPITAL	041	ITB	S	36,000	13.25	n/a	n/a	1,080.00	3.0
DEVENNY CAP LLC	044	ITW	S	10,000	53.48	n/a	25-Jan	300.00	3.0
MELLON/BANK OF NEW YORK	046	ITW	S	1,500	53.47	n/a	25-Jan	60.00	4.0
DELTEC ASSET MGMT.	040	JCI	B	10,000	31.51	n/a	19-Jan	500.00	5.0
MELLON/BANK OF NEW YORK	046	JNJ	S	1,674	65.60	n/a	n/a	66.96	4.0
MELLON/BANK OF NEW YORK	046	JNK	B	5,075	39.43	n/a	n/a	203.00	4.0
FIRST NY SEC/CHRIS	041	JNY	S	15,000	9.03	n/a	23-Jan	450.00	3.0
JP MORGAN VENTURES	046	JWN	S	15,000	49.11	n/a	27-Jan	600.00	4.0
MELLON/BANK OF NEW YORK	046	JWN	S	4,200	49.13	n/a	27-Jan	168.00	4.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	46.08	n/a	27-Jan	300.00	3.0
MELLON/BANK OF NEW YORK	046	KSS	S	2,350	45.98	n/a	27-Jan	94.00	4.0
TUDOR INVESTORS	028	LEN	B	10,000	21.95	n/a	n/a	300.00	3.0
MELLON/BANK OF NEW YORK	046	LOW	S	1,000	26.61	n/a	7-Dec	40.00	4.0
MELLON/BANK OF NEW YORK	046	LSTR	S	4,000	50.90	n/a	n/a	160.00	4.0
MELLON/BANK OF NEW YORK	046	MDY	S	350	170.72	n/a	n/a	14.00	4.0
MELLON/BANK OF NEW YORK	046	MET	B	4,200	35.58	n/a	n/a	168.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	MFB	B	5,800	19.68	n/a	n/a	232.00	4.0
ROYCE TRADING	031	MLI	B	500	43.90	n/a	26-Oct	25.00	5.0
MELLON/BANK OF NEW YORK	046	MO	S	1,200	28.43	n/a	n/a	48.00	4.0
MELLON/BANK OF NEW YORK	046	MSFT	S	9,700	29.56	n/a	n/a	388.00	4.0
STANDARD PACIFIC CAPITAL	269	MS	B	296,000	18.41	n/a	19-Jan	11,840.00	4.0
ROYCE TRADING	031	MTX	B	21,900	63.94	n/a	n/a	1,095.00	5.0
BALLAST CAP	040	MWV	B	6,000	29.62	n/a	26-Jan	300.00	5.0
MELLON/BANK OF NEW YORK	046	NEE	S	1,000	60.33	n/a	n/a	40.00	4.0
MELLON/BANK OF NEW YORK	046	NWL	S	2,900	18.61	n/a	n/a	116.00	4.0
MELLON/BANK OF NEW YORK	046	OMC	S	6,000	46.12	n/a	n/a	240.00	4.0
ROSEDALE CAPITAL	046	PBCT	B	50,000	12.43	n/a	20-Jan	2,000.00	4.0
TUDOR INVESTORS	028	PCL	B	7,000	40.04	n/a	23-Jan	210.00	3.0
ARSENAL ASSET MANAGEMENT	028	PCP	S	5,000	164.14	n/a	30-Jan	200.00	4.0
MELLON/BANK OF NEW YORK	046	PFE	S	1,182	21.51	n/a	n/a	47.28	4.0
WEINTRAUB CAPITAL MGT.	269	PFE	B	50,000	21.50	n/a	n/a	2,000.00	4.0
ASCEND PARTNERS	033	PG	C	24,708	63.23	n/a	30-Jan	741.24	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	PG	S	1,400	63.32	n/a	30-Jan	56.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	28.11	n/a	24-Jan	1,500.00	5.0
BRONSON POINT	036	PLCE	SS	10,000	50.22	n/a	18-Jan	300.00	3.0
MELLON/BANK OF NEW YORK	046	PM	S	1,200	74.87	n/a	n/a	48.00	4.0
ROYCE TRADING	031	RDEN	S	1,400	36.45	n/a	9-Jan	70.00	5.0
MELLON/BANK OF NEW YORK	046	RDSA	S	1,600	70.73	n/a	n/a	64.00	4.0
MELLON/BANK OF NEW YORK	046	RDSB	S	1,723	72.63	n/a	n/a	68.92	4.0
BNP PARIBAS SEC	040	RKT	B	10,000	61.12	n/a	26-Jan	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	60.49	n/a	26-Jan	750.00	5.0
JANA CAPITAL	044	RKT	S	45,202	61.69	n/a	26-Jan	1,808.08	4.0
MA CAPITAL MGMT/MELLON ADV041		RKT	B	1,000	60.65	n/a	26-Jan	50.00	5.0
MELLON/BANK OF NEW YORK	046	RRD	S	1,200	11.35	n/a	n/a	48.00	4.0
MILLRACE FUND LP	028	SBUX	SS	12,000	47.83	n/a	27-Jan	480.00	4.0
TALPION LLC	040	SFLY	SS	7,000	24.82	n/a	n/a	280.00	4.0
MELLON/BANK OF NEW YORK	046	SPY	B	1,000	131.09	n/a	n/a	40.00	4.0
SENATOR INVESTMENT GROUP	036	SXC	S	80,000	13.50	n/a	n/a	2,400.00	3.0
CASTLEROCK	040	TEX	SS	66,282	20.30	n/a	25-Jan	2,651.28	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	TGT	B	5,000	50.22	n/a	5-Jan	200.00	4.0
TUDOR INVESTORS	028	TKR	B	5,000	47.66	n/a	n/a	150.00	3.0
MELLON/BANK OF NEW YORK	046	TMO	S	4,880	52.28	n/a	n/a	195.20	4.0
MELLON/BANK OF NEW YORK	046	TOL	B	6,900	22.15	n/a	n/a	276.00	4.0
MELLON/BANK OF NEW YORK	046	TROW	S	1,200	58.23	n/a	n/a	48.00	4.0
MELLON/BANK OF NEW YORK	046	TXT	S	2,600	25.42	n/a	n/a	104.00	4.0
MELLON/BANK OF NEW YORK	046	T	S	1,700	29.33	n/a	n/a	68.00	4.0
MOORE CAPITAL	041	URI	B	9,000	38.23	n/a	n/a	270.00	3.0
MELLON/BANK OF NEW YORK	046	VOD	S	3,000	27.15	n/a	n/a	120.00	4.0
MELLON/BANK OF NEW YORK	046	VZ	S	1,600	37.48	n/a	n/a	64.00	4.0
DEVENNY CAP LLC	044	WBC	S	5,000	52.06	n/a	19-Jan	150.00	3.0
TUDOR INVESTORS	028	WCC	B	11,000	62.90	n/a	n/a	330.00	3.0
MELLON/BANK OF NEW YORK	046	WFC	B	9,800	29.19	n/a	17-Jan	392.00	4.0
MELLON/BANK OF NEW YORK	046	WFC	S	2,000	29.27	n/a	17-Jan	80.00	4.0
MELLON/BANK OF NEW YORK	046	WM	S	1,000	34.74	n/a	n/a	40.00	4.0
BRONSON POINT	036	WSM	B	25,000	34.75	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	XOM	S	2,924	85.26	n/a	n/a	116.96	4.0
<b>TOTAL (Trade Date):</b>							<b>69,818.84</b>		



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/27	COLUMBUS CIRCLE (COLC3040)	036	CAVM	S	7,627	32.43	n/a	n/a	305.08	4.0
AO,CXL	01/25	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	HOLX	S	2,000	19.63	n/a	n/a	100.00	5.0
AO,	01/25	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	HOLX	S	2,000	19.63	n/a	n/a	100.00	5.0
AO,CXL	01/25	SENATOR INVESTMENT GROUP (SENA123B)	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) :****305.08**

TOTAL (Trade Date) :

69,818.84

TOTAL (AO, CXL, CRT) :

305.08

**TOTAL (RUN DATE) / NFS :****70,123.92**

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