



Daily Compliance Activity Report

Trade Date: 09/21/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ACV	S	35,135	31.41	n/a	27-Jul	1,229.79	3.5
DSM CAPITAL PARTNERS	085	ADTN	B	27,575	34.62	n/a	n/a	1,378.75	5.0
BALYASNY ASSET MGMT	044	AEO	B	30,000	14.72	n/a	2-Sep	1,500.00	5.0
SAC CHICAGO ANDREW	031	AEO	B	10,000	14.76	n/a	2-Sep	350.00	3.5
ZIMMER LUCAS PARTNERS 10/14/03085		AGL	S	21,293	37.97	n/a	n/a	638.79	3.0
ENTRUST CAPITAL	040	ALC	S	10,000	29.63	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	23.48	n/a	2-Sep	2,000.00	4.0
SCOPUS FUND	041	ASH	B	10,000	45.32	n/a	17-Sep	500.00	5.0
CATAPULT	040	BAC	SS	25,000	13.97	n/a	15-Sep	1,250.00	5.0
GEORGE WEISS	034	BBBY	S	17,800	42.11	n/a	n/a	534.00	3.0
MILLENIUM SUB A/C NEW VERNON085		BZ	B	50,000	6.69	n/a	n/a	2,000.00	4.0
EPOCH INV MGMT	030	CAM	S	2,000	40.48	n/a	n/a	60.00	3.0
PZENA INV ADV	044	CNW	B	63,989	29.69	n/a	n/a	2,239.68	3.5
EPOCH INV MGMT	030	COL	S	1,500	58.21	n/a	21-Jul	45.00	3.0
TRUSTCO/SUNTRUST	040	CSCO	S	17,310	21.52	n/a	n/a	605.89	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	067	CTV	B	10,000	22.71	n/a	n/a	400.00	4.0
SOROS	036	DAL	B	100,000	11.90	n/a	n/a	4,000.00	4.0
GRUSS CAPITAL	025	DEI	S	10,000	17.46	n/a	n/a	300.00	3.0
DAWSON SANBERG & CO	041	DRI	SS	7,400	44.02	n/a	21-Sep	370.00	5.0
ROSEDALE CAPITAL	046	EEP	S	7,262	53.54	n/a	n/a	363.10	5.0
GRUSS CAPITAL	025	EWA	B	2,000	23.37	n/a	n/a	60.00	3.0
GRUSS CAPITAL	025	EWB	B	4,000	17.55	n/a	n/a	120.00	3.0
GRUSS CAPITAL	025	EWJ	B	20,000	9.82	n/a	n/a	600.00	3.0
GRUSS CAPITAL	025	EWT	B	5,000	13.24	n/a	n/a	150.00	3.0
DSM CAPITAL PARTNERS	085	FFIV	S	9,100	103.11	n/a	n/a	455.00	5.0
EPOCH INV MGMT	030	FIS	S	1,300	27.55	n/a	n/a	39.00	3.0
FOVEA CAPITAL MGMT	040	FL	SS	25,000	14.41	n/a	20-Aug	1,250.00	5.0
PARTNER REINSURANCE	033	FL	S	75,000	14.27	n/a	20-Aug	3,000.00	4.0
KACELA CAPITAL	034	FMCN	B	45,000	21.76	n/a	n/a	1,800.00	4.0
EVERCORE WEALTH MGMT	012	FOR	B	33,450	15.98	n/a	26-Aug	1,338.00	4.0
GRUSS CAPITAL	025	FXI	B	2,000	42.24	n/a	n/a	60.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	C	75,000	12.74	n/a	2-Sep	2,250.00	3.0
EPOCH INV MGMT	030	GPC	S	1,450	44.15	n/a	n/a	43.50	3.0
BALYASNY ASSET MGMT	044	GPS	SS	15,000	18.76	n/a	n/a	750.00	5.0
M&I FUNDS	047	IGT	B	30,000	15.13	n/a	28-Jul	1,200.00	4.0
MILLRACE FUND LP	028	IN	SS	5,000	12.01	n/a	n/a	200.00	4.0
WHITE PINE CAPITAL	030	IWO	SS	3,000	73.56	n/a	n/a	150.00	5.0
WHITE PINE CAPITAL	030	IWV	SS	4,500	67.50	n/a	n/a	225.00	5.0
GRUSS CAPITAL	025	IYR	B	7,000	54.66	n/a	n/a	210.00	3.0
BUCK CAPITAL MGMT	001	JCG	S	70,000	33.16	n/a	n/a	2,800.00	4.0
WHITE PINE CAPITAL	030	JCP	B	1,050	24.60	n/a	2-Sep	52.50	5.0
PZENA INV ADV	044	KEY	B	122,400	8.25	n/a	n/a	4,284.02	3.5
GEORGE WEISS	034	KSS	B	14,500	51.66	n/a	2-Sep	580.00	4.0
PIONEER PATH	226	LOW	SS	20,000	21.66	n/a	16-Aug	600.00	3.0
SAC CHICAGO ANDREW	031	LOW	SS	10,000	21.66	n/a	16-Aug	350.00	3.5
BALYASNY ASSET MGMT	044	LTD	S	10,000	26.42	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	29.44	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	MSFT	B	82,650	25.23	n/a	n/a	2,892.75	3.5
WHITE PINE CAPITAL	030	MSFT	B	4,675	25.25	n/a	n/a	233.75	5.0
CATAPULT	040	MS	B	10,000	26.65	n/a	15-Sep	500.00	5.0
WHITE PINE CAPITAL	030	MS	B	2,225	26.53	n/a	15-Sep	111.25	5.0
WHITE PINE CAPITAL	030	MYGN	B	2,100	16.48	n/a	n/a	105.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	SS	50,000	21.92	n/a	2-Sep	1,750.00	3.5
SOROS	036	M	S	125,000	21.78	n/a	2-Sep	5,000.00	4.0
WHITE PINE CAPITAL	030	NOK	B	4,800	9.83	n/a	n/a	240.00	5.0
JP MORGAN VENTURES	046	NWL	B	20,000	17.53	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	NYX	S	3,450	29.30	n/a	n/a	103.50	3.0
WHITE PINE CAPITAL	030	OMX	B	1,975	12.74	n/a	n/a	98.75	5.0
TRELLUS PARTNERS LP	028	PAG	B	10,000	12.34	n/a	4-Aug	500.00	5.0
ZIMMER LUCAS PARTNERS	10/14/03085	PCG	S	6,945	45.22	n/a	n/a	208.35	3.0
EPOCH INV MGMT	030	PRU	S	2,300	55.97	n/a	n/a	69.00	3.0
BALYASNY ASSET MGMT	044	PVH	S	10,000	58.85	n/a	9-Sep	500.00	5.0
WHITE PINE CAPITAL	030	RFMD	B	5,500	5.72	n/a	n/a	275.00	5.0
GEORGE WEISS	034	ROST	SS	500	53.65	n/a	n/a	15.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	SBUX	SS	50,000	26.16	n/a	22-Jul	2,500.00	5.0
WEISS PECK	040	SCVL	S	9,722	19.28	n/a	n/a	486.10	5.0
JP MORGAN VENTURES	046	SFE	S	20,000	12.20	n/a	n/a	1,000.00	5.0
FARALLON CAP MGMT	040	SFUN	S	7,995	70.26	n/a	n/a	319.80	4.0
WHITE PINE CAPITAL	030	SGMS	B	4,100	10.35	n/a	n/a	205.00	5.0
NEWLAND CAPITAL MGT	067	SHW	B	5,000	75.03	n/a	1-Sep	200.00	4.0
COOPER CREEK PART	028	SKX	B	15,000	23.32	n/a	n/a	600.00	4.0
COBALT	041	SLM	B	100,000	12.12	n/a	17-Sep	5,000.00	5.0
TALKOT CAPITAL LLC	084	SSCC	S	10,000	19.30	n/a	20-Sep	400.00	4.0
ARMATURE CAPITAL	041	TEN	B	20,000	28.57	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	TRV	S	1,100	53.12	n/a	n/a	33.00	3.0
GEORGE WEISS	034	TSCO	S	7,600	38.96	n/a	n/a	228.00	3.0
DIAMONDBACK CAP MGMT	232	T	S	100,000	28.98	n/a	n/a	5,000.00	5.0
FARALLON CAP MGMT	040	WHR	B	120,700	79.95	n/a	n/a	4,828.00	4.0
NEUSTRADA CAP LLC	085	WHR	B	25,000	79.66	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	WSM	B	40,000	30.95	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	WSM	S	20,000	30.69	n/a	n/a	600.00	3.0
DIAMONDBACK CAP MGMT	232	XLF	C	200,000	14.95	n/a	n/a	6,000.00	3.0
DIAMONDBACK CAP MGMT	232	XLF	SS	200,000	14.90	n/a	n/a	6,000.00	3.0
EPOCH INV MGMT	030	YHOO	S	5,150	14.06	n/a	n/a	154.50	3.0
TOTAL (Trade Date):								94,288.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/20	FARALLON CAP MGMT (FARACS)	040	DTV	S	31,700	41.65	n/a	n/a	1268.00 4.0
AO,	09/20	FARALLON CAP MGMT (FARABULK F)	040	DTV	S	138,300	41.65	n/a	n/a	5532.00 4.0
AO,	09/20	ENTRUST CAPITAL (ENTRMORGAN)	040	IR	B	13,000	35.71	n/a	26-Jul	650.00 5.0
AO,	09/20	ENTRUST CAPITAL (ENTRGOLDMA)	040	IR	B	43,600	35.71	n/a	26-Jul	2180.00 5.0
AO,CXL	09/20	ONE EAST CAP ADV LP (ONEEGS)	048	KKR	S	10,000	10.11	n/a	n/a	500.00 5.0
AO,CRT	09/20	ONE EAST CAP ADV LP (ONEEGS)	048	KKR	S	10,000	10.11	n/a	n/a	400.00 4.0
AO,CRT	09/20	M&I FUNDS (MIFDMAIN)	047	LTD	S	122	26.83	n/a	n/a	4.88 4.0
AO,CXL	09/20	M&I FUNDS (MIFD122)	047	LTD	S	20,922	26.83	n/a	n/a	836.88 4.0
AO,CRT	09/20	M&I FUNDS (MIFD122)	047	LTD	S	20,900	26.83	n/a	n/a	836.00 4.0
AO,CXL	09/20	M&I FUNDS (MIFDMAIN)	047	LTD	S	100	26.83	n/a	n/a	4.00 4.0
AO,	09/20	COLUMBUS CIRCLE (COLC3040)	036	STRI	S	6,579	21.06	n/a	n/a	263.16 4.0
AO,	09/20	COLUMBUS CIRCLE (COLC3040)	036	STRI	S	5,488	20.86	n/a	n/a	219.52 4.0
AO,	09/20	COLUMBUS CIRCLE (COLC3050)	036	STRI	S	6,519	21.06	n/a	n/a	260.76 4.0
AO,	09/20	COLUMBUS CIRCLE (COLC3050)	036	STRI	S	5,437	20.86	n/a	n/a	217.48 4.0
TOTAL (AO, CXL, CRT) :										10,490.92
TOTAL (Trade Date) :										94,288.77
TOTAL (AO, CXL, CRT) :										10,490.92
TOTAL (RUN DATE) / NFS:										104,779.69

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