



Daily Compliance Activity Report

Trade Date: 03/03/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	AEM	S	50,000	60.91	n/a	n/a	2,000.00	4.0
TRUSTCO/SUNTRUST	040	AES	S	21,864	11.55	n/a	n/a	852.69	3.9
IMPALA ASSET MMT	012	ALB	B	25,000	40.35	n/a	n/a	1,000.00	4.0
LAGRANGE CAP ADV	048	ALV	SS	5,000	47.00	n/a	1-Feb	250.00	5.0
TRUSTCO/SUNTRUST	040	AMGN	B	100	57.09	n/a	n/a	3.90	3.9
GRUSS CAPITAL	045	AZN	B	8,000	44.67	n/a	n/a	240.00	3.0
AVESTA CAP	229	BA	S	100,000	64.58	n/a	1-Mar	3,000.00	3.0
EXIS CAPITAL	044	BBY	S	20,000	36.46	n/a	n/a	1,000.00	5.0
NEWLAND CAPITAL MGT	067	BW	S	10,000	21.75	n/a	n/a	400.00	4.0
CATAPULT	040	BZ	B	25,000	5.15	n/a	n/a	1,000.00	4.0
SCHOTTENFELD ASSOC	041	BZ	S	50,000	5.19	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	CCE	B	10,000	26.41	n/a	n/a	400.00	4.0
TRUSTCO/SUNTRUST	040	CCL	B	3,150	35.89	n/a	n/a	122.85	3.9
TRUSTCO/SUNTRUST	040	CERN	B	735	83.96	n/a	n/a	28.67	3.9
TRUSTCO/SUNTRUST	040	CE	B	17,250	32.66	n/a	n/a	672.75	3.9

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	CHS	B	15,000	14.13	n/a	5-Feb	600.00	4.0
TRUSTCO/SUNTRUST	040	CMI	B	1,990	60.24	n/a	3-Feb	77.61	3.9
RBC CAPITAL MARKETS	040	COST	SS	5,000	60.52	n/a	n/a	200.00	4.0
IMPALA ASSET MMT	012	CSX	B	20,000	48.40	n/a	n/a	800.00	4.0
CATAPULT	040	DFS	SS	10,000	13.84	n/a	3-Mar	400.00	4.0
RAIL-SPLITTER	031	DKS	S	24,300	24.26	n/a	3-Feb	1,215.00	5.0
CATAPULT	040	DOW	B	18,000	29.56	n/a	2-Feb	900.00	5.0
TRUSTCO/SUNTRUST	040	ESRX	S	675	98.75	n/a	n/a	26.33	3.9
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.65	n/a	n/a	600.00	6.0
SAXON WOODS ADVISORS	242	ETH	S	10,000	18.62	n/a	n/a	400.00	4.0
CUMBERLAND	239	EXH	S	20,000	24.89	n/a	19-Jan	800.00	4.0
MERRILL ASSET/BLACKROCK	214	FBN	S	60,000	6.05	n/a	n/a	2,400.00	4.0
COLUMBUS CIRCLE	036	FFIV	B	6,210	61.31	n/a	n/a	248.40	4.0
MERRILL ASSET/BLACKROCK	214	FL	B	5,400	13.19	n/a	2-Mar	216.00	4.0
NORTHPOINT	030	FL	S	36,400	13.24	n/a	2-Mar	1,456.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	S	77,030	12.49	n/a	3-Mar	3,081.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	F	S	20,000	12.50	n/a	3-Mar	1,000.00	5.0
THIRD COAST CAPITAL	035	F	S	75,000	12.61	n/a	3-Mar	3,750.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	25.46	n/a	n/a	1,200.00	4.0
CATAPULT	040	GD	S	21,454	73.05	n/a	2-Feb	1,072.70	5.0
NEWLAND CAPITAL MGT	067	GGC	S	15,000	15.20	n/a	n/a	600.00	4.0
HIGHBRIDGE CAP	041	GNTX	SS	39,000	20.00	n/a	29-Jan	1,560.00	4.0
TRUSTCO/SUNTRUST	040	GS	B	475	158.62	n/a	13-Feb	18.53	3.9
MILLENIUUM PARTNERS	028	GYMB	B	25,000	44.95	n/a	26-Feb	1,250.00	5.0
GRISANTI BROWN & PARTNER	048	HPQ	S	183,260	51.22	n/a	n/a	9,163.00	5.0
LISTED ERR	099	HPQ	B	360	51.30	n/a	n/a	0.00	0.0
LISTED ERR	099	HPQ	S	360	51.22	n/a	n/a	0.00	0.0
CATAPULT	040	ICXT	B	16,450	6.87	n/a	n/a	822.50	5.0
RBC CAPITAL MARKETS	040	IGT	SS	10,000	17.68	n/a	9-Feb	400.00	4.0
AVESTA CAP	229	IP	S	100,000	25.32	n/a	3-Feb	3,000.00	3.0
RBC CAPITAL MARKETS	040	JCP	B	10,000	28.85	n/a	26-Feb	400.00	4.0
KADE CAPITAL LLC	036	JOYG	S	10,000	55.47	n/a	22-Feb	500.00	5.0
TRUSTCO/SUNTRUST	040	KMB	B	30,000	60.03	n/a	3-Mar	1,170.02	3.9

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	KNX	S	2,200	19.96	n/a	n/a	88.00	4.0
NEWLAND CAPITAL MGT	067	KRA	S	100	13.90	n/a	n/a	4.00	4.0
RBC CAPITAL MARKETS	040	KR	B	10,000	22.50	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	KSU	S	2,100	34.89	n/a	n/a	84.00	4.0
IMPALA ASSET MMT	012	LCC	S	50,000	7.49	n/a	n/a	1,000.00	2.0
SONTERRA CAP	041	LCC	B	50,000	7.53	n/a	n/a	1,500.00	3.0
GRANITE CAPITAL	045	LEA	B	15,000	72.99	n/a	8-Feb	750.00	5.0
THIRD COAST CAPITAL	035	LEA	B	7,500	73.28	n/a	8-Feb	375.00	5.0
CATAPULT	040	LLL	SS	10,400	92.64	n/a	n/a	520.00	5.0
CIRCLE T/SES PART	035	LVS	B	25,000	17.31	n/a	2-Mar	1,000.00	4.0
CATAPULT	040	LZ	S	10,000	84.00	n/a	n/a	500.00	5.0
TRUSTCO/SUNTRUST	040	MFE	S	26,760	40.00	n/a	n/a	1,043.65	3.9
BROADARCH CAP/OLD NEWC	070	MGM	S	1,200	11.02	n/a	18-Feb	48.00	4.0
TRUSTCO/SUNTRUST	040	MIR	S	15,918	12.56	n/a	n/a	620.81	3.9
EXIS CAPITAL	044	M	S	10,000	20.07	n/a	26-Feb	500.00	5.0
ADAGE CAPITAL MGMT	030	NAV	S	80,000	41.40	n/a	n/a	3,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVENUE CAPITAL MGMT	070	NAV	B	50,000	41.57	n/a	n/a	2,000.00	4.0
SOUTH POINT CAP	067	NOVL	B	500,000	6.04	n/a	n/a	15,000.00	3.0
COOPER CREEK PART	028	NP	S	15,000	16.01	n/a	3-Mar	600.00	4.0
CASTLE ARK	031	NTAP	B	96,170	31.67	n/a	n/a	5,770.20	6.0
LAGRANGE CAP ADV	048	PAG	B	10,000	14.60	n/a	22-Feb	500.00	5.0
CATAPULT	040	PCP	B	4,000	117.77	n/a	23-Feb	200.00	5.0
LAGRANGE CAP ADV	048	PFE	B	5,000	17.40	n/a	n/a	250.00	5.0
CAERUS GLOBAL	041	PIR	S	21,900	6.85	n/a	n/a	657.00	3.0
METROPOLITAN CAPITAL	044	PLCE	S	14,500	39.82	n/a	2-Mar	725.00	5.0
TRUSTCO/SUNTRUST	040	PRGO	S	15,600	52.11	n/a	3-Mar	608.40	3.9
ARMATURE CAPITAL	041	PTV	SS	20,000	24.62	n/a	n/a	800.00	4.0
DENVER INST. ADV	046	PVH	S	22,000	42.57	n/a	18-Feb	880.00	4.0
EXIS CAPITAL	044	PVH	B	20,000	42.78	n/a	18-Feb	1,000.00	5.0
CAERUS GLOBAL	041	ROST	S	30,000	49.45	n/a	n/a	900.00	3.0
PARTNER REINSURANCE	033	RSH	S	21,500	20.91	n/a	n/a	860.00	4.0
RBC CAPITAL MARKETS	040	RSH	S	20,000	20.91	n/a	n/a	800.00	4.0
NEWLAND CAPITAL MGT	067	SAH	S	25,000	11.32	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	SHW	SS	10,000	63.98	n/a	18-Feb	500.00	5.0
WEISS PECK	040	SPLS	C	9,500	22.44	n/a	n/a	475.00	5.0
GRUSS CAPITAL	045	SPY	SS	10,000	112.29	n/a	n/a	300.00	3.0
HARBORWATCH/DIAMBACK	232	STLD	S	15,000	17.13	n/a	n/a	750.00	5.0
MILLRACE FUND LP	028	SUP	B	7,409	15.06	n/a	1-Mar	296.36	4.0
TROUBH PART	067	SUP	B	12,000	15.16	n/a	1-Mar	600.00	5.0
TRUSTCO/SUNTRUST	040	S	S	43,239	3.36	n/a	n/a	1,686.32	3.9
MERRILL ASSET/BLACKROCK	214	TEX	B	13,000	21.30	n/a	22-Feb	520.00	4.0
CATAPULT	040	TGI	S	26,050	53.38	n/a	n/a	1,302.50	5.0
TRUSTCO/SUNTRUST	040	TGT	B	7,265	51.63	n/a	23-Feb	283.34	3.9
EPOCH INV MGMT	030	TJX	B	201,600	41.20	n/a	26-Feb	6,048.00	3.0
T. ROWE PRICE	033	TJX	S	8,100	41.00	n/a	26-Feb	324.00	4.0
COUGAR TRADING	044	TM	B	15,000	76.97	n/a	n/a	750.00	5.0
SENATOR INVESTMENT GROUP	036	TRA	S	100,000	45.13	n/a	n/a	3,000.00	3.0
IMPALA ASSET MMT	012	UPS	B	7,400	59.72	n/a	n/a	296.00	4.0
LAGRANGE CAP ADV	048	URI	B	10,000	7.70	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	USO	S	50,000	39.36	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	VLO	B	50,000	18.53	n/a	n/a	2,500.00	5.0
TRUSTCO/SUNTRUST	040	VZ	S	4,235	29.13	n/a	n/a	165.17	3.9
CATAPULT	040	WCC	S	34,492	30.66	n/a	n/a	1,724.60	5.0
TRUSTCO/SUNTRUST	040	WLP	B	685	62.27	n/a	n/a	26.72	3.9
RBC CAPITAL MARKETS	040	WMS	S	10,000	39.35	n/a	n/a	400.00	4.0
TRUSTCO/SUNTRUST	040	WMT	S	36,025	53.58	n/a	18-Feb	1,404.99	3.9
BUCK CAPITAL MGMT	001	WRC	S	71,200	43.01	n/a	2-Mar	2,848.00	4.0
TYEE/TYGH	035	WRC	B	89,107	43.09	n/a	2-Mar	3,564.28	4.0
RBC CAPITAL MARKETS	040	WYNN	B	2,500	66.90	n/a	2-Mar	100.00	4.0
ROTHSCHILD ASSET	040	XCO	B	13,186	19.68	n/a	n/a	527.44	4.0
CATAPULT	040	X	B	8,000	56.32	n/a	n/a	400.00	5.0
TOTAL (Trade Date) :								129,274.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/02	EXIS CAPITAL (EXISOPUSGS)	044	AMTD	B	3,600	17.38	n/a	n/a	180.00 5.0
AO,CRT	03/02	EXIS CAPITAL (EXISOPUSGS)	044	AMTD	B	3,600	17.38	n/a	n/a	144.00 4.0
AO,CXL	03/02	EXIS CAPITAL (EXISRBC)	044	AMTD	B	6,400	17.38	n/a	n/a	320.00 5.0
AO,CRT	03/02	EXIS CAPITAL (EXISRBC)	044	AMTD	B	6,400	17.38	n/a	n/a	256.00 4.0
AO,CXL	03/02	CAVU CAP ADV (CAVUCREDIS)	028	BBY	S	50,000	36.64	n/a	n/a	2500.00 5.0
AO,	03/02	CAVU CAP ADV (CAVUCREDIS)	028	BBY	S	37,925	36.64	n/a	n/a	1896.25 5.0
AO,	03/02	CAVU CAP ADV (CAVUMORGAN)	028	BBY	S	12,075	36.64	n/a	n/a	603.75 5.0
AO,CXL	03/02	SCOPUS FUND (SCOPUBS)	041	IP	B	53,034	25.02	n/a	3-Feb	2651.70 5.0
AO,CRT	03/02	SCOPUS FUND (SCOPUBS)	041	IP	B	53,033	25.02	n/a	3-Feb	2651.65 5.0
AO,CXL	03/02	SCOPUS FUND (SCOPGS)	041	IP	B	11,641	25.02	n/a	3-Feb	582.05 5.0
AO,CRT	03/02	SCOPUS FUND (SCOPGS)	041	IP	B	11,642	25.02	n/a	3-Feb	582.10 5.0
AO,	03/01	TRELLUS PARTNERS LP (TRELGS)	028	LVS	S	20,000	17.18	n/a	2-Mar	1000.00 5.0
AO,	03/02	TRELLUS PARTNERS LP (TRELGS)	028	LVS	S	20,000	17.36	n/a	2-Mar	1000.00 5.0
AO,	03/02	HOPLITE MGMT (HOPLMS)	025	SPLS	B	177,100	24.22	n/a	n/a	7084.00 4.0
AO,CXL	03/01	MAIRS AND POWER INV (MAIRGROWTH)	030	TGT	S	10,000	51.77	n/a	23-Feb	600.00 6.0
AO,CRT	03/01	MAIRS AND POWER INV (MAIRGROWTH)	030	TGT	S	10,000	51.77	n/a	23-Feb	500.00 5.0

TOTAL (AO, CXL, CRT) :**8,884.00**

TOTAL (Trade Date) :

129,274.93

TOTAL (AO, CXL, CRT) :

8,884.00

TOTAL (RUN DATE) / NFS:

138,158.93

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