



Daily Compliance Activity Report

Trade Date: 12/08/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AA	S	17,750	12.93	n/a	n/a	887.50	5.0
MILLENIUM PARTNERS	028	AA	B	25,000	12.87	n/a	n/a	1,000.00	4.0
TRUSTCO/SUNTRUST	040	ABX	B	35,000	40.50	n/a	n/a	1,365.01	3.9
GLOBAL 56 LLC	060	AEO	B	2,500	15.82	n/a	4-Dec	100.00	4.0
BASIX	033	AGCO	S	50,300	30.84	n/a	4-Dec	1,509.00	3.0
ROTHSCHILD ASSET	040	AIMC	B	12,822	11.31	n/a	n/a	577.06	4.5
PAW PARTNERS	045	AKAM	S	10,000	25.16	n/a	n/a	500.00	5.0
ROYCE TRADING	216	ALY	S	10,000	3.38	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	AMP	S	9,450	37.48	n/a	n/a	283.50	3.0
B BUCK CAPITAL MGMT		ANF	B	20,000	34.91	n/a	4-Dec	non-brg	4.0
f KAREN F LEDDY	FID	ARGN	S	1240	7.86	n/a	29-Oct	0.00	0.0
PHILADELPHIA FINANCIAL	033	ART	S	20,615	23.08	n/a	8-Dec	824.60	4.0
NEWLAND CAPITAL MGT	067	AXE	B	5,000	45.00	n/a	23-Nov	200.00	4.0
f ANDREW SINCLAIR	FID	AZWB	B	40	0.70	n/a	n/a	0.00	0.0
SOROS	036	BBY	S	100,000	43.60	n/a	n/a	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BZ	S	147,600	5.19	n/a	n/a	5,904.00	4.0
SMITH MGMT LLC	029	BZ	B	475,000	5.19	n/a	n/a	19,000.00	4.0
ROYCE TRADING	216	CAB	S	10,000	12.15	n/a	n/a	500.00	5.0
MILLENIUM PARTNERS	028	CAG	S	25,000	22.33	n/a	n/a	1,000.00	4.0
f NEIL M STRATTON	FID	CASH	S	200	22.00	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	CASH	S	100	22.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	CAT	S	1000	57.07	n/a	21-Oct	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CBT	S	10,000	24.88	n/a	29-Oct	400.00	4.0
EXIS CAPITAL	044	CENX	B	10,000	10.68	n/a	n/a	500.00	5.0
f CICYLY S BACKUS	FID	CHCG	S	20000	0.40	n/a	n/a	0.00	0.0
TROUBH PART	067	CSCO	S	50,000	23.90	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		C	B	100,000	3.91	n/a	4-Dec	non-brg	3.0
B BUCK CAPITAL MGMT		DBRN	S	60,000	20.98	n/a	n/a	non-brg	4.0
HARBORWATCH/DIAMBACK	232	DD	C	10,000	32.03	n/a	8-Dec	500.00	5.0
MILLENIUM PARTNERS	028	DD	B	40,000	31.90	n/a	8-Dec	1,600.00	4.0
B BUCK CAPITAL MGMT		DECK	SS	12,000	97.12	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DECK	SS	3,000	96.58	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		DECK	SS	5,000	96.65	n/a	n/a	non-brg 0.8
	CATAPULT	040	DKS	B	25,000	21.63	n/a	19-Nov	1,000.00 4.0
	GLENHILL CAPITAL	212	ERTS	S	100,000	16.23	n/a	n/a	5,000.00 5.0
	THOMAS WEISEL ASSET MGMT	035	ETH	B	5,312	12.55	n/a	n/a	159.36 3.0
	SAVITR CAPITAL	040	EV	SS	20,000	29.15	n/a	4-Dec	1,000.00 5.0
f	CHRISTOPHER ROBERT C	FID	FAGIX	S	405	8.42	n/a	n/a	0.00 0.0
f	CHRISTOPHER ROBERT C	FID	FDGFX	S	134	22.85	n/a	n/a	0.00 0.0
	BRANDWINE	028	FOR	S	24,109	19.49	8-Dec	8-Dec	964.36 4.0
f	CHRISTOPHER ROBERT C	FID	FRIFX	S	230	9.25	n/a	n/a	0.00 0.0
f	CHRISTOPHER ROBERT C	FID	FSHOX	S	199	27.84	n/a	n/a	0.00 0.0
f	CHRISTOPHER ROBERT C	FID	FSICK	S	489	10.90	n/a	n/a	0.00 0.0
	MILLENIUM PARTNERS	028	F	S	29,000	8.85	n/a	2-Dec	1,160.00 4.0
B	BUCK CAPITAL MGMT		GCO	B	10,000	23.87	n/a	n/a	non-brg 1.0
B	BUCK CAPITAL MGMT		GCO	B	15,000	24.13	n/a	n/a	non-brg 4.0
	CRAMER ROSENTHAL/SCOTT	012	GEO	B	63,600	21.05	n/a	n/a	2,544.00 4.0
	ROYCE TRADING	216	GFF	S	10,000	11.73	n/a	n/a	500.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIII	S	10,000	20.32	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GIII	S	10,000	20.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIII	S	12,100	20.25	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		GIII	S	5,837	20.49	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		GIL	S	50,000	19.84	n/a	8-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GSIC	S	30,000	24.17	n/a	n/a	non-brg	4.0
FARALLON CAP MGMT	040	HD	B	90,000	27.82	n/a	18-Nov	3,600.00	4.0
TRUSTCO/SUNTRUST	040	HES	B	8,400	55.87	n/a	n/a	327.60	3.9
⌘ BUCK CAPITAL MGMT		HGG	S	20,000	21.66	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	HUN	S	10,000	10.73	n/a	n/a	400.00	4.0
STRONG/MARK GRONET	030	IOC	S	37,200	63.87	n/a	n/a	1,488.00	4.0
HG VORA CAP MGMT LLC	025	ISLE	SS	1,000	8.00	n/a	n/a	40.00	4.0
EXIS CAPITAL	044	IWM	SS	10,000	60.01	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	JNS	S	175,000	12.65	n/a	4-Dec	8,750.00	5.0
DIAMONDBACK CAP MGMT	232	JNS	B	15,000	12.63	n/a	4-Dec	750.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	20,000	40.56	n/a	n/a	non-brg	4.0
AVESTA CAP	229	JPM	B	50,000	40.99	n/a	4-Dec	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	JPM	S	5,000	40.92	n/a	4-Dec	250.00	5.0
THE BOSTON COMPANY	039	KCP	S	15,000	8.79	n/a	n/a	600.00	4.0
f EDWARD W WHEELER	FID	KEME	S	10000	1.30	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	KMT	SS	100,000	24.28	n/a	18-Nov	5,000.00	5.0
KENNEDY CAPITAL	046	KPPC	B	23,875	7.95	n/a	n/a	716.25	3.0
CAERUS GLOBAL	041	LIZ	B	10,000	4.55	n/a	7-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	LL	S	10,000	25.76	n/a	n/a	400.00	4.0
MILLENIUM PARTNERS	028	MAT	S	20,000	19.91	n/a	n/a	800.00	4.0
f EDWARD W WHEELER	FID	METAG	B	100	2.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	15.26	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		MFB	S	10,000	15.10	n/a	n/a	non-brg	4.0
BRANDWINE	028	MS	B	37,210	30.39	n/a	18-Nov	1,488.40	4.0
PROSPECTOR PARTNERS LLC	036	MWV	S	10,000	28.08	n/a	16-Nov	400.00	4.0
CAERUS GLOBAL	041	M	B	25,000	16.18	n/a	4-Dec	1,000.00	4.0
KACELA CAPITAL	034	M	B	55,000	16.52	n/a	4-Dec	2,200.00	4.0
f JOHN BARTMAN COLE	FID	NBRXF	B	500	13.76	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	NILE	B	5,000	57.26	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UNITED STATES PENSION	032	NOK	B	300,000	12.55	n/a	n/a	9,000.00	3.0
ROYCE TRADING	216	NR	S	5,000	3.39	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		NTY	S	20,000	43.32	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	PAG	S	5,000	16.51	n/a	2-Nov	250.00	5.0
SCOPUS FUND	041	PAG	B	10,000	16.36	n/a	2-Nov	500.00	5.0
TRUSTCO/SUNTRUST	040	PBRA	B	36,340	43.18	n/a	n/a	1,417.27	3.9
B BUCK CAPITAL MGMT		PLCE	S	70,000	27.27	n/a	4-Dec	non-brg	4.0
JP MORGAN VENTURES	046	PRGO	B	15,000	40.10	n/a	7-Dec	750.00	5.0
SAGE ASSET MGMT	012	PTEN	B	15,000	14.34	n/a	n/a	750.00	5.0
COLUMBUS CIRCLE	036	RIG	S	349,989	79.48	n/a	n/a	13,999.56	4.0
MILLENIUM PARTNERS	028	RSH	S	25,000	19.28	n/a	n/a	1,000.00	4.0
TRUSTCO/SUNTRUST	040	SCHW	S	146,823	18.18	n/a	n/a	5,726.10	3.9
APEX CAPITAL MGMT.	091	SWY	C	215,000	21.10	n/a	n/a	8,600.00	4.0
HUNTER GLOBAL INVESTOR	067	SWY	B	75,000	21.00	n/a	n/a	3,750.00	5.0
FORD FDN.	032	S	B	150,000	3.98	n/a	n/a	4,500.00	3.0
CAPITAL GROWTH MGMT.	241	TCO	B	50,000	36.90	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAGE ASSET MGMT	012	TIN	S	55,300	20.47	n/a	22-Oct	2,765.00	5.0
TRUSTCO/SUNTRUST	040	TLM	B	35,000	16.85	n/a	n/a	1,365.00	3.9
PAW PARTNERS	045	UTEK	S	10,000	14.72	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	VALE	B	25,000	27.55	n/a	n/a	1,000.00	4.0
ROARING BLUE LION MGMT	012	WBC	B	13,000	24.18	n/a	30-Nov	520.00	4.0
BALYASNY ASSET MGMT	044	WDR	C	20,000	28.64	n/a	4-Dec	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	WDR	B	35,000	28.65	n/a	4-Dec	1,750.00	5.0
CASTLE ARK	031	XTO	B	245,965	40.73	n/a	n/a	14,757.90	6.0
COBALT	041	XTO	B	50,000	40.85	n/a	n/a	2,500.00	5.0
TRUSTCO/SUNTRUST	040	ZION	S	44,300	13.77	n/a	n/a	1,727.70	3.9
TOTAL (Trade Date) :								168,267.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/07	COLONIAL FUND LLC	036	AXL	B	25,000	7.51	n/a	2-Nov	750.00 3.0
AO,CXL	12/07	COLONIAL FUND LLC	036	AXL	B	25,000	7.51	n/a	2-Nov	1250.00 5.0
AO,	12/07	LOOMIS SALES/BOSTON	036	KSS	S	19,041	54.52	n/a	4-Dec	45.52 1.3
AO,CXL	12/07	LOOMIS SALES/BOSTON	036	KSS	S	19,041	54.52	n/a	4-Dec	761.64 4.0
AO,	12/07	FARALLON CAP MGMT	040	MXB	B	1,900	31.83	n/a	n/a	76.00 4.0
AO,CRT	12/07	FARALLON CAP MGMT	040	MXB	B	17,700	31.83	n/a	n/a	708.00 4.0
AO,CXL	12/07	FARALLON CAP MGMT	040	MXB	B	19,600	31.83	n/a	n/a	784.00 4.0
AO,	12/07	EXIS CAPITAL	044	VMC	S	15,000	48.57	n/a	n/a	750.00 5.0

TOTAL (AO, CXL, CRT) :**-466.12**

TOTAL (Trade Date) :

168,267.17

TOTAL (AO, CXL, CRT) :

-466.12

TOTAL (RUN DATE) / NFS:**167,801.05****MRI Securities with Trade Activity on 8-Dec.****FOR**

MRI Securities without Trade Activity on 8-Dec.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 5%
YTD = 20%

<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)