



## Daily Compliance Activity Report

Trade Date: 05/21/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	B	1,000	240.60	n/a	n/a	50.00	5.0
MELLON/BANK OF NEW YORK	046	ABT	B	7,650	46.70	n/a	n/a	382.50	5.0
<b>Ñ Nilsa Vazquez</b>		<b>ACUZ.OB</b>	<b>B</b>	<b>5000</b>	<b>1.2900</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	ACV	B	38,741	27.97	n/a	26-Apr	1,510.91	3.9
AVESTA CAP	229	ADI	SS	50,000	28.38	n/a	n/a	1,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>60,000</b>	<b>15.14</b>	<b>n/a</b>	<b>10-May</b>	<b>2,400.00</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	AFL	B	2,300	42.78	n/a	n/a	115.00	5.0
MELLON/BANK OF NEW YORK	046	AGN	B	1,800	57.86	n/a	17-May	90.00	5.0
MELLON/BANK OF NEW YORK	046	AGO	B	5,800	15.22	n/a	n/a	290.00	5.0
MELLON/BANK OF NEW YORK	046	AIG	S	1,232	35.83	n/a	n/a	61.60	5.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	10,000	45.59	n/a	28-Apr	300.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>30,000</b>	<b>36.27</b>	<b>n/a</b>	<b>19-May</b>	<b>1,200.00</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	APD	B	1,400	66.28	n/a	10-May	70.00	5.0
EXIS CAPITAL	044	ARO	B	3,200	27.30	n/a	21-May	160.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	ATO	S	100	26.72	n/a	n/a	5.00	5.0
RAMIUS CAP	040	ATVI	S	225,000	10.28	n/a	n/a	9,000.00	4.0
MELLON/BANK OF NEW YORK	046	AVP	B	3,400	26.55	n/a	3-May	170.00	5.0
PZENA INV ADV	044	AVT	S	5,975	28.06	n/a	n/a	209.13	3.5
MELLON/BANK OF NEW YORK	046	BBT	S	13,300	31.10	n/a	n/a	665.00	5.0
MELLON/BANK OF NEW YORK	046	BHP	B	5,600	62.04	n/a	n/a	280.00	5.0
LEVEL GLOBAL SHARED ACCT	257	BKC	C	50,000	18.77	n/a	29-Apr	1,500.00	3.0
PZENA INV ADV	044	BLUD	S	11,125	19.76	n/a	n/a	389.38	3.5
EXIS CAPITAL	044	BONT	B	3,067	12.85	n/a	n/a	153.35	5.0
MELLON/BANK OF NEW YORK	046	BRKB	S	10,000	72.34	n/a	n/a	500.00	5.0
WEISS PECK	040	CAKE	C	3,900	25.49	n/a	23-Apr	195.00	5.0
MELLON/BANK OF NEW YORK	046	CAT	B	2,000	59.69	n/a	12-May	100.00	5.0
MELLON/BANK OF NEW YORK	046	CLF	B	2,300	50.26	n/a	n/a	115.00	5.0
MELLON/BANK OF NEW YORK	046	CL	B	1,100	79.49	n/a	18-May	55.00	5.0
PZENA INV ADV	044	COF	S	8,625	41.16	n/a	20-May	301.88	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	40,000	38.38	n/a	14-May	1,600.00	4.0
MELLON/BANK OF NEW YORK	046	COST	B	2,100	57.31	n/a	n/a	105.00	5.0
MELLON/BANK OF NEW YORK	046	COV	B	2,100	41.62	n/a	n/a	105.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRI	S	100,000	30.18	n/a	n/a	3,000.00	3.0
SANDLER CAPITAL	226	CRM	B	50,000	78.63	n/a	n/a	3,000.00	6.0
MELLON/BANK OF NEW YORK	046	CTAS	S	15,100	25.70	n/a	n/a	755.00	5.0
MELLON/BANK OF NEW YORK	046	CVS	B	7,000	34.04	n/a	n/a	350.00	5.0
MELLON/BANK OF NEW YORK	046	CVX	B	1,500	73.66	n/a	n/a	75.00	5.0
MELLON/BANK OF NEW YORK	046	C	S	14,000	3.75	n/a	21-May	700.00	5.0
SANDLER O'NEILL ASSET	031	C	B	100,000	3.69	n/a	21-May	2,000.00	2.0
METROPOLITAN CAPITAL	044	DAN	B	18,500	10.15	n/a	30-Apr	925.00	5.0
EXIS CAPITAL	044	DECK	B	2,500	133.52	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	DECK	SS	2,500	130.83	n/a	n/a	125.00	5.0
MELLON/BANK OF NEW YORK	046	DIS	B	4,400	32.36	n/a	n/a	220.00	5.0
CONIFER/ISF	025	DOW	B	5,000	25.51	n/a	21-May	250.00	5.0
M&I FUNDS	047	DTV	S	32,665	36.77	n/a	n/a	1,306.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CRIB	044	ED	B	10,000	42.89	n/a	n/a	350.00	3.5
MELLON/BANK OF NEW YORK	046	EEM	B	1,300	37.11	n/a	n/a	65.00	5.0
MELLON/BANK OF NEW YORK	046	EMC	B	5,600	17.84	n/a	n/a	280.00	5.0
MELLON/BANK OF NEW YORK	046	EMR	B	5,600	45.92	n/a	n/a	280.00	5.0
MELLON/BANK OF NEW YORK	046	EPP	B	5,800	35.84	n/a	n/a	290.00	5.0
MELLON/BANK OF NEW YORK	046	EPV	B	4,440	27.20	n/a	n/a	222.00	5.0
MELLON/BANK OF NEW YORK	046	EUO	B	5,040	23.82	n/a	n/a	252.00	5.0
LAGRANGE CAP ADV	048	FII	B	10,000	22.65	n/a	2-Mar	500.00	5.0
BERMAN CAPITAL MGMT	046	FL	B	20,000	13.69	n/a	21-May	600.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>20,000</b>	<b>13.52</b>	<b>n/a</b>	<b>21-May</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	FL	B	50,000	13.39	n/a	21-May	2,500.00	5.0
KENNEDY CAPITAL	046	FL	B	50,000	13.32	n/a	21-May	2,000.00	4.0
WAGONHOUND/NIC	048	FL	S	39,227	13.82	n/a	21-May	1,569.08	4.0
SAC CRIB	044	FWLT	S	10,000	24.32	n/a	n/a	350.00	3.5
BERMAN CAPITAL MGMT	046	F	B	10,000	10.70	n/a	4-May	300.00	3.0
CIRCLE T/SES PART	035	F	B	50,000	10.37	n/a	4-May	2,000.00	4.0
CIRCLE T/SES PART	035	F	S	30,000	10.84	n/a	4-May	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	F	C	46,000	11.01	n/a	4-May	2,300.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>60,000</b>	<b>36.08</b>	<b>n/a</b>	<b>14-May</b>	<b>2,400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	GGG	S	5,600	31.65	n/a	n/a	196.00	3.5
MELLON/BANK OF NEW YORK	046	GOOG	B	400	465.67	n/a	n/a	20.00	5.0
ADAGE CAPITAL MGMT	030	GPS	SS	300,000	21.83	n/a	n/a	9,000.00	3.0
EXIS CAPITAL	044	GYMB	B	5,000	45.80	n/a	20-May	250.00	5.0
MELLON/BANK OF NEW YORK	046	HAL	B	3,300	26.63	n/a	n/a	165.00	5.0
JP MORGAN VENTURES	046	HLX	S	20,000	11.78	n/a	n/a	1,000.00	5.0
MELLON/BANK OF NEW YORK	046	HON	B	3,400	42.05	n/a	31-Mar	170.00	5.0
COLUMBUS CIRCLE	036	HTZ	S	43,000	10.36	n/a	n/a	1,720.00	4.0
MELLON/BANK OF NEW YORK	046	IGT	B	5,600	19.25	n/a	23-Apr	280.00	5.0
MELLON/BANK OF NEW YORK	046	INTC	B	9,100	21.01	n/a	n/a	455.00	5.0
SEMINOLE CAP	036	INTC	B	200,000	20.99	n/a	n/a	10,000.00	5.0
<b>Õ Brandon Heller</b>		<b>IP</b>	<b>B</b>	<b>16</b>	<b>22.0500</b>	<b>n/a</b>	<b>29-Apr</b>	<b>0.00</b>	<b>0.0</b>
SAC CRIB	044	IP	S	10,000	21.84	n/a	29-Apr	350.00	3.5
MELLON/BANK OF NEW YORK	046	IVZ	B	5,000	18.84	n/a	2-Mar	250.00	5.0
BRIGADE CAPITAL MGMT	029	IWM	C	25,000	64.40	n/a	n/a	750.00	3.0
EXIS CAPITAL	044	JCG	B	5,000	43.96	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	JCI	B	30,000	27.70	n/a	26-Apr	1,200.00	4.0
MELLON/BANK OF NEW YORK	046	JCI	B	4,100	28.25	n/a	26-Apr	205.00	5.0
MELLON/BANK OF NEW YORK	046	JCI	S	6,600	28.44	n/a	26-Apr	330.00	5.0
SAC CRIB	044	JCI	S	10,000	27.88	n/a	26-Apr	350.00	3.5
LAGRANGE CAP ADV	048	JNS	B	20,000	11.18	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>10,000</b>	<b>18.84</b>	<b>n/a</b>	<b>14-May</b>	<b>400.00</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	KFT	B	3,400	29.06	n/a	n/a	170.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>51.68</b>	<b>n/a</b>	<b>14-May</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	KSS	B	5,000	51.38	n/a	14-May	250.00	5.0
SCOPUS FUND	041	KSS	B	62,000	51.49	n/a	14-May	3,100.00	5.0
PZENA INV ADV	044	LLL	B	19,175	82.89	n/a	n/a	671.14	3.5
MELLON/BANK OF NEW YORK	046	LOW	B	4,700	23.76	n/a	17-May	235.00	5.0
BMO NESBITT BURNS	041	LPX	SS	25,000	8.20	n/a	11-May	1,250.00	5.0
SCOPUS FUND	041	LPX	B	91,450	7.89	n/a	11-May	4,572.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>20,000</b>	<b>24.26</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
FIRST NEW YORK LEDDY	035	LVL	B	15,000	1.25	n/a	n/a	600.00	4.0
MELLON/BANK OF NEW YORK	046	MA	B	500	215.49	n/a	20-May	25.00	5.0
PZENA INV ADV	044	MD	S	6,775	55.71	n/a	n/a	237.13	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	MON	B	5,600	54.50	n/a	13-May	280.00	5.0
MELLON/BANK OF NEW YORK	046	MRK	S	8,000	31.95	n/a	n/a	400.00	5.0
MELLON/BANK OF NEW YORK	046	MRVL	B	7,200	19.29	n/a	n/a	360.00	5.0
FORD FDN.	032	MRX	B	40,000	22.34	n/a	n/a	1,600.00	4.0
MELLON/BANK OF NEW YORK	046	MSFT	S	100	26.89	n/a	n/a	5.00	5.0
MELLON/BANK OF NEW YORK	046	MS	B	4,900	26.77	n/a	21-May	245.00	5.0
NEUBERGER BERMAN	036	MWIV	S	7,500	48.21	n/a	n/a	300.00	4.0
S.A.C. HEALTHCARE BOBBY	044	MYL	B	25,000	19.52	n/a	17-May	875.00	3.5
SAC CRIB	044	NAV	S	10,000	52.16	n/a	n/a	350.00	3.5
MELLON/BANK OF NEW YORK	046	NVS	B	5,600	45.11	n/a	n/a	280.00	5.0
MELLON/BANK OF NEW YORK	046	OXY	B	1,400	79.18	n/a	n/a	70.00	5.0
LAGRANGE CAP ADV	048	PAG	B	20,000	12.90	n/a	3-May	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	PCAR	SS	13,000	39.03	n/a	30-Apr	650.00	5.0
MELLON/BANK OF NEW YORK	046	PEG	B	4,000	30.08	n/a	n/a	200.00	5.0
AVESTA CAP	229	PEP	S	100,000	62.44	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CRIB	044	PHM	SS	50,000	10.70	n/a	n/a	1,750.00	3.5
SHEFFIELD ASSET MGMT	031	PKG	B	20,000	21.23	n/a	20-Apr	1,000.00	5.0
WAGONHOUND/NIC	048	PLCE	B	1,813	44.59	n/a	21-May	72.52	4.0
HARBORWATCH/DIAMBACK	232	PPG	C	10,000	62.68	n/a	10-May	500.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	30,000	21.14	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	40,000	52.96	n/a	14-May	1,600.00	4.0
LISTED ERR	099	PVH	B	3,805	53.12	n/a	14-May	0.00	0.0
LISTED ERR	099	PVH	SS	3,805	52.69	n/a	14-May	0.00	0.0
MELLON/BANK OF NEW YORK	046	RIMM	B	1,900	60.77	n/a	n/a	95.00	5.0
EXIS CAPITAL	044	SKX	S	10,000	35.76	n/a	n/a	500.00	5.0
WEISS PECK	040	SKX	C	4,900	34.86	n/a	n/a	245.00	5.0
MELLON/BANK OF NEW YORK	046	SKY	B	2,000	20.37	n/a	n/a	100.00	5.0
BERMAN CAPITAL MGMT	046	SPY	B	5,000	107.52	n/a	n/a	150.00	3.0
MELLON/BANK OF NEW YORK	046	STR	B	2,600	44.05	n/a	28-Apr	130.00	5.0
MELLON/BANK OF NEW YORK	046	SWN	B	3,200	37.54	n/a	30-Apr	160.00	5.0
MELLON/BANK OF NEW YORK	046	SYK	B	2,500	53.01	n/a	n/a	125.00	5.0
MELLON/BANK OF NEW YORK	046	TEVA	B	7,200	54.29	n/a	17-May	360.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BENNETT LAWRENCE	028	THC	S	20,900	5.10	n/a	n/a	418.00	2.0
EXIS CAPITAL	044	TJX	SS	5,000	43.74	n/a	19-May	250.00	5.0
EXIS CAPITAL	044	TLB	S	13,455	14.95	n/a	n/a	672.75	5.0
COUGAR TRADING	044	TM	B	15,000	74.11	n/a	n/a	750.00	5.0
EXIS CAPITAL	044	UA	B	2,500	30.91	n/a	28-Apr	125.00	5.0
BENNETT LAWRENCE	028	UFS	B	14,000	59.11	n/a	n/a	560.00	4.0
BNP PARIBAS SEC	040	UNP	B	10,000	68.85	n/a	n/a	400.00	4.0
HARBORWATCH/DIAMBACK	232	UNP	B	20,000	68.43	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	UPS	S	15,000	62.99	n/a	n/a	750.00	5.0
LEVEL GLOBAL SHARED ACCT	257	URBN	C	50,000	35.43	n/a	n/a	1,500.00	3.0
BNP PARIBAS SEC	040	URS	B	15,000	44.87	n/a	n/a	600.00	4.0
MELLON/BANK OF NEW YORK	046	USB	B	5,300	23.40	n/a	n/a	265.00	5.0
RBC CAPITAL MARKETS	040	VALE	SS	40,000	24.50	n/a	n/a	1,600.00	4.0
SEMINOLE CAP	036	VALE	B	54,100	25.20	n/a	n/a	2,705.00	5.0
JP MORGAN VENTURES	046	VFC	B	10,000	77.26	n/a	14-May	500.00	5.0
STANDARD PACIFIC CAPITAL	040	VNO	B	45,000	73.23	n/a	n/a	2,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	WAG	B	12,000	32.71	n/a	n/a	480.00	4.0
DIAMONDBACK CAP MGMT	232	WBC	B	5,300	29.00	n/a	5-May	265.00	5.0
STANDARD PACIFIC CAPITAL	040	WFC	B	80,000	29.04	n/a	21-May	4,000.00	5.0
COLUMBUS CIRCLE	036	WLL	S	6,000	74.67	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	41.11	n/a	14-May	800.00	4.0
EXIS CAPITAL	044	ZQK	S	50,000	4.65	n/a	10-May	2,500.00	5.0
<b>TOTAL (Trade Date) :</b>							<b>135,953.47</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/21	BERMAN CAPITAL MGMT (BERMMS)	046	FL	B	20,000	13.69	n/a	21-May	600.00 3.0
AO,	05/20	BRIGADE CAPITAL MGMT (BRICPERSH)	029	HOT	C	50,000	44.37	n/a	n/a	1500.00 3.0
AO,	05/20	BRIGADE CAPITAL MGMT (BRICJPMBS)	029	IWM	C	25,000	65.41	n/a	n/a	750.00 3.0
AO,CXL	05/20	CATAPULT (CATAML)	040	MDR	B	25,000	21.82	n/a	n/a	1250.00 5.0
AO,CRT	05/20	CATAPULT (CATADEUTCH)	040	MDR	B	25,000	21.82	n/a	n/a	1250.00 5.0
AO,	05/20	COLUMBUS CIRCLE (COLC3050)	036	RADS	B	1,056	15.11	n/a	n/a	21.12 2.0
AO,	05/20	COLUMBUS CIRCLE (COLC3050)	036	RADS	B	4,278	15.04	n/a	n/a	85.56 2.0
AO,CRT	05/20	COUGAR TRADING (COUGPB MS)	044	TAST	S	10,000	6.58	n/a	n/a	400.00 4.0
AO,CXL	05/20	COUGAR TRADING (COUGPB MS)	044	TAST	S	10,000	6.58	n/a	n/a	500.00 5.0

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**TOTAL (AO, CXL, CRT) :****2,856.68**

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**TOTAL (Trade Date):****135,953.47****TOTAL (AO, CXL, CRT):****2,856.68**

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**TOTAL (RUN DATE) / NFS:****138,810.15**

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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