



Daily Compliance Activity Report

Trade Date: 12/10/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	AAI	B	10,400	5.00	n/a	n/a	520.00	5.0
HARBORWATCH/DIAMBACK	232	ABB	SS	50,000	17.90	n/a	n/a	2,500.00	5.0
f MATTHEW FRANCIS BUCK	FID	ABT	B	200	53.99	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	ADI	B	12,500	30.44	n/a	n/a	500.00	4.0
EGS ASSOCIATES LP	091	AEO	B	3,000	15.87	n/a	4-Dec	180.00	6.0
EXIS CAPITAL	044	AEO	S	16,200	16.01	n/a	4-Dec	810.00	5.0
GLOBAL 56 LLC	060	AEO	S	2,500	15.98	n/a	4-Dec	100.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	35.23	n/a	4-Dec	800.00	4.0
APEX CAPITAL MGMT.	091	ANN	SS	50,000	15.40	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	AXL	B	100,000	7.18	n/a	2-Nov	3,000.00	3.0
LAGRANGE CAP ADV	048	AXL	B	10,000	7.10	n/a	2-Nov	500.00	5.0
WOOSTER CAPITAL	035	AXL	B	100,000	7.19	n/a	2-Nov	5,000.00	5.0
TRUSTCO/SUNTRUST	040	BBOX	B	1,400	29.02	n/a	n/a	54.60	3.9
MTB INV ADV	034	BBY	S	21,059	43.26	n/a	n/a	1,052.95	5.0
TRUSTCO/SUNTRUST	040	BBY	S	264,350	43.18	n/a	n/a	10,309.65	3.9
f EDWARD W WHEELER	FID	BELM	B	1500	3.10	n/a	n/a	0.00	0.0
ST OF MICHIAN	047	BEN	S	88,000	109.56	n/a	10-Dec	2,640.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	028	BJ	B	15,000	32.31	n/a	n/a	600.00	4.0
SMITH MGMT LLC	029	BZ	B	200,000	4.91	n/a	n/a	8,000.00	4.0
ARMATURE CAPITAL	041	CAL	S	25,000	16.08	n/a	n/a	1,000.00	4.0
TRUSTCO/SUNTRUST	040	CKR	B	1,400	8.13	n/a	n/a	54.60	3.9
CATAPULT	040	CLD	B	25,000	12.88	n/a	n/a	1,250.00	5.0
f EDWARD W WHEELER	FID	CMCO	B	5000	14.99	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	COG	S	10,000	37.53	n/a	1-Dec	500.00	5.0
EXIS CAPITAL	044	COH	SS	5,000	36.15	n/a	21-Oct	250.00	5.0
BERMAN CAPITAL MGMT	046	COST	SS	10,000	58.32	n/a	n/a	300.00	3.0
RBC CAPITAL MARKETS	040	COST	S	15,000	58.62	n/a	n/a	600.00	4.0
HARBORWATCH/DIAMBACK	232	CSX	SS	30,000	48.71	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		DBRN	S	50,000	20.91	n/a	n/a	non-brg	4.0
LOMBARDIA CAP MGMT	048	DBRN	S	12,255	20.91	n/a	n/a	595.61	5.0
REINHART & MAHONEY	031	DBTK	B	8,450	9.76	n/a	n/a	422.50	5.0
AVESTA CAP	229	DIS	B	200,000	31.14	n/a	n/a	8,000.00	4.0
TRUSTCO/SUNTRUST	040	DOX	S	35,050	26.91	n/a	n/a	1,366.95	3.9

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOMBARDIA CAP MGMT	048	DVR	B	45,038	7.06	n/a	n/a	2,187.78	5.0
LOMBARDIA CAP MGMT	048	ESL	S	10,691	41.28	n/a	n/a	519.37	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.64	n/a	n/a	600.00	6.0
RBC CAPITAL MARKETS	040	EV	SS	50,000	29.41	n/a	4-Dec	2,000.00	4.0
HARBORWATCH/DIAMBACK	232	FAST	S	25,000	38.98	n/a	n/a	1,250.00	5.0
WEISS PECK	040	FL	B	126,550	9.70	n/a	23-Nov	5,062.00	4.0
f EDWARD W WHEELER	FID	FOREX	S	80	2.00	n/a	n/a	0.00	0.0
BRANDWINE	028	FOR	S	6,151	19.88	n/a	8-Dec	246.04	4.0
f CAROL ANNE LACHENAU	FID	FOR	B	470	20.25	n/a	8-Dec	0.00	0.0
f DOUGLAS ROGERS	FID	FOR	B	655	20.24	n/a	8-Dec	0.00	0.0
f IAN L MILLER	FID	FOR	S	150	20.26	n/a	8-Dec	0.00	0.0
NICOLAS APPLEGATE	048	FOR	B	15,000	20.29	n/a	8-Dec	600.00	4.0
f TR U/W OF CH RISTINA	FID	FOR	B	200	20.28	n/a	8-Dec	0.00	0.0
B BUCK CAPITAL MGMT		FUQI	B	20,000	19.21	n/a	n/a	non-brg	2.5
DAVENPORT CAPITAL	070	F	B	10,000	8.95	n/a	2-Dec	600.00	6.0
EMERSON CAPITAL MGMT	048	GCI	SS	10,000	12.79	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		GES	S	27,600	43.83	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	GES	SS	5,000	43.25	n/a	n/a	155.00	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		GIII	S	4,546	20.75	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIL	S	30,000	21.59	n/a	8-Dec	non-brg	4.0
f ANDREW SINCLAIR	FID	GLWAW	S	30	1.33	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GSIC	S	10,000	24.85	n/a	n/a	non-brg	4.0
ST OF MICHIAN	047	GS	B	38,000	166.16	n/a	18-Nov	1,140.00	3.0
⚡ BUCK CAPITAL MGMT		GYMB	S	40,000	40.79	n/a	4-Dec	non-brg	4.0
BUCK CAPITAL MGMT	001	HBI	S	10,000	25.32	n/a	n/a	400.00	4.0
STERLING JOHNSTON	035	HBI	B	3,250	25.46	n/a	n/a	130.00	4.0
⚡ BUCK CAPITAL MGMT		HGG	S	10,000	20.92	n/a	n/a	non-brg	4.0
LOMBARDIA CAP MGMT	048	HLF	S	7,595	42.82	n/a	n/a	368.95	5.0
SCHOTTENFELD ASSOC	041	ITW	B	25,000	47.98	n/a	18-Nov	750.00	3.0
ST OF MICHIAN	047	IVZ	B	120,000	21.71	n/a	10-Dec	3,600.00	3.0
LOMBARDIA CAP MGMT	048	JAKK	B	27,599	11.20	n/a	n/a	1,341.13	5.0
DIAMONDBACK CAP MGMT	232	JPM	SS	15,000	40.70	n/a	4-Dec	750.00	5.0
EXIS CAPITAL	044	KSS	S	5,000	54.51	n/a	4-Dec	250.00	5.0
f MATTHEW FRANCIS BUCK	FID	LLY	S	300	35.08	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B	BUCK CAPITAL MGMT		LL	S	20,000	25.49	n/a	n/a	non-brg 4.0
	NEUBERGER BERMAN	036	MATW	S	6,500	34.26	n/a	n/a	292.50 4.5
	BUCK CAPITAL MGMT	001	MFB	S	20,000	15.70	n/a	n/a	800.00 4.0
	CAERUS GLOBAL	041	MPEL	S	25,000	3.92	n/a	18-Nov	1,000.00 4.0
	ROYCE TRADING	216	MSO	B	10,000	5.13	n/a	n/a	300.00 3.0
	DIAMONDBACK CAP MGMT	232	MS	C	115,310	30.27	n/a	18-Nov	5,765.50 5.0
	TROUBH PART	067	M	S	25,000	16.00	n/a	4-Dec	1,250.00 5.0
	TOCQUEVILLE	067	NCS	B	28,800	1.70	n/a	n/a	864.00 3.0
	TRUSTCO/SUNTRUST	040	NOK	B	25,000	12.68	n/a	n/a	975.00 3.9
	LISTED ERR	099	NOK	S	25,000	12.65	n/a	n/a	0.00 0.0
	TRUSTCO/SUNTRUST	040	ORCL	B	29,360	22.54	n/a	n/a	1,145.04 3.9
	SCOPUS FUND	041	PAG	B	5,000	16.35	n/a	2-Nov	250.00 5.0
	BUCK CAPITAL MGMT	001	PIR	S	20,000	4.61	n/a	n/a	600.00 3.0
B	BUCK CAPITAL MGMT		PLCE	S	40,000	28.76	n/a	4-Dec	non-brg 4.0
	EXIS CAPITAL	044	PLCE	B	5,000	28.35	n/a	4-Dec	250.00 5.0
	BUCK CAPITAL MGMT	001	PVH	S	50,000	39.87	n/a	20-Nov	2,000.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	Q	B	10,000	4.13	n/a	n/a	600.00	6.0
LOMBARDIA CAP MGMT	048	RHB	S	9,908	29.52	n/a	n/a	481.34	5.0
EXIS CAPITAL	044	RL	B	5,000	80.55	n/a	4-Nov	250.00	5.0
NEUBERGER BERMAN	036	RNOW	S	26,000	14.39	n/a	n/a	1,170.00	4.5
NEUBERGER BERMAN	036	ROL	B	8,700	19.08	n/a	n/a	391.50	4.5
SCOPUS FUND	041	SAH	S	42,700	9.56	n/a	n/a	2,135.00	5.0
f EDWARD W WHEELER	FID	SCSC	B	2133	23.85	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHOO	B	10,000	39.37	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SHOO	B	10,000	39.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SHOO	B	10,000	40.06	n/a	n/a	non-brg	4.0
SECOND CURVE	045	SNV	B	300,000	2.15	n/a	n/a	9,000.00	3.0
EXIS CAPITAL	044	SSO	SS	10,000	37.41	n/a	n/a	500.00	5.0
COOKBIELER	028	STC	B	28,680	10.82	n/a	n/a	1,147.20	4.0
TRUSTCO/SUNTRUST	040	STLD	S	98,804	18.32	n/a	n/a	3,853.36	3.9
THE JAY GOLDMAN	028	TGT	S	10,000	45.84	n/a	3-Dec	400.00	4.0
EXIS CAPITAL	044	TIF	B	10,000	40.89	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	TIN	S	20,500	20.35	n/a	22-Oct	615.00	3.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	37.39	n/a	4-Dec	800.00	4.0
Ⓐ BUCK CAPITAL MGMT		TLB	B	140,000	8.34	n/a	n/a	non-brg	3.0
f MATTHEW FRANCIS BUCK	FID	T	B	200	27.74	n/a	n/a	0.00	0.0
SOROS	036	T	S	36,000	27.75	n/a	n/a	1,440.00	4.0
f JONATHAN RICHARD HAR	FID	UNG	B	415	9.70	n/a	n/a	0.00	0.0
SOROS	036	VZ	S	29,700	33.61	n/a	n/a	1,188.00	4.0
DIAMONDBACK CAP MGMT	232	WDR	B	15,000	29.24	n/a	4-Dec	750.00	5.0
EPOCH INV MGMT	030	WDR	S	18,850	29.14	n/a	4-Dec	565.50	3.0
BERMAN CAPITAL MGMT	046	WMT	S	15,000	54.74	n/a	1-Dec	450.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	42.60	n/a	5-Nov	400.00	4.0
Ⓐ BUCK CAPITAL MGMT		WSM	C	40,000	21.57	n/a	n/a	non-brg	4.0
TRUSTCO/SUNTRUST	040	WU	B	79,833	19.01	n/a	n/a	3,113.48	3.9
f MATTHEW FRANCIS BUCK	FID	YUM	S	200	34.32	n/a	7-Dec	0.00	0.0
TOTAL (Trade Date):								121,999.55	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/09	BUCK CAPITAL MGMT	001	ARO	B	1,600	31.52	n/a	4-Dec	64.00 4.0
AO,CXL	12/09	BUCK CAPITAL MGMT	001	ARO	B	10,000	31.52	n/a	4-Dec	400.00 4.0
AO,	12/09	BUCK CAPITAL MGMT	001	ARO	B	8,400	31.52	n/a	4-Dec	336.00 4.0
AO,CRT	12/09	ROYAL CAPITAL MGMT	039	CVS	B	100,000	30.85	n/a	n/a	5000.00 5.0
AO,CXL	12/09	ROYAL CAPITAL MGMT	039	CVS	B	100,000	30.85	n/a	n/a	5000.00 5.0
AO,CXL	12/09	EXIS CAPITAL	044	GCO	B	6,100	23.77	n/a	n/a	305.00 5.0
AO,CRT	12/09	EXIS CAPITAL	044	GCO	B	6,100	23.77	n/a	n/a	305.00 5.0
AO,CXL	12/09	EXIS CAPITAL	044	M	S	12,300	16.12	n/a	4-Dec	615.00 5.0
AO,CRT	12/09	EXIS CAPITAL	044	M	S	12,300	16.12	n/a	4-Dec	615.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date):	121,999.55
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	121,999.55
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MRI Securities with Trade Activity on 10-Dec. NONE

MRI Securities without Trade Activity on 10-Dec.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 26%
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)