



Daily Compliance Activity Report

Trade Date: 02/09/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	AEO	S	22,000	14.68	n/a	4-Feb	880.00	4.0
OSKIE CAPITAL MGMT	224	AMD	B	8,000	8.19	n/a	n/a	400.00	5.0
OSKIE CAPITAL MGMT	224	AMR	B	10,000	7.16	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	ANN	S	20,000	23.81	n/a	n/a	800.00	4.0
SENATOR INVESTMENT GROUP	036	AOS	B	45,000	41.66	n/a	7-Feb	1,350.00	3.0
COLUMBIA PARTNERS	028	APA	B	55,445	116.77	n/a	11-Jan	2,217.80	4.0
BUCK CAPITAL MGMT	001	ARO	B	20,000	25.67	n/a	4-Feb	600.00	3.0
COOKBIELER	028	AVP	B	38,400	29.16	n/a	8-Feb	1,536.00	4.0
ROTHSCHILD ASSET	040	AWI	S	23,904	43.31	n/a	n/a	956.16	4.0
BASSWOOD PARTNERS	267	BANR	B	70,300	2.43	n/a	n/a	1,406.00	2.0
ROTHSCHILD ASSET	040	BBG	S	21,800	39.07	n/a	n/a	872.00	4.0
TRUSTCO/SUNTRUST	040	BBT	S	800	29.46	n/a	n/a	28.00	3.5
BMO NESBITT BURNS	041	BIG	S	1,000	38.97	n/a	8-Feb	70.00	7.0
TRUSTCO/SUNTRUST	040	BRCM	S	2,000	43.97	n/a	n/a	70.01	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	CBRL	SS	7,500	52.73	n/a	n/a	375.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	CEPH	B	66,728	60.84	n/a	7-Feb	2,655.48	4.0
BALLAST CAP	040	CNK	B	6,600	17.84	n/a	n/a	330.00	5.0
AVESTA CAP	229	CTSH	SS	50,000	74.43	n/a	n/a	1,500.00	3.0
TRUSTCO/SUNTRUST	040	DD	B	18,900	53.48	n/a	25-Jan	661.56	3.5
ROTHSCHILD ASSET	040	DST	S	2,440	49.53	n/a	n/a	97.60	4.0
NORTHWESTERN MUTUAL LIFE	047	EFA	B	1,431,500	61.15	n/a	n/a	28,630.00	2.0
ASCEND PARTNERS	033	FDO	SS	65,500	43.99	n/a	2-Feb	3,275.00	5.0
COOKBIELER	028	FLO	B	44,900	24.51	n/a	n/a	1,796.00	4.0
MERRILL ASSET/BLACKROCK	266	GHL	S	4,600	75.00	n/a	n/a	184.00	4.0
TRUSTCO/SUNTRUST	040	GOL	B	5,000	13.78	n/a	n/a	175.00	3.5
PATTEN & PATTEN	025	HCF	B	5,000	7.53	n/a	n/a	250.00	5.0
SOUTH POINT CAP	044	IWM	B	20,000	80.79	n/a	n/a	1,000.00	5.0
GREEN ARROW DOUG	040	JOSB	S	16,000	44.95	n/a	n/a	640.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	JOYG	S	46,995	92.33	n/a	16-Dec	1,845.33	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	KMX	S	18,000	34.69	n/a	n/a	720.00	4.0
WALL STREET CAPITAL	084	KMX	B	114,300	34.60	n/a	n/a	5,143.50	4.5
CATAPULT	040	LOW	S	65,000	24.51	n/a	13-Dec	2,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LOW	S	150,000	24.42	n/a	13-Dec	5,250.00	3.5
TROUBH PART	070	LVS	B	10,000	46.29	n/a	9-Feb	500.00	5.0
TRUSTCO/SUNTRUST	040	MAS	S	133,771	14.78	n/a	n/a	4,681.99	3.5
KLEINHEINZ CAP PART	031	MMM	B	10,000	90.46	n/a	25-Jan	500.00	5.0
1798 CAP/LOMBARD ASSET	040	MRO	B	5,000	46.39	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	MWV	B	7,000	29.24	n/a	26-Jan	350.00	5.0
BNP PARIBAS SEC	040	MWV	B	10,000	29.08	n/a	26-Jan	500.00	5.0
SOROS	036	NCS	S	46,919	13.54	n/a	n/a	1,876.76	4.0
BMO NESBITT BURNS	041	NDN	B	3,000	16.18	n/a	3-Feb	210.00	7.0
BNP PARIBAS SEC	040	NDN	S	25,000	16.18	n/a	3-Feb	1,250.00	5.0
SCOPUS FUND	041	NDN	B	5,000	16.15	n/a	3-Feb	200.00	4.0
TRUSTCO/SUNTRUST	040	PFG	S	600	32.52	n/a	n/a	21.00	3.5
TRUSTCO/SUNTRUST	040	PRU	S	25,950	63.02	n/a	n/a	908.27	3.5
LEVIN CAPITAL STRATEGIES	012	PVH	S	25,000	64.08	n/a	1-Feb	750.00	3.0
RBC CAPITAL MARKETS	040	PVH	B	23,500	63.95	n/a	1-Feb	940.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	PVH	S	161,900	63.63	n/a	1-Feb	4,857.00	3.0
MFP INVESTORS	085	RURL	B	40,800	14.81	n/a	n/a	2,040.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	SKX	SS	12,500	23.26		n/a	n/a	625.00 5.0
BASSWOOD PARTNERS	267	SNV	S	56,900	2.85	n/a	n/a	1,138.00	2.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	23,500	132.29	n/a	n/a	1,175.00	5.0
SOUTH POINT CAP	044	SPY	B	20,000	132.10	n/a	n/a	1,000.00	5.0
LITESPEED	028	SSCC	S	25,000	39.57	n/a	7-Jan	750.00	3.0
MERRILL ASSET/BLACKROCK	266	TESO	B	19,100	15.55	n/a	n/a	764.00	4.0
GREEN ARROW DOUG	040	TIF	SS	16,000	62.79	n/a	n/a	640.00	4.0
Õ May Tang		TSLA	B	200	23.2300	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	TYC	B	86,200	46.34	n/a	28-Jan	4,310.00	5.0
THIRD COAST CAPITAL	035	WBC	B	5,000	59.42	n/a	3-Feb	250.00	5.0
TRELLUS PARTNERS LP	028	WY	SS	35,000	24.24	n/a	4-Feb	1,750.00	5.0
TOTAL (Trade Date):								101,051.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									101,051.46
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									101,051.46
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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