



Daily Compliance Activity Report

Trade Date: 08/10/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
DSM CAPITAL PARTNERS	085	AAPL	B	24,450	368.74	n/a	n/a	1,222.50 5.0
LATEFF MGMT	035	AA	B	500	11.73	n/a	n/a	50.00 10.0
BRONSON POINT	036	AMCX	C	5,000	30.33	n/a	n/a	150.00 3.0
PRIMECAP MGMT	084	AMZN	S	3,000	200.86	n/a	n/a	120.00 4.0
APEX CAPITAL MGMT.	261	ANF	S	50,000	65.10	n/a	n/a	2,000.00 4.0
TUDOR INVESTORS	028	APD	SS	3,000	78.32	n/a	n/a	90.00 3.0
DARUMA ASSET MGMT INC	046	AWI	B	60,000	33.62	n/a	n/a	2,400.00 4.0
SCOPUS FUND	041	AXL	B	32,500	9.18	n/a	n/a	1,300.00 4.0
Õ Doug Rogers		BAC/PRC	S	144	21.5310	n/a	n/a	0.00 0.0
Õ Doug Rogers		BAC/PRC	S	151	21.5310	n/a	n/a	0.00 0.0
Õ Doug Rogers		BAC/PRC	S	171	21.5310	n/a	n/a	0.00 0.0
TRUSTCO/SUNTRUST	040	BAC	S	1,001,402	6.90	n/a	n/a	35,049.10 3.5
RIDGECREST INV MGMT LLC	028	BWLD	B	10,000	57.84	n/a	n/a	500.00 5.0
COOKBIELER	028	CL	S	91,170	81.47	n/a	n/a	3,646.80 4.0
BASSWOOD PARTNERS	267	CMA	B	6,800	24.97	n/a	n/a	272.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER PATH	028	COST	SS	25,000	71.85	n/a	n/a	750.00	3.0
HIGHBRIDGE CAP	041	CPB	B	118,000	30.22	n/a	n/a	3,540.00	3.0
LATEFF MGMT	035	CVS	B	250	31.97	n/a	n/a	50.00	20.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	28.22	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	EAT	B	100,000	21.53	n/a	n/a	5,000.00	5.0
ETON PARK CAPITAL	041	EEM	B	250,000	39.74	n/a	n/a	7,500.00	3.0
COLUMBIA PARTNERS	028	EXAM	S	21,400	13.91	n/a	n/a	856.00	4.0
ROYCE TRADING	012	FINL	B	3,000	18.59	n/a	n/a	150.00	5.0
BASSWOOD PARTNERS	267	FITB	B	17,600	9.56	n/a	n/a	704.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	12.30	n/a	n/a	400.00	4.0
LATEFF MGMT	035	F	B	250	10.39	n/a	n/a	37.50	15.0
GALT INVESTMENT	041	GCO	S	10,000	45.18	n/a	n/a	500.00	5.0
BMO NESBITT BURNS	041	HD	B	2,000	29.05	n/a	n/a	140.00	7.0
APEX CAPITAL MGMT.	261	HON	C	97,800	44.66	n/a	n/a	3,912.00	4.0
SENATOR INVESTMENT GROUP	036	HUN	S	237,900	12.81	n/a	n/a	7,137.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOPLITE MGMT	025	INTC	C	274,100	19.93	n/a	n/a	10,964.00	4.0
T. ROWE PRICE	033	IP	B	102,600	24.48	n/a	n/a	4,104.00	4.0
THE JAY GOLDMAN	028	JCP	S	20,000	25.76	n/a	n/a	800.00	4.0
PIONEER PATH	028	KSS	B	25,000	44.94	n/a	n/a	750.00	3.0
BRONSON POINT	036	LLL	C	5,000	65.73	n/a	n/a	150.00	3.0
BRONSON POINT	036	LMT	C	5,000	68.29	n/a	n/a	150.00	3.0
BMO NESBITT BURNS	041	LOW	B	5,000	18.35	n/a	n/a	350.00	7.0
COUGAR TRADING	044	NDN	B	5,000	17.19	n/a	n/a	250.00	5.0
MERRILL ASSET/BLACKROCK	297	NE	B	289,500	29.58	n/a	n/a	11,580.00	4.0
DSM CAPITAL PARTNERS	085	NTAP	S	31,330	41.33	n/a	n/a	1,566.50	5.0
IRIDIAN ASSET MGMT.	036	NVDA	S	1,561,246	12.64	n/a	n/a	78,062.30	5.0
NEWLAND CAPITAL MGT	025	OSIS	B	20,000	34.32	n/a	n/a	800.00	4.0
MILLENNIUM-ICS BOBBY	044	PAG	B	10,000	17.61	n/a	n/a	300.00	3.0
UNITED STATES PENSION	085	PFE	B	450,000	17.29	n/a	n/a	18,000.00	4.0
LATEFF MGMT	035	PKG	B	200	22.31	n/a	n/a	40.00	20.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	RBC	SS	3,000	51.66	n/a	n/a	90.00	3.0
TRUSTCO/SUNTRUST	040	RKT	B	24,325	52.00	n/a	n/a	851.38	3.5
HIGHBRIDGE CAP	041	RTI	B	85,000	24.98	n/a	n/a	2,550.00	3.0
ELM RIDGE ADVISORS	044	RYN	B	6,700	56.99	n/a	n/a	268.00	4.0
METROPOLITAN CAPITAL	044	SPLS	B	31,400	12.34	n/a	n/a	1,570.00	5.0
BASSWOOD PARTNERS	267	STI	B	9,200	18.31	n/a	n/a	368.00	4.0
FIRST NEW YORK NICK	029	S	B	20,000	3.16	n/a	n/a	1,000.00	5.0
LATEFF MGMT	035	TEVA	B	100	38.27	n/a	n/a	35.00	35.0
BMO NESBITT BURNS	041	TGT	S	2,000	47.77	n/a	n/a	140.00	7.0
PIONEER PATH	028	TGT	B	25,000	47.51	n/a	n/a	750.00	3.0
APEX CAPITAL MGMT.	261	TIF	B	50,000	67.54	n/a	n/a	2,000.00	4.0
HOTCHKIS & WILEY	035	TMK	B	141,200	34.09	n/a	n/a	7,060.00	5.0
APEX CAPITAL MGMT.	261	TSL	SS	100,000	14.45	n/a	n/a	4,000.00	4.0
PROSPECTOR PARTNERS LLC	036	UFS	B	10,000	68.87	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	WMT	S	2,000	49.13	n/a	n/a	140.00	7.0
DAVIDSON INV ADV	035	WSH	S	43,381	35.46	n/a	n/a	1,735.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ETON PARK CAPITAL	041	XLP	SS	696,000	28.63	n/a	n/a	20,880.00	3.0
TUDOR INVESTORS	028	X	SS	3,000	29.70	n/a	n/a	90.00	3.0
GEORGE WEISS	034	YUM	B	15,400	48.62	n/a	n/a	616.00	4.0
MA CAPITAL MGMT/MELLON ADV041		YUM	B	3,000	49.04	n/a	n/a	150.00	5.0
TOTAL (Trade Date) :								250,437.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/09	COOPER CREEK PART (COOPGS)	028	BZ	B	25,000	4.95	n/a	n/a	1000.00 4.0
AO,CRT	08/09	COOPER CREEK PART (COOPGS)	028	BZ	B	25,000	4.95	n/a	n/a	500.00 2.0
AO,CXL	08/09	CONIFER/ISF (CONIISFJPM)	025	INTC	S	10,000	20.18	n/a	n/a	500.00 5.0
AO,CRT	08/09	CONIFER/ISF (CONIISFJPM)	025	INTC	S	10,000	20.18	n/a	n/a	400.00 4.0
AO,CXL	08/04	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	25,000	6.83	n/a	n/a	1000.00 4.0
AO,CRT	08/04	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	25,000	6.83	n/a	n/a	750.00 3.0
AO,CXL	08/09	BNP PARIBAS SEC (BNPPMAIN)	040	LZ	S	20,000	134.01	n/a	n/a	1000.00 5.0
AO,CRT	08/09	BNP PARIBAS SEC (BNPPMAIN)	040	LZ	S	20,000	134.01	n/a	n/a	400.00 2.0
AO,CXL	08/09	SCOPUS FUND (SCOPGS)	041	XLI	B	5,112	30.02	n/a	n/a	204.48 4.0
AO,CRT	08/09	SCOPUS FUND (SCOPGS)	041	XLI	B	5,112	30.02	n/a	n/a	153.36 3.0
AO,CXL	08/09	SCOPUS FUND (SCOPUBS)	041	XLI	B	37,488	30.02	n/a	n/a	1499.52 4.0
AO,CRT	08/09	SCOPUS FUND (SCOPUBS)	041	XLI	B	37,488	30.02	n/a	n/a	1124.64 3.0
TOTAL (AO, CXL, CRT) :										-1,876.00
TOTAL (Trade Date):										250,437.32
TOTAL (AO, CXL, CRT):										-1,876.00
TOTAL (RUN DATE) / NFS:										248,561.32

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