



Daily Compliance Activity Report

Trade Date: 12/08/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAXON WOODS ADVISORS	242	ABMD	S	24,850	9.32	n/a	n/a	994.00	4.0
TRUSTCO/SUNTRUST	040	ABM	B	26,300	23.61	n/a	n/a	920.55	3.5
PZENA INV ADV	044	ACE	S	275	59.28	n/a	n/a	9.63	3.5
PATTEN & PATTEN	067	ADBE	S	5,500	29.13	n/a	n/a	275.00	5.0
SURSUM CAPITAL	215	AEO	SS	20,000	16.00	n/a	3-Dec	600.00	3.0
SCOPUS FUND	041	ALV	S	50,000	78.91	n/a	27-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	55.43	n/a	3-Dec	800.00	4.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	26.03	n/a	n/a	800.00	4.0
SIGMA CAP BOBBY	044	ASH	B	35,000	49.63	n/a	8-Nov	1,225.00	3.5
GREEN ARROW DOUG	040	AYI	B	5,000	58.77	n/a	n/a	250.00	5.0
UBS OCONNOR	031	BAX	S	50,000	49.51	n/a	n/a	1,500.00	3.0
SCOPUS FUND	041	BEAV	S	87,500	38.16	n/a	27-Oct	3,500.00	4.0
TRUSTCO/SUNTRUST	040	BEBE	S	58,000	6.32	n/a	n/a	2,030.06	3.5
MTB INV ADV	034	CAKE	S	5,750	33.30	n/a	2-Dec	287.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	CBI	S	5,300	31.99	n/a	n/a	265.00	5.0
SCOPUS FUND	041	CCE	S	72,800	25.35	n/a	n/a	2,912.00	4.0
GREEN ARROW DOUG	040	CPB	SS	20,000	33.91	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	CVA	S	3,500	16.20	n/a	n/a	175.00	5.0
BNP PARIBAS SEC	040	DD	B	20,000	48.55	n/a	26-Oct	1,000.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	DPZ	S	5,000	15.47	n/a	29-Nov	250.00	5.0
APEX CAPITAL MGMT.	261	ERTS	B	105,000	15.65	n/a	n/a	4,200.00	4.0
SCOPUS FUND	041	GCI	B	14,200	15.98	n/a	n/a	568.00	4.0
GREEN ARROW DOUG	040	GE	S	25,000	17.02	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	GE	SS	50,000	17.03	n/a	n/a	2,000.00	4.0
SCOPUS FUND	041	GM	S	100,000	34.52	n/a	6-Dec	4,000.00	4.0
GREEN ARROW DOUG	040	GNTX	B	200	29.15	n/a	25-Oct	10.00	5.0
PZENA INV ADV	044	HPT	S	875	22.57	n/a	n/a	30.63	3.5
MA CAPITAL MGMT/MELLON ADV	041	IP	B	2,000	26.68	n/a	27-Oct	100.00	5.0
SURSUM CAPITAL	215	JNY	B	27,270	14.99	n/a	28-Oct	818.10	3.0
PATTEN & PATTEN	067	KMB	B	3,000	61.85	n/a	27-Oct	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	KNX	SS	12,500	19.86	n/a	n/a	500.00	4.0
GREEN ARROW DOUG	040	KRO	B	10,000	41.42	n/a	n/a	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	KR	B	623,000	20.75	n/a	n/a	24,920.00	4.0
SCOPUS FUND	041	KSU	S	25,000	48.77	n/a	n/a	1,000.00	4.0
GREEN ARROW DOUG	040	LEA	B	5,000	94.41	n/a	29-Oct	250.00	5.0
WAGONHOUND/NIC	289	LEA	B	1,280	93.30	n/a	29-Oct	51.20	4.0
PZENA INV ADV	044	LLL	S	300	72.49	n/a	n/a	10.50	3.5
GALT INVESTMENT	041	LL	SS	24,644	24.77	n/a	n/a	1,232.20	5.0
MANNING & NAPIER	034	LOJN	S	100,000	5.18	n/a	n/a	3,000.00	3.0
MINDSHARE CAPITAL MGMT	046	LOJN	B	107,775	5.18	n/a	n/a	4,311.00	4.0
GREEN ARROW DOUG	040	MCP	B	10,000	31.37	n/a	n/a	500.00	5.0
PZENA INV ADV	044	MSFT	S	325	27.19	n/a	n/a	11.38	3.5
Õ Nilsa Vazquez		MU	S	1500	7.8415	n/a	n/a	0.00	0.0
SCOPUS FUND	041	MW	B	25,000	24.44	n/a	n/a	1,000.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	16,800	19.23	n/a	11-Nov	672.00	4.0
PATTEN & PATTEN	067	NUE	S	4,000	41.21	n/a	n/a	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	OSK	B	24,100	35.14	n/a	n/a	1,205.00	5.0
GRANITE CAPITAL	028	PAG	S	15,000	16.25	n/a	25-Oct	750.00	5.0
ARMATURE CAPITAL	041	PCAR	SS	65,000	55.75	n/a	23-Nov	2,600.00	4.0
PATTEN & PATTEN	067	PCAR	B	2,000	55.81	n/a	23-Nov	100.00	5.0
COHE & STEERS	041	PCL	S	17,339	36.68	n/a	26-Oct	693.56	4.0
MTB INV ADV	034	PENN	S	5,700	35.70	n/a	n/a	285.00	5.0
ARMATURE CAPITAL	041	PH	B	40,000	85.26	n/a	20-Oct	1,600.00	4.0
MERRILL ASSET/BLACKROCK	266	PL	B	17,100	25.90	n/a	n/a	342.00	2.0
MADISON ST PARTNERS LLC	046	PVH	B	20,000	68.37	n/a	3-Dec	1,000.00	5.0
FIRST NEW YORK NICK	029	Q	S	40,000	7.09	n/a	n/a	2,000.00	5.0
MFP INVESTORS	085	SEE	B	2,500	24.00	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	100,000	21.31	n/a	n/a	4,000.00	4.0
GREEN ARROW DOUG	040	SPY	SS	30,000	122.84	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	SWN	B	2,000	36.61	n/a	2-Dec	100.00	5.0
TRUSTCO/SUNTRUST	040	SWS	S	23,417	4.00	n/a	n/a	819.63	3.5
PZENA INV ADV	044	TMK	S	350	61.70	n/a	n/a	12.25	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	TYC	SS	25,000	40.84	n/a	7-Dec	1,000.00	4.0
PZENA INV ADV	044	UBS	S	1,300	16.09	n/a	n/a	45.50	3.5
SCOPUS FUND	041	UFS	B	14,900	82.33	n/a	n/a	596.00	4.0
CASTLE ARK	031	UNP	S	86,030	92.43	n/a	n/a	4,301.50	5.0
GREEN ARROW DOUG	040	URI	S	8,851	22.99	n/a	n/a	442.55	5.0
MTB INV ADV	034	VRA	B	13,075	33.28	n/a	n/a	653.75	5.0
PATTEN & PATTEN	067	V	B	1,000	77.45	n/a	29-Oct	50.00	5.0
GREEN ARROW DOUG	040	WY	B	45,000	17.48	n/a	29-Oct	2,250.00	5.0
PATTEN & PATTEN	067	WY	B	12,000	17.27	n/a	29-Oct	600.00	5.0
TOTAL (Trade Date):								99,150.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/06	ADAGE CAPITAL MGMT (ADAGCSFB)	030	ANF	B	100,000	56.35	n/a	3-Dec	3000.00 3.0
AO,CRT	12/06	ADAGE CAPITAL MGMT (ADAGLONG)	030	ANF	B	100,000	56.35	n/a	3-Dec	3000.00 3.0
AO,CXL	12/07	COOPER CREEK PART (COOPGS)	028	NDN	B	503	16.49	n/a	8-Nov	20.12 4.0
AO,CRT	12/07	COOPER CREEK PART (COOPJPM)	028	NDN	B	503	16.49	n/a	8-Nov	20.12 4.0
AO,	12/07	NOMURA CAPITAL (NOMUSAG)	029	QLTY	S	300	8.60	n/a	n/a	9.00 3.0
AO,	12/07	NOMURA CAPITAL (NOMULASERS)	029	QLTY	S	700	8.60	n/a	n/a	21.00 3.0
AO,	12/07	NOMURA CAPITAL (NOMUNCRAM)	029	QLTY	S	300	8.60	n/a	n/a	9.00 3.0
AO,	12/07	COLUMBUS CIRCLE (COLC3050)	036	RLD	B	22,800	28.48	n/a	n/a	912.00 4.0
AO,	12/07	DECADE CAPITAL PARTNERS (DECAML)	040	TGT	S	13,500	59.88	n/a	2-Dec	675.00 5.0
AO,CXL	12/07	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	TGT	S	13,500	59.88	n/a	2-Dec	675.00 5.0
AO,	12/07	DECADE CAPITAL PARTNERS (DECAML)	040	WMT	B	13,700	54.99	n/a	17-Nov	685.00 5.0
AO,CXL	12/07	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	WMT	B	13,700	54.99	n/a	17-Nov	685.00 5.0
TOTAL (AO, CXL, CRT) :										951.00

TOTAL (Trade Date) :	99,150.49
TOTAL (AO, CXL, CRT) :	951.00

TOTAL (RUN DATE) / NFS:	100,101.49
--------------------------------	-------------------



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