



Daily Compliance Activity Report

Trade Date: 12/18/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
TRUSTCO/SUNTRUST	040	ABC	B	64,180	26.00	n/a	n/a	2,503.02 3.9
MILLENNIUM-ANDEW	031	ABFS	B	42,000	32.12	n/a	n/a	2,520.00 6.0
PATTEN & PATTEN	067	ADBE	B	1,500	37.26	n/a	n/a	75.00 5.0
PATTEN & PATTEN	067	ADSK	S	2,340	24.56	n/a	n/a	117.00 5.0
CIRCLE T/SES PART	035	AN	B	10,000	18.77	n/a	30-Oct	400.00 4.0
BMO NESBITT BURNS	041	AXL	SS	55,000	7.45	n/a	14-Dec	2,750.00 5.0
BMO NESBITT BURNS	041	AXL	S	45,000	7.39	n/a	14-Dec	2,250.00 5.0
CHARTER OAK	033	AXL	B	160,000	7.33	n/a	14-Dec	6,400.00 4.0
PZENA INV ADV	044	AXS	B	5,975	28.15	n/a	n/a	209.13 3.5
LATEFF MGMT	035	BDN	B	2,750	10.82	n/a	n/a	247.50 9.0
RBC CAPITAL MARKETS	040	BEAV	S	30,000	22.84	n/a	n/a	1,200.00 4.0
RBC CAPITAL MARKETS	040	BHP	B	10,000	73.15	n/a	n/a	400.00 4.0
LATEFF MGMT	035	BMS	B	2,000	30.11	n/a	n/a	300.00 15.0
LATEFF MGMT	035	CBL	B	2,764	9.62	n/a	n/a	193.48 7.0
MILLENNIUM-ANDEW	031	CNW	B	37,200	38.92	n/a	n/a	2,232.00 6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLONIAL FUND LLC	036	CPBY	B	25,000	5.95	n/a	n/a	750.00	3.0
MTB INV ADV	034	CRR	B	13,200	66.46	n/a	17-Dec	660.00	5.0
PZENA INV ADV	044	DELL	B	6,050	13.77	n/a	n/a	211.75	3.5
LATEFF MGMT	035	DRE	S	2,000	11.76	n/a	n/a	160.00	8.0
TRELLUS PARTNERS LP	028	DRI	SS	20,000	34.71	n/a	18-Dec	1,000.00	5.0
COVEY CAPIAL PARNTERS	029	DTV	B	10,000	32.99	n/a	n/a	400.00	4.0
CARDINAL CAPITAL	044	EPR	B	14,400	34.14	n/a	n/a	720.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.65	n/a	n/a	600.00	6.0
CUMBERLAND	239	EXH	B	5,000	20.55	n/a	17-Dec	200.00	4.0
LATEFF MGMT	035	FL	B	1,500	10.24	n/a	17-Dec	135.00	9.0
LATEFF MGMT	035	FMC	B	2,000	55.59	n/a	n/a	440.00	22.0
LEVIN CAPITAL STRATEGIES	012	F	S	30,000	9.67	n/a	2-Dec	1,200.00	4.0
RBC CAPITAL MARKETS	040	GR	SS	10,000	63.81	n/a	23-Nov	400.00	4.0
RBC CAPITAL MARKETS	040	HAYN	B	20,000	28.96	n/a	n/a	800.00	4.0
LATEFF MGMT	035	HPQ	S	1,000	51.45	n/a	n/a	250.00	25.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	IP	SS	25,000	26.66	n/a	28-Oct	1,250.00	5.0
SCOPUS FUND	041	IP	SS	17,300	26.09	n/a	28-Oct	865.00	5.0
SCOPUS FUND	041	IP	S	40,000	26.52	n/a	28-Oct	2,000.00	5.0
LATEFF MGMT	035	KALU	B	1,500	39.52	n/a	n/a	300.00	20.0
RBC CAPITAL MARKETS	040	KBH	S	55,000	13.04	n/a	n/a	2,200.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	52.82	n/a	4-Dec	800.00	4.0
MACKLOWE ASSET MGMT	041	KSS	B	30,000	53.17	n/a	4-Dec	1,200.00	4.0
FRONTPOINT/COPIA-ANDREW	035	NR	B	3,821	4.05	n/a	n/a	133.74	3.5
SIGMA CAPITAL ASSOCIATES	041	NVDA	S	25,000	16.72	n/a	n/a	1,000.00	4.0
MILLENNIUM-ANDEW	031	ODFL	B	39,600	34.10	n/a	n/a	2,376.00	6.0
PATTEN & PATTEN	067	OSK	B	1,000	37.53	n/a	n/a	50.00	5.0
RBC CAPITAL MARKETS	040	OSK	B	10,000	37.73	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	OXY	S	2,000	79.87	n/a	n/a	100.00	5.0
PHILADELPHIA FINANCIAL	033	OZM	B	20,000	14.02	n/a	18-Dec	800.00	4.0
TRELLUS PARTNERS LP	028	PAG	B	600	15.13	n/a	2-Nov	30.00	5.0
JANA CAPITAL	044	PEP	B	58,000	59.34	n/a	n/a	2,320.00	4.0
BRAZOS	031	PKG	B	66,700	23.41	n/a	22-Oct	2,001.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PSS	S	10,000	22.06	n/a	n/a	400.00	4.0
LATEFF MGMT	035	PTV	B	2,500	23.84	n/a	n/a	325.00	13.0
ROSEDALE CAPITAL	046	PXP	B	20,000	26.64	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	28.11	n/a	n/a	400.00	4.0
NWQ INVESTMENT MGMT CO	048	SNY	S	10,300	38.97	n/a	n/a	412.00	4.0
LATEFF MGMT	035	SPLS	S	2,500	24.50	n/a	n/a	325.00	13.0
PATTEN & PATTEN	067	STI	S	1,500	20.66	n/a	n/a	75.00	5.0
JMP ASSET MGMT	210	TICC	S	12,148	5.63	n/a	n/a	485.92	4.0
COVEY CAPIAL PARNTERS	029	TKTM	B	10,000	11.78	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	8.22	n/a	n/a	900.00	3.0
RBC CAPITAL MARKETS	040	TXT	SS	20,000	18.95	n/a	n/a	800.00	4.0
JANA CAPITAL	044	TYC	S	178,627	35.54	n/a	23-Nov	7,145.08	4.0
COLONIAL FUND LLC	036	WFC	S	50,000	26.91	n/a	15-Dec	2,000.00	4.0
COVEY CAPIAL PARNTERS	029	WYN	B	10,000	20.79	n/a	n/a	400.00	4.0
PZENA INV ADV	044	XOM	B	5,450	68.67	n/a	n/a	190.77	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	YHOO	B	25,000	15.98	n/a	n/a	1,000.00	4.0
LATEFF MGMT	035	ZLC	S	10,000	2.15	n/a	n/a	400.00	4.0
TOTAL (Trade Date):								64,208.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/17	THOMPSON SIEGAL&WALMSLEY (THOS4280)	029	HSP	S	29,075	47.87	n/a	n/a	872.25 3.0
AO,	12/17	THOMPSON SIEGAL&WALMSLEY (THOS6023)	029	HSP	S	7,152	47.87	n/a	n/a	214.56 3.0
AO,CXL	12/17	CUMBERLAND (CUMBMS04)	239	IWM	B	10,000	60.47	n/a	n/a	400.00 4.0
AO,CRT	12/17	CUMBERLAND (CUMBMS04)	239	IWM	B	10,000	60.47	n/a	n/a	300.00 3.0
TOTAL (AO, CXL, CRT) :										986.81

TOTAL (Trade Date) :	64,208.39
TOTAL (AO, CXL, CRT) :	986.81

TOTAL (RUN DATE) / NFS :	65,195.20
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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