



## Daily Compliance Activity Report

Trade Date: 03/02/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	AAPL	B	14	208.81	n/a	n/a	0.55	4.0
RBC CAPITAL MARKETS	040	AAP	SS	2,500	41.25	n/a	n/a	100.00	4.0
TRUSTCO/SUNTRUST	040	ABT	B	76	54.62	n/a	n/a	2.97	3.9
GREEN ARROW DOUG	040	ACXM	SS	30,000	18.50	n/a	n/a	1,500.00	5.0
TRUSTCO/SUNTRUST	040	ADM	B	109	29.88	n/a	18-Feb	4.26	3.9
NEWLAND CAPITAL MGT	067	AGU	B	10,000	66.96	n/a	n/a	400.00	4.0
HOLDEN CAPITAL MGMT	035	AIG	SS	25,000	24.86	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	ALTR	B	192	24.77	n/a	n/a	7.48	3.9
TRUSTCO/SUNTRUST	040	AMGN	B	75	56.85	n/a	n/a	2.93	3.9
EXIS CAPITAL	044	AMTD	B	10,000	17.38	n/a	n/a	500.00	5.0
TRUSTCO/SUNTRUST	040	AMT	B	64	42.89	n/a	n/a	2.49	3.9
SONTERRA CAP	041	ATI	SS	10,000	46.44	n/a	n/a	400.00	4.0
GCORE MANAGEMENT	041	ATVI	S	25,000	10.79	n/a	n/a	1,250.00	5.0
KADE CAPITAL LLC	036	AXL	B	15,500	10.24	n/a	8-Feb	620.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	AXL	B	50,000	10.14	n/a	8-Feb	1,500.00	3.0
TROUBH PART	067	AXL	S	25,000	10.09	n/a	8-Feb	1,250.00	5.0
GREEN ARROW DOUG	040	BA	SS	10,000	65.01	n/a	1-Mar	500.00	5.0
CAVU CAP ADV	028	BBY	S	50,000	36.64	n/a	n/a	2,500.00	5.0
RBC CAPITAL MARKETS	040	BBY	SS	10,000	36.50	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	BHP	SS	10,000	75.40	n/a	n/a	400.00	4.0
TRUSTCO/SUNTRUST	040	BK	B	238	28.72	n/a	13-Feb	9.29	3.9
TRUSTCO/SUNTRUST	040	BLK	B	14	217.46	n/a	2-Mar	0.55	4.0
TRUSTCO/SUNTRUST	040	BMC	B	100	37.03	n/a	n/a	3.90	3.9
TRUSTCO/SUNTRUST	040	BMV	B	240	24.74	n/a	n/a	9.37	3.9
COOPER CREEK PART	028	BWA	SS	8,900	38.86	n/a	12-Feb	356.00	4.0
SCHOTTENFELD ASSOC	041	BZ	B	50,000	5.01	n/a	n/a	1,500.00	3.0
CRAMER ROSENTHAL/SCOTT	012	CCE	B	309,460	26.10	n/a	n/a	12,378.40	4.0
SEVEN LOCKS CAPITAL	067	CF	B	10,000	102.87	n/a	n/a	300.00	3.0
GREEN ARROW DOUG	040	CKP	B	5,000	21.33	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	CMG	SS	5,000	109.44	n/a	12-Feb	200.00	4.0
BASCOM HILL PARTNERS LLC	033	COST	SS	10,000	61.33	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BERMAN CAPITAL MGMT	046	CROX	SS	18,000	7.36	n/a	n/a	540.00	3.0
TRUSTCO/SUNTRUST	040	CSCO	B	260	24.60	n/a	n/a	10.14	3.9
WAGONHOUND/NIC	048	CVGI	B	4,239	5.18	n/a	n/a	127.17	3.0
TRUSTCO/SUNTRUST	040	CVS	B	107	34.73	n/a	n/a	4.18	3.9
TRUSTCO/SUNTRUST	040	CVX	B	47	73.46	n/a	n/a	1.84	4.0
BASCOM HILL PARTNERS LLC	033	CYN	SS	6,400	50.05	n/a	n/a	192.00	3.0
WAGONHOUND/NIC	048	C	B	163,386	3.40	n/a	24-Feb	3,267.72	2.0
GREEN ARROW DOUG	040	DAN	B	10,000	11.51	n/a	25-Feb	500.00	5.0
M&I FUNDS	047	DFS	B	36,400	13.92	n/a	24-Feb	1,456.00	4.0
AVESTA CAP	229	DIS	S	100,000	31.52	n/a	n/a	3,000.00	3.0
TRUSTCO/SUNTRUST	040	DIS	B	124	31.80	n/a	n/a	4.84	3.9
FULLER & THALER ASSET	033	DPZ	B	100,000	13.33	n/a	2-Mar	3,000.00	3.0
TRUSTCO/SUNTRUST	040	DTV	B	120	34.54	n/a	n/a	4.68	3.9
TRUSTCO/SUNTRUST	040	EIX	B	139	33.24	n/a	n/a	5.42	3.9
TRUSTCO/SUNTRUST	040	EOG	B	35	95.10	n/a	n/a	1.37	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.64	n/a	n/a	1,200.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ETN	B	50	70.17	n/a	1-Mar	1.96	4.0
CUMBERLAND	239	EXH	S	30,000	23.96	n/a	19-Jan	1,200.00	4.0
SCHOTTENFELD ASSOC	041	FBR	B	25,000	19.12	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	FDO	C	25,000	32.73	n/a	2-Mar	1,250.00	5.0
GREEN ARROW DOUG	040	FLO	SS	25,000	25.88	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	FLR	B	83	42.74	n/a	n/a	3.24	3.9
CENTURION PARTNERS	041	F	B	50,000	12.24	n/a	1-Mar	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	S	20,000	12.50	n/a	1-Mar	800.00	4.0
TRAFELET & COMP.	028	F	S	200,000	12.52	n/a	1-Mar	8,000.00	4.0
TRUSTCO/SUNTRUST	040	GES	B	81	42.15	n/a	5-Feb	3.17	3.9
FIRST NY SEC/CHRIS	041	GE	B	25,000	15.90	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	GE	B	75,000	15.90	n/a	n/a	2,250.00	3.0
NEWLAND CAPITAL MGT	067	GGC	S	21,707	15.06	n/a	n/a	868.28	4.0
KLEINHEINZ CAP PART	031	GG	B	75,000	39.40	n/a	n/a	3,750.00	5.0
GREEN ARROW DOUG	040	GKSR	B	5,000	25.73	n/a	n/a	250.00	5.0
GREEN ARROW DOUG	040	GLDD	S	20,000	4.46	n/a	n/a	1,000.00	5.0
TRUSTCO/SUNTRUST	040	GOOG	B	6	543.91	n/a	n/a	0.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	GR	B	41	68.05	n/a	29-Jan	1.61	4.0
TRUSTCO/SUNTRUST	040	GS	B	22	158.91	n/a	13-Feb	0.86	3.9
BNP PARIBAS SEC	040	GYMB	S	5,000	44.97	n/a	26-Feb	200.00	4.0
TRUSTCO/SUNTRUST	040	HAL	S	42,094	31.40	n/a	n/a	1,641.67	3.9
TRUSTCO/SUNTRUST	040	HD	B	105	31.36	n/a	23-Feb	4.10	3.9
GREEN ARROW DOUG	040	HEW	B	5,000	39.25	n/a	n/a	250.00	5.0
TRUSTCO/SUNTRUST	040	IBM	B	33	127.83	n/a	n/a	1.29	4.0
AVESTA CAP	229	INTC	B	100,000	20.67	n/a	n/a	3,000.00	3.0
TRUSTCO/SUNTRUST	040	INTC	B	148	20.67	n/a	n/a	5.77	3.9
CSFB GLOBAL PROPRIETARY	041	IP	B	408,300	24.99	n/a	3-Feb	20,415.00	5.0
GCORE MANAGEMENT	041	IP	B	40,000	24.90	n/a	3-Feb	2,000.00	5.0
MILLENIUM PARTNERS	028	IP	B	20,000	24.99	n/a	3-Feb	600.00	3.0
RBC CAPITAL MARKETS	040	IP	B	15,000	24.84	n/a	3-Feb	600.00	4.0
SCOPUS FUND	041	IP	B	64,675	25.02	n/a	3-Feb	3,233.75	5.0
TRUSTCO/SUNTRUST	040	IP	B	160	25.05	n/a	3-Feb	6.24	3.9
SANDLER CAPITAL	226	IT	S	60,000	24.44	n/a	n/a	3,600.00	6.0
ROYCE TRADING	216	IVZ	B	7,300	20.00	n/a	2-Mar	365.00	5.0
GREEN ARROW DOUG	040	IWM	B	10,000	64.88	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	JCP	B	50,000	28.85	n/a	26-Feb	2,000.00	4.0
TRUSTCO/SUNTRUST	040	JNJ	B	75	63.53	n/a	n/a	2.93	3.9
TRUSTCO/SUNTRUST	040	JOYG	B	79	52.02	n/a	22-Feb	3.09	3.9
AVESTA CAP	229	JPM	S	100,000	41.61	n/a	26-Feb	3,000.00	3.0
TROUBH PART	067	JPM	SS	50,000	41.81	n/a	26-Feb	2,500.00	5.0
TRUSTCO/SUNTRUST	040	JPM	B	134	41.57	n/a	26-Feb	5.23	3.9
RBC CAPITAL MARKETS	040	JWN	B	5,000	37.87	n/a	26-Feb	200.00	4.0
NEWLAND CAPITAL MGT	067	KRA	S	6,100	13.90	n/a	n/a	244.00	4.0
FORTRESS	039	KR	B	220,000	22.74	n/a	n/a	4,400.00	2.0
JP MORGAN VENTURES	046	KR	B	15,000	22.62	n/a	n/a	750.00	5.0
EXIS CAPITAL	044	KSS	SS	5,000	53.26	n/a	26-Feb	250.00	5.0
TRUSTCO/SUNTRUST	040	K	B	62	52.63	n/a	n/a	2.42	4.0
EXIS CAPITAL	044	LEAP	B	20,000	14.20	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	214	LF	S	60,000	5.71	n/a	n/a	2,400.00	4.0
TRUSTCO/SUNTRUST	040	LLL	B	27	92.49	n/a	n/a	1.06	4.0
PECONIC PARTNERS	036	LMT	C	150,000	79.52	n/a	2-Mar	7,500.00	5.0
LAGRANGE CAP ADV	048	LULU	SS	5,000	31.00	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EGS ASSOCIATES LP	091	LVS	B	3,500	17.25	n/a	2-Mar	210.00	6.0
SCOPUS FUND	041	LVS	B	100,000	17.30	n/a	2-Mar	5,000.00	5.0
THIRD COAST CAPITAL	035	LVS	B	25,000	17.25	n/a	2-Mar	1,250.00	5.0
GREEN ARROW DOUG	040	LXK	S	10,000	34.99	n/a	n/a	500.00	5.0
TRUSTCO/SUNTRUST	040	MCD	B	78	64.03	n/a	9-Feb	3.05	3.9
TRUSTCO/SUNTRUST	040	MET	B	102	36.88	n/a	n/a	3.98	3.9
BROADARCH CAP/OLD NEWC	070	MGM	S	3,100	10.74	n/a	18-Feb	124.00	4.0
GREEN ARROW DOUG	040	MIDD	SS	3,284	47.99	n/a	4-Jan	164.20	5.0
TRUSTCO/SUNTRUST	040	MSFT	B	272	28.50	n/a	n/a	10.62	3.9
EXIS CAPITAL	044	M	B	10,000	19.85	n/a	26-Feb	500.00	5.0
TRUSTCO/SUNTRUST	040	NIHD	B	108	38.24	n/a	n/a	4.22	3.9
CASTLE ARK	031	NTAP	B	64,400	31.18	n/a	n/a	3,864.00	6.0
TRUSTCO/SUNTRUST	040	NUE	B	57	43.01	n/a	n/a	2.22	3.9
TRUSTCO/SUNTRUST	040	OXY	B	63	81.23	n/a	n/a	2.45	3.9
COHE & STEERS	041	PCL	S	88,445	36.14	n/a	2-Feb	3,537.80	4.0
TRUSTCO/SUNTRUST	040	PEP	B	94	63.92	n/a	n/a	3.67	3.9

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	PFE	B	317	17.65	n/a	n/a	12.37	3.9
TRUSTCO/SUNTRUST	040	PG	B	68	63.83	n/a	22-Feb	2.65	3.9
CATAPULT	040	PH	S	13,000	62.10	n/a	20-Jan	650.00	5.0
CAERUS GLOBAL	041	PIR	S	18,500	6.86	n/a	n/a	555.00	3.0
GOLD SACHS SPECIAL SIT	030	PLCE	S	100,000	39.52	n/a	2-Mar	5,000.00	5.0
METROPOLITAN CAPITAL	044	PLCE	S	13,100	40.01	n/a	2-Mar	655.00	5.0
TRUSTCO/SUNTRUST	040	PM	B	87	50.03	n/a	n/a	3.40	3.9
CATAPULT	040	POT	S	5,000	115.27	n/a	n/a	250.00	5.0
ARMATURE CAPITAL	041	PTV	SS	40,000	24.65	n/a	n/a	1,600.00	4.0
TRUSTCO/SUNTRUST	040	PX	B	29	77.03	n/a	18-Feb	1.13	4.0
TRUSTCO/SUNTRUST	040	RTN	B	70	56.92	n/a	2-Feb	2.73	3.9
MACKLOWE ASSET MGMT	041	SPY	B	40,000	112.43	n/a	n/a	1,600.00	4.0
MILLRACE FUND LP	028	SUP	B	300	14.85	n/a	1-Mar	12.00	4.0
TRUSTCO/SUNTRUST	040	SYMC	B	186	16.66	n/a	n/a	7.24	3.9
MATRIX ASSET ADV.	036	TEL	S	13,300	26.18	n/a	n/a	532.00	4.0
JP MORGAN VENTURES	046	TGT	B	10,000	51.73	n/a	23-Feb	500.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	TGT	B	63	51.69	n/a	23-Feb	2.45	3.9
COOPER CREEK PART	028	TIN	S	10,000	19.44	n/a	9-Feb	400.00	4.0
TRUSTCO/SUNTRUST	040	TMO	B	71	49.43	n/a	n/a	2.77	3.9
COUGAR TRADING	044	TM	B	10,000	74.63	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	TNC	SS	10,000	24.99	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	TRA	S	30,000	45.94	n/a	n/a	900.00	3.0
SEVEN LOCKS CAPITAL	067	TRA	S	30,000	46.56	n/a	n/a	900.00	3.0
TRUSTCO/SUNTRUST	040	TRV	B	60	53.41	n/a	n/a	2.34	3.9
TROUBH PART	067	TRW	SS	25,000	26.46	n/a	n/a	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	TXT	SS	25,000	20.47	n/a	n/a	1,250.00	5.0
MATRIX ASSET ADV.	036	TYC	S	20,000	37.03	n/a	29-Jan	800.00	4.0
TRUSTCO/SUNTRUST	040	T	B	117	24.82	n/a	n/a	4.57	3.9
TRUSTCO/SUNTRUST	040	UNH	B	85	34.05	n/a	n/a	3.31	3.9
TRUSTCO/SUNTRUST	040	UTX	B	50	69.81	n/a	n/a	1.96	4.0
RBC CAPITAL MARKETS	040	VALE	SS	20,000	29.55	n/a	n/a	800.00	4.0
TRUSTCO/SUNTRUST	040	WFC	B	156	28.01	n/a	21-Jan	6.08	3.9

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	WMB	B	176	22.37	n/a	n/a	6.86	3.9
BUCK CAPITAL MGMT	001	WRC	S	46,000	43.01	n/a	2-Mar	1,840.00	4.0
GREEN ARROW DOUG	040	WTS	SS	4,850	29.99	n/a	n/a	242.50	5.0
TRUSTCO/SUNTRUST	040	WU	B	189	15.83	n/a	n/a	7.36	3.9
TRUSTCO/SUNTRUST	040	XEL	B	181	21.24	n/a	n/a	7.06	3.9
GREEN ARROW DOUG	040	XLI	B	15,000	29.30	n/a	n/a	750.00	5.0
MACKLOWE ASSET MGMT	041	XRT	SS	120,000	38.15	n/a	n/a	4,800.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>168,315.45</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/25	CENTURION PARTNERS (CENTBSPT)	041	AEO	B	30,000	17.00	n/a	26-Feb	1500.00 5.0
AO,CRT	02/25	CENTURION PARTNERS (CENTBSPT)	041	AEO	B	30,000	17.00	n/a	26-Feb	1200.00 4.0
CRT	03/02	FULLER & THALER ASSET (FULLROBUS2)	033	DPZ	B	9,100	13.33	n/a	2-Mar	273.00 3.0
AO,CXL	02/25	ADAGE CAPITAL MGMT (ADAGLONG)	030	FL	B	209,361	12.66	n/a	2-Mar	8374.44 4.0
AO,CRT	02/25	ADAGE CAPITAL MGMT (ADAGLONG)	030	FL	B	209,361	12.66	n/a	2-Mar	6280.83 3.0
CRT	03/02	TROUBH PART (TROUGOLD)	067	JPM	SS	50,000	41.81	n/a	26-Feb	2500.00 5.0
CRT	03/02	FORTRESS (FORTGS)	039	KR	B	220,000	22.74	n/a	n/a	4400.00 2.0
AO,	03/01	1798 CAPITAL MGMT (1798MS)	040	PXP	B	22,000	33.60	n/a	n/a	1100.00 5.0
CRT	03/02	COUGAR TRADING (COUGPB MS)	044	TM	B	10,000	74.63	n/a	n/a	500.00 5.0
CRT	03/02	TROUBH PART (TROUGOLD)	067	TRW	SS	25,000	26.46	n/a	n/a	1250.00 5.0
AO,	03/01	PARTNER REINSURANCE (PARRPUSDEQ)	033	WMT	B	14,850	53.87	n/a	18-Feb	594.00 4.0
AO,	03/01	PARTNER REINSURANCE (PARRPELCEQ)	033	WMT	B	3,850	53.87	n/a	18-Feb	154.00 4.0

**TOTAL (AO, CXL, CRT) :****8,377.39**

TOTAL (Trade Date) :

168,315.45

TOTAL (AO, CXL, CRT) :

8,377.39

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TOTAL (RUN DATE) / NFS:

176,692.84

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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