



Daily Compliance Activity Report

Trade Date: 12/09/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AA	S	17,750	12.88	n/a	n/a	887.50	5.0
NEUBERGER BERMAN	036	ABB	S	27,500	17.75	n/a	n/a	1,237.50	4.5
SONTERRA CAP	041	ACI	SS	15,000	20.04	n/a	n/a	600.00	4.0
ROTHSCHILD ASSET	040	AIMC	B	5,769	11.55	n/a	n/a	259.67	4.5
BUCK CAPITAL MGMT	001	ANF	S	10,000	33.84	n/a	4-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	31.52	n/a	4-Dec	400.00	4.0
HUNTER GLOBAL INVESTOR	067	BBBY	S	26,400	37.83	n/a	n/a	1,056.00	4.0
SOROS	036	BVF	B	37,000	13.50	n/a	n/a	1,480.00	4.0
HG VORA CAP MGMT LLC	025	BYD	SS	20,000	8.28	n/a	28-Oct	800.00	4.0
DIAMONDBACK CAP MGMT	232	BZ	S	140,000	5.12	n/a	n/a	5,000.00	4.0
SMITH MGMT LLC	029	BZ	B	325,000	5.09	n/a	n/a	13,000.00	4.0
SOROS	036	CAL	S	200,000	15.51	n/a	n/a	8,000.00	4.0
HUNTER GLOBAL INVESTOR	067	CTSH	B	23,000	43.70	n/a	n/a	920.00	4.0
ROYAL CAPITAL MGMT	039	CVS	B	100,000	30.85	n/a	n/a	5,000.00	5.0
SANDLER O'NEILL ASSET	031	C	S	100,000	3.83	n/a	4-Dec	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	EQIX	B	243	101.50	n/a	n/a	9.72	4.0
LAGRANGE CAP ADV	048	EXXI	B	20,000	1.86	n/a	n/a	600.00	3.0
ROYCE TRADING	216	FCS	S	10,000	9.28	n/a	n/a	500.00	5.0
TRUSTCO/SUNTRUST	040	FLR	B	16,900	40.60	n/a	n/a	659.11	3.9
BRANDWINE	028	FOR	S	70,000	19.58	n/a	8-Dec	2,800.00	4.0
SCHOTTENFELD ASSOC	041	FOR	S	10,000	19.07	n/a	8-Dec	300.00	3.0
EXIS CAPITAL	044	GCO	B	10,000	23.77	n/a	n/a	500.00	5.0
MILLENIUM PARTNERS	028	GE	B	75,000	15.59	n/a	n/a	3,000.00	4.0
ROYCE TRADING	216	GFF	S	5,000	11.63	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GPS	S	60,000	20.83	n/a	n/a	2,400.00	4.0
ARAGON GLOBAL	041	IBM	B	2,204	127.61	n/a	n/a	110.20	5.0
LAGRANGE CAP ADV	048	ICON	B	10,000	11.35	n/a	n/a	500.00	5.0
HG VORA CAP MGMT LLC	025	ISLE	SS	4,000	7.69	n/a	n/a	160.00	4.0
TRELLUS PARTNERS LP	028	ITW	B	20,000	47.75	n/a	18-Nov	1,000.00	5.0
ARAGON GLOBAL	041	JCG	S	7,500	43.15	n/a	n/a	375.00	5.0
THE BOSTON COMPANY	039	KCP	S	32,640	8.30	n/a	n/a	1,305.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	LAD	B	10,000	7.36	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	LM	S	25,000	28.18	n/a	9-Dec	1,250.00	5.0
NEUBERGER BERMAN	036	MATW	S	9,900	34.25	n/a	n/a	445.50	4.5
HG VORA CAP MGMT LLC	025	MCRI	SS	9,408	7.15	n/a	n/a	376.32	4.0
ST OF MICHIAN	047	MGA	S	67,900	47.52	n/a	n/a	2,037.00	3.0
BRANDWINE	028	MS	B	13,400	30.45	n/a	18-Nov	536.00	4.0
BUCK CAPITAL MGMT	001	MW	B	72,140	18.87	n/a	n/a	2,885.60	4.0
COBALT	041	MW	S	51,900	19.02	n/a	n/a	2,595.00	5.0
EXIS CAPITAL	044	M	S	20,000	16.12	n/a	4-Dec	1,000.00	5.0
SOROS	036	NOC	SS	50,000	54.22	n/a	23-Oct	2,000.00	4.0
ROYCE TRADING	216	NR	S	5,000	3.39	n/a	n/a	150.00	3.0
PAW PARTNERS	045	NUAN	S	25,000	14.93	n/a	n/a	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	NUE	C	20,000	43.13	n/a	n/a	1,000.00	5.0
TRUSTCO/SUNTRUST	040	PBRA	B	21,154	42.95	n/a	n/a	825.01	3.9
HARVEST MGMT	039	PG	B	35,000	62.29	n/a	20-Nov	1,750.00	5.0
HG VORA CAP MGMT LLC	025	PNK	SS	9,000	10.25	n/a	n/a	360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PSS	S	10,000	22.46	n/a	n/a	400.00	4.0
TRUSTCO/SUNTRUST	040	RF	B	239,200	5.58	n/a	n/a	9,328.80	3.9
NEUBERGER BERMAN	036	ROL	B	6,200	19.05	n/a	n/a	279.00	4.5
NEUBERGER BERMAN	036	RSTI	S	7,703	22.84	n/a	n/a	346.64	4.5
CRAMER ROSENTHAL/SCOTT	012	SM	SS	8,700	30.98	n/a	n/a	348.00	4.0
COOKBIELER	028	STC	B	11,828	10.93	n/a	n/a	473.12	4.0
TRUSTCO/SUNTRUST	040	SVU	B	12,500	12.91	n/a	n/a	487.50	3.9
ST OF MICHIAN	047	SWY	S	390,600	20.97	n/a	n/a	11,718.00	3.0
ST OF MICHIAN	047	TD	S	85,000	61.16	n/a	n/a	2,550.00	3.0
JP MORGAN VENTURES	046	URBN	B	10,000	32.06	n/a	n/a	300.00	3.0
PAW PARTNERS	045	UTEK	S	15,000	14.63	n/a	n/a	750.00	5.0
NWQ INVESTMENT MGMT CO	048	VIAB	S	9,000	29.71	n/a	n/a	360.00	4.0
NWQ INVESTMENT MGMT CO	048	VZ	S	15,900	33.21	n/a	n/a	636.00	4.0
SOROS	036	VZ	B	60,600	33.05	n/a	n/a	2,424.00	4.0
DIAMONDBACK CAP MGMT	232	WDR	B	10,000	28.49	n/a	4-Dec	500.00	5.0
BRANDWINE	028	WMT	B	39,710	54.02	n/a	1-Dec	1,588.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT	039	WMT	SS	40,000	53.97	n/a	1-Dec	2,000.00	5.0
TOTAL (Trade Date) :								109,960.19	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	12/08	PAW PARTNERS (PAWPBONY)	045	AKAM	S	10,000	25.16	n/a	n/a	500.00	5.0
AO,CXL	12/08	PAW PARTNERS (PAWPMORGAN)	045	AKAM	S	10,000	25.16	n/a	n/a	500.00	5.0
AO,CXL	12/07	LOOMIS SALES/BOSTON (LOOMB10120)	036	KSS	S	243	54.52	n/a	4-Dec	0.00	0.0
AO,	12/07	LOOMIS SALES/BOSTON (LOOMB10120)	036	KSS	S	243	54.52	n/a	4-Dec	9.72	4.0
AO,CXL	12/07	LOOMIS SALES/BOSTON (LOOM760512)	036	KSS	S	17,660	54.52	n/a	4-Dec	0.00	0.0
AO,	12/07	LOOMIS SALES/BOSTON (LOOM760512)	036	KSS	S	17,660	54.52	n/a	4-Dec	706.40	4.0
AO,	12/08	CASTLEROCK (CASTMERRIL)	040	RRC	S	40,152	43.30	n/a	1-Dec	1606.08	4.0
AO,	12/08	CASTLEROCK (CASTUBS)	040	RRC	S	119,835	43.30	n/a	1-Dec	4793.40	4.0
AO,CRT	12/08	PAW PARTNERS (PAWPBONY)	045	UTEK	S	10,000	14.72	n/a	n/a	500.00	5.0
AO,CXL	12/08	PAW PARTNERS (PAWPMORGAN)	045	UTEK	S	10,000	14.72	n/a	n/a	500.00	5.0
TOTAL (AO, CXL, CRT) :										7,115.60	
TOTAL (Trade Date) :										109,960.19	
TOTAL (AO, CXL, CRT) :										7,115.60	
TOTAL (RUN DATE) / NFS :										117,075.79	

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