



Daily Compliance Activity Report

Trade Date: 01/19/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	3,250	211.96	n/a	n/a	97.50	3.0
JP MORGAN VENTURES	046	AEO	S	85,000	17.07	n/a	8-Jan	4,250.00	5.0
EPOCH INV MGMT	030	AET	B	27,350	32.97	n/a	n/a	820.50	3.0
EPOCH INV MGMT	030	AMP	B	14,850	41.90	n/a	n/a	445.50	3.0
f ALICE BEEBE LONGLEY	FID	AMZN	B	100	125.27	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	AOS	B	15,952	44.65	n/a	23-Nov	622.12	3.9
EPOCH INV MGMT	030	APC	B	11,700	65.78	n/a	19-Jan	351.00	3.0
f KAREN F LEDDY	FID	ARGN	S	1100	8.70	n/a	29-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	34.42	n/a	8-Jan	400.00	4.0
f JOEL GIFFORD TISS	FID	ASTE	S	2000	29.50	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	AXP	S	100	43.00	n/a	15-Jan	0.00	0.0
TROUBH PART	067	BAC	B	25,000	16.33	n/a	14-Jan	1,250.00	5.0
f ANDREW SINCLAIR	FID	BGZ	B	500	15.61	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	BGZ	S	7000	15.70	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	255	BRCD	B	18,100	7.83	n/a	n/a	724.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f FRANCIS MICHAEL MCCA	FID	BWS	B	400	12.37	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BYI	S	100	46.08	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	CCE	B	10,794	21.20	n/a	n/a	431.76	4.0
CATAPULT	040	CE	B	15,000	33.03	n/a	n/a	750.00	5.0
NEUBERGER BERMAN	036	CPLA	S	16,400	74.09	n/a	n/a	656.00	4.0
BROADARCH CAP/OLD NEWC	255	CSCO	B	5,700	24.80	n/a	n/a	228.00	4.0
SANDLER O'NEILL ASSET	031	C	B	50,000	3.55	n/a	19-Jan	1,500.00	3.0
BROADARCH CAP/OLD NEWC	255	DAN	B	6,000	11.74	n/a	6-Jan	240.00	4.0
RBC CAPITAL MARKETS	040	DBRN	B	5,000	25.10	n/a	n/a	200.00	4.0
GRUSS CAPITAL	045	DEI	S	10,000	15.02	n/a	n/a	300.00	3.0
GRUSS CAPITAL	045	DEL	SS	1,000	53.23	n/a	n/a	30.00	3.0
PLATTE RIVER CAPITAL	240	DE	S	10,500	57.09	n/a	30-Nov	420.00	4.0
SANDLER O'NEILL ASSET	031	DFS	B	32,400	14.70	n/a	15-Jan	1,620.00	5.0
EPOCH INV MGMT	030	DHR	B	9,400	76.74	n/a	n/a	282.00	3.0
B BUCK CAPITAL MGMT		DIA	C	80,000	107.14	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f NEIL M STRATTON	FID	DKR	S	500	23.50	n/a	n/a	0.00	0.0
SAC TRADING TOM LEDDY	035	DLTR	SS	25,000	49.58	n/a	4-Jan	875.00	3.5
EPOCH INV MGMT	030	DVA	B	13,900	62.05	n/a	n/a	417.00	3.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.81	n/a	n/a	600.00	6.0
f MANNY I KORMAN	FID	FAZ	S	7000	17.16	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	FC	B	1000	5.90	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	FL	B	200	11.92	n/a	19-Jan	0.00	0.0
TRUSTCO/SUNTRUST	040	FL	B	13,795	12.19	n/a	19-Jan	538.02	3.9
f FRANCIS MICHAEL MCCA	FID	FOR	B	450	20.89	n/a	4-Jan	0.00	0.0
BROADARCH CAP/OLD NEWC	255	GD	B	1,000	70.48	n/a	4-Jan	40.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	42.70	n/a	n/a	400.00	4.0
MTB INV ADV	034	GMCR	B	10,375	82.90	n/a	n/a	518.75	5.0
B BUCK CAPITAL MGMT		GRMN	SS	10,000	36.93	n/a	n/a	non-brg	4.0
SPARTA ASSET MGMT	035	GYMB	B	17,305	42.17	n/a	8-Jan	519.15	3.0
B BUCK CAPITAL MGMT		HBI	B	10,000	23.85	n/a	n/a	non-brg	4.0
NEW JERSEY DIV OF INV.	030	HEV	B	20,000	5.08	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		HGG	S	26,000	20.46	n/a	n/a	non-brg 4.0
BROADARCH CAP/OLD NEWC	255	HON	B	3,300	42.94	n/a	16-Dec	132.00 4.0
BROADARCH CAP/OLD NEWC	255	HPQ	B	3,700	52.63	n/a	n/a	148.00 4.0
NEW JERSEY DIV OF INV.	030	HSY	S	30,000	37.44	n/a	n/a	1,200.00 4.0
B BUCK CAPITAL MGMT		ICON	S	125,900	12.72	n/a	n/a	non-brg 4.0
SANDLER CAPITAL	226	IFF	B	50,000	42.47	n/a	13-Jan	3,000.00 6.0
RBC CAPITAL MARKETS	040	IGT	SS	10,000	20.20	n/a	13-Jan	400.00 4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	26.68	n/a	7-Jan	2,500.00 5.0
BROADARCH CAP/OLD NEWC	255	IR	B	3,800	37.73	n/a	4-Jan	152.00 4.0
TRELLUS PARTNERS LP	028	ITW	B	30,000	48.49	n/a	4-Jan	1,500.00 5.0
M&I FUNDS	047	IVZ	S	7,404	22.93	n/a	19-Jan	296.16 4.0
B BUCK CAPITAL MGMT		IWM	C	140,000	64.78	n/a	n/a	non-brg 0.8
B BUCK CAPITAL MGMT		IWO	C	105,000	70.40	n/a	n/a	non-brg 0.8
B BUCK CAPITAL MGMT		JACK	B	10,000	20.56	n/a	n/a	non-brg 4.0
ADAGE CAPITAL MGMT	030	JCP	B	80,400	26.20	n/a	8-Jan	3,216.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	JCP	SS	250,000	26.18	n/a	8-Jan	10,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	16.61	n/a	4-Jan	800.00	4.0
BROADARCH CAP/OLD NEWC	255	JPM	B	3,300	43.29	n/a	15-Jan	132.00	4.0
THE JAY GOLDMAN	028	JWN	S	30,000	36.30	n/a	8-Jan	1,200.00	4.0
NEUBERGER BERMAN	036	KBW	S	5,900	27.74	n/a	n/a	236.00	4.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	51.70	n/a	8-Jan	500.00	5.0
TRELLUS PARTNERS LP	028	KSS	B	30,000	51.65	n/a	8-Jan	1,500.00	5.0
TRELLUS PARTNERS LP	028	LEA	B	15,000	71.12	n/a	8-Jan	750.00	5.0
EPOCH INV MGMT	030	LH	B	9,750	76.81	n/a	n/a	292.50	3.0
BROADARCH CAP/OLD NEWC	255	LII	B	1,800	39.78	n/a	n/a	72.00	4.0
NEUBERGER BERMAN	036	MET	B	33,990	39.37	n/a	n/a	1,359.60	4.0
f KAREN F LEDDY	FID	MGA	B	500	58.04	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	MOS	B	10,000	62.96	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	255	MSM	B	3,000	46.90	n/a	n/a	120.00	4.0
AVESTA CAP	229	MS	B	100,000	31.06	n/a	14-Jan	3,000.00	3.0
BASIX	033	MTW	B	23,000	13.34	n/a	12-Jan	690.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	NCR	S	50,000	12.52	n/a	n/a	2,000.00	4.0
BROADARCH CAP/OLD NEWC	255	OXY	B	1,200	78.75	n/a	n/a	48.00	4.0
CAPITAL GROWTH MGMT.	241	PCU	S	50,000	33.26	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		PH	S	20,000	61.72	n/a	4-Jan	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	PVH	B	1,900	43.45	n/a	12-Jan	76.00	4.0
NEUBERGER BERMAN	036	RRR	S	30,000	7.38	n/a	4-Jan	600.00	2.0
NEUBERGER BERMAN	036	SLXP	B	72,000	28.78	n/a	n/a	2,880.00	4.0
f STRATTON PAR TNERSHI	FID	SMED	S	99	9.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPY	C	70,000	114.97	n/a	n/a	non-brg	0.8
SANDLER O'NEILL ASSET	031	STT	B	50,000	42.88	n/a	14-Jan	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	STX	S	34,900	18.14	n/a	n/a	1,396.00	4.0
DC CAPITAL	044	TEN	S	25,000	19.27	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	THO	B	8,730	31.45	n/a	n/a	349.20	4.0
SCOPUS FUND	041	TIN	SS	10,000	20.70	n/a	7-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	40,000	9.97	n/a	n/a	1,200.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARCHON CAPITAL	035	VAR	S	13,000	49.20	n/a	n/a	390.00	3.0
NEUBERGER BERMAN	036	VRSK	S	114,200	27.99	n/a	n/a	4,568.00	4.0
f JASON ERIC COHEN	FID	VTG	B	1050	1.51	n/a	n/a	0.00	0.0
AVESTA CAP	229	WFC	B	100,000	28.36	n/a	14-Jan	3,000.00	3.0
CARLSON CAPITAL	203	WFC	S	70,000	28.31	n/a	14-Jan	2,800.00	4.0
GALT INVESTMENT	041	WTSLA	S	25,000	3.50	n/a	n/a	1,000.00	4.0
HIGHBRIDGE CAP	041	WY	B	17,000	44.58	n/a	4-Jan	680.00	4.0
CONIFER/ISF	025	XRX	B	5,000	8.97	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	ZUMZ	SS	20,000	13.53	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date):								82,909.76	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/15	BUCK CAPITAL MGMT	001	ARO	B	10,000	34.81	n/a	8-Jan	400.00 4.0
AO,CXL	01/15	BUCK CAPITAL MGMT	001	ARO	B	10,000	34.81	n/a	8-Jan	400.00 4.0
AO,CXL	01/14	FORD FDN.	032	COF	S	50,000	41.58	n/a	15-Jan	2500.00 5.0
AO,CRT	01/14	FORD FDN.	032	COF	S	50,000	41.58	n/a	15-Jan	2000.00 4.0
AO,CXL	01/15	JMP ASSET MGMT	210	GCO	S	6,976	24.97	n/a	n/a	348.80 5.0
AO,CRT	01/15	JMP ASSET MGMT	210	GCO	S	6,976	24.97	n/a	n/a	348.80 5.0
AO,CRT	01/15	HUNTER GLOBAL INVESTOR	067	INTC	B	100,000	20.86	n/a	n/a	4000.00 4.0
AO,CXL	01/15	HUNTER GLOBAL INVESTOR	067	INTC	B	100,000	20.86	n/a	n/a	4000.00 4.0

TOTAL (AO, CXL, CRT) :**-500.00**

TOTAL (Trade Date) :

82,909.76

TOTAL (AO, CXL, CRT) :

-500.00

TOTAL (RUN DATE) / NFS:**82,409.76****MRI Securities with Trade Activity on 19-Jan.
NONE**

MRI Securities without Trade Activity on 19-Jan.

TYC

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 20%

YTD = 20%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)