



Daily Compliance Activity Report

Trade Date: 12/10/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------------|------------|------------|-----------|---------------|--------------|------------|--------------|-----------------|------------|
| ROYCE TRADING | 216 | AAI | B | 10,400 | 5.00 | n/a | n/a | 520.00 | 5.0 |
| HARBORWATCH/DIAMBACK | 232 | ABB | SS | 50,000 | 17.90 | n/a | n/a | 2,500.00 | 5.0 |
| STRAUSS ASSET MGMT | 040 | ADI | B | 12,500 | 30.44 | n/a | n/a | 500.00 | 4.0 |
| EGS ASSOCIATES LP | 091 | AEO | B | 3,000 | 15.87 | n/a | 4-Dec | 180.00 | 6.0 |
| EXIS CAPITAL | 044 | AEO | S | 16,200 | 16.01 | n/a | 4-Dec | 810.00 | 5.0 |
| GLOBAL 56 LLC | 060 | AEO | S | 2,500 | 15.98 | n/a | 4-Dec | 100.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANF | S | 20,000 | 35.23 | n/a | 4-Dec | 800.00 | 4.0 |
| APEX CAPITAL MGMT. | 091 | ANN | SS | 50,000 | 15.40 | n/a | n/a | 2,000.00 | 4.0 |
| JP MORGAN VENTURES | 046 | AXL | B | 100,000 | 7.18 | n/a | 2-Nov | 3,000.00 | 3.0 |
| LAGRANGE CAP ADV | 048 | AXL | B | 10,000 | 7.10 | n/a | 2-Nov | 500.00 | 5.0 |
| WOOSTER CAPITAL | 035 | AXL | B | 100,000 | 7.19 | n/a | 2-Nov | 5,000.00 | 5.0 |
| TRUSTCO/SUNTRUST | 040 | BBOX | B | 1,400 | 29.02 | n/a | n/a | 54.60 | 3.9 |
| MTB INV ADV | 034 | BBY | S | 21,059 | 43.26 | n/a | n/a | 1,052.95 | 5.0 |
| TRUSTCO/SUNTRUST | 040 | BBY | S | 264,350 | 43.18 | n/a | n/a | 10,309.65 | 3.9 |
| ST OF MICHIAN | 047 | BEN | S | 88,000 | 109.56 | n/a | 10-Dec | 2,640.00 | 3.0 |
| THE JAY GOLDMAN | 028 | BJ | B | 15,000 | 32.31 | n/a | n/a | 600.00 | 4.0 |
| SMITH MGMT LLC | 029 | BZ | B | 200,000 | 4.91 | n/a | n/a | 8,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| ARMATURE CAPITAL | 041 | CAL | S | 25,000 | 16.08 | n/a | n/a | 1,000.00 | 4.0 |
| TRUSTCO/SUNTRUST | 040 | CKR | B | 1,400 | 8.13 | n/a | n/a | 54.60 | 3.9 |
| CATAPULT | 040 | CLD | B | 25,000 | 12.88 | n/a | n/a | 1,250.00 | 5.0 |
| ROSEDALE CAPITAL | 046 | COG | S | 10,000 | 37.53 | n/a | 1-Dec | 500.00 | 5.0 |
| EXIS CAPITAL | 044 | COH | SS | 5,000 | 36.15 | n/a | 21-Oct | 250.00 | 5.0 |
| BERMAN CAPITAL MGMT | 046 | COST | SS | 10,000 | 58.32 | n/a | n/a | 300.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | COST | S | 15,000 | 58.62 | n/a | n/a | 600.00 | 4.0 |
| HARBORWATCH/DIAMBACK | 232 | CSX | SS | 30,000 | 48.71 | n/a | n/a | 1,500.00 | 5.0 |
| LOMBARDIA CAP MGMT | 048 | DBRN | S | 12,255 | 20.91 | n/a | n/a | 595.61 | 5.0 |
| REINHART & MAHONEY | 031 | DBTK | B | 8,450 | 9.76 | n/a | n/a | 422.50 | 5.0 |
| AVESTA CAP | 229 | DIS | B | 200,000 | 31.14 | n/a | n/a | 8,000.00 | 4.0 |
| TRUSTCO/SUNTRUST | 040 | DOX | S | 35,050 | 26.91 | n/a | n/a | 1,366.95 | 3.9 |
| LOMBARDIA CAP MGMT | 048 | DVR | B | 45,038 | 7.06 | n/a | n/a | 2,187.78 | 5.0 |
| LOMBARDIA CAP MGMT | 048 | ESL | S | 10,691 | 41.28 | n/a | n/a | 519.37 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | ETFC | B | 10,000 | 1.64 | n/a | n/a | 600.00 | 6.0 |
| RBC CAPITAL MARKETS | 040 | EV | SS | 50,000 | 29.41 | n/a | 4-Dec | 2,000.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|---------------|------------|
| HARBORWATCH/DIAMBACK | 232 | FAST | S | 25,000 | 38.98 | n/a | n/a | 1,250.00 | 5.0 |
| WEISS PECK | 040 | FL | B | 126,550 | 9.70 | n/a | 23-Nov | 5,062.00 | 4.0 |
| BRANDWINE | 028 | FOR | S | 6,151 | 19.88 | n/a | 8-Dec | 246.04 | 4.0 |
| NICOLAS APPELEGATE | 048 | FOR | B | 15,000 | 20.29 | n/a | 8-Dec | 600.00 | 4.0 |
| DAVENPORT CAPITAL | 070 | F | B | 10,000 | 8.95 | n/a | 2-Dec | 600.00 | 6.0 |
| EMERSON CAPITAL MGMT | 048 | GCI | SS | 10,000 | 12.79 | n/a | n/a | 400.00 | 4.0 |
| EXIS CAPITAL | 044 | GES | SS | 5,000 | 43.25 | n/a | n/a | 155.00 | 2.5 |
| ST OF MICHIAN | 047 | GS | B | 38,000 | 166.16 | n/a | 18-Nov | 1,140.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | HBI | S | 10,000 | 25.32 | n/a | n/a | 400.00 | 4.0 |
| STERLING JOHNSTON | 035 | HBI | B | 3,250 | 25.46 | n/a | n/a | 130.00 | 4.0 |
| LOMBARDIA CAP MGMT | 048 | HLF | S | 7,595 | 42.82 | n/a | n/a | 368.95 | 5.0 |
| SCHOTTENFELD ASSOC | 041 | ITW | B | 25,000 | 47.98 | n/a | 18-Nov | 750.00 | 3.0 |
| ST OF MICHIAN | 047 | IVZ | B | 120,000 | 21.71 | n/a | 10-Dec | 3,600.00 | 3.0 |
| LOMBARDIA CAP MGMT | 048 | JAKK | B | 27,599 | 11.20 | n/a | n/a | 1,341.13 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | JPM | SS | 15,000 | 40.70 | n/a | 4-Dec | 750.00 | 5.0 |
| EXIS CAPITAL | 044 | KSS | S | 5,000 | 54.51 | n/a | 4-Dec | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| NEUBERGER BERMAN | 036 | MATW | S | 6,500 | 34.26 | n/a | n/a | 292.50 | 4.5 |
| BUCK CAPITAL MGMT | 001 | MFB | S | 20,000 | 15.70 | n/a | n/a | 800.00 | 4.0 |
| CAERUS GLOBAL | 041 | MPXL | S | 25,000 | 3.92 | n/a | 18-Nov | 1,000.00 | 4.0 |
| ROYCE TRADING | 216 | MSO | B | 10,000 | 5.13 | n/a | n/a | 300.00 | 3.0 |
| DIAMONDBACK CAP MGMT | 232 | MS | C | 115,310 | 30.27 | n/a | 18-Nov | 5,765.50 | 5.0 |
| TROUBH PART | 067 | M | S | 25,000 | 16.00 | n/a | 4-Dec | 1,250.00 | 5.0 |
| TOCQUEVILLE | 067 | NCS | B | 28,800 | 1.70 | n/a | n/a | 864.00 | 3.0 |
| TRUSTCO/SUNTRUST | 040 | NOK | B | 25,000 | 12.68 | n/a | n/a | 975.00 | 3.9 |
| LISTED ERR | 099 | NOK | S | 25,000 | 12.65 | n/a | n/a | 0.00 | 0.0 |
| TRUSTCO/SUNTRUST | 040 | ORCL | B | 29,360 | 22.54 | n/a | n/a | 1,145.04 | 3.9 |
| SCOPUS FUND | 041 | PAG | B | 5,000 | 16.35 | n/a | 2-Nov | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PIR | S | 20,000 | 4.61 | n/a | n/a | 600.00 | 3.0 |
| EXIS CAPITAL | 044 | PLCE | B | 5,000 | 28.35 | n/a | 4-Dec | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PVH | S | 50,000 | 39.87 | n/a | 20-Nov | 2,000.00 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | Q | B | 10,000 | 4.13 | n/a | n/a | 600.00 | 6.0 |
| LOMBARDIA CAP MGMT | 048 | RHB | S | 9,908 | 29.52 | n/a | n/a | 481.34 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|--------------|---------------|------------|
| EXIS CAPITAL | 044 | RL | B | 5,000 | 80.55 | n/a | 4-Nov | 250.00 | 5.0 |
| NEUBERGER BERMAN | 036 | RNOW | S | 26,000 | 14.39 | n/a | n/a | 1,170.00 | 4.5 |
| NEUBERGER BERMAN | 036 | ROL | B | 8,700 | 19.08 | n/a | n/a | 391.50 | 4.5 |
| SCOPUS FUND | 041 | SAH | S | 42,700 | 9.56 | n/a | n/a | 2,135.00 | 5.0 |
| SECOND CURVE | 045 | SNV | B | 300,000 | 2.15 | n/a | n/a | 9,000.00 | 3.0 |
| EXIS CAPITAL | 044 | SSO | SS | 10,000 | 37.41 | n/a | n/a | 500.00 | 5.0 |
| COOKBIELER | 028 | STC | B | 28,680 | 10.82 | n/a | n/a | 1,147.20 | 4.0 |
| TRUSTCO/SUNTRUST | 040 | STLD | S | 98,804 | 18.32 | n/a | n/a | 3,853.36 | 3.9 |
| THE JAY GOLDMAN | 028 | TGT | S | 10,000 | 45.84 | n/a | 3-Dec | 400.00 | 4.0 |
| EXIS CAPITAL | 044 | TIF | B | 10,000 | 40.89 | n/a | n/a | 500.00 | 5.0 |
| BASIX | 033 | TIN | S | 20,500 | 20.35 | n/a | 22-Oct | 615.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | TJX | S | 20,000 | 37.39 | n/a | 4-Dec | 800.00 | 4.0 |
| SOROS | 036 | T | S | 36,000 | 27.75 | n/a | n/a | 1,440.00 | 4.0 |
| SOROS | 036 | VZ | S | 29,700 | 33.61 | n/a | n/a | 1,188.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | WDR | B | 15,000 | 29.24 | n/a | 4-Dec | 750.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|--------|-------|-----|----------|-------------------|-----|
| EPOCH INV MGMT | 030 | WDR | S | 18,850 | 29.14 | n/a | 4-Dec | 565.50 | 3.0 |
| BERMAN CAPITAL MGMT | 046 | WMT | S | 15,000 | 54.74 | n/a | 1-Dec | 450.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | WRC | S | 10,000 | 42.60 | n/a | 5-Nov | 400.00 | 4.0 |
| TRUSTCO/SUNTRUST | 040 | WU | B | 79,833 | 19.01 | n/a | n/a | 3,113.48 | 3.9 |
| TOTAL (Trade Date): | | | | | | | | 121,999.55 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|---------------------------------|------|--------|-----|---------|-------|-----|----------|---------------|
| AO,CXL | 12/09 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ARO | B | 10,000 | 31.52 | n/a | 4-Dec | 400.00 4.0 |
| AO,CRT | 12/09 | BUCK CAPITAL MGMT (BUCKMSMAIN) | 001 | ARO | B | 1,600 | 31.52 | n/a | 4-Dec | 64.00 4.0 |
| AO, | 12/09 | BUCK CAPITAL MGMT (BUCKJPMBS) | 001 | ARO | B | 8,400 | 31.52 | n/a | 4-Dec | 336.00 4.0 |
| CRT | 12/10 | EXIS CAPITAL (EXISDEUTC) | 044 | COH | SS | 3,100 | 36.15 | n/a | 21-Oct | 155.00 5.0 |
| CRT | 12/10 | BERMAN CAPITAL MGMT (BERMMS) | 046 | COST | SS | 10,000 | 58.32 | n/a | n/a | 300.00 3.0 |
| AO,CXL | 12/09 | ROYAL CAPITAL MGMT (ROYAMS) | 039 | CVS | B | 100,000 | 30.85 | n/a | n/a | 5000.00 5.0 |
| AO,CRT | 12/09 | ROYAL CAPITAL MGMT (ROYAGOLDMA) | 039 | CVS | B | 100,000 | 30.85 | n/a | n/a | 5000.00 5.0 |
| AO,CRT | 12/09 | EXIS CAPITAL (EXISDEUTC) | 044 | GCO | B | 6,100 | 23.77 | n/a | n/a | 305.00 5.0 |
| AO,CXL | 12/09 | EXIS CAPITAL (EXISRBC) | 044 | GCO | B | 6,100 | 23.77 | n/a | n/a | 305.00 5.0 |
| CRT | 12/10 | EXIS CAPITAL (EXISDEUTC) | 044 | GES | SS | 3,100 | 43.25 | n/a | n/a | 155.00 5.0 |
| AO,CRT | 12/09 | EXIS CAPITAL (EXISDEUTC) | 044 | M | S | 12,300 | 16.12 | n/a | 4-Dec | 615.00 5.0 |
| AO,CXL | 12/09 | EXIS CAPITAL (EXISRBC) | 044 | M | S | 12,300 | 16.12 | n/a | 4-Dec | 615.00 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 610.00 |

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|-----------------------|------------|
| TOTAL (Trade Date): | 121,999.55 |
| TOTAL (AO, CXL, CRT): | 610.00 |

TOTAL (RUN DATE) / NFS:

122,609.55

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