



## Daily Compliance Activity Report

Trade Date: 05/26/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	AAP	S	3,449	62.53	n/a	n/a	137.96	4.0
JET CAPITAL/CHRIS	041	AMT	B	60,000	54.45	n/a	n/a	1,800.00	3.0
ADAGE CAPITAL MGMT	030	ANN	S	140,000	28.23	n/a	n/a	4,200.00	3.0
GREEN ARROW DOUG	040	BIG	B	15,000	31.41	n/a	19-May	750.00	5.0
TRUSTCO/SUNTRUST	040	BLK	B	1,980	197.36	n/a	n/a	69.33	3.5
SURVEYOR CAPITAL	041	BSX	SS	49,380	6.91	n/a	n/a	1,481.40	3.0
TRUSTCO/SUNTRUST	040	BWA	B	5,580	70.15	n/a	29-Apr	195.32	3.5
<b>LISTED ERR</b>	<b>099</b>	<b>BWA</b>	<b>SS</b>	<b>380</b>	<b>70.06</b>	<b>n/a</b>	<b>29-Apr</b>	<b>0.00</b>	<b>0.0</b>
DE SHAW	070	CAG	B	35,300	24.80	n/a	n/a	1,059.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	CAT	B	1,000	104.21	n/a	2-May	50.00	5.0
TRUSTCO/SUNTRUST	040	CBS	B	10,150	27.34	n/a	n/a	355.26	3.5
ADAGE CAPITAL MGMT	030	CRI	S	100,000	32.58	n/a	n/a	3,000.00	3.0
IRIDIAN ASSET MGMT.	036	CSC	S	128,560	37.36	n/a	n/a	6,428.00	5.0
CAERUS GLOBAL	041	CTRN	S	13,912	16.65	n/a	n/a	556.48	4.0
CASTLE ARK	031	CY	B	135,299	22.40	n/a	n/a	6,764.95	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	DHR	S	10,000	53.39	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	EBS	S	1,030	25.88	n/a	n/a	41.20	4.0
TRUSTCO/SUNTRUST	040	EMN	B	7,630	103.73	n/a	n/a	267.08	3.5
RAINIER INV MGMT	035	EXXI	S	19,000	34.49	n/a	n/a	760.00	4.0
ROTHSCHILD ASSET	040	FDS	S	1,631	106.76	n/a	n/a	65.24	4.0
ROYCE TRADING	012	FINL	B	2,500	21.76	n/a	10-May	125.00	5.0
TRAFELET & COMP.	028	FSL	S	50,000	19.05	n/a	n/a	1,500.00	3.0
OZ MGMT	040	F	SS	200,000	14.45	n/a	25-May	6,000.00	3.0
TRUSTCO/SUNTRUST	040	GE	B	20,930	19.41	n/a	n/a	732.58	3.5
CIRCLE T/SES PART	033	GM	B	5,000	30.65	n/a	25-May	200.00	4.0
OZ MGMT	040	GM	C	75,000	30.76	n/a	25-May	2,250.00	3.0
SMITH MGMT LLC	029	GPS	SS	264,800	18.88	n/a	n/a	7,944.00	3.0
CR INTRINIC INVESTMENT	044	HD	B	20,000	36.14	n/a	18-May	700.00	3.5
TRUSTCO/SUNTRUST	040	HIG	S	133,465	26.47	n/a	n/a	4,671.28	3.5
TRUSTCO/SUNTRUST	040	HOT	B	5,275	60.85	n/a	28-Apr	184.64	3.5
JET CAPITAL/CHRIS	041	IYR	SS	25,000	61.17	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	JWN	B	1,400	46.28	n/a	17-May	56.00	4.0
FIRST NEW YORK FRAN	028	KSS	B	55,000	54.25	n/a	13-May	2,200.00	4.0
SUN AMERICA ASSET MGMT	030	LULU	B	1,000	93.15	n/a	17-Mar	40.00	4.0
SURVEYOR CAPITAL	041	MAR	B	26,617	37.53	n/a	21-Apr	798.51	3.0
TRUSTCO/SUNTRUST	040	MYL	B	27,890	23.02	n/a	23-May	976.18	3.5
SAC COHEN	044	M	B	35,000	28.43	n/a	12-May	1,225.00	3.5
TRUSTCO/SUNTRUST	040	M	B	40,566	28.64	n/a	12-May	1,419.84	3.5
SUN AMERICA ASSET MGMT	030	OXY	B	800	105.10	n/a	n/a	32.00	4.0
ROTHSCHILD ASSET	040	PCS	S	2,930	18.11	n/a	n/a	117.20	4.0
TRUSTCO/SUNTRUST	040	PFE	B	6,210	20.91	n/a	n/a	217.38	3.5
ROYCE TRADING	012	PLCE	B	18,700	49.78	n/a	20-May	935.00	5.0
TRUSTCO/SUNTRUST	040	PM	B	4,840	70.49	n/a	n/a	169.43	3.5
GREEN ARROW DOUG	040	RGC	B	15,000	13.73	n/a	n/a	750.00	5.0
SURVEYOR CAPITAL	041	RGC	SS	20,346	13.68	n/a	n/a	610.38	3.0
KADE CAPITAL LLC	028	RL	S	7,500	118.12	n/a	26-May	375.00	5.0
BALLAST CAP	040	SCHW	SS	23,000	17.34	n/a	n/a	1,150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	SLE	B	20,000	19.36	n/a	n/a	700.00	3.5
CAERUS GLOBAL	041	SONC	S	16,800	11.51	n/a	n/a	672.00	4.0
SUN AMERICA ASSET MGMT	030	STJ	B	900	50.22	n/a	n/a	36.00	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.88	n/a	n/a	800.00	4.0
CR INTRINIC INVESTMENT	044	TGT	B	20,000	49.40	n/a	18-May	700.00	3.5
SAC COHEN	044	TJX	B	20,000	53.00	n/a	18-May	700.00	3.5
SIGMA CAPITAL ASSOCIATES	041	TJX	B	75,000	53.15	n/a	18-May	2,625.00	3.5
TRUSTCO/SUNTRUST	040	UNH	B	9,220	47.56	n/a	n/a	322.72	3.5
SUN AMERICA ASSET MGMT	030	UTX	B	3,200	86.42	n/a	n/a	128.00	4.0
<b>TOTAL (Trade Date):</b>								<b>71,194.36</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/25	ACK ASSET (ACKAMSPB)	028	IWM	B	27,632	82.06	n/a	n/a	828.96 3.0
AO,CRT	05/25	ACK ASSET (ACKAMSPB)	028	IWM	B	12,500	82.06	n/a	n/a	375.00 3.0
AO,CXL	05/25	ACK ASSET (ACKABEARPB)	028	IWM	B	22,368	82.06	n/a	n/a	671.04 3.0
AO,CRT	05/25	ACK ASSET (ACKABEARPB)	028	IWM	B	37,500	82.06	n/a	n/a	1125.00 3.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
-------------------------------	-------------

---

---

TOTAL (Trade Date) :	71,194.36
TOTAL (AO, CXL, CRT) :	0.00

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>71,194.36</b>
--------------------------------	------------------

---

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