



Daily Compliance Activity Report

Trade Date: 03/04/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		494 HK	B	82,000	4.97	n/a	n/a	non-brg	0.7
TRUSTCO/SUNTRUST	040	ADM	B	680	29.89	n/a	18-Feb	26.52	3.9
EPOCH INV MGMT	030	ADP	S	600	41.74	n/a	n/a	18.00	3.0
BUCK CAPITAL MGMT		AEO	S	115,000	17.08	n/a	26-Feb	non-brg	0.8
BUCK CAPITAL MGMT		AEO	S	50,000	16.61	n/a	26-Feb	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	60,000	17.16	n/a	26-Feb	non-brg	2.0
EPOCH INV MGMT	030	AJG	S	5,100	24.14	n/a	n/a	153.00	3.0
ROARING BLUE LION MGMT	012	AMG	S	2,900	76.70	n/a	2-Mar	116.00	4.0
BUCK CAPITAL MGMT		ANF	S	30,000	40.02	n/a	26-Feb	non-brg	4.0
BUCK CAPITAL MGMT		ANF	S	50,000	40.47	n/a	26-Feb	non-brg	4.0
JAMES H HLAVACEK II	FID	ANF	S	40	40.54	n/a	26-Feb	0.00	0.0
RBC CAPITAL MARKETS	040	ANF	S	10,000	40.02	n/a	26-Feb	400.00	4.0
CHRISTOPHER ROBERT C	FID	AN	B	300	18.38	n/a	12-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	37.20	n/a	26-Feb	1,600.00	4.0
BUCK CAPITAL MGMT		ARO	S	37,000	36.99	n/a	26-Feb	non-brg	4.0
GREEN ARROW DOUG	040	AVP	B	25,000	30.74	n/a	3-Mar	1,250.00	5.0
BUCK CAPITAL MGMT		AVY	B	20,000	30.55	n/a	1-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	AZN	S	3,100	44.81	n/a	n/a	93.00	3.0
RBC CAPITAL MARKETS	040	BJ	B	5,000	34.48	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	BMS	S	900	28.91	n/a	n/a	27.00	3.0
EPOCH INV MGMT	030	BMY	S	2,500	24.43	n/a	n/a	75.00	3.0
TRUSTCO/SUNTRUST	040	BMY	B	660	24.41	n/a	n/a	25.74	3.9
LAGRANGE CAP ADV	048	BONT	SS	2,266	11.15	n/a	n/a	113.30	5.0
EPOCH INV MGMT	030	BP	S	1,000	54.93	n/a	n/a	30.00	3.0
f KEVIN MICHAEL O'GORM	FID	BZ	S	5000	5.05	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	BZ	B	74,200	5.22	n/a	n/a	2,226.00	3.0
B BUCK CAPITAL MGMT		CACH	B	7,660	4.65	n/a	n/a	non-brg	3.0
EPOCH INV MGMT	030	CCE	S	1,000	26.05	n/a	n/a	30.00	3.0
ISLE RIDGE PARTNERS	041	CNW	S	5,000	32.06	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	CNW	S	8,700	31.96	n/a	n/a	348.00	4.0
BUCK CAPITAL MGMT	001	COH	B	20,000	37.21	n/a	21-Jan	800.00	4.0
BAIRD INVESTMENT	047	CRM	B	9,250	70.23	n/a	n/a	462.50	5.0
EPOCH INV MGMT	030	CTL	S	1,700	34.47	n/a	n/a	51.00	3.0
EPOCH INV MGMT	030	CVX	S	400	73.02	n/a	n/a	12.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f FRANCIS MICHAEL MCCA	FID	CWTR	S	500	6.79	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	DD	S	3,500	34.25	n/a	26-Feb	105.00	3.0
EPOCH INV MGMT	030	DEO	S	1,400	65.05	n/a	n/a	42.00	3.0
RBC CAPITAL MARKETS	040	DOW	B	25,000	29.63	n/a	2-Feb	1,000.00	4.0
EPOCH INV MGMT	030	DO	S	400	87.56	n/a	n/a	12.00	3.0
WAGONHOUND/NIC	048	DPZ	S	4,800	13.59	n/a	3-Mar	192.00	4.0
f ABRAM M CHAPPELL	FID	EGLE	S	460	5.84	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	ES	S	191,300	5.90	n/a	n/a	7,652.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.65	n/a	n/a	600.00	6.0
f KAREN F LEDDY	FID	EV	S	400	31.55	n/a	2-Mar	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FBRSX	S	181	18.68	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FBR	B	400	20.04	n/a	n/a	0.00	0.0
CATAPULT	040	FCX	B	10,000	78.45	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	40,000	35.36	n/a	4-Mar	1,600.00	4.0
IMPALA ASSET MMT	012	FDX	S	43,700	86.80	n/a	n/a	1,748.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAYNE ANDERSON ADV	048	FII	B	56,800	25.62	n/a	2-Mar	2,272.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	FINL	S	300	12.85	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	FL	B	250,000	14.00	4-Mar	4-Mar	10,000.00	4.0
BASIX	033	FL	B	65,000	13.81	4-Mar	4-Mar	1,950.00	3.0
BUCK CAPITAL MGMT	001	FL	S	121,100	13.98	4-Mar	4-Mar	4,844.00	4.0
CONIFER/ISF	025	FL	B	7,500	13.81	4-Mar	4-Mar	375.00	5.0
MERRILL ASSET/BLACKROCK	214	FL	C	4,700	13.41	4-Mar	4-Mar	188.00	4.0
THIRD COAST CAPITAL	035	FL	B	15,000	13.55	4-Mar	4-Mar	750.00	5.0
TRUSTCO/SUNTRUST	040	FL	S	273,608	14.00	4-Mar	4-Mar	10,670.72	3.9
f ABRAM M CHAPPELL	FID	FOR	B	105	18.63	n/a	5-Feb	0.00	0.0
IMPALA ASSET MMT	012	F	S	200,000	12.71	n/a	3-Mar	6,000.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	S	500	27.30	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	S	700	27.26	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	GDP	S	28,758	20.53	n/a	n/a	1,437.90	5.0
FORD FDN.	032	GENZ	B	55,000	56.74	n/a	n/a	2,200.00	4.0
B BUCK CAPITAL MGMT		GES	B	20,000	41.91	n/a	5-Feb	non-brg	4.0
NEWLAND CAPITAL MGT	067	GGC	S	8,200	15.32	n/a	n/a	328.00	4.0
BAIRD INVESTMENT	047	GPN	B	5,025	42.88	n/a	n/a	251.25	5.0
B BUCK CAPITAL MGMT		GPS	S	20,000	22.08	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	DAVID GEORGE BUCK	FID	GS	S	15	5.40	n/a	13-Feb	0.00	0.0
	TRUSTCO/SUNTRUST	040	HCP	B	400	29.58	n/a	n/a	15.60	3.9
	ISLE RIDGE PARTNERS	041	HD	SS	8,000	31.39	n/a	23-Feb	320.00	4.0
	GLENHILL CAPITAL	212	HOG	B	115,000	25.31	n/a	n/a	5,750.00	5.0
B	BUCK CAPITAL MGMT		ICON	B	30,000	13.86	n/a	n/a	non-brg	4.0
	RBC CAPITAL MARKETS	040	IGT	B	15,000	17.14	n/a	9-Feb	600.00	4.0
	RBC CAPITAL MARKETS	040	IP	B	20,000	24.95	n/a	3-Feb	800.00	4.0
	ISLE RIDGE PARTNERS	041	JBHT	SS	5,000	34.29	n/a	n/a	200.00	4.0
	MISSION POINT	041	JCI	B	8,000	31.84	n/a	22-Jan	400.00	5.0
	THE JAY GOLDMAN	028	JCP	B	40,000	29.36	n/a	26-Feb	1,600.00	4.0
	BUCK CAPITAL MGMT	001	JNY	B	30,000	18.12	n/a	10-Feb	1,200.00	4.0
	RBC CAPITAL MARKETS	040	JWN	S	10,000	38.18	n/a	26-Feb	400.00	4.0
	IMPALA ASSET MMT	012	KNX	SS	1,100	19.61	n/a	n/a	44.00	4.0
	RBC CAPITAL MARKETS	040	KSS	SS	5,000	53.18	n/a	26-Feb	200.00	4.0
	IMPALA ASSET MMT	012	LCC	S	125,000	7.29	n/a	n/a	2,500.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	LEA	B	150	72.49	n/a	8-Feb	0.00	0.0
IMPALA ASSET MMT	012	LHO	S	500	19.49	n/a	n/a	20.00	4.0
FORD FDN.	032	LIFE	B	30,000	51.70	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		LL	B	30,000	24.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LTD	S	20,000	22.96	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	MERC	S	2000	5.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	S	15,000	19.67	n/a	n/a	600.00	4.0
ISLE RIDGE PARTNERS	041	MGAM	SS	18,900	4.55	n/a	n/a	756.00	4.0
ISLE RIDGE PARTNERS	041	MHK	SS	10,000	52.80	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	MHS	S	15	1.20	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	MON	B	7,545	74.14	n/a	26-Feb	301.80	4.0
ISLE RIDGE PARTNERS	041	MTN	S	32,500	35.96	n/a	n/a	1,300.00	4.0
EXIS CAPITAL	044	M	B	20,000	20.26	n/a	26-Feb	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	B	50,000	20.10	n/a	26-Feb	1,750.00	3.5
CATAPULT	040	NKE	B	11,000	67.65	n/a	n/a	550.00	5.0
LISTED ERR	099	NP	B	6,000	15.63	n/a	3-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	NP	S	6,000	15.63	n/a	3-Mar	0.00	0.0
ISLE RIDGE PARTNERS	041	NWL	B	25,000	14.13	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	OC	S	20,000	24.24	n/a	n/a	800.00	4.0
TRUSTCO/SUNTRUST	040	OKE	S	1,885	46.75	n/a	n/a	73.52	3.9
&TRU	040	OKE	S	7,420	46.75	n/a	n/a	289.38	3.9
f MANNY I KORMAN	FID	OZM	B	9000	14.41	n/a	2-Mar	0.00	0.0
MERRILL ASSET/BLACKROCK	214	PCP	B	800	117.24	n/a	23-Feb	32.00	4.0
MISSION POINT	041	PCP	B	600	116.37	n/a	23-Feb	30.00	5.0
HUNTER GLOBAL INVESTOR	067	PEP	S	25,000	64.29	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		PETM	SS	20,000	29.91	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	PHI	S	500	56.99	n/a	n/a	15.00	3.0
CAERUS GLOBAL	041	PIR	S	50,000	7.20	n/a	n/a	1,500.00	3.0
TRUSTCO/SUNTRUST	040	PM	B	600	50.75	n/a	n/a	23.40	3.9
ROTHSCHILD ASSET	040	PNC	B	18,895	54.13	n/a	n/a	755.80	4.0
CATAPULT	040	PTV	B	25,000	24.63	n/a	n/a	1,250.00	5.0
ASCEND PARTNERS	033	PVH	B	30,000	42.75	n/a	4-Mar	1,500.00	5.0
DENVER INST. ADV	046	PVH	S	46,398	42.77	n/a	4-Mar	1,855.92	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	PVH	B	10,000	42.80	n/a	4-Mar	500.00	5.0
CAXTON PART	040	QCOM	B	10,923	38.82	n/a	n/a	382.32	3.5
CAXTON PART	040	QCOM	B	756	38.82	n/a	n/a	26.47	3.5
TPG-AXON	040	QCOM	B	250,000	38.76	n/a	n/a	12,500.00	5.0
f CHRISTOPHER ROBERT C	FID	SPHIX	B	235	8.52	n/a	n/a	0.00	0.0
GRUSS CAPITAL	045	SPY	SS	10,000	112.21	n/a	n/a	400.00	4.0
ISLE RIDGE PARTNERS	041	SSD	B	10,000	25.42	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	SUP	B	2,115	14.99	n/a	1-Mar	84.60	4.0
ISLE RIDGE PARTNERS	041	SWK	S	5,000	58.40	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		TGT	S	50,000	53.04	n/a	4-Mar	non-brg	2.0
LEVEL GLOBAL SHARED ACCT	257	TGT	S	25,000	52.67	n/a	4-Mar	750.00	3.0
f ALEXANDER A SACCO	FID	TIVO	S	250	15.60	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	TIVO	S	400	13.86	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TJX	S	50,000	41.01	n/a	26-Feb	non-brg	2.0
KAYNE ANDERSON ADV	098	TROW	B	5,890	52.09	n/a	2-Mar	235.60	4.0
EPOCH INV MGMT	030	TSM	S	2,300	9.83	n/a	n/a	69.00	3.0
f JOEL GIFFORD TISS	FID	TZA	B	5000	8.25	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	UFS	B	150	57.60	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	UNH	B	270	32.99	n/a	n/a	10.53	3.9
f RAGHAV NAYAR	FID	URRE	B	300	0.75	n/a	n/a	0.00	0.0
AVESTA CAP	229	UTX	B	100,000	70.63	n/a	n/a	3,000.00	3.0
RBC CAPITAL MARKETS	040	VFC	B	7,500	77.84	n/a	12-Feb	300.00	4.0
B BUCK CAPITAL MGMT		VLCM	SS	50,000	17.86	n/a	n/a	non-brg	3.0
EPOCH INV MGMT	030	V	B	3,300	87.13	n/a	19-Feb	99.00	3.0
RBC CAPITAL MARKETS	040	WEN	B	25,000	4.63	n/a	1-Mar	1,000.00	4.0
GREEN ARROW DOUG	040	WERN	SS	5,000	22.03	n/a	n/a	200.00	4.0
IMPALA ASSET MMT	012	WERN	S	600	22.03	n/a	n/a	24.00	4.0
EMERSON CAPITAL MGMT	048	WFC	SS	24,800	28.53	n/a	21-Jan	992.00	4.0
TRUSTCO/SUNTRUST	040	WMB	B	350	22.52	n/a	n/a	13.65	3.9
B BUCK CAPITAL MGMT		WRC	S	20,000	43.76	n/a	2-Mar	non-brg	2.5
RBC CAPITAL MARKETS	040	WRC	B	5,000	43.73	n/a	2-Mar	200.00	4.0
RBC CAPITAL MARKETS	040	XRT	SS	5,000	38.56	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		ZQK	B	250,000	2.89	n/a	18-Dec	non-brg	2.0

TOTAL (Trade Date):

116,844.52

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	03/03	KAYNE ANDERSON ADV	048	BRO	B	15,000	16.92	n/a	n/a	600.00	4.0
AO,CXL	03/03	HIGHBRIDGE CAP	041	GNTX	SS	39,000	20.00	n/a	29-Jan	1560.00	4.0
AO,CRT	03/03	HIGHBRIDGE CAP	041	GNTX	SS	39,000	20.00	n/a	29-Jan	1560.00	4.0
AO,CRT	03/03	MILLENIUUM PARTNERS	028	GYMB	B	25,000	44.95	n/a	26-Feb	1000.00	4.0
AO,CXL	03/03	MILLENIUUM PARTNERS	028	GYMB	B	25,000	44.95	n/a	26-Feb	1250.00	5.0
AO,CXL	03/03	GRANITE CAPITAL	045	LEA	B	15,000	72.99	n/a	8-Feb	750.00	5.0
AO,	03/03	GRANITE CAPITAL	045	LEA	B	15,000	72.99	n/a	8-Feb	750.00	5.0
AO,CXL	03/01	TRELLUS PARTNERS LP	028	LVS	S	20,000	17.18	n/a	2-Mar	1000.00	5.0
AO,CRT	03/01	TRELLUS PARTNERS LP	028	LVS	S	20,000	17.18	n/a	2-Mar	1000.00	5.0
AO,CRT	03/02	TRELLUS PARTNERS LP	028	LVS	S	20,000	17.36	n/a	2-Mar	1000.00	5.0
AO,CXL	03/02	TRELLUS PARTNERS LP	028	LVS	S	20,000	17.36	n/a	2-Mar	1000.00	5.0
AO,CXL	03/03	AVENUE CAPITAL MGMT	070	NAV	B	50,000	41.57	n/a	n/a	2000.00	4.0
AO,CRT	03/03	AVENUE CAPITAL MGMT	070	NAV	B	50,000	41.57	n/a	n/a	2000.00	4.0
AO,CXL	03/03	SOUTH POINT CAP	067	NOVL	B	500,000	6.04	n/a	n/a	15000.00	3.0
AO,CRT	03/03	SOUTH POINT CAP	067	NOVL	B	500,000	6.04	n/a	n/a	15000.00	3.0
AO,CRT	03/03	TRUSTCO/SUNTRUST	040	PRGO	S	100	52.11	n/a	3-Mar	3.90	3.9
AO,CXL	03/03	TRUSTCO/SUNTRUST	040	PRGO	S	100	52.11	n/a	3-Mar	3.90	3.9
TOTAL (AO, CXL, CRT) :										350.00	

TOTAL (Trade Date):	116,844.52
---------------------	------------

TOTAL (AO, CXL, CRT):	350.00
-----------------------	--------

TOTAL (RUN DATE) / NFS:	117,194.52
-------------------------	------------

MRI Securities with Trade Activity on 4-Mar.
--

FL

MRI Securities without Trade Activity on 4-Mar.

IFF

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

T-Date = 30%

YTD = 17%

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)