



Daily Compliance Activity Report

Trade Date: 05/25/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ACV	B	14,000	26.90	n/a	26-Apr	546.00	3.9
SOLARIS INV MGMT	029	ADM	S	30,000	24.38	n/a	10-May	1,500.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	40,000	14.89	n/a	25-May	1,600.00	4.0
BMO NESBITT BURNS	041	ALV	B	4,000	44.36	n/a	28-Apr	160.00	4.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	10,000	43.80	n/a	28-Apr	300.00	3.0
BUCK CAPITAL MGMT	001	ANF	B	28,900	34.58	n/a	19-May	1,156.00	4.0
EXIS CAPITAL	044	ANN	SS	5,000	22.16	n/a	n/a	250.00	5.0
TRUSTCO/SUNTRUST	040	AOS	B	15,900	44.84	n/a	20-Apr	620.10	3.9
ROTHSCHILD ASSET	040	ATO	B	4,440	26.28	n/a	n/a	177.60	4.0
BUCK CAPITAL MGMT	001	BBW	B	10,000	7.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BBY	B	10,000	40.70	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	BWA	SS	6,000	34.37	n/a	30-Apr	240.00	4.0
TRELLUS PARTNERS LP	028	BWA	B	10,000	34.47	n/a	30-Apr	500.00	5.0
Ñ Nilsa Vazquez		BWLD	B	250	34.8700	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CRI	B	10,000	29.78	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	CSCO	S	152,380	22.94	n/a	n/a	7,619.00	5.0
WEISS PECK	040	CTRN	C	3,600	34.40	n/a	n/a	180.00	5.0
GLENHILL CAPITAL	212	CVA	B	94,820	14.75	n/a	n/a	4,741.00	5.0
TRELLUS PARTNERS LP	028	DAN	B	30,000	9.55	n/a	30-Apr	900.00	3.0
GRUSS CAPITAL	045	DEI	S	35,000	14.16	n/a	n/a	1,050.00	3.0
SOLARIS INV MGMT	029	DOLE	S	30,000	9.02	n/a	n/a	1,200.00	4.0
ROTHSCHILD ASSET	040	DPS	S	18,259	35.72	n/a	n/a	730.36	4.0
KENNEDY CAPITAL	046	DPZ	B	26,300	12.51	n/a	5-May	1,052.00	4.0
ROTHSCHILD ASSET	040	DTV	B	41,230	36.72	n/a	n/a	1,649.20	4.0
PLATTE RIVER CAPITAL	240	ECL	S	39,620	45.63	n/a	25-May	1,584.80	4.0
CAERUS GLOBAL	041	ELY	S	70,000	7.94	n/a	n/a	2,800.00	4.0
STELLIAM INV ADV	034	ESS	S	10,000	100.47	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	ETR	S	36,173	72.05	n/a	n/a	1,446.92	4.0
STATE TEACHERS RET SYS	047	FDX	B	20,000	79.04	n/a	n/a	1,000.00	5.0
JP MORGAN VENTURES	046	FL	S	50,000	13.29	n/a	21-May	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	FL	B	50,000	13.36	n/a	21-May	2,000.00	4.0
EXIS CAPITAL	044	FOSL	SS	5,000	35.65	n/a	n/a	250.00	5.0
CIRCLE T/SES PART	035	F	B	15,000	10.75	n/a	4-May	600.00	4.0
CIRCLE T/SES PART	035	F	S	65,000	10.70	n/a	4-May	2,600.00	4.0
OZ MGMT	040	F	B	250,000	10.66	n/a	4-May	7,500.00	3.0
BUCK CAPITAL MGMT	001	GES	B	20,000	36.05	n/a	14-May	800.00	4.0
SOUTH POINT CAP	067	GS	B	50,000	141.69	n/a	21-May	2,500.00	5.0
MACKLOWE ASSET MGMT	041	HAS	SS	50,000	38.63	n/a	n/a	2,000.00	4.0
IRIDIAN ASSET MGMT.	036	HBI	B	27,620	25.91	n/a	14-May	1,381.00	5.0
ROTHSCHILD ASSET	040	HES	B	51,453	50.40	n/a	n/a	2,058.12	4.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	43.63	n/a	n/a	800.00	4.0
DSG CAPITAL	225	JCI	B	12,000	26.65	n/a	25-May	360.00	3.0
KLEINHEINZ CAP PART	031	JCP	SS	60,000	26.50	n/a	14-May	3,000.00	5.0
1798 CAP/LOMBARD ASSET	040	JNJ	C	50,000	59.86	n/a	n/a	2,500.00	5.0
MELLON/BANK OF NEW YORK	046	JNPR	B	334,255	26.13	n/a	n/a	16,712.75	5.0
BUCK CAPITAL MGMT	001	JNY	B	10,000	18.25	n/a	14-May	400.00	4.0
EXIS CAPITAL	044	JNY	B	5,000	18.45	n/a	14-May	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHFIELDS CAP MGMT	030	KFT	S	200,000	28.00	n/a	n/a	10,000.00	5.0
ROTHSCHILD ASSET	040	KO	S	22,351	50.25	n/a	23-Apr	894.04	4.0
CONIFER/ISF	025	LAZ	B	5,000	31.91	n/a	25-May	250.00	5.0
KADE CAPITAL LLC	036	LEA	S	7,500	65.72	n/a	7-May	375.00	5.0
BROADARCH CAP/OLD NEWC	070	LVS	B	4,100	20.44	n/a	13-May	164.00	4.0
MACKLOWE ASSET MGMT	041	MAT	B	75,000	21.08	n/a	n/a	3,000.00	4.0
WEISS PECK	040	MEE	B	11,200	29.82	n/a	n/a	560.00	5.0
CAERUS GLOBAL	041	MPEL	B	40,000	3.72	n/a	28-Apr	1,200.00	3.0
PORTER-ORLIN	044	MRK	B	40,000	31.87	n/a	n/a	2,000.00	5.0
MELLON/BANK OF NEW YORK	046	NOK	S	18,000	9.94	n/a	n/a	900.00	5.0
BENNETT LAWRENCE	028	NUVA	B	9,050	39.83	n/a	n/a	362.00	4.0
STELLIAM INV ADV	034	NWSA	B	35,000	12.54	n/a	n/a	1,750.00	5.0
ROTHSCHILD ASSET	040	NYB	B	6,600	15.20	n/a	25-May	264.00	4.0
STATE TEACHERS RET SYS	047	OFC	S	10,000	35.90	n/a	n/a	500.00	5.0
CASTLE ARK	031	PEP	B	95,920	62.43	n/a	n/a	5,755.20	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLENHILL CAPITAL	212	QSII	B	18,943	57.79	n/a	n/a	947.15	5.0
RAINIER INV MGMT	035	RJF	S	160,340	26.59	n/a	n/a	6,413.60	4.0
JP MORGAN VENTURES	046	RSH	S	25,000	18.87	n/a	n/a	1,250.00	5.0
MERRILL ASSET/BLACKROCK	263	SFG	S	17,000	40.32	n/a	n/a	680.00	4.0
MANNING & NAPIER	034	SHW	S	200,000	75.04	n/a	24-May	6,000.00	3.0
BUCK CAPITAL MGMT	001	SIG	B	10,000	30.56	n/a	n/a	400.00	4.0
BENCHMARK	025	SRCL	B	2,500	56.59	n/a	n/a	100.00	4.0
TRUSTCO/SUNTRUST	040	STLD	B	50,000	13.39	n/a	n/a	1,949.99	3.9
CAMBIAR CAP	046	TEVA	B	21,965	54.83	n/a	24-May	878.60	4.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	54.38	n/a	19-May	400.00	4.0
EXIS CAPITAL	044	TJX	SS	10,000	44.73	n/a	19-May	500.00	5.0
RAMIUS CAP	040	TJX	S	27,375	43.45	n/a	19-May	1,095.00	4.0
COUGAR TRADING	044	TM	SS	5,000	73.19	n/a	n/a	250.00	5.0
HARBORWATCH/DIAMBACK	232	TXT	S	35,000	19.01	n/a	n/a	1,750.00	5.0
EXIS CAPITAL	044	UA	B	5,000	30.34	n/a	28-Apr	250.00	5.0
BUCK CAPITAL MGMT	001	VFC	B	20,000	77.08	n/a	14-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	WAT	B	8,660	65.44	n/a	n/a	346.40	4.0
PZENA INV ADV	044	WLP	S	4,462	50.81	n/a	n/a	156.17	3.5
LEVIN CAPITAL STRATEGIES	012	WRC	B	50,000	40.91	n/a	14-May	1,500.00	3.0
DIAMONDBACK CAP MGMT	232	XLB	C	17,000	29.35	n/a	n/a	510.00	3.0
MERRILL ASSET/BLACKROCK	263	XL	S	31,900	16.34	n/a	n/a	1,276.00	4.0
SUN AMERICA ASSET MGMT	030	XRTX	S	79,800	14.15	n/a	n/a	3,192.00	4.0
TOTAL (Trade Date) :								141,134.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI292706)	048	BRCD	B	900	5.34	n/a	n/a	27.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI250084)	048	BRCD	B	7,200	5.34	n/a	n/a	216.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI291763)	048	BRCD	B	5,400	5.34	n/a	n/a	162.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI291799)	048	BRCD	B	400	5.34	n/a	n/a	12.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI2932)	048	BRCD	B	6,700	5.34	n/a	n/a	201.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI293246)	048	BRCD	B	13,000	5.34	n/a	n/a	390.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294023)	048	BRCD	B	5,800	5.34	n/a	n/a	174.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294113)	048	BRCD	B	8,500	5.34	n/a	n/a	255.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI234347)	048	BRCD	B	14,800	5.34	n/a	n/a	444.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294362)	048	BRCD	B	50,400	5.34	n/a	n/a	1512.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI293501)	048	BRCD	B	22,600	5.34	n/a	n/a	678.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294155)	048	BRCD	B	15,800	5.34	n/a	n/a	474.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294179)	048	BRCD	B	34,500	5.34	n/a	n/a	1035.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI293633)	048	BRCD	B	4,300	5.34	n/a	n/a	129.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294020)	048	BRCD	B	10,600	5.34	n/a	n/a	318.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI293639)	048	BRCD	B	45,700	5.34	n/a	n/a	1371.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI293687)	048	BRCD	B	6,200	5.34	n/a	n/a	186.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI293237)	048	BRCD	B	20,900	5.34	n/a	n/a	627.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI292535)	048	BRCD	B	1,400	5.34	n/a	n/a	42.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI293144)	048	BRCD	B	23,400	5.34	n/a	n/a	702.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI291637)	048	BRCD	B	1,100	5.34	n/a	n/a	33.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI291880)	048	BRCD	B	41,200	5.34	n/a	n/a	1236.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI293078)	048	BRCD	B	1,500	5.34	n/a	n/a	45.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI292808)	048	BRCD	B	3,600	5.34	n/a	n/a	108.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI295313)	048	BRCD	B	1,800	5.34	n/a	n/a	54.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294407)	048	BRCD	B	9,100	5.34	n/a	n/a	273.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294173)	048	BRCD	B	9,800	5.34	n/a	n/a	294.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294761)	048	BRCD	B	10,300	5.34	n/a	n/a	309.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294740)	048	BRCD	B	28,800	5.34	n/a	n/a	864.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294743)	048	BRCD	B	1,300	5.34	n/a	n/a	39.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI292628)	048	BRCD	B	3,500	5.34	n/a	n/a	105.00 3.0
AO,	05/24	NWQ INVESTMENT MGMT CO (NWQI294329)	048	BRCD	B	13,500	5.34	n/a	n/a	405.00 3.0
AO,	05/24	STATE TEACHERS RET SYS (STRSMAN)	047	CPT	B	10,000	44.00	n/a	n/a	500.00 5.0
AO,	05/24	STATE TEACHERS RET SYS (STRSMAN)	047	RGC	B	125,000	14.68	n/a	n/a	6250.00 5.0
TOTAL (AO, CXL, CRT) :										19,470.00
TOTAL (Trade Date) :										141,134.00
TOTAL (AO, CXL, CRT) :										19,470.00
TOTAL (RUN DATE) / NFS :										160,604.00

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