



Daily Compliance Activity Report

Trade Date: 09/15/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ABC	S	37,964	38.45	n/a	n/a	1,518.56	4.0
ROYCE TRADING	031	AEO	B	5,000	11.50	n/a	25-Aug	250.00	5.0
RWC PARTNERS LTD	085	AGCO	B	30,785	43.78	n/a	14-Sep	923.55	3.0
SURVEYOR CAPITAL	041	AGP	B	27,500	43.52	n/a	n/a	825.00	3.0
BROADARCH CAP/OLD NEWC	070	AGU	S	3,000	86.66	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	AME	B	2,000	38.73	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	AVGO	B	4,000	36.78	n/a	n/a	160.00	4.0
LEVIN CAPITAL STRATEGIES	041	BAX	S	10,000	55.45	n/a	n/a	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	BBY	B	75,000	24.72	n/a	n/a	2,250.00	3.0
BROADARCH CAP/OLD NEWC	070	BHI	S	1,000	58.97	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	BLL	SS	2,000	34.12	n/a	n/a	80.00	4.0
HOLDEN CAPITAL MGMT	035	BLL	SS	5,000	34.13	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	BMY	S	4,000	29.91	n/a	n/a	160.00	4.0
MACQUARIE INVESTMENT MGMT.	040	BTU	B	3,000	47.48	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	BUD	B	2,000	51.51	n/a	1-Sep	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	BWA	B	2,000	68.95	n/a	29-Jul	80.00	4.0
MILLRACE FUND LP	028	BWA	B	7,000	69.51	n/a	29-Jul	280.00	4.0
BMO NESBITT BURNS	041	BZ	S	7,000	6.59	n/a	n/a	350.00	5.0
BROADARCH CAP/OLD NEWC	070	CAH	S	2,000	41.24	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	CAT	B	2,000	86.77	n/a	14-Sep	80.00	4.0
BROADARCH CAP/OLD NEWC	070	CAT	S	1,000	86.01	n/a	14-Sep	40.00	4.0
BROADARCH CAP/OLD NEWC	070	CBE	B	2,000	48.43	n/a	18-Aug	80.00	4.0
MACQUARIE INVESTMENT MGMT.	040	CHS	SS	20,000	13.64	n/a	5-Feb	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	CL	S	1,500	91.32	n/a	1-Aug	0.00	0.0
CYPRESS CAP MGMT LLC	040	COH	B	10,900	57.71	n/a	3-Aug	436.00	4.0
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	15.29	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	CROX	C	8,000	27.17	n/a	n/a	400.00	5.0
BALYASNY ASSET MGMT	044	CROX	S	30,000	27.34	n/a	n/a	1,500.00	5.0
CYPRESS CAP MGMT LLC	040	CROX	B	15,200	27.50	n/a	n/a	608.00	4.0
RAINIER INV MGMT	035	CRS	B	58,200	53.23	n/a	n/a	2,328.00	4.0
BROADARCH CAP/OLD NEWC	070	DAN	B	4,000	12.58	n/a	29-Jul	160.00	4.0
MTB INV ADV	034	DAN	B	20,525	12.85	n/a	29-Jul	1,026.25	5.0
BROADARCH CAP/OLD NEWC	070	DOV	B	2,000	52.88	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	DRQ	B	2,500	63.72	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	EAT	B	30,000	21.45	n/a	12-Aug	1,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	EPL	S	10,000	12.39	n/a	n/a	0.00	0.0
KAM ADVISORS LLC	041	EP	B	34,200	19.58	n/a	n/a	1,026.00	3.0
FORTRESS INVESTMENT (US)	036	ERJ	B	8,000	26.46	n/a	n/a	320.00	4.0
BROADARCH CAP/OLD NEWC	070	ESRX	S	4,500	40.88	n/a	n/a	180.00	4.0
PROSPECTOR PARTNERS LLC	036	FE	S	10,000	44.58	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	FSLR	B	2,000	92.37	n/a	n/a	80.00	4.0
OZ MGMT	040	F	B	90,713	10.52	n/a	2-Sep	2,721.39	3.0
PECONIC PARTNERS	036	F	B	800,000	10.51	n/a	2-Sep	40,000.00	5.0
LEVIN CAPITAL STRATEGIES	041	GE	S	60,000	15.94	n/a	n/a	1,800.00	3.0
CIRCLE T/SES PART	033	GM	B	7,500	22.52	n/a	2-Sep	300.00	4.0
OZ MGMT	040	GM	C	29,454	22.61	n/a	2-Sep	883.62	3.0
FORTRESS INVESTMENT (US)	036	GNW	SS	100,000	6.03	n/a	n/a	3,000.00	3.0
BROADARCH CAP/OLD NEWC	070	GR	B	2,000	86.46	n/a	14-Sep	80.00	4.0
BROADARCH CAP/OLD NEWC	070	GR	S	2,000	86.38	n/a	14-Sep	80.00	4.0
BROADARCH CAP/OLD NEWC	070	GWW	B	2,000	159.99	n/a	18-Aug	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	GWW	S	1,000	161.47	n/a	18-Aug	40.00	4.0
BROADARCH CAP/OLD NEWC	070	HSIC	SS	2,000	63.20	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	HUBB	B	4,000	58.14	n/a	n/a	160.00	4.0
OZ MGMT	040	IP	SS	75,000	27.62	n/a	6-Sep	2,250.00	3.0
BROADARCH CAP/OLD NEWC	070	IYT	SS	2,000	82.97	n/a	n/a	80.00	4.0
CYPRESS CAP MGMT LLC	040	JAH	B	21,900	30.15	n/a	n/a	876.00	4.0
CAERUS GLOBAL	041	JNY	B	4,600	10.81	n/a	28-Jul	184.00	4.0
SIMMONS VENTURES	041	JNY	B	5,000	11.14	n/a	28-Jul	200.00	4.0
BROADARCH CAP/OLD NEWC	070	JPM	B	2,000	33.38	n/a	15-Sep	80.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	46.56	n/a	2-Sep	600.00	3.0
BROADARCH CAP/OLD NEWC	070	KMB	S	2,000	68.39	n/a	25-Jul	80.00	4.0
AVESTA CAP	229	KO	B	100,000	70.60	n/a	20-Jul	3,000.00	3.0
BROADARCH CAP/OLD NEWC	070	LEA	B	2,000	44.66	n/a	5-Aug	80.00	4.0
Õ Doug Rogers		LGND	S	200	14.9020	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	S	5	14.8930	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	LULU	B	2,000	58.76	n/a	12-Sep	80.00	4.0
ROTHSCHILD ASSET	040	LYB	B	90,804	33.52	n/a	n/a	3,632.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	MET	S	35,000	32.52	n/a	n/a	1,050.00	3.0
MACQUARIE INVESTMENT MGMT.	040	MHK	SS	2,500	45.23	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	MHP	S	10,000	44.02	n/a	n/a	300.00	3.0
BROADARCH CAP/OLD NEWC	070	MMM	SS	2,000	79.86	n/a	7-Sep	80.00	4.0
BROADARCH CAP/OLD NEWC	070	MON	B	2,000	70.37	n/a	13-Sep	80.00	4.0
BROADARCH CAP/OLD NEWC	070	MOO	SS	2,000	50.89	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	MOS	B	2,000	71.57	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	MTD	B	2,000	157.20	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	MTD	S	1,000	155.86	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	MW	B	10,000	28.00	n/a	n/a	300.00	3.0
TROUBH PART	070	M	S	25,000	26.61	n/a	2-Sep	1,250.00	5.0
SMITH MGMT LLC	029	NDN	S	90,000	18.79	n/a	22-Aug	2,700.00	3.0
MACQUARIE INVESTMENT MGMT.	040	NFX	B	2,500	48.78	n/a	n/a	0.00	0.0
TALPION LLC	040	NLSN	B	5,000	27.64	n/a	n/a	200.00	4.0
MACQUARIE INVESTMENT MGMT.	040	NOV	B	3,000	65.62	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	NSC	B	2,000	69.29	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	NSC	S	1,000	68.71	n/a	n/a	40.00	4.0
LEVIN CAPITAL STRATEGIES	041	OMC	B	10,000	40.05	n/a	n/a	300.00	3.0
TALPION LLC	040	ORLY	S	5,000	70.23	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	OXY	B	2,000	83.92	n/a	n/a	80.00	4.0
GREEN ARROW DOUG	040	PAET	B	50,000	5.68	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	PFE	S	4,000	18.47	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	PG	S	5,000	62.56	n/a	8-Aug	200.00	4.0
BROADARCH CAP/OLD NEWC	070	PH	B	2,000	70.49	n/a	14-Sep	80.00	4.0
MACQUARIE INVESTMENT MGMT.	040	PIR	B	5,000	11.32	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	POT	S	2,000	56.98	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	QCOM	B	3,000	53.13	n/a	n/a	120.00	4.0
BRANDWINE	028	RDSA	B	69,400	66.64	n/a	n/a	2,776.00	4.0
BROADARCH CAP/OLD NEWC	070	RIMM	SS	4,000	29.29	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	RKT	B	2,000	55.30	n/a	4-Aug	80.00	4.0
NEWLAND CAPITAL MGT	025	RKT	S	10,000	54.54	n/a	4-Aug	400.00	4.0
MACQUARIE INVESTMENT MGMT.	040	ROSE	SS	4,000	44.15	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	RRC	B	2,500	62.66	n/a	14-Sep	0.00	0.0
RWC PARTNERS LTD	085	RSG	B	45,244	28.97	n/a	n/a	1,357.32	3.0
SONTERRA CAP	041	RTI	B	25,000	25.37	n/a	n/a	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	SHW	SS	3,000	75.73	n/a	7-Sep	120.00	4.0
MACQUARIE INVESTMENT MGMT.	040	SLB	SS	3,000	73.89	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	SMG	SS	2,000	47.25	n/a	9-Aug	80.00	4.0
BROADARCH CAP/OLD NEWC	070	SMH	B	3,000	30.77	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	SNDK	B	2,000	43.01	n/a	n/a	80.00	4.0
MACQUARIE INVESTMENT MGMT.	040	SPN	B	3,000	35.82	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	SPY	SS	3,000	120.92	n/a	n/a	120.00	4.0
JANA CAPITAL	044	SPY	SS	80,000	121.35	n/a	n/a	3,200.00	4.0
ROYCE TRADING	031	SUP	S	45,100	16.57	n/a	8-Aug	2,255.00	5.0
BROADARCH CAP/OLD NEWC	070	SYMC	S	2,000	16.96	n/a	n/a	80.00	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	3.44	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	TECD	B	2,000	47.35	n/a	n/a	80.00	4.0
MATRIX ASSET ADV.	091	TEVA	B	2,500	38.48	n/a	15-Sep	100.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	TGT	B	2,000	51.51	n/a	1-Sep	80.00	4.0
OZ MGMT	040	TGT	B	75,000	51.70	n/a	1-Sep	2,250.00	3.0
PRIMECAP MGMT	084	TGT	S	12,900	51.73	n/a	1-Sep	516.00	4.0
RIDGECREST INV MGMT LLC	028	TGT	B	5,000	51.64	n/a	1-Sep	250.00	5.0
BROADARCH CAP/OLD NEWC	070	TMO	S	2,000	53.84	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	UNP	S	2,000	90.29	n/a	n/a	80.00	4.0
DELTEC ASSET MGMT.	040	URI	S	11,800	17.51	n/a	n/a	590.00	5.0
LEVIN CAPITAL STRATEGIES	041	UTX	S	10,000	74.83	n/a	n/a	300.00	3.0
BROADARCH CAP/OLD NEWC	070	WAT	B	2,000	80.27	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	WBC	S	1,500	48.29	n/a	18-Aug	60.00	4.0
DAVIDSON KEMPNER ADVISOR	040	WCRX	B	20,000	14.92	n/a	14-Sep	1,000.00	5.0
BROADARCH CAP/OLD NEWC	070	WERN	B	4,000	23.49	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	WFC	B	2,000	25.08	n/a	15-Sep	80.00	4.0
GREEN ARROW DOUG	040	WIN	SS	23,000	12.82	n/a	n/a	690.00	3.0
KAM ADVISORS LLC	041	WMB	B	25,600	27.18	n/a	n/a	768.00	3.0
BALYASNY ASSET MGMT	044	WRC	SS	20,000	52.35	n/a	2-Aug	1,000.00	5.0
MACQUARIE INVESTMENT MGMT.	040	XLE	B	3,000	66.87	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	XLE	SS	4,000	67.23	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	XLI	B	4,000	31.94	n/a	n/a	160.00	4.0
BRANDWINE	028	XOM	S	33,800	73.12	n/a	n/a	1,352.00	4.0
BROADARCH CAP/OLD NEWC	070	XOM	SS	2,000	72.78	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	XRT	SS	2,000	49.34	n/a	n/a	80.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	22,393	19.06	n/a	n/a	671.79	3.0
TOTAL (Trade Date):							109,524.64		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/13	ADAGE CAPITAL MGMT (ADAGCSFB)	030	KR	B	522	21.97	n/a	n/a	15.66 3.0
AO,CXL	09/13	ADAGE CAPITAL MGMT (ADAGCSFB)	030	KR	B	522	21.97	n/a	n/a	15.66 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	109,524.64
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TOTAL (RUN DATE) / NFS:	109,524.64
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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