



Daily Compliance Activity Report

Trade Date: 02/16/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	AAP	S	92,760	85.68	n/a	n/a	3,710.40	4.0
BNER	036	AAP	S	260	85.68	n/a	n/a	10.40	4.0
BROADARCH CAP/OLD NEWC	070	AA	B	5,000	10.29	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	AEP	B	2,525	40.07	n/a	n/a	101.00	4.0
ROYCE TRADING	031	AIN	S	7,000	24.21	n/a	n/a	350.00	5.0
BROADARCH CAP/OLD NEWC	070	ASML	B	1,500	46.22	n/a	n/a	60.00	4.0
DC CAPITAL	044	ATI	B	25,000	44.38	n/a	27-Jan	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	AVP	S	50,000	19.49	n/a	16-Feb	1,500.00	3.0
SF SENTRY	085	AVP	S	7,500	19.50	n/a	16-Feb	375.00	5.0
SIMMONS VENTURES	041	AVP	S	5,000	19.50	n/a	16-Feb	200.00	4.0
BROADARCH CAP/OLD NEWC	070	AXL	S	3,000	12.94	n/a	6-Feb	120.00	4.0
LATEFF MGMT	035	BA	S	600	75.25	n/a	14-Feb	103.00	21.5
ROYCE TRADING	031	BHE	S	1,000	17.28	n/a	n/a	50.00	5.0
ROYCE TRADING	031	BKE	B	500	44.72	n/a	n/a	25.00	5.0
BROADARCH CAP/OLD NEWC	070	BYI	B	1,000	44.59	n/a	n/a	40.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	CAKE	SS	4,000	31.46	n/a	15-Feb	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	CAKE	S	5,000	31.35	n/a	15-Feb	0.00	0.0
BROADARCH CAP/OLD NEWC	070	CAT	B	2,000	113.34	n/a	27-Jan	80.00	4.0
SONTERRA CAP	041	CF	B	10,000	173.67	n/a	n/a	400.00	4.0
ROYCE TRADING	031	CIR	S	2,000	39.78	n/a	n/a	100.00	5.0
BROADARCH CAP/OLD NEWC	070	CMI	B	2,000	121.19	n/a	6-Feb	80.00	4.0
PLATTE RIVER CAPITAL	240	COF	B	32,000	49.31	n/a	16-Feb	1,280.00	4.0
BESSEMER INVESTMENT	085	CPB	B	3,150	32.05	n/a	n/a	126.00	4.0
NEUBERGER BERMAN	036	CRDN	B	81,452	31.90	n/a	n/a	3,258.08	4.0
BNER	036	CRDN	B	300	31.90	n/a	n/a	12.00	4.0
BROADARCH CAP/OLD NEWC	070	CR	B	8,000	49.51	n/a	n/a	320.00	4.0
ROYCE TRADING	031	CTB	S	13,000	15.40	n/a	n/a	650.00	5.0
BESSEMER INVESTMENT	085	CTL	B	2,700	38.50	n/a	n/a	108.00	4.0
ROYCE TRADING	031	CYT	S	1,000	56.82	n/a	n/a	50.00	5.0
NEW JERSEY DIV OF INV.	030	DAL	S	200,000	10.85	n/a	n/a	8,000.00	4.0
BROADARCH CAP/OLD NEWC	070	DAN	S	3,000	16.54	n/a	13-Jan	120.00	4.0
BROADARCH CAP/OLD NEWC	070	DELL	B	3,500	18.11	n/a	n/a	140.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	DG	B	1,175	42.02	n/a	27-Jan	47.00	4.0
BESSEMER INVESTMENT	085	DHR	S	250	51.86	n/a	n/a	10.00	4.0
CATAPULT	040	DKS	B	1,606	45.04	n/a	12-Jan	64.24	4.0
BROADARCH CAP/OLD NEWC	070	DOV	B	1,000	66.01	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	DOW	S	1,000	33.64	n/a	10-Feb	50.00	5.0
CATAPULT	040	DPZ	B	5,266	32.91	n/a	13-Jan	210.64	4.0
DECADE CAPITAL PARTNERS	040	DRI	SS	19,600	50.82	n/a	6-Jan	784.00	4.0
SHEFFIELD ASSET MGMT	031	EAT	SS	72,700	28.11	n/a	25-Jan	2,908.00	4.0
COLUMBUS CAP MGMT LLC	084	EBF	SS	15,300	16.94	n/a	n/a	765.00	5.0
BESSEMER INVESTMENT	085	ECL	S	200	61.76	n/a	19-Jan	8.00	4.0
BROADARCH CAP/OLD NEWC	070	EMC	B	1,000	26.95	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	EMN	B	1,000	53.70	n/a	n/a	40.00	4.0
LEVIN CAPITAL STRATEGIES	041	EMR	S	10,000	51.38	n/a	n/a	300.00	3.0
BROADARCH CAP/OLD NEWC	070	ETN	B	1,000	50.69	n/a	27-Jan	40.00	4.0
ROYCE TRADING	031	FBN	B	2,500	1.77	n/a	n/a	75.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	FDO	B	1,388	55.18	n/a	9-Jan	55.52	4.0
BROADARCH CAP/OLD NEWC	070	FDX	B	4,000	94.80	n/a	n/a	160.00	4.0
LATEFF MGMT	035	FDX	S	350	95.03	n/a	n/a	70.00	20.0
MACQUARIE INVESTMENT MGMT.	040	FINL	S	10,000	23.73	n/a	16-Feb	0.00	0.0
ROYCE TRADING	031	FINL	B	2,500	23.65	n/a	16-Feb	125.00	5.0
RBC CAPITAL MARKETS	040	FL	B	10,000	28.08	n/a	16-Feb	400.00	4.0
BROADARCH CAP/OLD NEWC	070	FMC	B	2,000	94.30	n/a	8-Dec	80.00	4.0
CRAMER ROSENTHAL	070	FMC	B	6,550	95.11	n/a	8-Dec	262.00	4.0
ROYCE TRADING	031	FOE	S	5,000	6.91	n/a	n/a	250.00	5.0
BROADARCH CAP/OLD NEWC	070	FUL	B	4,000	30.13	n/a	n/a	160.00	4.0
ROYCE TRADING	031	FUL	S	4,000	29.91	n/a	n/a	200.00	5.0
MERRILL ASSET/BLACKROCK	297	GEOI	S	8,900	33.52	n/a	n/a	356.00	4.0
SONTERRA CAP	041	GGB	SS	100,000	10.11	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	GLW	S	500	13.52	n/a	10-Feb	25.00	5.0
OZ MGMT	040	GM	C	59,250	25.93	n/a	16-Feb	1,777.50	3.0
PHILADELPHIA FINANCIAL	033	GM	C	65,000	25.54	n/a	16-Feb	2,600.00	4.0
NEW JERSEY DIV OF INV.	030	GNW	S	200,000	8.93	n/a	n/a	8,000.00	4.0
LISTED ERR	099	GNW	B	9,496	8.91	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	GNW	S	9,496	8.89	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	GRC	B	4,975	33.42	n/a	n/a	199.00	4.0
LATEFF MGMT	035	GSPRD	B	300	19.90	n/a	n/a	30.00	10.0
PZENA INV ADV	044	GS	B	1,325	112.19	n/a	16-Feb	46.38	3.5
KLEINHEINZ CAP PART	031	HBI	B	50,000	26.91	n/a	16-Feb	2,500.00	5.0
SIMMONS VENTURES	041	HBI	B	9,100	24.97	n/a	16-Feb	364.00	4.0
NEW JERSEY DIV OF INV.	030	HES	S	100,000	64.68	n/a	n/a	4,000.00	4.0
CAMBIAR CAP	046	HSP	S	74,975	37.39	n/a	16-Feb	2,999.00	4.0
CATAPULT	040	HSY	B	2,278	60.72	n/a	n/a	91.12	4.0
BMO NESBITT BURNS	041	IP	SS	30,400	33.06	n/a	2-Feb	1,520.00	5.0
BROADARCH CAP/OLD NEWC	070	IP	B	2,000	33.85	n/a	2-Feb	80.00	4.0
ROSEDALE CAPITAL	046	JNJ	B	10,000	64.65	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	JNPR	S	500	23.71	n/a	n/a	25.00	5.0
BROADARCH CAP/OLD NEWC	070	JOY	B	2,000	84.47	n/a	25-Jan	80.00	4.0
BRONSON POINT	036	JPM	B	42,500	37.42	n/a	16-Feb	1,275.00	3.0
BROADARCH CAP/OLD NEWC	070	KNX	B	2,000	17.90	n/a	n/a	80.00	4.0
BASIX	033	LEN	S	60,000	23.24	n/a	n/a	1,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	LLY	B	2,575	38.62	n/a	n/a	103.00	4.0
BROADARCH CAP/OLD NEWC	070	LOW	B	1,000	27.31	n/a	8-Feb	40.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	65,000	7.77	n/a	7-Feb	3,250.00	5.0
BROADARCH CAP/OLD NEWC	070	LXK	B	1,000	37.46	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	LYB	B	1,500	43.96	n/a	n/a	60.00	4.0
PATTEN & PATTEN	025	MAR	S	99	34.71	n/a	13-Jun	4.95	5.0
BROADARCH CAP/OLD NEWC	070	MGA	B	1,000	44.45	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	MRVL	B	2,500	16.65	n/a	n/a	100.00	4.0
HOLLIS CAPITAL	033	MSFT	S	5,000	31.37	n/a	n/a	250.00	5.0
ROYCE TRADING	031	MTX	B	2,702	66.56	n/a	n/a	135.10	5.0
WOODWAY FINANCIAL	031	MWE	S	200	58.55	n/a	n/a	12.00	6.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	S	5,000	30.58	n/a	26-Jan	250.00	5.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.19	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	NSC	S	2,000	68.56	n/a	n/a	80.00	4.0
TUDOR INVESTORS	028	NSC	SS	10,000	68.56	n/a	n/a	300.00	3.0
BROADARCH CAP/OLD NEWC	070	NTAP	B	750	41.96	n/a	n/a	30.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	NUAN	B	20,550	27.00	n/a	n/a	1,027.50	5.0
BROADARCH CAP/OLD NEWC	070	OC	B	2,000	30.31	n/a	n/a	80.00	4.0
LATEFF MGMT	035	OI	S	350	24.09	n/a	n/a	52.50	15.0
KACELA CAPITAL	034	ORCL	B	59,000	28.96	n/a	n/a	2,360.00	4.0
SONTERRA CAP	041	OSK	S	100,000	24.12	n/a	n/a	4,000.00	4.0
BROADARCH CAP/OLD NEWC	070	OXY	B	1,000	103.88	n/a	n/a	40.00	4.0
CATAPULT	040	PEP	B	1,276	63.12	n/a	n/a	51.04	4.0
CAERUS GLOBAL	041	PFCB	B	40,000	34.67	n/a	16-Feb	1,600.00	4.0
DECADE CAPITAL PARTNERS	040	PFCB	B	29,200	34.50	n/a	16-Feb	1,168.00	4.0
LATEFF MGMT	035	PKG	S	350	29.53	n/a	24-Jan	52.50	15.0
BROADARCH CAP/OLD NEWC	070	PPG	B	1,500	91.37	n/a	19-Jan	60.00	4.0
LATEFF MGMT	035	PSAPRR	B	900	26.46	n/a	n/a	90.00	10.0
BROADARCH CAP/OLD NEWC	070	QLTY	B	2,000	12.90	n/a	n/a	80.00	4.0
CATAPULT	040	RCL	B	1,112	30.57	n/a	n/a	44.48	4.0
MERRILL ASSET/BLACKROCK	297	RFMD	S	29,400	5.05	n/a	n/a	1,176.00	4.0
CATAPULT	040	RGC	B	4,902	13.50	n/a	n/a	196.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	SBH	B	2,043	23.27	n/a	n/a	81.72	4.0
CATAPULT	040	SBUX	B	4,232	48.68	n/a	27-Jan	169.28	4.0
PATTEN & PATTEN	025	SCJ	S	1,465	45.21	n/a	n/a	73.25	5.0
BRONSON POINT	036	SEE	B	20,000	20.42	n/a	2-Jun	600.00	3.0
BROADARCH CAP/OLD NEWC	070	SIAL	B	1,500	71.47	n/a	9-Feb	60.00	4.0
LEVIN CAPITAL STRATEGIES	041	SKX	C	25,600	14.10	n/a	n/a	256.00	1.0
BROADARCH CAP/OLD NEWC	070	SPW	B	2,000	75.32	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	SPY	B	3,000	134.93	n/a	n/a	120.00	4.0
LATEFF MGMT	035	TCB	S	2,500	11.22	n/a	n/a	225.00	9.5
CATAPULT	040	THI	B	447	49.54	n/a	n/a	17.88	4.0
SONTERRA CAP	041	TOWR	S	1,102	14.04	n/a	n/a	44.08	4.0
SONTERRA CAP	041	TRN	SS	10,000	34.96	n/a	n/a	400.00	4.0
NEW JERSEY DIV OF INV.	030	TWX	S	100,000	37.76	n/a	n/a	4,000.00	4.0
SURVEYOR CAPITAL	251	TXRH	B	50,000	16.09	n/a	n/a	1,500.00	3.0
BROADARCH CAP/OLD NEWC	070	TYC	B	5,000	48.81	n/a	2-Feb	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	UFS	B	2,000	93.33	n/a	n/a	80.00	4.0
TUDOR INVESTORS	028	UNP	B	5,000	108.67	n/a	n/a	150.00	3.0
MERRILL ASSET/BLACKROCK	297	URS	S	30,000	42.58	n/a	n/a	1,200.00	4.0
STANDARD PACIFIC CAPITAL	084	VALE	B	75,000	24.88	n/a	n/a	3,750.00	5.0
BESSEMER INVESTMENT	085	VZ	B	2,630	37.98	n/a	n/a	105.20	4.0
PATTEN & PATTEN	025	V	S	1,100	115.09	n/a	8-Feb	55.00	5.0
BROADARCH CAP/OLD NEWC	070	WCC	B	4,000	64.00	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	WERN	B	2,000	25.05	n/a	n/a	80.00	4.0
MACQUARIE INVESTMENT MGMT.	040	WMT	B	5,000	62.07	n/a	8-Feb	0.00	0.0
BESSEMER INVESTMENT	085	WU	B	100	17.65	n/a	n/a	4.00	4.0
BESSEMER INVESTMENT	085	XOM	S	150	84.96	n/a	n/a	6.00	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	18,000	58.10	n/a	n/a	540.00	3.0
TOTAL (Trade Date) :								93,791.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									93,791.84
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									93,791.84

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