



Daily Compliance Activity Report

Trade Date: 11/22/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AAPL	B	200	374.09	n/a	n/a	8.00	4.0
BROADARCH CAP/OLD NEWC	070	AAPL	S	100	372.56	n/a	n/a	4.00	4.0
OHIO PERS	047	ABX	S	4,802	48.89	n/a	n/a	144.06	3.0
BROADARCH CAP/OLD NEWC	070	AGU	S	400	69.51	n/a	n/a	16.00	4.0
BROADARCH CAP/OLD NEWC	070	ALB	S	1,000	49.34	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	ALTR	SS	1,500	35.26	n/a	n/a	60.00	4.0
PATTEN & PATTEN	025	AML	B	1,000	15.87	n/a	n/a	50.00	5.0
SCOPUS FUND	041	ANF	S	3,400	45.58	n/a	17-Nov	136.00	4.0
SENATOR INVESTMENT GROUP	036	APA	SS	40,000	93.81	n/a	10-Nov	1,200.00	3.0
BROADARCH CAP/OLD NEWC	070	APD	B	1,500	79.66	n/a	21-Oct	60.00	4.0
BROADARCH CAP/OLD NEWC	070	APD	S	1,550	79.09	n/a	21-Oct	62.00	4.0
BROADARCH CAP/OLD NEWC	070	APH	B	1,000	43.04	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	APKT	S	1,500	35.14	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	ASH	B	1,000	51.45	n/a	22-Nov	40.00	4.0
BROADARCH CAP/OLD NEWC	070	AVGO	B	1,005	30.09	n/a	n/a	40.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AVGO	S	246	29.89	n/a	n/a	9.84	4.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	25,000	7.86	n/a	31-Oct	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	AYI	S	2,000	44.03	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	BDX	SS	500	72.17	n/a	n/a	20.00	4.0
BROADARCH CAP/OLD NEWC	070	BMJ	B	2,000	30.43	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	BRCM	B	1,000	31.59	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	BTO	S	1,000	13.38	n/a	n/a	50.00	5.0
BROADARCH CAP/OLD NEWC	070	BWLD	B	750	62.50	n/a	n/a	30.00	4.0
BMO NESBITT BURNS	041	BWS	SS	8,000	8.11	n/a	n/a	320.00	4.0
MELLON/BANK OF NEW YORK	046	CAH	S	13,122	40.41	n/a	n/a	524.88	4.0
BROADARCH CAP/OLD NEWC	070	CBE	S	1,500	53.42	n/a	21-Oct	60.00	4.0
BROADARCH CAP/OLD NEWC	070	CCL	B	1,000	31.76	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	CCL	SS	1,500	31.50	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	CE	SS	1,000	41.18	n/a	20-May	40.00	4.0
BROADARCH CAP/OLD NEWC	070	CI	B	1,500	42.14	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	CME	SS	500	240.98	n/a	28-Apr	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CMG	B	20,000	309.64	n/a	21-Oct	600.00	3.0
BROADARCH CAP/OLD NEWC	070	CR	S	1,000	44.42	n/a	n/a	40.00	4.0
SURVEYOR CAPITAL	041	CSX	S	8,487	20.95	n/a	n/a	254.61	3.0
BROADARCH CAP/OLD NEWC	070	CTB	B	1,750	12.60	n/a	n/a	70.00	4.0
GALT INVESTMENT	041	CTRN	B	5,935	9.85	n/a	n/a	178.05	3.0
BROADARCH CAP/OLD NEWC	070	DAN	S	3,000	11.97	n/a	28-Oct	120.00	4.0
BROADARCH CAP/OLD NEWC	070	DD	S	1,000	45.44	n/a	15-Nov	40.00	4.0
BROADARCH CAP/OLD NEWC	070	DIA	B	3,000	115.07	n/a	n/a	120.00	4.0
SCOPUS FUND	041	DIS	SS	42,220	33.68	n/a	n/a	1,688.80	4.0
BMO NESBITT BURNS	041	DLTR	B	3,000	77.28	n/a	22-Nov	120.00	4.0
SCOPUS FUND	041	DLTR	B	10,000	77.17	n/a	22-Nov	400.00	4.0
PATTEN & PATTEN	025	DOW	S	1,000	25.04	n/a	1-Nov	50.00	5.0
TALPION LLC	040	DSW	SS	10,000	45.59	n/a	11-Feb	400.00	4.0
JP MORGAN VENTURES	046	EAT	B	10,000	22.39	n/a	26-Oct	400.00	4.0
PATTEN & PATTEN	025	ECA	S	1,600	18.80	n/a	n/a	80.00	5.0
BROADARCH CAP/OLD NEWC	070	EDZ	B	1,000	23.85	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	EMN	B	1,000	37.12	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	EMR	SS	2,000	48.33	n/a	n/a	80.00	4.0
LOCUS WOOD CAPITAL MGMT	044	EP	B	10,000	24.94	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	ESV	B	1,000	49.80	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	EWJ	S	1,500	9.05	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	EWZ	S	750	56.97	n/a	n/a	37.50	5.0
BROADARCH CAP/OLD NEWC	070	FBR	SS	5,000	7.30	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	FCX	S	250	35.51	n/a	n/a	12.50	5.0
BMO NESBITT BURNS	041	FDO	SS	2,000	57.46	n/a	29-Sep	80.00	4.0
SURVEYOR CAPITAL	041	FITB	S	87,642	11.40	n/a	n/a	2,629.26	3.0
BNP PARIBAS SEC	040	FL	S	25,000	22.09	n/a	18-Nov	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	100,000	22.12	n/a	18-Nov	3,000.00	3.0
PATTEN & PATTEN	025	FRC	S	2,000	28.27	n/a	n/a	100.00	5.0
BMO NESBITT BURNS	041	FRED	SS	8,000	12.36	n/a	n/a	320.00	4.0
BROADARCH CAP/OLD NEWC	070	FXI	SS	1,000	34.31	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	F	S	1,000	10.04	n/a	2-Nov	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	GDI	B	5,000	75.17	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	GDI	S	500	77.05	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	GE	S	5,925,839	15.06	n/a	n/a	59,258.39	1.0
BROADARCH CAP/OLD NEWC	070	GE	B	3,000	15.21	n/a	n/a	120.00	4.0
FIRST NY SEC/CHRIS	041	GE	B	20,000	15.00	n/a	n/a	600.00	3.0
PATTEN & PATTEN	025	GLW	S	1,000	14.45	n/a	14-Nov	50.00	5.0
PROSPECTOR PARTNERS LLC	036	GLW	B	10,000	14.51	n/a	14-Nov	400.00	4.0
BROADARCH CAP/OLD NEWC	070	GM	B	2,000	21.01	n/a	10-Nov	80.00	4.0
BROADARCH CAP/OLD NEWC	070	GOOG	S	100	580.28	n/a	n/a	4.00	4.0
SURVEYOR CAPITAL	041	HON	B	10,000	50.99	n/a	7-Nov	300.00	3.0
CRAMER ROSENTHAL/SCOTT	070	HOT	S	46,600	46.13	n/a	13-Jun	1,864.00	4.0
PATTEN & PATTEN	025	ILF	S	500	41.82	n/a	n/a	25.00	5.0
BROADARCH CAP/OLD NEWC	070	IM	S	3,000	17.86	n/a	n/a	120.00	4.0
MELLON/BANK OF NEW YORK	046	INTC	S	402,723	23.28	n/a	n/a	16,108.92	4.0
PATTEN & PATTEN	025	INTC	S	800	23.32	n/a	n/a	40.00	5.0
BROADARCH CAP/OLD NEWC	070	ITW	SS	4,000	43.70	n/a	26-Oct	160.00	4.0
KACELA CAPITAL	034	ITW	B	45,000	44.09	n/a	26-Oct	1,800.00	4.0
CHESAPEAKE PARTNERS	028	JAKK	B	5,000	18.75	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	JCI	B	300	28.59	n/a	21-Nov	15.00	5.0
PATTEN & PATTEN	025	JCI	S	3,150	28.57	n/a	21-Nov	157.50	5.0
ROSEDALE CAPITAL	046	JEF	B	25,000	10.15	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	JWN	S	12,000	46.08	n/a	11-Nov	480.00	4.0
BROADARCH CAP/OLD NEWC	070	KLAC	SS	1,000	43.70	n/a	n/a	40.00	4.0
JP MORGAN VENTURES	046	KR	B	20,000	22.03	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	KSS	B	3,000	54.52	n/a	11-Nov	120.00	4.0
PZENA INV ADV	044	LLL	S	325	63.94	n/a	n/a	11.38	3.5
BROADARCH CAP/OLD NEWC	070	LMT	B	1,220	74.13	n/a	21-Nov	48.80	4.0
TUDOR INVESTORS	028	LOW	B	25,000	22.86	n/a	16-Nov	750.00	3.0
BROADARCH CAP/OLD NEWC	070	LXK	SS	3,000	32.41	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	LYB	B	3,000	29.96	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	MGA	B	2,000	33.55	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	MMM	B	1,000	78.04	n/a	8-Nov	40.00	4.0
PATTEN & PATTEN	025	MSI	S	57	44.44	n/a	n/a	2.85	5.0
OHIO PERS	047	NEM	B	3,776	66.08	n/a	n/a	113.28	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JENNISON	070	NTAP	B	150,000	34.90	n/a	n/a	5,550.04	3.7
PATTEN & PATTEN	025	NUAN	S	500	23.08	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	NUE	S	1,450	36.94	n/a	n/a	72.50	5.0
PATTEN & PATTEN	025	NVS	S	200	53.61	n/a	n/a	10.00	5.0
BROADARCH CAP/OLD NEWC	070	ORCL	S	1,500	29.73	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	OXY	B	2,000	92.38	n/a	n/a	80.00	4.0
COLUMBUS CIRCLE	036	PANL	S	3,800	42.49	n/a	n/a	152.00	4.0
BROADARCH CAP/OLD NEWC	070	PKG	S	4,000	25.30	n/a	18-Oct	160.00	4.0
SURVEYOR CAPITAL	041	PLL	S	2,000	51.66	n/a	n/a	60.00	3.0
BROADARCH CAP/OLD NEWC	070	PPG	B	1,000	81.56	n/a	20-Oct	40.00	4.0
PATTEN & PATTEN	025	PRU	S	500	47.12	n/a	n/a	25.00	5.0
CHESAPEAKE PARTNERS	028	PSS	B	4,500	11.68	n/a	n/a	135.00	3.0
BROADARCH CAP/OLD NEWC	070	PX	SS	1,500	96.22	n/a	26-Oct	60.00	4.0
PATTEN & PATTEN	025	QCOM	S	250	54.51	n/a	n/a	12.50	5.0
BROADARCH CAP/OLD NEWC	070	RCL	B	1,000	25.87	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	ROC	B	1,000	42.39	n/a	n/a	40.00	4.0
RAIL-SPLITTER	031	SAPE	B	20,000	11.51	n/a	n/a	1,000.00	5.0
BMO NESBITT BURNS	041	SCVL	B	4,000	21.01	n/a	n/a	160.00	4.0
PROSPECTOR PARTNERS LLC	036	SLE	B	10,000	17.83	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	SMG	S	142	42.25	n/a	9-Nov	5.68	4.0
BROADARCH CAP/OLD NEWC	070	SNDK	S	1,000	47.35	n/a	n/a	40.00	4.0
BMO NESBITT BURNS	041	SVU	SS	6,000	7.56	n/a	n/a	240.00	4.0
ARSENAL ASSET MANAGEMENT	028	SWK	B	10,000	62.78	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	SYK	SS	500	46.28	n/a	n/a	20.00	4.0
BROADARCH CAP/OLD NEWC	070	TECD	B	1,000	47.00	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TECD	SS	1,000	47.41	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TEL	B	1,000	31.64	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TEL	SS	1,000	31.76	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	TEVA	S	200	38.57	n/a	21-Nov	10.00	5.0
LOCUS WOOD CAPITAL MGMT	044	TGP	S	40,000	31.65	n/a	n/a	1,600.00	4.0
PATTEN & PATTEN	025	TIF	S	500	72.46	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	TMO	B	1,000	45.26	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	TSCO	S	250	71.63	n/a	n/a	12.50	5.0
TUDOR INVESTORS	028	TSN	S	25,000	19.42	n/a	n/a	750.00	3.0
BROADARCH CAP/OLD NEWC	070	TXN	S	2,000	28.84	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	UFS	SS	1,000	74.46	n/a	n/a	40.00	4.0
COOPER CREEK PART	028	UFS	SS	5,000	74.90	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	UNP	S	1,000	98.28	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	UTX	B	2,000	73.59	n/a	n/a	80.00	4.0
MELLON/BANK OF NEW YORK	046	WAG	S	13,470	31.13	n/a	n/a	538.80	4.0
BROADARCH CAP/OLD NEWC	070	WLP	B	500	67.62	n/a	n/a	20.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	46.49	n/a	4-Nov	300.00	3.0
BROADARCH CAP/OLD NEWC	070	XLE	S	1,000	66.09	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	XOM	S	250	76.73	n/a	n/a	12.50	5.0
CATAPULT	040	X	S	20,000	24.25	n/a	n/a	800.00	4.0
TOTAL (Trade Date) :								116,086.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/21	ROSEDALE CAPITAL (ROSEJPM)	046	KEG	B	25,000	13.27	n/a	2-Nov	1250.00 5.0
AO,CRT	11/21	ROSEDALE CAPITAL (ROSEJPM)	046	KEG	B	25,000	13.27	n/a	2-Nov	1000.00 4.0
AO,CRT	11/21	LISTED ERR (LISTED ERR)	099	PKG	S	10,000	25.06	n/a	18-Oct	0.00 0.0
AO,CXL	11/21	COOPER CREEK PART (COOPGS)	028	PKG	S	10,000	25.06	n/a	18-Oct	400.00 4.0
TOTAL (AO, CXL, CRT) :										-650.00

TOTAL (Trade Date) :	116,086.34
TOTAL (AO, CXL, CRT) :	-650.00

TOTAL (RUN DATE) / NFS :	115,436.34
---------------------------------	-------------------

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