



Daily Compliance Activity Report

Trade Date: 06/28/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	AA	B	2,500	8.42	n/a	n/a	175.00	7.0
BROADARCH CAP/OLD NEWC	070	ALB	SS	500	57.16	n/a	n/a	20.00	4.0
THE JAY GOLDMAN	028	ALV	B	5,000	52.51	n/a	20-Jun	200.00	4.0
WOOSTER CAPITAL	035	ALV	B	25,000	52.51	n/a	20-Jun	1,250.00	5.0
FIRST NY SEC/CHRIS	041	ANR	B	25,000	8.35	n/a	n/a	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	ARG	SS	500	80.13	n/a	13-Jun	20.00	4.0
BROADARCH CAP/OLD NEWC	070	ARNA	S	5,000	9.90	n/a	n/a	200.00	4.0
SCOPUS FUND	041	ARO	S	32,684	16.07	n/a	n/a	1,307.36	4.0
BROADARCH CAP/OLD NEWC	070	A	B	1,000	37.78	n/a	n/a	40.00	4.0
NEWLAND CAPITAL MGT	025	BECN	SS	15,000	24.17	n/a	n/a	600.00	4.0
TUDOR INVESTORS	028	BKE	B	75,000	37.84	n/a	n/a	2,250.00	3.0
BROADARCH CAP/OLD NEWC	070	BRCM	S	3,000	32.44	n/a	n/a	120.00	4.0
LATEEF MGMT	035	CBL	S	2,500	18.52	n/a	n/a	225.00	9.0
BROADARCH CAP/OLD NEWC	070	COH	B	1,500	55.59	n/a	9-May	60.00	4.0
CHANNING CAPITAL	031	CYT	B	50,437	55.46	n/a	n/a	2,017.48	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WILLIAMS TRADING/BLUE MTN	025	C	B	75,000	25.70	n/a	20-Jun	2,250.00	3.0
RBC CAPITAL MARKETS	040	DNKN	B	8,000	33.73	n/a	n/a	320.00	4.0
LISTED ERR	099	DNKN	S	500	33.72	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	ECA	SS	25,000	19.96	n/a	n/a	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	ESRX	B	1,000	54.12	n/a	n/a	40.00	4.0
MILLENNIUM-ANDEW	031	ETN	B	10,000	37.16	n/a	14-Jun	600.00	6.0
BROADARCH CAP/OLD NEWC	070	EWZ	S	2,000	48.36	n/a	n/a	80.00	4.0
CAERUS GLOBAL	041	FINL	S	25,000	18.38	n/a	22-Jun	1,000.00	4.0
RBC CAPITAL MARKETS	040	GNC	B	7,000	37.53	n/a	n/a	280.00	4.0
FRONTIER	029	HMA	S	109,940	7.44	n/a	n/a	3,298.20	3.0
BROADARCH CAP/OLD NEWC	070	HUM	B	2,000	79.06	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	HUM	SS	2,000	78.31	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	IBM	S	1,000	189.42	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	ITW	B	1,000	50.62	n/a	13-Jun	40.00	4.0
BALYASNY ASSET MGMT	044	JCP	C	15,000	22.09	n/a	16-May	750.00	5.0
WEISS PECK - ROBECO INV		040	JNY	B	10,200	9.13	n/a	26-Apr	408.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BROADARCH CAP/OLD NEWC	070	JPM	S	1,500	34.87	n/a	20-Jun	60.00	4.0	
BRONSON POINT	036	JPM	B	25,000	35.87	n/a	20-Jun	750.00	3.0	
BROADARCH CAP/OLD NEWC	070	KMX	SS	500	24.97	n/a	n/a	20.00	4.0	
BROADARCH CAP/OLD NEWC	070	KORS	B	2,000	40.86	n/a	n/a	80.00	4.0	
BROADARCH CAP/OLD NEWC	070	LSI	S	2,200	5.96	n/a	n/a	88.00	4.0	
BROADARCH CAP/OLD NEWC	070	MTD	SS	500	150.68	n/a	n/a	20.00	4.0	
RBC CAPITAL MARKETS	040	MTN	SS	4,000	47.73	n/a	n/a	160.00	4.0	
FIRST NEW YORK LEDDY	035	NOK	S	20,000	2.12	n/a	n/a	800.00	4.0	
BROADARCH CAP/OLD NEWC	070	NTAP	B	1,000	29.92	n/a	n/a	40.00	4.0	
COOPER CREEK PART	028	PAG	B	20,000	20.46	n/a	26-Apr	800.00	4.0	
BROADARCH CAP/OLD NEWC	070	POT	S	3,000	42.93	n/a	n/a	120.00	4.0	
SYSTEMATIC FINANCIAL MGT	035	PVH	B	35,550	74.41	n/a	25-May	1,066.50	3.0	
CHANNING CAPITAL	031	PXP	B	17,370	32.52	n/a	n/a	694.80	4.0	
GUGGENHEIM GLOBAL TRADING (GGT)	028	RA	S	6,900	23.77		n/a	n/a	207.00	3.0
BROADARCH CAP/OLD NEWC	070	RTH	SS	5,000	41.10	n/a	n/a	200.00	4.0	
GALT INVESTMENT	041	RUE	B	10,000	24.49	n/a	n/a	500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	SJM	SS	5,000	74.23	n/a	n/a	200.00	4.0
SIMMONS VENTURES	041	SKS	SS	10,000	10.20	n/a	n/a	400.00	4.0
CHANNING CAPITAL	031	SPN	B	22,683	18.94	n/a	n/a	907.32	4.0
BROADARCH CAP/OLD NEWC	070	SSO	B	1,000	51.63	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TECD	SS	750	46.67	n/a	n/a	30.00	4.0
BROADARCH CAP/OLD NEWC	070	TIF	SS	2,000	50.95	n/a	n/a	80.00	4.0
RBC CAPITAL MARKETS	040	TJX	B	5,000	41.56	n/a	28-Jun	200.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	TJX	S	32,981	41.43	n/a	28-Jun	983.14	2.7
BROADARCH CAP/OLD NEWC	070	TMO	SS	1,000	50.21	n/a	n/a	40.00	4.0
RBC CAPITAL MARKETS	040	TUP	SS	4,000	53.65	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	VHS	B	5,000	8.36	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	WAT	B	750	76.04	n/a	n/a	30.00	4.0
BROADARCH CAP/OLD NEWC	070	WYNN	B	1,500	101.46	n/a	13-Jun	60.00	4.0
TOTAL (Trade Date) :								28,937.80	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/28	WOOSTER CAPITAL (WOOSGOLDMA)	035	ALV	B	25,000	52.51	n/a	20-Jun	1250.00 5.0
AO,CXL	06/27	VISIUM/BALY BOBBY (VISBMSBOB)	044	PWR	B	20,000	22.87	n/a	n/a	1000.00 5.0
AO,	06/27	VISIUM/BALY BOBBY (VISBMSBOB)	044	PWR	B	20,000	22.87	n/a	n/a	1000.00 5.0

TOTAL (AO, CXL, CRT) :	1,250.00
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TOTAL (Trade Date) :	28,937.80
TOTAL (AO, CXL, CRT) :	1,250.00

TOTAL (RUN DATE) / NFS:	30,187.80
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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