



Daily Compliance Activity Report

Trade Date: 08/21/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	275	663.31	n/a	n/a	8.25	0.0
HIGHBRIDGE CAP	041	AA	SS	28,000	8.92	n/a	n/a	560.00	2.0
BROADARCH CAP/OLD NEWC	070	ADI	S	1,300	40.35	n/a	n/a	52.00	4.0
BROADARCH CAP/OLD NEWC	070	ALB	B	1,000	60.56	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	ANF	B	500	36.50	n/a	16-Aug	20.00	4.0
BROADARCH CAP/OLD NEWC	070	BASFY	B	1,500	78.64	n/a	n/a	60.00	4.0
HIGHBRIDGE CAP	041	BG	B	11,000	65.73	n/a	n/a	330.00	3.0
FIRST NY SEC/CHRIS	041	BIG	B	10,000	38.98	n/a	23-May	300.00	3.0
HIGHBRIDGE CAP	041	CF	B	2,419	213.76	n/a	n/a	72.57	3.0
GALT INVESTMENT	041	CLUB	S	3,941	13.45	n/a	n/a	157.64	4.0
NEUBERGER BERMAN	036	COG	S	25,000	42.92	n/a	25-Jul	1,000.00	0.0
NEUBERGER BERMAN	036	CRR	S	8,000	72.49	n/a	21-Aug	320.00	0.0
HIGHBRIDGE CAP	041	DAL	B	26,000	9.88	n/a	n/a	520.00	2.0
BROADARCH CAP/OLD NEWC	070	DE	SS	1,000	77.48	n/a	11-Jul	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	DLLR	S	7,200	20.28	n/a	n/a	288.00	0.0
JP MORGAN VENTURES	046	DSW	SS	10,000	63.95	n/a	11-Feb	400.00	4.0
BROADARCH CAP/OLD NEWC	070	EDZ	S	2,500	12.48	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	ETN	S	4,000	46.17	n/a	15-Aug	160.00	4.0
ARSENAL ASSET MANAGEMENT	028	FLS	SS	2,500	127.97	n/a	n/a	100.00	0.0
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FIRST NY SEC/CHRIS	041	GES	SS	10,000	33.38	n/a	18-Jul	300.00	3.0
CAISSE DEPOT PLACEMENT Q	295	GPN	S	10,000	39.92	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	HUBB	B	1,000	82.93	n/a	n/a	40.00	4.0
TOURMALINE PARTNERS CHRIS	041	INXN	B	10,000	19.30	n/a	n/a	300.00	0.0
BROADARCH CAP/OLD NEWC	070	IR	B	500	47.46	n/a	20-Jul	20.00	4.0
STRONG/MARK GRONET	030	ITPOF	S	56,900	9.15	n/a	n/a	1,707.00	0.0
BROADARCH CAP/OLD NEWC	070	JAZZ	S	1,500	46.70	n/a	n/a	60.00	4.0
HIGHBRIDGE CAP	041	JBHT	SS	5,500	53.70	n/a	n/a	165.00	3.0
HARVEST MGMT (JMP)	029	JCP	SS	15,000	24.36	n/a	13-Aug	600.00	4.0
WEINTRAUB CAPITAL MGT.	084	JCP	SS	100,000	24.36	n/a	13-Aug	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASIX	033	JNY	S	36,000	11.99	n/a	26-Jul	1,080.00	3.0
HARVEST MGMT (JMP)	029	KSS	B	10,000	51.74	n/a	10-Aug	400.00	4.0
SCOUT/UMB	047	KSS	S	33,264	51.60	n/a	10-Aug	997.92	0.0
HIGHBRIDGE CAP	041	LCC	B	46,000	11.41	n/a	n/a	1,380.00	3.0
DISCIPLINED GROWTH INV.	030	LTD	S	1,900	47.95	n/a	n/a	95.00	0.0
NEUBERGER BERMAN	036	MATW	S	5,992	31.01	n/a	n/a	239.68	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	SS	10,000	77.72	n/a	n/a	400.00	0.0
BROADARCH CAP/OLD NEWC	070	MTD	B	250	165.00	n/a	n/a	10.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	28.32	n/a	14-Aug	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	PPG	SS	10,000	108.81	n/a	9-Aug	400.00	0.0
SCOPUS FUND	041	PPG	S	10,000	107.75	n/a	9-Aug	400.00	0.0
GALT INVESTMENT	041	PSUN	S	40,000	2.06	n/a	n/a	1,000.00	2.5
BROADARCH CAP/OLD NEWC	070	PX	B	500	108.51	n/a	8-Aug	20.00	4.0
BROADARCH CAP/OLD NEWC	070	QQQ	B	2,000	68.70	n/a	n/a	80.00	4.0
NEUBERGER BERMAN	036	RBA	S	10,200	19.79	n/a	n/a	408.00	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	1,600	26.26	n/a	n/a	80.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	RKT	B	4,000	66.00	n/a	20-Aug	120.00	3.0
BROADARCH CAP/OLD NEWC	070	ROC	SS	1,000	47.44	n/a	n/a	40.00	4.0
GALT INVESTMENT	041	ROST	B	10,000	69.47	n/a	17-Aug	500.00	5.0
SANDLER CAPITAL	028	SI	C	120,000	93.94	n/a	n/a	6,000.00	0.0
HIGHBRIDGE CAP	041	SLB	S	7,000	74.75	n/a	n/a	210.00	3.0
BROADARCH CAP/OLD NEWC	070	SMH	SS	2,500	33.61	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	TECD	SS	1,000	49.54	n/a	n/a	40.00	4.0
TOCQUEVILLE	035	TFX	S	45,000	63.13	n/a	n/a	2,250.00	0.0
DISIPLINED GROWTH INV.	030	TJX	S	3,300	45.77	n/a	15-Aug	165.00	0.0
HIGHBRIDGE CAP	041	TRW	B	6,000	43.60	n/a	n/a	180.00	3.0
BROADARCH CAP/OLD NEWC	070	T	S	3,000	36.62	n/a	n/a	120.00	4.0
T. ROWE PRICE	033	VIAB	B	598,000	50.93	n/a	n/a	17,940.00	0.0
ROW4	033	VIAB	B	900	50.93	n/a	n/a	27.00	0.0
HIGHBRIDGE CAP	041	WBC	B	24,500	59.00	n/a	27-Jul	735.00	3.0
HIGHBRIDGE CAP	041	XLU	SS	14,000	37.18	n/a	n/a	280.00	2.0

TOTAL (Trade Date):

48,418.06

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/16	RIVERPARK CAPITAL (RIVPBBHLGF)	025	DLTR	B	550	47.49	n/a	16-Aug	27.50 5.0
AO,CXL	08/16	RIVERPARK CAPITAL (RIVPWEDGE)	025	DLTR	B	550	47.49	n/a	16-Aug	27.50 5.0
AO,CRT	08/20	RIVERPARK CAPITAL (RIVPBBHLGF)	025	DLTR	B	1,900	48.43	n/a	16-Aug	95.00 5.0
AO,CXL	08/20	RIVERPARK CAPITAL (RIVPWEDGE)	025	DLTR	B	1,900	48.43	n/a	16-Aug	95.00 5.0
AO,CRT	08/20	CYRUS CAPITAL (CYRUMS)	025	WLP	S	30,000	57.06	n/a	n/a	900.00 3.0
AO,CXL	08/20	CYRUS CAPITAL (CYRUGS)	025	WLP	S	30,000	57.06	n/a	n/a	900.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	48,418.06
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TOTAL (RUN DATE) / NFS :	48,418.06
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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