



Daily Compliance Activity Report

Trade Date: 06/04/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AAPL	S	150	550.44	n/a	n/a	6.00	4.0
BROADARCH CAP/OLD NEWC	070	AKZOY	SS	2,000	14.95	n/a	n/a	80.00	4.0
EPOCH INV MGMT	030	AMAT	S	2,250	10.03	n/a	n/a	67.50	3.0
MERRILL ASSET/BLACKROCK	297	AMG	S	9,575	94.69	n/a	2-Mar	383.00	4.0
EPOCH INV MGMT	030	ARCO	S	3,250	12.91	n/a	4-Jun	97.50	3.0
BROADARCH CAP/OLD NEWC	070	ARG	B	1,500	83.76	n/a	25-May	60.00	4.0
BROADARCH CAP/OLD NEWC	070	ASML	SS	500	43.90	n/a	n/a	20.00	4.0
EPOCH INV MGMT	030	AXP	S	600	53.62	n/a	1-Jun	18.00	3.0
BROADARCH CAP/OLD NEWC	070	AYI	S	4,568	50.11	n/a	n/a	182.72	4.0
BROADARCH CAP/OLD NEWC	070	A	S	750	38.25	n/a	n/a	30.00	4.0
BROADARCH CAP/OLD NEWC	070	BASFY	B	1,000	66.87	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	BASFY	SS	750	66.80	n/a	n/a	30.00	4.0
EPOCH INV MGMT	030	BA	S	1,500	67.20	n/a	16-May	45.00	3.0
MERRILL ASSET/BLACKROCK	297	BBCN	S	7,067	10.19	n/a	n/a	282.68	4.0
BROADARCH CAP/OLD NEWC	070	BMY	B	1,500	33.80	n/a	n/a	60.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	BZ	S	25,000	6.54	n/a	n/a	750.00	3.0
BALLAST CAP	040	CAT	B	4,200	83.56	n/a	26-Apr	210.00	5.0
NEUBERGER BERMAN	036	CCE	S	20,000	26.36	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	CE	SS	500	37.85	n/a	20-May	20.00	4.0
BROADARCH CAP/OLD NEWC	070	CF	SS	500	161.71	n/a	n/a	20.00	4.0
BROADARCH CAP/OLD NEWC	070	CMCSK	B	1,300	28.47	n/a	n/a	52.00	4.0
EPOCH INV MGMT	030	CMCSK	S	2,600	28.36	n/a	n/a	78.00	3.0
BAIRD INVESTMENT	047	COG	B	9,060	29.99	n/a	9-May	453.00	5.0
BROADARCH CAP/OLD NEWC	070	COH	SS	1,000	63.05	n/a	9-May	40.00	4.0
ARSENAL ASSET MANAGEMENT	028	CRI	B	10,000	51.77	n/a	n/a	400.00	4.0
PAW PARTNERS	025	CTCT	S	10,000	19.41	n/a	n/a	500.00	5.0
GOLD SACHS SPECIAL SIT	030	DAN	B	200,000	12.06	n/a	26-Apr	10,000.00	5.0
EPOCH INV MGMT	030	DE	S	650	69.78	n/a	17-May	19.50	3.0
HARVEST MGMT (JMP)	029	DG	S	5,000	48.43	n/a	1-Jun	200.00	4.0
EPOCH INV MGMT	030	DHR	S	1,250	49.84	n/a	n/a	37.50	3.0
BROADARCH CAP/OLD NEWC	070	DWRE	B	1,000	26.32	n/a	n/a	40.00	4.0

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BROADARCH CAP/OLD NEWC	070	DWRE	SS	1,000	28.03	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	EDZ	B	1,000	19.31	n/a	n/a	40.00	4.0
RIVERPARK CAPITAL	025	EMC	B	12,000	22.99	n/a	n/a	600.00	5.0
BROADARCH CAP/OLD NEWC	070	ESRX	S	2,000	50.75	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ETN	S	2,000	38.78	n/a	22-May	80.00	4.0
BROADARCH CAP/OLD NEWC	070	EWV	SS	1,000	53.66	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	FEIC	B	24,687	43.06	n/a	n/a	987.48	4.0
NEUBERGER BERMAN	036	FIS	S	138,800	31.20	n/a	n/a	5,552.00	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	S	2,800	12.98	n/a	11-May	140.00	5.0
ROSEDALE CAPITAL	046	GFI	S	25,000	13.89	n/a	n/a	1,000.00	4.0
INVESCO	031	GM	B	248,974	21.01	n/a	4-Jun	9,958.96	4.0
NWQ INVESTMENT MGMT CO	084	GOLF	S	128,340	6.03	n/a	n/a	3,850.20	3.0
EPOCH INV MGMT	030	GPC	S	600	60.73	n/a	n/a	18.00	3.0
PALESTRA	040	HBAN	SS	75,000	5.93	n/a	n/a	2,250.00	3.0
KLEINHEINZ CAP PART	031	HBI	S	50,000	26.81	n/a	25-May	2,500.00	5.0
BROADARCH CAP/OLD NEWC	070	IBM	B	500	188.60	n/a	n/a	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	IBM	SS	500	188.26	n/a	n/a	20.00	4.0
EPOCH INV MGMT	030	IP	S	1,000	27.43	n/a	27-Apr	30.00	3.0
EPOCH INV MGMT	030	IR	S	700	38.52	n/a	11-May	21.00	3.0
BROADARCH CAP/OLD NEWC	070	JCI	SS	1,000	28.59	n/a	27-Apr	40.00	4.0
PAW PARTNERS	025	JIVE	SS	10,000	14.95	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	JWN	S	25,000	46.70	n/a	1-Jun	1,000.00	4.0
NEUBERGER BERMAN	036	KBR	B	113,100	23.79	n/a	n/a	4,524.00	4.0
NEUBERGER BERMAN	036	KFT	B	15,000	37.57	n/a	n/a	600.00	4.0
PAW PARTNERS	025	KMX	S	8,300	27.35	n/a	n/a	415.00	5.0
BALLAST CAP	040	LGF	S	16,500	12.01	n/a	n/a	495.00	3.0
EPOCH INV MGMT	030	LH	S	650	83.08	n/a	n/a	19.50	3.0
BROADARCH CAP/OLD NEWC	070	LII	S	2,000	39.09	n/a	n/a	80.00	4.0
BNP PARIBAS SEC	040	LL	B	50,000	27.12	n/a	n/a	2,500.00	5.0
WOODWAY FINANCIAL	031	LPX	B	64,660	8.50	n/a	7-May	1,293.20	2.0
TUDOR INVESTORS	028	MHK	B	5,000	62.68	n/a	n/a	150.00	3.0
EPOCH INV MGMT	030	MMC	S	2,650	31.42	n/a	n/a	79.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	MMM	SS	500	82.52	n/a	1-May	20.00	4.0
EPOCH INV MGMT	030	MSFT	S	1,200	28.42	n/a	n/a	36.00	3.0
SANDLER O'NEILL ASSET	031	MS	B	25,000	12.49	n/a	31-May	1,250.00	5.0
SCOPUS FUND	041	M	SS	30,000	36.10	n/a	1-Jun	1,200.00	4.0
BROADARCH CAP/OLD NEWC	070	NTDOY	B	1,500	14.42	n/a	n/a	60.00	4.0
PAW PARTNERS	025	NUAN	B	10,000	19.45	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	ORCL	S	2,300	26.10	n/a	n/a	69.00	3.0
PARTNER REINSURANCE	033	ORCL	B	20,352	26.20	n/a	n/a	814.08	4.0
HARVEST MGMT (JMP)	029	PLCE	B	5,000	45.02	n/a	17-May	200.00	4.0
BNP PARIBAS SEC	040	PPG	B	5,000	97.00	n/a	25-May	250.00	5.0
EPOCH INV MGMT	030	PRU	S	300	44.61	n/a	n/a	9.00	3.0
BROADARCH CAP/OLD NEWC	070	PX	SS	500	103.45	n/a	3-May	20.00	4.0
BROADARCH CAP/OLD NEWC	070	ROC	B	1,500	43.39	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	ROC	SS	500	45.16	n/a	n/a	20.00	4.0
BROADARCH CAP/OLD NEWC	070	SHW	SS	500	124.62	n/a	25-May	20.00	4.0
BROADARCH CAP/OLD NEWC	070	SIAL	SS	2,000	67.51	n/a	8-May	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	SMH	SS	5,000	30.03	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	SPLS	S	2,850	12.66	n/a	n/a	85.50	3.0
EPOCH INV MGMT	030	SPTN	B	3,866	16.42	n/a	n/a	115.98	3.0
BNP PARIBAS SEC	040	SWN	B	20,000	26.75	n/a	25-May	1,000.00	5.0
BROADARCH CAP/OLD NEWC	070	SXCI	SS	1,000	87.42	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TIF	SS	500	54.29	n/a	n/a	20.00	4.0
ARSENAL ASSET MANAGEMENT	028	TJX	B	10,000	40.90	n/a	1-Jun	400.00	4.0
BROADARCH CAP/OLD NEWC	070	TMO	SS	1,000	48.35	n/a	n/a	40.00	4.0
EPOCH INV MGMT	030	TMO	S	600	48.39	n/a	n/a	18.00	3.0
SCOPUS FUND	041	TPX	S	48,500	42.34	n/a	n/a	1,940.00	4.0
SENATOR INVESTMENT GROUP	036	TROW	B	75,000	54.89	n/a	n/a	2,250.00	3.0
EPOCH INV MGMT	030	TRV	S	450	60.32	n/a	n/a	13.50	3.0
BROADARCH CAP/OLD NEWC	070	TUMI	B	1,000	15.45	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TWX	B	1,000	34.31	n/a	n/a	40.00	4.0
EPOCH INV MGMT	030	TXN	S	2,800	26.89	n/a	n/a	84.00	3.0
TUDOR INVESTORS	028	TXT	B	4,000	22.77	n/a	n/a	120.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	VECO	B	1,250	33.27	n/a	n/a	50.00	4.0
BROADARCH CAP/OLD NEWC	070	VZ	B	1,500	41.17	n/a	n/a	60.00	4.0
TUDOR INVESTORS	028	WLT	B	5,000	46.61	n/a	n/a	150.00	3.0
BROADARCH CAP/OLD NEWC	070	WPI	SS	600	68.78	n/a	4-Jun	24.00	4.0
BROADARCH CAP/OLD NEWC	070	WYNN	SS	1,000	96.89	n/a	13-Jun	40.00	4.0
BROADARCH CAP/OLD NEWC	070	XLB	SS	1,000	33.09	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	XLI	SS	1,000	33.24	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	XLU	B	7,000	35.76	n/a	n/a	280.00	4.0
BROADARCH CAP/OLD NEWC	070	XOM	B	1,700	77.75	n/a	n/a	68.00	4.0
TOTAL (Trade Date) :								65,713.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/01	BASIX (BASIBARC)	033	KMT	B	5,700	33.93	n/a	27-Apr	171.00 3.0
AO,CRT	06/01	BASIX (BASIUBS)	033	KMT	B	5,700	33.93	n/a	27-Apr	171.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	65,713.30
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TOTAL (RUN DATE) / NFS:	65,713.30
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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