

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	В	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	В	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	ВА	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	ВМҮ	В	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	В	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	В	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	В	9,060	29.99	n/a	9-May	453.00	5.0
BROADARCH CAP/OLD NEWC	070	СОН	SS	1,000	63.05	n/a	9-May	40.00	4.0
ARSENAL ASSET MANAGEMENT	028	CRI	В	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	В	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	В	1,000	26.32	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
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	В	1,000	19.31	n/a	n/a	40.00	4.0
RIVERPARK CAPITAL	025	EMC	В	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	EWW	SS	1,000	53.66	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	FEIC	В	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	В	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	В	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	В	113,100	23.79	n/a	n/a	4,524.00	4.0
NEUBERGER BERMAN	036	KFT	В	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	В	50,000	27.12	n/a	n/a	2,500.00	5.0
WOODWAY FINANCIAL	031	LPX	В	64,660	8.50	n/a	7-May	1,293.20	2.0
TUDOR INVESTORS	028	MHK	В	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	MR	I Research	Comm.	¢/Shr.
BROADARCH CAP/OLD NEWC	070	MMM	SS	500	82.52	n/a	a 1-May	20.00	4.0
EPOCH INV MGMT	030	MSFT	S	1,200	28.42	n/a	a n/a	36.00	3.0
SANDLER O'NEILL ASSET	031	MS	В	25,000	12.49	n/a	a 31-May	1,250.00	5.0
SCOPUS FUND	041	М	SS	30,000	36.10	n/a	a 1-Jun	1,200.00	4.0
BROADARCH CAP/OLD NEWC	070	NTDOY	В	1,500	14.42	n/a	a n/a	60.00	4.0
PAW PARTNERS	025	NUAN	В	10,000	19.45	n/a	a n/a	500.00	5.0
EPOCH INV MGMT	030	ORCL	S	2,300	26.10			69.00	3.0 4.0
HARVEST MGMT (JMP)	029	PLCE	В	5,000	45.02	n/a	a 17-May	200.00	4.0
BNP PARIBAS SEC	040	PPG	В	5,000	97.00	n/a	a 25-May	250.00	5.0
EPOCH INV MGMT	030	PRU	S	300	44.61	n/a	a n/a	9.00	3.0
BROADARCH CAP/OLD NEWC	070	PX	SS	500	103.45	n/a	a 3-May	20.00	4.0
BROADARCH CAP/OLD NEWC	070	ROC	В	1,500	43.39	n/a	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	a 25-May	20.00	4.0
BROADARCH CAP/OLD NEWC	070	SIAL	SS	2,000	67.51	n/a	a 8-May	80.00	4.0
	BROADARCH CAP/OLD NEWC EPOCH INV MGMT SANDLER O'NEILL ASSET SCOPUS FUND BROADARCH CAP/OLD NEWC PAW PARTNERS EPOCH INV MGMT PARTNER REINSURANCE HARVEST MGMT (JMP) BNP PARIBAS SEC EPOCH INV MGMT BROADARCH CAP/OLD NEWC BROADARCH CAP/OLD NEWC BROADARCH CAP/OLD NEWC BROADARCH CAP/OLD NEWC	BROADARCH CAP/OLD NEWC 070 EPOCH INV MGMT 030 SANDLER O'NEILL ASSET 031 SCOPUS FUND 041 BROADARCH CAP/OLD NEWC 070 PAW PARTNERS 025 EPOCH INV MGMT 030 PARTNER REINSURANCE 033 HARVEST MGMT (JMP) 029 BNP PARIBAS SEC 040 EPOCH INV MGMT 030 BROADARCH CAP/OLD NEWC 070 BROADARCH CAP/OLD NEWC 070 BROADARCH CAP/OLD NEWC 070 BROADARCH CAP/OLD NEWC 070 BROADARCH CAP/OLD NEWC 070	BROADARCH CAP/OLD NEWC 070 MMM EPOCH INV MGMT 030 MSFT SANDLER O'NEILL ASSET 031 MS SCOPUS FUND 041 M BROADARCH CAP/OLD NEWC 070 NTDOY PAW PARTNERS 025 NUAN EPOCH INV MGMT 030 ORCL PARTNER REINSURANCE 033 ORCL HARVEST MGMT (JMP) 029 PLCE BNP PARIBAS SEC 040 PPG EPOCH INV MGMT 030 PRU BROADARCH CAP/OLD NEWC 070 PX BROADARCH CAP/OLD NEWC 070 ROC BROADARCH CAP/OLD NEWC 070 ROC	BROADARCH CAP/OLD NEWC 070 MMM SS EPOCH INV MGMT 030 MSFT S SANDLER O'NEILL ASSET 031 MS B SCOPUS FUND 041 M SS BROADARCH CAP/OLD NEWC 070 NTDOY B PAW PARTNERS 025 NUAN B EPOCH INV MGMT 030 ORCL S PARTNER REINSURANCE 033 ORCL B HARVEST MGMT (JMP) 029 PLCE B BNP PARIBAS SEC 040 PPG B EPOCH INV MGMT 030 PRU S BROADARCH CAP/OLD NEWC 070 PX SS BROADARCH CAP/OLD NEWC 070 ROC B BROADARCH CAP/OLD NEWC 070 ROC SS BROADARCH CAP/OLD NEWC 070 ROC SS BROADARCH CAP/OLD NEWC 070 ROC SS	BROADARCH CAP/OLD NEWC 070 MMM SS 500 EPOCH INV MGMT 030 MSFT S 1,200 SANDLER O'NEILL ASSET 031 MS B 25,000 SCOPUS FUND 041 M SS 30,000 BROADARCH CAP/OLD NEWC 070 NTDOY B 1,500 PAW PARTNERS 025 NUAN B 10,000 EPOCH INV MGMT 030 ORCL S 2,300 PARTNER REINSURANCE 033 ORCL B 20,352 HARVEST MGMT (JMP) 029 PLCE B 5,000 BNP PARIBAS SEC 040 PPG B 5,000 EPOCH INV MGMT 030 PRU S 300 BROADARCH CAP/OLD NEWC 070 PX SS 500 BROADARCH CAP/OLD NEWC 070 ROC B 1,500 BROADARCH CAP/OLD NEWC 070 ROC SS 500	BROADARCH CAP/OLD NEWC 070 MMM SS 500 82.52 EPOCH INV MGMT 030 MSFT S 1,200 28.42 SANDLER O'NEILL ASSET 031 MS B 25,000 12.49 SCOPUS FUND 041 M SS 30,000 36.10 BROADARCH CAP/OLD NEWC 070 NTDOY B 1,500 14.42 PAW PARTNERS 025 NUAN B 10,000 19.45 EPOCH INV MGMT 030 ORCL S 2,300 26.10 PARTNER REINSURANCE 033 ORCL B 20,352 26.20 HARVEST MGMT (JMP) 029 PLCE B 5,000 45.02 BNP PARIBAS SEC 040 PFG B 5,000 97.00 EPOCH INV MGMT 030 PRU S 300 44.61 BROADARCH CAP/OLD NEWC 070 PX SS 500 103.45 BROADARCH CAP/OLD NEWC 070 ROC B 1,500 43.39 BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 BROADARCH CAP/OLD NEWC 070 ROC SS 500 124.62	BROADARCH CAP/OLD NEWC 070 MMM SS 500 82.52 n/a EPOCH INV MGMT 030 MSFT S 1,200 28.42 n/a SANDLER O'NEILL ASSET 031 MS B 25,000 12.49 n/a SCOPUS FUND 041 M SS 30,000 36.10 n/a BROADARCH CAP/OLD NEWC 070 NTDOY B 1,500 14.42 n/a EPOCH INV MGMT 030 ORCL S 2,300 26.10 n/a PARTNER REINSURANCE 033 ORCL B 20,352 26.20 n/a HARVEST MGMT (JMP) 029 PLCE B 5,000 45.02 n/a EPOCH INV MGMT 030 PRU S 300 44.61 n/a EPOCH INV MGMT 030 PRU S 300 44.61 n/a BROADARCH CAP/OLD NEWC 070 ROC B 1,500 43.39 n/a BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 n/a BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 n/a BROADARCH CAP/OLD NEWC 070 ROC SS 500 124.62 n/a	BROADARCH CAP/OLD NEWC 070 MMM SS 500 82.52 n/a 1-May EPOCH INV MGMT 030 MSFT S 1,200 28.42 n/a n/a SANDLER O'NEILL ASSET 031 MS B 25,000 12.49 n/a 31-May SCOPUS FUND 041 M SS 30,000 36.10 n/a 1-Jun BROADARCH CAP/OLD NEWC 070 NTDOY B 1,500 14.42 n/a n/a PAW PARTNERS 025 NUAN B 10,000 19.45 n/a n/a EPOCH INV MGMT 030 ORCL S 2,300 26.10 n/a n/a PARTNER REINSURANCE 033 ORCL B 20,352 26.20 n/a n/a HARVEST MGMT (JMP) 029 PLCE B 5,000 45.02 n/a 17-May BNP PARIBAS SEC 040 PPG B 5,000 97.00 n/a 25-May EPOCH INV MGMT 030 PRU S 300 44.61 n/a n/a BROADARCH CAP/OLD NEWC 070 ROC B 1,500 43.39 n/a n/a BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 n/a n/a BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 n/a 1.48 BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 n/a 25-May	BROADARCH CAP/OLD NEWC 070 MMM SS 500 82.52 n/a 1-May 20.00 EPOCH INV MGMT 030 MSPT S 1,200 28.42 n/a n/a 36.00 SANDLER O'NEILL ASSET 031 MS B 25,000 12.49 n/a 31-May 1,250.00 SCOPUS FUND 041 M SS 30,000 36.10 n/a 1-Jun 1,200.00 BROADARCH CAP/OLD NEWC 070 NTDOY B 1,500 14.42 n/a n/a 60.00 EPOCH INV MGMT 030 ORCL S 2,300 26.10 n/a n/a 69.00 PARTNER REINSURANCE 033 ORCL B 20,352 26.20 n/a n/a n/a 814.08 HARVEST MGMT (JMP) 029 PLCE B 5,000 45.02 n/a 17-May 200.00 EPOCH INV MGMT 030 PRU S 300 44.61 n/a n/a 9.00 BROADARCH CAP/OLD NEWC 070 ROC B 1,500 103.45 n/a 3-May 20.00 BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 n/a n/a n/a 60.00 BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 n/a n/a n/a 20.00 BROADARCH CAP/OLD NEWC 070 ROC SS 500 45.16 n/a n/a n/a 20.00

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	В	3 , 866	16.42	n/a	n/a	115.98	3.0
BNP PARIBAS SEC	040	SWN	В	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	В	10,000	40.90	n/a	1-Jun	400.00	4.0
BROADARCH CAP/OLD NEWC EPOCH INV MGMT	070 030	TMO TMO	SS S	1,000 600	48.35 48.39	n/a n/a	n/a n/a	40.00	4.0
SCOPUS FUND	041	TPX	S	48,500	42.34	n/a	n/a	1,940.00	4.0
SENATOR INVESTMENT GROUP	036	TROW	В	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	В	1,000	15.45	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TWX	В	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	В	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	В	1,250	33.27	n/a	n/a	50.00 4.0
BROADARCH CAP/OLD NEWC	070	VZ	В	1,500	41.17	n/a	n/a	60.00 4.0
TUDOR INVESTORS	028	WLT	В	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	В	7,000	35.76	n/a	n/a	280.00 4.0
BROADARCH CAP/OLD NEWC	070	XOM	В	1,700	77.75	n/a	n/a	68.00 4.0

TOTAL (Trade Date): 65,713.30

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
AO,CXL AO,CRT		BASIX (BASIBARC) BASIX (BASIUBS)	033 033	KMT KMT	В	5,700 5,700	33.93 33.93		27-Apr 27-Apr		
TOTAL	(AO, (CXL, CRT):								0.00	

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

Legend:

O: 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