

Daily Compliance Activity Report Trade Date: 01/12/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
PATTEN & PATTEN	025	AAPL	В	65	421.36	n/a	n/a	3.25	5.0
VISIUM/BALY BOBBY	044	AA	В	20,000	9.96	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	ACN	SS	3,000	53.23	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	ALB	В	1,500	57.38	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	AME	S	2,000	44.69	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ANR	SS	2,000	21.84	n/a	n/a	80.00	4.0
PATTEN & PATTEN	025	APC	В	200	78.83	n/a	6-Jan	10.00	5.0
BROADARCH CAP/OLD NEWC	070	AXL	В	5,000	11.54	n/a	6-Jan	200.00	4.0
BROADARCH CAP/OLD NEWC	070	BDX	В	1,000	74.48	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	BHI	S	1,000	48.30	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	BMY	S	2	33.98	n/a	n/a	0.08	4.0
BRONSON POINT	036	CBG	В	125,000	17.40	n/a	n/a	3,750.00	3.0
BROADARCH CAP/OLD NEWC	070	CERN	В	1,500	61.87	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	CF	В	2,410	165.70	n/a	n/a	96.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	/Shr.
BROADARCH CAP/OLD NEWC	070	CF	S	500	165.30	n/a	n/a	20.00	4.0
TALPION LLC	040	CLGX	S	800	13.59	n/a	n/a	32.00	4.0
BROADARCH CAP/OLD NEWC	070	CNX	SS	2,000	35.24	n/a	n/a	80.00	4.0
TALPION LLC	040	CODE	S	1,900	8.53	n/a	n/a	57.00	3.0
MOORE CAPITAL	041	DKS	S	7,500	40.90	n/a	12-Jan	225.00	3.0
SENATOR INVESTMENT GROUP	036	EMN	В	17,909	44.42	n/a	n/a	537.27	3.0
LIONEYE CAPITAL	040	EP	В	17,500	26.60	n/a	n/a	875.00	5.0
TALPION LLC	040	EP	S	3,605	26.67	n/a	n/a	144.20	4.0
BROADARCH CAP/OLD NEWC	070	ESV	S	1,000	46.82	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	ETN	S	2,000	48.84	n/a	4-Jan	80.00	4.0
ROYCE TRADING	031	FINL	В	67,000	19.19	n/a	22-Dec	3,350.00	5.0
PLATTE RIVER CAPITAL	240	FL	S	65,520	24.49	n/a	9-Jan	2,620.80	4.0
PATTEN & PATTEN	025	GE	В	1,200	18.88	n/a	n/a	60.00	5.0
BROADARCH CAP/OLD NEWC	070	GGC	В	3,000	23.92	n/a	n/a	120.00	4.0
TUDOR INVESTORS	028	GMT	В	5,000	44.42	n/a	n/a	150.00	3.0
BROADARCH CAP/OLD NEWC	070	GM	В	2,000	23.93	n/a	6-Jan	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
MACQUARIE INVESTMENT MGMT	. 040	GM	SS	15,000	24.12	n/a	6-Jan	0.00	0.0
OZ MGMT	040	GM	SS	56 , 977	24.70	n/a	6-Jan	1,709.31	3.0
BROADARCH CAP/OLD NEWC	070	HON	В	2,000	56.80	n/a	9-Jan	80.00	4.0
BROADARCH CAP/OLD NEWC	070	HPQ	SS	3,000	26.75	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	IGT	S	2 , 500	17.15	n/a	13-Jun	100.00	4.0
TUDOR INVESTORS	028	IP	В	10,000	31.40	n/a	27-Oct	300.00	3.0
BROADARCH CAP/OLD NEWC	070	IR	В	2,000	33.44	n/a	20-Oct	80.00	4.0
BROADARCH CAP/OLD NEWC	070	KLAC	В	1,400	48.98	n/a	n/a	56.00	4.0
TUDOR INVESTORS	028	LEA	В	5 , 000	41.89	n/a	6-Jan	150.00	3.0
MOORE CAPITAL	041	LIZ	В	21 , 750	9.15	n/a	7-0ct	652.50	3.0
NOMURA CAPITAL	029	LYB	S	10,000	38.56	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	MIC	В	800	28.80	n/a	n/a	40.00	5.0
TALPION LLC	040	MIM	S	1,300	32.84	n/a	n/a	52.00	4.0
BROADARCH CAP/OLD NEWC	070	MOS	В	1,000	53.19	n/a	n/a	40.00	4.0
ROYCE TRADING	031	MTX	В	5 , 500	60.57	n/a	n/a	275.00	5.0
CYPRESS CAP MGMT LLC	040	М	В	13,300	34.99	n/a	9-Jan	532.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
PATTEN & PATTEN	025	NUAN	В	1,000	28.61	n/a	n/a	50.00	5.0
BROADARCH CAP/OLD NEWC	070	ODFL	В	4,000	40.65	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	OXY	S	3,500	97.87	n/a	n/a	140.00	4.0
BROADARCH CAP/OLD NEWC	070	PFE	В	2,000	21.94	n/a	n/a	80.00	4.0
MA CAPITAL MGMT/MELLON AD	V041	PKG	В	6,000	26.29	n/a	18-Oct	300.00	5.0
METROPOLITAN CAPITAL	044	PLCE	В	5,300	48.20	n/a	5-Jan	265.00	5.0
KACELA CAPITAL	034	PTEN	S	78,000	20.03	n/a	n/a	780.00	1.0
MA CAPITAL MGMT/MELLON AD	V041	PVH	S	3,200	75.70	n/a	12-Jan	160.00	5.0
BROADARCH CAP/OLD NEWC	070	RCL	В	1,200	28.21	n/a	n/a	48.00	4.0
BROADARCH CAP/OLD NEWC	070	RKT	S	2,000	66.21	n/a	5-Jan	80.00	4.0
DEVENNY CAP LLC	044	RKT	S	7,331	65.35	n/a	5-Jan	219.93	3.0
TUDOR INVESTORS	028	RKT	S	5,000	65.30	n/a	5-Jan	150.00	3.0
BROADARCH CAP/OLD NEWC	070	ROC	В	1,000	43.68	n/a	n/a	40.00	4.0
BRONSON POINT	036	SMG	С	22,500	48.86	n/a	9-Jan	675.00	3.0
BROADARCH CAP/OLD NEWC	070	SNDK	В	1,000	50.24	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	SPW	В	3,000	65.66	n/a	n/a	120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
VISIUM/BALY BOBBY	044	SWFT	В	10,000	9.99	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	TEL	В	3,500	34.54	n/a	n/a	140.00	4.0
BROADARCH CAP/OLD NEWC	070	TGI	В	2,000	60.58	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	TGT	В	2,500	49.27	n/a	5-Jan	100.00	4.0
LEVIN CAPITAL STRATEGIES	041	TGT	В	10,970	49.87	n/a	5-Jan	329.10	3.0
SANDLER CAPITAL	028	TRV	В	80,000	60.02	n/a	n/a	4,000.00	5.0
BROADARCH CAP/OLD NEWC	070	TSN	S	1,640	20.24	n/a	n/a	65.60	4.0
BROADARCH CAP/OLD NEWC	070	UNP	В	3,000	111.26	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	UNP	SS	3,000	111.26	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	WAT	В	1,000	76.47	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	WCC	S	2,000	57.93	n/a	n/a	80.00	4.0
BRONSON POINT	036	WMT	S	25,000	59.51	n/a	16-Nov	750.00	3.0
PATTEN & PATTEN	025	WY	В	1,000	19.52	n/a	28-Oct	50.00	5.0
VISIUM/BALY BOBBY	044	XLB	С	10,000	35.86	n/a	n/a	500.00	5.0
VISIUM/BALY BOBBY	044	XLI	С	20,000	35.62	n/a	n/a	1,000.00	5.0
BROADARCH CAP/OLD NEWC	070	XLNX	В	1,000	33.26	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BROADARCH CAP/OLD NEWC	070	XLU	S	1,640	34.81	n/a	n/a	65.60 4.0
VISIUM/BALY BOBBY	044	XLU	SS	10,000	34.86	n/a	n/a	500.00 5.0

TOTAL (Trade Date): 29,986.04

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	01/10	PATTEN & PATTEN (PATTPERSHI)	025	вто	В	3,000	15.19	n/a	n/a	150.00	5.0
AO,CXL	01/10	PATTEN & PATTEN (PATTSCHWAB)	025	вто	В	3,000	15.19	n/a	n/a	150.00	5.0
AO,CRT	01/10	PATTEN & PATTEN (PATTPERSHI)	025	DBA	В	500	28.98	n/a	n/a	25.00	5.0
AO,CXL	01/10	PATTEN & PATTEN (PATTSCHWAB)	025	DBA	В	500	28.98	n/a	n/a	25.00	5.0
AO,CRT	01/10	PATTEN & PATTEN (PATTPERSHI)	025	EWZ	В	1,000	61.27	n/a	n/a	50.00	5.0
AO,CXL	01/10	PATTEN & PATTEN (PATTSCHWAB)	025	EWZ	В	1,000	61.27	n/a	n/a	50.00	5.0
AO,CRT	01/11	MA CAPITAL MGMT/MELLON ADV (MACAJPM)	041	PVH	В	2,000	70.75	n/a	12-Jan	100.00	5.0
CRT	01/12	MA CAPITAL MGMT/MELLON ADV (MACAJPM)	041	PVH	S	3,200	75.70	n/a	12-Jan	160.00	5.0
AO,CRT	01/10	PATTEN & PATTEN (PATTPERSHI)	025	QQQ	В	1,000	58.24	n/a	n/a	50.00	5.0
	01/10	PATTEN & PATTEN (PATTSCHWAB)	025	QQQ	В	1,000	58.24	n/a	n/a	50.00	5.0

TOTAL (RUN DATE) / NFS:	30,246.04
TOTAL (AO, CXL, CRT):	260.00
TOTAL (Trade Date):	29,986.04

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