



Daily Compliance Activity Report

Trade Date: 12/23/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AA	B	3,100	15.38	n/a	n/a	124.00	4.0
BROADARCH CAP/OLD NEWC	070	ACI	B	2,000	34.57	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ADBE	B	1,000	30.77	n/a	n/a	40.00	4.0
RBC CAPITAL MARKETS	040	ANF	S	20,000	57.35	n/a	3-Dec	800.00	4.0
BUCK CAPITAL MGMT	001	AN	B	40,000	28.14	n/a	29-Oct	1,200.00	3.0
MTB INV ADV	034	ARM	S	10,350	21.23	n/a	n/a	517.50	5.0
COUGAR TRADING	044	BIG	B	5,000	30.16	n/a	7-Dec	250.00	5.0
BROADARCH CAP/OLD NEWC	070	BTU	B	1,000	63.75	n/a	n/a	40.00	4.0
HOPLITE MGMT	025	BXP	S	26,000	85.80	n/a	n/a	1,300.00	5.0
BROADARCH CAP/OLD NEWC	070	CAH	B	1,000	39.19	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	CBI	B	2,000	32.57	n/a	n/a	80.00	4.0
SCOPUS FUND	041	CBS	B	10,000	19.32	n/a	n/a	400.00	4.0
MTB INV ADV	034	CF	S	4,375	131.69	n/a	n/a	218.75	5.0
BROADARCH CAP/OLD NEWC	070	COL	S	1,200	58.15	n/a	1-Nov	48.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	CPN	SS	30,000	13.54	n/a	n/a	1,200.00	4.0
MTB INV ADV	034	CROX	B	8,275	18.26	n/a	n/a	413.75	5.0
BROADARCH CAP/OLD NEWC	070	CVX	B	3,100	89.93	n/a	n/a	124.00	4.0
MTB INV ADV	034	DAN	S	11,425	17.37	n/a	29-Oct	571.25	5.0
BROADARCH CAP/OLD NEWC	070	DE	B	1,000	83.63	n/a	26-Nov	40.00	4.0
EGS ASSOCIATES LP	091	DPZ	B	4,500	16.06	n/a	10-Dec	270.00	6.0
BROADARCH CAP/OLD NEWC	070	EMN	B	500	82.94	n/a	n/a	20.00	4.0
BAIRD INVESTMENT	047	EMR	S	9,525	57.38	n/a	n/a	476.25	5.0
HOPLITE MGMT	025	EQR	S	43,000	51.52	n/a	n/a	2,150.00	5.0
TYEE/TYGH	035	EXPE	S	25,000	26.28	n/a	n/a	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	FCX	B	1,500	116.11	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	FCX	S	1,000	117.92	n/a	n/a	40.00	4.0
BENCHMARK	025	GME	B	2,500	22.26	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	GM	B	2,000	35.13	n/a	6-Dec	80.00	4.0
SCOPUS FUND	041	GR	B	15,386	87.88	n/a	21-Oct	615.44	4.0
BROADARCH CAP/OLD NEWC	070	HAL	B	2,000	40.44	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	HD	B	4,200	35.16	n/a	13-Dec	168.00	4.0
BROADARCH CAP/OLD NEWC	070	IR	S	1,500	46.87	n/a	7-Dec	60.00	4.0
SCOPUS FUND	041	IR	SS	64,914	46.90	n/a	7-Dec	2,596.56	4.0
MILLENNIUM-ANDEW	031	ITW	B	30,000	53.59	n/a	6-Dec	1,800.00	6.0
BAIRD INVESTMENT	047	JNPR	S	12,900	37.00	n/a	n/a	645.00	5.0
LISTED ERR	099	JNPR	B	36	36.93	n/a	n/a	0.00	0.0
LISTED ERR	099	JNPR	S	36	37.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	S	50,000	15.50	n/a	28-Oct	1,500.00	3.0
HOPLITE MGMT	025	KIM	S	127,000	17.38	n/a	n/a	5,080.00	4.0
RAIL-SPLITTER	031	KRE	SS	40,000	26.49	n/a	n/a	2,000.00	5.0
MANNING & NAPIER	034	LCC	B	305,220	10.07	n/a	n/a	9,156.60	3.0
BROADARCH CAP/OLD NEWC	070	LII	S	1,000	48.74	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	LOW	SS	5,000	25.50	n/a	13-Dec	200.00	4.0
BROADARCH CAP/OLD NEWC	070	MOS	B	1,000	69.58	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	M	S	50,000	25.35	n/a	30-Nov	1,500.00	3.0
BROADARCH CAP/OLD NEWC	070	ODFL	S	3,000	31.66	n/a	n/a	120.00	4.0
MERRILL ASSET/BLACKROCK	266	OSUR	S	9,700	5.71	n/a	n/a	194.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PIR	S	20,000	10.69	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	65.55	n/a	3-Dec	900.00	3.0
BROADARCH CAP/OLD NEWC	070	RCL	SS	1,000	46.23	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	RL	B	20,000	111.73	n/a	11-Nov	600.00	3.0
SUN AMERICA ASSET MGMT	030	SA	S	7,600	29.15	n/a	n/a	304.00	4.0
MERRILL ASSET/BLACKROCK	266	SHP	S	5,000	12.32	n/a	n/a	100.00	2.0
ACK ASSET	028	SKH	SS	55,000	8.66	n/a	n/a	1,650.00	3.0
SUN AMERICA ASSET MGMT	030	SKX	S	22,600	19.52	n/a	n/a	904.00	4.0
BROADARCH CAP/OLD NEWC	070	SWK	S	3,000	67.25	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	TEVA	S	2,745	50.43	n/a	20-Dec	109.80	4.0
BROADARCH CAP/OLD NEWC	070	TOT	SS	4,100	52.89	n/a	n/a	164.00	4.0
BROADARCH CAP/OLD NEWC	070	UAL	S	11,600	23.92	n/a	n/a	464.00	4.0
SCOPUS FUND	041	UTX	SS	53,157	79.37	n/a	n/a	2,126.28	4.0
BUCK CAPITAL MGMT	001	VFC	SS	50,000	86.65	n/a	22-Oct	1,500.00	3.0
CAERUS GLOBAL	041	WMS	S	1,010	46.51	n/a	23-Dec	40.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER PATH	226	XL	SS	75,000	21.88	n/a	n/a	2,250.00	3.0
BROADARCH CAP/OLD NEWC	070	XOM	B	1,120	72.98	n/a	n/a	44.80	4.0
BROADARCH CAP/OLD NEWC	070	YHOO	B	2,000	16.55	n/a	n/a	80.00	4.0
TOTAL (Trade Date) :								49,476.38	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/22	ADALY INV MGMT (ADALSOMF)	031	BAC	B	12,800	13.02	n/a	17-Dec	448.00 3.5
AO,	12/22	ADALY INV MGMT (ADALSOMF)	031	BAC	B	15,900	13.02	n/a	17-Dec	556.50 3.5
AO,CXL	12/22	ADALY INV MGMT (ADALMANOM)	031	BAC	B	12,200	13.02	n/a	17-Dec	427.00 3.5
AO,	12/22	ADALY INV MGMT (ADALMANOM)	031	BAC	B	9,100	13.02	n/a	17-Dec	318.50 3.5
CRT	12/23	EGS ASSOCIATES LP (EGASBANC O)	091	DPZ	B	4,500	16.06	n/a	10-Dec	270.00 6.0

TOTAL (AO, CXL, CRT) :	270.00
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TOTAL (Trade Date) :	49,476.38
TOTAL (AO, CXL, CRT) :	270.00

TOTAL (RUN DATE) / NFS:	49,746.38
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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