



Daily Compliance Activity Report

Trade Date: 06/08/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	ABB	B	6,000	25.59	n/a	n/a	240.00	4.0
BROADARCH CAP/OLD NEWC	070	AEE	SS	3,000	28.68	n/a	n/a	120.00	4.0
PZENA INV ADV	044	AIG	B	5,850	27.25	n/a	n/a	204.76	3.5
LISTED ERR	097	AMD	B	3,500	7.62	n/a	n/a	0.00	0.0
LISTED ERR	099	AMD	S	3,500	7.63	n/a	n/a	0.00	0.0
PERRY PARTNERS	085	AMT	S	50,000	51.20	n/a	n/a	2,500.00	5.0
ACK ASSET	028	ANF	B	20,000	67.62	n/a	19-May	600.00	3.0
BROADARCH CAP/OLD NEWC	070	ANR	B	3,000	48.33	n/a	n/a	120.00	4.0
RIDGECREST INV MGMT LLC	028	AOS	B	10,000	39.69	n/a	6-Jun	500.00	5.0
BROADARCH CAP/OLD NEWC	070	BWA	B	3,000	67.80	n/a	29-Apr	120.00	4.0
BROADARCH CAP/OLD NEWC	070	CAT	B	6,000	98.60	n/a	2-May	240.00	4.0
BROADARCH CAP/OLD NEWC	070	CCL	SS	2,000	36.54	n/a	n/a	80.00	4.0
ISLE RIDGE PARTNERS	041	CCL	B	10,800	36.35	n/a	n/a	432.00	4.0
BROADARCH CAP/OLD NEWC	070	CE	S	1,500	47.05	n/a	20-May	60.00	4.0
MACQUARIE INVESTMENT MGMT.	040	CHD	B	5,000	39.91	n/a	9-May	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	CIEN	B	1,000	21.22	n/a	n/a	40.00	4.0
MERRILL ASSET/BLACKROCK	297	CI	B	288,200	48.22	n/a	n/a	11,528.00	4.0
BROADARCH CAP/OLD NEWC	070	CL	SS	2,000	84.22	n/a	2-May	80.00	4.0
BROADARCH CAP/OLD NEWC	070	CMI	B	7,000	98.06	n/a	27-Apr	280.00	4.0
BROADARCH CAP/OLD NEWC	070	COV	B	1,500	54.71	n/a	n/a	60.00	4.0
Õ Nilsa Vazquez		CRUS	B	500	14.3490	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	CSX	B	2,000	73.91	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	DO	B	4,000	68.90	n/a	n/a	160.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	46.95	n/a	11-Feb	300.00	3.0
BROADARCH CAP/OLD NEWC	070	EMC	S	2,000	26.86	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ESRX	B	1,500	56.60	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	ESV	B	2,000	55.32	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	EXC	SS	2,000	41.70	n/a	n/a	80.00	4.0
HOLLIS CAPITAL	033	FDO	B	3,000	51.70	n/a	29-Apr	150.00	5.0
ROYCE TRADING	012	FINL	B	15,150	21.32	n/a	10-May	757.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BALYASNY ASSET MGMT	044	F	S	100,000	13.80	n/a	2-Jun	5,000.00	5.0	
BROADARCH CAP/OLD NEWC	070	GE	B	13,000	18.61	n/a	n/a	520.00	4.0	
S.A.C. CAP/ORENSTEIN	044	GE	B	50,000	18.61	n/a	n/a	1,750.00	3.5	
BROADARCH CAP/OLD NEWC	070	GPK	S	5,000	5.15	n/a	n/a	200.00	4.0	
ISLE RIDGE PARTNERS	041	HOT	B	13,300	56.63	n/a	28-Apr	532.00	4.0	
BURL CAPITAL LLC	029	IPG	B	35,000	11.20	n/a	n/a	1,400.00	4.0	
ARMATURE CAPITAL	041	IP	SS	75,000	29.13	n/a	28-Apr	3,000.00	4.0	
BROADARCH CAP/OLD NEWC	070	ITW	B	3,000	55.48	n/a	27-Apr	120.00	4.0	
BROADARCH CAP/OLD NEWC	070	JCI	B	2,000	36.22	n/a	26-Apr	80.00	4.0	
TROUBH PART	070	JCP	S	10,000	30.71	n/a	3-Jun	500.00	5.0	
BROADARCH CAP/OLD NEWC	070	KMT	B	5,000	38.35	n/a	29-Apr	200.00	4.0	
BROADARCH CAP/OLD NEWC	070	LEN	SS	5,000	16.96	n/a	n/a	200.00	4.0	
BROADARCH CAP/OLD NEWC	070	LMT	SS	3,000	77.14	n/a	2-May	120.00	4.0	
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	7.34	n/a	19-May	1,500.00	5.0	
NUVEEN - US BANCORP		030	LTM	B	28,374	33.68	n/a	n/a	1,276.84	4.5
AVESTA CAP	229	MCD	B	100,000	81.25	n/a	8-Jun	3,000.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ISLE RIDGE PARTNERS	041	MGM	S	30,900	13.18	n/a	1-Jun	1,236.00	4.0
SONTERRA CAP	041	MMI	SS	100,000	23.88	n/a	n/a	4,000.00	4.0
BROADARCH CAP/OLD NEWC	070	MMM	B	2,000	90.98	n/a	17-May	80.00	4.0
SURVEYOR CAPITAL	041	MRK	B	25,000	35.63	n/a	n/a	750.00	3.0
SMITH MGMT LLC	029	NDN	B	245,000	20.42	n/a	27-May	7,350.00	3.0
BROADARCH CAP/OLD NEWC	070	OI	B	6,000	30.04	n/a	n/a	240.00	4.0
BROADARCH CAP/OLD NEWC	070	PG	SS	4,000	64.86	n/a	26-May	160.00	4.0
BROADARCH CAP/OLD NEWC	070	PH	B	3,000	86.73	n/a	28-Apr	120.00	4.0
ROARING BLUE LION MGMT	012	PLCE	B	3,700	45.18	n/a	8-Jun	148.00	4.0
MERRILL ASSET/BLACKROCK	297	PRE	S	5,500	71.73	n/a	n/a	220.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	62.95	n/a	2-Jun	300.00	3.0
BROADARCH CAP/OLD NEWC	070	QQQ	B	3,000	55.69	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	RCL	S	2,500	35.13	n/a	n/a	100.00	4.0
ISLE RIDGE PARTNERS	041	RCL	SS	5,900	34.84	n/a	n/a	236.00	4.0
ISLE RIDGE PARTNERS	041	RCL	S	700	34.78	n/a	n/a	28.00	4.0
Õ Nilsa Vazquez		REE	B	1000	10.0270	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAULSON & CO INC	041	RIG	S	250,269	63.65	n/a	n/a	10,010.76	4.0
SENATOR INVESTMENT GROUP	036	RKT	B	18,951	68.77	n/a	n/a	568.53	3.0
BROADARCH CAP/OLD NEWC	070	ROC	B	1,000	47.78	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	ROK	B	2,000	80.42	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	R	B	3,000	50.58	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	SPY	B	2,000	128.95	n/a	n/a	80.00	4.0
CASTLEROCK	040	SWN	B	163,795	43.79	n/a	29-Apr	6,551.80	4.0
BNP PARIBAS SEC	040	TIN	B	20,000	29.95	n/a	7-Jun	1,000.00	5.0
BUTTE CAPITAL MGMT LLC	084	TIN	B	5,000	29.54	n/a	7-Jun	250.00	5.0
SCOPUS FUND	041	TIN	B	40,636	29.61	n/a	7-Jun	1,625.44	4.0
TRELLUS PARTNERS LP	028	TIN	B	30,000	29.47	n/a	7-Jun	1,500.00	5.0
BROADARCH CAP/OLD NEWC	070	TMO	B	3,000	62.56	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	TXN	S	6,000	33.07	n/a	n/a	240.00	4.0
BROADARCH CAP/OLD NEWC	070	UHS	B	2,000	51.11	n/a	n/a	80.00	4.0
SURVEYOR CAPITAL	041	URBN	SS	50,000	28.60	n/a	n/a	1,500.00	3.0
THIRD COAST CAPITAL	035	URBN	S	12,000	28.49	n/a	n/a	600.00	5.0
MOORE CAPITAL	041	URI	S	15,100	22.40	n/a	n/a	604.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	041	URI	S	38	22.40	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	V	SS	8,400	77.83	n/a	8-Jun	420.00	5.0
BROADARCH CAP/OLD NEWC	070	WERN	B	3,000	24.04	n/a	n/a	120.00	4.0
MERRILL ASSET/BLACKROCK	297	WFC	S	500,000	25.80	n/a	2-Jun	20,000.00	4.0
ISLE RIDGE PARTNERS	041	XLI	B	22,500	35.64	n/a	n/a	900.00	4.0
BROADARCH CAP/OLD NEWC	070	XRT	SS	1,000	49.59	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	X	B	8,000	42.98	n/a	n/a	320.00	4.0
ISLE RIDGE PARTNERS	041	YUM	B	20,000	53.90	n/a	25-Apr	800.00	4.0
TOTAL (Trade Date):							101,009.63		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	06/07	BASIX (BASIBARC)	033	NAV	B	4,200	59.06	n/a 8-Jun	126.00 3.0
TOTAL (AO, CXL, CRT) :									126.00

TOTAL (Trade Date):	101,009.63
TOTAL (AO, CXL, CRT):	126.00

TOTAL (RUN DATE) / NFS:	101,135.63
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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