



Daily Compliance Activity Report

Trade Date: 03/02/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAW PARTNERS	025	AAN	B	6,000	22.42	n/a	n/a	300.00	5.0
BROADARCH CAP/OLD NEWC	070	AAPL	B	100	350.01	n/a	n/a	4.00	4.0
PATTEN & PATTEN	025	AAPL	S	200	352.22	n/a	n/a	10.00	5.0
WINSLOW CAPITAL	030	AAPL	B	900	350.98	n/a	n/a	27.00	3.0
WINSLOW CAPITAL	030	ADSK	B	1,500	40.65	n/a	n/a	45.00	3.0
BROADARCH CAP/OLD NEWC	070	AGU	B	300	94.28	n/a	n/a	12.00	4.0
BROADARCH CAP/OLD NEWC	070	AGU	S	500	94.56	n/a	n/a	20.00	4.0
BROADARCH CAP/OLD NEWC	070	ALB	B	1,000	56.27	n/a	n/a	40.00	4.0
WINSLOW CAPITAL	030	ALTR	B	400	42.81	n/a	n/a	12.00	3.0
BROADARCH CAP/OLD NEWC	070	AME	S	1,000	42.20	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	AML	B	3,850	16.45	n/a	n/a	192.50	5.0
WINSLOW CAPITAL	030	AMTD	B	2,700	21.58	n/a	n/a	81.00	3.0
WINSLOW CAPITAL	030	AMZN	B	800	172.23	n/a	n/a	24.00	3.0
BROADARCH CAP/OLD NEWC	070	ARM	B	2,000	17.38	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ASH	B	1,000	55.78	n/a	18-Feb	40.00	4.0
WINSLOW CAPITAL	030	ASML	B	800	44.23	n/a	n/a	24.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AVGO	B	3,000	32.45	n/a	n/a	120.00	4.0
CYRUS CAPITAL	025	AWI	B	7,000	40.85	n/a	n/a	280.00	4.0
LAGRANGE CAP ADV	048	AXL	B	20,000	13.20	n/a	9-Feb	1,000.00	5.0
BROADARCH CAP/OLD NEWC	070	A	S	4,000	41.37	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	BAC	S	2,000	13.82	n/a	16-Feb	80.00	4.0
PATTEN & PATTEN	025	BBY	S	100	32.39	n/a	n/a	5.00	5.0
BROADARCH CAP/OLD NEWC	070	BEAV	B	4,000	34.20	n/a	25-Feb	160.00	4.0
PATTEN & PATTEN	025	BHI	S	50	68.98	n/a	n/a	2.50	5.0
WINSLOW CAPITAL	030	BIDU	B	800	119.90	n/a	n/a	24.00	3.0
BROADARCH CAP/OLD NEWC	070	BRCM	S	1,000	41.54	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	BTO	B	16,300	17.25	n/a	n/a	815.00	5.0
BROADARCH CAP/OLD NEWC	070	BWA	B	2,000	76.46	n/a	11-Feb	80.00	4.0
MILLENNIUM-ANDEW	031	CAT	SS	30,000	100.63	n/a	28-Jan	1,500.00	5.0
PATTEN & PATTEN	025	CAT	S	50	100.77	n/a	28-Jan	2.50	5.0
SENATOR INVESTMENT GROUP	036	CBE	SS	5,100	62.99	n/a	5-Jan	153.00	3.0
BROADARCH CAP/OLD NEWC	070	CCL	SS	1,000	40.49	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CERN	B	700	101.74	n/a	n/a	21.00	3.0
PATTEN & PATTEN	025	CHK	B	2,700	33.57	n/a	n/a	135.00	5.0
WINSLOW CAPITAL	030	CHRW	B	900	71.37	n/a	n/a	27.00	3.0
SAC TRADING TOM LEDDY	035	CHS	S	16,518	13.78	n/a	5-Feb	578.13	3.5
ROSEDALE CAPITAL	046	CMCSA	B	10,000	25.28	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	CNI	S	750	72.77	n/a	n/a	37.50	5.0
BROADARCH CAP/OLD NEWC	070	COL	B	2,500	63.14	n/a	21-Jan	100.00	4.0
PATTEN & PATTEN	025	COP	B	250	78.08	n/a	n/a	12.50	5.0
ROTHSCHILD ASSET	040	COP	B	37,268	78.68	n/a	n/a	1,490.72	4.0
SAC CHICAGO ANDREW	031	COST	B	80,284	72.57	n/a	n/a	2,809.94	3.5
WINSLOW CAPITAL	030	COST	B	800	72.65	n/a	n/a	24.00	3.0
NEW JERSEY DIV OF INV.	030	CPB	S	21,850	33.58	n/a	n/a	874.00	4.0
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	14.93	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	CR	S	3,000	47.00	n/a	n/a	120.00	4.0
PATTEN & PATTEN	025	CSCO	S	3,250	18.55	n/a	n/a	162.50	5.0
PATTEN & PATTEN	025	CSJ	B	500	104.63	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CTRP	B	900	38.87	n/a	n/a	27.00	3.0
WINSLOW CAPITAL	030	CTSH	B	3,200	74.83	n/a	n/a	96.00	3.0
WINSLOW CAPITAL	030	CTXS	B	800	69.93	n/a	n/a	24.00	3.0
PATTEN & PATTEN	025	CVX	S	100	103.37	n/a	n/a	5.00	5.0
BROADARCH CAP/OLD NEWC	070	C	S	2,000	4.58	n/a	16-Feb	80.00	4.0
KLEINHEINZ CAP PART	031	DDS	SS	60,000	42.01	n/a	n/a	3,000.00	5.0
BROADARCH CAP/OLD NEWC	070	DD	S	2,000	53.20	n/a	1-Mar	80.00	4.0
PATTEN & PATTEN	025	DELL	B	10,500	15.48	n/a	n/a	525.00	5.0
FRED ALGER MGMT	035	DIS	S	116,440	43.43	n/a	n/a	4,191.84	3.6
LISTED ERR	099	DIS	B	41,440	43.44	n/a	n/a	0.00	0.0
LISTED ERR	099	DIS	S	41,440	43.41	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	DOW	B	1,150	36.60	n/a	18-Feb	57.50	5.0
PATTEN & PATTEN	025	DUK	S	11,400	17.95	n/a	n/a	570.00	5.0
PATTEN & PATTEN	025	DVY	S	1,450	50.89	n/a	n/a	72.50	5.0
LEVIN CAPITAL STRATEGIES	012	EBAY	S	25,000	32.20	n/a	n/a	750.00	3.0
BROADARCH CAP/OLD NEWC	070	ECL	B	1,000	48.50	n/a	17-Feb	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	EMR	S	1,000	59.22	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	EPP	S	3,250	46.87	n/a	n/a	162.50	5.0
WINSLOW CAPITAL	030	ESRX	B	2,900	56.44	n/a	n/a	87.00	3.0
PATTEN & PATTEN	025	EWJ	B	31,250	11.43	n/a	n/a	1,562.50	5.0
BROADARCH CAP/OLD NEWC	070	EWZ	SS	1,000	74.17	n/a	n/a	40.00	4.0
FIRST NY SEC/CHRIS	041	FINL	B	10,000	17.49	n/a	1-Mar	500.00	5.0
MERRILL ASSET/BLACKROCK	266	FRT	S	9,700	81.02	n/a	n/a	388.00	4.0
BROADARCH CAP/OLD NEWC	070	F	SS	2,000	14.72	n/a	2-Mar	80.00	4.0
STANDARD PACIFIC CAPITAL	040	F	B	120,000	14.79	n/a	2-Mar	6,000.00	5.0
PATTEN & PATTEN	025	GE	B	14,400	20.40	n/a	n/a	720.00	5.0
BROADARCH CAP/OLD NEWC	070	GIS	B	4,000	36.87	n/a	n/a	160.00	4.0
PATTEN & PATTEN	025	GLD	S	550	139.85	n/a	n/a	27.50	5.0
BROADARCH CAP/OLD NEWC	070	GLW	B	4,000	22.23	n/a	11-Feb	160.00	4.0
WINSLOW CAPITAL	030	GMCR	B	2,300	40.46	n/a	n/a	69.00	3.0
BMO NESBITT BURNS	041	GM	SS	50,000	32.77	n/a	2-Mar	2,500.00	5.0
OZ MGMT	040	GM	B	50,000	32.92	n/a	2-Mar	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	GOOG	B	200	604.89	n/a	n/a	6.00	3.0
PATTEN & PATTEN	025	GOV	B	13,200	26.20	n/a	n/a	660.00	5.0
BNP PARIBAS SEC	040	GPI	B	10,000	40.52	n/a	11-Feb	500.00	5.0
BROADARCH CAP/OLD NEWC	070	GR	B	2,000	83.72	n/a	4-Feb	80.00	4.0
ACK ASSET	028	HBI	S	60,121	25.20	n/a	28-Jan	1,803.63	3.0
BMO NESBITT BURNS	041	HMC	B	3,000	43.21	n/a	n/a	210.00	7.0
SAXON WOODS ADVISORS	048	HPQ	B	5,000	43.45	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	HTZ	S	2,000	14.73	n/a	n/a	80.00	4.0
PATTEN & PATTEN	025	IEF	S	40	92.98	n/a	n/a	2.00	5.0
PATTEN & PATTEN	025	INTC	S	600	21.52	n/a	n/a	30.00	5.0
WINSLOW CAPITAL	030	INTU	B	1,300	51.95	n/a	n/a	39.00	3.0
BROADARCH CAP/OLD NEWC	070	IP	B	1,000	26.74	n/a	3-Feb	40.00	4.0
WINSLOW CAPITAL	030	ISRG	B	100	322.00	n/a	n/a	3.00	3.0
PATTEN & PATTEN	025	ITRI	B	250	56.16	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	ITRI	S	1,525	56.10	n/a	n/a	76.25	5.0
PATTEN & PATTEN	025	IWN	S	1,500	73.25	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	IXJ	S	150	53.47	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	IXN	B	950	63.96	n/a	n/a	47.50	5.0
PATTEN & PATTEN	025	IYM	S	1,500	78.18	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	IYR	B	2,000	58.52	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	JNJ	S	2,000	60.76	n/a	n/a	100.00	5.0
MILLENNIUM-ANDEW	031	JOYG	SS	30,000	94.23	n/a	16-Dec	1,500.00	5.0
PATTEN & PATTEN	025	KBE	S	300	25.90	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	KMP	S	150	72.92	n/a	n/a	7.50	5.0
BROADARCH CAP/OLD NEWC	070	KR	B	2,000	22.80	n/a	n/a	80.00	4.0
SURSUM CAPITAL	215	KSS	S	10,000	53.48	n/a	28-Feb	300.00	3.0
OZ MGMT	040	LEA	B	25,000	104.18	n/a	2-Feb	750.00	3.0
PATTEN & PATTEN	025	LLL	S	150	78.84	n/a	n/a	7.50	5.0
KACELA CAPITAL	034	LOW	B	32,000	25.73	n/a	23-Feb	1,280.00	4.0
PATTEN & PATTEN	025	LQD	B	300	108.45	n/a	n/a	15.00	5.0
BROADARCH CAP/OLD NEWC	070	LZ	SS	900	105.83	n/a	n/a	36.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	MCD	B	15,000	74.47	n/a	8-Feb	525.00	3.5
BROADARCH CAP/OLD NEWC	070	MOS	B	300	84.93	n/a	n/a	12.00	4.0
PATTEN & PATTEN	025	MRK	S	100	32.44	n/a	n/a	5.00	5.0
LATEFF MGMT	035	MRO	S	1,800	50.99	n/a	n/a	360.00	20.0
PATTEN & PATTEN	025	MSFT	S	5,000	26.14	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	MSO	S	850	3.93	n/a	n/a	42.50	5.0
BASCOM HILL PARTNERS LLC	033	M	B	10,000	23.22	n/a	28-Feb	300.00	3.0
BNP PARIBAS SEC	040	M	B	20,000	23.45	n/a	28-Feb	1,000.00	5.0
SAC CAPITAL/M GRONET	030	M	B	10,000	23.05	n/a	28-Feb	350.00	3.5
SURSUM CAPITAL	215	M	B	10,000	23.19	n/a	28-Feb	300.00	3.0
TRELLUS PARTNERS LP	028	M	B	19,975	23.00	n/a	28-Feb	998.75	5.0
PATTEN & PATTEN	025	NEE	S	1,750	53.61	n/a	n/a	87.50	5.0
PATTEN & PATTEN	025	NLY	B	21,750	17.93	n/a	n/a	1,087.50	5.0
S.A.C. CAP/ORENSTEIN	044	NOV	S	10,000	78.54	n/a	n/a	350.00	3.5
BROADARCH CAP/OLD NEWC	070	NSC	B	1,000	65.18	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	NSM	B	2,000	15.08	n/a	n/a	80.00	4.0
WINSLOW CAPITAL	030	NTAP	B	900	51.63	n/a	n/a	27.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	NUAN	B	21,420	17.90	n/a	n/a	862.50	3.3
PATTEN & PATTEN	025	NUAN	S	4,170	17.92	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	NUE	B	3,000	46.53	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	NVDA	B	5,500	21.50	n/a	n/a	220.00	4.0
WINSLOW CAPITAL	030	ORCL	B	5,000	32.20	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	ORLY	B	1,100	55.85	n/a	n/a	33.00	3.0
BUCK CAPITAL MGMT	001	OXM	B	10,000	24.15	n/a	n/a	200.00	2.0
WINSLOW CAPITAL	030	PCLN	B	100	452.54	n/a	n/a	3.00	3.0
PAW PARTNERS	025	PFE	S	5,000	19.16	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	PFF	B	1,600	39.25	n/a	n/a	80.00	5.0
BROADARCH CAP/OLD NEWC	070	PH	B	1,000	86.74	n/a	21-Jan	40.00	4.0
BROADARCH CAP/OLD NEWC	070	PKG	B	4,000	28.03	n/a	17-Feb	160.00	4.0
MERRILL ASSET/BLACKROCK	266	PNFP	B	21,270	15.93	n/a	n/a	850.80	4.0
PATTEN & PATTEN	025	PVR	S	250	28.10	n/a	n/a	12.50	5.0
BROADARCH CAP/OLD NEWC	070	PX	B	2,000	97.69	n/a	23-Feb	80.00	4.0
BROADARCH CAP/OLD NEWC	070	QCOM	B	1,000	57.97	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	QCOM	B	1,650	57.21	n/a	n/a	82.50	5.0
WINSLOW CAPITAL	030	QCOM	B	3,400	57.68	n/a	n/a	102.00	3.0
Õ Nilsa Vazquez		REE	B	500	10.9900	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ROST	B	25,000	72.10	n/a	n/a	875.00	3.5
WINSLOW CAPITAL	030	SCHW	B	3,300	18.54	n/a	n/a	99.00	3.0
CYRUS CAPITAL	025	SCSS	B	18,000	10.96	n/a	n/a	720.00	4.0
WINSLOW CAPITAL	030	SHPGY	B	1,100	84.42	n/a	28-Feb	33.00	3.0
DE SHAW	294	SPLS	B	10,600	20.59	n/a	n/a	318.00	3.0
SONTERRA CAP	041	SPLS	SS	75,000	20.45	n/a	n/a	3,000.00	4.0
BROADARCH CAP/OLD NEWC	070	SSCC	S	1,000	38.39	n/a	7-Jan	40.00	4.0
PERRY PARTNERS	085	SUN	B	49,795	41.39	n/a	n/a	2,489.75	5.0
PATTEN & PATTEN	025	SWN	S	100	37.72	n/a	25-Feb	5.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.31	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	TECD	B	3,000	51.22	n/a	n/a	120.00	4.0
KACELA CAPITAL	034	TGT	S	12,000	52.04	n/a	24-Feb	480.00	4.0
PATTEN & PATTEN	025	TIP	S	250	108.36	n/a	n/a	12.50	5.0
AVENUE CAPITAL MGMT	070	TRW	S	25,000	57.19	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	TSCO	B	3,875	51.55	n/a	n/a	193.75	5.0
BROADARCH CAP/OLD NEWC	070	TXN	SS	1,200	35.95	n/a	n/a	48.00	4.0
BROADARCH CAP/OLD NEWC	070	TYC	B	1,505	44.78	n/a	28-Jan	60.20	4.0
PATTEN & PATTEN	025	T	S	1,500	28.20	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	UNM	S	400	25.64	n/a	n/a	20.00	5.0
BROADARCH CAP/OLD NEWC	070	UNP	S	1,000	94.28	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	UPS	B	2,000	72.13	n/a	n/a	80.00	4.0
GREEN ARROW DOUG	040	URBN	B	36,000	37.91	n/a	n/a	1,440.00	4.0
BROADARCH CAP/OLD NEWC	070	USO	S	2,000	41.31	n/a	n/a	80.00	4.0
SURSUM CAPITAL	215	VFC	S	10,000	93.78	n/a	23-Feb	300.00	3.0
COOKBIELER	028	VRGY	S	358,864	13.01	n/a	n/a	14,354.56	4.0
WINSLOW CAPITAL	030	VRSN	B	1,000	35.78	n/a	n/a	30.00	3.0
PATTEN & PATTEN	025	WMT	S	1,075	51.83	n/a	22-Feb	53.75	5.0
THE JAY GOLDMAN	028	WMT	B	100,000	51.95	n/a	22-Feb	4,000.00	4.0
BROADARCH CAP/OLD NEWC	070	WSO	B	1,000	64.97	n/a	n/a	40.00	4.0
T. ROWE PRICE	033	WY	S	101,200	23.56	n/a	4-Feb	4,048.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	XLNX	SS	1,500	34.31	n/a	n/a	60.00	4.0
PATTEN & PATTEN	025	XRAY	S	150	36.62	n/a	n/a	7.50	5.0
BROADARCH CAP/OLD NEWC	070	X	B	4,000	55.76	n/a	n/a	160.00	4.0
TOTAL (Trade Date):								88,569.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/01	COLUMBUS CIRCLE (COLC4440)	036	COP	B	150,000	77.92	n/a	n/a	6000.00 4.0
AO,	03/01	COLUMBUS CIRCLE (COLC4400)	036	COP	B	260,000	77.92	n/a	n/a	10400.00 4.0
AO,CRT	03/01	LAGRANGE CAP ADV (LAGRJJEFF)	048	FII	S	2,840	27.80	n/a	2-Mar	142.00 5.0
AO,CXL	03/01	LAGRANGE CAP ADV (LAGRUBSPB)	048	FII	S	2,840	27.80	n/a	2-Mar	142.00 5.0
AO,	03/01	SCOPIA CAPITAL (SCOAGSBULK)	048	SPR	B	6,263	25.39	n/a	11-Feb	250.52 4.0
AO,	03/01	SCOPIA CAPITAL (SCOAGSBULK)	048	SPR	B	9,245	25.39	n/a	11-Feb	369.80 4.0
AO,	03/01	SCOPIA CAPITAL (SCOAGSBULK)	048	SPR	B	21,796	25.39	n/a	11-Feb	871.84 4.0
TOTAL (AO, CXL, CRT) :										17,892.16
TOTAL (Trade Date) :										88,569.07
TOTAL (AO, CXL, CRT) :										17,892.16
TOTAL (RUN DATE) / NFS :										106,461.23

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