



Daily Compliance Activity Report

Trade Date: 09/24/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
BROADARCH CAP/OLD NEWC	070	AAPL	B	400	693.65	n/a	n/a	16.00	4.0	
EAGLE ASSET MGMT. (FLORIDA)	093	ABT	B	890	69.50	n/a	n/a	17.80	0.0	
EAGLE ASSET MGMT. (FLORIDA)	093	ACC	B	1,530	44.06	n/a	n/a	30.60	0.0	
EAGLE ASSET MGMT. (FLORIDA)	093	AET	B	1,475	40.34	n/a	n/a	29.50	0.0	
BROADARCH CAP/OLD NEWC	070	AIG	B	1,500	33.76	n/a	n/a	60.00	4.0	
EAGLE ASSET MGMT. (FLORIDA)	093	AMAT	B	4,655	11.36	n/a	n/a	93.10	0.0	
EAGLE ASSET MGMT. (FLORIDA)	093	AMP	B	1,130	57.28	n/a	n/a	22.60	0.0	
HARVEST MGMT (JMP)	029	ARO	SS	25,000	13.96	n/a	n/a	1,000.00	4.0	
EAGLE ASSET MGMT. (FLORIDA)	093	ATW	B	1,385	45.79	n/a	n/a	27.70	0.0	
BROADARCH CAP/OLD NEWC	070	AVGO	S	2,000	34.60	n/a	n/a	80.00	4.0	
EAGLE ASSET MGMT. (FLORIDA)	093	AXE	B	1,400	62.14	n/a	11-Sep	28.00	0.0	
Õ Nilsa Vazquez		AXL	B	750	11.5190	n/a	30-Jul	0.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	BZH	S	250,000	3.86	n/a	n/a	7,500.00	3.0
PRIMECAP MGMT	084	CB	S	1,800	75.90	n/a	n/a	72.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093		CFNL	B	5,685	14.59	n/a	n/a	113.70	0.0
BASSWOOD PARTNERS	267	CIT	B	10,900	40.81	n/a	20-Aug	436.00	0.0
BAIRD INVESTMENT	047	CLR	B	2,275	77.39	n/a	n/a	113.75	0.0
HARVEST MGMT (JMP)	029	CRS	S	10,000	53.20	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	CRUS	SS	1,000	40.06	n/a	n/a	40.00	4.0
CATAPULT	040	CTB	SS	20,050	20.70	n/a	n/a	802.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		CTL	B	1,095	42.07	n/a	n/a	21.90	0.0
BRONSON POINT	036	C	B	100,000	33.62	n/a	17-Sep	3,000.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		C	B	2,790	33.45	n/a	17-Sep	55.80	0.0
EMPYREAN CAPITAL	084	DDR	S	65,000	15.53	n/a	n/a	3,250.00	0.0
BROADARCH CAP/OLD NEWC	070	DD	SS	1,500	51.12	n/a	21-Sep	60.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		DD	B	1,380	51.09	n/a	21-Sep	27.60	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		DOV	B	1,060	59.99	n/a	n/a	21.20	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		DPZ	B	1,115	35.22	n/a	24-Jul	22.30	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		DTV	B	1,380	52.54	n/a	n/a	27.60	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		DVN	B	760	60.28	n/a	23-Jul	15.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	EDZ	B	2,000	11.60	n/a	n/a	80.00	4.0
CAMBIAR CAP	046	ENDP	B	30,000	32.73	n/a	24-Sep	1,200.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		EOG	B	555	112.81	n/a	n/a	11.10	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		ETN	B	1,405	47.60	n/a	12-Sep	28.10	0.0
BROADARCH CAP/OLD NEWC	070	FCX	S	12,000	40.22	n/a	n/a	480.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		FCX	B	1,400	40.43	n/a	n/a	28.00	0.0
BALYASNY ASSET MGMT	044	FDO	B	30,000	64.90	n/a	19-Jul	1,500.00	0.0
METROPOLITAN CAPITAL	044	FINL	B	9,300	23.03	n/a	21-Sep	465.00	0.0
BROADARCH CAP/OLD NEWC	070	FMC	B	2,000	57.34	n/a	8-Dec	80.00	4.0
LATEEF MGMT	035	GE	S	250	22.39	n/a	n/a	30.00	12.0
OZ MGMT	040	GM	S	36,044	24.25	n/a	18-Sep	1,081.32	0.0
ROSEDALE CAPITAL	046	GM	B	20,000	24.35	n/a	18-Sep	800.00	4.0
BROADARCH CAP/OLD NEWC	070	GPS	B	2,000	35.91	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	GRA	B	1,000	60.17	n/a	n/a	40.00	4.0
CATAPULT	040	GT	S	25,650	12.79	n/a	n/a	1,026.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		HD	B	1,190	59.25	n/a	14-Aug	23.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
ARSENAL ASSET MANAGEMENT	028	HEES	S	50,000	12.94	n/a	n/a	2,000.00	0.0	
BROADARCH CAP/OLD NEWC	070	HON	B	800	60.00	n/a	12-Sep	32.00	4.0	
EAGLE ASSET MGMT. (FLORIDA) 093		HON	B	1,310	60.01	n/a	12-Sep	26.20	0.0	
EAGLE ASSET MGMT. (FLORIDA) 093		HPP	B	3,860	18.50	n/a	n/a	77.20	0.0	
CAPITAL RESEARCH GROUP		296	HPQ	B	225,000	17.22	n/a	n/a	7,875.00	0.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	S	100,000	14.38	n/a	n/a	3,000.00	0.0	
1798 CAP/LOMBARD ASSET	040	HW	B	15,000	7.37	n/a	n/a	600.00	0.0	
EAGLE ASSET MGMT. (FLORIDA) 093		IBM	B	560	205.52	n/a	n/a	11.20	0.0	
BROADARCH CAP/OLD NEWC	070	IP	B	3,200	37.05	n/a	24-Sep	128.00	4.0	
CR INTRINSIC/CHRIS C	041	IP	B	5,000	36.85	n/a	24-Sep	175.00	3.5	
CSFB GLOBAL PROPRIETARY	041	IP	B	188,771	36.73	n/a	24-Sep	9,438.55	5.0	
SCOPUS FUND	041	IP	S	25,000	36.94	n/a	24-Sep	1,000.00	4.0	
HARVEST MGMT (JMP)	029	IWM	B	6,200	84.88	n/a	n/a	248.00	0.0	
LISTED ERR	099	IWM	B	6,200	85.00	n/a	n/a	0.00	0.0	
LISTED ERR	099	IWM	S	6,200	84.88	n/a	n/a	0.00	0.0	
LISTED ERR	099	IWN	B	6,200	75.49	n/a	n/a	0.00	0.0	
LISTED ERR	099	IWN	S	6,200	75.49	n/a	n/a	0.00	0.0	
CATAPULT CAP/DEFRANCO	040	JOY	B	23,478	60.88	n/a	11-Jul	939.12	0.0	
EAGLE ASSET MGMT. (FLORIDA) 093		JPM	B	1,810	41.20	n/a	17-Sep	36.20	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	KLAC	SS	1,000	47.06	n/a	n/a	40.00	4.0
SCOPUS FUND	041	KSS	SS	20,000	52.23	n/a	31-Aug	800.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		LAZ	B	1,550	30.50	n/a	5-Sep	31.00	0.0
1798 CAP/LOMBARD ASSET	040	LEN	S	77,000	37.13	n/a	n/a	3,850.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	50,000	14.04	n/a	31-Jul	2,500.00	5.0
EAGLE ASSET MGMT. (FLORIDA) 093		LUFK	B	1,435	56.82	n/a	n/a	28.70	0.0
BALYASNY ASSET MGMT	044	MCD	C	10,000	93.54	n/a	11-Sep	500.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		MD	B	875	75.53	n/a	n/a	17.50	0.0
APEX CAPITAL MGMT.	261	MGM	B	100,000	10.79	n/a	13-Jun	4,000.00	0.0
DISCIPLINED GROWTH INV.	030	MIDD	S	300	117.37	n/a	n/a	15.00	0.0
BROADARCH CAP/OLD NEWC	070	MMM	SS	500	93.62	n/a	21-Sep	20.00	4.0
CATAPULT	040	MOS	B	20,846	59.63	n/a	n/a	833.84	0.0
CRAMER ROSENTHAL	070	MTN	S	475	53.39	n/a	n/a	19.00	0.0
MASTERS CAPITAL MANAGE	025	MTU	S	100,000	4.76	n/a	n/a	3,000.00	3.0
EAGLE ASSET MGMT. (FLORIDA) 093		MYL	B	3,675	24.20	n/a	24-Sep	73.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	M	B	25,000	38.05	n/a	31-Aug	1,050.00	4.0
J. GOLDMAN	028	M	B	40,000	37.90	n/a	31-Aug	1,600.00	4.0
LEVIN CAPITAL STRATEGIES	041	M	B	57,600	37.94	n/a	31-Aug	1,728.00	0.0
SIMMONS VENTURES	041	M	B	7,500	37.98	n/a	31-Aug	300.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		NGG	B	1,130	55.90	n/a	n/a	22.60	0.0
EMPYREAN CAPITAL	084	NNN	S	32,000	30.92	n/a	n/a	1,600.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		OII	B	1,550	55.81	n/a	n/a	31.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		OMC	B	1,570	53.42	n/a	n/a	31.40	0.0
SAC CHICAGO ANDREW	031	OMX	B	12,978	8.08	n/a	n/a	454.23	3.5
BROADARCH CAP/OLD NEWC	070	ORCL	SS	2,000	32.16	n/a	n/a	80.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		PG	B	930	69.56	n/a	18-Sep	18.60	0.0
THREE G	285	PG	SS	470,000	69.57	n/a	18-Sep	14,100.00	3.0
1798 CAP/LOMBARD ASSET	040	PHM	S	35,000	16.71	n/a	n/a	1,750.00	0.0
BROADARCH CAP/OLD NEWC	070	PH	SS	500	85.11	n/a	n/a	20.00	4.0
LATEEF MGMT	035	PKG	S	1,000	34.86	n/a	24-Sep	100.00	10.0
BROADARCH CAP/OLD NEWC	070	QQQ	B	2,000	69.72	n/a	n/a	80.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	S	900	30.59	n/a	n/a	45.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	RKT	S	30,000	73.06	n/a	24-Sep	1,500.00	0.0
BROADARCH CAP/OLD NEWC	070	RKT	B	1,000	72.96	n/a	24-Sep	40.00	4.0
SCOPUS FUND	041	RKT	S	35,000	72.94	n/a	24-Sep	1,400.00	4.0
WILLIAMS TRADING/BLUE MTN	087	RKT	B	92,240	72.94	n/a	24-Sep	2,767.20	0.0
BROADARCH CAP/OLD NEWC	070	ROC	B	1,000	48.18	n/a	n/a	40.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		SFD	B	3,360	19.69	n/a	n/a	67.20	0.0
BROADARCH CAP/OLD NEWC	070	SI	SS	500	101.72	n/a	n/a	20.00	4.0
HARVEST MGMT (JMP)	029	SKS	S	30,000	10.58	n/a	n/a	1,200.00	4.0
BROADARCH CAP/OLD NEWC	070	SMH	B	2,000	31.81	n/a	n/a	80.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		SPW	B	1,015	66.96	n/a	n/a	20.30	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		STBZ	B	2,335	16.25	n/a	n/a	46.70	0.0
FINDLAY PARK PART	085	STT	B	304,000	43.37	n/a	11-Sep	19,669.38	0.0
COOPER CREEK PART	028	SWFT	B	10,000	8.59	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	SWKS	SS	1,000	24.41	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TJX	S	1,500	44.42	n/a	31-Aug	60.00	4.0
DISIPLINED GROWTH INV.	030	TJX	S	200	44.28	n/a	31-Aug	10.00	0.0
IVORY CAPITAL	034	TOL	B	87,767	36.06	n/a	n/a	4,388.35	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093		TUP	B	1,140	55.81	n/a	n/a	22.80	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		T	B	1,345	38.34	n/a	n/a	26.90	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		UNP	B	620	120.76	n/a	n/a	12.40	0.0
MASTERS CAPITAL MANAGE	025	VMC	S	34,867	48.17	n/a	n/a	1,394.68	4.0
BROADARCH CAP/OLD NEWC	070	WAT	SS	1,500	84.12	n/a	n/a	60.00	4.0
SAC CHICAGO ANDREW	031	WFM	SS	10,000	100.25	n/a	n/a	350.00	3.5
CHESAPEAKE PARTNERS	028	WLL	B	10,000	48.38	n/a	n/a	300.00	3.0
BROADARCH CAP/OLD NEWC	070	XLI	SS	1,500	36.80	n/a	n/a	60.00	4.0
HARVEST MGMT (JMP)	029	XRT	B	5,000	63.56	n/a	n/a	200.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		XRX	B	5,610	7.76	n/a	n/a	112.20	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		ZMH	B	1,255	67.40	n/a	n/a	25.10	0.0
TOTAL (Trade Date) :							122,976.72		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/24	LISTED ERR (LISTED ERR)	099	IWN	B	6,200	75.49	n/a	n/a	0.00 0.0
CRT	09/24	FINDLAY PARK PART (FINDAMERS)	085	STT	B	300,000	43.37	n/a	11-Sep 194	10.57 0.0
TOTAL (AO, CXL, CRT) :										19,410.57

TOTAL (Trade Date):	122,976.72
TOTAL (AO, CXL, CRT):	19,410.57

TOTAL (RUN DATE) / NFS:	142,387.29
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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