



## Daily Compliance Activity Report

Trade Date: 07/24/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AAPL	S	150	604.08	n/a	n/a	6.00	4.0
BROADARCH CAP/OLD NEWC	070	ADI	S	1,000	36.73	n/a	n/a	40.00	4.0
LEVIN CAPITAL STRATEGIES	041	ALV	C	10,000	52.36	n/a	23-Jul	300.00	0.0
BROADARCH CAP/OLD NEWC	070	APD	SS	1,500	78.35	n/a	24-Jul	60.00	4.0
BROADARCH CAP/OLD NEWC	070	ASTE	S	1,400	28.18	n/a	n/a	56.00	4.0
RIDGECREST INV MGMT LLC	028	AXL	S	23,500	9.58	n/a	7-Jun	940.00	4.0
BROADARCH CAP/OLD NEWC	070	A	B	1,000	36.16	n/a	n/a	40.00	4.0
ROSEDALE CAPITAL	046	BAC	B	40,000	7.04	n/a	18-Jul	1,200.00	3.0
BROADARCH CAP/OLD NEWC	070	BMJ	S	2,500	34.77	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	BRCM	S	2,524	30.87	n/a	n/a	100.96	4.0
BROADARCH CAP/OLD NEWC	070	BWA	B	1,500	60.36	n/a	27-Apr	60.00	4.0
STATE TEACHERS RET SYS	047	BXP	S	10,000	109.15	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	CCL	B	6,800	32.10	n/a	n/a	272.00	4.0
HIGHBRIDGE CAP	041	CHRW	B	4,500	56.20	n/a	n/a	135.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	CMI	SS	1,000	86.79	n/a	11-Jul	40.00	4.0
KAYNE ANDERSON ADV	084	CNS	B	16,400	31.94	n/a	n/a	656.00	0.0
LEVIN CAPITAL STRATEGIES	041	COP	C	25,500	54.05	n/a	n/a	765.00	0.0
CAVOLEPH	085	DELL	B	3,000	11.67	n/a	n/a	120.00	2.0
CRAMER ROSENTHAL	070	DG	B	26,700	52.73	n/a	27-Jun	1,068.00	0.0
BROADARCH CAP/OLD NEWC	070	EDZ	B	1,750	16.57	n/a	n/a	70.00	4.0
BROADARCH CAP/OLD NEWC	070	EWQ	SS	1,000	17.91	n/a	n/a	40.00	4.0
PERIMETER	273	FINL	S	85,000	20.55	n/a	29-Jun	3,400.00	0.0
ROYCE TRADING	031	FINL	B	5,000	20.51	n/a	29-Jun	250.00	0.0
OZ MGMT	040	F	S	100,000	9.01	n/a	17-Jul	3,000.00	0.0
VERITION	028	F	B	25,000	8.97	n/a	17-Jul	750.00	3.0
BALLAST CAP	040	GIS	SS	9,900	38.02	n/a	n/a	495.00	5.0
VERITION	028	GM	B	5,000	18.91	n/a	17-Jul	150.00	3.0
FARALLON CAP MGMT	040	GNC	SS	60,000	37.01	n/a	n/a	2,400.00	4.0
NEW JERSEY DIV OF INV.	030	GNTX	S	175,000	15.03	n/a	20-Apr	5,250.00	3.0
KAYNE ANDERSON ADV	084	HAE	B	6,000	72.59	n/a	n/a	240.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	HAS	SS	10,000	35.18	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	HBI	S	100,000	28.89	n/a	18-Jul	5,000.00	5.0
NEWLAND CAPITAL MGT	025	HERO	B	100,000	3.47	n/a	n/a	3,000.00	3.0
RBC CAPITAL MARKETS	040	HOG	SS	30,000	42.50	n/a	n/a	1,200.00	4.0
STANDARD PACIFIC CAPITAL	084	INTU	B	107,200	56.71	n/a	n/a	5,360.00	5.0
SENATOR INVESTMENT GROUP	036	IP	B	50,000	31.49	n/a	20-Jul	1,500.00	3.0
PARKWEST	084	ISCA	B	22,900	24.93	n/a	n/a	916.00	4.0
BROADARCH CAP/OLD NEWC	070	ITW	SS	2,000	52.33	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	IWM	SS	1,000	76.81	n/a	n/a	40.00	4.0
CRAMER ROSENTHAL	070	JPM	B	38,600	34.73	n/a	13-Jul	1,544.00	0.0
DELTEC ASSET MGMT.	040	JPM	S	16,000	34.59	n/a	13-Jul	800.00	5.0
INVESCO	031	KMB	S	7,632	84.11	n/a	23-Apr	305.28	0.0
PHILADELPHIA FINANCIAL	033	LAD	SS	25,000	25.17	n/a	n/a	1,000.00	0.0
BROADARCH CAP/OLD NEWC	070	LEA	SS	1,500	35.00	n/a	4-May	60.00	4.0
BROADARCH CAP/OLD NEWC	070	LII	S	1,700	43.37	n/a	n/a	68.00	4.0
DAVIDSON INV ADV	035	LL	S	107,383	32.89	n/a	n/a	4,295.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GLG PARTNERS	034	LOW	B	33,461	25.66	n/a	22-May	1,003.83	0.0
BALLAST CAP	040	LPX	B	25,000	10.55	n/a	20-Jul	750.00	3.0
DALTON GREINER	070	MLI	B	4,940	40.30	n/a	14-Jun	247.00	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	S	10,000	81.34	n/a	n/a	400.00	0.0
STANDARD PACIFIC CAPITAL	084	MOS	S	133,976	56.41	n/a	n/a	6,698.80	5.0
PARKWEST	084	MOVE	B	38,304	8.62	n/a	n/a	1,149.12	3.0
FARALLON CAP MGMT	040	MSFT	S	100,000	29.13	n/a	n/a	3,000.00	3.0
EMPYREAN CAPITAL	084	NCR	B	50,000	22.58	n/a	n/a	1,500.00	0.0
STATE TEACHERS RET SYS	047	NHI	B	5,000	53.00	n/a	n/a	250.00	5.0
FRONTIER	029	NIHD	B	76,690	7.75	n/a	n/a	2,300.70	0.0
WAGONHOUND/NICOLAS	033	PAG	B	32,252	23.08	n/a	26-Apr	1,290.08	0.0
CAERUS GLOBAL	041	PEP	S	7,524	68.77	n/a	n/a	300.96	4.0
STANDARD PACIFIC CAPITAL	084	PHM	S	100,000	10.48	n/a	n/a	5,000.00	5.0
KENNEDY CAPITAL	046	PLCE	S	7,900	50.41	n/a	5-Jun	316.00	0.0
BROADARCH CAP/OLD NEWC	070	POT	S	2,000	44.48	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	PX	B	1,000	105.97	n/a	24-Jul	40.00	4.0
BROADARCH CAP/OLD NEWC	070	QQQ	SS	1,000	63.36	n/a	n/a	40.00	4.0
WEINTRAUB CAPITAL MGT.	084	RL	B	50,000	146.68	n/a	18-Jul	2,000.00	4.0
BROADARCH CAP/OLD NEWC	070	ROC	SS	800	41.97	n/a	n/a	32.00	4.0
RAINIER INV MGMT	035	SBNY	B	31,240	60.26	n/a	n/a	1,249.60	0.0
MERRILL ASSET/BLACKROCK	297	SFG	B	25,962	30.07	n/a	n/a	1,038.48	0.0
BROADARCH CAP/OLD NEWC	070	SHW	SS	1,000	130.54	n/a	20-Jul	40.00	4.0
BROADARCH CAP/OLD NEWC	070	SSO	SS	2,200	53.53	n/a	n/a	88.00	4.0
BROADARCH CAP/OLD NEWC	070	TECD	SS	1,000	45.92	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TIF	SS	1,000	54.57	n/a	n/a	40.00	4.0
TOCQUEVILLE	035	TMS	B	8,000	9.54	n/a	n/a	400.00	0.0
BNP PARIBAS SEC	040	USG	B	20,000	19.46	n/a	20-Jul	1,000.00	5.0
COLUMBUS CIRCLE	036	VVUS	S	5,000	22.44	n/a	n/a	200.00	0.0
INVESCO	031	WAG	B	14,082	33.98	n/a	n/a	563.28	0.0
BROADARCH CAP/OLD NEWC	070	WAT	SS	2,000	76.94	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	WCRX	B	24,400	17.53	n/a	24-Jul	1,220.00	0.0
BROADARCH CAP/OLD NEWC	070	XLB	SS	2,500	34.71	n/a	n/a	100.00	4.0
<b>TOTAL (Trade Date):</b>								<b>80,630.41</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									80,630.41
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									80,630.41

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