



## Daily Compliance Activity Report

Trade Date: 05/04/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	ABB	SS	6,000	26.50	n/a	n/a	240.00	4.0
BROADARCH CAP/OLD NEWC	070	AKS	SS	5,000	15.53	n/a	n/a	200.00	4.0
MELLON/BANK OF NEW YORK	046	ALTR	S	10,000	47.50	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	ALV	SS	2,000	78.86	n/a	21-Apr	80.00	4.0
BROADARCH CAP/OLD NEWC	070	AMAT	SS	1,500	14.96	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	ATI	SS	2,000	68.62	n/a	n/a	80.00	4.0
RBC CAPITAL MARKETS	040	AVP	B	50,000	31.17	n/a	3-May	2,000.00	4.0
BROADARCH CAP/OLD NEWC	070	BAX	S	2,500	57.89	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	BA	SS	3,000	79.12	n/a	4-May	120.00	4.0
SCOPIA CAPITAL	048	BBT	SS	57,856	26.75	n/a	n/a	2,314.24	4.0
RBC CAPITAL MARKETS	040	BTU	B	10,000	63.96	n/a	n/a	400.00	4.0
WEISS PECK	040	BWS	S	14,400	11.69	n/a	n/a	720.00	5.0
SAC TRADIN/BINDER	044	BYD	B	30,000	9.69	n/a	n/a	1,050.00	3.5
COOPER CREEK PART	028	BZ	B	75,000	8.26	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	CAT	S	2,500	110.81	n/a	2-May	100.00	4.0
RBC CAPITAL MARKETS	040	CE	S	10,000	46.98	n/a	n/a	400.00	4.0
SCOPUS FUND	041	CE	B	50,000	47.44	n/a	n/a	2,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	CMI	B	5,400	116.30	n/a	27-Apr	270.00	5.0
RBC CAPITAL MARKETS	040	CMI	SS	10,000	116.23	n/a	27-Apr	400.00	4.0
BROADARCH CAP/OLD NEWC	070	COL	SS	2,000	63.62	n/a	21-Apr	80.00	4.0
BALLAST CAP	040	COT	B	30,300	8.69	n/a	n/a	909.00	3.0
ACK ASSET	028	CP	SS	18,000	65.37	n/a	n/a	540.00	3.0
LISTED ERR	099	CP	B	100	65.36	n/a	n/a	0.00	0.0
LISTED ERR	099	CP	SS	100	65.29	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	CSX	SS	3,000	76.96	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	DAN	S	5,000	17.63	n/a	28-Apr	200.00	4.0
MTB INV ADV	034	DAN	S	11,950	17.52	n/a	28-Apr	597.50	5.0
SENATOR INVESTMENT GROUP	036	DAN	B	70,000	17.66	n/a	28-Apr	2,100.00	3.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	24.12	n/a	4-May	2,500.00	5.0
MELLON/BANK OF NEW YORK	046	DIS	S	10,000	42.63	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	DOV	SS	1,532	66.37	n/a	n/a	61.28	4.0
BROADARCH CAP/OLD NEWC	070	DOW	SS	3,000	40.03	n/a	28-Apr	120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	ETN	S	2,000	52.21	n/a	20-Apr	80.00	4.0
BROADARCH CAP/OLD NEWC	070	EWJ	S	5,000	10.53	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	FCS	S	1,500	19.98	n/a	n/a	60.00	4.0
ROYCE TRADING	012	FINL	B	27,000	21.28	n/a	25-Mar	1,350.00	5.0
BROADARCH CAP/OLD NEWC	070	FLR	S	2,000	67.65	n/a	n/a	80.00	4.0
RBC CAPITAL MARKETS	040	FLR	S	15,000	66.60	n/a	n/a	600.00	4.0
BROADARCH CAP/OLD NEWC	070	FNSR	SS	1,000	25.52	n/a	n/a	40.00	4.0
BRONSON POINT	036	FTR	C	70,000	8.29	n/a	n/a	2,100.00	3.0
BROADARCH CAP/OLD NEWC	070	FWLT	SS	2,000	33.35	n/a	n/a	80.00	4.0
COBALT	041	F	S	300,000	15.16	n/a	4-May	12,000.00	4.0
OZ MGMT	040	F	C	53,843	15.10	n/a	4-May	1,615.29	3.0
BROADARCH CAP/OLD NEWC	070	GDX	S	3,000	58.41	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	GGC	S	8,600	37.85	n/a	n/a	344.00	4.0
Õ Nilsa Vazquez		GMWA	S	148	23.8400	n/a	n/a	0.00	0.0
Õ Nilsa Vazquez		GMWB	S	148	18.1500	n/a	n/a	0.00	0.0
CIRCLE T/SES PART	033	GM	SS	10,000	33.01	n/a	4-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ñ Nilsa Vazquez		GM	S	163	32.8730	n/a	4-May	0.00	0.0
RIDGECREST INV MGMT LLC	028	GPS	B	10,000	23.19	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	GS	S	1,000	151.25	n/a	19-Apr	40.00	4.0
HARVEST MGMT	029	HBI	B	10,000	31.99	n/a	21-Apr	400.00	4.0
GALT INVESTMENT	041	HGG	S	25,000	13.40	n/a	n/a	1,000.00	4.0
THOMAS WEISEL ASSET MGMT	035	HITK	B	14,950	25.32	n/a	n/a	448.50	3.0
BROADARCH CAP/OLD NEWC	070	HON	S	3,000	61.70	n/a	25-Apr	120.00	4.0
SAC TRADIN/BINDER	044	IGT	B	22,300	17.57	n/a	27-Apr	780.50	3.5
BROADARCH CAP/OLD NEWC	070	IM	SS	2,500	18.60	n/a	n/a	100.00	4.0
RBC CAPITAL MARKETS	040	IPI	SS	20,000	31.83	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	IP	SS	7,000	32.00	n/a	28-Apr	280.00	4.0
BROADARCH CAP/OLD NEWC	070	ITW	SS	5,000	57.84	n/a	27-Apr	200.00	4.0
BROADARCH CAP/OLD NEWC	070	JCI	S	3,000	39.95	n/a	26-Apr	120.00	4.0
BROADARCH CAP/OLD NEWC	070	JPM	S	2,000	45.58	n/a	13-Apr	80.00	4.0
THRIVENT ASSET MGMT	030	JPM	B	73,300	45.54	n/a	13-Apr	2,199.00	3.0
JP MORGAN VENTURES	046	JWN	S	10,000	48.28	n/a	2-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	JWN	S	42,800	48.15	n/a	2-May	1,712.00	4.0
RBC CAPITAL MARKETS	040	KEX	B	10,000	55.06	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	KLAC	B	1,500	44.09	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	KNX	S	5,000	17.92	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	KO	S	40,000	67.62	n/a	27-Apr	1,600.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	LEA	B	53,950	50.20	n/a	2-May	2,158.00	4.0
BROADARCH CAP/OLD NEWC	070	LEN	S	5,000	18.43	n/a	n/a	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>41.45</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
GRANITE CAPITAL	028	LVS	B	25,000	43.05	n/a	4-May	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	LYB	S	1,500	44.36	n/a	n/a	60.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>MGM</b>	<b>S</b>	<b>750</b>	<b>13.8720</b>	<b>n/a</b>	<b>4-May</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	MGM	S	50,000	13.77	n/a	4-May	2,500.00	5.0
BROADARCH CAP/OLD NEWC	070	MMM	SS	3,000	95.93	n/a	26-Apr	120.00	4.0
BROADARCH CAP/OLD NEWC	070	MOS	S	1,600	70.88	n/a	n/a	64.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>MOS</b>	<b>B</b>	<b>100</b>	<b>69.8370</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MELLON/BANK OF NEW YORK	046	MSFT	S	74,129	26.23	n/a	n/a	2,965.16	4.0
BASIX	033	MTW	B	16,000	20.16	n/a	3-May	480.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	M	S	40,000	24.98	n/a	2-May	1,200.00	3.0
LEVIN CAPITAL STRATEGIES	012	M	B	75,000	25.07	n/a	2-May	2,250.00	3.0
RBC CAPITAL MARKETS	040	M	B	50,000	25.46	n/a	2-May	2,000.00	4.0
SIGMA CAP BOBBY	044	M	S	50,000	25.30	n/a	2-May	1,750.00	3.5
BROADARCH CAP/OLD NEWC	070	NE	S	5,000	40.28	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	NVLS	B	1,000	32.85	n/a	n/a	40.00	4.0
COLUMBIA PARTNERS	028	PAG	SS	500	22.00	n/a	29-Apr	20.00	4.0
BROADARCH CAP/OLD NEWC	070	PFE	B	2,500	20.62	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	PH	SS	2,000	92.11	n/a	28-Apr	80.00	4.0
METROPOLITAN CAPITAL	044	PLCE	B	8,000	52.04	n/a	9-Mar	400.00	5.0
ROYCE TRADING	012	PLCE	B	17,000	52.37	n/a	9-Mar	850.00	5.0
BROADARCH CAP/OLD NEWC	070	POT	S	1,000	53.87	n/a	n/a	40.00	4.0
BNP PARIBAS SEC	040	RL	B	10,000	127.93	n/a	25-Apr	500.00	5.0
CATAPULT	040	ROC	B	10,000	52.51	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	ROP	S	2,000	85.71	n/a	n/a	80.00	4.0
COHE & STEERS	041	RYN	B	25,000	65.84	n/a	27-Apr	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	R	S	2,000	52.45	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	SAIA	S	3,100	16.53	n/a	n/a	124.00	4.0
TALPION LLC	040	SBRA	B	7,500	16.85	n/a	n/a	300.00	4.0
COUGAR TRADING	044	SKS	S	10,000	11.47	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	SOA	SS	1,000	24.74	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	SPY	B	5,000	134.74	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	STJ	B	2,500	52.79	n/a	n/a	100.00	4.0
1798 CAP/LOMBARD ASSET	040	SWC	S	20,000	20.41	n/a	n/a	1,000.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.15	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	TDC	S	1,200	54.05	n/a	n/a	48.00	4.0
BROADARCH CAP/OLD NEWC	070	TEN	B	3,000	43.96	n/a	n/a	120.00	4.0
EVERCORE WEALTH MGMT	012	TEVA	S	8,450	46.87	n/a	4-May	422.50	5.0
NEUBERGER BERMAN	036	TISI	S	36,200	22.15	n/a	n/a	1,448.00	4.0
MELLON/BANK OF NEW YORK	046	T	S	15,000	31.75	n/a	n/a	600.00	4.0
CATAPULT	040	UFS	B	5,000	96.06	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	UHS	S	3,500	53.62	n/a	n/a	140.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BROADARCH CAP/OLD NEWC	070	UNP	SS	3,000	102.62	n/a	n/a	120.00	4.0	
BROADARCH CAP/OLD NEWC	070	USO	S	2,000	43.93	n/a	n/a	80.00	4.0	
SHUMWAY CAPITAL	029	USO	C	70,000	43.72	n/a	n/a	2,100.00	3.0	
BROADARCH CAP/OLD NEWC	070	UTX	SS	6,000	89.40	n/a	n/a	240.00	4.0	
METROPOLITAN CAPITAL	044	VCLK	S	15,900	19.14	n/a	n/a	795.00	5.0	
BNP PARIBAS SEC	040	VFC	B	20,000	98.37	n/a	2-May	1,000.00	5.0	
MELLON/BANK OF NEW YORK	046	VLO	S	16,300	26.86	n/a	n/a	652.00	4.0	
BROADARCH CAP/OLD NEWC	070	WNC	B	5,000	10.12	n/a	n/a	200.00	4.0	
WEDBUSH/PACIFIC GROWTH EQTY LLC084		WWE	SS	10,000	10.81		n/a	n/a	400.00	4.0
BALLAST CAP	040	XIDE	B	7,500	9.67	n/a	n/a	225.00	3.0	
GREEN ARROW DOUG	040	XLP	SS	25,000	31.60	n/a	n/a	1,250.00	5.0	
TOTAL (Trade Date):								85,812.97		



# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/03	WEISS PECK (PECKCELANE)	040	BODY	S	500	23.21	n/a	n/a	25.00 5.0
AO,	05/03	WEISS PECK (PECKSIITSM)	040	BODY	S	1,200	23.21	n/a	n/a	60.00 5.0
AO,	05/03	WEISS PECK (PECKFEDEXP)	040	BODY	S	4,290	23.21	n/a	n/a	214.50 5.0
AO,	05/03	WEISS PECK (PECKSIMTSC)	040	BODY	S	600	23.21	n/a	n/a	30.00 5.0
AO,	05/03	WEISS PECK (PECKPFA)	040	BODY	S	1,500	23.21	n/a	n/a	75.00 5.0
AO,	05/03	WEISS PECK (PECKQUALEX)	040	BODY	S	150	23.21	n/a	n/a	7.50 5.0
AO,	05/03	WEISS PECK (PECK452)	040	BODY	S	50	23.21	n/a	n/a	2.50 5.0
AO,	05/03	WEISS PECK (PECK453)	040	BODY	S	1,704	23.21	n/a	n/a	85.20 5.0
AO,	05/03	WEISS PECK (PECK454)	040	BODY	S	90	23.21	n/a	n/a	4.50 5.0
AO,	05/03	WEISS PECK (PECK448)	040	BODY	S	700	23.21	n/a	n/a	35.00 5.0
AO,	05/03	WEISS PECK (PECK443)	040	BODY	S	600	23.21	n/a	n/a	30.00 5.0
AO,	05/03	WEISS PECK (PECKSIMT)	040	BODY	S	1,776	23.21	n/a	n/a	88.80 5.0
AO,	05/03	WEISS PECK (PECKASTEAM)	040	BODY	S	30	23.21	n/a	n/a	1.50 5.0
AO,	05/03	WEISS PECK (PECKSIIT)	040	BODY	S	1,200	23.21	n/a	n/a	60.00 5.0
AO,	05/03	WEISS PECK (PECKKKPHOL)	040	BODY	S	110	23.21	n/a	n/a	5.50 5.0
AO,	05/03	WEISS PECK (PECKTUDOR)	040	BODY	S	500	23.21	n/a	n/a	25.00 5.0
AO,	05/03	WEISS PECK (PECKOPPVAL)	040	BWS	S	6,500	11.71	n/a	n/a	325.00 5.0
AO,	05/03	WEISS PECK (PECKOPPVAL)	040	GMO	C	10,200	4.41	n/a	n/a	408.00 4.0
AO,CRT	05/03	LATEFF MGMT (LATE5332)	035	KALU	S	400	50.42	n/a	n/a	80.00 20.0
AO,CXL	05/03	LATEFF MGMT (LATE5379)	035	KALU	S	400	50.42	n/a	n/a	80.00 20.0
CRT	05/04	SIGMA CAP BOBBY (SIBEML)	044	M	S	50,000	25.30	n/a	2-May	1750.00 3.5
AO,CXL	05/03	WESLEY CAPITAL (WESLGS4CEN)	029	MFA	S	78,910	8.06	n/a	n/a	3156.40 4.0
AO,CRT	05/03	WESLEY CAPITAL (WESLGS4CEN)	029	MFA	S	78,900	8.06	n/a	n/a	3156.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/03	WESLEY CAPITAL (WESLGS4CEN)	029	MFA	S	10	8.06	n/a	n/a	0.40	4.0
AO,CXL	05/03	PIONEER PATH (PIOPCDRPPD)	028	OCLR	B	23,474	10.59	n/a	n/a	0.00	0.0
AO,	05/03	PIONEER PATH (PIOPCDRPPD)	028	OCLR	B	23,474	10.59	n/a	n/a	704.22	3.0
AO,CXL	05/02	STATE TEACHERS RET SYS (STRSMAN)	047	OFC	S	25,000	34.91	n/a	n/a	1250.00	5.0
AO,CRT	05/02	STATE TEACHERS RET SYS (STRSMAN)	047	OFC	S	25,000	34.91	n/a	n/a	750.00	3.0
AO,CXL	05/03	TALPION LLC (TALPCSFBBP)	040	OMX	B	18,500	9.66	n/a	n/a	555.00	3.0
AO,	05/03	TALPION LLC (TALPMSPB)	040	OMX	B	18,500	9.66	n/a	n/a	555.00	3.0
AO,CXL	05/03	STATE TEACHERS RET SYS (STRSMAN)	047	SPG	S	10,000	116.19	n/a	n/a	500.00	5.0
AO,CRT	05/03	STATE TEACHERS RET SYS (STRSMAN)	047	SPG	S	10,000	116.19	n/a	n/a	300.00	3.0

<b>TOTAL (AO, CXL, CRT) :</b>	<b>3,237.22</b>
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TOTAL (Trade Date) :	85,812.97
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TOTAL (AO, CXL, CRT) :	3,237.22
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>89,050.19</b>
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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