



# Daily Compliance Activity Report

Trade Date: 12/14/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	AAPL	S	18,880	510.34	n/a	n/a	755.20	0.0
<b>f</b> SERGEI BARANOVSKY	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>2</b>	<b>1.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	ABG	S	17,100	29.60	n/a	13-Dec	684.00	4.0
TEMAGAMI CAPITAL	041	ADBE	B	15,300	37.53	n/a	n/a	612.00	4.0
HIGHBRIDGE CAP	041	AGCO	S	17,250	49.07	n/a	n/a	517.50	3.0
WINSLOW CAPITAL	030	AGN	B	700	91.73	n/a	14-Dec	21.00	3.0
PZENA INV ADV	044	AIG	B	18,625	33.97	n/a	n/a	651.89	0.0
<b>f</b> HARALAMBOS EFSTATHI	<b>FID</b>	<b>ALU</b>	<b>B</b>	<b>4000</b>	<b>1.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>ALU</b>	<b>B</b>	<b>5000</b>	<b>1.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	AML	S	2,500	15.78	n/a	n/a	125.00	5.0
WINSLOW CAPITAL	030	AMT	B	1,700	76.14	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	AMZN	B	700	248.93	n/a	n/a	21.00	3.0
PATTEN & PATTEN	025	APA	S	100	77.12	n/a	6-Dec	5.00	5.0
DEVENNY CAP LLC/MILLENIU	044	APD	B	5,324	82.51	n/a	13-Dec	159.72	0.0
<b>f</b> WILLIAM WEINBERG	<b>FID</b>	<b>APP</b>	<b>S</b>	<b>5000</b>	<b>0.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	AUQ	S	5,000	8.27	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	AXP	B	3,500	56.82	n/a	13-Dec	175.00	5.0
UBS OCONNOR	031	AXP	SS	90,000	57.10	n/a	13-Dec	2,700.00	0.0
PATTEN & PATTEN	025	BA	B	1,350	74.06	n/a	11-Dec	67.50	5.0
MACELLUM CAPITAL	086	BBY	S	97,000	11.84	n/a	n/a	2,910.00	3.0
WINSLOW CAPITAL	030	BEN	B	1,100	127.17	n/a	2-Mar	33.00	3.0
<b>f ANDREW MARK GRONET</b>	<b>FID</b>	<b>BHL</b>	<b>S</b>	<b>216</b>	<b>13.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	BIIB	B	1,000	151.73	n/a	n/a	30.00	3.0
J. GOLDMAN	028	BKW	B	5,000	16.86	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	BLK	B	500	201.65	n/a	n/a	15.00	3.0
PATTEN & PATTEN	025	BP	S	800	41.41	n/a	n/a	40.00	5.0
HIGHBRIDGE CAP	041	BTU	B	37,000	27.79	n/a	n/a	1,110.00	3.0
WINSLOW CAPITAL	030	BWA	B	1,400	66.63	n/a	7-Nov	42.00	3.0
LOMAS CAPITAL	040	BWLD	SS	15,000	74.15	n/a	n/a	450.00	3.0
PARKWEST	084	CALX	B	597	7.09	n/a	n/a	17.91	3.0
<b>f ANDREW MARK GRONET</b>	<b>FID</b>	<b>CAT</b>	<b>S</b>	<b>10</b>	<b>89.37</b>	<b>n/a</b>	<b>11-Jul</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEVENNY CAP LLC/MILLENIU	044	CBI	B	3,524	41.70	n/a	n/a	105.72	0.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>80</b>	<b>0.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>2700</b>	<b>4.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	CBS	B	2,400	34.94	n/a	n/a	72.00	3.0
M&I FUNDS	047	CCI	S	3,314	71.26	n/a	n/a	132.56	4.0
WINSLOW CAPITAL	030	CELG	B	1,800	79.80	n/a	n/a	54.00	3.0
WINSLOW CAPITAL	030	CERN	B	1,400	77.88	n/a	n/a	42.00	3.0
HIGHBRIDGE CAP	041	CLF	B	31,000	33.15	n/a	n/a	930.00	3.0
WINSLOW CAPITAL	030	COG	B	1,200	47.16	n/a	4-Dec	36.00	3.0
TROUBH PART	070	COH	B	10,000	57.25	n/a	5-Nov	500.00	5.0
WINSLOW CAPITAL	030	COH	B	1,400	57.37	n/a	5-Nov	42.00	3.0
WINSLOW CAPITAL	030	COST	B	900	97.30	n/a	n/a	27.00	3.0
WINSLOW CAPITAL	030	COV	B	1,900	57.65	n/a	n/a	57.00	3.0
WINSLOW CAPITAL	030	CRM	B	1,300	166.49	n/a	n/a	39.00	3.0
SIMMONS VENTURES	041	CROX	B	10,000	13.49	n/a	n/a	400.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>CRUS</b>	<b>B</b>	<b>400</b>	<b>25.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>3500</b>	<b>8.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	CVS	B	2,700	49.42	n/a	n/a	81.00	3.0
WINSLOW CAPITAL	030	CXO	B	700	82.53	n/a	n/a	21.00	3.0
UBS OCONNOR	031	DFS	B	50,000	39.74	n/a	13-Dec	1,500.00	0.0
WINSLOW CAPITAL	030	DG	B	2,400	44.50	n/a	12-Dec	72.00	3.0
DEVENNY CAP LLC/MILLENIU	044	DHR	B	2,000	54.59	n/a	n/a	60.00	0.0
WINSLOW CAPITAL	030	DHR	B	4,500	54.70	n/a	n/a	135.00	3.0
PATTEN & PATTEN	025	DUK	S	66	63.83	n/a	n/a	3.30	5.0
WINSLOW CAPITAL	030	EBAY	B	2,600	50.85	n/a	n/a	78.00	3.0
WINSLOW CAPITAL	030	ECL	B	1,800	70.48	n/a	31-Oct	54.00	3.0
PATTEN & PATTEN	025	EEP	S	200	27.13	n/a	n/a	10.00	5.0
CRAMER ROSENTHAL	070	EL	B	36,500	60.45	n/a	13-Nov	1,460.00	0.0
WINSLOW CAPITAL	030	EL	B	1,300	60.59	n/a	13-Nov	39.00	3.0
WINSLOW CAPITAL	030	EMC	B	3,200	24.71	n/a	4-Dec	96.00	3.0
WINSLOW CAPITAL	030	ESRX	B	2,300	54.73	n/a	n/a	69.00	3.0
WINSLOW CAPITAL	030	EW	B	700	91.24	n/a	n/a	21.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	FB	B	4,900	27.33	n/a	n/a	147.00	3.0
DEVENNY CAP LLC/MILLENIU	044	FCX	S	5,000	33.73	n/a	n/a	150.00	0.0
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>FCX</b>	<b>B</b>	<b>1000</b>	<b>32.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	FCX	B	4,650	33.95	n/a	n/a	232.50	5.0
M&I FUNDS	047	FINL	B	3,300	18.00	n/a	13-Dec	132.00	4.0
WINSLOW CAPITAL	030	FLR	B	2,000	57.43	n/a	n/a	60.00	3.0
ROARING BLUE LION MGMT	031	FL	B	9,150	32.74	n/a	16-Nov	366.00	4.0
HIGHBRIDGE CAP	041	FTI	S	26,000	40.73	n/a	n/a	780.00	3.0
WINSLOW CAPITAL	030	FTI	B	1,400	40.78	n/a	n/a	42.00	3.0
<b>f SARA J SCHWARZWALDER</b>	<b>FID</b>	<b>FUSVX</b>	<b>B</b>	<b>520</b>	<b>50.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	F	S	1,000	11.12	n/a	4-Dec	50.00	5.0
SIMMONS VENTURES	041	GIII	B	10,000	32.88	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	GILD	B	1,700	73.91	n/a	n/a	51.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>GLDD</b>	<b>B</b>	<b>500</b>	<b>8.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	GLW	S	1,200	12.60	n/a	27-Nov	60.00	5.0
BRONSON POINT	036	GM	B	50,000	24.76	n/a	13-Dec	1,500.00	0.0
HALCYON LLC	041	GM	B	50,000	25.00	n/a	13-Dec	1,500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	GOOG	B	400	705.24	n/a	n/a	12.00	3.0
SYMPHONY ASSET	033	GPS	C	10,440	31.55	n/a	n/a	313.20	0.0
WINSLOW CAPITAL	030	GWW	B	400	190.96	n/a	12-Dec	12.00	3.0
WINSLOW CAPITAL	030	HCA	B	2,000	31.10	n/a	n/a	60.00	3.0
WINSLOW CAPITAL	030	HD	B	1,800	62.00	n/a	16-Nov	54.00	3.0
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>HPQ</b>	<b>B</b>	<b>59</b>	<b>0.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>HPQ</b>	<b>S</b>	<b>100</b>	<b>0.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>HSC</b>	<b>S</b>	<b>1000</b>	<b>21.76</b>	<b>n/a</b>	<b>16-Nov</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	IBM	B	1,300	192.28	n/a	n/a	39.00	3.0
WINSLOW CAPITAL	030	INTU	B	1,300	59.83	n/a	n/a	39.00	3.0
WINSLOW CAPITAL	030	ISRG	B	200	535.98	n/a	n/a	6.00	3.0
TUDOR INVESTORS	028	ITW	B	5,000	62.36	n/a	n/a	150.00	3.0
CENTURION PARTNERS	041	JBLU	B	20,000	5.64	n/a	13-Dec	800.00	4.0
PATTEN & PATTEN	025	JPM	S	100	42.91	n/a	4-Dec	5.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	JWN	S	50,000	52.13	n/a	30-Nov	1,500.00	3.0
DEVENNY CAP LLC/MILLENIU	044	KMT	SS	2,000	39.10	n/a	n/a	60.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	KORS	B	1,700	49.99	n/a	14-Nov	51.00	3.0
SIMMONS VENTURES	041	KSS	B	10,000	43.70	n/a	30-Nov	400.00	4.0
TUDOR INVESTORS	028	KSU	S	5,000	82.52	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	LEN	B	2,000	36.80	n/a	n/a	60.00	3.0
CENTURION PARTNERS	041	LUV	B	20,000	10.39	n/a	11-Dec	800.00	4.0
WINSLOW CAPITAL	030	LVS	B	2,000	46.79	n/a	13-Jun	60.00	3.0
WINSLOW CAPITAL	030	MA	B	200	480.63	n/a	27-Nov	6.00	3.0
WINSLOW CAPITAL	030	MON	B	2,600	89.58	n/a	8-Oct	78.00	3.0
J. GOLDMAN	028	MPEL	S	15,000	16.79	n/a	13-Jun	600.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>MTRX</b>	<b>B</b>	<b>3594</b>	<b>11.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STANDARD PACIFIC CAPITAL	084	MT	B	175,000	16.96	n/a	n/a	8,750.00	5.0
<b>f ANDREW MARK GRONET</b>	<b>FID</b>	<b>MWA</b>	<b>S</b>	<b>100</b>	<b>5.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL	070	NI	B	349,500	24.24	n/a	n/a	13,980.00	0.0
PATTEN & PATTEN	025	NUAN	S	1,200	21.96	n/a	n/a	60.00	5.0
LAKEWOOD CAPITAL MGMT	085	NWSA	C	30,000	24.36	n/a	n/a	900.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	NWS	S	50,000	25.15	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	OXY	S	650	76.10	n/a	n/a	32.50	5.0
HIGHBRIDGE CAP	041	PBR	B	77,000	19.56	n/a	n/a	2,310.00	3.0
PATTEN & PATTEN	025	PCH	S	200	38.15	n/a	14-Dec	10.00	5.0
WINSLOW CAPITAL	030	PCLN	B	400	613.06	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	PCP	B	700	184.28	n/a	11-Dec	21.00	3.0
PATTEN & PATTEN	025	PID	S	800	15.67	n/a	n/a	40.00	5.0
CAERUS GLOBAL	041	PVH	B	7,500	108.95	n/a	29-Nov	300.00	4.0
f ANDREW MARK GRONET	FID	PXP	B	100	46.06	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	PXP	B	1000	45.68	n/a	n/a	0.00	0.0
Õ Nilsa Vazquez		QCOM	B	200	59.75	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	RL	B	700	150.03	n/a	5-Nov	21.00	3.0
WINSLOW CAPITAL	030	ROST	B	1,400	53.45	n/a	30-Nov	42.00	3.0
WINSLOW CAPITAL	030	RRC	B	1,200	62.71	n/a	4-Dec	36.00	3.0
WINSLOW CAPITAL	030	SBAC	B	1,700	69.21	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	SBUX	B	2,700	53.28	n/a	6-Dec	81.00	3.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	SIRI	B	10,200	2.74	n/a	n/a	306.00	3.0
MAIRS AND POWER INV	030	SLB	B	10,000	68.62	n/a	n/a	500.00	5.0
CR INTRINIC INVESTMENT	044	SPR	S	40,000	16.00	n/a	11-Dec	1,400.00	3.5
PATTEN & PATTEN	025	SRZ	S	2,500	14.38	n/a	n/a	125.00	5.0
PATTEN & PATTEN	025	STI	S	200	27.04	n/a	n/a	10.00	5.0
HIGHBRIDGE CAP	041	SWC	SS	84,000	11.88	n/a	n/a	2,520.00	3.0
PATTEN & PATTEN	025	SWN	S	1,100	33.08	n/a	10-Dec	55.00	5.0
WINSLOW CAPITAL	030	TDC	B	1,300	59.69	n/a	n/a	39.00	3.0
PATTEN & PATTEN	025	TIF	B	200	58.07	n/a	n/a	10.00	5.0
HIGHBRIDGE CAP	041	TRN	B	29,000	34.66	n/a	n/a	870.00	3.0
TUDOR INVESTORS	028	TRW	B	5,000	51.50	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	TSCO	B	150	85.05	n/a	n/a	7.50	5.0
WINSLOW CAPITAL	030	ULTA	B	800	94.47	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	UNH	B	2,300	54.41	n/a	n/a	69.00	3.0
PATTEN & PATTEN	025	UNM	S	776	20.81	n/a	n/a	38.80	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	UNP	B	2,500	125.15	n/a	n/a	75.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>UNT</b>	<b>S</b>	<b>3000</b>	<b>44.20</b>	<b>n/a</b>	<b>4-Dec</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	UPL	S	20,000	19.33	n/a	4-Dec	800.00	4.0
WINSLOW CAPITAL	030	UTX	B	1,800	80.45	n/a	n/a	54.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	VFC	SS	25,000	148.12	n/a	23-Oct	750.00	3.0
WINSLOW CAPITAL	030	VMW	B	800	92.34	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	V	B	2,100	146.45	n/a	12-Dec	63.00	3.0
UBS OCONNOR	031	WERN	SS	50,000	20.93	n/a	n/a	1,500.00	0.0
WINSLOW CAPITAL	030	YUM	B	1,200	68.10	n/a	7-Dec	36.00	3.0
GALT INVESTMENT	041	ZIP	S	40,000	8.40	n/a	n/a	2,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>68,028.80</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	12/13	SCOPUS FUND	041	ABG	S	17,200	29.89	n/a 13-Dec	688.00 0.0
AO,CRT	12/13	SCOPUS FUND	041	ABG	S	17,200	29.89	n/a 13-Dec	688.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	68,028.80
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>68,028.80</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 14-Dec.  
NONE

MRI Securities without Trade Activity on 14-Dec.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 0%

**Legend:**

**Õ: Employee Trades in Outside Accounts**

**ß: Non-BRG BCM Trades**

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)