



## Daily Compliance Activity Report

Trade Date: 06/05/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	S	200	560.66	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	ALTR	S	300	32.62	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	AMTD	S	400	16.46	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	AMT	S	300	63.71	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	AMZN	S	100	212.04	n/a	n/a	3.00	3.0
MERRILL ASSET/BLACKROCK	297	BBCN	S	9,787	10.17	n/a	n/a	391.48	4.0
WINSLOW CAPITAL	030	BEN	S	200	103.32	n/a	2-Mar	6.00	3.0
WINSLOW CAPITAL	030	BIDU	S	100	116.43	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	BIIB	S	100	130.99	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	BLK	S	100	165.79	n/a	n/a	3.00	3.0
ARMATURE CAPITAL	041	BMS	B	50,000	30.08	n/a	n/a	2,000.00	4.0
MILLRACE FUND LP	028	BWA	B	2,000	64.31	n/a	27-Apr	80.00	4.0
WINSLOW CAPITAL	030	BWA	S	200	65.07	n/a	27-Apr	6.00	3.0
WINSLOW CAPITAL	030	CAM	S	400	44.81	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	CAT	S	300	83.64	n/a	26-Apr	9.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CELG	S	300	64.33	n/a	n/a	9.00	3.0
NEUBERGER BERMAN	036	CHD	S	53,500	53.00	n/a	8-May	2,140.00	4.0
WINSLOW CAPITAL	030	COH	S	100	63.24	n/a	9-May	3.00	3.0
MERRILL ASSET/BLACKROCK	297	COLB	S	22,300	17.75	n/a	n/a	892.00	4.0
WINSLOW CAPITAL	030	COST	S	200	86.65	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	COV	S	300	50.90	n/a	n/a	9.00	3.0
ARSENAL ASSET MANAGEMENT	028	CRI	S	10,000	51.92	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	CRM	S	200	133.72	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CXO	S	200	85.84	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	DHR	S	600	49.86	n/a	n/a	18.00	3.0
SENATOR INVESTMENT GROUP	036	DLPH	S	15,000	28.09	n/a	n/a	450.00	3.0
WINSLOW CAPITAL	030	EBAY	S	200	39.34	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	ECL	S	200	62.19	n/a	9-May	6.00	3.0
WINSLOW CAPITAL	030	EL	S	200	53.41	n/a	7-May	6.00	3.0
WINSLOW CAPITAL	030	EMC	S	1,000	23.18	n/a	n/a	30.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ESRX	S	400	50.63	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	EW	S	100	85.43	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	FLR	S	200	47.00	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	FTI	S	300	39.18	n/a	n/a	9.00	3.0
KLEINHEINZ CAP PART	031	GIL	B	100,000	24.19	n/a	4-May	5,000.00	5.0
SONICA CAPITAL LLC	025	GME	B	52,600	19.58	n/a	n/a	1,578.00	3.0
BALYASNY ASSET MGMT	044	GNTX	C	25,000	21.08	n/a	20-Apr	1,250.00	5.0
NWQ INVESTMENT MGMT CO	084	GOLF	S	197,620	6.04	n/a	n/a	5,928.60	3.0
WINSLOW CAPITAL	030	GOOG	S	100	566.69	n/a	n/a	3.00	3.0
CONIFER/ISF	025	HPQ	B	8,400	21.62	n/a	n/a	336.00	4.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>HRS</b>	<b>S</b>	<b>1,500</b>	<b>40.10</b>	<b>n/a</b>	<b>1-May</b>	<b>60.00</b>	<b>4.0</b>
WINSLOW CAPITAL	030	ICE	S	200	123.32	n/a	n/a	6.00	3.0
CRAMER ROSENTHAL	070	IGT	S	16,900	13.49	n/a	13-Jun	676.00	4.0
CRAMER ROSENTHAL	070	INGR	S	300	49.00	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	INTU	S	300	54.96	n/a	n/a	9.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ISRG	S	100	515.60	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	ITW	S	300	53.78	n/a	25-Apr	9.00	3.0
SONICA CAPITAL LLC	025	JNY	B	69,000	9.61	n/a	26-Apr	2,070.00	3.0
1798 CAP/LOMBARD ASSET	040	JOE	SS	15,000	14.87	n/a	n/a	750.00	5.0
HOLLIS CAPITAL	033	JPM	B	10,000	31.94	n/a	5-Jun	500.00	5.0
CRAMER ROSENTHAL	070	KEX	S	300	50.45	n/a	n/a	12.00	4.0
PAW PARTNERS	025	KMX	S	3,700	27.47	n/a	n/a	185.00	5.0
WINSLOW CAPITAL	030	KORS	S	300	37.85	n/a	n/a	9.00	3.0
CRAMER ROSENTHAL	070	LAZ	S	600	22.69	n/a	5-Jun	24.00	4.0
CRAMER ROSENTHAL	070	LECO	S	400	43.94	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	LNKD	S	200	91.89	n/a	n/a	6.00	3.0
WOODWAY FINANCIAL	031	LPX	B	318,840	8.66	n/a	7-May	6,376.80	2.0
CRAMER ROSENTHAL	070	LSI	S	2,000	6.38	n/a	n/a	80.00	4.0
WINSLOW CAPITAL	030	LVS	S	400	44.01	n/a	13-Jun	12.00	3.0
CRAMER ROSENTHAL	070	MCRS	S	200	49.76	n/a	n/a	8.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	MON	S	300	76.62	n/a	30-May	9.00	3.0
EMPYREAN CAPITAL	084	NAV	B	100,000	26.91	n/a	18-Apr	5,000.00	5.0
WINSLOW CAPITAL	030	ORLY	S	100	94.94	n/a	n/a	3.00	3.0
PAW PARTNERS	025	OXM	B	3,000	43.21	n/a	n/a	150.00	5.0
SCOPUS FUND	041	OXM	B	20,000	43.82	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	OXY	S	200	80.81	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	PCLN	S	100	618.22	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	PCP	S	100	157.65	n/a	18-May	3.00	3.0
ARSENAL ASSET MANAGEMENT	028	PEP	S	30,000	67.02	n/a	n/a	1,200.00	4.0
BALLAST CAP	040	PEP	S	5,400	66.98	n/a	n/a	270.00	5.0
WINSLOW CAPITAL	030	PRGO	S	100	104.04	n/a	4-Jun	3.00	3.0
TOCQUEVILLE	035	PSS	S	29,000	21.15	n/a	n/a	1,450.00	5.0
FARALLON CAP MGMT	040	QCOM	B	51,000	56.46	n/a	n/a	1,530.00	3.0
WINSLOW CAPITAL	030	QCOM	S	600	56.37	n/a	n/a	18.00	3.0
LISTED ERR	099	QCOM	B	5,000	56.54	n/a	n/a	0.00	0.0
LISTED ERR	099	QCOM	S	5,000	56.05	n/a	n/a	0.00	0.0
SONTERRA CAP	041	RKT	S	32,000	50.15	n/a	26-Apr	1,280.00	4.0
WINSLOW CAPITAL	030	SBUX	S	300	51.90	n/a	5-Jun	9.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	SHPGY	S	200	84.05	n/a	4-Jun	6.00	3.0
OMEGA ADVISORS	041	SLM	B	210,000	14.06	n/a	30-May	8,400.00	4.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>STJ</b>	<b>S</b>	<b>1,000</b>	<b>38.30</b>	<b>n/a</b>	<b>n/a</b>	<b>40.00</b>	<b>4.0</b>
FARALLON CAP MGMT	040	SWY	B	100,000	18.58	n/a	n/a	3,982.00	3.5
NEUBERGER BERMAN	036	TRMB	S	47,000	46.13	n/a	n/a	1,880.00	4.0
WINSLOW CAPITAL	030	UNH	S	500	55.68	n/a	n/a	15.00	3.0
WINSLOW CAPITAL	030	UNP	S	300	106.08	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	UTX	S	200	70.94	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	VRSN	S	200	37.88	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	V	S	300	113.73	n/a	30-May	9.00	3.0
BALLAST CAP	040	WY	B	6,600	19.34	n/a	4-May	330.00	5.0
FORTRESS INVESTMENT (US)	036	XLB	B	80,000	33.41	n/a	n/a	1,600.00	2.0
WINSLOW CAPITAL	030	YUM	S	200	64.29	n/a	20-Apr	6.00	3.0
<b>TOTAL (Trade Date):</b>								<b>59,511.88</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/04	PALESTRA (PALEMS)	040	HBAN	SS	75,000	5.93	n/a	n/a	2250.00 3.0
AO,CRT	06/04	PALESTRA (PALEMS)	040	HBAN	SS	75,000	5.93	n/a	n/a	3750.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,500.00</b>
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TOTAL (Trade Date) :	59,511.88
TOTAL (AO, CXL, CRT) :	1,500.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>61,011.88</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