



Daily Compliance Activity Report

Trade Date: 10/10/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	800	640.88	n/a	n/a	24.00	3.0
M&I FUNDS	047	AAP	B	9,382	69.55	n/a	n/a	375.28	4.0
BTG PACTUAL	040	ACI	B	15,000	7.07	n/a	n/a	450.00	3.0
NCM CAPITAL MGMT	035	ADT	B	8,485	37.34	n/a	n/a	339.40	0.0
NWQ INVESTMENT MGMT CO	084	ALTE	B	4,400	23.72	n/a	n/a	132.00	0.0
WINSLOW CAPITAL	030	ALTR	B	1,700	32.27	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	AMT	B	1,500	72.51	n/a	n/a	45.00	3.0
WINSLOW CAPITAL	030	AMZN	B	600	246.70	n/a	n/a	18.00	3.0
NWQ INVESTMENT MGMT CO	084	ARW	B	4,000	32.42	n/a	n/a	140.00	0.0
EVERGREEN	047	AVT	B	45,400	25.97	n/a	n/a	1,816.00	0.0
NWQ INVESTMENT MGMT CO	084	AVT	B	4,100	27.33	n/a	n/a	143.50	0.0
NWQ INVESTMENT MGMT CO	084	AXS	B	2,600	35.70	n/a	n/a	91.00	0.0
WINSLOW CAPITAL	030	BEN	B	900	127.28	n/a	2-Mar	27.00	3.0
WINSLOW CAPITAL	030	BIIB	B	800	147.62	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	BLK	B	300	187.99	n/a	n/a	9.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	BWA	B	1,100	66.96	n/a	27-Jul	33.00	3.0
WINSLOW CAPITAL	030	CAM	B	1,200	53.73	n/a	n/a	36.00	3.0
COBALT	041	CAT	SS	50,000	83.44	n/a	11-Jul	2,000.00	4.0
WINSLOW CAPITAL	030	CBS	B	1,600	34.54	n/a	n/a	48.00	3.0
SANDLER O'NEILL ASSET	031	CBU	B	3,112	28.28	n/a	n/a	155.60	5.0
WINSLOW CAPITAL	030	CELG	B	1,400	76.38	n/a	n/a	42.00	3.0
WINSLOW CAPITAL	030	CERN	B	1,200	75.85	n/a	n/a	36.00	3.0
P.SCHOENFELD ASSET MGMT LLC	041	CNK	SS	25,000	22.71	n/a	n/a	1,000.00	0.0
WINSLOW CAPITAL	030	COG	B	1,800	43.91	n/a	1-Oct	54.00	3.0
WINSLOW CAPITAL	030	COH	B	1,200	53.82	n/a	1-Aug	36.00	3.0
WINSLOW CAPITAL	030	COST	B	800	102.93	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	COV	B	1,500	57.45	n/a	n/a	45.00	3.0
WINSLOW CAPITAL	030	CRM	B	1,100	149.13	n/a	n/a	33.00	3.0
WINSLOW CAPITAL	030	CTXS	B	700	68.51	n/a	n/a	21.00	3.0
WINSLOW CAPITAL	030	CVS	B	2,200	48.19	n/a	n/a	66.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CXO	B	800	92.86	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	DG	B	1,400	50.65	n/a	5-Sep	42.00	3.0
WINSLOW CAPITAL	030	DHR	B	3,800	55.54	n/a	n/a	114.00	3.0
NWQ INVESTMENT MGMT CO	084	DNR	B	9,800	16.09	n/a	n/a	343.00	0.0
BRIGADE CAPITAL MGMT	029	DYN	B	40,000	17.51	n/a	n/a	1,200.00	0.0
WINSLOW CAPITAL	030	ECL	B	1,400	63.61	n/a	9-Aug	42.00	3.0
WINSLOW CAPITAL	030	EL	B	900	62.34	n/a	8-Oct	27.00	3.0
WINSLOW CAPITAL	030	EMC	B	4,900	25.83	n/a	n/a	147.00	3.0
EVERGREEN	047	EME	S	3,000	28.71	n/a	n/a	120.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	B	49,200	30.65	n/a	10-Oct	1,466.40	0.0
ROYCE TRADING	031	ENTG	B	50,000	7.82	n/a	n/a	2,500.00	0.0
WINSLOW CAPITAL	030	ESRX	B	2,700	62.94	n/a	n/a	81.00	3.0
WINSLOW CAPITAL	030	EW	B	900	87.77	n/a	n/a	27.00	3.0
NWQ INVESTMENT MGMT CO	084	FEIC	B	900	50.72	n/a	n/a	27.00	0.0
ROYCE TRADING	031	FINL	B	20,000	21.48	n/a	28-Sep	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	FLR	B	1,600	56.10	n/a	n/a	48.00	3.0
NWQ INVESTMENT MGMT CO	084	FOR	B	6,700	16.47	n/a	5-Oct	234.50	0.0
WINSLOW CAPITAL	030	FTI	B	2,100	43.38	n/a	n/a	63.00	3.0
NWQ INVESTMENT MGMT CO	084	GES	B	4,800	25.01	n/a	23-Aug	168.00	0.0
WINSLOW CAPITAL	030	GOOG	B	300	744.32	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	GPS	B	2,100	36.73	n/a	n/a	63.00	3.0
GEORGE WEISS	034	GSM	S	12,811	15.82	n/a	n/a	384.33	0.0
NWQ INVESTMENT MGMT CO	084	HAR	B	2,000	43.25	n/a	3-Feb	70.00	0.0
MERCHANTS GATE CAP LP	036	HBI	SS	10,000	32.75	n/a	1-Aug	400.00	0.0
NWQ INVESTMENT MGMT CO	084	HRL	B	5,500	29.02	n/a	n/a	192.50	0.0
WINSLOW CAPITAL	030	IBM	B	1,000	206.66	n/a	n/a	30.00	3.0
WINSLOW CAPITAL	030	ICE	B	300	128.59	n/a	n/a	9.00	3.0
SCOPUS FUND	041	IFF	B	12,343	60.40	n/a	26-Sep	493.72	4.0
WINSLOW CAPITAL	030	INTU	B	1,200	59.59	n/a	n/a	36.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	20,000	36.22	n/a	24-Sep	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ISRG	B	100	494.35	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	ITW	B	1,300	58.49	n/a	n/a	39.00	3.0
EATON VANCE MGMT	029	JNJ	S	50,000	68.31	n/a	n/a	1,500.00	0.0
SANDLER O'NEILL ASSET	031	JPM	B	25,000	41.78	n/a	5-Oct	1,250.00	5.0
WINSLOW CAPITAL	030	KORS	B	1,300	52.13	n/a	n/a	39.00	3.0
M&I FUNDS	047	LBTYA	S	9,515	60.13	n/a	n/a	380.60	4.0
WINSLOW CAPITAL	030	LVS	B	1,500	42.86	n/a	13-Jun	45.00	3.0
WINSLOW CAPITAL	030	MA	B	300	461.88	n/a	9-Oct	9.00	3.0
NWQ INVESTMENT MGMT CO	084	MG	B	2,300	22.90	n/a	n/a	80.50	0.0
ARSENAL ASSET MANAGEMENT	028	MHK	B	5,000	79.30	n/a	n/a	200.00	0.0
NWQ INVESTMENT MGMT CO	084	MIDD	B	700	118.07	n/a	n/a	21.00	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	5,000	83.23	n/a	n/a	200.00	0.0
NCM CAPITAL MGMT	035	MON	B	9,900	89.12	n/a	8-Oct	396.00	0.0
WINSLOW CAPITAL	030	MON	B	2,100	89.28	n/a	8-Oct	63.00	3.0
SYMPHONY ASSET	033	MRK	B	9,509	45.52	n/a	n/a	285.27	0.0
BNP PARIBAS SEC	040	MWV	B	20,000	30.21	n/a	25-Jul	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	NWBI	B	4,100	12.31	n/a	n/a	123.00	0.0
COLUMBUS CIRCLE	036	N	B	3,868	60.04	n/a	n/a	154.72	0.0
WINSLOW CAPITAL	030	ORLY	B	3,100	85.15	n/a	n/a	93.00	3.0
ROSEDALE CAPITAL	046	PBCT	B	20,000	12.22	n/a	19-Jul	800.00	4.0
WINSLOW CAPITAL	030	PCLN	B	300	603.26	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	PCP	B	600	161.37	n/a	1-Aug	18.00	3.0
EATON VANCE MGMT	029	PFE	S	50,000	25.18	n/a	n/a	1,500.00	0.0
NWQ INVESTMENT MGMT CO	084	PMCS	B	21,000	5.08	n/a	n/a	630.00	0.0
BNP PARIBAS SEC	040	PPG	B	5,000	115.82	n/a	9-Aug	150.00	3.0
NWQ INVESTMENT MGMT CO	084	PRE	B	2,100	77.37	n/a	n/a	73.50	0.0
NWQ INVESTMENT MGMT CO	084	PVTB	B	5,300	15.86	n/a	n/a	159.00	0.0
WINSLOW CAPITAL	030	QCOM	B	3,600	59.83	n/a	n/a	108.00	3.0
NWQ INVESTMENT MGMT CO	084	RGA	B	1,600	58.24	n/a	n/a	56.00	0.0
COOPER CREEK PART	028	RKT	S	10,000	71.91	n/a	24-Sep	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	10,000	71.57	n/a	24-Sep	500.00	5.0
WINSLOW CAPITAL	030	RL	B	500	156.20	n/a	9-Aug	15.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ROST	B	500	64.52	n/a	5-Oct	15.00	3.0
WINSLOW CAPITAL	030	RRC	B	1,000	69.81	n/a	1-Oct	30.00	3.0
WINSLOW CAPITAL	030	SBAC	B	1,400	65.43	n/a	n/a	42.00	3.0
WINSLOW CAPITAL	030	SBUX	B	2,000	47.07	n/a	4-Oct	60.00	3.0
BASSWOOD PARTNERS	267	SCHW	B	47,172	13.02	n/a	n/a	1,886.88	0.0
P.SCHOENFELD ASSET MGMT LLC041		SHAW	B	25,000	43.86	n/a	n/a	1,000.00	0.0
KENNEDY CAPITAL	046	SKX	B	50,000	17.47	n/a	n/a	2,000.00	0.0
WINSLOW CAPITAL	030	SLB	B	1,000	71.07	n/a	n/a	30.00	3.0
EVERGREEN	047	STLD	S	33,200	12.13	n/a	n/a	1,328.00	0.0
SYMPHONY ASSET	033	SYK	S	8,192	52.21	n/a	n/a	245.76	0.0
SYMPHONY ASSET	033	TAL	SS	15,060	33.93	n/a	n/a	451.80	0.0
NWQ INVESTMENT MGMT CO	084	TCBI	B	500	50.58	n/a	n/a	15.00	0.0
WINSLOW CAPITAL	030	TDC	B	900	72.38	n/a	n/a	27.00	3.0
NWQ INVESTMENT MGMT CO	084	TER	B	11,100	13.50	n/a	n/a	388.50	0.0
MACELLUM CAPITAL	086	ULTA	B	11,420	96.32	n/a	n/a	342.60	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ULTA	B	600	96.45	n/a	n/a	18.00	3.0
WINSLOW CAPITAL	030	UNH	B	1,600	57.25	n/a	n/a	48.00	3.0
WINSLOW CAPITAL	030	UNP	B	2,200	120.77	n/a	n/a	66.00	3.0
WINSLOW CAPITAL	030	UTX	B	1,500	76.21	n/a	n/a	45.00	3.0
WINSLOW CAPITAL	030	VRSN	B	1,400	47.66	n/a	n/a	42.00	3.0
NWQ INVESTMENT MGMT CO	084	VRTX	B	3,300	56.69	n/a	n/a	99.00	0.0
WINSLOW CAPITAL	030	V	B	2,000	137.19	n/a	9-Oct	60.00	3.0
NWQ INVESTMENT MGMT CO	084	WAL	B	5,800	10.44	n/a	n/a	203.00	0.0
NWQ INVESTMENT MGMT CO	084	WCC	B	800	56.94	n/a	n/a	28.00	0.0
NWQ INVESTMENT MGMT CO	084	WSH	B	3,200	36.49	n/a	n/a	112.00	0.0
ADAGE CAPITAL MGMT	030	WSM	SS	194,103	45.99	n/a	n/a	5,823.09	3.0
SIGMA CAPITAL ASSOCIATES	041	YUM	SS	25,000	71.01	n/a	9-Oct	875.00	3.5
WINSLOW CAPITAL	030	YUM	B	1,000	71.38	n/a	9-Oct	30.00	3.0
TOTAL (Trade Date) :								42,888.45	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									42,888.45
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									42,888.45
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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