



Daily Compliance Activity Report

Trade Date: 12/09/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KOLVEN CAPITAL	025	AAL	B	1,500	24.90	n/a	n/a	45.00	0.0
SAC CHRIS C	041	ABT	B	50,000	37.31	n/a	n/a	1,500.00	0.0
BTG PACTUAL	040	AEO	B	10,000	14.80	n/a	2-Dec	300.00	0.0
EPOCH INV MGMT	030	AET	S	158,600	66.39	n/a	n/a	4,758.00	0.0
J. GOLDMAN	028	ALK	SS	20,000	74.18	n/a	n/a	800.00	0.0
WINSLOW CAPITAL	030	ALXN	B	90	126.14	n/a	n/a	2.70	0.0
WINSLOW CAPITAL	030	AMAT	B	480	16.98	n/a	n/a	14.40	0.0
WINSLOW CAPITAL	030	AMGN	B	155	113.98	n/a	n/a	4.65	0.0
WINSLOW CAPITAL	030	AMT	B	155	78.66	n/a	n/a	4.65	0.0
WINSLOW CAPITAL	030	AMZN	B	90	384.44	n/a	n/a	2.70	0.0
WINSLOW CAPITAL	030	ARMH	B	250	49.82	n/a	n/a	7.50	0.0
BRONSON POINT	036	ATI	B	25,000	33.75	n/a	11-Jun	750.00	0.0
SCOPUS FUND	041	AXL	B	25,000	19.56	n/a	19-Jun	1,000.00	0.0
WINSLOW CAPITAL	030	AXP	B	135	85.66	n/a	19-Jun	4.05	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CADIAN CAPITAL	041	AZO	C	4,500	458.01	n/a	n/a	135.00	0.0
CR INTRINIC INVESTMENT	044	AZO	B	500	458.29	n/a	n/a	15.00	0.0
EPOCH INV MGMT	030	BA	S	10,530	135.40	n/a	11-Jun	315.90	0.0
WINSLOW CAPITAL	030	BIDU	B	75	170.00	n/a	n/a	2.25	0.0
WINSLOW CAPITAL	030	BIIB	B	70	285.20	n/a	n/a	2.10	0.0
WINSLOW CAPITAL	030	BLK	B	55	303.20	n/a	n/a	1.65	0.0
CR INTRINIC INVESTMENT	044	BURL	S	15,000	28.06	n/a	n/a	450.00	0.0
WINSLOW CAPITAL	030	BWA	B	105	107.99	n/a	19-Jun	3.15	0.0
WINSLOW CAPITAL	030	CBS	B	215	58.83	n/a	n/a	6.45	0.0
WINSLOW CAPITAL	030	CELG	B	175	170.68	n/a	n/a	5.25	0.0
WINSLOW CAPITAL	030	CERN	B	180	56.64	n/a	n/a	5.40	0.0
MACELLUM CAPITAL	086	CHS	B	30,000	18.46	n/a	5-Feb	900.00	0.0
WINSLOW CAPITAL	030	CMG	B	10	529.00	n/a	3-Jun	0.30	0.0
MACELLUM CAPITAL	086	COH	B	22,000	56.06	n/a	30-May	660.00	0.0
MOORE CAPITAL	257	CONN	S	5,000	74.75	n/a	n/a	150.00	0.0
WINSLOW CAPITAL	030	COST	B	75	121.65	n/a	n/a	2.25	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
WINSLOW CAPITAL	030	CRM	B	445	53.52	n/a	n/a	13.35	0.0	
WINSLOW CAPITAL	030	CTRX	B	170	44.55	n/a	n/a	5.10	0.0	
WINSLOW CAPITAL	030	CTSH	B	125	94.55	n/a	n/a	3.75	0.0	
WINSLOW CAPITAL	030	CVS	B	160	67.05	n/a	n/a	4.80	0.0	
WINSLOW CAPITAL	030	DAL	B	230	28.78	n/a	18-Jun	6.90	0.0	
WINSLOW CAPITAL	030	DG	B	255	60.78	n/a	4-Jun	7.65	0.0	
SCOPUS FUND	041	DHR	B	50,000	75.28	n/a	n/a	2,000.00	0.0	
WINSLOW CAPITAL	030	DHR	B	340	75.32	n/a	n/a	10.20	0.0	
WINSLOW CAPITAL	030	DIS	B	140	71.16	n/a	n/a	4.20	0.0	
FRED ALGER MGMT	300	DPZ	S	33,930	70.66	n/a	10-May	1,221.48	0.0	
CAPITAL RESEARCH GROUP		296	DUK	S	82,857	69.86	n/a	n/a	2,900.00	0.0
WINSLOW CAPITAL	030	EBAY	B	310	51.71	n/a	n/a	9.30	0.0	
WINSLOW CAPITAL	030	ECL	B	100	105.69	n/a	18-Jan	3.00	0.0	
KAYNE ANDERSON ADV	084	ELLI	B	26,000	27.27	n/a	n/a	1,040.00	0.0	
WINSLOW CAPITAL	030	EL	B	135	73.87	n/a	17-Jun	4.05	0.0	
SUFFOLK CAPITAL MGMT	040	ENOC	B	15,000	15.28	n/a	n/a	600.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	EPM	S	1,399	12.26	n/a	n/a	41.97	0.0
WINSLOW CAPITAL	030	FB	B	315	48.26	n/a	n/a	9.45	0.0
DENVER INST. ADV	046	FDX	S	5,322	139.71	n/a	n/a	212.88	0.0
COLUMBUS CIRCLE	036	FEIC	B	1,007	89.48	n/a	n/a	40.28	0.0
WINSLOW CAPITAL	030	FOXA	B	540	33.16	n/a	n/a	16.20	0.0
OZ MGMT	040	F	SS	150,000	16.67	n/a	19-Jun	4,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	GE	B	75,000	27.31	n/a	n/a	2,250.00	0.0
WINSLOW CAPITAL	030	GILD	B	255	75.04	n/a	n/a	7.65	0.0
SAC CHRIS C	041	GIVN	S	30,000	29.90	n/a	n/a	900.00	0.0
DELTEC ASSET MGMT.	040	GM	B	23,500	40.82	n/a	19-Jun	1,175.00	0.0
PCO CAPITAL MGMT.	084	GM	B	15,000	40.94	n/a	19-Jun	450.00	0.0
WINSLOW CAPITAL	030	GOOG	B	401,080	86	n/a	n/a	1.20	0.0
COBALT	041	GPK	B	230,000	9.09	n/a	n/a	6,900.00	0.0
CADIAN CAPITAL	041	JACK	B	11,000	47.81	n/a	n/a	330.00	0.0
WINSLOW CAPITAL	030	JPM	B	165	56.41	n/a	17-Jun	4.95	0.0
CR INTRINIC INVESTMENT	044	KKD	SS	25,000	19.54	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUFFOLK CAPITAL MGMT	040	KO	S	17,930	40.46	n/a	17-Jun	717.20	0.0
BADGE CAPITAL	030	KSS	B	1,000	54.60	n/a	18-Jun	35.00	0.0
WINSLOW CAPITAL	030	KSU	B	30	119.63	n/a	n/a	0.90	0.0
WINSLOW CAPITAL	030	LBTYA	B	130	85.74	n/a	n/a	3.90	0.0
WINSLOW CAPITAL	030	LNKD	B	25	235.32	n/a	n/a	0.75	0.0
SUFFOLK CAPITAL MGMT	040	LOW	B	59,300	47.99	n/a	n/a	2,372.00	0.0
WINSLOW CAPITAL	030	LOW	B	225	47.95	n/a	n/a	6.75	0.0
CASTLEROCK	040	LULU	B	45,954	70.42	n/a	19-Jun	1,838.16	0.0
S.A.C. CAPITAL	044	LULU	SS	15,000	70.40	n/a	19-Jun	450.00	0.0
J. GOLDMAN	028	LUV	B	23,500	18.45	n/a	18-Jun	940.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	LYB	S	10,000	76.73	n/a	n/a	300.00	0.0
WINSLOW CAPITAL	030	MA	B	20	761.60	n/a	13-Jun	0.60	0.0
CADIAN CAPITAL	041	MCD	C	6,000	95.57	n/a	17-Jun	180.00	0.0
WINSLOW CAPITAL	030	MON	B	250	111.94	n/a	n/a	7.50	0.0
WINSLOW CAPITAL	030	MS	B	470	30.38	n/a	6-Jun	14.10	0.0
COBALT	041	MTG	B	253,000	8.42	n/a	n/a	7,590.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	MTZ	B	2,900	31.38	n/a	n/a	87.00	0.0
WINSLOW CAPITAL	030	NKE	B	185	79.87	n/a	19-Jun	5.55	0.0
WINSLOW CAPITAL	030	NOW	B	115	51.50	n/a	n/a	3.45	0.0
DENVER INST. ADV	046	NUS	S	6,252	130.59	n/a	n/a	250.08	0.0
WADDELL AND REED	047	OSIS	S	119,045	41.80	n/a	n/a	4,761.80	0.0
DENVER INST. ADV	046	PCLN	S	6641,179.23		n/a	n/a	26.56	0.0
WINSLOW CAPITAL	030	PCLN	B	301,180.33		n/a	n/a	0.90	0.0
WINSLOW CAPITAL	030	PCP	B	65	254.40	n/a	11-Jun	1.95	0.0
KAYNE ANDERSON ADV	084	PDCO	B	68,000	41.60	n/a	n/a	2,720.00	0.0
CR INTRINIC INVESTMENT	044	PGTI	S	10,000	10.39	n/a	n/a	300.00	0.0
KENNEDY CAPITAL	046	PLCE	B	29,640	52.56	n/a	24-May	1,185.60	0.0
CR INTRINIC INVESTMENT	044	PVH	S	1,669	129.44	n/a	14-Jun	50.07	0.0
FRED ALGER MGMT	300	PVH	S	29,915	127.44	n/a	14-Jun	1,076.94	0.0
WINSLOW CAPITAL	030	QCOM	B	175	73.49	n/a	n/a	5.25	0.0
FRED ALGER MGMT	300	RL	S	1,780	171.40	n/a	24-May	64.08	0.0
WINSLOW CAPITAL	030	RL	B	50	172.33	n/a	24-May	1.50	0.0
WINSLOW CAPITAL	030	ROST	B	130	72.11	n/a	18-Jun	3.90	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	RRC	B	120	80.84	n/a	13-Jun	3.60	0.0
BTG PACTUAL	040	RT	B	15,000	7.22	n/a	n/a	450.00	0.0
WINSLOW CAPITAL	030	SBAC	B	120	86.88	n/a	n/a	3.60	0.0
WINSLOW CAPITAL	030	SBUX	B	300	80.26	n/a	17-Jun	9.00	0.0
WINSLOW CAPITAL	030	SCHW	B	255	25.03	n/a	n/a	7.65	0.0
WINSLOW CAPITAL	030	SLB	B	130	88.28	n/a	n/a	3.90	0.0
BLACKTHORN	047	SLM	B	20,000	26.63	n/a	14-Jun	1,000.00	0.0
ASCEND PARTNERS	033	SYN	C	140,000	37.89	n/a	n/a	4,200.00	0.0
CR INTRINIC INVESTMENT	044	SYN	B	5,000	38.98	n/a	n/a	150.00	0.0
LISTED ERR	099	S	B	55	7.99	n/a	n/a	0.00	0.0
LISTED ERR	099	S	S	55	7.98	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	TWTR	B	25	48.68	n/a	n/a	0.75	0.0
J. GOLDMAN	028	UAL	B	40,000	37.38	n/a	18-Jun	1,600.00	0.0
WINSLOW CAPITAL	030	UNP	B	215	164.23	n/a	n/a	6.45	0.0
INTERVAL PARTNERS	033	URBN	C	25,000	36.04	n/a	n/a	750.00	0.0
WINSLOW CAPITAL	030	V	B	165	201.52	n/a	11-Jun	4.95	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	WFM	B	60	55.86	n/a	n/a	1.80	0.0
WINSLOW CAPITAL	030	WYNN	B	55	177.41	n/a	13-Jun	1.65	0.0
LISTED ERR	099	WYNN	B	55	178.05	n/a	13-Jun	0.00	0.0
LISTED ERR	099	WYNN	S	55	177.59	n/a	13-Jun	0.00	0.0
ROSEDALE CAPITAL	046	WY	B	25,000	29.98	n/a	19-Jun	1,000.00	0.0
WINSLOW CAPITAL	030	ZTS	B	355	31.87	n/a	n/a	10.65	0.0
TOTAL (Trade Date):								71,477.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/04	DELTEC ASSET MGMT. (DELTPEPSPB)	040	GM	B	20,000	38.75	n/a	19-Jun	1000.00 0.0
AO,CXL	12/04	DELTEC ASSET MGMT. (DELTPEPSPB)	040	GM	B	10,000	38.54	n/a	19-Jun	500.00 0.0
AO,CXL	12/04	DELTEC ASSET MGMT. (DELTPEPSPB)	040	GM	B	10,000	38.97	n/a	19-Jun	500.00 0.0
AO,CXL	12/06	TIEDEMANN/TIG ADVISORS LLC (TIEDGS)	006	GTN	S	6,800	12.58	n/a	n/a	340.00 0.0
AO,CRT	12/06	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE)	006	GTN	S	6,800	12.58	n/a	n/a	340.00 5.0
AO,CXL	12/04	CAERUS GLOBAL (CAERCLOSED)	041	WY	B	642	29.19	n/a	19-Jun	25.68 0.0
AO,	12/04	CAERUS GLOBAL (CAERUNION)	041	WY	B	642	29.19	n/a	19-Jun	25.68 0.0
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (Trade Date) :										71,477.20
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (RUN DATE) / NFS :										71,477.20

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