

## **Daily Compliance Activity Report** Trade Date: 06/05/2012

## ${\bf POTENTIAL\ ANALYST\ TRADE\ VIOLATIONS:0}$

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 <b>,</b> 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	В	50,000	30.08	n/a	n/a	2,000.00	4.0
MILLRACE FUND LP	028	BWA	В	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	СОН	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	В	100,000	24.19	n/a	4-May	5,000.00	5.0
SONICA CAPITAL LLC	025	GME	В	52,600	19.58	n/a	n/a	1,578.00	3.0
BALYASNY ASSET MGMT	044	GNTX	С	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	В	8,400	21.62	n/a	n/a	336.00	4.0
MATRIX ASSET ADV.	091	HRS	S	1,500	40.10	n/a	1-May	60.00	4.0
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
	WINSLOW CAPITAL  WINSLOW CAPITAL  WINSLOW CAPITAL  WINSLOW CAPITAL  KLEINHEINZ CAP PART  SONICA CAPITAL LLC  BALYASNY ASSET MGMT  NWQ INVESTMENT MGMT CO  WINSLOW CAPITAL  CONIFER/ISF  MATRIX ASSET ADV.  WINSLOW CAPITAL  CRAMER ROSENTHAL  CRAMER ROSENTHAL	WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 KLEINHEINZ CAP PART 031 SONICA CAPITAL LLC 025 BALYASNY ASSET MGMT 044 NWQ INVESTMENT MGMT CO 084 WINSLOW CAPITAL 030 CONIFER/ISF 025 MATRIX ASSET ADV. 091 WINSLOW CAPITAL 030 CRAMER ROSENTHAL 070 CRAMER ROSENTHAL 070	WINSLOW CAPITAL  KLEINHEINZ CAP PART O31 GIL SONICA CAPITAL LLC O25 GME  BALYASNY ASSET MGMT O44 GNTX  NWQ INVESTMENT MGMT CO 084 GOLF WINSLOW CAPITAL O30 GOOG CONIFER/ISF O25 HPQ MATRIX ASSET ADV. O91 HRS WINSLOW CAPITAL O30 ICE CRAMER ROSENTHAL O70 INGR	WINSLOW CAPITAL  BALYASNY ASSET MGMT  WINSLOW CAPITAL  WI	WINSLOW CAPITAL  WINSLOW CAPITAL  030 EW  S  100  WINSLOW CAPITAL  030 FLR  S  200  WINSLOW CAPITAL  030 FTI  S  300  KLEINHEINZ CAP PART  031 GIL  B  100,000  SONICA CAPITAL LLC  025 GME  B  52,600  BALYASNY ASSET MGMT  044 GNTX  C  25,000  NWQ INVESTMENT MGMT CO  084 GOLF  S  197,620  WINSLOW CAPITAL  030 GOOG  S  100  CONIFER/ISF  025 HPQ  B  8,400  MATRIX ASSET ADV.  091 HRS  S  1,500  CRAMER ROSENTHAL  070 IGT  S  300	WINSLOW CAPITAL 030 ESRX S 400 50.63  WINSLOW CAPITAL 030 EW S 100 85.43  WINSLOW CAPITAL 030 FLR S 200 47.00  WINSLOW CAPITAL 030 FTI S 300 39.18  KLEINHEINZ CAP PART 031 GIL B 100,000 24.19  SONICA CAPITAL LLC 025 GME B 52,600 19.58  BALYASNY ASSET MGMT 044 GNTX C 25,000 21.08  NWQ INVESTMENT MGMT CO 084 GOLF S 197,620 6.04  WINSLOW CAPITAL 030 GOOG S 100 566.69  CONIFER/ISF 025 HPQ B 8,400 21.62  MATRIX ASSET ADV. 091 HRS S 1,500 40.10  WINSLOW CAPITAL 030 ICE S 200 123.32  CRAMER ROSENTHAL 070 INGR S 300 49.00	WINSLOW CAPITAL 030 ESRX S 400 50.63 n/a WINSLOW CAPITAL 030 EW S 100 85.43 n/a WINSLOW CAPITAL 030 FLR S 200 47.00 n/a WINSLOW CAPITAL 030 FTI S 300 39.18 n/a KLEINHEINZ CAP PART 031 GIL B 100,000 24.19 n/a SONICA CAPITAL LLC 025 GME B 52,600 19.58 n/a BALYASNY ASSET MGMT 044 GNTX C 25,000 21.08 n/a NWQ INVESTMENT MGMT CO 084 GOLF S 197,620 6.04 n/a WINSLOW CAPITAL 030 GOOG S 100 566.69 n/a CONIFER/ISF 025 HPQ B 8,400 21.62 n/a MATRIX ASSET ADV. 091 HRS S 1,500 40.10 n/a WINSLOW CAPITAL 030 ICE S 200 123.32 n/a CRAMER ROSENTHAL 070 IGT S 16,900 13.49 n/a CRAMER ROSENTHAL 070 INGR S 300 49.00 n/a	WINSLOW CAPITAL 030 ESRX S 400 50.63 n/a n/a N/a WINSLOW CAPITAL 030 EW S 100 85.43 n/a n/a n/a WINSLOW CAPITAL 030 FLR S 200 47.00 n/a n/a MINSLOW CAPITAL 030 FTI S 300 39.18 n/a n/a n/a KLEINHEINZ CAP PART 031 GIL B 100,000 24.19 n/a 4-May SONICA CAPITAL LLC 025 CME B 52,600 19.58 n/a n/a n/a BALYASNY ASSET MGMT 044 GNTX C 25,000 21.08 n/a 20-Apr NWQ INVESIMENT MGMT CO 084 GOLF S 197,620 6.04 n/a n/a n/a WINSLOW CAPITAL 030 GOOG S 100 566.69 n/a n/a n/a CONIFER/ISF 025 HPQ B 8,400 21.62 n/a n/a n/a MATRIX ASSET ADV. 091 HRS S 1,500 40.10 n/a 1-May WINSLOW CAPITAL 030 ICE S 200 123.32 n/a n/a CRAMER ROSENTHAL 070 INGR S 300 49.00 n/a 13-Jun CRAMER ROSENTHAL 070 INGR S 300 49.00 n/a n/a n/a	WINSLOW CAPITAL 030 ESRX S 400 50.63 n/a n/a 12.00 WINSLOW CAPITAL 030 EW S 100 85.43 n/a n/a 3.00 WINSLOW CAPITAL 030 FER S 200 47.00 n/a n/a 6.00 WINSLOW CAPITAL 030 FIR S 300 39.18 n/a n/a 9.00 KLEINHEINZ CAP PART 031 GIL B 100,000 24.19 n/a 4-May 5,000.00 SONICA CAPITAL LLC 025 GME B 52,600 19.58 n/a n/a 1,578.00 BALYASNY ASSET MGMT 044 GNTX C 25,000 21.08 n/a 20-Apr 1,250.00 NWQ INVESIMENT MGMT CO 084 GOLF S 197,620 6.04 n/a n/a 5,928.60 WINSLOW CAPITAL 030 GOOG S 100 566.69 n/a n/a 3.00 CONIFER/ISF 025 HPQ B 8,400 21.62 n/a n/a 336.00  MATRIX ASSET ADV. 091 HRS S 1,500 40.10 n/a 1-May 60.00 WINSLOW CAPITAL 030 ICE S 200 123.32 n/a n/a 6.00 CRAMER ROSENTHAL 070 INGR S 300 49.00 n/a n/a 13-Jun 676.00

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	В	69,000	9.61	n/a	26-Apr	2,070.00	3.0
1798 CAP/LOMBARD ASSET	040	JOE	SS	15 <b>,</b> 000	14.87	n/a	n/a	750.00	5.0
HOLLIS CAPITAL	033	JPM	В	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	В	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	В	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	В	3,000	43.21	n/a	n/a	150.00	5.0
SCOPUS FUND	041	OXM	В	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	В	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	В	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

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WINSLOW CAPITAL	030	SHPGY	S	200	84.05	n/a	4-Jun	6.00	3.0
OMEGA ADVISORS	041	SLM	В	210,000	14.06	n/a	30-May	8,400.00	4.0
MATRIX ASSET ADV.	091	STJ	S	1,000	38.30	n/a	n/a	40.00	4.0
FARALLON CAP MGMT	040	SWY	В	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	В	6,600	19.34	n/a	4-May	330.00	5.0
FORTRESS INVESTMENT (US)	036	XLB	В	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

TOTAL (Trade Date): 59,511.88

## Cancel/Corrects and As-Of Trades

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TOTAL (RUN DATE) / NFS:	61,011.88
TOTAL (AO, CXL, CRT):	1,500.00
TOTAL (Trade Date):	59,511.88

## Legend:

O: 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