

## **Daily Compliance Activity Report** Trade Date: 12/09/2013

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Accoun	nt	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
KOLVEN	N CAPITAL	025	AAL	В	1,500	24.90	n/a	n/a	45.00	0.0
SAC CH	HRIS C	041	ABT	В	50,000	37.31	n/a	n/a	1,500.00	0.0
BTG PA	ACTUAL	040	AEO	В	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. GOI	LDMAN	028	ALK	SS	20,000	74.18	n/a	n/a	800.00	0.0
WINSLO	DW CAPITAL	030	ALXN	В	90	126.14	n/a	n/a	2.70	0.0
WINSLO	DW CAPITAL	030	AMAT	В	480	16.98	n/a	n/a	14.40	0.0
WINSLO	DW CAPITAL	030	AMGN	В	155	113.98	n/a	n/a	4.65	0.0
WINSLO	DW CAPITAL	030	AMT	В	155	78.66	n/a	n/a	4.65	0.0
WINSLO	DW CAPITAL	030	AMZN	В	90	384.44	n/a	n/a	2.70	0.0
WINSLO	DW CAPITAL	030	ARMH	В	250	49.82	n/a	n/a	7.50	0.0
BRONSC	ON POINT	036	ATI	В	25,000	33.75	n/a	11-Jun	750.00	0.0
SCOPUS	5 FUND	041	AXL	В	25,000	19.56	n/a	19-Jun	1,000.00	0.0
WINSLO	DW CAPITAL	030	AXP	В	135	85.66	n/a	19-Jun	4.05	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
CADIAN CAPITAL CR INTRINIC INVESTMENT	041	AZO AZO	C B	4,500 500	458.01 458.29	n/a n/a	n/a n/a	135.00 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	В	75	170.00	n/a	n/a	2.25	0.0
WINSLOW CAPITAL	030	BIIB	В	70	285.20	n/a	n/a	2.10	0.0
WINSLOW CAPITAL	030	BLK	В	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	В	105	107.99	n/a	19-Jun	3.15	0.0
WINSLOW CAPITAL	030	CBS	В	215	58.83	n/a	n/a	6.45	0.0
WINSLOW CAPITAL	030	CELG	В	175	170.68	n/a	n/a	5.25	0.0
WINSLOW CAPITAL	030	CERN	В	180	56.64	n/a	n/a	5.40	0.0
MACELLUM CAPITAL	086	CHS	В	30,000	18.46	n/a	5-Feb	900.00	0.0
WINSLOW CAPITAL	030	CMG	В	10	529.00	n/a	3-Jun	0.30	0.0
MACELLUM CAPITAL	086	СОН	В	22,000	56.06	n/a	30-May	660.00	0.0
	257		S	5,000	74.75		_		0.0
MOORE CAPITAL		CONN				n/a	n/a	150.00	
WINSLOW CAPITAL	030	COST	В	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	В	445	53.52	n/a	n/a	13.35	0.0	
WINSLOW CAPITAL	030	CTRX	В	170	44.55	n/a	n/a	5.10	0.0	
WINSLOW CAPITAL	030	CTSH	В	125	94.55	n/a	n/a	3.75	0.0	
WINSLOW CAPITAL	030	CVS	В	160	67.05	n/a	n/a	4.80	0.0	
WINSLOW CAPITAL	030	DAL	В	230	28.78	n/a	18-Jun	6.90	0.0	
WINSLOW CAPITAL	030	DG	В	255	60.78	n/a	4-Jun	7.65	0.0	
SCOPUS FUND	041	DHR	В	50,000	75.28	n/a	n/a	2,000.00	0.0	
WINSLOW CAPITAL	030	DHR	В	340	75.32	n/a	n/a	10.20	0.0	
WINSLOW CAPITAL	030	DIS	В	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 DU	IK	S 8	2,857 69.86		n/a	n/a 2,9	900.00	0.0
WINSLOW CAPITAL	030	EBAY	В	310	51.71	n/a	n/a	9.30	0.0	
WINSLOW CAPITAL	030	ECL	В	100	105.69	n/a	18-Jan	3.00	0.0	
KAYNE ANDERSON ADV	084	ELLI	В	26,000	27.27	n/a	n/a	1,040.00	0.0	
WINSLOW CAPITAL	030	EL	В	135	73.87	n/a	17-Jun	4.05	0.0	
SUFFOLK CAPITAL MGMT	040	ENOC	В	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	В	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	В	1,007	89.48	n/a	n/a	40.28	0.0
WINSLOW CAPITAL	030	FOXA	В	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 PRINCIP	AL040	GE	В	75 <b>,</b> 000	27.31	n/a	n/a	2,250.00	0.0
WINSLOW CAPITAL	030	GILD	В	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	В	23,500	40.82	n/a	19-Jun	1,175.00	0.0
PCO CAPITAL MGMT.	084	GM	В	15,000	40.94	n/a	19-Jun	450.00	0.0
WINSLOW CAPITAL	030	GOOG	В	401,	080.86	n/a	n/a	1.20	0.0
COBALT	041	GPK	В	230,000	9.09	n/a	n/a	6,900.00	0.0
CADIAN CAPITAL	041	JACK	В	11,000	47.81	n/a	n/a	330.00	0.0
WINSLOW CAPITAL	030	JPM	В	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
	NOKOMIS PARTNERS  WINSLOW CAPITAL  DENVER INST. ADV  COLUMBUS CIRCLE  WINSLOW CAPITAL  OZ MGMT  NOMURA/ANGEL LANE PRINCIP  WINSLOW CAPITAL  SAC CHRIS C  DELTEC ASSET MGMT. PCO CAPITAL MGMT.  WINSLOW CAPITAL  COBALT  CADIAN CAPITAL  WINSLOW CAPITAL	NOKOMIS PARTNERS  NOKOMIS PARTNERS  WINSLOW CAPITAL  COLUMBUS CIRCLE  O36  WINSLOW CAPITAL  O30  OZ MGMT  O40  NOMURA/ANGEL LANE PRINCIPALO40  WINSLOW CAPITAL  O30  SAC CHRIS C  O41  DELTEC ASSET MGMT.  O40  PCO CAPITAL MGMT.  O40  WINSLOW CAPITAL  O30  COBALT  CADIAN CAPITAL  O30	NOKOMIS PARTNERS  031 EPM  WINSLOW CAPITAL  DENVER INST. ADV  046 FDX  COLUMBUS CIRCLE  036 FEIC  WINSLOW CAPITAL  030 FOXA  OZ MGMT  040 F  NOMURA/ANGEL LANE PRINCIPAL040 GE  WINSLOW CAPITAL  030 GILD  SAC CHRIS C  041 GIVN  DELTEC ASSET MGMT.  040 GM PCO CAPITAL MGMT.  084 GM  WINSLOW CAPITAL  030 GOOG  COBALT  041 GPK  CADIAN CAPITAL  041 JACK  WINSLOW CAPITAL  041 JACK	NOKOMIS PARTNERS  031 EPM S WINSLOW CAPITAL  030 FB B  DENVER INST. ADV  046 FDX S  COLUMBUS CIRCLE  036 FEIC B  WINSLOW CAPITAL  030 FOXA B  OZ MGMT  040 F SS  NOMURA/ANGEL LANE PRINCIPALO40 GE B  WINSLOW CAPITAL  030 GILD B  SAC CHRIS C  041 GIVN S  DELTEC ASSET MGMT.  040 GM B PCO CAPITAL MGMT.  084 GM B WINSLOW CAPITAL  030 GOOG B  COBALT  041 GPK B  CADIAN CAPITAL  041 JACK B  WINSLOW CAPITAL  041 JACK B	NOKOMIS PARTNERS         031         EPM         S         1,399           WINSLOW CAPITAL         030         FB         B         315           DENVER INST. ADV         046         FDX         S         5,322           COLUMBUS CIRCLE         036         FEIC         B         1,007           WINSLOW CAPITAL         030         FOXA         B         540           OZ MGMT         040         F         SS         150,000           NOMURA/ANGEL LANE PRINCIPALO40         GE         B         75,000           WINSLOW CAPITAL         030         GILD         B         255           SAC CHRIS C         041         GIVN         S         30,000           DELTEC ASSET MGMT         040         GM         B         23,500           PCO CAPITAL MGMT         084         GM         B         15,000           WINSLOW CAPITAL         030         GOOG         B         401,           COBALT         041         GPK         B         230,000           CADIAN CAPITAL         041         JACK         B         11,000           WINSLOW CAPITAL         030         JPM         B         165	NOKOMIS PARTNERS 031 EPM S 1,399 12.26  WINSLOW CAPITAL 030 FB B 315 48.26  DENVER INST. ADV 046 FDX S 5,322 139.71  COLUMBUS CIRCLE 036 FEIC B 1,007 89.48  WINSLOW CAPITAL 030 FOXA B 540 33.16  OZ MGMT 040 F SS 150,000 16.67  NOMURA/ANGEL LANE PRINCIPALO40 GE B 75,000 27.31  WINSLOW CAPITAL 030 GILD B 255 75.04  SAC CHRIS C 041 GIVN S 30,000 29.90  DELITEC ASSET MGMT. 040 GM B 23,500 40.82  PCO CAPITAL MGMT. 084 GM B 15,000 40.94  WINSLOW CAPITAL 030 GOOG B 401,080.86  COBALT 041 GPK B 230,000 9.09  CADIAN CAPITAL 041 JACK B 11,000 47.81  WINSLOW CAPITAL 040 JPM B 165 56.41	NOKOMIS PARTNERS  031 EPM S 1,399 12.26	NOKOMIS FARTNERS  031 EPM S 1,399 12.26	NOKOMIS PARTNERS  031

RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
040	KO	S	17,930	40.46	n/a	17-Jun	717.20	0.0	
030	KSS	В	1,000	54.60	n/a	18-Jun	35.00	0.0	
030	KSU	В	30	119.63	n/a	n/a	0.90	0.0	
030	LBTYA	В	130	85.74	n/a	n/a	3.90	0.0	
030	LNKD	В	25	235.32	n/a	n/a	0.75	0.0	
040	LOW	В	59,300	47.99	n/a	n/a	2,372.00	0.0	
030	LOW	В	225	47.95	n/a	n/a	6.75	0.0	
040	LULU	В	45,954	70.42	n/a	19-Jun	1,838.16	0.0	
044	LULU	SS	15,000	70.40	n/a	19-Jun	450.00	0.0	
028	LUV	В	23,500	18.45	n/a	18-Jun	940.00	0.0	
CIPAL040	LYB	S	10,000	76.73	n/a	n/a	300.00	0.0	
030	MA	В	20	761.60	n/a	13-Jun	0.60	0.0	
041	MCD	С	6,000	95.57	n/a	17-Jun	180.00	0.0	
030	MON	В	250	111.94	n/a	n/a	7.50	0.0	
030	MS	В	470	30.38	n/a	6-Jun	14.10	0.0	
041	MTG	В	253,000	8.42	n/a	n/a	7,590.00	0.0	
	040 030 030 030 030 040 030 040 044 028 CIPAL040 030 041 030 030	040 KO 030 KSS 030 KSU 030 LBTYA 030 LNKD 040 LOW 030 LOW 040 LULU 044 LULU 028 LUV CIPALO40 LYB 030 MA 041 MCD 030 MS	040 KO S  030 KSS B  030 KSU B  030 LBTYA B  030 LNKD B  040 LOW B  030 LOW B  040 LULU B  044 LULU SS  028 LUV B  CIPAL040 LYB S  030 MA B  041 MCD C  030 MON B	040 KO S 17,930  030 KSS B 1,000  030 KSU B 30  030 LBTYA B 130  030 LNKD B 25  040 LOW B 59,300  030 LOW B 225  040 LULU B 45,954  044 LULU SS 15,000  028 LUV B 23,500  CIPALO40 LYB S 10,000  030 MA B 20  041 MCD C 6,000  030 MS B 470	040 KO S 17,930 40.46  030 KSS B 1,000 54.60  030 KSU B 30 119.63  030 LBTYA B 130 85.74  030 LNKD B 25 235.32  040 LOW B 59,300 47.99  030 LOW B 225 47.95  040 LULU B 45,954 70.42  044 LULU SS 15,000 70.40  028 LUV B 23,500 18.45  CIPALO40 LYB S 10,000 76.73  030 MA B 20 761.60  041 MCD C 6,000 95.57  030 MON B 250 111.94  030 MS B 470 30.38	040 KO S 17,930 40.46 n/a  030 KSS B 1,000 54.60 n/a  030 KSU B 30 119.63 n/a  030 LBTYA B 130 85.74 n/a  030 LNKD B 25 235.32 n/a  040 LOW B 59,300 47.99 n/a  030 LOW B 225 47.95 n/a  040 LULU B 45,954 70.42 n/a  044 LULU SS 15,000 70.40 n/a  028 LUV B 23,500 18.45 n/a  CIPALO40 LYB S 10,000 76.73 n/a  030 MA B 20 761.60 n/a  031 MON B 250 111.94 n/a  032 MS B 470 30.38 n/a	040 KO S 17,930 40.46 n/a 17-Jun  030 KSS B 1,000 54.60 n/a 18-Jun  030 KSU B 30 119.63 n/a n/a  030 LBTYA B 130 85.74 n/a n/a  030 LNKD B 25 235.32 n/a n/a  040 LOW B 59,300 47.99 n/a n/a  030 LOW B 225 47.95 n/a n/a  040 LULU B 45,954 70.42 n/a 19-Jun  044 LULU SS 15,000 70.40 n/a 19-Jun  028 LUV B 23,500 18.45 n/a 18-Jun  EIPALO40 LYB S 10,000 76.73 n/a n/a  030 MA B 20 761.60 n/a 13-Jun  041 MCD C 6,000 95.57 n/a 17-Jun  030 MON B 250 111.94 n/a n/a  030 MS B 470 30.38 n/a 6-Jun	040 KO S 17,930 40.46 n/a 17-Jun 717.20 030 KSS B 1,000 54.60 n/a 18-Jun 35.00 030 KSU B 30 119.63 n/a n/a 0.90 030 LBTYA B 130 85.74 n/a n/a 3.90 030 LNKD B 25 235.32 n/a n/a n/a 0.75 040 LOW B 59,300 47.99 n/a n/a 0.75 040 LOW B 225 47.95 n/a n/a 6.75 040 LULU B 45,954 70.42 n/a 19-Jun 1,838.16 044 LULU SS 15,000 70.40 n/a 19-Jun 450.00 028 LUV B 23,500 18.45 n/a 18-Jun 940.00 028 LUV B 23,500 76.73 n/a n/a 300.00 030 MA B 20 761.60 n/a 13-Jun 0.60 041 MCD C 6,000 95.57 n/a 17-Jun 180.00 030 MON B 250 111.94 n/a n/a 7.50 030 MS B 470 30.38 n/a 6-Jun 14.10	040 KO S 17,930 40.46

Account	RR #	Symbol	B/S	Shares Price	MRI	Research	Comm.¢	:/Shr.
ASCEND PARTNERS	033	MTZ	В	2,900 31.38	n/a	n/a	87.00	0.0
WINSLOW CAPITAL	030	NKE	В	185 79.87	n/a	19-Jun	5.55	0.0
WINSLOW CAPITAL	030	NOW	В	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	В	301,180.33	n/a	n/a	0.90	0.0
WINSLOW CAPITAL	030	PCP	В	65 254.40	n/a	11-Jun	1.95	0.0
KAYNE ANDERSON ADV	084	PDCO	В	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	В	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	В	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	В	50 172.33	n/a	24-May	1.50	0.0
WINSLOW CAPITAL	030	ROST	В	130 72.11	n/a	18-Jun	3.90	0.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.	
WINSLOW CAPITAL	030	RRC	В	120	80.84	n/a	13-Jun	3.60	0.0	
BTG PACTUAL	040	RT	В	15,000	7.22	n/a	n/a	450.00	0.0	
WINSLOW CAPITAL	030	SBAC	В	120	86.88	n/a	n/a	3.60	0.0	
WINSLOW CAPITAL	030	SBUX	В	300	80.26	n/a	17-Jun	9.00	0.0	
WINSLOW CAPITAL	030	SCHW	В	255	25.03	n/a	n/a	7.65	0.0	
WINSLOW CAPITAL	030	SLB	В	130	88.28	n/a	n/a	3.90	0.0	
BLACKTHORN	047	SLM	В	20,000	26.63	n/a	14-Jun	1,000.00	0.0	
ASCEND PARTNERS	033	SYY	С	140,000	37.89	n/a	n/a	4,200.00	0.0	
CR INTRINIC INVESTMENT	044	SYY	В	5,000	38.98	n/a	n/a	150.00	0.0	
LISTED ERR	099	S	В	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	В	25	48.68	n/a	n/a	0.75	0.0	
J. GOLDMAN	028	UAL	В	40,000	37.38	n/a	18-Jun	1,600.00	0.0	
WINSLOW CAPITAL	030	UNP	В	215	164.23	n/a	n/a	6.45	0.0	
INTERVAL PARTNERS	033	URBN	С	25 <b>,</b> 000	36.04	n/a	n/a	750.00	0.0	
WINSLOW CAPITAL	030	V	В	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	В	60	55.86	n/a	n/a	1.80	0.0
WINSLOW CAPITAL	030	WYNN	В	55	177.41	n/a	13-Jun	1.65	0.0
LISTED ERR	099	WYNN	В	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	В	25,000	29.98	n/a	19-Jun	1,000.00	0.0
WINSLOW CAPITAL	030	ZTS	В	355	31.87	n/a	n/a	10.65	0.0

TOTAL (Trade Date): 71,477.20

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
AO,	12/04	DELTEC ASSET MGMT. (DELTPERSPB)	040	GM	В	20,000	38.75	n/a	19-Jun	1000.00	0.0
AO,CXL	12/04	DELTEC ASSET MGMT. (DELTPERSPB)	040	GM	В	10,000	38.54	n/a	19-Jun	500.00	0.0
AO,CXL	12/04	DELTEC ASSET MGMT. (DELTPERSPB)	040	GM	В	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 <b>,</b> 800	12.58	n/a	n/a	340.00	0.0
AO,CRT	12/06	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPI	KE)006	GTN	S	6,800	12.58	n/a	n/a	340.00	5.0
AO,CXL	12/04	CAERUS GLOBAL (CAERCLOSED)	041	WY	В	642	29.19	n/a	19-Jun	25.68	0.0
AO,	12/04	CAERUS GLOBAL (CAERUNION)	041	WY	В	642	29.19	n/a	19-Jun	25.68	0.0
-		CXL, CRT):	011			012	29.19	11/ 0	19 0dii	0.00	_

TOTAL (RUN DATE) / NFS:	71,477.20
TOTAL (AO, CXL, CRT):	0.00
IOTAL (Trade Date):	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