



Daily Compliance Activity Report

Trade Date: 11/04/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	115	522.90	n/a	n/a	4.60	0.0
EDGEWOOD	085	AAPL	B	630	521.76	n/a	n/a	25.20	0.0
WINSLOW CAPITAL	030	AAPL	B	100	521.09	n/a	n/a	3.00	0.0
BESSEMER INVESTMENT	085	ACE	B	440	96.40	n/a	n/a	17.60	0.0
BESSEMER INVESTMENT	085	ACN	B	290	72.67	n/a	n/a	11.60	0.0
CADIAN CAPITAL	041	AEO	C	175,000	15.27	n/a	2-Dec	5,250.00	0.0
BESSEMER INVESTMENT	085	AET	B	520	63.61	n/a	n/a	20.80	0.0
NEUBERGER BERMAN	036	AET	B	152,000	63.40	n/a	n/a	6,080.00	0.0
EDGEWOOD	085	AGN	B	3,307	90.03	n/a	17-Jun	132.28	0.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	15,000	38.95	n/a	n/a	450.00	0.0
BESSEMER INVESTMENT	085	AIG	B	560	49.11	n/a	n/a	22.40	0.0
LATEEF MGMT	033	ALL	S	125	53.12	n/a	n/a	30.00	0.0
WINSLOW CAPITAL	030	ALXN	B	200	123.44	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	AMAT	B	900	17.69	n/a	n/a	27.00	0.0
WINSLOW CAPITAL	030	AMGN	B	300	117.25	n/a	n/a	9.00	0.0
EDGEWOOD	085	AMT	B	5,448	79.02	n/a	n/a	217.92	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AMT	B	300	79.01	n/a	n/a	9.00	0.0
EDGEWOOD	085	AMZN	B	1,043	357.95	n/a	n/a	41.72	0.0
WINSLOW CAPITAL	030	AMZN	B	200	357.80	n/a	n/a	6.00	0.0
CAPITAL GROWTH MGMT.	241	ANR	B	180,000	8.01	n/a	n/a	5,400.00	0.0
WINSLOW CAPITAL	030	ATHN	B	100	139.82	n/a	n/a	3.00	0.0
DC CAPITAL	044	ATI	S	37,200	33.74	n/a	11-Jun	1,488.00	0.0
BESSEMER INVESTMENT	085	AWK	B	1,205	43.05	n/a	n/a	48.20	0.0
LOMAS CAPITAL	040	AXLL	S	25,000	38.94	n/a	n/a	750.00	0.0
WINSLOW CAPITAL	030	AXP	B	300	81.84	n/a	19-Jun	9.00	0.0
LATEEF MGMT	033	BA	S	100	132.90	n/a	11-Jun	30.00	0.0
WINSLOW CAPITAL	030	BBY	B	200	43.28	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	BIDU	B	100	155.62	n/a	n/a	3.00	0.0
WINSLOW CAPITAL	030	BIIB	B	100	242.72	n/a	n/a	3.00	0.0
WINSLOW CAPITAL	030	BLK	B	100	303.88	n/a	n/a	3.00	0.0
WINSLOW CAPITAL	030	BMY	B	300	53.07	n/a	n/a	9.00	0.0
SAC CHRIS C	041	BSX	S	50,000	12.01	n/a	n/a	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	BWA	B	200	102.50	n/a	19-Jun	6.00	0.0
WINSLOW CAPITAL	030	CBS	B	400	59.37	n/a	n/a	12.00	0.0
EDGEWOOD	085	CELG	B	3,970	151.58	n/a	n/a	158.80	0.0
WINSLOW CAPITAL	030	CELG	B	200	151.73	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	CERN	B	300	56.41	n/a	n/a	9.00	0.0
BASSWOOD PARTNERS	267	CIT	B	44,471	48.35	n/a	13-Jun	1,778.84	0.0
LATEEF MGMT	033	CMC	S	300	18.64	n/a	n/a	30.00	0.0
EDGEWOOD	085	CME	B	5,365	74.07	n/a	28-Apr	214.60	0.0
EDGEWOOD	085	CMG	B	558	533.99	n/a	3-Jun	22.32	0.0
BESSEMER INVESTMENT	085	CMI	B	100	130.07	n/a	n/a	4.00	0.0
BESSEMER INVESTMENT	085	COP	B	410	73.26	n/a	n/a	16.40	0.0
WINSLOW CAPITAL	030	COST	B	200	120.02	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	CRM	B	900	55.35	n/a	n/a	27.00	0.0
BESSEMER INVESTMENT	085	CTL	B	560	33.72	n/a	n/a	22.40	0.0
WINSLOW CAPITAL	030	CTRX	B	300	47.73	n/a	n/a	9.00	0.0
EDGEWOOD	085	CTSH	B	4,716	86.52	n/a	n/a	188.64	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CTSH	B	200	86.51	n/a	n/a	6.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	CVRR	B	9,080	21.46		n/a	363.20	0.0
BESSEMER INVESTMENT	085	CVS	B	480	62.13	n/a	n/a	19.20	0.0
LATEEF MGMT	033	CVS	S	100	62.14	n/a	n/a	30.00	0.0
WINSLOW CAPITAL	030	CVS	B	300	62.20	n/a	n/a	9.00	0.0
BESSEMER INVESTMENT	085	C	B	560	48.82	n/a	17-Jun	22.40	0.0
J. GOLDMAN	028	DAL	B	25,000	27.45	n/a	18-Jun	1,000.00	0.0
WINSLOW CAPITAL	030	DAL	B	500	27.58	n/a	18-Jun	15.00	0.0
LATEEF MGMT	033	DE	B	100	81.81	n/a	11-Jul	30.00	0.0
BESSEMER INVESTMENT	085	DG	B	805	57.68	n/a	4-Jun	32.20	0.0
WINSLOW CAPITAL	030	DG	B	400	57.64	n/a	4-Jun	12.00	0.0
WINSLOW CAPITAL	030	DHR	B	600	72.51	n/a	n/a	18.00	0.0
WINSLOW CAPITAL	030	DIS	B	300	68.75	n/a	n/a	9.00	0.0
CADIAN CAPITAL	041	DLTR	S	80,000	58.14	n/a	4-Jun	2,400.00	0.0
LATEEF MGMT	033	DOW	B	125	38.36	n/a	n/a	27.50	0.0
LATEEF MGMT	033	DVN	S	375	64.63	n/a	13-Jun	75.00	0.0
CADIAN CAPITAL	041	EAT	B	11,000	44.38	n/a	13-May	330.00	0.0
WINSLOW CAPITAL	030	EBAY	B	600	51.49	n/a	n/a	18.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EDGEWOOD	085	ECL	B	2,458	105.96	n/a	18-Jan	98.32	0.0
WINSLOW CAPITAL	030	ECL	B	200	105.90	n/a	18-Jan	6.00	0.0
WINSLOW CAPITAL	030	EL	B	300	69.74	n/a	17-Jun	9.00	0.0
WINSLOW CAPITAL	030	EOG	B	100	182.08	n/a	n/a	3.00	0.0
EDGEWOOD	085	EQIX	B	2,021	164.80	n/a	n/a	80.84	0.0
TYVOR CAPITAL LLC	031	EXPR	S	20,000	23.77	n/a	n/a	600.00	0.0
EDGEWOOD	085	FBHS	B	26,785	42.72	n/a	n/a	1,071.40	0.0
J. GOLDMAN	028	FDX	SS	5,000	135.10	n/a	n/a	200.00	0.0
FRED ALGER MGMT	300	FLTX	B	10,130	31.43	n/a	n/a	364.68	0.0
WINSLOW CAPITAL	030	FOXA	B	800	34.08	n/a	n/a	24.00	0.0
EDGEWOOD	085	FTI	B	4,394	50.78	n/a	n/a	175.76	0.0
EDGEWOOD	085	F	B	6,400	16.89	n/a	19-Jun	256.00	0.0
LATEEF MGMT	033	F	S	250	16.96	n/a	19-Jun	27.50	0.0
LATEEF MGMT	033	GE	S	250	26.41	n/a	n/a	27.50	0.0
EDGEWOOD	085	GILD	B	8,997	69.81	n/a	n/a	359.88	0.0
WINSLOW CAPITAL	030	GILD	B	500	69.80	n/a	n/a	15.00	0.0
EDGEWOOD	085	GOOG	B	5181,	205.59	n/a	n/a	20.72	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	GOOG	B	1001,024	93	n/a	n/a	3.00	0.0
CADIAN CAPITAL	041	GPC	SS	6,000	79.61	n/a	n/a	180.00	0.0
WINSLOW CAPITAL	030	GWW	B	100	271.75	n/a	11-Jun	3.00	0.0
LATEEF MGMT	033	HPQ	S	300	25.55	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	IBM	B	220	180.55	n/a	n/a	8.80	0.0
EDGEWOOD	085	IHS	B	3,212	110.71	n/a	n/a	128.48	0.0
EDGEWOOD	085	ILMN	B	3,861	95.70	n/a	n/a	154.44	0.0
J. GOLDMAN	028	IP	SS	14,000	44.85	n/a	17-Jun	560.00	0.0
ROSEDALE CAPITAL	046	IP	B	15,000	45.02	n/a	17-Jun	600.00	0.0
EDGEWOOD	085	ISRG	B	960	379.81	n/a	n/a	38.40	0.0
BESSEMER INVESTMENT	085	ITW	B	450	79.26	n/a	n/a	18.00	0.0
BTG PACTUAL	040	JBLU	B	25,000	7.49	n/a	18-Jun	750.00	0.0
NEWLAND CAPITAL MGT	025	JBLU	S	10,000	7.46	n/a	18-Jun	300.00	0.0
LATEEF MGMT	033	JCI	S	150	46.57	n/a	10-Jun	30.00	0.0
LATEEF MGMT	033	JNJ	S	100	92.45	n/a	n/a	30.00	0.0
TYVOR CAPITAL LLC	031	JWN	SS	30,000	60.46	n/a	18-Jun	900.00	0.0
BESSEMER INVESTMENT	085	KEY	B	1,235	12.48	n/a	n/a	49.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	KR	S	125	42.59	n/a	n/a	27.50	0.0
WHITE PINE CAPITAL	030	KSS	C	800	58.43	n/a	18-Jun	40.00	0.0
WINSLOW CAPITAL	030	KSU	B	100	123.62	n/a	n/a	3.00	0.0
SCOPUS FUND	041	LAD	B	25,000	64.68	n/a	n/a	1,000.00	0.0
WINSLOW CAPITAL	030	LBTYA	B	200	77.63	n/a	n/a	6.00	0.0
FIRST NY SEC/CHRIS	041	LCC	S	16,000	23.56	n/a	18-Jun	800.00	0.0
HOLLIS CAPITAL	033	LCC	B	25,000	23.23	n/a	18-Jun	1,250.00	0.0
WINSLOW CAPITAL	030	LNKD	B	100	222.37	n/a	n/a	3.00	0.0
WINSLOW CAPITAL	030	LOW	B	700	49.56	n/a	n/a	21.00	0.0
BESSEMER INVESTMENT	085	LO	B	430	51.39	n/a	n/a	17.20	0.0
BRONSON POINT	036	LPX	B	55,000	16.81	n/a	19-Jun	1,650.00	0.0
ADAGE CAPITAL MGMT	030	LTD	B	6,746	62.95	n/a	n/a	202.38	0.0
BESSEMER INVESTMENT	085	LTD	B	510	63.02	n/a	n/a	20.40	0.0
TYVOR CAPITAL LLC	031	LTM	S	5,000	46.81	n/a	n/a	150.00	0.0
MAPLE ROW	006	MAS	B	7,500	21.15	n/a	n/a	225.00	0.0
J. GOLDMAN	028	MDT	B	66,000	57.19	n/a	n/a	2,640.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	MON	B	500	103.63	n/a	n/a	15.00	0.0
LATEEF MGMT	033	MRK	B	125	45.79	n/a	n/a	27.50	0.0
BESSEMER INVESTMENT	085	MRO	B	640	35.20	n/a	n/a	25.60	0.0
BESSEMER INVESTMENT	085	MS	B	460	29.27	n/a	6-Jun	18.40	0.0
WINSLOW CAPITAL	030	MS	B	900	29.31	n/a	6-Jun	27.00	0.0
BESSEMER INVESTMENT	085	M	B	865	46.46	n/a	18-Jun	34.60	0.0
MACELLUM CAPITAL	086	M	B	45,000	46.60	n/a	18-Jun	1,350.00	0.0
WINSLOW CAPITAL	030	NBL	B	200	76.70	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	NKE	B	300	76.19	n/a	19-Jun	9.00	0.0
BESSEMER INVESTMENT	085	NLSN	B	985	39.90	n/a	n/a	39.40	0.0
WINSLOW CAPITAL	030	NOW	B	200	54.13	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	NXPI	B	800	42.61	n/a	n/a	24.00	0.0
LATEEF MGMT	033	OLN	B	200	22.74	n/a	n/a	30.00	0.0
LIONEYE CAPITAL	040	PCH	S	130	41.50	n/a	19-Jun	6.50	0.0
EDGEWOOD	085	PCP	B	995	252.41	n/a	11-Jun	39.80	0.0
WINSLOW CAPITAL	030	PCP	B	100	252.48	n/a	11-Jun	3.00	0.0
BESSEMER INVESTMENT	085	PFE	B	1,645	31.29	n/a	n/a	65.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYVOR CAPITAL LLC	031	PLCE	B	3,507	54.35	n/a	24-May	105.21	0.0
LATEEF MGMT	033	POT	B	250	32.03	n/a	n/a	30.00	0.0
KLEINHEINZ CAP PART	031	PTEN	B	75,000	24.84	n/a	n/a	3,750.00	0.0
WINSLOW CAPITAL	030	PXD	B	100	212.61	n/a	13-Jun	3.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	670	69.35	n/a	n/a	26.80	0.0
EDGEWOOD	085	QCOM	B	2,170	69.40	n/a	n/a	86.80	0.0
WINSLOW CAPITAL	030	QCOM	B	200	69.42	n/a	n/a	6.00	0.0
SIGMA CAP BOBBY	044	RL	B	15,000	169.21	n/a	24-May	450.00	0.0
WINSLOW CAPITAL	030	RL	B	100	168.61	n/a	24-May	3.00	0.0
WINSLOW CAPITAL	030	ROST	B	300	77.22	n/a	18-Jun	9.00	0.0
WINSLOW CAPITAL	030	RRC	B	200	75.72	n/a	13-Jun	6.00	0.0
CAPITAL GROWTH MGMT.	241	RYL	S	50,000	40.03	n/a	n/a	2,500.00	0.0
WINSLOW CAPITAL	030	SBAC	B	200	87.65	n/a	n/a	6.00	0.0
CADIAN CAPITAL	041	SBH	C	11,500	26.07	n/a	n/a	345.00	0.0
WINSLOW CAPITAL	030	SBUX	B	900	80.36	n/a	17-Jun	27.00	0.0
WINSLOW CAPITAL	030	SCHW	B	300	23.13	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	SLB	B	200	93.53	n/a	n/a	6.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHRIS C	041	SNTA	S	276,333	4.02	n/a	n/a	8,289.99	0.0
WHITE PINE CAPITAL	030	SPY	C	11,500	176.52	n/a	n/a	575.00	0.0
TYVOR CAPITAL LLC	031	SSI	S	10,000	21.12	n/a	18-Jun	300.00	0.0
EDGEWOOD	085	SSYS	B	2,344	114.98	n/a	n/a	93.76	0.0
TYVOR CAPITAL LLC	031	SWY	S	3,400	35.25	n/a	n/a	102.00	0.0
TYVOR CAPITAL LLC	031	SYI	SS	900	34.21	n/a	n/a	27.00	0.0
LATEEF MGMT	033	TEVA	S	325	36.75	n/a	17-Jun	32.50	0.0
BESSEMER INVESTMENT	085	TGT	B	550	65.32	n/a	23-May	22.00	0.0
INTERVAL PARTNERS	033	TIF	B	7,500	79.39	n/a	n/a	225.00	0.0
TYVOR CAPITAL LLC	031	TIF	S	4,907	79.40	n/a	n/a	147.21	0.0
BESSEMER INVESTMENT	085	TMO	B	440	97.97	n/a	n/a	17.60	0.0
EDGEWOOD	085	TROW	B	4,548	77.50	n/a	n/a	181.92	0.0
WINSLOW CAPITAL	030	ULTA	B	200	130.94	n/a	n/a	6.00	0.0
BESSEMER INVESTMENT	085	UNP	B	250	153.36	n/a	n/a	10.00	0.0
WINSLOW CAPITAL	030	UNP	B	400	153.38	n/a	n/a	12.00	0.0
BALYASNY ASSET MGMT	044	USG	B	100,000	28.00	n/a	29-Apr	5,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	UTX	B	200	107.84	n/a	n/a	6.00	0.0
EDGEWOOD	085	VIAB	B	4,903	82.53	n/a	n/a	196.12	0.0
EDGEWOOD	085	V	B	2,390	197.44	n/a	11-Jun	95.60	0.0
WINSLOW CAPITAL	030	V	B	300	197.29	n/a	11-Jun	9.00	0.0
WINSLOW CAPITAL	030	WFM	B	100	63.65	n/a	n/a	3.00	0.0
KEYGROUP/KGLT	040	WFT	S	25,000	16.37	n/a	n/a	1,000.00	0.0
CAPITAL GROWTH MGMT.	241	WLT	B	30,000	18.75	n/a	n/a	1,200.00	0.0
WINSLOW CAPITAL	030	WYNN	B	100	166.39	n/a	13-Jun	3.00	0.0
CADIAN CAPITAL	041	XRT	SS	12,000	85.09	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	645	88.77	n/a	n/a	25.80	0.0
WINSLOW CAPITAL	030	ZTS	B	700	31.61	n/a	n/a	21.00	0.0
TOTAL (Trade Date) :								70,420.33	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/01	SYMPHONY ASSET (SYMPOVERTU)	033	BRKR	B	2,140	19.34	n/a	n/a	64.20 0.0
AO,	11/01	SYMPHONY ASSET (SYMPIMFBRA)	033	BRKR	B	4,160	19.34	n/a	n/a	124.80 0.0
AO,	11/01	SYMPHONY ASSET (SYMPIMF2)	033	BRKR	B	6,250	19.34	n/a	n/a	187.50 0.0
AO,	11/01	SYMPHONY ASSET (SYMPIMFBRA)	033	BRKR	B	5,170	19.34	n/a	n/a	155.10 0.0
AO,	11/01	SYMPHONY ASSET (SYMPIMF)	033	BRKR	B	7,730	19.34	n/a	n/a	231.90 0.0
AO,	11/01	SYMPHONY ASSET (SYMPBRAVUR)	033	BRKR	B	1,010	19.34	n/a	n/a	30.30 0.0
AO,CXL	10/31	DELTEC ASSET MGMT. (DELTPERSPB)	040	CAM	B	6,000	55.28	n/a	n/a	240.00 0.0
AO,CRT	10/31	DELTEC ASSET MGMT. (DELTPERSPB)	040	CAM	B	6,000	55.28	n/a	n/a	300.00 0.0
AO,CXL	11/01	CSL ASSOCIATES (CSLAGS)	006	CNW	B	10,000	41.27	n/a	n/a	500.00 0.0
AO,CRT	11/01	CSL ASSOCIATES (CSLAGS)	006	CNW	B	10,000	41.27	n/a	n/a	400.00 4.0
TOTAL (AO, CXL, CRT) :										753.80
TOTAL (Trade Date):										70,420.33
TOTAL (AO, CXL, CRT):										753.80
TOTAL (RUN DATE) / NFS:										71,174.13

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