

Daily Compliance Activity Report Trade Date: 09/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
WAGONHOUND/NICOLAS	033	ABG	S	41,508	53.31	n/a	19-Jun	1,660.32	0.0
PRIMECAP MGMT	084	ABT	В	21,500	33.70	n/a	n/a	860.00	0.0
WINSLOW CAPITAL	030	ALXN	В	200	114.75	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	AMGN	В	300	112.92	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	AMT	В	400	73.15	n/a	n/a	12.00	0.0
WINSLOW CAPITAL	030	AMZN	В	200	315.24	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	ARMH	В	500	48.27	n/a	n/a	15.00	0.0
WINSLOW CAPITAL	030	ATHN	В	100	107.07	n/a	n/a	3.00	0.0
LOMAS CAPITAL	040	AXLL	В	8,800	36.56	n/a	n/a	264.00	0.0
WINSLOW CAPITAL	030	AXP	В	300	76.11	n/a	19-Jun	9.00	0.0
WINSLOW CAPITAL	030	BBY	В	400	38.35	n/a	n/a	12.00	0.0
WINSLOW CAPITAL	030	BIIB	В	200	243.73	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	BLK	В	100	270.44	n/a	n/a	3.00	0.0
WINSLOW CAPITAL	030	BWA	В	300	102.32	n/a	19-Jun	9.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
CHART WELL ADV	028	CAKE	В	42,750	43.78	n/a	25-Apr	1,710.00	0.0
WINSLOW CAPITAL	030	CBS	В	500	55.60	n/a	n/a	15.00	0.0
TUDOR INVESTORS	028	CCK	В	10,000	42.88	n/a	n/a	300.00	0.0
ROVER CAPITAL PARTNERS	040	CCL	В	3,500	32.62	n/a	n/a	140.00	0.0
ROVER CAPITAL PARTNERS	040	CCL	S	3,500	32.71	n/a	n/a	140.00	0.0
SIGMA CAPITAL ASSOCIATES	041	CCL	В	100,000	33.01	n/a	n/a	3,000.00	0.0
WINSLOW CAPITAL	030	CELG	В	300	146.94	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	CERN	В	400	48.92	n/a	n/a	12.00	0.0
WINSLOW CAPITAL	030	COST	В	200	115.89	n/a	n/a	6.00	0.0
JET CAPITAL/CHRIS	041	CPN	В	65,528	19.80	n/a	n/a	1,965.84	0.0
WINSLOW CAPITAL	030	CRM	В	1,200	52.99	n/a	n/a	36.00	0.0
HERRING CREEK CAPITAL MGM	T LLC040	CSTE	С	36,2	295 47.04	r	n/a n/a	1,088.	85 0.0
WINSLOW CAPITAL	030	CTSH	В	300	83.14	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	DAL	В	600	23.75	n/a	18-Jun	18.00	0.0
WINSLOW CAPITAL	030	DG	В	500	57.67	n/a	4-Jun	15.00	0.0
WINSLOW CAPITAL	030	DHR	В	800	69.64	n/a	n/a	24.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/S	hr.
WINSLOW CAPITAL	030	DIS	В	400	64.64	n/a	n/a	12.00 0	0.0
WINSLOW CAPITAL	030	EBAY	В	700	54.41	n/a	n/a	21.00 0	0.0
WINSLOW CAPITAL	030	ECL	В	200	98.86	n/a	18-Jan	6.00 0	0.0
WINSLOW CAPITAL	030	EL	В	300	71.45	n/a	17-Jun	9.00 0	0.0
TUDOR INVESTORS	028	EXPD	В	2,000	44.31	n/a	n/a	60.00 0	0.0
WINSLOW CAPITAL	030	FB	В	900	48.98	n/a	n/a	27.00 0	0.0
BRONSON POINT	036	FDX	В	12,500	113.93	n/a	n/a	375.00 0	0.0
WINSLOW CAPITAL	030	FFIV	В	200	87.75	n/a	26-Feb	6.00 0	0.0
WINSLOW CAPITAL	030	FOXA	В	1,000	32.58	n/a	n/a	30.00 0	0.0
WINSLOW CAPITAL	030	FTI	В	300	55.41	n/a	n/a	9.00 0	0.0
WINSLOW CAPITAL	030	GILD	В	600	62.43	n/a	n/a	18.00 0	0.0
WINSLOW CAPITAL	030	GOOG	В	100	881.24	n/a	n/a	3.00 0	0.0
WINSLOW CAPITAL	030	GWW	В	100	269.57	n/a	11-Jun	3.00 0	0.0
NOKOMIS PARTNERS	031	HCOM	S	2,181	27.09	n/a	n/a	65.43 0	0.0
SYMPHONY ASSET	033	HD	В	18,820	75.63	n/a	n/a	564.60 0	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
FORTRESS INVESTMENT (US)	036	HON	В	48,000	84.01	n/a	19-Apr	1,920.00	0.0
STRONG/MARK GRONET	030	JBLU	S	60,500	6.79	n/a	18-Jun	1,815.00	0.0
CENTURION PARTNERS	041	JCP	В	2,000	10.26	n/a	18-Jun	80.00	0.0
STRONG/MARK GRONET	030	JKHY	S	7,080	51.16	n/a	n/a	283.20	0.0
INTERVAL PARTNERS	033	KSS	В	10,000	51.34	n/a	18-Jun	300.00	0.0
LEVIN CAPITAL STRATEGIES	041	KSS	С	15,000	51.15	n/a	18-Jun	450.00	0.0
STERLING CAPITAL MGMT.	093	KSS	В	104,600	50.81	n/a	18-Jun	4,698.00	0.0
LISTED ERR	099	KSS	В	500	51.25	n/a	18-Jun	0.00	0.0
LISTED ERR	099	KSS	S	500	51.24	n/a	18-Jun	0.00	0.0
WINSLOW CAPITAL	030	LBTYA	В	200	77.81	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	LNKD	В	100	248.08	n/a	n/a	3.00	0.0
KORTRIGHT CAPITAL PARTNER	S025	LPX	S	70,000	17.38	n/a	19-Jun	2,100.00	0.0
WINSLOW CAPITAL	030	LULU	В	200	72.53	n/a	19-Jun	6.00	0.0
APEX CAPITAL MGMT.	033	MAKO	S	100,000	29.49	n/a	n/a	4,000.00	0.0
LONG POND	029	MAR	В	30,000	42.86	n/a	13-Jun	1,200.00	0.0
WINSLOW CAPITAL	030	MON	В	600	105.52	n/a	n/a	18.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	25,000	27.06	n/a	6-Jun	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
WINSLOW CAPITAL	030	MS	В	1,100	27.36	n/a	6-Jun	33.00	0.0	
HARVEST MGMT (JMP)	029	М	В	10,000	42.96	n/a	18-Jun	500.00	0.0	
WINSLOW CAPITAL	030	NBL	В	300	67.27	n/a	n/a	9.00	0.0	
WINSLOW CAPITAL	030	NKE	В	400	69.32	n/a	19-Jun	12.00	0.0	
WINSLOW CAPITAL	030	NOW	В	200	52.92	n/a	n/a	6.00	0.0	
JET CAPITAL/CHRIS	041	NRG	В	60 , 778	28.15	n/a	n/a	1,823.34	0.0	
WINSLOW CAPITAL	030	NXPI	В	600	37.60	n/a	n/a	18.00	0.0	
NEWLAND CAPITAL MGT	025	ORB	S	10,000	20.76	n/a	n/a	400.00	0.0	
HERRING CREEK CAPITAL	MGMT LLC040	OUTI	R B	14,9	000 48.92	1	n/a n/a	447.	00 0.0	0
WINSLOW CAPITAL	030	PCLN	В	1001,	003.48	n/a	n/a	3.00	0.0	
WINSLOW CAPITAL	030	PCP	В	200	228.57	n/a	11-Jun	6.00	0.0	
ROSEDALE CAPITAL	046	PFE	S	20,000	28.74	n/a	n/a	800.00	0.0	
ASCEND PARTNERS	033	PVH	S	20,000	119.87	n/a	14-Jun	600.00	0.0	
WINSLOW CAPITAL	030	PXD	В	100	187.00	n/a	13-Jun	3.00	0.0	
INTERVAL PARTNERS	033	RCL	В	20,000	38.44	n/a	n/a	600.00	0.0	
WINSLOW CAPITAL	030	RL	В	200	163.96	n/a	24-May	6.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
WINSLOW CAPITAL	030	ROST	В	300	72.05	n/a	18-Jun	9.00	0.0
WINSLOW CAPITAL	030	SBAC	В	300	77.69	n/a	n/a	9.00	0.0
CORVEX CAPITAL	041	SBGI	S	10,436	32.11	n/a	n/a	313.08	0.0
WINSLOW CAPITAL	030	SBUX	В	400	76.82	n/a	17-Jun	12.00	0.0
KORTRIGHT CAPITAL PARTNER	S025	SEE	В	20,000	27.29	n/a	2-Jun	600.00	0.0
WINSLOW CAPITAL	030	SIRI	В	5,800	3.86	n/a	n/a	46.40	0.0
WINSLOW CAPITAL	030	SLB	В	200	88.83	n/a	n/a	6.00	0.0
TUDOR INVESTORS	028	ST	S	2,000	38.47	n/a	n/a	60.00	0.0
CRAMER ROSENTHAL	070	THO	S	15,000	56.31	n/a	n/a	600.00	0.0
PAR CAPITAL	029	TRIP	S	35,000	74.88	n/a	n/a	1,400.00	0.0
WINSLOW CAPITAL	030	ULTA	В	300	117.64	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	UNH	В	300	72.05	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	UNP	В	500	158.69	n/a	n/a	15.00	0.0
J. GOLDMAN	028	UPS	В	58,600	91.16	n/a	n/a	2,344.00	0.0
WINSLOW CAPITAL	030	UTX	В	300	110.01	n/a	n/a	9.00	0.0
	WINSLOW CAPITAL WINSLOW CAPITAL CORVEX CAPITAL WINSLOW CAPITAL KORTRIGHT CAPITAL PARTNER WINSLOW CAPITAL WINSLOW CAPITAL TUDOR INVESTORS CRAMER ROSENTHAL PAR CAPITAL WINSLOW CAPITAL WINSLOW CAPITAL WINSLOW CAPITAL J. GOLDMAN	WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 CORVEX CAPITAL 041 WINSLOW CAPITAL 030 KORTRIGHT CAPITAL PARTNERS025 WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 TUDOR INVESTORS 028 CRAMER ROSENTHAL 070 PAR CAPITAL 029 WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 WINSLOW CAPITAL 030 J. GOLDMAN 028	WINSLOW CAPITAL 030 ROST WINSLOW CAPITAL 030 SBAC CORVEX CAPITAL 041 SBGI WINSLOW CAPITAL 030 SBUX KORTRIGHT CAPITAL PARTNERS025 SEE WINSLOW CAPITAL 030 SIRI WINSLOW CAPITAL 030 SLB TUDOR INVESTORS 028 ST CRAMER ROSENTHAL 070 THO PAR CAPITAL 029 TRIP WINSLOW CAPITAL 030 ULTA WINSLOW CAPITAL 030 UNH WINSLOW CAPITAL 030 UNP J. GOLDMAN 028 UPS	WINSLOW CAPITAL WINSLOW CAPITAL O30 SBAC B CORVEX CAPITAL O41 SBGI S WINSLOW CAPITAL O30 SBUX B KORTRIGHT CAPITAL PARTNERSO25 SEE B WINSLOW CAPITAL O30 SIRI B WINSLOW CAPITAL O30 SIRI B TUDOR INVESTORS O28 ST S CRAMER ROSENTHAL O70 THO S PAR CAPITAL O30 UITA B WINSLOW CAPITAL O30 UNP B J. GOLDMAN O28 UPS B	WINSLOW CAPITAL 030 ROST B 300 WINSLOW CAPITAL 030 SBAC B 300 CORVEX CAPITAL 041 SBGI S 10,436 WINSLOW CAPITAL 030 SBUX B 400 KORTRIGHT CAPITAL PARTNERS025 SEE B 20,000 WINSLOW CAPITAL 030 SIRI B 5,800 WINSLOW CAPITAL 030 SLB B 200 CRAMER ROSENTHAL 070 THO S 15,000 PAR CAPITAL 029 TRIP S 35,000 WINSLOW CAPITAL 030 ULTA B 300 WINSLOW CAPITAL 030 UNH B 300 WINSLOW CAPITAL 030 UNH B 300 WINSLOW CAPITAL 030 UNP B 500 J. GOLDMAN 028 UPS B 58,600	WINSLOW CAPITAL 030 ROST B 300 72.05 WINSLOW CAPITAL 030 SBAC B 300 77.69 CORVEX CAPITAL 041 SBGI S 10,436 32.11 WINSLOW CAPITAL 030 SBUX B 400 76.82 KORTRIGHT CAPITAL PARTNERS025 SEE B 20,000 27.29 WINSLOW CAPITAL 030 SIRI B 5,800 3.86 WINSLOW CAPITAL 030 SIB B 200 88.83 TUDOR INVESTORS 028 ST S 2,000 38.47 CRAMER ROSENTHAL 070 THO S 15,000 56.31 PAR CAPITAL 029 TRIP S 35,000 74.88 WINSLOW CAPITAL 030 ULTA B 300 117.64 WINSLOW CAPITAL 030 UNH B 300 72.05 WINSLOW CAPITAL 030 UNP B 500 158.69 J. GOLDMAN 028 UPS B 58,600 91.16	WINSLOW CAPITAL 030 ROST B 300 72.05 n/a WINSLOW CAPITAL 030 SBAC B 300 77.69 n/a CORVEX CAPITAL 041 SBGI S 10,436 32.11 n/a WINSLOW CAPITAL 030 SBUX B 400 76.82 n/a KORTRIGHT CAPITAL PARTNERS025 SEE B 20,000 27.29 n/a WINSLOW CAPITAL 030 SIRI B 5,800 3.86 n/a WINSLOW CAPITAL 030 SIR B 200 88.83 n/a TUDOR INVESTORS 028 ST S 2,000 38.47 n/a CRAMER ROSENTHAL 070 THO S 15,000 56.31 n/a PAR CAPITAL 029 TRIP S 35,000 74.88 n/a WINSLOW CAPITAL 030 ULTA B 300 117.64 n/a WINSLOW CAPITAL 030 UNH B 300 72.05 n/a WINSLOW CAPITAL 030 UNP B 500 158.69 n/a J. GOLDMAN 028 UPS B 58,600 91.16 n/a	WINSLOW CAPITAL 030 ROST B 300 72.05	WINSLOW CAPITAL 030 ROST B 300 72.05

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
EPOCH INV MGMT	030	VVC	S	21,000	33.54	n/a	n/a	630.00 0.0
WINSLOW CAPITAL	030	V	В	400	192.02	n/a	11-Jun	12.00 0.0
TUDOR INVESTORS	028	WERN	SS	5,000	23.02	n/a	n/a	150.00 0.0
WINSLOW CAPITAL	030	WFM	В	100	58.44	n/a	n/a	3.00 0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	В	26,050	11.64	n/a	n/a	781.50 0.0
WINSLOW CAPITAL	030	WYNN	В	100	157.90	n/a	13-Jun	3.00 0.0
SCOPUS FUND	041	WY	В	20,000	28.40	n/a	19-Jun	800.00 0.0
WINSLOW CAPITAL	030	ZTS	В	800	31.22	n/a	n/a	24.00 0.0

TOTAL (Trade Date): 43,812.56

Туре	Date Account	RR # Symbol	B/S Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):					0.00
TOTAL	(Trade Date):				43,8	12.56
TOTAL	(AO, CXL, CRT):					0.00
TOTAL	(RUN DATE) / NFS:				43,8	12.56

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