



## Daily Compliance Activity Report

Trade Date: 09/25/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

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	B	21,500	33.70	n/a	n/a	860.00	0.0
WINSLOW CAPITAL	030	ALXN	B	200	114.75	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	AMGN	B	300	112.92	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	AMT	B	400	73.15	n/a	n/a	12.00	0.0
WINSLOW CAPITAL	030	AMZN	B	200	315.24	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	ARMH	B	500	48.27	n/a	n/a	15.00	0.0
WINSLOW CAPITAL	030	ATHN	B	100	107.07	n/a	n/a	3.00	0.0
LOMAS CAPITAL	040	AXLL	B	8,800	36.56	n/a	n/a	264.00	0.0
WINSLOW CAPITAL	030	AXP	B	300	76.11	n/a	19-Jun	9.00	0.0
WINSLOW CAPITAL	030	BBY	B	400	38.35	n/a	n/a	12.00	0.0
WINSLOW CAPITAL	030	BIIB	B	200	243.73	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	BLK	B	100	270.44	n/a	n/a	3.00	0.0
WINSLOW CAPITAL	030	BWA	B	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	B	42,750	43.78	n/a	25-Apr	1,710.00	0.0
WINSLOW CAPITAL	030	CBS	B	500	55.60	n/a	n/a	15.00	0.0
TUDOR INVESTORS	028	CCK	B	10,000	42.88	n/a	n/a	300.00	0.0
ROVER CAPITAL PARTNERS	040	CCL	B	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	B	100,000	33.01	n/a	n/a	3,000.00	0.0
WINSLOW CAPITAL	030	CELG	B	300	146.94	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	CERN	B	400	48.92	n/a	n/a	12.00	0.0
WINSLOW CAPITAL	030	COST	B	200	115.89	n/a	n/a	6.00	0.0
JET CAPITAL/CHRIS	041	CPN	B	65,528	19.80	n/a	n/a	1,965.84	0.0
WINSLOW CAPITAL	030	CRM	B	1,200	52.99	n/a	n/a	36.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	CSTE	C	36,295	47.04	n/a	n/a	1,088.85	0.0
WINSLOW CAPITAL	030	CTSH	B	300	83.14	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	DAL	B	600	23.75	n/a	18-Jun	18.00	0.0
WINSLOW CAPITAL	030	DG	B	500	57.67	n/a	4-Jun	15.00	0.0
WINSLOW CAPITAL	030	DHR	B	800	69.64	n/a	n/a	24.00	0.0

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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	HON	B	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	B	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	B	10,000	51.34	n/a	18-Jun	300.00	0.0
LEVIN CAPITAL STRATEGIES	041	KSS	C	15,000	51.15	n/a	18-Jun	450.00	0.0
STERLING CAPITAL MGMT.	093	KSS	B	104,600	50.81	n/a	18-Jun	4,698.00	0.0
LISTED ERR	099	KSS	B	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	B	200	77.81	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	LNKD	B	100	248.08	n/a	n/a	3.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	S	70,000	17.38	n/a	19-Jun	2,100.00	0.0
WINSLOW CAPITAL	030	LULU	B	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	B	30,000	42.86	n/a	13-Jun	1,200.00	0.0
WINSLOW CAPITAL	030	MON	B	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	B	1,100	27.36	n/a	6-Jun	33.00	0.0
HARVEST MGMT (JMP)	029	M	B	10,000	42.96	n/a	18-Jun	500.00	0.0
WINSLOW CAPITAL	030	NBL	B	300	67.27	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	NKE	B	400	69.32	n/a	19-Jun	12.00	0.0
WINSLOW CAPITAL	030	NOW	B	200	52.92	n/a	n/a	6.00	0.0
JET CAPITAL/CHRIS	041	NRG	B	60,778	28.15	n/a	n/a	1,823.34	0.0
WINSLOW CAPITAL	030	NXPI	B	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		OUTR	B	14,900	48.92	n/a	n/a	447.00	0.0
WINSLOW CAPITAL	030	PCLN	B	1001,003.48		n/a	n/a	3.00	0.0
WINSLOW CAPITAL	030	PCP	B	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	B	100	187.00	n/a	13-Jun	3.00	0.0
INTERVAL PARTNERS	033	RCL	B	20,000	38.44	n/a	n/a	600.00	0.0
WINSLOW CAPITAL	030	RL	B	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	B	300	72.05	n/a	18-Jun	9.00	0.0
WINSLOW CAPITAL	030	SBAC	B	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	B	400	76.82	n/a	17-Jun	12.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	SEE	B	20,000	27.29	n/a	2-Jun	600.00	0.0
WINSLOW CAPITAL	030	SIRI	B	5,800	3.86	n/a	n/a	46.40	0.0
WINSLOW CAPITAL	030	SLB	B	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	B	300	117.64	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	UNH	B	300	72.05	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	UNP	B	500	158.69	n/a	n/a	15.00	0.0
J. GOLDMAN	028	UPS	B	58,600	91.16	n/a	n/a	2,344.00	0.0
WINSLOW CAPITAL	030	UTX	B	300	110.01	n/a	n/a	9.00	0.0

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	B	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	B	100	58.44	n/a	n/a	3.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	26,050	11.64	n/a	n/a	781.50	0.0
WINSLOW CAPITAL	030	WYNN	B	100	157.90	n/a	13-Jun	3.00	0.0
SCOPUS FUND	041	WY	B	20,000	28.40	n/a	19-Jun	800.00	0.0
WINSLOW CAPITAL	030	ZTS	B	800	31.22	n/a	n/a	24.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>43,812.56</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									43,812.56
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									43,812.56



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