



## Daily Compliance Activity Report

Trade Date: 05/07/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ABT	S	15,000	35.88	n/a	n/a	450.00	0.0
WINSLOW CAPITAL	030	AGN	S	3,000	104.45	n/a	6-May	90.00	0.0
WINSLOW CAPITAL	030	AMT	S	5,600	83.25	n/a	n/a	168.00	0.0
KINGDON ASSET MGMT	041	AXL	S	75,000	15.91	n/a	6-May	3,000.00	0.0
FEIN	084	AXL	B	100,000	15.62	n/a	6-May	3,000.00	0.0
WINSLOW CAPITAL	030	BBY	S	12,600	26.16	n/a	n/a	378.00	0.0
WINSLOW CAPITAL	030	BEN	S	3,800	158.07	n/a	2-Mar	114.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BKW	SS	25,000	18.93	n/a	29-Apr	750.00	0.0
WINSLOW CAPITAL	030	BLK	S	1,000	274.94	n/a	n/a	30.00	0.0
COOPER CREEK PART	028	BONT	S	3,300	15.88	n/a	26-Apr	132.00	0.0
WINSLOW CAPITAL	030	BWA	S	5,200	79.70	n/a	26-Apr	156.00	0.0
WINSLOW CAPITAL	030	CBS	S	7,900	47.62	n/a	n/a	237.00	0.0
KINGDON ASSET MGMT	041	CCE	B	25,000	37.44	n/a	n/a	1,000.00	0.0
WINSLOW CAPITAL	030	COG	S	4,300	68.23	n/a	2-May	129.00	0.0
MACELLUM CAPITAL	086	COH	SS	36,000	58.04	n/a	24-Apr	1,080.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
WINSLOW CAPITAL	030	CRM	S	16,200	42.43	n/a	n/a	486.00	0.0	
ROYCE TRADING	031	CRR	B	25,000	70.54	n/a	2-May	1,250.00	0.0	
LATEEF MGMT	033	CSCO	B	2,600	20.35	n/a	26-Feb	282.00	0.0	
ACK ASSET	028	CSX	SS	65,000	25.28	n/a	n/a	1,950.00	0.0	
WINSLOW CAPITAL	030	CVS	S	7,700	58.48	n/a	n/a	231.00	0.0	
WINSLOW CAPITAL	030	DAL	S	44,400	18.08	n/a	24-Apr	1,332.00	0.0	
WINSLOW CAPITAL	030	DG	S	37,000	53.16	n/a	26-Mar	1,110.00	0.0	
WINSLOW CAPITAL	030	DHR	S	14,900	61.66	n/a	n/a	447.00	0.0	
WINSLOW CAPITAL	030	DIS	S	20,100	65.52	n/a	n/a	603.00	0.0	
SIGMA CAP BOBBY	044	DPZ	S	55,000	57.58	n/a	30-Apr	1,650.00	0.0	
T. ROWE PRICE	243	DWRE	S	20,000	30.15	n/a	n/a	800.00	0.0	
WINSLOW CAPITAL	030	ECL	S	3,900	86.09	n/a	18-Jan	117.00	0.0	
WINSLOW CAPITAL	030	EL	S	5,200	70.27	n/a	6-May	156.00	0.0	
CAPITAL RESEARCH GROUP		296	EXC	B	125,901	35.33	n/a	n/a	4,406.54	0.0
COLUMBUS CAP MGMT LLC	084	EXTR	B	100,000	3.33	n/a	n/a	3,000.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	FB	S	25,000	27.11	n/a	n/a	750.00	0.0
CR INTRINIC INVESTMENT	044	FDX	B	30,000	98.84	n/a	n/a	900.00	0.0
LOMAS CAPITAL	040	FDX	B	28,000	99.41	n/a	n/a	840.00	0.0
WINSLOW CAPITAL	030	FDX	S	6,600	98.61	n/a	n/a	198.00	0.0
SYMPHONY ASSET	033	FNP	B	72,920	21.59	n/a	n/a	2,187.60	0.0
WINSLOW CAPITAL	030	FTI	S	5,900	56.33	n/a	n/a	177.00	0.0
TRELLUS PARTNERS LP	028	F	SS	25,000	14.20	n/a	7-May	750.00	0.0
WINSLOW CAPITAL	030	GSK	S	7,600	51.22	n/a	n/a	228.00	0.0
WINSLOW CAPITAL	030	GWV	S	800	252.37	n/a	16-Apr	24.00	0.0
WINSLOW CAPITAL	030	HD	S	6,500	75.11	n/a	n/a	195.00	0.0
WINSLOW CAPITAL	030	IBM	S	4,800	202.64	n/a	n/a	144.00	0.0
CASTLEROCK	040	JCP	S	50,000	16.45	n/a	30-Apr	2,000.00	0.0
S.A.C. CAPITAL	044	JWN	SS	50,000	58.45	n/a	8-Apr	1,500.00	0.0
SANDLER O'NEILL ASSET	031	KEY	S	25,000	10.19	n/a	n/a	1,250.00	0.0
CENTURION PARTNERS	041	KKR	S	20,000	20.96	n/a	n/a	800.00	0.0
KINGDON ASSET MGMT	041	KORS	S	10,000	58.18	n/a	22-Apr	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	LEN	S	22,600	42.09	n/a	n/a	678.00	0.0
KINGDON ASSET MGMT	041	LOW	B	150,000	40.36	n/a	n/a	6,000.00	0.0
WINSLOW CAPITAL	030	LVS	S	5,500	56.87	n/a	13-Jun	165.00	0.0
WINSLOW CAPITAL	030	MA	S	2,300	549.85	n/a	2-May	69.00	0.0
WINSLOW CAPITAL	030	MON	S	10,300	107.61	n/a	n/a	309.00	0.0
1798 CAP/LOMBARD ASSET	040	MWV	B	25,000	34.68	n/a	30-Apr	1,250.00	0.0
CORVEX CAPITAL	041	MWV	B	3,200	34.65	n/a	30-Apr	96.00	0.0
OSKIE CAPITAL MGMT	224	MWV	B	30,000	34.70	n/a	30-Apr	1,500.00	0.0
SANDLER O'NEILL ASSET	031	NYCB	B	19,891	13.42	n/a	24-Apr	994.55	0.0
WINSLOW CAPITAL	030	PCP	S	1,800	192.61	n/a	11-Apr	54.00	0.0
MERRILL ASSET/BLACKROCK	297	PL	S	12,700	38.50	n/a	n/a	508.00	0.0
MERRILL ASSET/BLACKROCK	297	PRU	S	8,700	65.88	n/a	n/a	348.00	0.0
WINSLOW CAPITAL	030	RL	S	2,900	184.23	n/a	22-Apr	87.00	0.0
EPOCH INV MGMT	030	SSD	B	16,035	28.77	n/a	n/a	481.05	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	B	10,000	7.20		n/a n/a	200.00	0.0
WINSLOW CAPITAL	030	UNH	S	8,500	60.82	n/a	n/a	255.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	UNP	S	8,700	153.30	n/a	n/a	261.00	0.0
MERRILL ASSET/BLACKROCK	297	USB	B	14,207	33.03	n/a	n/a	568.28	0.0
WINSLOW CAPITAL	030	UTX	S	6,200	93.72	n/a	n/a	186.00	0.0
WINSLOW CAPITAL	030	VLO	S	17,000	39.20	n/a	n/a	510.00	0.0
WINSLOW CAPITAL	030	V	S	6,100	179.43	n/a	2-May	183.00	0.0
WINSLOW CAPITAL	030	WFC	S	9,600	38.35	n/a	6-May	288.00	0.0
WINSLOW CAPITAL	030	WFM	S	4,500	92.06	n/a	n/a	135.00	0.0
NORTHWESTERN MUTUAL LIFE	047	WMB	S	69,600	37.05	n/a	n/a	2,784.00	0.0
WINSLOW CAPITAL	030	YUM	S	9,600	68.51	n/a	6-May	288.00	0.0
WINSLOW CAPITAL	030	ZTS	S	13,900	32.61	n/a	n/a	417.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>59,493.02</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/06	T. ROWE PRICE (TROW4807)	243	DWRE	S	10,000	28.77	n/a	n/a	400.00 0.0
AO,CXL	05/06	T. ROWE PRICE (TROW4807)	028	DWRE	S	10,000	28.77	n/a	n/a	400.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	59,493.02
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>59,493.02</b>
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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