



Daily Compliance Activity Report

Trade Date: 12/04/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 1

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	S	200	565.00	n/a	n/a	6.00	3.0
f MICHAEL MARRANO	FID	AEMSX	S	215	14.52	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	AGCO	B	28,652	58.51	n/a	n/a	1,146.08	4.0
WINSLOW CAPITAL	030	ALXN	S	300	120.84	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	AMAT	S	2,000	16.66	n/a	n/a	60.00	3.0
WINSLOW CAPITAL	030	AMGN	S	600	113.13	n/a	n/a	18.00	3.0
WINSLOW CAPITAL	030	AMT	S	300	77.89	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	AMZN	S	200	386.42	n/a	n/a	6.00	3.0
f LBP ENTERPRISES INC	FID	ANF	S	500	35.52	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	ARMH	S	900	49.42	n/a	n/a	27.00	3.0
SYMPHONY ASSET	033	ATVI	B	9,710	17.12	n/a	n/a	291.30	3.0
ROSEDALE CAPITAL	046	AXL	B	10,000	19.81	n/a	3-Dec	400.00	4.0
ROSEDALE CAPITAL	046	AXL	S	10,000	20.09	n/a	3-Dec	400.00	4.0
WINSLOW CAPITAL	030	AXP	S	400	84.76	15-Nov	4-Dec	12.00	3.0
CADIAN CAPITAL	041	AZO	C	1,900	456.79	n/a	n/a	57.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	070	BAC	B	10,000	15.58	n/a	19-Nov	500.00	5.0
INTERVAL PARTNERS	033	BBY	S	10,000	42.80	n/a	n/a	300.00	3.0
KINGDON ASSET MGMT	041	BBY	S	38,000	41.91	n/a	n/a	1,520.00	4.0
WINSLOW CAPITAL	030	BIDU	S	300	167.23	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	BIIB	S	300	287.94	n/a	n/a	9.00	3.0
JET CAPITAL/CHRIS	041	BKH	B	25,000	50.81	n/a	n/a	750.00	3.0
WINSLOW CAPITAL	030	BLK	S	200	297.19	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	BMY	S	800	51.14	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	BWA	S	400	104.90	n/a	3-Dec	12.00	3.0
CADIAN CAPITAL	041	CAKE	C	11,000	47.71	n/a	n/a	330.00	3.0
WINSLOW CAPITAL	030	CBS	S	800	58.67	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	CELG	S	800	160.08	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	CERN	S	800	56.59	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	CMG	S	100	519.20	n/a	n/a	3.00	3.0
J. GOLDMAN	028	CMI	C	10,415	129.07	n/a	12-Nov	416.60	4.0
CADIAN CAPITAL	041	COH	SS	9,000	55.99	n/a	n/a	270.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CONN	S	60,000	58.79	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	COST	S	300	123.64	n/a	n/a	9.00	3.0
B BUCK CAPITAL MGMT		CRMB	S	25,000	0.82	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	CRM	S	1,400	52.29	n/a	n/a	42.00	3.0
WINSLOW CAPITAL	030	CTRX	S	1,100	44.42	n/a	n/a	33.00	3.0
WINSLOW CAPITAL	030	CTSH	S	700	93.78	n/a	n/a	21.00	3.0
f CICYLY S BACKUS	FID	CVGI	S	4900	7.37	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	CVS	S	600	66.23	n/a	n/a	18.00	3.0
Õ Jack Chernus		C	B	300	51.70	n/a	19-Nov	0.00	0.0
Õ Jack Chernus		C	B	400	51.65	n/a	19-Nov	0.00	0.0
Õ Jack Chernus		C	B	400	51.65	n/a	19-Nov	0.00	0.0
Õ Jack Chernus		C	B	400	51.65	n/a	19-Nov	0.00	0.0
Õ Jack Chernus		C	B	500	51.70	n/a	19-Nov	0.00	0.0
TUDOR INVESTORS	028	DAL	B	5,000	27.75	3-Dec	3-Dec	150.00	3.0
WINSLOW CAPITAL	030	DAL	S	900	27.67	3-Dec	3-Dec	27.00	3.0
HERRING CREEK CAPITAL	040	DDS	SS	8,315	91.19	15-Nov	15-Nov	249.45	3.0
WINSLOW CAPITAL	030	DG	S	1,000	56.31	n/a	2-Dec	30.00	3.0
WINSLOW CAPITAL	030	DHR	S	1,500	73.81	n/a	n/a	45.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	DIS	S	700	70.25	n/a	n/a	21.00	3.0
WINSLOW CAPITAL	030	EBAY	S	1,300	51.23	n/a	n/a	39.00	3.0
WINSLOW CAPITAL	030	ECL	S	500	103.75	n/a	n/a	15.00	3.0
WINSLOW CAPITAL	030	EL	S	600	73.45	18-Nov	4-Dec	18.00	3.0
HERRING CREEK CAPITAL	040	ETN	B	2,382	70.76	n/a	6-Nov	71.46	3.0
B BUCK CAPITAL MGMT		EXPR 1 C25	C	1,000	0.08	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		EXPR	B	20,000	20.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		EXPR	S	100,000	19.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		EXPR	S	121,800	19.02	n/a	n/a	non-brg	4.0
J. GOLDMAN	028	EXPR	S	40,000	19.04	n/a	n/a	1,600.00	4.0
SIMMONS VENTURES	041	EXPR	B	7,500	18.93	n/a	n/a	375.00	5.0
f LARA HUNT SMITH	FID	FB	S	15	21.32	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FB	S	10	21.31	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FB	S	50	21.24	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	FB	S	1,200	47.91	n/a	n/a	36.00	3.0
f MICHAEL MARRANO	FID	FEMKX	B	121	23.67	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FHIGX	B	35	12.70	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	031	FL	S	15,700	38.93	25-Nov	4-Dec	628.00	4.0
SIMMONS VENTURES	041	FNP	B	5,000	33.07	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	FOXA	S	2,000	33.05	n/a	n/a	60.00	3.0
f MICHAEL MARRANO	FID	FSTFX	S	55	10.68	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	006	F	S	7,000	16.65	n/a	4-Dec	280.00	4.0
HARVEST MGMT	029	F	SS	20,000	16.58	n/a	4-Dec	800.00	4.0
CHART WELL ADV	028	GES	S	70,625	33.09	n/a	2-Dec	2,825.00	4.0
AH LISANTI	006	GIII	B	7,295	64.16	n/a	4-Dec	364.75	5.0
B BUCK CAPITAL MGMT		GIII	S	15,000	64.44	n/a	4-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		GIII	S	25,000	64.80	n/a	4-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		GIII	S	5,000	64.38	n/a	4-Dec	non-brg	1.0
WINSLOW CAPITAL	030	GILD	S	1,000	72.64	n/a	n/a	30.00	3.0
BTG PACTUAL	040	GMCR	B	10,000	69.14	19-Nov[i]	4-Dec	300.00	3.0
BROADARCH CAP/OLD NEWC	006	GM	B	3,000	38.98	n/a	3-Dec	120.00	4.0
DELTEC ASSET MGMT.	040	GM	B	20,000	38.97	n/a	3-Dec	1,000.00	5.0
HARVEST MGMT	029	GM	B	10,000	38.75	n/a	3-Dec	400.00	4.0
WINSLOW CAPITAL	030	GOOG	S	2001,060	22	n/a	n/a	6.00	3.0
STELLIAM INV ADV	086	GT	B	30,000	21.57	n/a	n/a	1,200.00	4.0
CORNERSTONE	030	HOLX	S	7,900	22.49	n/a	n/a	237.00	3.0
SAC CHRIS C	041	HRC	B	20,000	40.60	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROVIDENCE EQUITY CAPITAL	040	HRG	S	104,500	11.77	n/a	n/a	3,135.00	3.0
BRANDWINE	028	HTZ	S	86,300	24.27	n/a	n/a	3,452.00	4.0
BADGE CAPITAL	030	IP	S	900	46.09	n/a	21-Nov	45.00	5.0
f FRANCIS MICHAEL MCCA	FID	JPM	S	200	56.91	n/a	19-Nov	0.00	0.0
SYMPHONY ASSET	033	KSS	C	5,960	54.70	n/a	2-Dec	178.80	3.0
WINSLOW CAPITAL	030	LBTYA	S	600	84.23	n/a	n/a	18.00	3.0
NEW VERNON/SF INVESTMENTS	031	LEA	B	25,000	82.12	n/a	19-Nov	1,250.00	5.0
STELLIAM INV ADV	086	LEN	B	10,000	34.30	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	LNKD	S	100	218.43	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	LOW	S	900	46.95	n/a	n/a	27.00	3.0
SCOPUS FUND	041	LPX	SS	38,477	15.88	n/a	4-Dec	1,539.08	4.0
TIDE POINT CAPITAL	028	LPX	SS	25,000	15.67	n/a	4-Dec	750.00	3.0
WINSLOW CAPITAL	030	MA	S	300	747.91	n/a	3-Dec	9.00	3.0
CADIAN CAPITAL	041	MCD	C	15,000	95.84	n/a	4-Dec	450.00	3.0
WHITE PINE CAPITAL	030	MEI	S	800	26.38	n/a	n/a	40.00	5.0
WINSLOW CAPITAL	030	MON	S	1,100	112.36	n/a	n/a	33.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	MS	S	2,000	31.18	n/a	15-Nov	60.00	3.0
KINGDON ASSET MGMT	041	M	S	25,000	52.11	14-Nov	2-Dec	1,000.00	4.0
J. GOLDMAN	028	NAV	S	35,500	39.91	n/a	4-Dec	1,420.00	4.0
WINSLOW CAPITAL	030	NBL	S	600	70.21	n/a	n/a	18.00	3.0
WINSLOW CAPITAL	030	NKE	S	700	78.90	n/a	4-Dec	21.00	3.0
CONIFER	025	NNA	B	31,000	3.92	n/a	n/a	930.00	3.0
WINSLOW CAPITAL	030	NXPI	S	900	43.56	n/a	n/a	27.00	3.0
f MICHAEL MARRANO	FID	OIBYX	S	180	6.05	n/a	n/a	0.00	0.0
SCOPUS FUND	041	PCAR	SS	25,000	55.69	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	PCLN	S	2001,174	01	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	PCP	S	300	254.45	8-Nov	n/a	9.00	3.0
COLUMBUS CIRCLE	036	PVTB	B	5,369	27.35	n/a	n/a	214.76	4.0
WINSLOW CAPITAL	030	QCOM	S	700	73.47	n/a	n/a	21.00	3.0
LIONEYE CAPITAL	040	QEP	B	20,000	31.98	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		RH	S	25,000	73.40	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	ROST	S	21,000	72.33	n/a	22-Nov	630.00	3.0
WINSLOW CAPITAL	030	ROST	S	400	71.92	n/a	22-Nov	12.00	3.0
WINSLOW CAPITAL	030	RRC	S	500	75.74	n/a	n/a	15.00	3.0
WINSLOW CAPITAL	030	SBAC	S	300	85.37	n/a	n/a	9.00	3.0
CADIAN CAPITAL	041	SBUX	SS	4,000	80.06	n/a	4-Dec	120.00	3.0
WINSLOW CAPITAL	030	SBUX	S	1,100	80.27	n/a	4-Dec	33.00	3.0
WINSLOW CAPITAL	030	SCHW	S	1,200	24.76	n/a	n/a	36.00	3.0
INTERVAL PARTNERS	033	SHOO	SS	7,500	37.44	n/a	n/a	225.00	3.0
f MICHAEL MARRANO	FID	SMAIX	B	93	4.82	n/a	n/a	0.00	0.0
BTG PACTUAL	040	SONC	B	20,000	20.74	3-Dec[i]	4-Dec	600.00	3.0
J. GOLDMAN	028	SONC	S	30,000	20.48	3-Dec[i]	4-Dec	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SONC	B	43,181	20.47	3-Dec[i]	4-Dec	1,295.43	3.0
LOMBARDIA CAP MGMT	084	TER	B	153,574	16.93	n/a	n/a	6,142.96	4.0
EVERGREEN	047	TIBX	S	61,400	24.06	n/a	n/a	2,456.00	4.0
EPOCH INV MGMT	030	TITN	S	22,281	16.75	n/a	n/a	668.43	3.0
f MICHAEL MARRANO	FID	TPINX	B	160	13.03	n/a	n/a	0.00	0.0
STELLIAM INV ADV	086	TWTR	SS	25,000	43.35	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	TYC	S	18,255	37.55	14-Nov	15-Nov	912.75	5.0
J. GOLDMAN	028	UAL	B	15,000	37.32	20-Nov	27-Nov	600.00	4.0
WINSLOW CAPITAL	030	ULTA	S	700	122.98	n/a	n/a	21.00	3.0
WINSLOW CAPITAL	030	UNP	S	200	161.91	2-Dec	2-Dec	6.00	3.0
WINSLOW CAPITAL	030	UTX	S	400	109.08	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	V	S	900	202.05	n/a	3-Dec	27.00	3.0
LEVIN CAPITAL STRATEGIES	041	WFC	C	20,000	44.06	n/a	15-Nov	600.00	3.0
WINSLOW CAPITAL	030	WFM	S	400	56.04	n/a	n/a	12.00	3.0
SYMPHONY ASSET	033	WHR	B	870	149.79	n/a	n/a	26.10	3.0
J. GOLDMAN	028	WMT	SS	100,000	80.19	15-Nov	2-Dec	4,000.00	4.0
WINSLOW CAPITAL	030	WYNN	S	200	166.54	n/a	n/a	6.00	3.0
CAERUS GLOBAL	041	WY	B	25,000	29.19	n/a	4-Dec	1,000.00	4.0
JET CAPITAL/CHRIS	041	XLU	SS	23,750	38.05	n/a	n/a	712.50	3.0
CADIAN CAPITAL	041	YHOO	B	50,000	37.39	n/a	n/a	1,500.00	3.0
CADIAN CAPITAL	041	YHOO	S	100,000	38.04	n/a	n/a	3,000.00	3.0
WINSLOW CAPITAL	030	ZTS	S	1,500	31.22	n/a	n/a	45.00	3.0

TOTAL (Trade Date):

62,543.45

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/02	TIEDEMANN/TIG ADVISORS LLC	006	BRP	S	10,000	21.66	n/a	n/a	500.00 0.0
AO,CXL	12/02	TIEDEMANN/TIG ADVISORS LLC	006	BRP	S	10,000	21.66	n/a	n/a	500.00 0.0
AO,CRT	12/02	TIEDEMANN/TIG ADVISORS LLC	006	QLTY	S	14,416	12.34	n/a	n/a	720.80 0.0
AO,CXL	12/02	TIEDEMANN/TIG ADVISORS LLC	006	QLTY	S	14,416	12.34	n/a	n/a	720.80 0.0
AO,CRT	12/03	TIEDEMANN/TIG ADVISORS LLC	006	QLTY	S	10,000	12.52	n/a	n/a	300.00 0.0
AO,CXL	12/03	TIEDEMANN/TIG ADVISORS LLC	006	QLTY	S	10,000	12.52	n/a	n/a	30.00 0.0

TOTAL (AO, CXL, CRT) :	270.00
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TOTAL (Trade Date) :	62,543.45
TOTAL (AO, CXL, CRT) :	270.00

TOTAL (RUN DATE) / NFS :	62,813.45
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 4-Dec.
NONE

MRI Securities without Trade Activity on 4-Dec.
RJF

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)