



Daily Compliance Activity Report

Trade Date: 05/22/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	S	1,000	440.65	n/a	n/a	30.00	0.0
WINSLOW CAPITAL	030	ABT	S	1,500	38.00	n/a	n/a	45.00	0.0
ADAGE CAPITAL MGMT	030	AEO	B	220,000	20.70	n/a	2-Dec	6,600.00	0.0
WINSLOW CAPITAL	030	ALXN	S	1,700	99.70	n/a	n/a	51.00	0.0
WINSLOW CAPITAL	030	AMGN	S	4,050	104.44	n/a	n/a	121.50	0.0
WINSLOW CAPITAL	030	AMT	S	950	82.00	n/a	n/a	28.50	0.0
WINSLOW CAPITAL	030	AMZN	S	650	261.52	n/a	n/a	19.50	0.0
BRONSON POINT	036	AVP	S	100,000	23.98	n/a	21-May	3,000.00	0.0
GEORGE WEISS	278	AXL	B	25,000	16.76	n/a	20-May	1,000.00	0.0
WINSLOW CAPITAL	030	BBY	S	2,300	25.52	n/a	n/a	69.00	0.0
WINSLOW CAPITAL	030	BEN	S	1,000	163.65	n/a	2-Mar	30.00	0.0
WINSLOW CAPITAL	030	BIIB	S	3,350	231.93	n/a	n/a	100.50	0.0
WINSLOW CAPITAL	030	BLK	S	400	285.20	n/a	n/a	12.00	0.0
COLUMBUS CIRCLE	036	BRO	B	8,400	32.70	n/a	n/a	336.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	BWA	S	700	82.57	n/a	20-May	21.00	0.0
WINSLOW CAPITAL	030	CBS	S	1,400	51.30	n/a	n/a	42.00	0.0
SANDLER CAPITAL	028	CCI	S	75,000	76.00	n/a	n/a	3,750.00	0.0
BASSWOOD PARTNERS	267	CCL	S	43,000	33.04	n/a	n/a	1,720.00	0.0
WINSLOW CAPITAL	030	CELG	S	850	123.32	n/a	n/a	25.50	0.0
WINSLOW CAPITAL	030	CERN	S	3,100	95.93	n/a	n/a	93.00	0.0
WINSLOW CAPITAL	030	COG	S	2,550	70.40	n/a	20-May	76.50	0.0
WINSLOW CAPITAL	030	COST	S	650	113.63	n/a	n/a	19.50	0.0
WINSLOW CAPITAL	030	CRM	S	5,800	45.81	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	CTSH	S	1,400	65.01	n/a	n/a	42.00	0.0
WINSLOW CAPITAL	030	CVS	S	2,100	58.85	n/a	n/a	63.00	0.0
WINSLOW CAPITAL	030	DAL	S	3,200	18.22	n/a	20-May	96.00	0.0
HALCYON LLC	041	DFS	S	50,000	47.96	n/a	16-May	1,500.00	0.0
WINSLOW CAPITAL	030	DG	S	2,100	53.98	n/a	26-Mar	63.00	0.0
WINSLOW CAPITAL	030	DHR	S	3,050	62.74	n/a	n/a	91.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	DIS	S	2,050	65.64	n/a	n/a	61.50	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	B	25,000	52.74	n/a	22-May	750.00	0.0
HIGHFIELDS CAP MGMT	030	DLTR	S	67,400	49.50	n/a	14-May	2,696.00	0.0
WINSLOW CAPITAL	030	EBAY	S	2,200	54.53	n/a	n/a	66.00	0.0
WINSLOW CAPITAL	030	ECL	S	2,700	87.40	n/a	18-Jan	81.00	0.0
WINSLOW CAPITAL	030	EL	S	700	70.35	n/a	21-May	21.00	0.0
WINSLOW CAPITAL	030	EQIX	S	750	217.88	n/a	n/a	22.50	0.0
WINSLOW CAPITAL	030	ESRX	S	1,000	62.61	n/a	n/a	30.00	0.0
WINSLOW CAPITAL	030	FDX	S	6,450	99.52	n/a	n/a	193.50	0.0
S.A.C. CAPITAL	044	FL	S	20,000	36.31	n/a	22-May	600.00	0.0
KINGDON ASSET MGMT	041	FNP	S	20,000	22.80	n/a	n/a	800.00	0.0
MOORE CAPITAL	257	FNP	B	43,725	22.79	n/a	n/a	1,311.75	0.0
WINSLOW CAPITAL	030	FTI	S	800	57.45	n/a	n/a	24.00	0.0
PARAMETER CAPITAL MGMT LLC	044	GBX	S	6,876	24.21	n/a	n/a	206.28	0.0
J. GOLDMAN	028	GE	B	104,000	24.04	n/a	n/a	4,160.00	0.0
WINSLOW CAPITAL	030	GILD	S	3,450	55.94	n/a	n/a	103.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			GME	B	23,074	36.05	n/a	n/a	692.22 0.0
WINSLOW CAPITAL	030	GOOG	S	200	891.68	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	GSK	S	1,100	53.06	n/a	n/a	33.00	0.0
WINSLOW CAPITAL	030	HD	S	1,700	79.98	n/a	n/a	51.00	0.0
WINSLOW CAPITAL	030	IBM	S	400	206.90	n/a	n/a	12.00	0.0
WINSLOW CAPITAL	030	ISRG	S	200	470.64	n/a	n/a	6.00	0.0
J. GOLDMAN	028	JCI	SS	50,000	37.58	n/a	6-May	2,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		JCP	SS	75,000	19.11	n/a	22-May	2,250.00	0.0
PARKWEST	084	JCP	B	75,000	19.17	n/a	22-May	3,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	25,000	18.90	n/a	22-May	750.00	0.0
CAPITAL RESEARCH GROUP		296	KSS	S	140,470	52.13	n/a 22-May	4,916.45	0.0
PAR CAPITAL	268	LCC	SS	76,000	18.37	n/a	20-May	3,040.00	0.0
WINSLOW CAPITAL	030	LEN	S	1,300	42.04	n/a	n/a	39.00	0.0
MACELLUM CAPITAL	086	LOW	B	150,000	43.06	n/a	n/a	4,500.00	0.0
WINSLOW CAPITAL	030	LULU	S	900	78.59	n/a	22-May	27.00	0.0
WINSLOW CAPITAL	030	LVS	S	800	58.65	n/a	13-Jun	24.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOMAS CAPITAL	040	LYB	B	21,500	66.57	n/a	n/a	645.00	0.0
WINSLOW CAPITAL	030	MA	S	200	576.76	n/a	2-May	6.00	0.0
WINSLOW CAPITAL	030	MON	S	1,950	104.14	n/a	n/a	58.50	0.0
AVENUE CAPITAL MGMT	070	MTOR	B	250,000	7.03	n/a	n/a	7,500.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	MWV	B	10,000	34.81		n/a 16-May	200.00	0.0
SCOPUS FUND	041	M	SS	25,000	49.02	n/a	21-May	1,000.00	0.0
WINSLOW CAPITAL	030	NBL	S	500	118.05	n/a	n/a	15.00	0.0
WADDELL AND REED	047	NTAP	B	343,350	37.83	n/a	n/a	13,734.00	0.0
WINSLOW CAPITAL	030	NWSA	S	2,700	33.22	n/a	n/a	81.00	0.0
WINSLOW CAPITAL	030	NXPI	S	2,500	29.29	n/a	n/a	75.00	0.0
WINSLOW CAPITAL	030	ORCL	S	3,600	34.13	n/a	n/a	108.00	0.0
WINSLOW CAPITAL	030	PCLN	S	200	799.10	n/a	n/a	6.00	0.0
WINSLOW CAPITAL	030	PCP	S	2,550	212.17	n/a	14-May	76.50	0.0
WINSLOW CAPITAL	030	PXD	S	300	143.54	n/a	20-May	9.00	0.0
WINSLOW CAPITAL	030	QCOM	S	1,950	65.19	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	RDSA	B	10,000	67.84	n/a	n/a	500.00	0.0
CORNERSTONE	030	RL	S	35,436	189.12	n/a	22-Apr	1,063.08	0.0
WINSLOW CAPITAL	030	RL	S	7,650	189.57	n/a	22-Apr	229.50	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	770	2.35	n/a	n/a	23.10	0.0
WINSLOW CAPITAL	030	ROST	S	750	65.14	n/a	10-May	22.50	0.0
SANDLER CAPITAL	028	SBAC	S	75,000	79.80	n/a	n/a	3,000.00	0.0
T. ROWE PRICE	243	SBAC	B	27,500	78.56	n/a	n/a	1,100.00	0.0
WINSLOW CAPITAL	030	SBAC	S	900	78.26	n/a	n/a	27.00	0.0
WINSLOW CAPITAL	030	SBUX	S	2,050	64.29	n/a	26-Apr	61.50	0.0
ADAGE CAPITAL MGMT	030	SKS	B	200,000	15.53	n/a	n/a	6,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	100,000	15.48	n/a	n/a	3,000.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	STKL	S	20,000	7.50	n/a	n/a	400.00	0.0
CAPITAL WORLD	084	TEL	S	164,100	46.23	n/a	n/a	5,743.50	0.0
BRONSON POINT	036	TEX	S	25,000	34.75	n/a	n/a	750.00	0.0
ROTHSCHILD ASSET	040	TEX	B	4,043	34.17	n/a	n/a	161.72	0.0
GLENVEIW CAPITAL	036	TGT	S	34,100	69.10	n/a	22-May	1,364.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	TGT	SS	30,000	69.30	n/a	22-May	900.00	0.0
OZ MGMT	040	TGT	C	75,000	69.08	n/a	22-May	2,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ULTA	S	650	94.68	n/a	n/a	19.50	0.0
WINSLOW CAPITAL	030	UNH	S	2,100	62.14	n/a	n/a	63.00	0.0
WINSLOW CAPITAL	030	UNP	S	3,350	158.15	n/a	n/a	100.50	0.0
WINSLOW CAPITAL	030	UTX	S	1,000	96.54	n/a	n/a	30.00	0.0
WINSLOW CAPITAL	030	VLO	S	3,750	40.20	n/a	n/a	112.50	0.0
WINSLOW CAPITAL	030	V	S	900	180.73	n/a	14-May	27.00	0.0
BRONSON POINT	036	WAG	S	50,000	50.68	n/a	n/a	1,500.00	0.0
MERRILL ASSET/BLACKROCK	085	WAL	S	12,700	14.91	n/a	n/a	508.00	0.0
RIDGECREST INV MGMT LLC	028	WBC	S	6,000	76.36	n/a	2-May	240.00	0.0
PRIMECAP MGMT	084	WFC	B	10,000	40.30	n/a	6-May	400.00	0.0
WINSLOW CAPITAL	030	WFC	S	3,600	40.06	n/a	6-May	108.00	0.0
WINSLOW CAPITAL	030	WFM	S	950	103.15	n/a	n/a	28.50	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WLP	S	14,671	78.45	n/a	n/a	440.13	0.0
MERRILL ASSET/BLACKROCK	085	WSH	S	20,300	40.33	n/a	n/a	812.00	0.0
WINSLOW CAPITAL	030	YUM	S	400	69.80	n/a	22-May	12.00	0.0

TOTAL (Trade Date):

106,030.73

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/21	PECONIC PARTNERS (PECODB)	036	CAVM	S	100,000	33.25	n/a	n/a	4000.00 0.0
AO,	05/21	PECONIC PARTNERS (PECOMORGAN)	036	CAVM	S	88,000	33.25	n/a	n/a	4400.00 0.0
AO,	05/21	PECONIC PARTNERS (PECOCITIGR)	036	CAVM	S	12,000	33.25	n/a	n/a	600.00 0.0
AO,CXL	05/20	PARKWEST (PARWGSBULK)	084	JCP	B	100,000	18.65	n/a	22-May	3000.00 0.0
AO,CRT	05/20	PARKWEST (PARWGSBULK)	084	JCP	B	100,000	18.65	n/a	22-May	4000.00 4.0
AO,CXL	05/21	PECONIC PARTNERS (PECODB)	036	NXPI	B	100,000	30.09	n/a	n/a	4000.00 0.0
AO,	05/21	PECONIC PARTNERS (PECOMORGAN)	036	NXPI	B	87,800	30.09	n/a	n/a	4390.00 0.0
AO,	05/21	PECONIC PARTNERS (PECOCITIGR)	036	NXPI	B	12,200	30.09	n/a	n/a	610.00 0.0
TOTAL (AO, CXL, CRT) :										3,000.00
TOTAL (Trade Date) :										106,030.73
TOTAL (AO, CXL, CRT) :										3,000.00
TOTAL (RUN DATE) / NFS :										109,030.73

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