



Daily Compliance Activity Report

Trade Date: 04/10/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	S	100	433.94	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	ABT	S	500	36.98	n/a	n/a	15.00	3.0
CAISSE DEPOT PLACEMENT Q	257	ADTN	SS	55,000	22.65	n/a	n/a	1,650.00	3.0
TUDOR INVESTORS	028	ADT	B	5,000	44.27	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	AGN	S	100	114.51	n/a	8-Apr	3.00	3.0
WINSLOW CAPITAL	030	ALXN	S	100	100.37	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	AMGN	S	200	107.19	n/a	n/a	6.00	3.0
ROSEDALE CAPITAL	046	APA	B	10,000	75.56	n/a	8-Apr	500.00	5.0
SANDLER CAPITAL	028	APH	S	110,900	73.30	n/a	n/a	5,545.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	2,500	15.60		n/a n/a	75.00	3.0
CRAMER ROSENTHAL	070	ARG	B	650	97.30	n/a	n/a	26.00	0.0
CAISSE DEPOT PLACEMENT Q	257	AWAY	SS	10,000	32.48	n/a	n/a	300.00	3.0
PROVIDENCE EQUITY CAP. MKTS.	040	BCC	B	6,015	31.64	n/a	n/a	180.45	3.0
WINSLOW CAPITAL	030	BEN	S	100	155.26	n/a	2-Mar	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	BIIB	S	100	197.73	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	BLK	S	200	258.44	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	BWA	S	200	74.08	n/a	1-Apr	6.00	3.0
CAERUS GLOBAL	041	BYI	SS	10,000	49.99	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	CBS	S	200	46.26	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CELG	S	100	119.70	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	CERN	S	200	94.88	n/a	n/a	6.00	3.0
COLUMBUS CIRCLE	036	CLGX	S	11,439	24.49	n/a	n/a	457.56	0.0
PRIMECAP MGMT	084	CME	B	3,000	60.17	n/a	28-Apr	120.00	0.0
WINSLOW CAPITAL	030	COG	S	100	70.00	n/a	8-Apr	3.00	3.0
WINSLOW CAPITAL	030	COST	S	100	106.37	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	COV	S	200	67.93	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CRM	S	200	168.30	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CVS	S	200	56.71	n/a	n/a	6.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CXW	S	17,500	40.74		n/a n/a	700.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	DAL	B	40,000	15.11	n/a	8-Apr	1,200.00	3.0
P.SCHOENFELD ASSET MGMT LLC041		DELL	B	100,000	14.25	n/a	n/a	4,000.00	0.0
WINSLOW CAPITAL	030	DHR	S	400	61.38	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	EBAY	S	900	57.39	n/a	n/a	27.00	3.0
KLEINHEINZ CAP PART	031	EOG	B	25,000	129.65	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	ESRX	S	100	58.32	n/a	n/a	3.00	3.0
ROARING BLUE LION MGMT	031	EXPR	B	2,760	18.39	n/a	n/a	110.40	4.0
ADAGE CAPITAL MGMT	030	FDO	S	137,066	59.00	n/a	10-Apr	4,111.98	3.0
TUDOR INVESTORS	028	FDX	S	5,000	97.28	n/a	n/a	150.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	109,275	19.17	n/a	10-Apr	3,278.25	0.0
WINSLOW CAPITAL	030	FLR	S	300	62.18	n/a	n/a	9.00	3.0
CRAMER ROSENTHAL	070	FMC	B	1,600	57.64	n/a	8-Dec	64.00	0.0
CAERUS GLOBAL	041	FNP	S	16,091	21.17	n/a	n/a	643.64	4.0
BARON ASSET MGMT*	085	FOR	B	15,000	22.30	n/a	26-Mar	600.00	0.0
DSG CAPITAL	030	FOR	B	2,600	21.88	n/a	26-Mar	78.00	3.0
WINSLOW CAPITAL	030	FTI	S	100	55.02	n/a	n/a	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
HOLLIS CAPITAL	033	GILD	B	5,000	49.75	n/a	n/a	250.00	5.0	
TROUBH PART	070	GM	B	25,000	27.98	n/a	8-Apr	1,250.00	5.0	
WINSLOW CAPITAL	030	GOOG	S	300	787.96	n/a	n/a	9.00	3.0	
WINSLOW CAPITAL	030	GWV	S	100	226.67	n/a	12-Mar	3.00	3.0	
LOMBARDIA CAP MGMT	084	HAR	B	19,717	43.94	n/a	3-Feb	788.68	0.0	
MERRILL ASSET/BLACKROCK	297	HBHC	S	17,616	29.37	n/a	n/a	704.64	0.0	
CAMBIAR CAP	046	HBI	S	190,370	49.06	n/a	5-Apr	7,614.80	0.0	
WINSLOW CAPITAL	030	HD	S	100	71.46	n/a	n/a	3.00	3.0	
WINSLOW CAPITAL	030	ISRG	S	100	497.43	n/a	n/a	3.00	3.0	
LOMBARDIA CAP MGMT	084	LHO	B	33,739	26.65	n/a	n/a	1,349.56	0.0	
SIGMA CAPITAL ASSOCIATES	041	LOW	S	25,000	38.81	n/a	n/a	750.00	3.0	
WINSLOW CAPITAL	030	LVS	S	100	55.48	n/a	13-Jun	3.00	3.0	
WINSLOW CAPITAL	030	MON	S	300	105.48	n/a	n/a	9.00	3.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	S	17,212	3.19		n/a	n/a	344.24	2.0
CAISSE DEPOT PLACEMENT Q	257	MSFT	S	35,000	30.11	n/a	n/a	1,050.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL	070	MWV	S	1,750	36.45	n/a	26-Mar	70.00	0.0
WINSLOW CAPITAL	030	NXPI	S	300	30.12	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	PCLN	S	200	712.73	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	PCP	S	100	187.32	n/a	5-Apr	3.00	3.0
LEVIN CAPITAL STRATEGIES	041	PFE	S	23,560	29.72	n/a	n/a	706.80	0.0
ROARING BLUE LION MGMT	031	PLCE	B	3,940	47.10	n/a	26-Mar	157.60	4.0
DELTEC ASSET MGMT.	040	PVH	B	1,300	107.46	n/a	1-Apr	65.00	5.0
WINSLOW CAPITAL	030	QCOM	S	200	67.09	n/a	n/a	6.00	3.0
COLUMBUS CIRCLE	036	QLIK	B	3,500	26.54	n/a	n/a	140.00	0.0
BTG PACTUAL	040	RDC	S	15,000	33.87	n/a	n/a	450.00	3.0
ELM RIDGE ADVISORS	044	RF	S	25,000	8.22	n/a	n/a	1,000.00	0.0
WINSLOW CAPITAL	030	RL	S	100	172.84	n/a	21-Feb	3.00	3.0
WINSLOW CAPITAL	030	ROST	S	200	60.10	n/a	8-Apr	6.00	3.0
WINSLOW CAPITAL	030	RRC	S	100	80.27	n/a	8-Apr	3.00	3.0
BTG PACTUAL	040	RT	S	20,200	8.09	n/a	n/a	606.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
WINSLOW CAPITAL	030	SBUX	S	200	58.05	n/a	8-Apr	6.00	3.0	
HARVEST MGMT (JMP)	029	SSI	S	5,000	27.19	n/a	8-Apr	200.00	4.0	
CAISSE DEPOT PLACEMENT Q	257	SWI	B	9,900	53.99	n/a	n/a	495.00	5.0	
HALCYON LLC	041	S	B	150,000	6.27	n/a	n/a	3,000.00	2.0	
IRIDIAN ASSET MGMT.	036	TEN	S	86,476	37.40	n/a	n/a	4,323.80	0.0	
LOMBARDIA CAP MGMT	084	THO	B	17,898	36.73	n/a	n/a	715.92	0.0	
HARVEST MGMT (JMP)	029	TJX	S	10,000	47.76	n/a	8-Apr	400.00	4.0	
LEVIN CAPITAL STRATEGIES	041	TMO	C	7,000	81.36	n/a	n/a	210.00	0.0	
ROARING BLUE LION MGMT	031	TRLG	B	15,320	26.57	n/a	n/a	612.80	4.0	
CRAMER ROSENTHAL	070	TSS	B	2,500	24.79	n/a	n/a	100.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	TWTC	S	5,100	26.67		n/a	n/a	153.00	3.0
HOPLITE MGMT	025	ULTA	S	46,600	84.35	n/a	n/a	1,864.00	0.0	
LOMAS CAPITAL	040	ULTA	B	47,000	84.35	n/a	n/a	1,410.00	0.0	
WINSLOW CAPITAL	030	ULTA	S	200	85.86	n/a	n/a	6.00	3.0	
WINSLOW CAPITAL	030	UNH	S	400	62.31	n/a	n/a	12.00	3.0	
WINSLOW CAPITAL	030	UNP	S	300	140.85	n/a	n/a	9.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	UTX	S	200	95.43	n/a	n/a	6.00	3.0
Õ Jack Chernus		VNTV	B	1500	23.0900	n/a	9-Apr	0.00	0.0
Õ Jack Chernus		VNTV	B	500	23.0900	n/a	9-Apr	0.00	0.0
Õ Jack Chernus		VNTV	B	500	23.0900	n/a	9-Apr	0.00	0.0
Õ Jack Chernus		VNTV	B	500	23.0900	n/a	9-Apr	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	VZ	C	10,000	49.85	n/a	n/a	300.00	0.0
WINSLOW CAPITAL	030	V	S	400	166.58	n/a	9-Apr	12.00	3.0
CAPITAL WORLD	084	WFC	B	350,000	37.68	n/a	5-Apr	12,250.00	0.0
ADAGE CAPITAL MGMT	030	WMT	S	180,000	77.86	n/a	22-Feb	5,400.00	3.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	68,785	77.77	n/a	22-Feb	2,063.55	3.0
PERRY PARTNERS	085	XLE	SS	37,000	78.91	n/a	n/a	1,850.00	5.0
PERRY PARTNERS	085	XOP	SS	49,000	60.20	n/a	n/a	2,450.00	5.0
TUDOR INVESTORS	028	X	S	10,000	17.87	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	YUM	S	200	67.60	n/a	8-Apr	6.00	3.0
TOTAL (Trade Date):								81,249.67	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/09	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	BBRY	S	100,000	14.67	n/a	n/a	5000.00 0.0
TOTAL (AO, CXL, CRT) :										5,000.00

TOTAL (Trade Date):	81,249.67
TOTAL (AO, CXL, CRT):	5,000.00
TOTAL (RUN DATE) / NFS:	86,249.67

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