



# Daily Compliance Activity Report

Trade Date: 12/27/2013

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	S	200	560.37	n/a	n/a	6.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		AA	B	200,000	10.54	n/a	n/a	6,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		AGO	B	3,490	23.42	n/a	n/a	104.70	0.0
STRONG/MARK GRONET	030	AIRM	S	5,000	58.70	n/a	n/a	200.00	0.0
STRONG/MARK GRONET	030	AIT	B	5,000	49.66	n/a	n/a	200.00	0.0
WINSLOW CAPITAL	030	ALXN	S	2,700	132.06	n/a	n/a	81.00	0.0
WINSLOW CAPITAL	030	AMAT	S	13,600	17.40	n/a	n/a	408.00	0.0
WINSLOW CAPITAL	030	AMGN	S	4,400	115.00	n/a	n/a	132.00	0.0
WINSLOW CAPITAL	030	AMT	S	4,300	78.41	n/a	n/a	129.00	0.0
WINSLOW CAPITAL	030	AMZN	S	2,500	399.13	n/a	n/a	75.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		APO	S	3,300	31.02	n/a	n/a	99.00	0.0
WINSLOW CAPITAL	030	ARMH	S	6,900	54.83	n/a	n/a	207.00	0.0
WINSLOW CAPITAL	030	AXP	S	3,800	89.21	n/a	19-Jun	114.00	0.0
WINSLOW CAPITAL	030	BIDU	S	2,100	174.26	n/a	n/a	63.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	BIIB	S	2,000	277.52	n/a	n/a	60.00	0.0
BASSWOOD PARTNERS	267	BK	S	4,871	34.49	n/a	6-Jun	194.84	0.0
WINSLOW CAPITAL	030	BLK	S	1,600	316.36	n/a	n/a	48.00	0.0
WINSLOW CAPITAL	030	BMJ	S	4,400	53.21	n/a	n/a	132.00	0.0
WINSLOW CAPITAL	030	BWA	S	5,700	55.76	n/a	19-Jun	171.00	0.0
WINSLOW CAPITAL	030	CBS	S	5,600	63.02	n/a	n/a	168.00	0.0
WINSLOW CAPITAL	030	CELG	S	5,000	169.60	n/a	n/a	150.00	0.0
WINSLOW CAPITAL	030	CERN	S	5,400	55.45	n/a	n/a	162.00	0.0
BASSWOOD PARTNERS	267	CIT	S	3,695	51.66	n/a	13-Jun	147.80	0.0
WINSLOW CAPITAL	030	CMG	S	400	529.83	n/a	3-Jun	12.00	0.0
STRONG/MARK GRONET	030	CNTY	B	10,000	5.28	n/a	n/a	300.00	0.0
FOUNDRY PARTNERS LLC	030	COST	S	5,395	118.32	n/a	n/a	215.80	0.0
WINSLOW CAPITAL	030	COST	S	2,000	118.33	n/a	n/a	60.00	0.0
WINSLOW CAPITAL	030	CRM	S	12,200	54.41	n/a	n/a	366.00	0.0
SCOPUS FUND	041	CSX	S	100,000	28.29	n/a	n/a	4,000.00	0.0
WINSLOW CAPITAL	030	CTRX	S	4,500	47.97	n/a	n/a	135.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CTSH	S	3,400	99.20	n/a	n/a	102.00	0.0
WINSLOW CAPITAL	030	CVS	S	4,400	71.44	n/a	n/a	132.00	0.0
WINSLOW CAPITAL	030	DAL	S	6,600	27.09	n/a	18-Jun	198.00	0.0
WINSLOW CAPITAL	030	DG	S	7,200	60.31	n/a	4-Jun	216.00	0.0
WINSLOW CAPITAL	030	DHR	S	9,400	76.89	n/a	n/a	282.00	0.0
WINSLOW CAPITAL	030	DIS	S	4,100	74.33	n/a	n/a	123.00	0.0
FRONTFOUR CAPITAL	046	DOW	B	10,000	44.61	n/a	n/a	300.00	0.0
WINSLOW CAPITAL	030	ECL	S	2,800	104.52	n/a	18-Jan	84.00	0.0
WINSLOW CAPITAL	030	EL	S	3,800	74.19	n/a	17-Jun	114.00	0.0
WINSLOW CAPITAL	030	FB	S	7,900	56.78	n/a	n/a	237.00	0.0
WINSLOW CAPITAL	030	FOXA	S	15,300	34.96	n/a	n/a	459.00	0.0
WINSLOW CAPITAL	030	GILD	S	7,300	74.46	n/a	n/a	219.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	GMT	SS	4,000	52.27	n/a	n/a	120.00	0.0
FRONTFOUR CAPITAL	046	GM	B	5,000	40.97	n/a	19-Jun	150.00	0.0
ROSEDALE CAPITAL	046	GM	S	20,000	41.17	n/a	19-Jun	800.00	0.0
WINSLOW CAPITAL	030	GOOG	S	1,000	1,117.87	n/a	n/a	30.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	HLT	S	9,600	21.63	n/a	n/a	288.00	0.0
IRIDIAN ASSET MGMT.	036	HTZ	B	151,060	25.80	n/a	n/a	7,553.00	0.0
WINSLOW CAPITAL	030	JPM	S	4,800	58.17	n/a	17-Jun	144.00	0.0
WINSLOW CAPITAL	030	KSU	S	1,000	121.93	n/a	n/a	30.00	0.0
WINSLOW CAPITAL	030	LBTYA	S	3,800	88.28	n/a	n/a	114.00	0.0
SCOPUS FUND	041	LIN	B	24,000	28.08	n/a	n/a	960.00	0.0
WINSLOW CAPITAL	030	LNKD	S	900	217.35	n/a	n/a	27.00	0.0
WINSLOW CAPITAL	030	LOW	S	6,400	48.73	n/a	n/a	192.00	0.0
WINSLOW CAPITAL	030	MA	S	600	825.79	n/a	13-Jun	18.00	0.0
WINSLOW CAPITAL	030	MCK	S	1,000	160.35	n/a	n/a	30.00	0.0
WINSLOW CAPITAL	030	MON	S	7,200	115.18	n/a	n/a	216.00	0.0
WINSLOW CAPITAL	030	MS	S	12,200	31.03	n/a	6-Jun	366.00	0.0
WINSLOW CAPITAL	030	NBL	S	4,500	68.37	n/a	n/a	135.00	0.0
WINSLOW CAPITAL	030	NKE	S	5,200	78.06	n/a	19-Jun	156.00	0.0
WINSLOW CAPITAL	030	NOW	S	3,900	55.54	n/a	n/a	117.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
SCOPUS FUND	041	NXST	S	11,600	55.72	n/a	n/a	464.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL	040	OCN	SS	1,700	55.53	n/a	n/a	51.00	0.0	
WINSLOW CAPITAL	030	PCLN	S	8001	181.12	n/a	n/a	24.00	0.0	
WINSLOW CAPITAL	030	PCP	S	1,800	269.31	n/a	11-Jun	54.00	0.0	
WINSLOW CAPITAL	030	QCOM	S	5,000	73.97	n/a	n/a	150.00	0.0	
DONALD SMITH	088	RCL	S	20,000	47.30	n/a	n/a	600.00	0.0	
WINSLOW CAPITAL	030	RL	S	1,400	175.36	n/a	24-May	42.00	0.0	
WINSLOW CAPITAL	030	ROST	S	3,600	73.75	n/a	18-Jun	108.00	0.0	
WINSLOW CAPITAL	030	RRC	S	3,300	83.69	n/a	13-Jun	99.00	0.0	
WINSLOW CAPITAL	030	SBAC	S	3,400	87.76	n/a	n/a	102.00	0.0	
SCOPUS FUND	041	SBH	B	25,000	30.03	n/a	n/a	1,000.00	0.0	
FOUNDRY PARTNERS LLC	030	SBUX	S	9,860	78.52	n/a	17-Jun	394.40	0.0	
WINSLOW CAPITAL	030	SBUX	S	8,400	78.57	n/a	17-Jun	252.00	0.0	
WINSLOW CAPITAL	030	SCHW	S	7,500	25.68	n/a	n/a	225.00	0.0	
NUVEEN - US BANCORP		030	SWFT	B	18,830	22.35	n/a	n/a	847.36	0.0
WINSLOW CAPITAL	030	ULTA	S	2,600	94.18	n/a	n/a	78.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	UNP	S	6,000	165.61	n/a	n/a	180.00	0.0
WINSLOW CAPITAL	030	UTX	S	3,200	112.76	n/a	n/a	96.00	0.0
WINSLOW CAPITAL	030	V	S	4,600	219.55	n/a	11-Jun	138.00	0.0
WINSLOW CAPITAL	030	WYNN	S	1,500	190.83	n/a	13-Jun	45.00	0.0
WINSLOW CAPITAL	030	ZTS	S	10,100	32.61	n/a	n/a	303.00	0.0
<b>TOTAL (Trade Date):</b>								<b>33,305.90</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/26	SANDLER O'NEILL ASSET (SANOMSIL)	031	LAZ	S	20,900	44.90	n/a	6-May	1045.00 0.0
AO,	12/26	SANDLER O'NEILL ASSET (SANO)	031	LAZ	S	20,900	44.90	n/a	6-May	1045.00 0.0
AO,CXL	12/23	GRUBER MACBAINE (GRBRJPM)	033	MEOH	B	15,000	58.41	n/a	n/a	750.00 0.0
AO,CRT	12/23	GRUBER MACBAINE (GRBRJPM)	033	MEOH	B	15,000	58.41	n/a	n/a	600.00 4.0
AO,	12/26	DONALD SMITH (DSMTEDS)	088	RCL	S	24,786	47.21	n/a	n/a	743.58 0.0
AO,CXL	12/26	DSM CAPITAL PARTNERS (DSMCBS)	085	RCL	S	24,786	47.21	n/a	n/a	991.44 0.0

**TOTAL (AO, CXL, CRT) :****-397.86**

TOTAL (Trade Date) :

33,305.90

TOTAL (AO, CXL, CRT) :

-397.86

**TOTAL (RUN DATE) / NFS:****32,908.04**

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