



Daily Compliance Activity Report

Trade Date: 05/29/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
WINSLOW CAPITAL	030	AAPL	S	700	570.26	n/a	n/a	21.00	3.0	
LATEFF MGMT	035	AA	B	250	8.84	n/a	n/a	30.00	12.0	
PIONEER OAKRIDGE	031	ABT	S	495	62.43	n/a	n/a	14.85	3.0	
PIONEER OAKRIDGE	031	AGN	S	440	90.60	n/a	29-May	13.20	3.0	
PIONEER OAKRIDGE	031	ALTR	S	565	34.75	n/a	n/a	16.95	3.0	
WINSLOW CAPITAL	030	ALTR	S	1,700	34.79	n/a	n/a	51.00	3.0	
PIONEER OAKRIDGE	031	AME	S	565	49.72	n/a	n/a	16.95	3.0	
PIONEER OAKRIDGE	031	AMG	B	80	105.05	n/a	2-Mar	2.40	3.0	
WINSLOW CAPITAL	030	AMTD	S	2,600	17.41	n/a	n/a	78.00	3.0	
WINSLOW CAPITAL	030	AMZN	S	500	215.37	n/a	n/a	15.00	3.0	
NUVEEN - US BANCORP		030	APH	B	35,208	53.98	n/a	n/a	1,584.38	4.5
LATEFF MGMT	035	ATI	B	200	34.84	n/a	11-May	30.00	15.0	
NOKOMIS PARTNERS	031	BAH	SS	74,603	14.95	n/a	n/a	2,238.09	0.0	
PIONEER OAKRIDGE	031	BAX	S	370	52.31	n/a	n/a	11.10	3.0	
LATEFF MGMT	035	BA	S	75	70.00	n/a	16-May	24.00	32.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	BBBY	S	400	73.29	n/a	n/a	12.00	3.0
LATEFF MGMT	035	BBT	B	500	30.45	n/a	n/a	50.00	10.0
LATEFF MGMT	035	BDNPRE	B	350	25.00	n/a	n/a	35.00	10.0
WINSLOW CAPITAL	030	BIDU	S	400	121.61	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	BIIB	S	700	133.01	n/a	n/a	21.00	3.0
LATEFF MGMT	035	CBL	S	250	17.91	n/a	n/a	30.00	12.0
NEUBERGER BERMAN	036	CCE	S	30,205	27.78	n/a	n/a	1,208.20	4.0
PIONEER OAKRIDGE	031	CELG	S	260	69.08	n/a	n/a	7.80	3.0
WINSLOW CAPITAL	030	CELG	S	1,200	69.55	n/a	n/a	36.00	3.0
WINSLOW CAPITAL	030	CERN	S	500	80.51	n/a	n/a	15.00	3.0
TUDOR INVESTORS	028	CFX	B	2,000	29.63	n/a	n/a	60.00	3.0
PIONEER OAKRIDGE	031	CHKP	S	290	52.88	n/a	n/a	8.70	3.0
PIONEER OAKRIDGE	031	COH	S	445	69.93	n/a	9-May	13.35	3.0
WINSLOW CAPITAL	030	COST	S	800	86.09	n/a	n/a	24.00	3.0
LATEFF MGMT	035	CTB	B	250	15.61	n/a	n/a	30.00	12.0
PIONEER OAKRIDGE	031	CTSH	S	380	60.19	n/a	n/a	11.40	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	CTXS	S	230	76.20	n/a	n/a	6.90	3.0
PIONEER OAKRIDGE	031	CXO	S	425	90.95	n/a	n/a	12.75	3.0
LATEFF MGMT	035	DAL	S	550	11.74	n/a	n/a	60.00	11.0
LATEFF MGMT	035	DD	B	100	49.02	n/a	25-May	30.00	30.0
PIONEER OAKRIDGE	031	DHR	S	810	53.15	n/a	n/a	24.30	3.0
PIONEER OAKRIDGE	031	DLTR	S	550	103.00	n/a	18-May	16.50	3.0
PIONEER OAKRIDGE	031	DNR	S	1,445	15.76	n/a	n/a	43.35	3.0
LATEFF MGMT	035	DOW	B	350	31.87	n/a	1-May	35.00	10.0
LATEFF MGMT	035	DVN	B	100	61.03	n/a	18-May	30.00	30.0
WINSLOW CAPITAL	030	EBAY	S	1,600	40.95	n/a	n/a	48.00	3.0
PIONEER OAKRIDGE	031	EMC	S	2,620	24.41	n/a	n/a	78.60	3.0
PIONEER OAKRIDGE	031	ESRX	S	920	52.84	n/a	n/a	27.60	3.0
WINSLOW CAPITAL	030	ESRX	S	2,100	53.71	n/a	n/a	63.00	3.0
NEUBERGER BERMAN	036	FEIC	B	17,325	46.17	n/a	n/a	693.00	4.0
LATEFF MGMT	035	FMER	B	325	15.96	n/a	n/a	32.50	10.0
PIONEER OAKRIDGE	031	GILD	S	540	50.86	n/a	n/a	16.20	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	GM	C	454,946	22.87	n/a	4-May	13,648.38	3.0
PIONEER OAKRIDGE	031	GOOG	B	10	595.81	n/a	n/a	0.30	3.0
WINSLOW CAPITAL	030	GOOG	S	300	597.51	n/a	n/a	9.00	3.0
PIONEER OAKRIDGE	031	GS	S	275	96.87	n/a	24-May	8.25	3.0
ARMATURE CAPITAL	041	HAR	S	50,000	41.27	n/a	3-Feb	2,000.00	4.0
RBC CAPITAL MARKETS	040	HOT	B	10,000	54.56	n/a	13-Jun	400.00	4.0
PIONEER OAKRIDGE	031	IBM	S	970	195.90	n/a	n/a	29.10	3.0
PIONEER OAKRIDGE	031	ICE	S	285	126.14	n/a	n/a	8.55	3.0
WINSLOW CAPITAL	030	INTU	S	1,100	56.93	n/a	n/a	33.00	3.0
PIONEER OAKRIDGE	031	ISRG	S	15	528.89	n/a	n/a	0.45	3.0
WINSLOW CAPITAL	030	ISRG	S	100	529.91	n/a	n/a	3.00	3.0
PIONEER OAKRIDGE	031	ITW	S	795	56.67	n/a	25-Apr	23.85	3.0
OSKIE CAPITAL MGMT	224	IYM	B	32,400	64.79	n/a	n/a	1,620.00	5.0
JP MORGAN VENTURES	046	JACK	S	10,000	25.35	n/a	n/a	400.00	4.0
LATEFF MGMT	035	JCI	B	200	31.25	n/a	27-Apr	30.00	15.0
PIONEER OAKRIDGE	031	JCI	S	1,670	30.99	n/a	27-Apr	50.10	3.0
LATEFF MGMT	035	JPM	B	800	33.48	n/a	24-May	80.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	JWN	S	480	50.63	n/a	25-May	14.40	3.0
NEUBERGER BERMAN	036	KFT	B	22,500	38.63	n/a	n/a	900.00	4.0
INVESCO	031	KO	S	380,130	75.28	n/a	29-May	15,205.20	4.0
IRIDIAN ASSET MGMT.	036	KSS	B	3,310	50.21	n/a	25-May	165.50	5.0
TUDOR INVESTORS	028	LEN	B	5,000	28.48	n/a	n/a	150.00	3.0
SENATOR INVESTMENT GROUP	036	LINTA	S	250,000	17.29	n/a	n/a	7,500.00	3.0
WINSLOW CAPITAL	030	LNKD	S	500	98.86	n/a	n/a	15.00	3.0
OSKIE CAPITAL MGMT	224	LORL	B	6,600	60.99	n/a	n/a	330.00	5.0
BNP PARIBAS SEC	040	LOW	S	50,000	27.48	n/a	22-May	2,500.00	5.0
SONICA CAPITAL LLC	025	LTM	B	12,200	43.58	n/a	n/a	366.00	3.0
TUDOR INVESTORS	028	MHK	B	10,000	70.22	n/a	n/a	300.00	3.0
PIONEER OAKRIDGE	031	MJN	S	710	83.29	n/a	n/a	21.30	3.0
ROYCE TRADING	031	MOV	S	19,353	28.73	n/a	n/a	967.65	5.0
SHIKIAR ASSET	025	MRK	B	21,000	37.54	n/a	n/a	1,050.00	5.0
LATEFF MGMT	035	NUE	B	100	36.43	n/a	n/a	30.00	30.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	OLN	B	300	19.49	n/a	n/a	30.00	10.0
PIONEER OAKRIDGE	031	ORCL	S	955	26.41	n/a	n/a	28.65	3.0
PIONEER OAKRIDGE	031	ORLY	B	5	96.89	n/a	n/a	0.15	3.0
WINSLOW CAPITAL	030	ORLY	S	600	97.47	n/a	n/a	18.00	3.0
PIONEER OAKRIDGE	031	OXY	S	510	82.25	n/a	n/a	15.30	3.0
TRELLUS PARTNERS LP	028	PAG	B	10,000	24.89	n/a	26-Apr	300.00	3.0
PIONEER OAKRIDGE	031	PCLN	S	15	660.01	n/a	n/a	0.45	3.0
WINSLOW CAPITAL	030	PCLN	S	300	663.81	n/a	n/a	9.00	3.0
PIONEER OAKRIDGE	031	PCP	S	255	167.36	n/a	18-May	7.65	3.0
PIONEER OAKRIDGE	031	PEP	S	480	68.56	n/a	n/a	14.40	3.0
WINSLOW CAPITAL	030	PRGO	S	300	103.99	n/a	29-May	9.00	3.0
LATEFF MGMT	035	PSAPRR	S	150	27.37	n/a	n/a	30.00	20.0
PIONEER OAKRIDGE	031	PX	S	365	108.74	n/a	3-May	10.95	3.0
PIONEER OAKRIDGE	031	QCOM	S	1,225	57.90	n/a	n/a	36.75	3.0
WINSLOW CAPITAL	030	QCOM	S	3,400	58.46	n/a	n/a	102.00	3.0
COLUMBUS CIRCLE	036	RATE	S	4,200	17.89	n/a	n/a	168.00	4.0
PIONEER OAKRIDGE	031	RAX	S	245	51.44	n/a	n/a	7.35	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	RDSB	B	100	65.08	n/a	n/a	30.00	30.0
RAINIER INV MGMT	035	RJF	B	81,550	34.54	n/a	n/a	3,262.00	4.0
PIONEER OAKRIDGE	031	RVBD	S	825	16.88	n/a	n/a	24.75	3.0
SONICA CAPITAL LLC	025	SBUX	B	17,500	55.19	n/a	27-Apr	525.00	3.0
WINSLOW CAPITAL	030	SBUX	S	1,800	55.67	n/a	27-Apr	54.00	3.0
WINSLOW CAPITAL	030	SHPGY	S	700	88.84	n/a	29-May	21.00	3.0
PIONEER OAKRIDGE	031	SLB	B	40	66.17	n/a	n/a	1.20	3.0
LATEFF MGMT	035	SPLS	B	300	13.60	n/a	n/a	30.00	10.0
PIONEER OAKRIDGE	031	SWN	S	530	29.19	n/a	25-May	15.90	3.0
PIONEER OAKRIDGE	031	TJX	S	1,085	41.15	n/a	25-May	32.55	3.0
TUDOR INVESTORS	028	TYC	B	5,000	54.54	n/a	15-May	150.00	3.0
LATEFF MGMT	035	UAL	S	750	23.87	n/a	n/a	75.00	10.0
WINSLOW CAPITAL	030	ULTA	S	600	91.33	n/a	n/a	18.00	3.0
GEORGE WEISS	034	URBN	B	20,000	28.59	n/a	n/a	600.00	3.0
PIONEER OAKRIDGE	031	UTX	S	410	73.70	n/a	n/a	12.30	3.0
PIONEER OAKRIDGE	031	VFC	S	210	141.91	n/a	27-Apr	6.30	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	VRSN	S	1,500	39.87	n/a	n/a	45.00	3.0
PIONEER OAKRIDGE	031	V	S	215	120.15	n/a	2-May	6.45	3.0
TUDOR INVESTORS	028	ZUMZ	B	13,000	35.51	n/a	n/a	390.00	3.0
TOTAL (Trade Date) :								60,885.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/24	BURL CAPITAL LLC (BURLFIDO)	029	ACM	B	20,000	16.50	n/a	n/a	800.00 4.0
AO,CXL	05/24	BURL CAPITAL LLC (BURLUBSPB)	029	ACM	B	20,000	16.50	n/a	n/a	800.00 4.0
AO,CXL	05/23	PEAK INV LLC (PEAKOAKUST)	084	FCX	S	10,900	32.39	n/a	n/a	436.00 4.0
AO,CRT	05/23	PEAK INV LLC (PEAKOAKSTS)	084	FCX	S	10,900	32.39	n/a	n/a	436.00 4.0
AO,CRT	05/24	BURL CAPITAL LLC (BURLFIDO)	029	MSCI	B	10,000	33.75	n/a	n/a	400.00 4.0
AO,CXL	05/24	BURL CAPITAL LLC (BURLUBSPB)	029	MSCI	B	10,000	33.75	n/a	n/a	400.00 4.0
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (Trade Date) :										60,885.20
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (RUN DATE) / NFS :										60,885.20

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