



## Daily Compliance Activity Report

Trade Date: 06/18/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	AA	B	750	8.69	n/a	n/a	75.00	10.0
MILLRACE FUND LP	028	ABG	B	8,000	24.37	n/a	27-Apr	320.00	4.0
WINSLOW CAPITAL	030	ALTR	B	15,100	33.25	n/a	n/a	453.00	3.0
WINSLOW CAPITAL	030	AMTD	B	21,300	16.88	n/a	n/a	639.00	3.0
WINSLOW CAPITAL	030	AMZN	B	4,200	221.67	n/a	n/a	126.00	3.0
MILLENNIUM-ANDEW	031	ANR	S	47,500	8.37	n/a	n/a	2,850.00	6.0
ROYCE TRADING	031	ARO	S	7,800	16.44	n/a	n/a	390.00	5.0
NORTHWESTERN MUTUAL LIFE	047	ATML	S	469,000	7.05	n/a	n/a	18,760.00	4.0
WAGONHOUND/NICOLAS	033	AXE	S	11,108	52.98	n/a	14-Jun	444.32	4.0
LATEEF MGMT	035	BDNPRE	B	900	25.25	n/a	n/a	90.00	10.0
WINSLOW CAPITAL	030	BIDU	B	4,100	120.71	n/a	n/a	123.00	3.0
WINSLOW CAPITAL	030	BIIB	B	5,500	141.94	n/a	n/a	165.00	3.0
LATEEF MGMT	035	CBL	S	400	18.63	n/a	n/a	40.00	10.0
LATEEF MGMT	035	CMCSK	S	1,125	30.58	n/a	n/a	123.75	11.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	COST	B	6,400	91.74	n/a	n/a	192.00	3.0
ARSENAL ASSET MANAGEMENT	028	CSL	S	5,000	51.57	n/a	n/a	200.00	4.0
LATEEF MGMT	035	CVS	S	300	45.78	n/a	n/a	42.00	14.0
CAISSE DEPOT PLACEMENT Q	295	DFS	S	32,000	32.82	n/a	15-Jun	1,600.00	5.0
CAISSE DEPOT PLACEMENT Q	295	DLLR	B	50,000	17.00	n/a	n/a	2,500.00	5.0
WINSLOW CAPITAL	030	EBAY	B	12,800	42.17	n/a	n/a	384.00	3.0
WINSLOW CAPITAL	030	ESRX	B	19,500	53.81	n/a	n/a	585.00	3.0
ROYCE TRADING	031	FINL	B	6,000	19.02	n/a	31-May	300.00	5.0
COUGAR TRADING	044	GIL	S	10,000	27.13	n/a	12-Jun	500.00	5.0
LATEEF MGMT	035	GLW	B	350	13.00	n/a	1-May	35.00	10.0
WINSLOW CAPITAL	030	GOOG	B	2,200	569.26	n/a	n/a	66.00	3.0
PERRY PARTNERS	085	HES	B	94,000	43.80	n/a	n/a	4,700.00	5.0
LATEEF MGMT	035	HPQ	B	250	21.07	n/a	n/a	30.00	12.0
LATEEF MGMT	035	HPQ	S	225	21.12	n/a	n/a	29.25	13.0
ROXBURY CAPITAL MGMT	035	HXL	S	18,600	24.26	n/a	29-May	558.00	3.0
LATEEF MGMT	035	INTC	S	350	27.49	n/a	n/a	49.00	14.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	INTU	B	8,500	58.49	n/a	n/a	255.00	3.0
WINSLOW CAPITAL	030	ISRG	B	900	541.84	n/a	n/a	27.00	3.0
WINSLOW CAPITAL	030	KORS	B	13,300	38.48	n/a	n/a	399.00	3.0
LATEEF MGMT	035	KR	S	150	22.79	n/a	n/a	30.00	20.0
KLEINHEINZ CAP PART	031	KSS	B	25,000	43.97	n/a	1-Jun	1,250.00	5.0
WINSLOW CAPITAL	030	LNKD	B	4,100	104.84	n/a	n/a	123.00	3.0
<b>WEDGE CAPITAL</b>	<b>093</b>	<b>MNRO</b>	<b>S</b>	<b>24,025</b>	<b>33.03</b>	<b>n/a</b>	<b>n/a</b>	<b>961.00</b>	<b>4.0</b>
LATEEF MGMT	035	NKE	S	300	100.61	n/a	23-Mar	51.00	17.0
LATEEF MGMT	035	NYB	S	250	12.27	n/a	18-Apr	32.50	13.0
LATEEF MGMT	035	OI	S	300	18.63	n/a	n/a	42.00	14.0
EDGEWOOD	085	ORCL	B	31,901	27.02	n/a	n/a	1,595.05	5.0
WINSLOW CAPITAL	030	ORLY	B	4,600	100.65	n/a	n/a	138.00	3.0
WINSLOW CAPITAL	030	PCLN	B	2,100	670.64	n/a	n/a	63.00	3.0
MERRILL ASSET/BLACKROCK	297	PFS	B	6,348	14.65	n/a	n/a	253.92	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	27.69	n/a	18-Apr	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	PLCE	B	1,000	43.77	n/a	5-Jun	50.00	5.0
EDGEWOOD	085	QCOM	B	28,603	56.49	n/a	n/a	1,430.15	5.0
WINSLOW CAPITAL	030	QCOM	B	27,300	56.55	n/a	n/a	819.00	3.0
LATEEF MGMT	035	RKT	S	150	54.57	n/a	26-Apr	37.50	25.0
NEWLAND CAPITAL MGT	025	RKT	B	15,000	54.68	n/a	26-Apr	600.00	4.0
COHE & STEERS	041	RYN	B	35,827	43.95	n/a	3-May	1,433.08	4.0
WINSLOW CAPITAL	030	SBUX	B	14,500	53.52	n/a	5-Jun	435.00	3.0
DEVENNY CAP LLC/MILLENIU	044	SFD	S	25,394	20.55	n/a	n/a	761.82	3.0
WINSLOW CAPITAL	030	SHPGY	B	5,800	89.98	n/a	18-Jun	174.00	3.0
LATEEF MGMT	035	TEVA	B	250	38.01	n/a	18-Jun	50.00	20.0
DELTEC ASSET MGMT.	040	TEX	B	10,000	18.20	n/a	13-Jun	500.00	5.0
ARSENAL ASSET MANAGEMENT	028	TJX	S	20,000	42.56	n/a	1-Jun	800.00	4.0
EDGEWOOD	085	TROW	B	27,389	60.48	n/a	n/a	1,369.45	5.0
LATEEF MGMT	035	TRV	S	100	63.17	n/a	n/a	30.00	30.0
WINSLOW CAPITAL	030	ULTA	B	4,700	95.79	n/a	n/a	141.00	3.0
BALLAST CAP	040	VIAB	S	20,000	47.64	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EDGEWOOD	085	VIAB	B	20,131	47.35	n/a	n/a	1,006.55	5.0
WINSLOW CAPITAL	030	VRSN	B	12,300	43.57	n/a	n/a	369.00	3.0
TUDOR INVESTORS	028	ZUMZ	SS	37,500	39.44	n/a	n/a	1,125.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>54,721.34</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/15	HOPLITE MGMT (HOPLGS)	025	VALE	B	11,949	19.09	n/a	n/a	477.96 4.0
AO,	06/15	HOPLITE MGMT (HOPLMS)	025	VALE	C	11,949	19.09	n/a	n/a	477.96 4.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224065)	029	XOM	B	2,399	82.34	n/a	n/a	35.99 1.5
AO,	06/15	EATON VANCE MGMT (EATO224065)	029	XOM	B	2,399	82.34	n/a	n/a	71.97 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224066)	029	XOM	B	3,272	82.34	n/a	n/a	49.08 1.5
AO,	06/15	EATON VANCE MGMT (EATO224066)	029	XOM	B	3,272	82.34	n/a	n/a	98.16 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATOFJ3X)	029	XOM	B	2,420	82.34	n/a	n/a	36.30 1.5
AO,	06/15	EATON VANCE MGMT (EATOFJ3X)	029	XOM	B	2,420	82.34	n/a	n/a	72.60 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATOFJ7G)	029	XOM	B	313,659	82.34	n/a	n/a	4704.89 1.5
AO,	06/15	EATON VANCE MGMT (EATOFJ7G)	029	XOM	B	313,659	82.34	n/a	n/a	9409.77 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224013)	029	XOM	B	246	82.34	n/a	n/a	3.69 1.5
AO,	06/15	EATON VANCE MGMT (EATO224013)	029	XOM	B	246	82.34	n/a	n/a	7.38 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224012)	029	XOM	B	2,891	82.34	n/a	n/a	43.37 1.5
AO,	06/15	EATON VANCE MGMT (EATO224012)	029	XOM	B	2,891	82.34	n/a	n/a	86.73 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224011)	029	XOM	B	4,280	82.34	n/a	n/a	64.20 1.5
AO,	06/15	EATON VANCE MGMT (EATO224011)	029	XOM	B	4,280	82.34	n/a	n/a	128.40 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO223984)	029	XOM	B	1,541	82.34	n/a	n/a	23.12 1.5
AO,	06/15	EATON VANCE MGMT (EATO223984)	029	XOM	B	1,541	82.34	n/a	n/a	46.23 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO223965)	029	XOM	B	1,895	82.34	n/a	n/a	28.43 1.5
AO,	06/15	EATON VANCE MGMT (EATO223965)	029	XOM	B	1,895	82.34	n/a	n/a	56.85 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224015)	029	XOM	B	833	82.34	n/a	n/a	12.50 1.5
AO,	06/15	EATON VANCE MGMT (EATO224015)	029	XOM	B	833	82.34	n/a	n/a	24.99 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224014)	029	XOM	B	778	82.34	n/a	n/a	11.67 1.5
AO,	06/15	EATON VANCE MGMT (EATO224014)	029	XOM	B	778	82.34	n/a	n/a	23.34 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224016)	029	XOM	B	35,648	82.34	n/a	n/a	534.72 1.5
AO,	06/15	EATON VANCE MGMT (EATO224016)	029	XOM	B	35,648	82.34	n/a	n/a	1069.44 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	06/15	EATON VANCE MGMT (EATO223831)	029	XOM	B	309	82.34	n/a	n/a	4.64 1.5
AO,	06/15	EATON VANCE MGMT (EATO223831)	029	XOM	B	309	82.34	n/a	n/a	9.27 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO223840)	029	XOM	B	338	82.34	n/a	n/a	5.07 1.5
AO,	06/15	EATON VANCE MGMT (EATO223840)	029	XOM	B	338	82.34	n/a	n/a	10.14 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO223859)	029	XOM	B	608	82.34	n/a	n/a	9.12 1.5
AO,	06/15	EATON VANCE MGMT (EATO223859)	029	XOM	B	608	82.34	n/a	n/a	18.24 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO223860)	029	XOM	B	595	82.34	n/a	n/a	8.93 1.5
AO,	06/15	EATON VANCE MGMT (EATO223860)	029	XOM	B	595	82.34	n/a	n/a	17.85 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO223686)	029	XOM	B	415	82.34	n/a	n/a	6.23 1.5
AO,	06/15	EATON VANCE MGMT (EATO223686)	029	XOM	B	415	82.34	n/a	n/a	12.45 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO239520)	029	XOM	B	6,791	82.34	n/a	n/a	101.87 1.5
AO,	06/15	EATON VANCE MGMT (EATO239520)	029	XOM	B	6,791	82.34	n/a	n/a	203.73 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO99456)	029	XOM	B	8,833	82.34	n/a	n/a	132.50 1.5
AO,	06/15	EATON VANCE MGMT (EATO99456)	029	XOM	B	8,833	82.34	n/a	n/a	264.99 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO99357)	029	XOM	B	4,578	82.34	n/a	n/a	68.67 1.5
AO,	06/15	EATON VANCE MGMT (EATO99357)	029	XOM	B	4,578	82.34	n/a	n/a	137.34 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO88503)	029	XOM	B	9,931	82.34	n/a	n/a	148.97 1.5
AO,	06/15	EATON VANCE MGMT (EATO88503)	029	XOM	B	9,931	82.34	n/a	n/a	297.93 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO223736)	029	XOM	B	247	82.34	n/a	n/a	3.71 1.5
AO, CXL	06/15	EATON VANCE MGMT (EATO224446)	029	XOM	B	1,073	82.34	n/a	n/a	16.10 1.5
AO,	06/15	EATON VANCE MGMT (EATO223736)	029	XOM	B	247	82.34	n/a	n/a	7.41 3.0
AO,	06/15	EATON VANCE MGMT (EATO224446)	029	XOM	B	1,073	82.34	n/a	n/a	32.19 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO223794)	029	XOM	B	486	82.34	n/a	n/a	7.29 1.5
AO, CXL	06/15	EATON VANCE MGMT (EATO224435)	029	XOM	B	4,767	82.34	n/a	n/a	71.51 1.5
AO,	06/15	EATON VANCE MGMT (EATO223794)	029	XOM	B	486	82.34	n/a	n/a	14.58 3.0
AO,	06/15	EATON VANCE MGMT (EATO224435)	029	XOM	B	4,767	82.34	n/a	n/a	143.01 3.0
AO, CXL	06/15	EATON VANCE MGMT (EATO223809)	029	XOM	B	436	82.34	n/a	n/a	6.54 1.5
AO, CXL	06/15	EATON VANCE MGMT (EATO224432)	029	XOM	B	17,445	82.34	n/a	n/a	261.68 1.5
AO,	06/15	EATON VANCE MGMT (EATO223809)	029	XOM	B	436	82.34	n/a	n/a	13.08 3.0
AO,	06/15	EATON VANCE MGMT (EATO224432)	029	XOM	B	17,445	82.34	n/a	n/a	523.35 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/15	EATON VANCE MGMT (EATO223837)	029	XOM	B	676	82.34	n/a	n/a	10.14 1.5
AO,CXL	06/15	EATON VANCE MGMT (EATO224421)	029	XOM	B	7,641	82.34	n/a	n/a	114.62 1.5
AO,	06/15	EATON VANCE MGMT (EATO223837)	029	XOM	B	676	82.34	n/a	n/a	20.28 3.0
AO,	06/15	EATON VANCE MGMT (EATO224421)	029	XOM	B	7,641	82.34	n/a	n/a	229.23 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO223838)	029	XOM	B	907	82.34	n/a	n/a	13.61 1.5
AO,CXL	06/15	EATON VANCE MGMT (EATO224408)	029	XOM	B	4,274	82.34	n/a	n/a	64.11 1.5
AO,	06/15	EATON VANCE MGMT (EATO223838)	029	XOM	B	907	82.34	n/a	n/a	27.21 3.0
AO,	06/15	EATON VANCE MGMT (EATO224408)	029	XOM	B	4,274	82.34	n/a	n/a	128.22 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224413)	029	XOM	B	3,593	82.34	n/a	n/a	53.90 1.5
AO,CRT	06/15	EATON VANCE MGMT (EATO224413)	029	XOM	B	3,593	82.34	n/a	n/a	107.79 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224202)	029	XOM	B	1,440	82.34	n/a	n/a	21.60 1.5
AO,	06/15	EATON VANCE MGMT (EATO224202)	029	XOM	B	1,440	82.34	n/a	n/a	43.20 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224236)	029	XOM	B	22,137	82.34	n/a	n/a	332.06 1.5
AO,	06/15	EATON VANCE MGMT (EATO224236)	029	XOM	B	22,137	82.34	n/a	n/a	664.11 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO224195)	029	XOM	B	3,330	82.34	n/a	n/a	49.95 1.5
AO,	06/15	EATON VANCE MGMT (EATO224195)	029	XOM	B	3,330	82.34	n/a	n/a	99.90 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATO229002)	029	XOM	B	1,059	82.34	n/a	n/a	15.89 1.5
AO,	06/15	EATON VANCE MGMT (EATO229002)	029	XOM	B	1,059	82.34	n/a	n/a	31.77 3.0
AO,CXL	06/15	EATON VANCE MGMT (EATOFJ8G)	029	XOM	B	28,229	82.34	n/a	n/a	423.44 1.5
AO,	06/15	EATON VANCE MGMT (EATOFJ8G)	029	XOM	B	28,229	82.34	n/a	n/a	846.87 3.0

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

**7,499.89**

TOTAL (Trade Date) :

54,721.34

TOTAL (AO, CXL, CRT) :

7,499.89



**TOTAL (RUN DATE) / NFS:**

**62,221.23**

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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