



Daily Compliance Activity Report

Trade Date: 10/03/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093		AAPL	B	295	483.87	n/a	n/a	2.95	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		ACC	B	1,735	33.54	n/a	n/a	17.35	0.0
PRIMECAP MGMT	084	AFFX	B	15,000	6.36	n/a	n/a	450.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		AMAT	B	6,775	17.37	n/a	n/a	67.75	0.0
SYMPHONY ASSET	033	APC	B	4,602	93.33	n/a	13-Jun	138.06	0.0
LATEEF MGMT	033	BA	S	100	114.96	n/a	11-Jun	30.00	0.0
BERYLSON CAPITAL	030	BONT	B	38,987	10.40	n/a	18-Jun	1,169.61	0.0
INTERVAL PARTNERS	033	CNW	B	10,000	43.10	n/a	n/a	300.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		COF	B	1,915	68.90	n/a	19-Jun	19.15	0.0
SYMPHONY ASSET	033	COG	S	26,426	35.73	n/a	13-Jun	792.78	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		COP	B	1,375	70.04	n/a	n/a	13.75	0.0
S.A.C. CAPITAL	044	CP	B	7,500	124.04	n/a	n/a	225.00	0.0
ACK ASSET	028	CSX	SS	50,000	25.67	n/a	n/a	1,500.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		CTL	B	1,800	31.34	n/a	n/a	18.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093		CVX	B	970	118.38	n/a	n/a	9.70	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		DD	B	925	58.06	n/a	n/a	9.25	0.0
LATEEF MGMT	033	DE	B	150	82.18	n/a	11-Jul	33.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		DLR	B	1,140	52.76	n/a	n/a	11.40	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		EMR	B	1,520	63.94	n/a	n/a	15.20	0.0
S.A.C. CAPITAL	044	GE	B	25,000	24.15	n/a	n/a	750.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		GIS	B	1,585	47.75	n/a	n/a	15.85	0.0
GABELLI FUNDS	025	GM	B	25,000	35.45	n/a	19-Jun	750.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		GSK	B	2,125	50.90	n/a	n/a	21.25	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		HD	B	1,305	76.10	n/a	n/a	13.05	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		HON	B	1,310	81.64	n/a	19-Apr	13.10	0.0
RIDGECREST INV MGMT LLC	028	HSC	S	10,000	24.44	n/a	9-May	400.00	0.0
JET CAPITAL/CHRIS	041	HTZ	B	75,000	21.99	n/a	n/a	2,250.00	0.0
LATEEF MGMT	033	IP	B	400	43.84	n/a	17-Jun	40.00	0.0
S.A.C. CAPITAL	044	IP	B	7,500	43.95	n/a	17-Jun	225.00	0.0
SYMPHONY ASSET	033	IP	S	11,185	43.87	n/a	17-Jun	335.55	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTG PACTUAL	040	JBLU	B	25,000	6.67	n/a	18-Jun	750.00	0.0
DC CAPITAL	044	JCP	B	50,000	8.50	n/a	18-Jun	2,000.00	0.0
MACELLUM CAPITAL	086	JCP	B	150,000	8.67	n/a	18-Jun	4,500.00	0.0
LATEEF MGMT	033	JNJ	B	150	86.62	n/a	n/a	33.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		JPM	B	2,450	51.86	n/a	17-Jun	24.50	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		KO	B	2,360	37.24	n/a	17-Jun	23.60	0.0
TIDE POINT CAPITAL	028	LEA	B	7,500	72.19	n/a	19-Jun	225.00	0.0
PRIMECAP MGMT	084	LLY	B	33,000	48.69	n/a	n/a	1,320.00	0.0
BALYASNY ASSET MGMT	044	LPX	B	150,000	17.48	n/a	19-Jun	7,500.00	0.0
COUGAR TRADING	044	LPX	B	25,000	17.48	n/a	19-Jun	1,250.00	0.0
CR INTRINIC INVESTMENT	044	LPX	B	5,000	17.48	n/a	19-Jun	150.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	17.48	n/a	19-Jun	3,750.00	0.0
IONIC CAPITAL MANAGEMENT	041	LPX	B	38,700	17.48	n/a	19-Jun	1,161.00	0.0
S.A.C. CAPITAL	044	LPX	B	25,000	17.48	n/a	19-Jun	750.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	LPX	S	1,425,000	17.55		n/a 19-Jun	42,750.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		LYB	B	1,065	73.82	n/a	n/a	10.65	0.0
SYMPHONY ASSET	033	LYB	B	2,580	73.11	n/a	n/a	77.40	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		MAT	B	2,445	42.15	n/a	n/a	24.45	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		MCD	B	685	94.72	n/a	17-Jun	6.85	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093		MMM	B	990	118.55	n/a	n/a	9.90	0.0
SYMPHONY ASSET	033	MON	S	2,255	104.16	n/a	n/a	67.65	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		MRK	B	2,260	48.54	n/a	n/a	22.60	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		MSFT	B	3,560	33.66	n/a	n/a	35.60	0.0
ROSEDALE CAPITAL	046	MSFT	B	20,000	33.46	n/a	n/a	800.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	37.81	n/a	18-Jun	750.00	0.0
PRIMECAP MGMT	084	NKTR	B	25,576	10.35	n/a	n/a	1,023.04	0.0
BASSWOOD PARTNERS	267	NYCB	SS	16,186	15.27	n/a	24-Apr	647.44	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		OXY	B	1,250	94.01	n/a	n/a	12.50	0.0
COHE & STEERS	041	PCL	S	34,404	46.43	n/a	19-Jun	1,376.16	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		PEP	B	1,165	79.73	n/a	n/a	11.65	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		PFE	B	3,655	28.86	n/a	n/a	36.55	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		PG	B	1,310	75.88	n/a	17-Jun	13.10	0.0
SYMPHONY ASSET	033	PKG	B	7,545	56.74	n/a	17-Jun	226.35	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		PNC	B	1,440	72.57	n/a	n/a	14.40	0.0
LATEEF MGMT	033	POT	B	1,750	32.40	n/a	n/a	185.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT (JMP)	029	PVH	SS	10,000	123.65	n/a	14-Jun	500.00	0.0
SYMPHONY ASSET	033	PXD	B	2,215	193.80	n/a	13-Jun	66.45	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		RGC	B	6,595	18.74	n/a	n/a	65.95	0.0
COHE & STEERS	041	RYN	B	27,162	55.09	n/a	25-Jan	1,086.48	0.0
TUDOR INVESTORS	028	SCSS	B	5,000	24.80	n/a	n/a	150.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		SPG	B	235	148.33	n/a	n/a	2.35	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		STJ	B	1,850	54.92	n/a	n/a	18.50	0.0
LATEEF MGMT	033	SWY	S	500	31.51	n/a	n/a	50.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		SYT	B	2,655	31.58	n/a	n/a	26.55	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		TOT	B	1,695	57.72	n/a	n/a	16.95	0.0
CAERUS GLOBAL	041	TTWO	SS	10,522	17.76	n/a	n/a	420.88	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		TYC	B	3,225	34.84	n/a	26-Apr	32.25	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		T	B	2,225	33.72	n/a	n/a	22.25	0.0
SCOPUS FUND	041	UFS	B	8,295	80.27	n/a	n/a	331.80	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		UPS	B	1,035	90.29	n/a	n/a	10.35	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093		UTX	B	1,010	103.95	n/a	n/a	10.10	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		WFC	B	2,890	41.09	n/a	6-Jun	28.90	0.0
PERIMETER	273	WNC	B	20,000	11.68	n/a	n/a	800.00	0.0
KAM ADVISORS LLC	041	XLI	SS	220,000	45.79	n/a	n/a	6,600.00	0.0
CASTLEROCK	040	YUM	SS	5,000	70.80	n/a	17-Jun	100.00	0.0
TOTAL (Trade Date):								91,514.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/02	GABELLI FUNDS (GABEFOCUS5)	025	GM	B	26,800	35.68	n/a	19-Jun	804.00 0.0
AO,CXL	10/02	GABELLI FUNDS (GABEGLGROW)	025	GM	B	26,800	35.68	n/a	19-Jun	804.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	91,514.90
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	91,514.90
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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