



## Daily Compliance Activity Report

Trade Date: 01/29/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	500	457.16	n/a	n/a	15.00	3.0
LATEEF MGMT	033	AA	S	300	8.89	n/a	n/a	30.00	10.0
BROADARCH CAP/OLD NEWC	070	ABT	B	2,000	33.15	n/a	n/a	80.00	4.0
CAPITAL RESEARCH GROUP		296	AF	S	50,000	9.69	n/a 24-Jan	1,750.00	0.0
WINSLOW CAPITAL	030	AGN	B	600	106.40	n/a	28-Jan	18.00	3.0
MILLRACE FUND LP	028	ALV	SS	5,000	67.59	n/a	28-Jan	200.00	4.0
WOOSTER CAPITAL	044	ALV	SS	35,000	67.70	n/a	28-Jan	1,400.00	4.0
WINSLOW CAPITAL	030	AMZN	B	500	270.23	n/a	n/a	15.00	3.0
DECADE CAPITAL CHRIS C	041	ATI	B	37,968	31.54	n/a	28-Jan	1,518.72	0.0
LATEEF MGMT	033	ATI	S	250	30.97	n/a	28-Jan	30.00	12.0
TUDOR INVESTORS	028	AXL	B	10,000	12.03	n/a	28-Jan	300.00	3.0
MERRILL ASSET/BLACKROCK	297	BANR	S	14,600	29.99	n/a	n/a	584.00	0.0
BRONSON POINT	036	BA	B	50,000	73.53	n/a	24-Jan	1,500.00	0.0
WINSLOW CAPITAL	030	BEN	B	700	137.86	n/a	2-Mar	21.00	3.0
WINSLOW CAPITAL	030	BIDU	B	600	109.42	n/a	n/a	18.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	BIIB	B	900	153.77	n/a	n/a	27.00	3.0
WINSLOW CAPITAL	030	BLK	B	400	237.06	n/a	n/a	12.00	3.0
WEXFORD CAPITAL	284	BRCD	B	176,000	5.70	n/a	23-Jan	5,280.00	3.0
BROADARCH CAP/OLD NEWC	070	BWA	S	2,000	76.02	n/a	28-Jan	80.00	4.0
WINSLOW CAPITAL	030	BWA	B	2,500	75.82	n/a	28-Jan	75.00	3.0
WINSLOW CAPITAL	030	CBS	B	1,600	42.18	n/a	n/a	48.00	3.0
FRONTIER	029	CCK	S	168,280	38.54	n/a	n/a	6,731.20	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>CCK</b>	<b>S</b>	<b>3,400</b>	<b>38.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	CELG	B	1,200	99.38	n/a	n/a	36.00	3.0
WINSLOW CAPITAL	030	CERN	B	1,000	83.49	n/a	n/a	30.00	3.0
OZ MGMT	040	CIEN	S	50,000	15.56	n/a	n/a	1,500.00	0.0
COLUMBUS CIRCLE	036	CLGX	S	9,048	25.23	n/a	n/a	361.92	0.0
RIVERPARK CAPITAL	025	CME	B	6,357	57.82	n/a	28-Apr	170.75	4.0
WINSLOW CAPITAL	030	COST	B	600	102.93	n/a	n/a	18.00	3.0
BROADARCH CAP/OLD NEWC	070	CSCO	B	1,000	20.80	n/a	23-Jan	40.00	4.0
LATEEF MGMT	033	CTB	S	175	26.19	n/a	n/a	35.00	20.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	DAL	S	500	13.68	n/a	28-Jan	50.00	10.0
WINSLOW CAPITAL	030	DG	B	1,700	47.00	n/a	12-Dec	51.00	3.0
WINSLOW CAPITAL	030	DHR	B	3,000	61.25	n/a	n/a	90.00	3.0
<b>Õ Michael Ehrlich</b>		<b>DRL</b>	<b>B</b>	<b>2500</b>	<b>0.6980</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	DVN	S	150	56.85	n/a	29-Jan	30.00	20.0
WINSLOW CAPITAL	030	EBAY	B	1,900	55.67	n/a	n/a	57.00	3.0
WINSLOW CAPITAL	030	ECL	B	1,200	72.93	n/a	18-Jan	36.00	3.0
WINSLOW CAPITAL	030	EL	B	1,000	63.53	n/a	29-Jan	30.00	3.0
WINSLOW CAPITAL	030	EMC	B	2,200	23.93	n/a	29-Jan	66.00	3.0
BROADARCH CAP/OLD NEWC	070	EMN	S	1,500	71.45	n/a	n/a	60.00	4.0
WINSLOW CAPITAL	030	ESRX	B	1,500	54.05	n/a	n/a	45.00	3.0
BROADARCH CAP/OLD NEWC	070	ETN	S	3,000	57.00	n/a	11-Jan	120.00	4.0
WINSLOW CAPITAL	030	FB	B	3,800	31.29	n/a	n/a	114.00	3.0
KADE CAPITAL LLC	028	FFIV	B	1,250	101.80	n/a	24-Jan	62.50	5.0
WINSLOW CAPITAL	030	FLR	B	1,400	65.72	n/a	n/a	42.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	FTI	B	1,200	46.92	n/a	n/a	36.00	3.0
BROADARCH CAP/OLD NEWC	070	F	S	4,000	13.31	n/a	29-Jan	160.00	4.0
CASTLEROCK	040	F	B	78,631	13.09	n/a	29-Jan	3,145.24	0.0
DEVENNY CAP LLC/MILLENIU	044	F	B	10,000	13.32	n/a	29-Jan	300.00	0.0
DEVENNY CAP LLC/MILLENIU	044	F	C	10,000	13.31	n/a	29-Jan	300.00	0.0
LATEEF MGMT	033	F	S	250	13.13	n/a	29-Jan	25.00	10.0
MUHLENKAMP FUND	046	F	S	312,400	13.06	n/a	29-Jan	12,496.00	0.0
OZ MGMT	040	F	B	450,000	13.23	n/a	29-Jan	13,500.00	0.0
OZ MGMT	040	F	C	151,627	13.25	n/a	29-Jan	4,548.81	0.0
S.A.C. CAPITAL	044	F	B	50,000	13.26	n/a	29-Jan	1,750.00	3.5
TRELLUS PARTNERS LP	028	F	B	20,000	13.31	n/a	29-Jan	600.00	0.0
WOOSTER CAPITAL	044	F	B	100,000	13.10	n/a	29-Jan	4,000.00	4.0
LISTED ERR	099	F	B	10,000	13.00	n/a	29-Jan	0.00	0.0
LISTED ERR	099	F	SS	10,000	13.01	n/a	29-Jan	0.00	0.0
BROADARCH CAP/OLD NEWC	070	GE	B	6,000	22.53	n/a	n/a	240.00	4.0
LATEEF MGMT	033	GE	S	200	22.52	n/a	n/a	34.00	17.0
WINSLOW CAPITAL	030	GILD	B	2,200	39.87	n/a	n/a	66.00	3.0
BRONSON POINT	036	GM	B	50,000	28.42	n/a	28-Jan	1,500.00	0.0
MUHLENKAMP FUND	046	GM	B	150,000	28.36	n/a	28-Jan	6,000.00	4.0
TUDOR INVESTORS	028	GM	B	60,000	28.41	n/a	28-Jan	1,800.00	3.0
WINSLOW CAPITAL	030	GOOG	B	200	753.59	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	GSK	B	1,200	45.45	n/a	n/a	36.00	3.0
DECADE CAPITAL CHRIS C	041	GWW	B	3,927	217.96	n/a	24-Jan	157.08	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	GWW	B	300	218.71	n/a	24-Jan	9.00	3.0
MACELLUM CAPITAL	086	HAS	B	96,697	37.17	n/a	n/a	2,900.91	3.0
BROADARCH CAP/OLD NEWC	070	HCA	S	4,000	37.28	n/a	n/a	160.00	4.0
WINSLOW CAPITAL	030	HCA	B	1,500	36.88	n/a	n/a	45.00	3.0
WINSLOW CAPITAL	030	HD	B	1,400	67.23	n/a	n/a	42.00	3.0
WINSLOW CAPITAL	030	IBM	B	900	204.71	n/a	n/a	27.00	3.0
BRONSON POINT	036	INGR	B	25,000	67.74	n/a	n/a	750.00	0.0
BROADARCH CAP/OLD NEWC	070	IP	B	1,000	42.05	n/a	17-Jan	40.00	4.0
DECADE CAPITAL CHRIS C	041	IP	SS	11,243	41.73	n/a	17-Jan	449.72	0.0
LATEEF MGMT	033	IP	S	125	41.86	n/a	17-Jan	31.25	25.0
TUDOR INVESTORS	028	IP	B	5,000	41.72	n/a	17-Jan	150.00	3.0
DECADE CAPITAL CHRIS C	041	IR	SS	9,762	51.22	n/a	11-Dec	390.48	0.0
WINSLOW CAPITAL	030	ISRG	B	200	574.16	n/a	n/a	6.00	3.0
J. GOLDMAN	028	ITW	B	73,500	63.68	n/a	n/a	2,940.00	4.0
SANDLER CAPITAL	028	ITW	SS	200,000	63.44	n/a	n/a	10,000.00	0.0
BTG PACTUAL	040	JBLU	B	20,000	6.05	n/a	29-Jan	600.00	3.0
TUDOR INVESTORS	028	JCI	S	30,000	30.97	n/a	22-Jan	900.00	3.0
MILLENNIUM-NEW VERNON	031	JFR	B	31,000	12.81	n/a	n/a	1,550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BROADARCH CAP/OLD NEWC	070	JOY	B	500	63.74	n/a	11-Jul	20.00	4.0	
SIGMA CAPITAL ASSOCIATES	041	KMB	B	25,000	87.80	n/a	29-Jan	875.00	3.5	
WINSLOW CAPITAL	030	KORS	B	700	57.52	n/a	24-Jan	21.00	3.0	
LIONEYE CAPITAL	040	LCC	B	800	14.30	n/a	28-Jan	40.00	5.0	
BROADARCH CAP/OLD NEWC	070	LEA	S	4,000	48.51	n/a	28-Jan	160.00	0.0	
CAERUS GLOBAL	041	LEA	B	25,000	49.52	n/a	28-Jan	1,000.00	4.0	
CORVEX CAPITAL	041	LEA	B	116,000	49.17	n/a	28-Jan	3,480.00	0.0	
DEVENNY CAP LLC/MILLENIU	044	LEA	S	30,000	49.01	n/a	28-Jan	900.00	0.0	
WINSLOW CAPITAL	030	LEN	B	1,300	42.61	n/a	n/a	39.00	3.0	
SENATOR INVESTMENT GROUP	036	LUV	SS	66,651	11.34	n/a	28-Jan	1,999.53	3.0	
WINSLOW CAPITAL	030	LVS	B	1,100	51.53	n/a	13-Jun	33.00	3.0	
CAPITAL RESEARCH GROUP		296	MAT	S	272,212	37.18	n/a	n/a	9,527.42	0.0
WINSLOW CAPITAL	030	MA	B	200	519.72	n/a	28-Jan	6.00	3.0	
BROADARCH CAP/OLD NEWC	070	MCK	B	1,000	105.75	n/a	n/a	40.00	4.0	
WINSLOW CAPITAL	030	MHP	B	1,100	57.05	n/a	n/a	33.00	3.0	
M&I FUNDS	047	MLI	S	17,802	53.58	n/a	18-Dec	712.08	4.0	
BROADARCH CAP/OLD NEWC	070	MMM	B	3,000	101.15	n/a	18-Jan	120.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	MON	B	1,800	102.59	n/a	18-Jan	54.00	3.0
BROADARCH CAP/OLD NEWC	070	MPEL	S	2,000	20.33	n/a	13-Jun	80.00	4.0
BROADARCH CAP/OLD NEWC	070	MS	B	4,000	22.50	n/a	22-Jan	160.00	4.0
Õ May Tang		MS	S	600	22.5900	n/a	22-Jan	0.00	0.0
S.A.C. CAPITAL	044	MT	B	25,000	17.72	n/a	n/a	875.00	3.5
CSFB GLOBAL PROPRIETARY	041	MWV	S	20,000	32.71	n/a	24-Oct	1,000.00	5.0
RIDGECREST INV MGMT LLC	028	MWV	S	3,900	32.93	n/a	24-Oct	156.00	4.0
SCOPUS FUND	041	M	B	35,000	39.91	n/a	14-Jan	1,400.00	0.0
FIRST NEW YORK	086	NOK	B	40,000	4.26	n/a	n/a	1,600.00	4.0
BROADARCH CAP/OLD NEWC	070	NTAP	B	1,000	36.29	n/a	23-Jan	40.00	4.0
WINSLOW CAPITAL	030	NXPI	B	100	30.20	n/a	n/a	3.00	3.0
LATEEF MGMT	033	NYCB	S	375	13.21	n/a	29-Jan	37.50	10.0
BROADARCH CAP/OLD NEWC	070	ORCL	S	3,000	35.31	n/a	n/a	120.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	15,000	43.54	n/a	28-Jan	750.00	5.0
WINSLOW CAPITAL	030	PCLN	B	200	701.33	n/a	n/a	6.00	3.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	15,000	48.72	n/a	29-Jan	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	PCP	B	500	187.67	n/a	24-Jan	15.00	3.0
WOODWAY FINANCIAL	031	PETM	S	23,151	63.96	n/a	n/a	1,389.06	6.0
BROADARCH CAP/OLD NEWC	070	PFE	B	20,000	27.31	n/a	n/a	800.00	4.0
LATEEF MGMT	033	PFE	S	200	27.79	n/a	n/a	34.00	17.0
KAM ADVISORS LLC	041	PPG	B	63,900	140.22	n/a	18-Jan	1,917.00	0.0
TUDOR INVESTORS	028	PPO	B	5,000	38.09	n/a	n/a	150.00	3.0
BRONSON POINT	036	PSX	S	10,000	60.00	n/a	n/a	300.00	0.0
DECADE CAPITAL CHRIS C	041	RKT	B	6,646	79.33	n/a	24-Jan	265.84	0.0
WINSLOW CAPITAL	030	RL	B	500	168.50	n/a	5-Nov	15.00	3.0
WINSLOW CAPITAL	030	ROST	B	1,000	59.65	n/a	4-Jan	30.00	3.0
WINSLOW CAPITAL	030	RRC	B	600	68.05	n/a	17-Jan	18.00	3.0
WINSLOW CAPITAL	030	SBAC	B	1,100	71.22	n/a	n/a	33.00	3.0
LATEEF MGMT	033	SPLS	S	300	13.62	n/a	n/a	30.00	10.0
BROADARCH CAP/OLD NEWC	070	SSO	SS	1,500	66.51	n/a	n/a	60.00	4.0
ROSEDALE CAPITAL	046	STLD	S	20,000	15.41	n/a	n/a	800.00	4.0
LATEEF MGMT	033	SWY	S	250	19.29	n/a	n/a	25.00	10.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	TECD	SS	1,000	50.67	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TRW	S	4,000	57.28	n/a	n/a	160.00	4.0
LATEEF MGMT	033	TSN	S	375	22.53	n/a	n/a	37.50	10.0
TUDOR INVESTORS	028	TYC	B	10,000	30.70	n/a	16-Nov	300.00	3.0
DEVENNY CAP LLC/MILLENIU	044	UAL	S	5,000	24.54	n/a	28-Jan	150.00	0.0
LATEEF MGMT	033	UAL	S	175	24.03	n/a	28-Jan	31.50	18.0
CATAPULT	040	UA	SS	7,100	48.16	n/a	29-Jan	284.00	0.0
CATAPULT	040	UA	S	10,600	48.71	n/a	29-Jan	424.00	0.0
FIRST NY SEC/CHRIS	041	UA	S	5,000	48.68	n/a	29-Jan	250.00	5.0
NOMURA INTERNATIONAL PLC	085	UA	B	2,000	48.75	n/a	29-Jan	97.50	0.0
WINSLOW CAPITAL	030	ULTA	B	600	98.43	n/a	n/a	18.00	3.0
WINSLOW CAPITAL	030	UNH	B	1,500	56.50	n/a	n/a	45.00	3.0
WINSLOW CAPITAL	030	UNP	B	1,700	134.60	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	UTX	B	1,200	89.47	n/a	n/a	36.00	3.0
BROADARCH CAP/OLD NEWC	070	VRNT	B	2,000	33.95	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	WAG	S	6,000	39.84	n/a	n/a	240.00	4.0
WINSLOW CAPITAL	030	WFC	B	1,700	35.22	n/a	29-Jan	51.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	WMB	B	1,700	34.91	n/a	n/a	51.00	3.0
TUDOR INVESTORS	028	WY	B	10,000	30.36	n/a	25-Jan	300.00	3.0
BROADARCH CAP/OLD NEWC	070	XLK	SS	3,000	29.33	n/a	n/a	120.00	4.0
LATEEF MGMT	033	XOM	S	125	91.90	n/a	n/a	37.50	30.0
WINSLOW CAPITAL	030	YUM	B	600	64.99	n/a	28-Jan	18.00	3.0
<b>TOTAL (Trade Date):</b>							<b>129,211.01</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/28	BALYASNY ASSET MGMT (BALYGS)	044	BONT	B	15,197	12.99	n/a	24-Jan	759.85 0.0
AO,	01/28	BALYASNY ASSET MGMT (BALYGS)	044	BONT	B	2,400	12.99	n/a	24-Jan	120.00 0.0
AO,	01/28	BALYASNY ASSET MGMT (BALYGS)	044	BONT	B	11,697	12.99	n/a	24-Jan	584.85 0.0
AO,	01/28	BALYASNY ASSET MGMT (BALYGS)	044	BONT	B	1,100	12.99	n/a	24-Jan	55.00 0.0
AO,CXL	01/28	CATAPULT/KGLT (KEYHKEYGRO)	040	EGN	B	23,500	47.45	n/a	n/a	940.00 0.0
AO,	01/28	CATAPULT/KGLT (KEYHKEYGRO)	040	EGN	B	1,500	47.45	n/a	n/a	60.00 0.0
AO,CXL	01/28	CATAPULT/KGLT (KEYHMILLEN)	040	EGN	B	1,500	47.45	n/a	n/a	60.00 0.0
AO,	01/28	CATAPULT/KGLT (KEYHMILLEN)	040	EGN	B	23,500	47.45	n/a	n/a	940.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	129,211.01
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>129,211.01</b>
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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