



Daily Compliance Activity Report

Trade Date: 12/17/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	S	400	554.33	n/a	n/a	12.00	0.0
SAC CHRIS C	041	ABT	B	25,000	36.46	n/a	n/a	750.00	0.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	32,227	39.59	n/a	n/a	966.81	0.0
PATTEN & PATTEN	025	AIG	B	300	49.47	n/a	n/a	15.00	0.0
PATTEN & PATTEN	025	AIG	S	200	49.47	n/a	n/a	10.00	0.0
WINSLOW CAPITAL	030	ALXN	S	400	122.75	n/a	n/a	12.00	0.0
WINSLOW CAPITAL	030	AMAT	S	5,000	16.87	n/a	n/a	150.00	0.0
WINSLOW CAPITAL	030	AMGN	S	1,500	110.06	n/a	n/a	45.00	0.0
TROUBH PART	070	AMSC	B	25,000	1.45	n/a	n/a	1,250.00	0.0
WINSLOW CAPITAL	030	AMT	S	1,500	76.10	n/a	n/a	45.00	0.0
WINSLOW CAPITAL	030	AMZN	S	900	387.10	n/a	n/a	27.00	0.0
PATTEN & PATTEN	025	APC	B	1,200	79.26	n/a	13-Jun	60.00	0.0
WINSLOW CAPITAL	030	ARMH	S	2,400	48.59	n/a	n/a	72.00	0.0
ROSEDALE CAPITAL	046	AXL	S	10,000	19.96	n/a	19-Jun	400.00	0.0
MATRIX ASSET ADV.	091	AXP	S	800	84.24	n/a	19-Jun	32.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	AXP	S	1,300	84.34	n/a	19-Jun	39.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	AYI	B	14,885	103.97	n/a	n/a	446.55	0.0
BRONSON POINT	036	BA	SS	25,000	135.54	n/a	11-Jun	750.00	0.0
PATTEN & PATTEN	025	BDBD	S	2,000	15.01	n/a	n/a	100.00	0.0
BARON ASSET MGMT*	006	BERY	S	27,500	21.53	n/a	n/a	825.00	0.0
PATTEN & PATTEN	025	BHK	B	21,100	12.67	n/a	n/a	1,055.00	0.0
WINSLOW CAPITAL	030	BIDU	S	700	168.79	n/a	n/a	21.00	0.0
WINSLOW CAPITAL	030	BIIB	S	800	270.74	n/a	n/a	24.00	0.0
WINSLOW CAPITAL	030	BLK	S	600	302.81	n/a	n/a	18.00	0.0
WINSLOW CAPITAL	030	BMY	S	1,700	50.61	n/a	n/a	51.00	0.0
PATTEN & PATTEN	025	BP	S	500	45.39	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	BUD	B	100	101.79	n/a	17-Jun	5.00	0.0
WINSLOW CAPITAL	030	BWA	S	2,000	54.92	n/a	19-Jun	60.00	0.0
WINSLOW CAPITAL	030	CBS	S	2,000	58.27	n/a	n/a	60.00	0.0
WINSLOW CAPITAL	030	CELG	S	1,900	160.41	n/a	n/a	57.00	0.0
BARON ASSET MGMT*	006	CHRW	S	15,000	56.31	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/M GRONET	030	CLX	SS	15,000	91.79	n/a	17-Jun	450.00	0.0
WINSLOW CAPITAL	030	CMG	S	200	513.42	n/a	3-Jun	6.00	0.0
PATTEN & PATTEN	025	CNI	S	1,100	55.02	n/a	n/a	55.00	0.0
IVORY CAPITAL	084	COLE	S	100,000	13.83	n/a	n/a	5,000.00	0.0
WINSLOW CAPITAL	030	COST	S	700	117.69	n/a	n/a	21.00	0.0
WINSLOW CAPITAL	030	CRM	S	4,700	51.63	n/a	n/a	141.00	0.0
WINSLOW CAPITAL	030	CTRX	S	1,500	45.51	n/a	n/a	45.00	0.0
WINSLOW CAPITAL	030	CTSH	S	1,200	94.05	n/a	n/a	36.00	0.0
WINSLOW CAPITAL	030	CVS	S	1,600	67.13	n/a	n/a	48.00	0.0
DELTEC ASSET MGMT.	040	DAL	B	15,000	26.98	n/a	18-Jun	750.00	0.0
WINSLOW CAPITAL	030	DAL	S	2,400	27.08	n/a	18-Jun	72.00	0.0
WINSLOW CAPITAL	030	DG	S	2,500	59.70	n/a	4-Jun	75.00	0.0
WINSLOW CAPITAL	030	DHR	S	3,300	74.59	n/a	n/a	99.00	0.0
WINSLOW CAPITAL	030	DIS	S	1,400	69.90	n/a	n/a	42.00	0.0
TUDOR INVESTORS	028	DOV	SS	2,000	91.91	n/a	n/a	60.00	0.0
WINSLOW CAPITAL	030	EBAY	S	3,100	52.89	n/a	n/a	93.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ECL	S	1,000	101.72	n/a	18-Jan	30.00	0.0
CR INTRINIC INVESTMENT	044	ECOM	B	10,000	39.34	n/a	n/a	300.00	0.0
WINSLOW CAPITAL	030	EL	S	1,400	72.38	n/a	17-Jun	42.00	0.0
PATTEN & PATTEN	025	EWA	S	3,500	23.68	n/a	n/a	175.00	0.0
J. GOLDMAN	028	EXPR	S	75,000	18.23	n/a	n/a	3,000.00	0.0
WINSLOW CAPITAL	030	FB	S	3,200	54.32	n/a	n/a	96.00	0.0
DEPRINCE, RACE & ZOLLO	093	FINL	S	30,000	26.14	n/a	19-Jun	1,500.00	0.0
WINSLOW CAPITAL	030	FOXA	S	5,400	32.53	n/a	n/a	162.00	0.0
J. GOLDMAN	028	FRAN	C	50,000	17.67	n/a	n/a	2,000.00	0.0
OZ MGMT	040	F	C	270,612	16.94	n/a	19-Jun	8,118.36	0.0
SCOPUS FUND	041	F	B	50,000	16.71	n/a	19-Jun	2,000.00	0.0
CORTEX CAPITAL	031	GES	SS	35,000	30.61	n/a	31-May	1,050.00	0.0
WINSLOW CAPITAL	030	GILD	S	2,700	69.21	n/a	n/a	81.00	0.0
BALYASNY ASSET MGMT	044	GIS	C	90,000	49.58	n/a	n/a	4,500.00	0.0
HARVEST MGMT	029	GME	B	10,000	49.08	n/a	n/a	500.00	0.0
LATEEF MGMT	033	GSPRD	B	1,000	17.91	n/a	n/a	100.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
MOORE CAPITAL	257	HLF	B	13,000	76.48	n/a	n/a	390.00	0.0	
PATTEN & PATTEN	025	HLT	B	5,150	21.86	n/a	n/a	257.50	0.0	
WINSLOW CAPITAL	030	HLT	S	400	21.75	n/a	n/a	12.00	0.0	
FINDLAY PARK PART	085	IEX	S	58,500	70.95	n/a	n/a	6,226.04	0.0	
J. GOLDMAN	028	IP	B	15,000	48.56	n/a	17-Jun	600.00	0.0	
TUDOR INVESTORS	028	IP	SS	5,000	48.35	n/a	17-Jun	150.00	0.0	
INTERVAL PARTNERS	033	JCI	SS	5,000	51.41	n/a	10-Jun	150.00	0.0	
CR INTRINIC INVESTMENT	044	JCP	SS	10,000	8.28	n/a	18-Jun	300.00	0.0	
WINSLOW CAPITAL	030	JPM	S	1,700	55.96	n/a	17-Jun	51.00	0.0	
LAKEWOOD CAPITAL MGMT	085	KKR	S	25,000	24.64	n/a	n/a	750.00	0.0	
WINSLOW CAPITAL	030	KSU	S	300	117.40	n/a	n/a	9.00	0.0	
WINSLOW CAPITAL	030	LBTYA	S	1,300	83.70	n/a	n/a	39.00	0.0	
CR INTRINIC INVESTMENT	044	LOW	B	5,000	46.51	n/a	n/a	150.00	0.0	
WINSLOW CAPITAL	030	LOW	S	2,300	46.56	n/a	n/a	69.00	0.0	
COUGAR TRADING	044	LULU	B	5,000	58.94	n/a	19-Jun	250.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	LULU	B	43,200	57.88	n/a	19-Jun	1,296.00	0.0
MOORE CAPITAL	257	LVS	B	3,500	77.54	n/a	13-Jun	105.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	MAS	B	10,000	21.11	n/a	n/a	300.00	0.0
WINSLOW CAPITAL	030	MA	S	200	798.30	n/a	13-Jun	6.00	0.0
INTERVAL PARTNERS	033	MGA	B	30,000	79.77	n/a	n/a	900.00	0.0
MOORE CAPITAL	257	MGM	C	48,500	22.19	n/a	13-Jun	1,455.00	0.0
WINSLOW CAPITAL	030	MON	S	2,600	111.54	n/a	n/a	78.00	0.0
J. GOLDMAN	028	MOS	B	20,000	44.51	n/a	n/a	800.00	0.0
MOORE CAPITAL	257	MPEL	B	6,500	39.04	n/a	13-Jun	195.00	0.0
IVORY CAPITAL	084	MSFT	B	178,896	36.53	n/a	n/a	8,944.80	0.0
ROYCE TRADING	031	MSM	B	11,500	79.34	n/a	n/a	575.00	0.0
WINSLOW CAPITAL	030	MS	S	400	30.51	n/a	6-Jun	12.00	0.0
LAKEWOOD CAPITAL MGMT	085	MTOR	B	15,000	7.85	n/a	n/a	450.00	0.0
TUDOR INVESTORS	028	MWV	S	10,000	36.00	n/a	18-Jun	300.00	0.0
WINSLOW CAPITAL	030	NBL	S	1,600	68.45	n/a	n/a	48.00	0.0
PATTEN & PATTEN	025	NEE	S	200	82.74	n/a	n/a	10.00	0.0
WINSLOW CAPITAL	030	NKE	S	1,900	76.79	n/a	19-Jun	57.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOLLIS CAPITAL	033	NOG	S	10,000	14.72	n/a	n/a	500.00	0.0
WINSLOW CAPITAL	030	NOW	S	1,000	50.88	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	NSC	S	210	89.41	n/a	n/a	10.50	0.0
PATTEN & PATTEN	025	NUAN	S	600	14.44	n/a	n/a	30.00	0.0
WINSLOW CAPITAL	030	NXPI	S	3,700	43.48	n/a	n/a	111.00	0.0
LATEEF MGMT	033	OLN	S	500	28.37	n/a	n/a	50.00	0.0
Ö Jack Chernus		ORCL	S	20	0.4700	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	PCLN	S	3001	157.20	n/a	n/a	9.00	0.0
WINSLOW CAPITAL	030	PCP	S	600	258.81	n/a	11-Jun	18.00	0.0
CAPITAL WORLD	084	PG	B	850,000	81.28	n/a	17-Jun	29,750.00	0.0
WINSLOW CAPITAL	030	QCOM	S	1,700	72.47	n/a	n/a	51.00	0.0
DONALD SMITH	088	RCL	S	26,629	44.23	n/a	n/a	399.44	0.0
CR INTRINIC INVESTMENT	044	RGR	B	100	73.58	n/a	n/a	3.00	0.0
BARON ASSET MGMT*	006	RH	B	7,000	63.96	n/a	n/a	280.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	S	20,000	100.46	n/a	17-Jun	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	RL	S	400	173.71	n/a	24-May	12.00	0.0
WINSLOW CAPITAL	030	ROST	S	1,200	72.28	n/a	18-Jun	36.00	0.0
WINSLOW CAPITAL	030	RRC	S	1,200	78.51	n/a	13-Jun	36.00	0.0
WINSLOW CAPITAL	030	SBAC	S	1,300	84.80	n/a	n/a	39.00	0.0
WINSLOW CAPITAL	030	SBUX	S	2,900	76.17	n/a	17-Jun	87.00	0.0
WINSLOW CAPITAL	030	SCHW	S	2,800	24.83	n/a	n/a	84.00	0.0
PATTEN & PATTEN	025	SIRO	B	200	68.30	n/a	n/a	10.00	0.0
MATRIX ASSET ADV.	091	SLB	B	1,000	86.40	n/a	n/a	40.00	0.0
WINSLOW CAPITAL	030	SLB	S	1,400	86.29	n/a	n/a	42.00	0.0
CR INTRINIC INVESTMENT	044	SODA	SS	5,000	50.85	n/a	n/a	150.00	0.0
LATEEF MGMT	033	SWY	B	750	32.26	n/a	n/a	75.00	0.0
PATTEN & PATTEN	025	TIF	S	300	90.31	n/a	n/a	15.00	0.0
WINSLOW CAPITAL	030	ULTA	S	1,200	90.33	n/a	n/a	36.00	0.0
PATTEN & PATTEN	025	UNM	S	300	34.02	n/a	n/a	15.00	0.0
WINSLOW CAPITAL	030	UNP	S	200	160.87	n/a	n/a	6.00	0.0
MOORE CAPITAL	257	URI	B	5,000	74.52	n/a	17-Apr	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	UTX	S	1,200	107.91	n/a	n/a	36.00	0.0
PATTEN & PATTEN	025	VEU	B	1,700	48.86	n/a	n/a	85.00	0.0
ARDSLEY PARTNERS	280	VJET	C	30,000	35.69	n/a	n/a	1,500.00	0.0
WINSLOW CAPITAL	030	V	S	1,700	210.13	n/a	11-Jun	51.00	0.0
WINSLOW CAPITAL	030	WFM	S	700	56.70	n/a	n/a	21.00	0.0
WINSLOW CAPITAL	030	WYNN	S	600	181.07	n/a	13-Jun	18.00	0.0
Õ Jack Chernus		XLI	B	300	50.2100	n/a	n/a	0.00	0.0
Õ Jack Chernus		XLI	B	300	50.2190	n/a	n/a	0.00	0.0
Õ Jack Chernus		XLI	B	300	50.2200	n/a	n/a	0.00	0.0
Õ Jack Chernus		XLI	B	500	50.2190	n/a	n/a	0.00	0.0
Õ Jack Chernus		XLI	S	3	0.8500	n/a	n/a	0.00	0.0
Õ Jack Chernus		XLI	S	3	0.8500	n/a	n/a	0.00	0.0
Õ Jack Chernus		XLI	S	5	0.8500	n/a	n/a	0.00	0.0
INTERVAL PARTNERS	033	XLP	SS	30,000	41.99	n/a	n/a	900.00	0.0
BARROW HANLEY MEWHINNEY	031	XYL	B	253,643	33.98	n/a	n/a	8,877.51	0.0
WINSLOW CAPITAL	030	ZTS	S	3,500	31.37	n/a	n/a	105.00	0.0
TOTAL (Trade Date) :								108,034.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/12	YORK CAPITAL (YORK516124)	036	SIRI	B	1,415	3.44	n/a	n/a	14.15	0.0
AO,CXL	12/12	YORK CAPITAL (YORK399745)	036	SIRI	B	15,644	3.44	n/a	n/a	156.44	0.0
AO,	12/12	YORK CAPITAL (YORK399745)	036	SIRI	B	14,229	3.44	n/a	n/a	142.29	0.0
TOTAL (AO, CXL, CRT) :										0.00	

TOTAL (Trade Date):	108,034.51
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	108,034.51
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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