



## Daily Compliance Activity Report

Trade Date: 02/28/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AGN	B	100	108.43	n/a	13-Feb	3.00	3.0
WINSLOW CAPITAL	030	AMGN	B	100	92.63	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	AMT	B	100	77.65	n/a	n/a	3.00	3.0
CR INTRINIC INVESTMENT	044	ANF	B	20,000	46.75	n/a	n/a	600.00	3.0
NEWLAND CAPITAL MGT	025	ARC	S	75,000	2.21	n/a	n/a	2,250.00	3.0
MILLENNIUM-NEW VERNON	031	AXL	B	40,000	12.66	n/a	28-Feb	2,400.00	6.0
NEWLAND CAPITAL MGT	025	AXL	B	10,000	12.75	n/a	28-Feb	400.00	4.0
RIDGECREST INV MGMT LLC	028	AXL	S	15,000	12.71	n/a	28-Feb	600.00	0.0
SCOPUS FUND	041	AXL	B	50,000	12.72	n/a	28-Feb	2,000.00	0.0
OZ MGMT	040	BA	B	89,862	77.44	n/a	25-Feb	2,695.86	0.0
WINSLOW CAPITAL	030	BIDU	B	100	90.67	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	BWA	B	100	74.75	n/a	15-Feb	3.00	3.0
NORTHWESTERN MUTUAL LIFE	047	CAH	S	37,400	46.40	n/a	n/a	1,496.00	0.0
WINSLOW CAPITAL	030	CBS	B	100	43.28	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	CELG	B	200	104.28	n/a	n/a	6.00	3.0
J. GOLDMAN	028	COST	SS	20,000	101.46	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	CTL	S	2,600	34.91	n/a	n/a	104.00	0.0
WINSLOW CAPITAL	030	CVS	B	200	51.57	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	DAL	B	600	14.31	n/a	27-Feb	18.00	3.0
SANDLER O'NEILL ASSET	031	DFS	B	1,500	38.61	n/a	28-Feb	75.00	5.0
WINSLOW CAPITAL	030	DG	B	200	46.42	n/a	25-Feb	6.00	3.0
WINSLOW CAPITAL	030	DHR	B	600	61.48	n/a	n/a	18.00	3.0
WINSLOW CAPITAL	030	DIS	B	100	54.61	n/a	n/a	3.00	3.0
Õ Abram Chappel		DY	S	295	21.6600	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	EL	B	100	64.15	n/a	28-Feb	3.00	3.0
WINSLOW CAPITAL	030	EMC	B	500	23.17	n/a	26-Feb	15.00	3.0
SENATOR INVESTMENT GROUP	036	EMN	S	22,200	70.84	n/a	n/a	666.00	3.0
OSKIE CAPITAL MGMT	224	ESRX	S	20,000	56.92	n/a	n/a	1,000.00	5.0
WINSLOW CAPITAL	030	FB	B	700	26.53	n/a	n/a	21.00	3.0
WINSLOW CAPITAL	030	FDX	B	100	105.27	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	FLR	B	100	62.56	n/a	n/a	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	FL	B	40,000	34.18	n/a	27-Feb	1,200.00	3.0
WINSLOW CAPITAL	030	FTI	B	100	51.60	n/a	n/a	3.00	3.0
SCHOTTENFELD ASSOC	041	F	B	25,000	12.86	n/a	28-Feb	750.00	3.0
WINSLOW CAPITAL	030	GILD	B	500	42.94	n/a	n/a	15.00	3.0
GLENHILL CAPITAL	036	GIL	S	47,285	36.77	n/a	7-Feb	2,364.25	0.0
BRONSON POINT	036	GM	B	100,000	27.32	n/a	28-Feb	3,000.00	0.0
GEORGE WEISS	278	GM	SS	25,000	27.21	n/a	28-Feb	1,000.00	0.0
SCHOTTENFELD ASSOC	041	GM	B	25,000	27.39	n/a	28-Feb	750.00	3.0
SYMPHONY ASSET	033	GM	B	29,650	27.40	n/a	28-Feb	889.50	0.0
TRELLUS PARTNERS LP	028	GM	B	19,000	27.09	n/a	28-Feb	570.00	0.0
TROUBH PART	070	GM	S	25,000	27.13	n/a	28-Feb	1,250.00	5.0
VERITION	028	GM	B	5,000	27.08	n/a	28-Feb	150.00	3.0
BRONSON POINT	036	GNW	SS	100,000	8.56	n/a	n/a	3,000.00	0.0
SCOPUS FUND	041	GPI	B	10,000	58.09	n/a	28-Feb	400.00	0.0
WINSLOW CAPITAL	030	GSK	B	200	44.19	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	HAL	B	100	41.62	n/a	n/a	3.00	3.0
GLENHILL CAPITAL	036	HBI	B	19,171	39.98	n/a	26-Feb	958.55	0.0
WINSLOW CAPITAL	030	HCA	B	200	37.15	n/a	n/a	6.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	HD	B	100	68.32	n/a	n/a	3.00	3.0
S.A.C. CAPITAL	044	HOG	B	10,000	52.83	n/a	n/a	300.00	3.0
SCOPUS FUND	041	HUN	B	25,000	17.04	n/a	n/a	1,000.00	0.0
WINSLOW CAPITAL	030	IBM	B	100	201.85	n/a	n/a	3.00	3.0
NORTHWESTERN MUTUAL LIFE	047	INTC	B	137,950	20.96	n/a	n/a	5,518.00	0.0
CR INTRINSIC/CHRIS C	041	IP	S	25,000	44.46	n/a	28-Feb	750.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	75,000	44.40	n/a	28-Feb	3,750.00	5.0
HEIGHTS CAPITAL	251	ITW	B	59,718	61.77	n/a	n/a	2,388.72	0.0
S.A.C. CAPITAL	044	JWN	SS	10,000	54.30	n/a	22-Feb	300.00	3.0
ELM RIDGE ADVISORS	044	KSS	B	67,000	44.91	n/a	28-Feb	2,680.00	0.0
S.A.C. CAPITAL	044	KSS	SS	50,000	45.60	n/a	28-Feb	1,500.00	3.0
DELTEC ASSET MGMT.	040	LCC	B	30,000	13.50	n/a	27-Feb	1,500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	LCC	B	100,000	13.56	n/a	27-Feb	3,000.00	3.0
STRONG/MARK GRONET	030	LCC	B	511,100	13.50	n/a	27-Feb	20,444.00	0.0
MARCATO CAPITAL MGMT.	029	LEA	B	93,040	53.93	n/a	12-Feb	3,721.60	4.0
WINSLOW CAPITAL	030	LEN	B	100	38.92	n/a	n/a	3.00	3.0
RAINIER INV MGMT	033	LNKD	B	4,350	167.39	n/a	n/a	174.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CASTLEROCK	040	LULU	SS	3,991	67.18	n/a	27-Feb	159.64	4.0	
WINSLOW CAPITAL	030	LVS	B	100	51.89	n/a	13-Jun	3.00	3.0	
WINSLOW CAPITAL	030	MA	B	100	516.73	n/a	12-Feb	3.00	3.0	
S.A.C. CAPITAL	044	MDR	B	25,000	12.61	n/a	n/a	750.00	3.0	
1798 CAP/LOMBARD ASSET	040	MDU	S	10,000	24.18	n/a	n/a	500.00	0.0	
WINSLOW CAPITAL	030	MON	B	300	101.15	n/a	n/a	9.00	3.0	
CSFB GLOBAL PROPRIETARY	041	MWV	B	100,000	35.96	n/a	25-Feb	5,000.00	5.0	
S.A.C. CAPITAL	044	M	B	50,000	40.74	n/a	27-Feb	1,500.00	3.0	
SUFFOLK CAPITAL MGMT	040	M	B	88,800	40.86	n/a	27-Feb	3,552.00	0.0	
MOORE CAPITAL	041	NE	B	21,363	36.12	n/a	n/a	640.89	0.0	
WINSLOW CAPITAL	030	NWSA	B	700	28.84	n/a	n/a	21.00	3.0	
WINSLOW CAPITAL	030	NXPI	B	600	32.62	n/a	n/a	18.00	3.0	
WINSLOW CAPITAL	030	PCP	B	100	186.86	n/a	25-Feb	3.00	3.0	
HEIGHTS CAPITAL	251	PLL	SS	59,119	67.83	n/a	n/a	2,364.76	0.0	
LAKEWOOD CAPITAL MGMT	085	PRLB	C	12,000	46.49	n/a	n/a	360.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	P	SS	412,500	12.12	n/a	n/a	12,375.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	QCOM	B	500	65.92	n/a	n/a	15.00	3.0
SHEFFIELD ASSET MGMT	031	RKT	S	42,500	88.96	n/a	28-Feb	1,700.00	4.0
WINSLOW CAPITAL	030	RL	B	100	173.59	n/a	21-Feb	3.00	3.0
WINSLOW CAPITAL	030	ROST	B	100	57.72	n/a	21-Feb	3.00	3.0
WINSLOW CAPITAL	030	RRC	B	100	74.45	n/a	28-Feb	3.00	3.0
WINSLOW CAPITAL	030	SBAC	B	100	71.19	n/a	n/a	3.00	3.0
DAVIDSON KEMPNER ADVISOR	040	SWY	C	25,000	24.05	n/a	n/a	1,250.00	0.0
LATEEF MGMT	033	SWY	S	3,100	23.99	n/a	n/a	310.00	10.0
WINSLOW CAPITAL	030	TDC	B	100	58.20	n/a	n/a	3.00	3.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	62.72	n/a	28-Feb	750.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	TJX	SS	75,000	45.05	n/a	28-Feb	2,250.00	3.0
NEWLAND CAPITAL MGT	025	UFS	B	10,000	74.96	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	UNH	B	100	53.75	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	UNP	B	200	137.28	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	UTX	B	100	90.56	n/a	n/a	3.00	3.0
COLUMBUS CIRCLE	036	VSI	S	4,144	51.74	n/a	n/a	165.76	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	V	B	100	158.72	n/a	26-Feb	3.00	3.0
WINSLOW CAPITAL	030	WFC	B	200	35.09	n/a	25-Feb	6.00	3.0
WINSLOW CAPITAL	030	YUM	B	100	65.78	n/a	5-Feb	3.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>112,696.53</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/27	TUDOR INVESTORS (TUDRMS)	028	BKE	B	12,500	44.30	n/a	n/a	375.00 3.0
AO,CXL	02/27	TUDOR INVESTORS (TUDRMAIN)	028	BKE	B	12,500	44.30	n/a	n/a	375.00 3.0
AO,CXL	02/27	DELTEC ASSET MGMT. (DELTPEPSPB)	040	LCC	B	50,000	13.42	n/a	27-Feb	2500.00 5.0
AO,CRT	02/27	DELTEC ASSET MGMT. (DELTPEPSPB)	040	LCC	B	50,000	13.42	n/a	27-Feb	2000.00 4.0
AO,CXL	02/27	MARCATO CAPITAL MGMT. (MARCGS)	029	LEA	B	200,000	54.01	n/a	12-Feb	6000.00 0.0
AO,	02/27	MARCATO CAPITAL MGMT. (MARCGS)	029	LEA	B	200,000	54.01	n/a	12-Feb	8000.00 0.0
AO,	02/27	EPOCH INV MGMT (EPOCCAWIRE)	030	LVS	B	1,118	50.99	n/a	13-Jun	33.54 0.0
AO,	02/27	EPOCH INV MGMT (EPOCNOVAGC)	030	LVS	B	2,734	50.99	n/a	13-Jun	82.02 0.0
AO,	02/27	EPOCH INV MGMT (EPOCDUNDEE)	030	LVS	B	1,367	50.99	n/a	13-Jun	41.01 0.0
AO,	02/27	EPOCH INV MGMT (EPOCMISSGC)	030	LVS	B	6,276	50.99	n/a	13-Jun	188.28 0.0
AO,	02/27	EPOCH INV MGMT (EPOCGCHOIC)	030	LVS	B	2,952	50.99	n/a	13-Jun	88.56 0.0
AO,	02/27	EPOCH INV MGMT (EPOCUSBKGL)	030	LVS	B	3,045	50.99	n/a	13-Jun	91.35 0.0
AO,	02/27	EPOCH INV MGMT (EPOCCONTIN)	030	LVS	B	1,553	50.99	n/a	13-Jun	46.59 0.0
AO,	02/27	EPOCH INV MGMT (EPOCVFMGRG)	030	LVS	B	715	50.99	n/a	13-Jun	21.45 0.0
AO,	02/27	EPOCH INV MGMT (EPOCLOCKGL)	030	LVS	B	5,965	50.99	n/a	13-Jun	178.95 0.0
AO,	02/27	EPOCH INV MGMT (EPOCELEMEN)	030	LVS	B	311	50.99	n/a	13-Jun	9.33 0.0
AO,	02/27	EPOCH INV MGMT (EPOCCHAMP)	030	LVS	B	1,243	50.99	n/a	13-Jun	37.29 0.0
AO,	02/27	EPOCH INV MGMT (EPOCWHITPE)	030	LVS	B	1,647	50.99	n/a	13-Jun	49.41 0.0
AO,	02/27	EPOCH INV MGMT (EPOCITVPEN)	030	LVS	B	963	50.99	n/a	13-Jun	28.89 0.0
AO,	02/27	EPOCH INV MGMT (EPOCVFMVWA)	030	LVS	B	4,847	50.99	n/a	13-Jun	145.41 0.0
AO,	02/27	EPOCH INV MGMT (EPOCGSMAGC)	030	LVS	B	932	50.99	n/a	13-Jun	27.96 0.0
AO,	02/27	EPOCH INV MGMT (EPOCVFMTAC)	030	LVS	B	3,293	50.99	n/a	13-Jun	98.79 0.0
AO,	02/27	EPOCH INV MGMT (EPOCVFMSSF)	030	LVS	B	3,138	50.99	n/a	13-Jun	94.14 0.0
AO,	02/27	EPOCH INV MGMT (EPOCVFMESS)	030	LVS	B	1,616	50.99	n/a	13-Jun	48.48 0.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/27	EPOCH INV MGMT (EPOCEPGCF)	030	LVS	B	3,107	50.99	n/a	13-Jun	93.21 0.0
AO,	02/27	EPOCH INV MGMT (EPOCRBSGLC)	030	LVS	B	9,694	50.99	n/a	13-Jun	290.82 0.0
AO,	02/27	EPOCH INV MGMT (EPOCSCIENC)	030	LVS	B	1,429	50.99	n/a	13-Jun	42.87 0.0
AO,	02/27	EPOCH INV MGMT (EPOCEDELMA)	030	LVS	B	124	50.99	n/a	13-Jun	3.72 0.0
AO,	02/27	EPOCH INV MGMT (EPOCCEDARS)	030	LVS	B	248	50.99	n/a	13-Jun	7.44 0.0
AO,	02/27	EPOCH INV MGMT (EPOCCANCAD)	030	LVS	B	249	50.99	n/a	13-Jun	7.47 0.0
AO,	02/27	EPOCH INV MGMT (EPOCEPGAR)	030	LVS	B	2,175	50.99	n/a	13-Jun	65.25 0.0
AO,	02/27	EPOCH INV MGMT (EPOCSUSSEX)	030	LVS	B	186	50.99	n/a	13-Jun	5.58 0.0
AO,	02/27	EPOCH INV MGMT (EPOCSIEGEL)	030	LVS	B	62	50.99	n/a	13-Jun	1.86 0.0
AO,	02/27	EPOCH INV MGMT (EPOCDAKOTA)	030	LVS	B	3,666	50.99	n/a	13-Jun	109.98 0.0

**TOTAL (AO, CXL, CRT) :** **3,439.65**

TOTAL (Trade Date): 112,696.53

TOTAL (AO, CXL, CRT): 3,439.65

**TOTAL (RUN DATE) / NFS:** **116,136.18**

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