

Daily Compliance Activity Report Trade Date: 12/17/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					101			TIEIDE VIO	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
WINSLOW CAPITAL	030	AAPL	S	400	554.33	n/a	n/a	12.00	0.0
SAC CHRIS C	041	ABT	В	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	В	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	В	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	В	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.¢	/Chm
WINSLOW CAPITAL	030	AXP	S S	1,300	84.34	n/a	19-Jun	39.00	0.0
KORTRIGHT CAPITAL PARTNER	RS025	AYI	В	14,885	103.97	n/a	n/a	446.55	0.0
BRONSON POINT	036	ВА	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	ВНК	В	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	ВМҮ	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	В	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	В	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	В	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	С	50,000	17.67	n/a	n/a	2,000.00	0.0	
OZ MGMT	040	F	С	270,612	16.94	n/a	19-Jun	8,118.36	0.0	
SCOPUS FUND	041	F	В	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	С	90,000	49.58	n/a	n/a	4,500.00	0.0	
HARVEST MGMT	029	GME	В	10,000	49.08	n/a	n/a	500.00	0.0	
LATEEF MGMT	033	GSPRD	В	1,000	17.91	n/a	n/a	100.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price		MRI	Research	n Comm.	\$/Shr.
MOORE CAPITAL	257	HLF	В	13,000	76.48		n/a	n/a	390.00	0.0
PATTEN & PATTEN	025	HLT	В	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	В	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	В	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	В	5,000	58.94		n/a	19-Jun	250.00	0.0
SMITH MGMT/ALDEN GLOBAL		029	LULU	В 4	13,200	57.88		n/a	19-Jun 1,2	296.00 0.0
MOORE CAPITAL	257	LVS	В	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	В	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	В	30,000	79.77	n/a	n/a	900.00	0.0
MOORE CAPITAL	257	MGM	С	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	В	20,000	44.51	n/a	n/a	800.00	0.0
MOORE CAPITAL	257	MPEL	В	6,500	39.04	n/a	13-Jun	195.00	0.0
IVORY CAPITAL	084	MSFT	В	178,896	36.53	n/a	n/a	8,944.80	0.0
ROYCE TRADING	031	MSM	В	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	В	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
	TUDOR INVESTORS WINSLOW CAPITAL INTERVAL PARTNERS MOORE CAPITAL WINSLOW CAPITAL J. GOLDMAN MOORE CAPITAL IVORY CAPITAL ROYCE TRADING WINSLOW CAPITAL LAKEWOOD CAPITAL MGMT TUDOR INVESTORS WINSLOW CAPITAL PATTEN & PATTEN	TUDOR INVESTORS WINSLOW CAPITAL INTERVAL PARTNERS 033 MOORE CAPITAL 257 WINSLOW CAPITAL 030 J. GOLDMAN 028 MOORE CAPITAL 257 IVORY CAPITAL ROYCE TRADING WINSLOW CAPITAL 030 LAKEWOOD CAPITAL MGMT 085 TUDOR INVESTORS 028 WINSLOW CAPITAL 030 PATTEN & PATTEN 025	TUDOR INVESTORS 028 MAS WINSLOW CAPITAL 1NTERVAL PARTNERS 033 MGA MOORE CAPITAL 257 MGM WINSLOW CAPITAL 030 MON J. GOLDMAN 028 MOS MOORE CAPITAL 1VORY CAPITAL 1VORY CAPITAL ROYCE TRADING WINSLOW CAPITAL 031 MSM WINSLOW CAPITAL 030 MS LAKEWOOD CAPITAL MGMT TUDOR INVESTORS 028 MWV WINSLOW CAPITAL 030 NBL PATTEN & PATTEN 025 NEE	TUDOR INVESTORS 028 MAS B WINSLOW CAPITAL 030 MA S INTERVAL PARTNERS 033 MGA B MOORE CAPITAL 257 MGM C WINSLOW CAPITAL 030 MON S J. GOLDMAN 028 MOS B MOORE CAPITAL 257 MPEL B IVORY CAPITAL 084 MSFT B ROYCE TRADING 031 MSM B WINSLOW CAPITAL 030 MS S LAKEWOOD CAPITAL MGMT 085 MTOR B TUDOR INVESTORS 028 MWV S WINSLOW CAPITAL 030 NBL S PATTEN & PATTEN 025 NEE S	TUDOR INVESTORS 028 MAS B 10,000 WINSLOW CAPITAL 030 MA S 200 INTERVAL PARTNERS 033 MGA B 30,000 MOORE CAPITAL 257 MGM C 48,500 WINSLOW CAPITAL 030 MON S 2,600 J. GOLDMAN 028 MOS B 20,000 MOORE CAPITAL 257 MPEL B 6,500 IVORY CAPITAL 084 MSFT B 178,896 ROYCE TRADING 031 MSM B 11,500 WINSLOW CAPITAL 030 MS S 400 LAKEWOOD CAPITAL MGMT 085 MTOR B 15,000 TUDOR INVESTORS 028 MWV S 10,000 WINSLOW CAPITAL 030 NBL S 200 PATTEN & PATTEN 025 NEE S 200	TUDOR INVESTORS 028 MAS B 10,000 21.11 WINSLOW CAPITAL 030 MA S 200 798.30 INTERVAL PARTNERS 033 MGA B 30,000 79.77 MOORE CAPITAL 257 MGM C 48,500 22.19 WINSLOW CAPITAL 030 MON S 2,600 111.54 J. GOLDMAN 028 MOS B 20,000 44.51 MOORE CAPITAL 257 MPEL B 6,500 39.04 IVORY CAPITAL 084 MSFT B 178,896 36.53 ROYCE TRADING 031 MSM B 11,500 79.34 WINSLOW CAPITAL 030 MS S 400 30.51 LAKEWOOD CAPITAL MGMT 085 MTOR B 15,000 7.85 TUDOR INVESTORS 028 MWV S 10,000 36.00 WINSLOW CAPITAL 030 NBL S 1,600 68.45 PATTEN 6 PATTEN 025 NEE S 200 82.74	TUDOR INVESTORS 028 MAS B 10,000 21.11 n/a WINSLOW CAPITAL 030 MA S 200 798.30 n/a INTERVAL PARTNERS 033 MGA B 30,000 79.77 n/a MOORE CAPITAL 257 MGM C 48,500 22.19 n/a WINSLOW CAPITAL 030 MON S 2,600 111.54 n/a J. GOLDMAN 028 MOS B 20,000 44.51 n/a MOORE CAPITAL 257 MPEL B 6,500 39.04 n/a IVORY CAPITAL 084 MSFT B 178,896 36.53 n/a ROYCE TRADING 031 MSM B 11,500 79.34 n/a WINSLOW CAPITAL 030 MS S 400 30.51 n/a WINSLOW CAPITAL 085 MTOR B 15,000 7.85 n/a TUDOR INVESTORS 028 MWV S 10,000 36.00 n/a WINSLOW CAPITAL 030 NBL S 1,600 68.45 n/a PATTEN & PATTEN 025 NEE S 200 82.74 n/a	TUDOR INVESTORS 028 MAS B 10,000 21.11 n/a n/a WINSLOW CAPITAL 030 MA S 200 798.30 n/a 13-Jun INTERVAL PARTNERS 033 MGA B 30,000 79.77 n/a n/a MOGRE CAPITAL 257 MGM C 48,500 22.19 n/a 13-Jun WINSLOW CAPITAL 030 MGN S 2,600 111.54 n/a n/a J. GOLDMAN 028 MGS B 20,000 44.51 n/a n/a MOORE CAPITAL 257 MFEL B 6,500 39.04 n/a 13-Jun IVORY CAPITAL 084 MSFT B 178,896 36.53 n/a n/a ROYCE TRADING 031 MSM B 11,500 79.34 n/a n/a WINSLOW CAPITAL 030 MS S 400 30.51 n/a 6-Jun LAKEWOOD CAPITAL MGMT 085 MTOR B 15,000 7.85 n/a n/a IUDOR INVESTORS 028 MWV S 10,000 36.00 n/a 18-Jun WINSLOW CAPITAL 030 NBL S 1,600 68.45 n/a n/a PATTEN & PATTEN 025 NEE S 200 82.74 n/a n/a	TUDOR INVESTORS 028 MAS B 10,000 21.11

	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	
õ	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	В	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	В	100	73.58	n/a	n/a	3.00	0.0	
	BARON ASSET MGMT*	006	RH	В	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	В	200	68.30	n/a	n/a	10.00	0.0
MATRIX ASSET ADV.	091	SLB	В	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	В	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	В	5,000	74.52	n/a	17-Apr	150.00	0.0

Account	RR #	Symbol	B/S	Shares Price	e 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	В	1,700 48.86	n/a	n/a	85.00	0.0
ARDSLEY PARTNERS	280	VJET	С	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
Jack Chernus		XLI	В	300 50.2100	n/a	n/a	0.00	0.0
Jack Chernus		XLI	В	300 50.2190	n/a	n/a	0.00	0.0
Jack Chernus		XLI	В	300 50.2200	n/a	n/a	0.00	0.0
Jack Chernus		XLI	В	500 50.2190	n/a	n/a	0.00	0.0
Jack Chernus		XLI	S	3 0.8500	n/a	n/a	0.00	0.0
Jack Chernus		XLI	S	3 0.8500	n/a	n/a	0.00	0.0
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	В	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

	count	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.¢	/Shr.
2/12 YO	RK CAPITAL (YORK516124)	036	SIRI	В	1,415	3.44	n/a	n/a	14.15	0.0
2/12 YO	RK CAPITAL (YORK399745)	036	SIRI	В	15,644	3.44	n/a	n/a	156.44	0.0
2/12 YO	RK CAPITAL (YORK399745)	036	SIRI	В	14,229	3.44	n/a	n/a	142.29	0.0
2	/12 YO	/12 YORK CAPITAL (YORK399745)	/12 YORK CAPITAL (YORK399745) 036	/12 YORK CAPITAL (YORK399745) 036 SIRI	/12 YORK CAPITAL (YORK399745) 036 SIRI B	/12 YORK CAPITAL (YORK399745) 036 SIRI B 15,644	/12 YORK CAPITAL (YORK399745) 036 SIRI B 15,644 3.44	/12 YORK CAPITAL (YORK399745) 036 SIRI B 15,644 3.44 n/a	/12 YORK CAPITAL (YORK399745) 036 SIRI B 15,644 3.44 n/a n/a	/12 YORK CAPITAL (YORK399745) 036 SIRI B 15,644 3.44 n/a n/a 156.44

TOTAL (RUN DATE) / NFS:	108,034.51
TOTAL (AO, CXL, CRT):	0.00
TOTAL (Trade Date):	108,034.51

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