



Daily Compliance Activity Report

Trade Date: 12/09/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KOLVEN CAPITAL	025	AAL	B	1,500	24.90	n/a	9-Dec	45.00	3.0
SAC CHRIS C	041	ABT	B	50,000	37.31	n/a	n/a	1,500.00	3.0
BTG PACTUAL	040	AEO	B	10,000	14.80	n/a	n/a	300.00	3.0
⚡ BUCK CAPITAL MGMT		AEO	S	740	14.82	n/a	n/a	non-brg	1.0
EPOCH INV MGMT	030	AET	S	158,600	66.39	n/a	n/a	4,758.00	3.0
⚡ BUCK CAPITAL MGMT		ALK	C	230	74.53	15-Nov	9-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		ALK	SS	14,000	74.56	15-Nov	9-Dec	non-brg	4.0
J. GOLDMAN	028	ALK	SS	20,000	74.18	15-Nov	9-Dec	800.00	4.0
WINSLOW CAPITAL	030	ALXN	B	90	126.14	n/a	n/a	2.70	3.0
WINSLOW CAPITAL	030	AMAT	B	480	16.98	n/a	n/a	14.40	3.0
WINSLOW CAPITAL	030	AMGN	B	155	113.98	n/a	n/a	4.65	3.0
WINSLOW CAPITAL	030	AMT	B	155	78.66	n/a	n/a	4.65	3.0
WINSLOW CAPITAL	030	AMZN	B	90	384.44	n/a	n/a	2.70	3.0
WINSLOW CAPITAL	030	ARMH	B	250	49.82	n/a	n/a	7.50	3.0
BRONSON POINT	036	ATI	B	25,000	33.75	9-Dec	9-Dec	750.00	3.0
⚡ BUCK CAPITAL MGMT		AXL	S	3,160	19.87	n/a	5-Dec	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	RACHEL A.K. FEINSTEI	FID	AXL	S	350	20.15	n/a	5-Dec	0.00	0.0
	SCOPUS FUND	041	AXL	B	25,000	19.56	n/a	5-Dec	1,000.00	4.0
ß	BUCK CAPITAL MGMT		AXP	S	420	85.70	15-Nov	4-Dec	non-brg	1.0
	WINSLOW CAPITAL	030	AXP	B	135	85.66	15-Nov	4-Dec	4.05	3.0
	CADIAN CAPITAL	041	AZO	C	4,500	458.01	n/a	n/a	135.00	3.0
	CR INTRINIC INVESTMENT	044	AZO	B	500	458.29	n/a	n/a	15.00	3.0
ß	BUCK CAPITAL MGMT		BAC	S	4,890	15.58	n/a	9-Dec	non-brg	1.0
	EPOCH INV MGMT	030	BA	S	10,530	135.40	n/a	6-Dec	315.90	3.0
ß	BUCK CAPITAL MGMT		BBBY	C	430	78.36	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		BCC	S	2,540	25.53	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		BHI	S	530	53.44	n/a	n/a	non-brg	1.0
	WINSLOW CAPITAL	030	BIDU	B	75	170.00	n/a	n/a	2.25	3.0
	WINSLOW CAPITAL	030	BIIB	B	70	285.20	n/a	n/a	2.10	3.0
	WINSLOW CAPITAL	030	BLK	B	55	303.20	n/a	n/a	1.65	3.0
	CR INTRINIC INVESTMENT	044	BURL	S	15,000	28.06	n/a	n/a	450.00	3.0
	WINSLOW CAPITAL	030	BWA	B	105	107.99	n/a	3-Dec	3.15	3.0
ß	BUCK CAPITAL MGMT		CAR	S	2,430	37.08	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CBS	B	215	58.83	n/a	n/a	6.45	3.0
WINSLOW CAPITAL	030	CELG	B	175	170.68	n/a	n/a	5.25	3.0
B BUCK CAPITAL MGMT		CERN	C	480	56.86	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	CERN	B	180	56.64	n/a	n/a	5.40	3.0
MACELLUM CAPITAL	086	CHS	B	30,000	18.46	n/a	n/a	900.00	3.0
WINSLOW CAPITAL	030	CMG	B	10	529.00	n/a	n/a	0.30	3.0
B BUCK CAPITAL MGMT		CNC	S	1,050	58.22	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		COF	S	910	73.08	n/a	5-Dec	non-brg	1.0
MACELLUM CAPITAL	086	COH	B	22,000	56.06	n/a	n/a	660.00	3.0
MOORE CAPITAL	257	CONN	S	5,000	74.75	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	COST	B	75	121.65	n/a	n/a	2.25	3.0
WINSLOW CAPITAL	030	CRM	B	445	53.52	n/a	n/a	13.35	3.0
WINSLOW CAPITAL	030	CTRX	B	170	44.55	n/a	n/a	5.10	3.0
WINSLOW CAPITAL	030	CTSH	B	125	94.55	n/a	n/a	3.75	3.0
WINSLOW CAPITAL	030	CVS	B	160	67.05	n/a	n/a	4.80	3.0
B BUCK CAPITAL MGMT		C	S	790	52.22	n/a	9-Dec	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	DAL	B	230	28.78	3-Dec	9-Dec	6.90	3.0
⌘ BUCK CAPITAL MGMT		DFS	S	1,100	53.37	n/a	5-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DGX	S	850	60.23	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DG	S	610	60.90	6-Dec	6-Dec	non-brg	1.0
WINSLOW CAPITAL	030	DG	B	255	60.78	6-Dec	6-Dec	7.65	3.0
⌘ BUCK CAPITAL MGMT		DHI	S	3,320	19.46	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	DHR	B	50,000	75.28	n/a	n/a	2,000.00	4.0
WINSLOW CAPITAL	030	DHR	B	340	75.32	n/a	n/a	10.20	3.0
WINSLOW CAPITAL	030	DIS	B	140	71.16	n/a	n/a	4.20	3.0
⌘ BUCK CAPITAL MGMT		DKS	S	890	55.68	20-Nov	4-Dec	non-brg	1.0
FRED ALGER MGMT	300	DPZ	S	33,930	70.66	n/a	n/a	1,221.48	4.0
CAPITAL RESEARCH GROUP		296 DUK	S	82,857	69.86		n/a	n/a	2,900.00 4.0
WINSLOW CAPITAL	030	EBAY	B	310	51.71	n/a	n/a	9.30	3.0
WINSLOW CAPITAL	030	ECL	B	100	105.69	n/a	n/a	3.00	3.0
KAYNE ANDERSON ADV	084	ELLI	B	26,000	27.27	n/a	n/a	1,040.00	4.0
WINSLOW CAPITAL	030	EL	B	135	73.87	18-Nov	4-Dec	4.05	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	ENOC	B	15,000	15.28	n/a	n/a	600.00	4.0
NOKOMIS PARTNERS	031	EPM	S	1,399	12.26	n/a	n/a	41.97	3.0
⌘ BUCK CAPITAL MGMT		ETN	S	560	72.48	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		EXPE	C	640	63.41	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	FB	B	315	48.26	n/a	n/a	9.45	3.0
DENVER INST. ADV	046	FDX	S	5,322	139.71	n/a	2-Dec	212.88	4.0
COLUMBUS CIRCLE	036	FEIC	B	1,007	89.48	n/a	n/a	40.28	4.0
⌘ BUCK CAPITAL MGMT		FL	S	1,210	38.88	25-Nov	4-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FNP	S	470	33.40	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	FOXA	B	540	33.16	n/a	n/a	16.20	3.0
⌘ BUCK CAPITAL MGMT		FTK	S	2,410	19.66	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FWM	S	1,430	15.50	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		F	C	1,840	16.64	n/a	5-Dec	non-brg	1.0
OZ MGMT	040	F	SS	150,000	16.67	n/a	5-Dec	4,500.00	3.0
⌘ BUCK CAPITAL MGMT		GES	C	1,150	32.53	n/a	5-Dec	non-brg	1.0
NOMURA/ANGEL LANE PRINCIPAL	040	GE	B	75,000	27.31	n/a	n/a	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIII	S	280	68.03	5-Dec	5-Dec	non-brg	1.0
WINSLOW CAPITAL	030	GILD	B	255	75.04	n/a	n/a	7.65	3.0
SAC CHRIS C	041	GIVN	S	30,000	29.90	n/a	n/a	900.00	3.0
⌘ BUCK CAPITAL MGMT		GM	S	2,440	41.05	n/a	6-Dec	non-brg	1.0
DELTEC ASSET MGMT.	040	GM	B	23,500	40.82	n/a	6-Dec	1,175.00	5.0
PCO CAPITAL MGMT.	084	GM	B	15,000	40.94	n/a	6-Dec	450.00	3.0
WINSLOW CAPITAL	030	GOOG	B	401,080	86	n/a	n/a	1.20	3.0
COBALT	041	GPX	B	230,000	9.09	n/a	n/a	6,900.00	3.0
⌘ BUCK CAPITAL MGMT		HAL	S	560	50.03	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HCA	S	1,290	47.19	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HDS	S	2,630	21.62	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HOS	C	380	50.00	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HTZ	S	3,340	24.81	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IJH	C	1,810	131.13	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IP	S	700	46.94	n/a	6-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWM	C	3,850	112.18	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CADIAN CAPITAL	041	JACK	B	11,000	47.81	n/a	n/a	330.00	3.0
⚡ BUCK CAPITAL MGMT		JBLU	S	11,920	8.40	5-Dec	9-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		JIVE	S	4,110	10.45	n/a	n/a	non-brg	1.0
⚡ JASON ERIC COHEN	FID	JNK	B	200	40.60	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		JPM	S	840	56.36	n/a	9-Dec	non-brg	1.0
WINSLOW CAPITAL	030	JPM	B	165	56.41	n/a	9-Dec	4.95	3.0
⚡ BUCK CAPITAL MGMT		KEG	S	3,710	7.65	n/a	n/a	non-brg	1.0
CR INTRINIC INVESTMENT	044	KKD	SS	25,000	19.54	n/a	n/a	750.00	3.0
⚡ BUCK CAPITAL MGMT		KMT	S	1,390	49.20	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KND	S	1,490	17.55	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KORS	S	690	80.22	n/a	n/a	non-brg	1.0
SUFFOLK CAPITAL MGMT	040	KO	S	17,930	40.46	n/a	4-Dec	717.20	4.0
BADGE CAPITAL	030	KSS	B	1,000	54.60	n/a	2-Dec	35.00	4.0
⚡ BUCK CAPITAL MGMT		KSS	S	230	54.61	n/a	2-Dec	non-brg	1.0
WINSLOW CAPITAL	030	KSU	B	30	119.63	6-Dec	6-Dec	0.90	3.0
WINSLOW CAPITAL	030	LBTYA	B	130	85.74	n/a	n/a	3.90	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		LEN	S	470	35.47	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	LNKD	B	25	235.32	n/a	n/a	0.75	3.0
SUFFOLK CAPITAL MGMT	040	LOW	B	59,300	47.99	n/a	n/a	2,372.00	4.0
WINSLOW CAPITAL	030	LOW	B	225	47.95	n/a	n/a	6.75	3.0
B BUCK CAPITAL MGMT		LPNT	S	870	50.96	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		LPX	S	2,750	16.03	n/a	6-Dec	non-brg	1.0
CASTLEROCK	040	LULU	B	45,954	70.42	n/a	9-Dec	1,838.16	4.0
S.A.C. CAPITAL	044	LULU	SS	15,000	70.40	n/a	9-Dec	450.00	3.0
J. GOLDMAN	028	LUV	B	23,500	18.45	5-Dec	9-Dec	940.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	LYB	S	10,000	76.73	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	MA	B	20	761.60	n/a	3-Dec	0.60	3.0
CADIAN CAPITAL	041	MCD	C	6,000	95.57	n/a	9-Dec	180.00	3.0
B BUCK CAPITAL MGMT		MDY	C	880	238.96	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		MOH	S	1,690	33.39	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	MON	B	250	111.94	n/a	n/a	7.50	3.0
B BUCK CAPITAL MGMT		MS	S	2,310	30.50	n/a	9-Dec	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	MS	B	470	30.38	n/a	9-Dec	14.10	3.0
COBALT	041	MTG	B	253,000	8.42	n/a	n/a	7,590.00	3.0
ASCEND PARTNERS	033	MTZ	B	2,900	31.38	n/a	n/a	87.00	3.0
B BUCK CAPITAL MGMT		MWV	S	1,720	35.72	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		M	S	1,060	52.13	14-Nov	2-Dec	non-brg	1.0
WINSLOW CAPITAL	030	NKE	B	185	79.87	n/a	4-Dec	5.55	3.0
WINSLOW CAPITAL	030	NOW	B	115	51.50	n/a	n/a	3.45	3.0
DENVER INST. ADV	046	NUS	S	6,252	130.59	n/a	n/a	250.08	4.0
B BUCK CAPITAL MGMT		NVGS	S	1,080	23.12	n/a	n/a	non-brg	1.0
WADDELL AND REED	047	OSIS	S	119,045	41.80	n/a	n/a	4,761.80	4.0
B BUCK CAPITAL MGMT		OWW	S	4,680	6.86	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PCLN	C	30	1180.61	n/a	n/a	non-brg	1.0
DENVER INST. ADV	046	PCLN	S	6641,	179.23	n/a	n/a	26.56	4.0
WINSLOW CAPITAL	030	PCLN	B	301,	180.33	n/a	n/a	0.90	3.0
WINSLOW CAPITAL	030	PCP	B	65	254.40	n/a	n/a	1.95	3.0
KAYNE ANDERSON ADV	084	PDCO	B	68,000	41.60	n/a	n/a	2,720.00	4.0
f STEFFANIE CARMELA CA	FID	PER	S	300	12.04	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		PETM	C	850	73.21	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PFE	S	2,990	31.57	n/a	n/a	non-brg	1.0
CR INTRINIC INVESTMENT	044	PGTI	S	10,000	10.39	n/a	n/a	300.00	3.0
ß BUCK CAPITAL MGMT		PLCE	SS	20,000	52.62	26-Nov	27-Nov	non-brg	4.0
KENNEDY CAPITAL	046	PLCE	B	29,640	52.56	26-Nov	27-Nov	1,185.60	4.0
ß BUCK CAPITAL MGMT		PVH	S	480	129.11	n/a	9-Dec	non-brg	1.0
CR INTRINIC INVESTMENT	044	PVH	S	1,669	129.44	n/a	9-Dec	50.07	3.0
FRED ALGER MGMT	300	PVH	S	29,915	127.44	n/a	9-Dec	1,076.94	4.0
WINSLOW CAPITAL	030	QCOM	B	175	73.49	n/a	n/a	5.25	3.0
ß BUCK CAPITAL MGMT		RAD	S	100,000	5.72	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RAD	S	100,000	5.76	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RAD	S	19,580	5.71	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RAD	S	200,000	5.79	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RAD	S	329,700	5.68	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RH	S	126,700	67.87	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RKT	S	180	96.26	n/a	6-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		RL	S	140	172.55	n/a	n/a	non-brg	1.0
FRED ALGER MGMT	300	RL	S	1,780	171.40	n/a	n/a	64.08	4.0
WINSLOW CAPITAL	030	RL	B	50	172.33	n/a	n/a	1.50	3.0
f RYAN D MUELLER	FID	RNF	B	80	18.69	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ROST	B	130	72.11	n/a	22-Nov	3.90	3.0
WINSLOW CAPITAL	030	RRC	B	120	80.84	n/a	n/a	3.60	3.0
BTG PACTUAL	040	RT	B	15,000	7.22	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		R	S	720	68.43	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	SBAC	B	120	86.88	n/a	n/a	3.60	3.0
WINSLOW CAPITAL	030	SBUX	B	300	80.26	n/a	4-Dec	9.00	3.0
WINSLOW CAPITAL	030	SCHW	B	255	25.03	n/a	n/a	7.65	3.0
WINSLOW CAPITAL	030	SLB	B	130	88.28	n/a	n/a	3.90	3.0
BLACKTHORN	047	SLM	B	20,000	26.63	18-Nov	9-Dec	1,000.00	5.0
B BUCK CAPITAL MGMT		SLM	S	680	26.60	18-Nov	9-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		SPN	S	2,210	25.24	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SPY 12 P180	S	110	1.72	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		STT	S	1,080	71.94	n/a	9-Dec	non-brg	1.0
ASCEND PARTNERS	033	SYX	C	140,000	37.89	n/a	n/a	4,200.00	3.0
CR INTRINIC INVESTMENT	044	SYX	B	5,000	38.98	n/a	n/a	150.00	3.0
LISTED ERR	099	S	B	55	7.99	n/a	n/a	0.00	0.0

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LISTED ERR	099	S	S	55	7.98	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	TWTR	B	25	48.68	n/a	n/a	0.75	3.0
⌘ BUCK CAPITAL MGMT		UAL	S	880	37.18	20-Nov	9-Dec	non-brg	1.0
J. GOLDMAN	028	UAL	B	40,000	37.38	20-Nov	9-Dec	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		UCP	S	2,480	14.54	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		ULTA	B	35,000	91.02	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	UNP	B	215	164.23	2-Dec	2-Dec	6.45	3.0
⌘ BUCK CAPITAL MGMT		URBN	S	520	36.03	n/a	n/a	non-brg	1.0
INTERVAL PARTNERS	033	URBN	C	25,000	36.04	n/a	n/a	750.00	3.0
⌘ BUCK CAPITAL MGMT		URI	S	750	71.07	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		VMC	S	960	55.70	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		VNCE	S	100	30.16	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		V	S	120	201.78	n/a	3-Dec	non-brg	1.0
WINSLOW CAPITAL	030	V	B	165	201.52	n/a	3-Dec	4.95	3.0
⌘ BUCK CAPITAL MGMT		WAG	S	280	56.78	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		WCIC	S	2,320	19.06	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	WFM	B	60	55.86	n/a	n/a	1.80	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓕ BUCK CAPITAL MGMT		WSM	B	25,000	57.72	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	WYNN	B	55	177.41	n/a	n/a	1.65	3.0
LISTED ERR	099	WYNN	B	55	178.05	n/a	n/a	0.00	0.0
LISTED ERR	099	WYNN	S	55	177.59	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	WY	B	25,000	29.98	n/a	6-Dec	1,000.00	4.0
Ⓕ BUCK CAPITAL MGMT		XPO	S	920	23.04	n/a	n/a	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		ZTS	S	1,860	31.72	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	ZTS	B	355	31.87	n/a	n/a	10.65	3.0
TOTAL (Trade Date):								71,477.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/04	DELTEC ASSET MGMT.	040	GM	B	20,000	38.75	n/a-2013-12-06	1000.00	0.0
AO,	12/04	DELTEC ASSET MGMT.	040	GM	B	20,000	38.75	n/a-2013-12-06	1000.00	0.0
AO,CXL	12/06	TIEDEMANN/TIG ADVISORS LLC	006	GTN	S	6,800	12.58	n/a	n/a	340.00 0.0
AO,CRT	12/06	TIEDEMANN/TIG ADVISORS LLC	006	GTN	S	6,800	12.58	n/a	n/a	340.00 5.0
AO,CXL	12/04	CAERUS GLOBAL	041	WY	B	642	29.19	n/a-2013-12-06	25.68	0.0
AO,CRT	12/04	CAERUS GLOBAL	041	WY	B	642	29.19	n/a-2013-12-06	25.68	0.0

TOTAL (AO, CXL, CRT) :**0.00**

TOTAL (Trade Date) :**71,477.20****TOTAL (AO, CXL, CRT) :****0.00**

TOTAL (RUN DATE) / NFS:**71,477.20**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 9-Dec.

ATI

MRI Securities without Trade Activity on 9-Dec.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

<u>Legend:</u>
Õ: Employee Trades in Outside Accounts
ß: Non-BRG BCM Trades
[i]: Initiation of Coverage
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
Watch List Trades
f: Employee Trades (Fidelity)