



Daily Compliance Activity Report

Trade Date: 05/16/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---|-------------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| | CYRUS CAPITAL | 025 | AAMRQ | B | 185,000 | 6.88 | n/a | n/a | 5,550.00 | 0.0 |
| f | JOHN MICHAEL ZOLIDIS | FID | AAPL | S | 30 | 434.05 | n/a | n/a | 0.00 | 0.0 |
| | LATEEF MGMT | 033 | AA | S | 350 | 8.51 | n/a | n/a | 35.00 | 0.0 |
| | J. GOLDMAN | 028 | ABB | B | 120,000 | 22.16 | n/a | n/a | 4,800.00 | 0.0 |
| | LONG OAR GLOBAL INV | 040 | AKS | SS | 75,000 | 3.32 | n/a | n/a | 3,000.00 | 0.0 |
| | ADAGE CAPITAL MGMT | 030 | ASNA | B | 44,265 | 19.99 | n/a | n/a | 1,327.95 | 0.0 |
| | PARAMETER CAPITAL MGMT LLC044 | AXE | | S | 20,000 | 74.60 | n/a | 16-May | 600.00 | 0.0 |
| f | JONATHAN RICHARD HAR | FID | AXL | S | 300 | 16.26 | n/a | 16-May | 0.00 | 0.0 |
| | LONG OAR GLOBAL INV | 040 | BBY | SS | 19,000 | 25.98 | n/a | n/a | 760.00 | 0.0 |
| | PARAMETER CAPITAL MGMT LLC044 | BECN | | S | 20,000 | 40.40 | n/a | n/a | 600.00 | 0.0 |
| | BALYASNY ASSET MGMT | 044 | BHP | SS | 50,000 | 66.93 | n/a | n/a | 2,500.00 | 0.0 |
| | PENNANT CAP MGMT | 029 | BRCM | B | 40,000 | 37.01 | n/a | n/a | 800.00 | 0.0 |
| | MERRILL ASSET/BLACKROCK | 297 | BRKB | S | 2,943 | 112.22 | n/a | n/a | 117.72 | 0.0 |
| | J. GOLDMAN | 028 | CAT | B | 58,000 | 87.00 | n/a | 11-Jul | 2,320.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------------|------------|--------------|----------|---------------|--------------|------------|---------------|----------------|---------------|
| LATEEF MGMT | 033 | CMC | B | 750 | 15.43 | n/a | n/a | 75.00 | 0.0 |
| P.SCHOENFELD ASSET MGMT LLC041 | 041 | CNH | B | 50,000 | 42.84 | n/a | n/a | 2,000.00 | 0.0 |
| LATEEF MGMT | 033 | CVS | S | 250 | 59.59 | n/a | n/a | 45.00 | 0.0 |
| Õ Jack Chernus | | DAL | B | 500 | 18.65 | n/a | 10-May | 0.00 | 0.0 |
| Õ Jack Chernus | | DAL | B | 600 | 18.66 | n/a | 10-May | 0.00 | 0.0 |
| CR INTRINSIC/CHRIS C | 041 | DAN | S | 25,000 | 17.43 | n/a | 26-Apr | 750.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | DECK | B | 19,000 | 52.29 | n/a | n/a | non-brg | 2.5 |
| LATEEF MGMT | 033 | DE | B | 275 | 90.07 | n/a | 11-Jul | 49.50 | 0.0 |
| VERITION | 028 | DHR | S | 10,000 | 62.76 | n/a | n/a | 300.00 | 0.0 |
| LATEEF MGMT | 033 | ENR | S | 100 | 102.69 | n/a | 2-May | 30.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | EQR | S | 3,400 | 59.89 | n/a | n/a | 136.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | ESS | S | 1,100 | 167.18 | n/a | n/a | 44.00 | 0.0 |
| SCOPUS FUND | 041 | ETN | S | 25,000 | 65.78 | n/a | 2-May | 1,000.00 | 0.0 |
| CAPITAL RESEARCH GROUP | | 296 EXC | B | 300,000 | 35.03 | | n/a | n/a | 10,500.00 0.0 |
| f ALICE BEEBE LONGLEY | FID | FGMNX | S | 8584 | 11.67 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | FL | S | 30,000 | 36.49 | n/a | 16-May | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|-------------|----------|----------------|--------------|------------|--------------|----------------|------------|
| NOMURA/ANGEL LANE PRINCIPAL | 040 | FL | SS | 60,000 | 36.43 | n/a | 16-May | 1,800.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FOR | S | 500 | 23.90 | n/a | 9-May | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | FRT | S | 2,700 | 117.02 | n/a | n/a | 108.00 | 0.0 |
| PROVIDENCE EQUITY CAP. MKTS. | 040 | FSL | B | 150,000 | 16.75 | n/a | n/a | 4,500.00 | 0.0 |
| TRELLUS PARTNERS LP | 028 | F | SS | 10,000 | 14.79 | n/a | 16-May | 400.00 | 0.0 |
| B BUCK CAPITAL MGMT | | GIII | S | 5,000 | 41.70 | n/a | n/a | non-brg | 4.0 |
| MASTERS CAPITAL MANAGE | 025 | GLW | S | 250,000 | 15.37 | n/a | n/a | 10,000.00 | 0.0 |
| J. GOLDMAN | 028 | GT | S | 45,000 | 13.69 | n/a | n/a | 1,800.00 | 0.0 |
| B BUCK CAPITAL MGMT | | HBI | B | 20,000 | 51.31 | n/a | 3-May | non-brg | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | HME | S | 1,900 | 66.68 | n/a | n/a | 76.00 | 0.0 |
| BRIGADE CAPITAL MGMT | 029 | HOV | S | 25,000 | 5.86 | n/a | n/a | 750.00 | 0.0 |
| f YANAI A FRANK | FID | INTC | S | 30 | 0.36 | n/a | n/a | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | IP | S | 269,770 | 47.69 | n/a | 15-May | 13,488.50 | 0.0 |
| MACELLUM CAPITAL | 086 | JCP | S | 31,000 | 18.89 | n/a | 16-May | 930.00 | 0.0 |
| MFP INVESTORS | 085 | JCP | S | 10,000 | 18.80 | n/a | 16-May | 500.00 | 0.0 |
| SONICA CAPITAL LLC | 025 | JCP | B | 44,000 | 18.74 | n/a | 16-May | 1,320.00 | 0.0 |
| B BUCK CAPITAL MGMT | | JNY | C | 200,000 | 14.88 | n/a | 2-May | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|-----|------------|-----|---------|-------|-----|----------|-------------|--------|
| B BUCK CAPITAL MGMT | | KEG | B | 50,000 | 6.06 | n/a | 16-May | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | KEG | B | 67,790 | 6.08 | n/a | 16-May | non-brg | 3.0 |
| f CHRISTOPHER ROBERT C | FID | KFN | S | 750 | 10.77 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | KORS 6 C60 | SS | 1,000 | 3.60 | n/a | n/a | non-brg | 300.0 |
| B BUCK CAPITAL MGMT | | KORS 6 C60 | SS | 400 | 3.40 | n/a | n/a | non-brg | 300.0 |
| B BUCK CAPITAL MGMT | | KORS | S | 30,000 | 59.44 | n/a | 22-Apr | non-brg | 4.0 |
| CORNERSTONE | 030 | KORS | B | 80,000 | 59.82 | n/a | 22-Apr | 2,400.00 | 0.0 |
| B BUCK CAPITAL MGMT | | KSS | C | 30,000 | 52.31 | n/a | 16-May | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | KSS | C | 65,500 | 52.19 | n/a | 16-May | non-brg | 4.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | KSS | SS | 200,000 | 52.14 | n/a | 16-May | 6,000.00 | 0.0 |
| CYRUS CAPITAL | 025 | LCC | SS | 25,570 | 19.05 | n/a | 10-May | 767.10 | 0.0 |
| f YANAI A FRANK | FID | MTG | S | 4200 | 6.02 | n/a | n/a | 0.00 | 0.0 |
| 1798 CAP/LOMBARD ASSET | 040 | MWV | B | 10,500 | 36.00 | n/a | 16-May | 525.00 | 0.0 |
| f PATRICK TERENCE DUFF | FID | MWV | B | 200 | 36.34 | n/a | 16-May | 0.00 | 0.0 |
| FIRST NEW YORK NICK | 029 | NOK | S | 20,000 | 3.75 | n/a | n/a | 1,000.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | NUAN | B | 10,000 | 18.66 | | n/a | n/a | 200.00 |
| | | | | | | | | | 0.0 |
| COLUMBUS CIRCLE | 036 | N | S | 2,837 | 94.92 | n/a | n/a | 113.48 | 0.0 |
| PARAMETER CAPITAL MGMT LLC | 044 | ODFL | S | 20,000 | 40.81 | n/a | n/a | 600.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|-----------|---------------|---------------|------------|---------------|----------------|------------|
| LATEEF MGMT | 033 | OLN | B | 650 | 24.86 | n/a | n/a | 77.00 | 0.0 |
| PRIMECAP MGMT | 084 | ORCL | S | 400 | 34.50 | n/a | n/a | 16.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | PGR | S | 9,364 | 26.30 | n/a | n/a | 374.56 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | PKG | S | 82,806 | 49.84 | 16-May | 16-May | 4,140.30 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | PLD | S | 4,600 | 43.98 | n/a | n/a | 184.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PSMT | SS | 1,500 | 88.62 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | Q | S | 30,498 | 46.07 | n/a | n/a | non-brg | 2.5 |
| MERRILL ASSET/BLACKROCK | 297 | RGA | S | 7,700 | 64.00 | n/a | n/a | 308.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | RL | S | 50 | 184.87 | n/a | 22-Apr | 0.00 | 0.0 |
| PROVIDENCE EQUITY CAP. MKTS. | 040 | ROIAK | B | 25,300 | 2.35 | n/a | n/a | 759.00 | 0.0 |
| LOMAS CAPITAL | 040 | SCHW | S | 53,780 | 19.04 | n/a | n/a | 1,613.40 | 0.0 |
| B BUCK CAPITAL MGMT | | SHOO | S | 10,000 | 47.98 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | SLM | S | 75,000 | 22.36 | n/a | 8-May | non-brg | 4.0 |
| LATEEF MGMT | 033 | SPLS | S | 300 | 14.52 | n/a | n/a | 30.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SSI | S | 21,000 | 26.07 | n/a | 8-May | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|-----|---------|-----|---------|--------|-----|----------|-------------|------------|
| ⌘ BUCK CAPITAL MGMT | | SSI | S | 25,000 | 26.59 | n/a | 8-May | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SSI | S | 4,000 | 26.70 | n/a | 8-May | non-brg | 0.8 |
| LEVIN CAPITAL STRATEGIES | 041 | SSI | S | 16,412 | 26.93 | n/a | 8-May | 492.36 | 0.0 |
| WEISS PECK/ROBECO/BOSTON PT | | 040 SSI | SS | 5,900 | 26.87 | | n/a | 8-May | 295.00 0.0 |
| FARALLON CAP MGMT | 040 | TDG | B | 35,000 | 154.68 | n/a | n/a | 1,400.00 | 0.0 |
| TIDE POINT CAPITAL | 028 | TRW | S | 20,000 | 61.79 | n/a | n/a | 600.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | TSCO | S | 15,000 | 112.77 | n/a | n/a | non-brg | 4.0 |
| COOKBIELER | 028 | UNH | B | 78,700 | 61.54 | n/a | n/a | 3,148.00 | 0.0 |
| PARAMETER CAPITAL MGMT LLC | 044 | USB | B | 30,000 | 34.28 | n/a | n/a | 900.00 | 0.0 |
| P.SCHOENFELD ASSET MGMT LLC | 041 | VOD | S | 50,000 | 30.15 | n/a | n/a | 2,000.00 | 0.0 |
| EVERGREEN | 047 | WFT | S | 37,300 | 13.92 | n/a | n/a | 1,492.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | WLH | B | 1,000 | 25.00 | n/a | n/a | non-brg | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | WLH | S | 1,000 | 26.00 | n/a | n/a | non-brg | 2.5 |
| ⌘ BUCK CAPITAL MGMT | | XLFX | C | 126,593 | 19.69 | n/a | n/a | non-brg | 1.0 |
| TOTAL (Trade Date): | | | | | | | | 102,447.87 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|--------------|
| AO, | 05/15 | COLUMBUS CIRCLE | 036 | SBNY | S | 972 | 77.00 | n/a | n/a | 38.88 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 38.88 |

| | |
|--------------------------------|-------------------|
| TOTAL (Trade Date): | 102,447.87 |
| TOTAL (AO, CXL, CRT): | 38.88 |
| TOTAL (RUN DATE) / NFS: | 102,486.75 |

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 16-May.

PKG

MRI Securities without Trade Activity on 16-May.

AOS, ENDP, FDO

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

T-Date = 0%

YTD = 0%

Legend:

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)