

## **Daily Compliance Activity Report** Trade Date: 02/11/2013

**Potential ANALYST TRADE Violations: 0** Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
ELM RIDGE ADVISORS	044	AA	S	19,329	8.89	n/a	n/a	773.16	0.0
EPOCH INV MGMT	030	ABBV	S	660	35.84	n/a	n/a	19.80	0.0
BUCK CAPITAL MGMT		AEO	В	50,000	20.13	n/a	2-Dec	non-brg	4.0
EPOCH INV MGMT	030	AET	S	150	50.35	n/a	n/a	4.50	0.0
EPOCH INV MGMT	030	AIG	В	6 <b>,</b> 575	39.14	n/a	n/a	197.25	0.0
ELM RIDGE ADVISORS	044	AMAT	S	12,445	13.67	n/a	n/a	497.80	0.0
BUCK CAPITAL MGMT		ANF	S	25,000	49.96	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		ANF	S	75,000	50.10	n/a	n/a	non-brg	4.0
BTG PACTUAL	040	ARCO	SS	14,500	13.40	n/a	3-Jan	435.00	3.0
BUCK CAPITAL MGMT		ARO	С	149,700	13.40	n/a	n/a	non-brg	4.0
PARAMETER CAPITAL MGMT LI	C044	AXL	В	100,000	12.30	n/a	11-Feb	3,000.00	3.0
BUCK CAPITAL MGMT		ВА	В	6,500	76.07	n/a	6-Feb	non-brg	1.0
BNP PARIBAS SEC	040	BBY	S	50,000	15.76	n/a	n/a	1,500.00	3.0
S.A.C. CAPITAL	044	BBY	В	25,000	15.68	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT		BIG	С	68,900	33.22	n/a	n/a	non-brg	4.0
	ELM RIDGE ADVISORS  EPOCH INV MGMT  BUCK CAPITAL MGMT  EPOCH INV MGMT  EPOCH INV MGMT  ELM RIDGE ADVISORS  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  BTG PACTUAL  BUCK CAPITAL MGMT  PARAMETER CAPITAL MGMT  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  PARAMETER CAPITAL MGMT  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT	ELM RIDGE ADVISORS 044  EPOCH INV MGMT 030  BUCK CAPITAL MGMT 030  EPOCH INV MGMT 030  EPOCH INV MGMT 044  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  BTG PACTUAL 040  BUCK CAPITAL MGMT  PARAMETER CAPITAL MGMT LLC044  BUCK CAPITAL MGMT  PARAMETER CAPITAL MGMT 040  BUCK CAPITAL MGMT 040  AUGUST 140  BUCK CAPITAL MGMT 040  BUCK CAPITAL MGMT 040  BUCK CAPITAL MGMT 040	ELM RIDGE ADVISORS 044 AA  EPOCH INV MGMT 030 ABBV  BUCK CAPITAL MGMT AEO  EPOCH INV MGMT 030 AET  EPOCH INV MGMT 030 AIG  ELM RIDGE ADVISORS 044 AMAT  BUCK CAPITAL MGMT ANF  BUCK CAPITAL MGMT ANF  BUCK CAPITAL MGMT ANF  BTG PACTUAL 040 ARCO  BUCK CAPITAL MGMT ARO  PARAMETER CAPITAL MGMT LLC044 AXL  BUCK CAPITAL MGMT BA  BNP PARIBAS SEC 040 BBY  S.A.C. CAPITAL 044 BBY	ELM RIDGE ADVISORS 044 AA S  EPOCH INV MGMT 030 ABBV S  BUCK CAPITAL MGMT AEO B  EPOCH INV MGMT 030 AET S  EPOCH INV MGMT 030 AIG B  ELM RIDGE ADVISORS 044 AMAT S  BUCK CAPITAL MGMT ANF S  BUCK CAPITAL MGMT ANF S  BUCK CAPITAL MGMT ANF S  BTG PACTUAL 040 ARCO SS  BUCK CAPITAL MGMT ARO C  PARAMETER CAPITAL MGMT LLC044 AXL B  BUCK CAPITAL MGMT BA B  BNP PARIBAS SEC 040 BBY S S.A.C. CAPITAL 044 BBY B	ELM RIDGE ADVISORS 044 AA S 19,329  EPOCH INV MGMT 030 ABBV S 660  BUCK CAPITAL MGMT AEO B 50,000  EPOCH INV MGMT 030 AET S 150  EPOCH INV MGMT 030 AIG B 6,575  ELM RIDGE ADVISORS 044 AMAT S 12,445  BUCK CAPITAL MGMT ANF S 25,000  BUCK CAPITAL MGMT ANF S 75,000  BTG PACTUAL 040 ARCO SS 14,500  BUCK CAPITAL MGMT ARO C 149,700  BUCK CAPITAL MGMT ARO C 149,700  BUCK CAPITAL MGMT BA B 6,500  BUCK CAPITAL MGMT BA B 6,500  BUCK CAPITAL MGMT BA B 50,000  S.A.C. CAPITAL MGMT BBY S 50,000  S.A.C. CAPITAL 044 BBY B 25,000	ELM RIDGE ADVISORS 044 AA S 19,329 8.89  EPOCH INV MGMT 030 ABBV S 660 35.84  BUCK CAPITAL MGMT AEO B 50,000 20.13  EPOCH INV MGMT 030 AET S 150 50.35  EPOCH INV MGMT 030 AIG B 6,575 39.14  ELM RIDGE ADVISORS 044 AMAT S 12,445 13.67  BUCK CAPITAL MGMT ANF S 25,000 49.96  BUCK CAPITAL MGMT ANF S 75,000 50.10  BTG PACTUAL 040 ARCO SS 14,500 13.40  BUCK CAPITAL MGMT ARO C 149,700 13.40  PARAMETER CAPITAL MGMT LLC044 AXL B 100,000 12.30  BUCK CAPITAL MGMT BA B 6,500 76.07  BNP PARIBAS SEC 040 BBY S 50,000 15.76  S.A.C. CAPITAL 044 BBY B 25,000 15.68	ELM RIDGE ADVISORS 044 AA S 19,329 8.89 n/a  EPOCH INV MGMT 030 ABBV S 660 35.84 n/a  BUCK CAPITAL MGMT AEO B 50,000 20.13 n/a  EPOCH INV MGMT 030 AET S 150 50.35 n/a  EPOCH INV MGMT 030 AIG B 6,575 39.14 n/a  ELM RIDGE ADVISORS 044 AMAT S 12,445 13.67 n/a  BUCK CAPITAL MGMT ANF S 25,000 49.96 n/a  BUCK CAPITAL MGMT ANF S 75,000 50.10 n/a  BTG PACTUAL 040 ARCO SS 14,500 13.40 n/a  BUCK CAPITAL MGMT ARO C 149,700 13.40 n/a  BUCK CAPITAL MGMT LLC044 AXL B 100,000 12.30 n/a  BUCK CAPITAL MGMT BA B 6,500 76.07 n/a  BUCK CAPITAL MGMT BA B 50,000 15.76 n/a  BNP PARIBAS SEC 040 BBY S 50,000 15.68 n/a  S.A.C. CAPITAL 044 BBY B 25,000 15.68	ELM RIDGE ADVISORS 044 AA S 19,329 8.89 n/a n/a  EPOCH INV MGMT 030 ABBV S 660 35.84 n/a n/a  BUCK CAPITAL MGMT AEO B 50,000 20.13 n/a 2-Dec  EPOCH INV MGMT 030 AET S 150 50.35 n/a n/a  EPOCH INV MGMT 030 AIG B 6,575 39.14 n/a n/a  ELM RIDGE ADVISORS 044 AMAT S 12,445 13.67 n/a n/a  BUCK CAPITAL MGMT ANF S 25,000 49.96 n/a n/a  BUCK CAPITAL MGMT ANF S 75,000 50.10 n/a n/a  BUCK CAPITAL MGMT ANF S 75,000 50.10 n/a n/a  BUCK CAPITAL MGMT ANF S 14,500 13.40 n/a 3-Jan  BUCK CAPITAL MGMT ARO C 149,700 13.40 n/a n/a  PARAMETER CAPITAL MGMT LLC044 AXL B 100,000 12.30 n/a 11-Feb  BUCK CAPITAL MGMT BA B 6,500 76.07 n/a 6-Feb  BUCK CAPITAL MGMT BA BY S 50,000 15.76 n/a n/a  S.A.C. CAPITAL MGMT BBY S 50,000 15.68 n/a n/a	ELM RIDGE ADVISORS 044 AA S 19,329 8.89 n/a n/a 773.16  EPOCH INV MCMT 030 ABEV S 660 35.84 n/a n/a 19.80  BUCK CAPITAL MCMT ARO B 50,000 20.13 n/a 2-Dec non-brg  EPOCH INV MCMT 030 AET S 150 50.35 n/a n/a 197.25  ELM RIDGE ADVISORS 044 AMAT S 12,445 13.67 n/a n/a 197.25  ELM RIDGE ADVISORS 044 AMAT S 25,000 49.96 n/a n/a non-brg  BUCK CAPITAL MCMT ANF S 75,000 50.10 n/a n/a non-brg  BUCK CAPITAL MCMT ANF S 75,000 50.10 n/a n/a non-brg  BUCK CAPITAL MCMT ANF S 14,500 13.40 n/a 3-Jan 435.00  BUCK CAPITAL MCMT ARO C 149,700 13.40 n/a n/a non-brg  FARAMETER CAPITAL MCMT LLC044 AXL B 100,000 12.30 n/a 11-Feb 3,000.00  BUCK CAPITAL MCMT BA B 6,500 76.07 n/a 6-Feb non-brg  ENP PARIBAS SEC 040 BBY S 50,000 15.76 n/a n/a n/a 1,500.00  BNP PARIBAS SEC 040 BBY S 50,000 15.68 n/a n/a 1,500.00

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
	BALYASNY ASSET MGMT	044	BJRI	SS	10,000	33.83	n/a	n/a	500.00	0.0	
	EPOCH INV MGMT	030	BUD	S	5 <b>,</b> 625	85.61	n/a	1-Feb	168.75	0.0	
ß	BUCK CAPITAL MGMT		CAR	В	15,000	22.63	n/a	n/a	non-brg	4.0	
	EPOCH INV MGMT	030	CCE	S	2,270	35.41	n/a	n/a	68.10	0.0	
	EPOCH INV MGMT	030	CHL	S	140	55.28	n/a	n/a	4.20	0.0	
	TROUBH PART	070	СОН	S	10,000	48.71	n/a	4-Feb	500.00	5.0	
ß	BUCK CAPITAL MGMT		CRMB-P	S	10,000	3.03	n/a	n/a	non-brg	2.0	
f	DAVID GEORGE BUCK	FID	cvs	S	1500	51.24	n/a	n/a	0.00	0.0	
f	MATTHEW FRANCIS BUCK	FID	cvs	S	200	51.24	n/a	n/a	0.00	0.0	
	EPOCH INV MGMT	030	CY	S	3,100	10.10	n/a	n/a	93.00	0.0	
	PROVIDENCE EQUITY CAPITAL	MARK	ETS LLC040	CZR	S	25,000	13.26	n/a	n/a	750.00	3.0
	EPOCH INV MGMT	030	С	В	830	43.05	n/a	7-Feb	24.90	0.0	
	S.A.C. CAPITAL	044	DD	В	50,000	47.71	n/a	n/a	1,500.00	3.0	
ß	BUCK CAPITAL MGMT		DECK	В	20,000	43.60	n/a	n/a	non-brg	4.0	
	EPOCH INV MGMT	030	DHR	S	3,685	60.59	n/a	n/a	110.55	0.0	
	ARSENAL ASSET MANAGEMENT	028	DOV	В	10,000	71.43	n/a	n/a	400.00	0.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
	EPOCH INV MGMT	030	DUK	S	2,750	69.02	n/a	n/a	82.50	0.0	
f	JONATHAN RICHARD HAR	FID	FBC	В	150	15.30	n/a	n/a	0.00	0.0	
ß	BUCK CAPITAL MGMT		FNP	В	150,000	16.75	n/a	n/a	non-brg	4.0	
ß	BUCK CAPITAL MGMT		FNP	В	42,700	16.70	n/a	n/a	non-brg	0.8	
ß	BUCK CAPITAL MGMT		FNP	В	52,500	16.65	n/a	n/a	non-brg	2.5	
ß	BUCK CAPITAL MGMT		FRAN	В	10,000	27.48	n/a	n/a	non-brg	2.0	
ß	BUCK CAPITAL MGMT		FRAN	В	10,000	27.48	n/a	n/a	non-brg	2.0	
ß	BUCK CAPITAL MGMT		FRAN	В	10,000	27.70	n/a	n/a	non-brg	2.0	
ß	BUCK CAPITAL MGMT		FRAN	В	10,000	27.70	n/a	n/a	non-brg	2.0	
ß	BUCK CAPITAL MGMT		FRAN	В	80,000	27.43	n/a	n/a	non-brg	2.5	
	EPOCH INV MGMT	030	GLD	В	3,070	159.66	n/a	n/a	92.10	0.0	
f	JOSEPH CIRO AMATURO	FID	GLUU	В	10000	2.43	n/a	n/a	0.00	0.0	
	BRONSON POINT	036	GM	В	100,000	28.51	n/a	11-Feb	3,000.00	0.0	
	TRELLUS PARTNERS LP	028	GM	В	3,017	28.41	n/a	11-Feb	90.51	0.0	
	EPOCH INV MGMT	030	GOOG	S	70	779.24	n/a	n/a	2.10	0.0	
ß	BUCK CAPITAL MGMT		GPS	В	70,000	32.56	n/a	n/a	non-brg	4.0	
	EPOCH INV MGMT	030	GWR	S	13,330	83.86	n/a	n/a	399.90	0.0	
	MERRILL ASSET/BLACKROCK	297	HMN	В	8,100	21.23	n/a	n/a	324.00	0.0	
	COBALT	041	HSP	В	50,000	35.14	n/a	28-Jan	2,000.00	4.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		HTZ	В	20,000	18.20	n/a	n/a	non-brg	4.0
	LEVIN CAPITAL STRATEGIES	041	IBM	SS	5,000	200.29	n/a	n/a	150.00	0.0
В	BUCK CAPITAL MGMT		ICON	С	125,013	24.39	n/a	n/a	non-brg	4.0
	COUGAR TRADING	044	JNY	SS	5,000	11.60	n/a	4-Feb	250.00	5.0
ß	BUCK CAPITAL MGMT		KORS 2 C60	SS	1,000	1.74	n/a	n/a	non-brg	300.0
ß	BUCK CAPITAL MGMT		KORS 3 C60	SS	1,000	2.69	n/a	n/a	non-brg	300.0
	BRONSON POINT	036	LEA	В	60,000	53.50	n/a	4-Feb	1,800.00	0.0
	DISIPLINED GROWTH INV.	030	LTD	В	2,200	45.61	n/a	n/a	110.00	0.0
f	IAN L MILLER	FID	LULU	s	15	67.00	n/a	6-Feb	0.00	0.0
	EPOCH INV MGMT	030	LVS	В	4,985	53.87	n/a	13-Jun	149.55	0.0
	OTTER CREEK MGMT	093	MBFI	S	19,248	22.60	n/a	n/a	769.92	0.0
	LISTED ERR	099	MBFI	В	1,257	22.54	n/a	n/a	0.00	0.0
	LISTED ERR	099	MBFI	S	1,257	22.55	n/a	n/a	0.00	0.0
	LOMAS CAPITAL	040	MLI	S	10,000	54.53	n/a	5-Feb	300.00	3.0
ß	BUCK CAPITAL MGMT		МОН	В	10,000	30.91	n/a	n/a	non-brg	4.0
	NEW JERSEY DIV OF INV.	030	MON	В	48,500	101.86	n/a	n/a	1,455.00	3.0

	Account		Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
f	DAVID GEORGE BUCK	FID	MPW	В	1000	13.59	n/a	n/a	0.00	0.0
	EPOCH INV MGMT	030	MSFT	S	45 <b>,</b> 700	27.88	n/a	n/a	1,371.00	0.0
	SANDLER O'NEILL ASSET	031	MS	S	47,100	23.40	n/a	7-Feb	2,355.00	5.0
f	JASON ERIC COHEN	FID	MTG	В	1000	2.77	n/a	n/a	0.00	0.0
	EPOCH INV MGMT	030	MUR	S	605	60.09	n/a	n/a	18.15	0.0
f	RAVI SADARANGANI	FID	MWW	S	100	5.30	n/a	n/a	0.00	0.0
f	ROHINI T SADARANGANI	FID	MWW	S	250	5.29	n/a	n/a	0.00	0.0
	S.A.C. CAPITAL	044	М	SS	50,000	40.19	n/a	8-Feb	1,500.00	3.0
	PATTEN & PATTEN	025	NUAN	В	1,000	19.56	n/a	n/a	50.00	5.0
	EPOCH INV MGMT	030	OAK	В	150	49.47	n/a	n/a	4.50	0.0
	EPOCH INV MGMT	030	OKE	S	10,475	47.56	n/a	n/a	314.25	0.0
	EPOCH INV MGMT	030	PAA	S	240	53.54	n/a	n/a	7.20	0.0
	EPOCH INV MGMT	030	PHYS	В	1,110	14.15	n/a	n/a	33.30	0.0
	BALYASNY ASSET MGMT	044	PVH	В	5,000	118.93	n/a	4-Feb	250.00	0.0
	DISIPLINED GROWTH INV.	030	RCL	В	1,700	36.07	n/a	n/a	85.00	0.0
a	BUCK CAPITAL MGMT		RDN	В	70,000	6.42	n/a	n/a	non-brg	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		RDN	В	70,000	6.59	n/a	n/a	non-brg	3.0
	MERRILL ASSET/BLACKROCK	297	RE	В	12,300	120.55	n/a	n/a	492.00	0.0
	ELM RIDGE ADVISORS	044	RF	S	25,104	7.93	n/a	n/a	1,004.16	0.0
ß	BUCK CAPITAL MGMT		ROST	В	20,000	60.74	n/a	8-Feb	non-brg	4.0
f	IAN L MILLER	FID	SDS	В	25	47.59	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		SKX	s	20,000	19.51	n/a	n/a	non-brg	4.0
	DISIPLINED GROWTH INV.	030	TJX	В	4,100	45.47	n/a	8-Feb	205.00	0.0
	EPOCH INV MGMT	030	TRV	S	745	78.91	n/a	n/a	22.35	0.0
	EPOCH INV MGMT	030	TWX	S	3 <b>,</b> 285	52.02	n/a	n/a	98.55	0.0
	LEVIN CAPITAL STRATEGIES	041	UA	SS	20,250	49.43	n/a	6-Feb	607.50	0.0
f	IAN L MILLER	FID	USG	s	40	28.00	n/a	6-Feb	0.00	0.0
	ARSENAL ASSET MANAGEMENT	028	VAL	S	5,000	67.07	n/a	n/a	200.00	0.0
	EPOCH INV MGMT	030	VC	S	120	56.67	n/a	n/a	3.60	0.0
f	DAVID GEORGE BUCK	FID	WAG	В	1000	41.45	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	WAG	В	100	41.44	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	WCRX	S	200	0.75	n/a	8-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
LEVIN CAPITAL STRATEGIES	041	WMT	SS	15,150	70.81	n/a	15-Nov	454.50 0.0
EPOCH INV MGMT	030	YHOO	S	563	20.78	n/a	n/a	16.89 0.0

TOTAL (Trade Date): 31,365.54

Туре	Date Account	RR # Symbol B/S	Shares Price	MRI Research Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):			0.00
	(Trade Date): (AO, CXL, CRT):			31,365.54 0.00
TOTAL	(RUN DATE) / NFS:			31,365.54

## 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 11-Feb.

MRI Securities without Trade Activity on 11-Feb. SMG

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

T-Date = 0%

YTD = 0%

## Legend:

O: 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)