



# Daily Compliance Activity Report

Trade Date: 05/10/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                     | RR# | Symbol     | B/S       | Shares        | Price        | MRI        | Research     | Comm. ¢/Shr.   |            |
|-----------------------------|-----|------------|-----------|---------------|--------------|------------|--------------|----------------|------------|
| NEUBERGER BERMAN            | 036 | ADS        | B         | 29,925        | 176.89       | n/a        | n/a          | 1,197.00       | 0.0        |
| TUDOR INVESTORS             | 028 | ADT        | B         | 4,900         | 44.24        | n/a        | n/a          | 147.00         | 0.0        |
| NEUBERGER BERMAN            | 036 | ADVS       | B         | 16,450        | 30.13        | n/a        | n/a          | 658.00         | 0.0        |
| ADAGE CAPITAL MGMT          | 030 | AEO        | B         | 30,700        | 19.55        | n/a        | 2-Dec        | 921.00         | 0.0        |
| WEISS PECK/ROBECO/BOSTON PT |     |            | 040 AEO   | SS            | 7,800        | 19.69      | n/a          | 2-Dec          | 390.00 0.0 |
| <b>B BUCK CAPITAL MGMT</b>  |     | <b>ANF</b> | <b>S</b>  | <b>20,000</b> | <b>53.73</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| NEUBERGER BERMAN            | 036 | ATR        | S         | 16,650        | 56.60        | n/a        | n/a          | 666.00         | 0.0        |
| NEUBERGER BERMAN            | 036 | AWAY       | B         | 13,450        | 29.30        | n/a        | n/a          | 538.00         | 0.0        |
| NEUBERGER BERMAN            | 036 | AWR        | S         | 3,100         | 54.37        | n/a        | n/a          | 124.00         | 0.0        |
| <b>B BUCK CAPITAL MGMT</b>  |     | <b>BID</b> | <b>SS</b> | <b>15,000</b> | <b>35.01</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| PRIMECAP MGMT               | 084 | BIIB       | S         | 5,000         | 211.78       | n/a        | n/a          | 200.00         | 0.0        |
| <b>B BUCK CAPITAL MGMT</b>  |     | <b>CHS</b> | <b>SS</b> | <b>20,000</b> | <b>19.05</b> | <b>n/a</b> | <b>5-Feb</b> | <b>non-brg</b> | <b>4.0</b> |
| IMPALA ASSET MMT            | 040 | CNW        | B         | 50,000        | 35.33        | n/a        | n/a          | 2,000.00       | 0.0        |
| NEUBERGER BERMAN            | 036 | COG        | S         | 33,400        | 66.62        | n/a        | 2-May        | 1,336.00       | 0.0        |
| PERIMETER                   | 273 | CSTR       | S         | 19,049        | 55.90        | n/a        | n/a          | 761.96         | 0.0        |

| Account                       | RR#        | Symbol      | B/S       | Shares        | Price        | MRI        | Research   | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|-----------|---------------|--------------|------------|------------|----------------|------------|
| TUDOR INVESTORS               | 028        | CSX         | SS        | 10,000        | 25.35        | n/a        | n/a        | 300.00         | 0.0        |
| PRIMECAP MGMT                 | 084        | DAL         | B         | 4,000         | 17.90        | n/a        | 10-May     | 160.00         | 0.0        |
| SENATOR INVESTMENT GROUP      | 036        | DAL         | B         | 20,000        | 17.78        | n/a        | 10-May     | 600.00         | 0.0        |
| LATEEF MGMT                   | 033        | DD          | S         | 100           | 55.39        | n/a        | n/a        | 30.00          | 0.0        |
| PROSPECTOR PARTNERS LLC       | 036        | DD          | S         | 10,000        | 55.42        | n/a        | n/a        | 400.00         | 0.0        |
| BRONSON POINT                 | 036        | DECK        | C         | 50,000        | 56.17        | n/a        | n/a        | 1,500.00       | 0.0        |
| NEWLAND CAPITAL MGT           | 025        | DOV         | S         | 7,500         | 73.39        | n/a        | n/a        | 300.00         | 0.0        |
| KEY ASSET MGMT/VICTORY        | 220        | DOW         | B         | 225,400       | 34.35        | n/a        | n/a        | 9,016.00       | 0.0        |
| LATEEF MGMT                   | 033        | DOW         | B         | 150           | 34.29        | n/a        | n/a        | 30.00          | 0.0        |
| WAGONHOUND/NICOLAS            | 033        | DPZ         | S         | 13,523        | 58.00        | n/a        | 10-May     | 540.92         | 0.0        |
| NEUBERGER BERMAN              | 036        | D           | B         | 20,000        | 59.48        | n/a        | n/a        | 800.00         | 0.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>EXPE</b> | <b>SS</b> | <b>25,400</b> | <b>57.91</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>FBC</b>  | <b>S</b>  | <b>765</b>    | <b>13.10</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f SERGEI BARANOVSKY</b>    | <b>FID</b> | <b>FBN</b>  | <b>S</b>  | <b>1000</b>   | <b>0.98</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f EDWARD W WHEELER</b>     | <b>FID</b> | <b>FCX</b>  | <b>B</b>  | <b>100</b>    | <b>0.68</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| HARVEST MGMT (JMP)            | 029        | FDO         | B         | 10,000        | 62.81        | n/a        | 10-Apr     | 400.00         | 0.0        |
| NEUBERGER BERMAN              | 036        | FELE        | B         | 7,205         | 32.81        | n/a        | n/a        | 288.20         | 0.0        |

| Account                    | RR# | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm.¢/Shr. |     |
|----------------------------|-----|--------|-----|---------|--------|--------|----------|-------------|-----|
| NEUBERGER BERMAN           | 036 | FFIN   | B   | 2,500   | 51.47  | n/a    | n/a      | 100.00      | 0.0 |
| BALYASNY ASSET MGMT        | 044 | FINL   | B   | 75,000  | 21.54  | 10-May | 10-May   | 3,750.00    | 0.0 |
| MERRILL ASSET/BLACKROCK    | 297 | FITB   | B   | 17,500  | 17.63  | n/a    | n/a      | 700.00      | 0.0 |
| ⚡ BUCK CAPITAL MGMT        |     | FOR    | S   | 14,835  | 24.11  | n/a    | 9-May    | non-brg     | 2.5 |
| ⚡ BUCK CAPITAL MGMT        |     | FOR    | S   | 5,165   | 24.40  | n/a    | 9-May    | non-brg     | 4.0 |
| PROSPECTOR PARTNERS LLC    | 036 | FOR    | S   | 10,000  | 24.15  | n/a    | 9-May    | 400.00      | 0.0 |
| ⚡ BUCK CAPITAL MGMT        |     | FOSL   | S   | 10,000  | 108.58 | n/a    | n/a      | non-brg     | 4.0 |
| S.A.C. CAPITAL             | 044 | GE     | B   | 100,000 | 22.82  | n/a    | n/a      | 3,000.00    | 0.0 |
| f JONATHAN RICHARD HAR     | FID | GM     | B   | 30      | 1.62   | n/a    | 9-May    | 0.00        | 0.0 |
| PARAMETER CAPITAL MGMT LLC | 044 | GM     | B   | 40,000  | 31.10  | n/a    | 9-May    | 1,200.00    | 0.0 |
| ⚡ BUCK CAPITAL MGMT        |     | GPS    | S   | 20,000  | 40.92  | n/a    | n/a      | non-brg     | 4.0 |
| ⚡ BUCK CAPITAL MGMT        |     | HBI    | B   | 17,000  | 50.39  | n/a    | 3-May    | non-brg     | 2.0 |
| ⚡ BUCK CAPITAL MGMT        |     | HBI    | B   | 33,000  | 50.34  | n/a    | 3-May    | non-brg     | 4.0 |
| f JONATHAN RICHARD HAR     | FID | HTZ    | B   | 200     | 24.79  | n/a    | n/a      | 0.00        | 0.0 |
| f CHRISTY FRANK            | FID | INTC   | S   | 1000    | 24.50  | n/a    | n/a      | 0.00        | 0.0 |
| CR INTRINSIC/CHRIS C       | 041 | IP     | S   | 35,000  | 46.33  | n/a    | 6-May    | 1,050.00    | 0.0 |
| ⚡ BUCK CAPITAL MGMT        |     | IWM    | C   | 82,700  | 96.75  | n/a    | n/a      | non-brg     | 2.0 |

| Account                            | RR# | Symbol | B/S  | Shares  | Price   | MRI  | Research | Comm.¢/Shr. |          |     |
|------------------------------------|-----|--------|------|---------|---------|------|----------|-------------|----------|-----|
| WEISS PECK/ROBECO/BOSTON PT        |     | 040    | JBLU | B       | 146,655 | 6.76 | n/a      | 10-May      | 5,866.20 | 0.0 |
| INTERVAL PARTNERS                  | 033 | JCI    | B    | 10,000  | 36.41   | n/a  | 6-May    | 300.00      | 0.0      |     |
| f JASON ERIC COHEN                 | FID | JNK    | S    | 200     | 41.64   | n/a  | n/a      | 0.00        | 0.0      |     |
| TALON ASSET MGMT.                  | 006 | JPM    | S    | 10,000  | 48.84   | n/a  | 6-May    | 500.00      | 0.0      |     |
| COBALT                             | 041 | LEN    | B    | 100,000 | 42.59   | n/a  | n/a      | 4,000.00    | 0.0      |     |
| PRIMECAP MGMT                      | 084 | LIFE   | S    | 5,000   | 73.56   | n/a  | n/a      | 200.00      | 0.0      |     |
| PALISADE CAPITAL MANAGEMENT LLC025 | LL  |        | B    | 71,385  | 87.94   |      | n/a      | n/a         | 2,855.40 | 0.0 |
| LISTED ERR                         | 099 | LL     | S    | 55      | 87.94   | n/a  | n/a      | 0.00        | 0.0      |     |
| ADAGE CAPITAL MGMT                 | 030 | LTD    | SS   | 200,000 | 51.39   | n/a  | n/a      | 6,000.00    | 0.0      |     |
| NEUBERGER BERMAN                   | 036 | LUFK   | S    | 30,750  | 88.32   | n/a  | n/a      | 1,230.00    | 0.0      |     |
| f MARK ANTHONY GRONET              | FID | MPC    | S    | 400     | 76.43   | n/a  | n/a      | 0.00        | 0.0      |     |
| LATEEF MGMT                        | 033 | MSFT   | S    | 150     | 32.58   | n/a  | n/a      | 30.00       | 0.0      |     |
| NEWLAND CAPITAL MGT                | 025 | MSM    | S    | 15,000  | 82.01   | n/a  | n/a      | 600.00      | 0.0      |     |
| 1798 CAP/LOMBARD ASSET             | 040 | MWV    | B    | 50,000  | 35.18   | n/a  | 10-May   | 2,500.00    | 0.0      |     |
| NEUBERGER BERMAN                   | 036 | NJR    | S    | 13,201  | 45.54   | n/a  | n/a      | 528.04      | 0.0      |     |
| FIRST NEW YORK                     | 086 | NOK    | B    | 20,000  | 3.65    | n/a  | n/a      | 1,000.00    | 0.0      |     |

| Account                  | RR# | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |     |
|--------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|-----|
| NEUBERGER BERMAN         | 036 | NWE    | B   | 4,400  | 41.78  | n/a | n/a      | 176.00      | 0.0 |
| LATEEF MGMT              | 033 | OLN    | B   | 150    | 24.16  | n/a | n/a      | 30.00       | 0.0 |
| ⚡ BUCK CAPITAL MGMT      |     | PCLN   | C   | 2,185  | 752.96 | n/a | n/a      | non-brg     | 1.0 |
| ⚡ BUCK CAPITAL MGMT      |     | PCLN   | SS  | 1,500  | 766.21 | n/a | n/a      | non-brg     | 4.0 |
| ADAGE CAPITAL MGMT       | 030 | PERY   | B   | 40,160 | 18.12  | n/a | n/a      | 1,204.80    | 0.0 |
| INTERVAL PARTNERS        | 033 | PETM   | B   | 10,000 | 70.11  | n/a | n/a      | 300.00      | 0.0 |
| IMPALA ASSET MMT         | 040 | PH     | B   | 75,000 | 93.83  | n/a | n/a      | 3,750.00    | 0.0 |
| HARVEST MGMT (JMP)       | 029 | PIR    | S   | 10,000 | 24.49  | n/a | n/a      | 400.00      | 0.0 |
| TUDOR INVESTORS          | 028 | PNR    | SS  | 5,000  | 55.84  | n/a | n/a      | 150.00      | 0.0 |
| HARVEST MGMT (JMP)       | 029 | ROST   | SS  | 15,000 | 65.78  | n/a | 10-May   | 600.00      | 0.0 |
| NEUBERGER BERMAN         | 036 | SE     | B   | 31,000 | 30.79  | n/a | n/a      | 1,240.00    | 0.0 |
| CRAMER ROSENTHAL         | 070 | SKS    | B   | 70,300 | 11.88  | n/a | n/a      | 2,812.00    | 0.0 |
| ⚡ BUCK CAPITAL MGMT      |     | SLXP   | C   | 10,000 | 57.14  | n/a | 10-May   | non-brg     | 4.0 |
| ⚡ BUCK CAPITAL MGMT      |     | SLXP   | C   | 15,000 | 56.07  | n/a | 10-May   | non-brg     | 0.8 |
| ⚡ BUCK CAPITAL MGMT      |     | SLXP   | C   | 25,000 | 56.05  | n/a | 10-May   | non-brg     | 2.0 |
| LATEEF MGMT              | 033 | SPLS   | S   | 250    | 14.07  | n/a | n/a      | 30.00       | 0.0 |
| LEVIN CAPITAL STRATEGIES | 041 | SSI    | S   | 15,193 | 28.05  | n/a | 8-May    | 455.79      | 0.0 |

| Account                         | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research   | Comm. ¢/Shr.   |            |
|---------------------------------|------------|-------------|----------|---------------|--------------|------------|------------|----------------|------------|
| CLEARLINE CAPITAL LLC           | 040        | SSYS        | SS       | 9,000         | 83.95        | n/a        | n/a        | 270.00         | 0.0        |
| NEUBERGER BERMAN                | 036        | STEI        | B        | 25,000        | 9.01         | n/a        | n/a        | 500.00         | 0.0        |
| MERRILL ASSET/BLACKROCK         | 297        | STI         | B        | 19,500        | 30.47        | n/a        | n/a        | 780.00         | 0.0        |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251        | STKL        | B        | 10,000        | 6.99         |            | n/a        | n/a            | 200.00 0.0 |
| ADAGE CAPITAL MGMT              | 030        | TGT         | S        | 140,000       | 69.33        | n/a        | 18-Apr     | 4,200.00       | 0.0        |
| NEUBERGER BERMAN                | 036        | TISI        | B        | 4,400         | 40.75        | n/a        | n/a        | 176.00         | 0.0        |
| <b>B BUCK CAPITAL MGMT</b>      |            | <b>TITN</b> | <b>S</b> | <b>75,000</b> | <b>23.67</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>1.0</b> |
| S.A.C. CAPITAL                  | 044        | TJX         | SS       | 20,000        | 50.96        | n/a        | 9-May      | 600.00         | 0.0        |
| BRONSON POINT                   | 036        | TRW         | B        | 50,000        | 61.50        | n/a        | n/a        | 1,500.00       | 0.0        |
| TIDE POINT CAPITAL              | 028        | TRW         | B        | 5,000         | 61.35        | n/a        | n/a        | 150.00         | 0.0        |
| <b>f SERGEI BARANOVSKY</b>      | <b>FID</b> | <b>TSLA</b> | <b>B</b> | <b>9</b>      | <b>1.25</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| LATEEF MGMT                     | 033        | UAL         | S        | 200           | 32.84        | n/a        | 10-May     | 30.00          | 0.0        |
| IMPALA ASSET MMT                | 040        | URI         | S        | 50,000        | 58.28        | n/a        | 17-Apr     | 2,500.00       | 0.0        |
| NEUBERGER BERMAN                | 036        | VMI         | B        | 8,400         | 153.12       | n/a        | n/a        | 336.00         | 0.0        |
| NEUBERGER BERMAN                | 036        | VPFG        | B        | 10,000        | 19.43        | n/a        | n/a        | 400.00         | 0.0        |
| <b>f JACK H CHERNUS</b>         | <b>FID</b> | <b>VZ</b>   | <b>S</b> | <b>1000</b>   | <b>52.90</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research   | Comm. ¢/Shr.     |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|------------|------------------|------------|
| BRONSON POINT                 | 036        | WMT         | B        | 175,000       | 78.70        | n/a        | 22-Feb     | 5,250.00         | 0.0        |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>WNC</b>  | <b>S</b> | <b>72,442</b> | <b>9.78</b>  | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b>   | <b>3.0</b> |
| <b>f</b> JONATHAN RICHARD HAR | <b>FID</b> | <b>WTSL</b> | <b>B</b> | <b>1500</b>   | <b>3.80</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>WWW</b>  | <b>C</b> | <b>20,000</b> | <b>50.76</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b>   | <b>4.0</b> |
| BALYASNY ASSET MGMT           | 044        | WY          | S        | 125,000       | 31.38        | n/a        | 10-May     | 6,250.00         | 0.0        |
| IMPALA ASSET MMT              | 040        | WY          | B        | 50,000        | 31.35        | n/a        | 10-May     | 2,000.00         | 0.0        |
| NOMURA/ANGEL LANE PRINCIPAL   | 040        | YUM         | SS       | 50,000        | 70.08        | n/a        | 6-May      | 1,500.00         | 0.0        |
| SURVEYOR CAPITAL              | 251        | YUM         | B        | 64,937        | 70.14        | n/a        | 6-May      | 1,948.11         | 0.0        |
| <b>TOTAL (Trade Date) :</b>   |            |             |          |               |              |            |            | <b>98,852.42</b> |            |

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

| Type   | Date  | Account         | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-----------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO,CRT | 05/09 | TUDOR INVESTORS | 028  | IR     | B   | 10,000  | 55.81 | n/a | 9-May    | 300.00 3.0  |
| AO,CXL | 05/09 | TUDOR INVESTORS | 028  | IR     | B   | 10,000  | 55.81 | n/a | 9-May    | 3.00 0.0    |
| AO,    | 05/09 | COBALT          | 041  | LEN    | B   | 100,000 | 42.67 | n/a | n/a      | 4000.00 0.0 |
| AO,CXL | 05/09 | COBALT          | 041  | LEN    | B   | 100,000 | 42.67 | n/a | n/a      | 4000.00 0.0 |
| AO,CRT | 05/09 | HALCYON LLC     | 041  | S      | B   | 150,000 | 7.36  | n/a | n/a      | 3000.00 2.0 |
| AO,CXL | 05/09 | HALCYON LLC     | 041  | S      | B   | 150,000 | 7.36  | n/a | n/a      | 600.00 0.0  |
| AO,CRT | 05/09 | TUDOR INVESTORS | 028  | WY     | B   | 20,000  | 31.58 | n/a | 10-May   | 600.00 3.0  |
| AO,CXL | 05/09 | TUDOR INVESTORS | 028  | WY     | B   | 20,000  | 31.58 | n/a | 10-May   | 6.00 0.0    |

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| <b>TOTAL (AO, CXL, CRT) :</b> | <b>3,291.00</b> |
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|----------------------|-----------|
| TOTAL (Trade Date) : | 98,852.42 |
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|                        |          |
|------------------------|----------|
| TOTAL (AO, CXL, CRT) : | 3,291.00 |
|------------------------|----------|

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|                                 |                   |
|---------------------------------|-------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>102,143.42</b> |
|---------------------------------|-------------------|

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BCM Cancel/Corrects and As-Of Trades

| Type | Date  | Account           | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------|--------|-----|--------|--------|-----|----------|-------------|
| AO   | 05/09 | BUCK CAPITAL MGMT | PCLN   | C   | 2,000  | 714.74 | n/a | n/a      | 20.00 1.0   |

MRI Securities with Trade Activity on 10-May.

FINL

MRI Securities without Trade Activity on 10-May.

AXP

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)