



Daily Compliance Activity Report

Trade Date: 09/19/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	S	40,000	23.45	n/a	2-Dec	non-brg	4.0
BESSEMER INVESTMENT	085	AGII	S	949	31.44	n/a	n/a	37.96	4.0
BUCK CAPITAL MGMT		ALGN	C	10,000	37.12	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ALGN	C	17,415	37.18	n/a	n/a	non-brg	4.0
KATHERINE L O'GORMAN	FID	APA	S	225	89.11	n/a	8-Aug	0.00	0.0
SUFFOLK CAPITAL MGMT	040	ARIA	S	11,400	23.79	n/a	n/a	342.00	0.0
CATAPULT CAP/DEFRANCO	040	ASH	B	15,977	75.68	n/a	7-Sep	639.08	0.0
BUCK CAPITAL MGMT		ASNA	B	100,000	20.63	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ASNA	C	100,000	20.54	n/a	n/a	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	15,000	12.01	n/a	30-Jul	600.00	0.0
BUCK CAPITAL MGMT		BNNY	S	10,000	48.24	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BONT	S	20,000	12.18	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BONT	S	20,000	12.18	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BYI	B	85,550	47.60	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BYI	B	85,550	47.60	n/a	n/a	non-brg	4.0
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	3.64		n/a	n/a	7,500.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAGE ASSET MGMT	025	BZ	S	32,100	8.44	n/a	n/a	1,605.00	5.0
TRUST CO/COWEN/CALF.	040	CBS	S	88,600	37.00	n/a	n/a	4,430.00	0.0
B BUCK CAPITAL MGMT		COH	S	10,000	60.04	n/a	1-Aug	non-brg	4.0
T. ROWE PRICE	033	COH	S	45,000	60.09	n/a	1-Aug	1,800.00	0.0
PALESTRA	040	CVC	S	19,000	16.63	n/a	n/a	950.00	5.0
f JONATHAN RICHARD HAR	FID	CVGI	B	250	8.63	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	DAN	B	30,000	13.39	n/a	27-Jul	900.00	3.0
B BUCK CAPITAL MGMT		DG	B	20,000	50.89	n/a	5-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		DG	B	30,000	51.06	n/a	5-Sep	non-brg	4.0
BESSEMER INVESTMENT	085	DHR	S	500	55.65	n/a	n/a	20.00	4.0
CORNERSTONE	030	DKS	B	50,000	53.93	n/a	17-Sep	1,500.00	0.0
M&I FUNDS	047	DKS	S	4,518	53.51	n/a	17-Sep	180.72	4.0
CAISSE DEPOT PLACEMENT Q	295	DLLR	B	4,869	17.59	n/a	n/a	146.07	3.0
B BUCK CAPITAL MGMT		DLTR	B	11,000	47.09	n/a	16-Aug	non-brg	0.8
B BUCK CAPITAL MGMT		DLTR	B	50,000	47.07	n/a	16-Aug	non-brg	4.0
BESSEMER INVESTMENT	085	DRI	S	625	54.89	n/a	18-Sep	25.00	4.0
BESSEMER INVESTMENT	085	EMR	S	200	50.69	n/a	n/a	8.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KATHERINE L O'GORMAN	FID	ENDP	S	270	32.67	n/a	19-Sep	0.00	0.0
SUN AMERICA ASSET MGMT	030	EXPR	B	14,000	16.30	n/a	n/a	560.00	0.0
ROSEDALE CAPITAL	046	FB	S	15,000	22.44	n/a	n/a	750.00	5.0
TUDOR INVESTORS	028	FDX	B	5,000	87.04	n/a	n/a	150.00	3.0
BTG PACTUAL	040	FINL	B	10,000	23.20	n/a	22-Aug	300.00	3.0
ß BUCK CAPITAL MGMT		FL	S	30,000	36.36	n/a	29-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	S	20,000	69.84	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	S	20,000	37.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	20,000	31.38	n/a	3-Aug	non-brg	4.0
CENTURION PARTNERS	041	GM	B	20,000	24.81	n/a	18-Sep	800.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	S	20,000	25.12	n/a	18-Sep	600.00	0.0
f MANNY I KORMAN	FID	GM	B	40000	24.47	n/a	18-Sep	0.00	0.0
OZ MGMT	040	GM	B	50,000	25.12	n/a	18-Sep	1,500.00	0.0
ß BUCK CAPITAL MGMT		GNC	S	20,000	38.71	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GPS	S	10,000	35.93	n/a	n/a	non-brg	4.0
J. GOLDMAN	028	GPS	SS	15,000	35.95	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	GS	S	1,475	119.65	n/a	14-Sep	59.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	G	S	1,673	47.03	n/a	n/a	66.92	4.0
B BUCK CAPITAL MGMT		HAIN	S	10,000	67.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HBI	S	20,000	32.95	n/a	1-Aug	non-brg	4.0
f STEFFANIE CARMELA CA	FID	HOV	S	500	3.83	n/a	n/a	0.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.93	n/a	n/a	200.00	0.0
ARMATURE CAPITAL	041	IP	B	30,000	34.20	n/a	20-Aug	1,200.00	0.0
BESSEMER INVESTMENT	085	IP	S	150	34.17	n/a	20-Aug	6.00	4.0
CATAPULT CAP/DEFRANCO	040	IP	B	28,970	34.14	n/a	20-Aug	1,158.80	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	95,000	34.15	n/a	20-Aug	4,750.00	5.0
BESSEMER INVESTMENT	085	JCI	S	100	29.02	n/a	20-Jul	4.00	4.0
TUDOR INVESTORS	028	JCI	B	10,000	28.68	n/a	20-Jul	300.00	3.0
B BUCK CAPITAL MGMT		JCP	C	50,000	29.66	n/a	13-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	C	50,000	29.69	n/a	13-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		JNY	S	20,000	13.45	n/a	26-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		JNY	S	30,000	13.47	n/a	26-Jul	non-brg	4.0
BESSEMER INVESTMENT	085	JPM	S	963	41.45	n/a	17-Sep	38.52	4.0
BALLAST CAP	040	KBR	S	6,000	31.16	n/a	n/a	300.00	5.0
CENTURION PARTNERS	041	KFT	B	10,000	40.73	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		KNX	B	20,000	14.54	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KORS	S	10,000	52.87	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		KSS	S	10,000	53.65	n/a	31-Aug	non-brg	4.0
PALESTRA	040	LAMR	B	26,000	33.19	n/a	n/a	1,300.00	5.0
PALESTRA	040	LBTYA	B	9,000	57.38	n/a	n/a	450.00	5.0
BESSEMER INVESTMENT	085	LNC	S	1,808	25.17	n/a	n/a	72.32	4.0
f IAN L MILLER	FID	LULU	S	15	75.66	n/a	10-Sep	0.00	0.0
f WILLIAM J GRACE	FID	MFLDX	B	11335	15.88	n/a	n/a	0.00	0.0
f WILLIAM J GRACE	FID	MFLDX	B	3149	15.88	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	MGA	SS	5,000	46.07	n/a	n/a	150.00	3.0
DISCIPLINED GROWTH INV.	030	MIDD	S	3,000	116.93	n/a	n/a	150.00	0.0
⚡ BUCK CAPITAL MGMT		MPEL	B	25,000	13.30	n/a	13-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MPEL	B	25,000	13.30	n/a	13-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MPEL	B	25,000	13.32	n/a	13-Jun	non-brg	2.5
⚡ BUCK CAPITAL MGMT		MPEL	B	25,000	13.32	n/a	13-Jun	non-brg	2.5
⚡ BUCK CAPITAL MGMT		MTOR	B	100,000	4.93	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		MTOR	B	37,900	4.85	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		MTOR	B	50,000	4.91	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	30.34	n/a	25-Jul	750.00	5.0
B BUCK CAPITAL MGMT		MW	S	30,000	36.01	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	M	B	30,000	38.71	n/a	31-Aug	1,500.00	0.0
B BUCK CAPITAL MGMT		M	S	30,000	39.23	n/a	31-Aug	non-brg	4.0
CAPITAL RESEARCH GROUP		296 NKE	B	153,900	99.96		n/a 22-Aug	5,386.51	0.0
SUFFOLK CAPITAL MGMT	040	OAS	B	4,926	30.73	n/a	n/a	197.04	0.0
ROTHSCHILD ASSET	040	OSIS	S	10,052	76.46	n/a	n/a	402.08	0.0
TUDOR INVESTORS	028	PCAR	SS	5,000	42.26	n/a	12-Sep	150.00	3.0
TUDOR INVESTORS	028	PCL	S	10,000	43.77	n/a	1-Aug	300.00	3.0
B BUCK CAPITAL MGMT		PCP	B	6,000	159.44	n/a	1-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		PERY	S	22,500	22.36	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	PG	S	425	69.43	n/a	18-Sep	17.00	4.0
B BUCK CAPITAL MGMT		PII	B	30,000	81.54	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	RBC	SS	5,000	72.96	n/a	n/a	150.00	3.0
NORTHWESTERN MUTUAL LIFE	047	RHI	S	125,877	26.94	n/a	n/a	5,035.08	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	8,000	66.26	n/a	20-Aug	400.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SCSS	S	30,000	33.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKS	C	30,000	11.24	n/a	n/a	non-brg	4.0
f CICYLY S BACKUS	FID	SLM	B	5000	16.60	n/a	17-Sep	0.00	0.0
f LBP ENTERPRISES INC	FID	SLM	B	4000	16.60	n/a	17-Sep	0.00	0.0
f SNEJANA P GARFUNKEL	FID	SLM	B	1000	16.60	n/a	17-Sep	0.00	0.0
B BUCK CAPITAL MGMT		SUMR	S	10,000	1.82	n/a	n/a	non-brg	0.5
B BUCK CAPITAL MGMT		SUMR	S	10,000	1.82	n/a	n/a	non-brg	0.5
B BUCK CAPITAL MGMT		SUMR	S	10,400	2.05	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SUMR	S	10,400	2.05	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SWFT	B	30,000	8.14	n/a	n/a	non-brg	3.0
ELM RIDGE ADVISORS	044	SWY	S	70,000	16.43	n/a	n/a	2,800.00	0.0
ARSENAL ASSET MANAGEMENT	028	TEX	B	10,000	24.73	n/a	n/a	400.00	0.0
TUDOR INVESTORS	028	TGI	B	5,000	60.55	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		TIF	C	20,000	64.12	n/a	n/a	non-brg	4.0
DISCIPLINED GROWTH INV.	030	TJX	S	32,400	45.26	n/a	31-Aug	1,620.00	0.0
DEVENNY CAP LLC/MILLENIU	044	TRQ	S	30,000	9.78	n/a	n/a	900.00	0.0
TUDOR INVESTORS	028	TRW	B	5,000	46.95	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	T	S	616	37.76	n/a	n/a	24.64	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	041	T	S	20,000	37.58	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	UPS	SS	5,000	74.77	n/a	n/a	150.00	3.0
SUFFOLK CAPITAL MGMT	040	URI	S	24,500	37.22	n/a	17-Apr	980.00	0.0
BESSEMER INVESTMENT	085	UTX	S	250	81.36	n/a	n/a	10.00	4.0
TUDOR INVESTORS	028	VAL	S	10,000	58.01	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	VNQI	S	500	52.46	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	VZ	S	975	45.25	n/a	n/a	39.00	4.0
CATAPULT	040	WAG	S	22,826	35.70	n/a	n/a	913.04	0.0
TUDOR INVESTORS	028	WBC	B	5,000	59.68	n/a	29-Aug	150.00	3.0
ARSENAL ASSET MANAGEMENT	028	WCC	B	5,000	62.60	n/a	n/a	200.00	0.0
⚡ BUCK CAPITAL MGMT		WRC	S	10,000	53.90	n/a	7-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WRC	S	20,000	54.16	n/a	7-Aug	non-brg	4.0
TUDOR INVESTORS	028	WY	B	15,000	26.36	n/a	27-Jul	450.00	3.0
DEVENNY CAP LLC/MILLENIU	044	X	B	5,000	20.88	n/a	n/a	150.00	0.0
⚡ BUCK CAPITAL MGMT		ZUMZ	B	20,000	27.49	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ZUMZ	B	20,000	27.49	n/a	n/a	non-brg	4.0

TOTAL (Trade Date):

61,043.78

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/18	VISIUM/BALY BOBBY	044	IP	B	25,000	34.11	n/a	20-Aug	1250.00 0.0
AO,CXL	09/18	VISIUM/BALY BOBBY	044	IP	B	25,000	34.11	n/a	20-Aug	1250.00 0.0
AO,CRT	09/18	VISIUM/BALY BOBBY	044	USG	B	10,000	23.40	n/a	1-Aug	500.00 0.0
AO,CXL	09/18	VISIUM/BALY BOBBY	044	USG	B	10,000	23.40	n/a	1-Aug	500.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	61,043.78
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	61,043.78
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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 19-Sep.
NONE

MRI Securities without Trade Activity on 19-Sep.
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)