



Daily Compliance Activity Report

Trade Date: 01/10/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 1

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		1023 HK	S	500,000	0.63	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		494 HK	SS	500,000	1.83	n/a	n/a	non-brg	0.4
EDGEWOOD	085	AAPL	B	666	520.99	n/a	n/a	33.31	0.0
BESSEMER INVESTMENT	085	ACE	B	595	81.45	n/a	n/a	23.80	4.0
BESSEMER INVESTMENT	085	ACN	B	845	69.58	n/a	n/a	33.80	4.0
BESSEMER INVESTMENT	085	AET	B	1,270	45.10	n/a	n/a	50.80	4.0
EDGEWOOD	085	AGN	B	2,179	102.97	n/a	7-Jan	108.95	0.0
f CHRISTY FRANK	FID	ALDW	B	438	20.99	n/a	n/a	0.00	0.0
EDGEWOOD	085	AMT	B	4,537	78.37	n/a	n/a	226.85	0.0
EDGEWOOD	085	AMZN	B	1,502	264.15	n/a	n/a	75.10	0.0
SHEFFIELD ASSET MGMT	031	ARO	B	43,730	11.95	n/a	n/a	1,311.90	3.0
SENATOR INVESTMENT GROUP	036	ASH	B	25,000	85.55	n/a	17-Dec	750.00	3.0
B BUCK CAPITAL MGMT		ASNA	C	70,000	16.68	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	AVGO	B	1,285	33.31	n/a	n/a	51.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	AXL	B	30,000	11.59	n/a	7-Jan	1,200.00	4.0
SANDLER O'NEILL ASSET	031	AXP	B	25,000	60.39	n/a	10-Jan	1,250.00	0.0
TUDOR INVESTORS	028	BECN	S	5,000	34.76	n/a	n/a	150.00	3.0
BRANDWINE	028	BK	S	136,000	26.75	n/a	20-Dec	5,440.00	0.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		BONT	B	45,000	11.32		n/a	n/a	1,350.00 3.0
B BUCK CAPITAL MGMT		BYD	S	50,000	6.80	n/a	n/a	non-brg	0.8
f JOHN MICHAEL ZOLIDIS	FID	CBK	B	1700	5.69	n/a	n/a	0.00	0.0
RAINIER INV MGMT	033	CCI	B	50,000	72.95	n/a	n/a	2,000.00	0.0
EDGEWOOD	085	CELG	B	4,991	95.25	n/a	n/a	249.55	0.0
EDGEWOOD	085	CME	B	5,486	53.32	n/a	28-Apr	274.30	0.0
EDGEWOOD	085	CMG	B	1,305	297.01	n/a	3-Jan	65.25	0.0
BESSEMER INVESTMENT	085	COH	B	645	56.54	n/a	5-Nov	25.80	4.0
EDGEWOOD	085	COH	B	6,046	57.52	n/a	5-Nov	302.30	0.0
HARVEST MGMT (JMP)	029	COH	SS	10,000	56.68	n/a	5-Nov	400.00	4.0
BESSEMER INVESTMENT	085	COP	B	965	58.35	n/a	n/a	38.60	4.0
B BUCK CAPITAL MGMT		CPB	SS	50,000	35.26	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		CROX	B	30,000	15.12	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	CTL	B	1,020	40.03	n/a	n/a	40.80	4.0
EDGEWOOD	085	CTSH	B	7,205	74.65	n/a	n/a	360.25	0.0
BESSEMER INVESTMENT	085	CVS	B	1,635	50.67	n/a	n/a	65.40	4.0
BESSEMER INVESTMENT	085	C	B	765	42.00	n/a	7-Jan	30.60	4.0
B BUCK CAPITAL MGMT		DAL	S	17,000	13.48	n/a	8-Jan	non-brg	4.0
GEORGE WEISS	028	DAN	SS	19,700	15.74	n/a	31-Oct	788.00	0.0
GEORGE WEISS	028	DAN	S	25,300	15.74	n/a	31-Oct	1,012.00	0.0
B BUCK CAPITAL MGMT		DECK	S	100,000	36.29	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	DG	B	1,745	42.91	n/a	12-Dec	69.80	4.0
BESSEMER INVESTMENT	085	DTE	B	557	61.02	n/a	n/a	22.28	4.0
EDGEWOOD	085	ECL	B	3,534	73.22	n/a	9-Jan	176.70	0.0
B BUCK CAPITAL MGMT		EXPR	B	50,000	14.37	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	FBC	B	300	18.27	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	FINL	B	7,177	17.30	n/a	4-Jan	287.08	4.0
METROPOLITAN CAPITAL	044	FINL	B	16,544	17.30	n/a	4-Jan	827.20	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	FOR	B	12,400	18.21	n/a	8-Nov	434.00	0.0
B BUCK CAPITAL MGMT		FOSL	S	30,000	100.51	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	F	S	200	13.83	n/a	10-Jan	0.00	0.0
S.A.C. CAPITAL	044	F	SS	25,000	13.80	n/a	10-Jan	875.00	3.5
SAFRA ASSET MGMT.	040	F	SS	20,000	13.78	n/a	10-Jan	600.00	3.0
WOOSTER CAPITAL	044	F	SS	100,000	13.80	n/a	10-Jan	4,000.00	4.0
EDGEWOOD	085	GILD	B	1,928	77.80	n/a	n/a	96.40	0.0
CAERUS GLOBAL	041	GM	S	25,000	30.24	n/a	10-Jan	1,000.00	4.0
f MARC PAUL LUCHANSKY	FID	GM	B	100	30.40	n/a	10-Jan	0.00	0.0
EDGEWOOD	085	GOOG	B	584	740.02	n/a	n/a	29.21	0.0
TUDOR INVESTORS	028	GWR	B	5,000	81.16	n/a	n/a	150.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	HLF	B	100	42.01	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	HON	S	5,000	66.16	n/a	12-Dec	250.00	5.0
EDGEWOOD	085	IHS	B	3,581	102.01	n/a	n/a	179.05	0.0
EDGEWOOD	085	ILMN	B	6,607	53.81	n/a	n/a	330.35	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	39.73	n/a	7-Jan	2,500.00	5.0
EDGEWOOD	085	ISRG	B	653	509.42	n/a	n/a	32.65	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JNY	SS	70,000	10.85	n/a	25-Oct	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	25,000	42.49	n/a	4-Jan	875.00	3.5
EDGEWOOD	085	MJN	B	3,982	68.14	n/a	n/a	199.10	0.0
TUDOR INVESTORS	028	MSM	B	5,000	73.91	n/a	n/a	150.00	3.0
SCOPUS FUND	041	PAG	SS	5,000	30.82	n/a	5-Nov	200.00	4.0
WAGONHOUND/NICOLAS	033	PAG	S	5,544	31.02	n/a	5-Nov	221.76	0.0
B BUCK CAPITAL MGMT		PETM	SS	10,000	69.48	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PETM	SS	7,000	69.51	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	PHMD	B	1000	14.89	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	PNR	SS	5,000	50.66	n/a	n/a	150.00	3.0
COBALT	041	PRU	B	50,000	57.97	n/a	n/a	2,000.00	4.0
EDGEWOOD	085	PX	B	1,850	114.25	n/a	13-Dec	92.50	0.0
EDGEWOOD	085	QCOM	B	5,786	64.68	n/a	n/a	289.30	0.0
B BUCK CAPITAL MGMT		RH	B	3,122	33.46	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RH	B	5,228	33.46	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RLGY	S	20,000	42.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RL	C	20,000	164.98	n/a	5-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TEMAGAMI CAPITAL	041	RTH	B	8,000	44.24	n/a	n/a	320.00	4.0
SENATOR INVESTMENT GROUP	036	SBUX	S	175,596	54.66	n/a	3-Jan	5,267.88	3.0
B BUCK CAPITAL MGMT		SKS	C	200,000	10.47	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	50,000	17.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	50,000	17.92	n/a	n/a	non-brg	1.0
f DAVID GEORGE BUCK	FID	SPPI	B	2000	12.98	n/a	n/a	0.00	0.0
f WILLIAM WEINBERG	FID	SQBG	B	5000	5.24	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	STLD	S	10,000	15.00	n/a	n/a	400.00	4.0
SPARTAN	093	SWN	B	10,000	31.88	n/a	10-Jan	300.00	3.0
B BUCK CAPITAL MGMT		SYX	SS	20,000	30.90	n/a	n/a	non-brg	4.0
FIRST NEW YORK LEDDY	086	S	B	20,000	5.88	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		TGT	SS	50,000	60.32	n/a	3-Jan	non-brg	4.0
EDGEWOOD	085	TROW	B	5,224	68.02	n/a	n/a	261.20	0.0
BNP PARIBAS SEC	040	TRW	B	10,000	54.65	n/a	n/a	300.00	3.0
SCOPUS FUND	041	TRW	B	25,000	53.95	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		ULTA	B	20,000	92.87	n/a	n/a	non-brg	4.0

Account			RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE			ASSE033	UNFI		S	67,663	52.65	n/a	n/a	2,029.89	0.0
ROYCE TRADING			031	UNT	B	3,700	46.72	n/a	10-Jan	185.00	0.0	
B	BUCK CAPITAL MGMT			URBN	S	30,000	42.60	n/a	n/a	non-brg	4.0	
SIGMA CAPITAL ASSOCIATES			041	URBN	B	7,200	41.49	n/a	n/a	252.00	3.5	
TUDOR INVESTORS			028	UTX	SS	5,000	84.63	n/a	n/a	150.00	3.0	
HOPLITE MGMT			025	VALE	C	25,000	20.72	n/a	n/a	1,000.00	0.0	
EDGEWOOD			085	VIAB	B	5,929	58.11	n/a	n/a	296.45	0.0	
EDGEWOOD			085	V	B	2,884	160.18	n/a	9-Jan	144.20	0.0	
STANDARD PACIFIC CAPITAL			084	WMT	SS	220,000	68.26	n/a	15-Nov	11,000.00	0.0	
B	BUCK CAPITAL MGMT			WSM	B	25,000	45.92	n/a	n/a	non-brg	2.0	
B	BUCK CAPITAL MGMT			WSM	B	25,000	45.96	n/a	n/a	non-brg	4.0	
SAGE ASSET MGMT			025	YELP	B	37,000	22.16	n/a	n/a	1,850.00	5.0	
EDGEWOOD			085	YUM	B	4,177	66.45	n/a	8-Jan	208.85	0.0	
f	ANTHONY	SUTERA	FID		B	25000	95.73	n/a	n/a	0.00	0.0	
f	ANTHONY	SUTERA	FID		S	25000	105.60	n/a	n/a	0.00	0.0	
TOTAL (Trade Date) :									59,511.61			

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									59,511.61
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									59,511.61

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 10-Jan.
NONE

MRI Securities without Trade Activity on 10-Jan.
ABG, SHPG, IPXL

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)