



# Daily Compliance Activity Report

Trade Date: 04/22/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>5</b>	<b>5.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>10</b>	<b>393.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	ACE	B	15	89.52	n/a	n/a	0.60	4.0
BESSEMER INVESTMENT	085	ACN	B	85	74.98	n/a	n/a	3.40	4.0
BESSEMER INVESTMENT	085	AET	B	230	55.11	n/a	n/a	9.20	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AMZN</b>	<b>S</b>	<b>10</b>	<b>4.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	APD	B	117	86.40	n/a	n/a	4.68	4.0
BESSEMER INVESTMENT	085	AVGO	B	185	31.59	n/a	n/a	7.40	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>AXE</b>	<b>B</b>	<b>50</b>	<b>66.07</b>	<b>n/a</b>	<b>19-Apr</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	AXL	S	15,000	12.53	n/a	18-Apr	600.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	BCC	B	6,500	30.65	n/a	n/a	195.00	0.0
PRIMECAP MGMT	084	BIIB	S	5,500	212.52	n/a	n/a	220.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BLMN</b>	<b>S</b>	<b>20,900</b>	<b>20.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BERYLSON CAPITAL	030	BONT	S	45,930	13.03	n/a	11-Apr	1,377.90	0.0
HARVEST MGMT (JMP)	029	BONT	B	20,000	13.00	n/a	11-Apr	800.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PORTER-ORLIN	044	CAT	B	50,000	81.84	n/a	11-Jul	2,000.00	0.0
BESSEMER INVESTMENT	085	COH	B	150	50.45	22-Apr	22-Apr	6.00	4.0
LEVIN CAPITAL STRATEGIES	041	COH	C	7,000	50.96	22-Apr	22-Apr	210.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>SS</b>	<b>2,500</b>	<b>58.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	COP	B	130	57.40	n/a	n/a	5.20	4.0
BESSEMER INVESTMENT	085	CTL	B	160	37.33	n/a	n/a	6.40	4.0
PROSPECTOR PARTNERS LLC	036	CVC	B	10,000	14.33	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	CVS	B	165	58.11	n/a	n/a	6.60	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>CWH</b>	<b>B</b>	<b>300</b>	<b>22.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	C	B	15	45.14	n/a	16-Apr	0.60	4.0
ACK ASSET	028	DAL	B	100,000	15.41	n/a	22-Apr	3,000.00	0.0
PLATTE RIVER CAPITAL	046	DAL	S	74,870	15.30	n/a	22-Apr	2,994.80	0.0
HARVEST MGMT (JMP)	029	DDS	SS	3,200	78.82	n/a	n/a	128.00	0.0
BESSEMER INVESTMENT	085	DG	B	295	51.72	n/a	26-Mar	11.80	4.0
FARALLON CAP MGMT	040	DIS	S	115,000	61.40	n/a	n/a	4,600.00	4.0
BESSEMER INVESTMENT	085	DTE	B	80	72.87	n/a	n/a	3.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>ETN</b>	<b>B</b>	<b>41,000</b>	<b>56.83</b>	<b>n/a</b>	<b>3-Apr</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	EXC	B	195	36.63	n/a	n/a	7.80	4.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	28,625	18.19	n/a	17-Apr	858.75	0.0
LEVIN CAPITAL STRATEGIES	041	FL	B	25,967	32.36	n/a	17-Apr	779.01	0.0
KAM ADVISORS LLC	041	GCI	C	100,000	20.65	n/a	n/a	3,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>C</b>	<b>11,850</b>	<b>57.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	GM	S	12,716	29.19	n/a	22-Apr	381.48	0.0
FRED ALGER MGMT	070	HAL	B	322,305	38.77	n/a	n/a	11,602.98	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>HTZ</b>	<b>B</b>	<b>4000</b>	<b>23.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	IBM	B	65	188.52	n/a	n/a	2.60	4.0
BESSEMER INVESTMENT	085	ITW	B	233	60.90	n/a	n/a	9.32	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JCI</b>	<b>S</b>	<b>70,447</b>	<b>32.85</b>	<b>n/a</b>	<b>22-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>JCP</b>	<b>B</b>	<b>350</b>	<b>15.57</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	JNJ	B	150	84.74	n/a	n/a	6.00	4.0
BALYASNY ASSET MGMT	044	KORS	B	20,000	51.99	n/a	22-Apr	1,000.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		KORS	B	20,000	52.06	n/a	22-Apr	non-brg 4.0
	WAGONHOUND/NICOLAS	033	KORS	B	18,183	52.21	n/a	22-Apr	727.32 0.0
	SIGMA CAPITAL ASSOCIATES	041	KR	B	175,000	34.17	n/a	n/a	5,250.00 3.0
	BESSEMER INVESTMENT	085	LOW	B	215	37.69	n/a	n/a	8.60 4.0
ß	BUCK CAPITAL MGMT		LULU	SS	14,000	73.11	n/a	17-Apr	non-brg 4.0
ß	BUCK CAPITAL MGMT		LULU	S	25,000	73.31	n/a	17-Apr	non-brg 4.0
	PLATTE RIVER CAPITAL	046	LUV	S	50,000	13.20	n/a	22-Apr	2,000.00 0.0
ß	BUCK CAPITAL MGMT		MCD	C	50,000	98.75	n/a	22-Apr	non-brg 4.0
	BESSEMER INVESTMENT	085	MRO	B	285	30.47	n/a	n/a	11.40 4.0
	BESSEMER INVESTMENT	085	MSFT	B	425	30.97	n/a	n/a	17.00 4.0
	RIDGECREST INV MGMT LLC	028	MWV	B	5,000	34.77	n/a	17-Apr	200.00 0.0
	BESSEMER INVESTMENT	085	M	B	260	43.52	n/a	8-Apr	10.40 4.0
ß	BUCK CAPITAL MGMT		NCLH	B	15,000	29.16	n/a	n/a	non-brg 0.8
ß	BUCK CAPITAL MGMT		NCLH	B	25,000	29.34	n/a	n/a	non-brg 1.0
ß	BUCK CAPITAL MGMT		NCLH	B	3,700	29.36	n/a	n/a	non-brg 4.0
f	JASON ERIC COHEN	FID	NFLX	B	3	2.54	n/a	n/a	0.00 0.0
	BESSEMER INVESTMENT	085	NLSN	B	195	34.52	n/a	n/a	7.80 4.0
	COHE & STEERS	041	NNN	B	30,100	38.34	n/a	n/a	1,204.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PCL	B	20,000	52.29	n/a	19-Apr	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PII 5 C90</b>	<b>SS</b>	<b>1,000</b>	<b>1.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PII 5 P80</b>	<b>B</b>	<b>1,000</b>	<b>2.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
CAERUS GLOBAL	041	PNRA	S	3,632	179.38	n/a	22-Apr	145.28	0.0
NEUBERGER BERMAN	036	POOL	B	13,550	47.55	n/a	n/a	542.00	0.0
MERRILL ASSET/BLACKROCK	297	PSA	S	6,300	157.93	n/a	n/a	252.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PSDV</b>	<b>S</b>	<b>4145</b>	<b>2.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	QCOM	B	195	64.41	n/a	n/a	7.80	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	15,000	88.22	n/a	22-Apr	750.00	5.0
SHEFFIELD ASSET MGMT	031	RKT	B	10,000	86.62	n/a	22-Apr	400.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>RLJE</b>	<b>S</b>	<b>2,500</b>	<b>4.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
SANDLER O'NEILL ASSET	031	STT	B	15,114	56.75	n/a	19-Apr	755.70	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SWFT</b>	<b>S</b>	<b>10,000</b>	<b>14.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
FARALLON CAP MGMT	040	TDC	S	290,000	49.81	n/a	n/a	11,600.00	4.0
BRONSON POINT	036	TEX	B	25,000	28.15	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	TGT	B	160	69.08	n/a	18-Apr	6.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLEARLINE CAPITAL LLC	040	TK	B	20,000	32.94	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	TMO	B	160	80.00	n/a	n/a	6.40	4.0
NEUBERGER BERMAN	036	TYPE	B	1,100	21.92	n/a	n/a	44.00	0.0
PROSPECTOR PARTNERS LLC	036	UFS	B	5,000	73.90	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	UNH	B	185	59.09	n/a	n/a	7.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>39.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>39.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	VIAB	B	200	66.70	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	WAG	B	345	49.90	n/a	n/a	13.80	4.0
NEW JERSEY DIV OF INV.	030	WHR	B	2,500	116.40	n/a	n/a	100.00	0.0
FIRST NEW YORK	086	WMT	SS	50,000	77.70	n/a	22-Feb	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	WMT	C	10,000	78.34	n/a	22-Feb	300.00	0.0
NEWLAND CAPITAL MGT	025	WM	SS	15,000	38.45	n/a	n/a	600.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	S	35,000	29.86	n/a	19-Apr	1,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XPO</b>	<b>B</b>	<b>13,400</b>	<b>16.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	YHOO	B	102,020	23.94	n/a	n/a	5,101.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ZMH	B	200	73.31	n/a	n/a	8.00	4.0
<b>TOTAL (Trade Date):</b>								<b>70,623.02</b>	

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) :									70,623.02
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									70,623.02



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 22-Apr.

COH

MRI Securities without Trade Activity on 22-Apr.

UA, SLM

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)**