



Daily Compliance Activity Report

Trade Date: 12/28/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	S	460	512.64	n/a	n/a	23.00	0.0
B BUCK CAPITAL MGMT		AEO	B	25,000	19.54	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	25,000	19.63	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	25,000	19.66	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	25,000	19.80	n/a	2-Dec	non-brg	4.0
EDGEWOOD	085	AGN	B	1,304	91.13	n/a	26-Dec	65.20	0.0
EDGEWOOD	085	AGN	S	1,507	90.90	n/a	26-Dec	75.35	0.0
f CHRISTY FRANK	FID	ALDW	B	650	22.90	n/a	n/a	0.00	0.0
EDGEWOOD	085	AMT	S	3,138	76.39	n/a	n/a	156.90	0.0
EDGEWOOD	085	AMZN	S	1,039	246.38	n/a	n/a	51.95	0.0
f KAREN F LEDDY	FID	AXL	B	1000	10.84	n/a	28-Dec	0.00	0.0
f THOMAS MACTAGGART LE	FID	AXL	B	400	10.85	n/a	28-Dec	0.00	0.0
PATTEN & PATTEN	025	BAC	B	1,500	11.44	n/a	20-Dec	75.00	5.0
PATTEN & PATTEN	025	BBT	B	50	29.06	n/a	n/a	2.50	5.0
LATEEF MGMT	035	BDN	B	900	12.10	n/a	n/a	72.00	8.0
PLATTE RIVER CAPITAL	240	CB	S	12,000	74.68	n/a	n/a	480.00	0.0
LATEEF MGMT	035	CCK	B	250	36.62	n/a	n/a	37.50	15.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	CELG	S	3,451	78.28	n/a	n/a	172.55	0.0
B BUCK CAPITAL MGMT		CLD	S	20,000	18.97	n/a	n/a	non-brg	4.0
M&I FUNDS	047	CLH	S	10,144	52.37	n/a	n/a	405.76	4.0
EDGEWOOD	085	CME	S	3,794	50.41	n/a	28-Apr	189.70	0.0
EDGEWOOD	085	CMG	S	903	292.15	n/a	19-Oct	45.16	0.0
B BUCK CAPITAL MGMT		CNC	B	12,600	39.93	n/a	n/a	non-brg	4.0
EDGEWOOD	085	COH	S	4,181	54.68	n/a	5-Nov	209.05	0.0
PATTEN & PATTEN	025	CSCO	B	825	19.54	n/a	14-Dec	41.25	5.0
EDGEWOOD	085	CTSH	S	4,982	72.63	n/a	n/a	249.10	0.0
LATEEF MGMT	035	DD	B	150	44.93	n/a	14-Dec	30.00	20.0
B BUCK CAPITAL MGMT		DECK	B	100,000	37.97	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DECK	B	100,000	37.97	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DKS	B	20,000	45.15	n/a	21-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	20,000	45.15	n/a	21-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	7,500	44.77	n/a	21-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	7,500	44.77	n/a	21-Dec	non-brg	4.0
PATTEN & PATTEN	025	DKS	S	75	44.69	n/a	21-Dec	3.75	5.0
f EDWARD W WHEELER	FID	DVN	B	3000	51.43	n/a	20-Dec	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	EDWARD W WHEELER	FID	DVN	B	3000	51.43	n/a	20-Dec	0.00	0.0
	EDGEWOOD	085	ECL	S	2,444	71.45	n/a	18-Dec	122.20	0.0
	PATTEN & PATTEN	025	EEM	B	850	43.74	n/a	n/a	42.50	5.0
	PATTEN & PATTEN	025	FCX	B	1,020	33.39	n/a	n/a	51.00	5.0
	ARMATURE CAPITAL	041	F	S	100,000	12.62	n/a	28-Dec	4,000.00	0.0
	DEVENNY CAP LLC/MILLENIU	044	F	S	6,300	12.81	n/a	28-Dec	189.00	0.0
	MACELLUM CAPITAL	086	GES	SS	55,747	24.23	n/a	29-Nov	1,672.41	3.0
	EDGEWOOD	085	GILD	S	1,333	72.50	n/a	n/a	66.65	0.0
f	KAREN F LEDDY	FID	GLDD	B	700	8.90	n/a	n/a	0.00	0.0
f	MARK DEVEREAUX KAICH	FID	GLDD	S	1000	8.88	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	GM	B	900	27.82	n/a	28-Dec	0.00	0.0
	EDGEWOOD	085	GOOG	S	404	705.23	n/a	n/a	20.21	0.0
B	BUCK CAPITAL MGMT		GPS	B	20,000	30.30	n/a	n/a	non-brg	4.0
	LONG OAR GLOBAL INV	040	GRA	S	11,300	66.67	n/a	n/a	452.00	4.0
B	BUCK CAPITAL MGMT		HCA	B	16,400	30.47	n/a	n/a	non-brg	4.0
	HIGHBRIDGE CAP	041	HFC	B	5,000	44.80	n/a	n/a	150.00	3.0
	LATEEF MGMT	035	HPQ	B	300	13.75	n/a	n/a	30.00	10.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	IHS	S	2,477	96.31	n/a	n/a	123.85	0.0
EDGEWOOD	085	ILMN	S	4,569	55.01	n/a	n/a	228.45	0.0
PATTEN & PATTEN	025	INTC	S	50	20.41	n/a	n/a	2.50	5.0
EDGEWOOD	085	ISRG	S	452	484.33	n/a	n/a	22.60	0.0
ß BUCK CAPITAL MGMT		IWF	C	160,000	64.73	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IWO	C	45,000	93.68	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		JNY	SS	50,000	10.65	n/a	25-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	SS	50,000	10.66	n/a	25-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		KORS	B	10,000	49.25	n/a	14-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	SS	30,000	42.26	n/a	28-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	SS	80,000	42.31	n/a	28-Dec	non-brg	4.0
HIGHBRIDGE CAP	041	LPX	B	14,000	18.60	n/a	28-Dec	420.00	3.0
ß BUCK CAPITAL MGMT		MCD	SS	20,000	88.11	n/a	10-Dec	non-brg	4.0
WATERFRONT CAP	028	MGM	B	23,000	11.46	n/a	13-Jun	920.00	0.0
EDGEWOOD	085	MJN	S	2,754	65.87	n/a	n/a	137.70	0.0
PATTEN & PATTEN	025	MSFT	S	500	26.81	n/a	n/a	25.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	OXY	B	200	75.98	n/a	n/a	10.00	5.0
DAVIDSON KEMPNER ADVISOR	040	PENN	B	9,201	48.38	n/a	n/a	276.03	0.0
B BUCK CAPITAL MGMT		PERY	B	30,000	19.66	n/a	n/a	non-brg	2.5
LATEEF MGMT	035	PG	B	900	67.37	n/a	13-Dec	120.00	16.0
B BUCK CAPITAL MGMT		PLCE	S	30,000	43.77	n/a	27-Nov	non-brg	4.0
NOKOMIS PARTNERS	031	PRGS	S	15,980	20.86	n/a	n/a	438.48	1.5
EDGEWOOD	085	PX	B	25,287	108.70	n/a	13-Dec	1,264.35	0.0
EDGEWOOD	085	PX	S	1,279	109.00	n/a	13-Dec	63.95	0.0
EDGEWOOD	085	QCOM	S	4,002	61.09	n/a	n/a	200.10	0.0
HIGHBRIDGE CAP	041	ROC	S	11,000	47.75	n/a	n/a	330.00	3.0
B BUCK CAPITAL MGMT		SCSS	S	30,000	24.24	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	S	80,000	24.39	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	SNI	B	25	56.81	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	SPY	B	125	141.09	n/a	n/a	6.25	5.0
B BUCK CAPITAL MGMT		SSI	B	20,000	23.83	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	STZ	C	69,686	34.58	n/a	n/a	2,090.58	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TFM	B	100	47.57	n/a	n/a	5.00	5.0
EDGEWOOD	085	TROW	S	3,613	64.54	n/a	n/a	180.65	0.0
HIGHBRIDGE CAP	041	TSO	B	2,500	42.81	n/a	n/a	75.00	3.0
HIGHBRIDGE CAP	041	USG	B	10,000	27.04	n/a	22-Oct	300.00	3.0
EDGEWOOD	085	VIAB	S	4,100	52.17	n/a	n/a	205.00	0.0
PATTEN & PATTEN	025	VTI	B	171	72.55	n/a	n/a	8.55	5.0
EDGEWOOD	085	V	S	1,995	149.64	n/a	20-Dec	99.75	0.0
PATTEN & PATTEN	025	WFC	B	203	34.18	n/a	21-Dec	10.15	5.0
WATERFRONT CAP	028	WY	B	21,000	27.67	n/a	28-Dec	840.00	0.0
⚡ BUCK CAPITAL MGMT		XLY	SS	85,000	46.52	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		XRT	SS	65,000	60.63	n/a	n/a	non-brg	2.0
EDGEWOOD	085	YUM	S	2,888	65.08	n/a	7-Dec	144.40	0.0
⚡ BUCK CAPITAL MGMT		ZUMZ	C	30,000	18.61	n/a	n/a	non-brg	4.0
f ANTHONY SUTERA	FID		B	30000	93.10	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID		S	25000	108.65	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

17,731.28

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) :									17,731.28
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									17,731.28

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 28-Dec.
NONE

MRI Securities without Trade Activity on 28-Dec.
TGT, UAL

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)