



Daily Compliance Activity Report

Trade Date: 09/28/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ABG	B	10,845	27.95	n/a	25-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		ABG	B	5,000	28.06	n/a	25-Jul	non-brg	2.0
BESSEMER INVESTMENT	085	ACE	B	400	75.77	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	ACN	B	600	70.04	n/a	n/a	24.00	4.0
PARKWEST	084	ACTG	B	16,000	27.28	n/a	n/a	640.00	4.0
CATAPULT	040	AMTD	S	17,389	15.19	n/a	n/a	695.56	0.0
f JONATHAN RICHARD HAR	FID	APP	B	1280	1.56	n/a	n/a	0.00	0.0
MILLENNIUM-ICS-SAYAN GHOSH	028	ATI	SS	1,700	32.02	n/a	14-Sep	68.00	0.0
SCOUT/UMB	047	ATI	S	52,144	31.75	n/a	14-Sep	1,564.32	0.0
BESSEMER INVESTMENT	085	AVGO	B	375	34.99	n/a	n/a	15.00	4.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	20,000	11.17	n/a	30-Jul	800.00	0.0
BALYASNY ASSET MGMT	044	AXL	B	50,000	11.41	n/a	30-Jul	2,500.00	0.0
CASTLEROCK	040	AXL	B	20,000	11.29	n/a	30-Jul	800.00	4.0
ROSEDALE CAPITAL	046	AXL	B	6,300	11.09	n/a	30-Jul	252.00	4.0
BASSWOOD PARTNERS	267	AXP	SS	49,600	56.86	n/a	27-Sep	1,984.00	0.0
CATAPULT	040	BAC	B	52,000	8.91	n/a	26-Sep	2,080.00	0.0
SIGMA CAPITAL ASSOCIATES	041	BBBY	S	40,000	62.11	n/a	n/a	1,400.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	BLL	SS	15,000	42.10	n/a	n/a	600.00	0.0
⚡ BUCK CAPITAL MGMT		BYI	B	20,000	49.34	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BYI	B	20,000	49.34	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	CAH	S	2500	39.10	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CAH	S	300	39.07	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CAKE	S	2000	35.74	n/a	26-Jul	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CAKE	S	300	35.75	n/a	26-Jul	0.00	0.0
f DAVID GEORGE BUCK	FID	CERN	B	20	2.09	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CERN	S	15	2.16	n/a	n/a	0.00	0.0
MILLENNIUM-ICS-SAYAN GHOSH	028	CLF	S	5,800	39.33	n/a	n/a	232.00	0.0
BESSEMER INVESTMENT	085	COH	B	475	56.23	n/a	1-Aug	19.00	4.0
⚡ BUCK CAPITAL MGMT		COLM	C	12,400	53.84	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		COLM	C	5,800	53.70	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	COP	B	350	57.26	n/a	n/a	14.00	4.0
⚡ BUCK CAPITAL MGMT		CROX	B	10,000	16.25	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	B	10,000	16.25	n/a	n/a	non-brg	4.0
JAT CAPITAL MANAGEMENT	041	CSCO	B	300,000	19.22	n/a	n/a	12,000.00	0.0
BESSEMER INVESTMENT	085	CTL	B	600	40.45	n/a	n/a	24.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	CVGI	B	300	7.35	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CWTR	S	6000	0.81	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	C	B	700	32.81	n/a	26-Sep	28.00	4.0
PATTEN & PATTEN	025	DBA	S	750	29.45	n/a	n/a	37.50	5.0
CHILTON CAPITAL MGMT	031	DD	B	15,500	50.29	n/a	21-Sep	465.00	3.0
B BUCK CAPITAL MGMT		DECK	B	10,000	36.19	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	B	10,000	36.19	n/a	n/a	non-brg	4.0
CHESAPEAKE PARTNERS	028	DGI	B	10,000	20.30	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		DG	B	25,000	51.75	n/a	5-Sep	non-brg	0.0
B BUCK CAPITAL MGMT		DKS	B	10,000	52.00	n/a	17-Sep	non-brg	4.0
BASSWOOD PARTNERS	267	DOV	S	5,300	59.29	n/a	n/a	212.00	0.0
BESSEMER INVESTMENT	085	DTE	B	675	59.96	n/a	n/a	27.00	4.0
f REUBEN D DVORETSKY	FID	ED	B	63	59.59	n/a	n/a	0.00	0.0
CATAPULT	040	ETFC	B	10,000	8.58	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	EXC	B	575	35.65	n/a	n/a	23.00	4.0
BNP PARIBAS SEC	040	FB	S	25,000	21.11	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	FCX	B	375	39.60	n/a	n/a	15.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE035	FEIC	B	17,057	54.14	n/a	n/a	511.71	0.0
ADAGE CAPITAL MGMT	030	FHN	SS	265,000	9.68	n/a	n/a	7,950.00	3.0
f KAREN F LEDDY	FID	FIG	S	3000	4.40	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FINL	B	10,000	22.74	n/a	28-Sep	non-brg	4.0
METROPOLITAN CAPITAL	044	FINL	B	9,400	22.62	n/a	28-Sep	470.00	0.0
ADAGE CAPITAL MGMT	030	FL	SS	300,000	35.48	n/a	29-Aug	9,000.00	3.0
f KAREN F LEDDY	FID	FOR	S	510	16.95	n/a	15-Aug	0.00	0.0
ß BUCK CAPITAL MGMT		FOSL	S	30,000	84.54	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	S	100	66.56	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	GD	B	225	66.20	n/a	27-Jul	9.00	4.0
ß BUCK CAPITAL MGMT		GME	C	25,000	20.85	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GME	C	25,000	20.85	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GME	C	75,000	20.82	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GME	C	75,000	20.82	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GM	B	85,000	22.88	n/a	25-Sep	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	GM	C	10,000	22.87	n/a	25-Sep	300.00	0.0
OHIO PERS	047	GM	S	83,000	22.92	n/a	25-Sep	2,490.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	GM	B	10,000	22.79	n/a	25-Sep	400.00	4.0
TIDE POINT CAPITAL	034	GPI	B	5,000	60.03	n/a	27-Jul	150.00	3.0
f IAN L MILLER	FID	GXC	B	20	65.26	n/a	n/a	0.00	0.0
TIDE POINT CAPITAL	034	HON	B	5,000	60.08	n/a	12-Sep	150.00	3.0
BESSEMER INVESTMENT	085	IBM	B	175	207.50	n/a	n/a	7.00	4.0
PATTEN & PATTEN	025	IEV	B	100	36.58	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	IP	B	250	36.36	n/a	24-Sep	12.50	5.0
DSM CAPITAL PARTNERS	085	IWF	SS	15,000	66.85	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	JNJ	B	600	68.99	n/a	n/a	24.00	4.0
ADAGE CAPITAL MGMT	030	KEY	B	293,500	8.75	n/a	n/a	8,805.00	3.0
CORNERSTONE	030	KO	B	50,000	37.99	n/a	18-Sep	1,500.00	0.0
LATEEF MGMT	035	K	B	1,225	51.58	n/a	n/a	222.00	19.3
BESSEMER INVESTMENT	085	LOW	B	1,050	30.33	n/a	20-Aug	42.00	4.0
COOPER CREEK PART	028	LPX	SS	10,000	12.50	n/a	31-Jul	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	35,000	12.65	n/a	31-Jul	1,750.00	0.0
SCOPUS FUND	041	LPX	SS	10,000	12.90	n/a	31-Jul	400.00	4.0
f DAVID GEORGE BUCK	FID	MCD	B	200	91.70	n/a	11-Sep	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	MCD	S	156,800	91.02	n/a	11-Sep	6,272.00	0.0
B BUCK CAPITAL MGMT		MDT	B	25,000	43.08	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	MHP	B	500	54.76	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	MRO	B	850	29.65	n/a	n/a	34.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	1,300	29.87	n/a	n/a	52.00	4.0
BALYASNY ASSET MGMT	044	M	B	25,000	37.11	n/a	28-Sep	1,250.00	0.0
BESSEMER INVESTMENT	085	M	B	750	37.74	n/a	28-Sep	30.00	4.0
SCOPUS FUND	041	M	B	50,000	37.44	n/a	28-Sep	2,000.00	4.0
BESSEMER INVESTMENT	085	NEM	B	250	56.14	n/a	n/a	10.00	4.0
f MANNY I KORMAN	FID	NUAN	B	5000	24.74	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	ODP	B	63,000	2.54	n/a	n/a	1,890.00	3.0
B BUCK CAPITAL MGMT		PII	B	20,000	80.45	n/a	n/a	non-brg	2.5
BALYASNY ASSET MGMT	044	PLCE	S	34,755	59.68	n/a	17-Sep	1,737.75	0.0
B BUCK CAPITAL MGMT		PLCE	S	24,300	59.67	n/a	17-Sep	non-brg	4.0
BESSEMER INVESTMENT	085	PSX	S	2,000	46.33	n/a	n/a	80.00	4.0
PLATTE RIVER CAPITAL	240	RIG	S	35,535	44.97	n/a	n/a	1,421.40	0.0
COOPER CREEK PART	028	RKT	B	7,500	72.30	n/a	24-Sep	300.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	SCHW	B	18,182	12.67	n/a	n/a	727.28	0.0
f REUBEN D DVORETSKY	FID	SDS	S	240	13.66	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SIG	B	10,000	48.93	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	SKX	B	40,000	20.34	n/a	n/a	2,000.00	0.0
ß BUCK CAPITAL MGMT		SKX	B	10,000	20.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	B	10,000	20.25	n/a	n/a	non-brg	4.0
SIMMONS VENTURES	041	SSI	B	5,000	21.19	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	STX	B	450	31.15	n/a	n/a	18.00	4.0
BESSEMER INVESTMENT	085	SYK	S	3,900	55.70	n/a	n/a	156.00	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.65	n/a	n/a	800.00	4.0
f REUBEN D DVORETSKY	FID	TDG	S	21	140.48	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	TGT	B	375	63.55	n/a	30-Aug	15.00	4.0
ß BUCK CAPITAL MGMT		TGT	SS	60,000	63.49	n/a	30-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	S	30,000	44.26	28-Sep	28-Sep	non-brg	4.0
GEORGE WEISS	034	TJX	SS	25,000	44.65	28-Sep	28-Sep	1,000.00	0.0
PATTEN & PATTEN	025	TJX	S	750	44.80	28-Sep	28-Sep	37.50	5.0
SIGMA CAPITAL ASSOCIATES	041	TJX	S	19,700	44.44	28-Sep	28-Sep	689.50	3.5
BESSEMER INVESTMENT	085	TMO	B	275	59.00	n/a	n/a	11.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UNH	B	575	55.50	n/a	n/a	23.00	4.0
f REUBEN D DVORETSKY	FID	UTX	B	38	77.42	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	WAG	B	500	36.31	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	WFC	B	750	34.58	n/a	26-Sep	37.50	5.0
ß BUCK CAPITAL MGMT		WMT	SS	10,000	73.86	n/a	17-Aug	non-brg	4.0
BESSEMER INVESTMENT	085	WM	B	650	32.14	n/a	n/a	26.00	4.0
ROTHSCHILD ASSET	040	WNR	B	17,504	26.19	n/a	n/a	700.16	0.0
BESSEMER INVESTMENT	085	WU	B	1,350	18.26	n/a	n/a	54.00	4.0
ARSENAL ASSET MANAGEMENT	028	WY	B	30,000	26.50	n/a	27-Jul	1,200.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	S	35,000	26.49	n/a	27-Jul	1,750.00	2.5
ß BUCK CAPITAL MGMT		XLY	SS	90,000	46.53	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XLY	SS	90,000	46.53	n/a	n/a	non-brg	2.0
f MANNY I KORMAN	FID	YUM	B	2000	65.95	n/a	17-Sep	0.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	575	67.75	n/a	n/a	23.00	4.0
f DOUGLAS ROGERS	FID		B	50000	102.10	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

88,423.68

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/27	PATTEN & PATTEN	025	QQQ	B	35	69.22	n/a	n/a	1.75 0.0
TOTAL (AO, CXL, CRT) :										1.75

TOTAL (Trade Date):	88,423.68
TOTAL (AO, CXL, CRT):	1.75

TOTAL (RUN DATE) / NFS:	88,425.43
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO	09/27	BUCK CAPITAL MGMT	UA	SS	200	55.50	n/a 18-Sep	2.00 1.0

MRI Securities with Trade Activity on 28-Sep.

TJX

MRI Securities without Trade Activity on 28-Sep.

ROST

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)