



# Daily Compliance Activity Report

Trade Date: 04/23/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> ALEXANDER PRYLUCKI	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>15</b>	<b>407.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARGARET ANNE MCAULE	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>10</b>	<b>399.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	AA	S	1,000	8.10	n/a	n/a	40.00	4.0
TRUSTCO/SUNTRUST (CEREDEX)	273	ADT	S	9,989	43.62	n/a	n/a	319.64	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>10,800</b>	<b>46.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> KATHERINE L O'GORMAN	<b>FID</b>	<b>ATI</b>	<b>B</b>	<b>200</b>	<b>27.40</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	AXL	S	10,000	12.79	n/a	18-Apr	400.00	0.0
KEYGROUP/KGLT	040	BTU	SS	25,000	18.78	n/a	n/a	1,000.00	0.0
TRELLUS PARTNERS LP	028	BWA	B	5,000	72.68	n/a	18-Apr	150.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	CMI	S	5,080	107.51	n/a	n/a	162.55	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>COH</b>	<b>SS</b>	<b>30,000</b>	<b>55.68</b>	<b>n/a</b>	<b>23-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>COH</b>	<b>SS</b>	<b>36,000</b>	<b>55.83</b>	<b>n/a</b>	<b>23-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>COLM</b>	<b>SS</b>	<b>27,500</b>	<b>58.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LATEEF MGMT	033	CTB	B	300	23.61	n/a	n/a	36.00	0.0
OSKIE CAPITAL MGMT	224	CWH	B	75,000	22.82	n/a	n/a	3,750.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROVIDENCE EQUITY CAP. MKTS.040		CZR	S	75,000	15.55	n/a	n/a	2,250.00	0.0
SANDLER O'NEILL ASSET	031	C	S	35,000	46.16	n/a	16-Apr	1,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>S</b>	<b>100,000</b>	<b>16.01</b>	<b>n/a</b>	<b>23-Apr</b>	<b>non-brg</b>	<b>4.0</b>
TRUSTCO/SUNTRUST (CEREDEX)	273	DAL	B	30,905	16.56	n/a	23-Apr	988.96	0.0
BESSEMER INVESTMENT	085	DD	B	475	51.64	n/a	n/a	19.00	4.0
HALCYON LLC	041	DFS	B	52,300	44.62	23-Apr	23-Apr	1,569.00	0.0
SANDLER O'NEILL ASSET	031	DFS	S	700	45.00	23-Apr	23-Apr	35.00	5.0
BRONSON POINT	036	DG	S	18,800	52.51	n/a	26-Mar	564.00	0.0
FIRST NEW YORK	086	EAT	B	7,800	36.88	n/a	23-Apr	312.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>EBAY</b>	<b>B</b>	<b>100,000</b>	<b>52.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ENDP</b>	<b>S</b>	<b>3000</b>	<b>36.56</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	EQR	B	73,276	57.92	n/a	n/a	2,931.04	0.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	94,650	18.27	n/a	23-Apr	2,839.50	0.0
BESSEMER INVESTMENT	085	F	S	2,850	13.35	n/a	22-Apr	114.00	4.0
CASTLEROCK	040	F	B	62,232	13.34	n/a	22-Apr	2,489.28	4.0
FIRST NEW YORK	086	F	B	30,000	13.29	n/a	22-Apr	1,200.00	0.0
OZ MGMT	040	F	C	250,000	13.35	n/a	22-Apr	7,500.00	0.0
SCOPUS FUND	041	F	B	100,000	13.36	n/a	22-Apr	4,000.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	IAN L MILLER	FID	GDX	B	50	28.13	n/a	n/a	0.00	0.0	
	RIDGECREST INV MGMT LLC	028	GM	B	2,500	29.80	n/a	22-Apr	100.00	0.0	
	PERRY PARTNERS	085	HES	B	100,000	68.42	n/a	n/a	5,000.00	0.0	
	BESSEMER INVESTMENT	085	IBM	B	1,095	190.27	n/a	n/a	43.80	4.0	
	NEW JERSEY DIV OF INV.	030	IBM	S	20,000	190.52	n/a	n/a	800.00	0.0	
	CHARTER OAK	033	IWM	B	33,000	92.05	n/a	n/a	1,650.00	0.0	
B	BUCK CAPITAL MGMT		JBLU	S	100,000	7.10	n/a	22-Apr	non-brg	3.0	
B	BUCK CAPITAL MGMT		JBLU	S	100,000	7.11	n/a	22-Apr	non-brg	3.0	
f	RAVI SADARANGANI	FID	JCI	B	600	33.30	n/a	23-Apr	0.00	0.0	
f	ROHINI T SADARANGANI	FID	JCI	B	400	33.41	n/a	23-Apr	0.00	0.0	
f	DAVID GEORGE BUCK	FID	JCP	B	30	1.74	n/a	22-Apr	0.00	0.0	
	MFP INVESTORS	085	JCP	S	45,000	15.58	n/a	22-Apr	1,800.00	0.0	
	COLUMBUS CIRCLE	036	LCC	B	17,000	16.33	n/a	19-Apr	680.00	0.0	
	WOOSTER CAPITAL	044	LEA	S	15,000	53.36	n/a	18-Apr	600.00	0.0	
B	BUCK CAPITAL MGMT		LEN 5 P38	C	600	0.37	n/a	n/a	non-brg	100.0	
	INVESCO	031	LOW	B	198,460	38.13	n/a	n/a	7,938.40	0.0	
	SMITH MGMT/ALDEN GLOBAL		029 LPX		S	300,000	17.71	n/a	19-Apr	9,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		LULU	SS	13,000	76.88	n/a	23-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LULU	S	25,000	76.14	n/a	23-Apr	non-brg	4.0
ENTRUST CAPITAL	040	LULU	SS	27,970	76.80	n/a	23-Apr	1,398.50	0.0
⚡ BUCK CAPITAL MGMT		LUV	SS	105,000	13.26	n/a	22-Apr	non-brg	4.0
SASCO	033	MAS	S	3,200	19.93	n/a	n/a	112.00	0.0
MERRILL ASSET/BLACKROCK	297	MCO	S	14,466	54.91	n/a	n/a	578.64	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	S	8,500	3.06		n/a	n/a	170.00 0.0
⚡ BUCK CAPITAL MGMT		NCLH	B	6,300	29.44	n/a	n/a	non-brg	4.0
CAPITAL WORLD	070	NKE	B	152,000	61.61	n/a	23-Apr	5,320.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	3.17	n/a	n/a	800.00	0.0
KLEINHEINZ CAP PART	031	PBR	B	175,000	17.51	n/a	n/a	8,750.00	0.0
f IAN L MILLER	FID	PCYO	S	250	5.43	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		PETM	C	15,000	66.92	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PETM	C	15,000	66.96	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PII 5 C90	C	1,000	0.80	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		PII 5 C92.5	C	1,000	0.35	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		PII	B	12,000	85.99	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	S	15,000	45.46	n/a	23-Apr	750.00	0.0
J. GOLDMAN	028	PKG	SS	18,500	45.59	n/a	23-Apr	740.00	0.0
BASSWOOD PARTNERS	267	PNRA	C	4,997	181.97	23-Apr	23-Apr	199.88	0.0
NEUBERGER BERMAN	036	POOL	B	10,350	48.48	n/a	n/a	414.00	0.0
DELTEC ASSET MGMT.	040	PVH	B	5,000	108.40	n/a	22-Apr	250.00	0.0
B BUCK CAPITAL MGMT		RCII	C	133,650	33.95	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RLJE	S	6,000	4.12	n/a	n/a	non-brg	2.0
SASCO	033	RSG	S	6,700	32.94	n/a	n/a	234.50	0.0
B BUCK CAPITAL MGMT		R	B	20,000	54.72	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	R	B	50	6.00	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SBUX	S	10	0.63	n/a	22-Apr	0.00	0.0
Õ Jack Chernus		SBUX	B	200	59.10	n/a	22-Apr	0.00	0.0
Õ Jack Chernus		SBUX	B	300	59.20	n/a	22-Apr	0.00	0.0
Õ Jack Chernus		SBUX	B	300	59.22	n/a	22-Apr	0.00	0.0
Õ Jack Chernus		SBUX	B	300	59.22	n/a	22-Apr	0.00	0.0
Õ Jack Chernus		SBUX	B	600	59.10	n/a	22-Apr	0.00	0.0
SASCO	033	SEE	S	3,950	21.76	n/a	2-Jun	138.25	0.0
BESSEMER INVESTMENT	085	SO	B	485	48.71	n/a	n/a	19.40	4.0
f JOSEPH CIRO AMATURO	FID	SPY	S	500	157.54	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	SSI	B	3,000	28.14	n/a	11-Apr	150.00	0.0
SANDLER O'NEILL ASSET	031	STT	B	9,886	57.95	n/a	19-Apr	494.30	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SWFT</b>	<b>S</b>	<b>30,000</b>	<b>14.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SWFT</b>	<b>S</b>	<b>75,000</b>	<b>14.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	SWY	S	3,700	27.70	n/a	n/a	148.00	4.0
SASCO	033	SWY	S	5,850	27.66	n/a	n/a	204.75	0.0
BESSEMER INVESTMENT	085	SYX	B	685	34.88	n/a	n/a	27.40	4.0
HALCYON LLC	041	S	B	75,000	7.15	n/a	n/a	1,500.00	0.0
CAERUS GLOBAL	041	TGT	SS	6,000	69.45	n/a	18-Apr	240.00	0.0
BRONSON POINT	036	TRW	S	12,500	55.63	n/a	n/a	375.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>TSCO</b>	<b>S</b>	<b>30,000</b>	<b>111.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TRUSTCO/SUNTRUST (CEREDEX)	273	TYC	S	7,408	31.06	n/a	30-Jan	237.05	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>SS</b>	<b>48,000</b>	<b>31.12</b>	<b>n/a</b>	<b>22-Apr</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	UAL	B	48,255	31.14	n/a	22-Apr	1,930.20	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>12,700</b>	<b>39.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
APEX CAPITAL MGMT.	033	UTX	C	79,600	91.57	n/a	n/a	3,184.00	0.0
CHARTER OAK	033	VTI	B	38,000	81.15	n/a	n/a	1,900.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SASCO	033	WMB	S	2,400	37.90	n/a	n/a	84.00	0.0
PERRY PARTNERS	085	XLE	SS	36,000	75.94	n/a	n/a	1,800.00	0.0
PERRY PARTNERS	085	XOP	SS	49,200	55.67	n/a	n/a	2,460.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>96,642.04</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/18	PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	30,000	7.45	n/a	n/a	600.00 2.0
AO,CXL	04/18	PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	30,000	7.45	n/a	n/a	900.00 3.0
AO,CXL	04/22	NEW JERSEY DIV OF INV.	030	WHR	B	2,500	116.40	n/a	n/a	100.00 0.0
AO,CRT	04/22	NEW JERSEY DIV OF INV.	030	WHR	B	2,500	116.40	n/a	n/a	100.00 0.0
AO,CXL	04/22	FIRST NEW YORK	086	WMT	SS	50,000	77.70	n/a	22-Feb	2000.00 4.0
AO,CRT	04/22	FIRST NEW YORK	086	WMT	SS	50,000	77.70	n/a	22-Feb	1500.00 3.0

**TOTAL (AO, CXL, CRT) :****-800.00**

TOTAL (Trade Date) :

96,642.04

TOTAL (AO, CXL, CRT) :

-800.00

**TOTAL (RUN DATE) / NFS:****95,842.04**



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 23-Apr.

DFS, PNRA

MRI Securities without Trade Activity on 23-Apr.

PG

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)**