



Daily Compliance Activity Report

Trade Date: 02/13/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	1,000	473.23	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		AAPL	B	5,000	473.17	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	ABG	B	10,000	36.59	n/a	10-Jan	400.00	0.0
NEUBERGER BERMAN	036	ABT	B	188,589	34.45	n/a	n/a	7,543.56	0.0
LEVIN CAPITAL STRATEGIES	041	ABX	S	10,000	32.44	n/a	n/a	300.00	0.0
B BUCK CAPITAL MGMT		AEO	B	100,000	20.28	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	25,000	20.16	n/a	2-Dec	non-brg	4.0
WOOSTER CAPITAL	044	ALV	SS	30,000	68.41	n/a	1-Feb	1,200.00	4.0
BESSEMER INVESTMENT	085	AMZN	S	5,500	266.57	n/a	n/a	220.00	4.0
BASSWOOD PARTNERS	267	AON	B	11,600	57.17	n/a	n/a	464.00	0.0
f CHRISTOPHER ROBERT C	FID	APC	S	50	83.73	n/a	5-Feb	0.00	0.0
f KAREN F LEDDY	FID	APWC	S	2100	4.11	n/a	n/a	0.00	0.0
MACELLUM CAPITAL	086	ARO	S	114,000	13.21	n/a	n/a	3,420.00	3.0
SCOPUS FUND	041	ASH	SS	6,765	78.20	n/a	n/a	270.60	0.0
DONALD SMITH	088	AUY	B	200,700	15.82	n/a	n/a	6,021.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SMAR	088	AUY	B	21,500	15.82	n/a	n/a	645.00	0.0
f CHRISTOPHER ROBERT C	FID	AXL	S	300	12.71	n/a	11-Feb	0.00	0.0
B BUCK CAPITAL MGMT		BA	B	7,000	75.57	n/a	6-Feb	non-brg	4.0
J. GOLDMAN	028	BA	SS	14,387	75.02	n/a	6-Feb	575.48	4.0
f MARK ANTHONY GRONET	FID	BA	B	400	74.67	n/a	6-Feb	0.00	0.0
Õ Chris Cattani		BP	S	300	42.47	n/a	n/a	0.00	0.0
CASTLEROCK	040	BRCD	B	30,000	5.79	n/a	23-Jan	1,200.00	0.0
TALPION LLC	040	CBB	B	25,000	4.27	n/a	n/a	750.00	0.0
B BUCK CAPITAL MGMT		CCL	C	20,000	37.42	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	CLF	B	5000	30.70	n/a	n/a	0.00	0.0
FIRST NEW YORK	086	CLWR	B	20,000	3.18	n/a	n/a	800.00	4.0
BASSWOOD PARTNERS	267	COF	B	16,400	55.88	n/a	13-Feb	656.00	0.0
CAMBIAR CAP	046	COF	B	33,825	55.69	n/a	13-Feb	1,353.00	0.0
ADAGE CAPITAL MGMT	030	COH	B	200,000	49.12	n/a	4-Feb	6,000.00	3.0
B BUCK CAPITAL MGMT		CPB	SS	20,000	38.24	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	B	12,000	43.59	n/a	n/a	non-brg	4.0
KINGDON ASSET MGMT	041	DE	B	150,000	91.73	n/a	11-Jul	6,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	DE	SS	92,469	90.91	n/a	11-Jul	2,774.07	3.0
ß BUCK CAPITAL MGMT		DG	B	11,000	44.28	n/a	12-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		DLTR	B	13,000	39.61	n/a	12-Feb	non-brg	4.0
T. ROWE PRICE	243	DLTR	B	209,900	39.64	n/a	12-Feb	8,396.00	0.0
ROTHSCHILD ASSET	040	DRH	S	84,787	9.20	n/a	n/a	3,391.48	0.0
ß BUCK CAPITAL MGMT		DRI	SS	20,000	46.11	n/a	3-Jan	non-brg	4.0
RAINIER INV MGMT	033	DSW	S	28,560	68.04	n/a	11-Feb	1,142.40	0.0
f EDWARD W WHEELER	FID	DVN	S	3000	61.36	13-Feb	13-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		EAT	SS	50,000	32.37	n/a	28-Jan	non-brg	4.0
Õ Chris Cattani		EMR	S	400	58.03	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ENDP	B	2000	28.52	n/a	13-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		FDO	B	9,000	55.50	n/a	4-Jan	non-brg	4.0
CAMBIAR CAP	046	FINL	B	55,000	18.51	n/a	13-Feb	2,200.00	0.0
KENNEDY CAPITAL	046	FINL	B	100,000	18.50	n/a	13-Feb	4,000.00	0.0
SURVEYOR CAPITAL	251	FINL	SS	23,977	18.51	n/a	13-Feb	719.31	0.0
SURVEYOR CAPITAL	251	FINL	S	30,048	18.51	n/a	13-Feb	901.44	0.0
ß BUCK CAPITAL MGMT		FL	S	20,000	33.98	n/a	13-Feb	non-brg	0.8
ß BUCK CAPITAL MGMT		FL	S	20,000	33.98	n/a	13-Feb	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		FL	S	30,000	33.86	n/a	13-Feb	non-brg	0.8
ß BUCK CAPITAL MGMT		FL	S	30,000	33.86	n/a	13-Feb	non-brg	0.8
CR INTRINIC INVESTMENT	044	FL	B	20,000	33.61	n/a	13-Feb	600.00	3.0
ß BUCK CAPITAL MGMT		FOSL 2 C110	C	1,400	0.30	n/a	n/a	non-brg	100.0
Õ Chris Cattani		FPO	S	163	13.39	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FRAN	B	18,000	27.14	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRAN	B	70,000	27.46	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	FSVLX	S	233	15.59	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	F	S	400	13.02	n/a	7-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		GIL	S	40,000	36.57	n/a	7-Feb	non-brg	4.0
KADE CAPITAL LLC	028	GM	S	15,000	28.80	n/a	13-Feb	750.00	5.0
LOCUST WOOD CAPITAL MGMT	044	GM	B	15,000	28.85	n/a	13-Feb	600.00	4.0
f MARK ANTHONY GRONET	FID	GM	B	1000	28.62	n/a	13-Feb	0.00	0.0
FARALLON CAP MGMT	040	GNC	SS	90,200	36.14	n/a	n/a	3,608.00	4.0
BASSWOOD PARTNERS	267	GS	S	12,700	154.27	n/a	7-Feb	508.00	0.0
SOROS	036	GT	B	200,000	14.05	n/a	n/a	8,000.00	0.0
J. GOLDMAN	028	GWW	S	300	224.55	n/a	12-Feb	12.00	4.0
S.A.C. CAPITAL	044	HAS	SS	25,000	40.41	n/a	n/a	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	070	HD	B	135,120	67.50	n/a	n/a	4,864.32	0.0
B BUCK CAPITAL MGMT		JNY	SS	20,000	12.46	n/a	4-Feb	non-brg	4.0
COOPER CREEK PART	028	JNY	SS	10,000	12.16	n/a	4-Feb	400.00	4.0
EGS ASSOCIATES LP	091	JNY	SS	4,730	12.34	n/a	4-Feb	236.50	5.0
STANDARD PACIFIC CAPITAL	084	JPM	S	200,000	49.22	n/a	7-Feb	10,000.00	5.0
f MARK ANTHONY GRONET	FID	KO	B	1000	37.08	n/a	13-Feb	0.00	0.0
S.A.C. CAPITAL	044	KR	B	50,000	28.56	n/a	n/a	1,500.00	3.0
BRONSON POINT	036	LEA	B	25,000	55.13	n/a	12-Feb	750.00	0.0
FIRST NY SEC/CHRIS	041	LEA	B	10,000	54.86	n/a	12-Feb	500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	LEA	B	10,000	55.00	n/a	12-Feb	300.00	3.0
CR INTRINIC INVESTMENT	044	LOW	B	40,000	39.59	n/a	n/a	1,200.00	3.0
Õ Chris Cattani		LYG	S	112	3.45	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MCD	C	5,000	93.94	n/a	8-Feb	non-brg	4.0
f EDWARD W WHEELER	FID	MRTN	S	8000	20.59	n/a	n/a	0.00	0.0
VERITION	028	OI	S	5,000	25.55	n/a	n/a	150.00	3.0
ROTHSCHILD ASSET	040	OMG	B	24,899	27.34	n/a	n/a	995.96	0.0
f ANGELO CHRISTOS EFST	FID	OWW	B	300	2.71	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f HARALAMBOS EFSTATHI	FID	OWW	B	3000	2.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PII	B	20,000	85.39	n/a	n/a	non-brg	4.0
Õ Chris Cattani		PSA	S	400	27.54	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RH	S	29,873	39.57	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RLGY	B	80,000	46.45	n/a	n/a	non-brg	4.0
Õ Chris Cattani		SCMWY	S	300	44.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	23,000	21.78	n/a	n/a	non-brg	0.8
1798 CAP/LOMBARD ASSET	040	SFI	S	10,000	9.98	n/a	n/a	400.00	0.0
DPB CAPITAL	029	SIRI	S	5,000	3.21	n/a	n/a	250.00	5.0
HOLLIS CAPITAL	033	STRZA	B	5,000	18.84	n/a	n/a	250.00	5.0
f MARC PAUL LUCHANSKY	FID	TBT	B	100	68.88	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	TIF	B	105,300	63.40	n/a	n/a	4,212.00	4.0
B BUCK CAPITAL MGMT		TITN	S	17,000	30.44	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		UA	B	10,000	48.68	n/a	13-Feb	non-brg	4.0
J. GOLDMAN	028	UTX	B	34,000	89.31	n/a	n/a	1,360.00	4.0
ARSENAL ASSET MANAGEMENT	028	WCC	B	2,500	75.83	n/a	n/a	100.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	WFC	S	96,400	35.03	n/a	7-Feb	3,856.00	0.0
f JOSEPH CIRO AMATURO	FID	WNC	S	10000	10.26	n/a	n/a	0.00	0.0
Õ Chris Cattani		XOM	S	75	88.44	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							107,536.12		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	02/12	PALISADE CAPITAL MANAGEMENT LLC	025	MAPP	S	80	24.91	n/a	n/a	3.20	0.0
AO,CRT	02/12	PALISADE CAPITAL MANAGEMENT LLC	025	MAPP	S	80	24.91	n/a	n/a	3.20	0.0

TOTAL (AO, CXL, CRT) :	0.00
-------------------------------	-------------

TOTAL (Trade Date) :	107,536.12
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	107,536.12
--------------------------------	-------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	02/12	BUCK CAPITAL MGMT.	HCA	B	10,000	36.00	n/a	n/a	400.00
CRT	02/12	BUCK CAPITAL MGMT	HCA	B	10,000	36.00	n/a	n/a	0.00 0.0

MRI Securities with Trade Activity on 13-Feb.

DVN

MRI Securities without Trade Activity on 13-Feb.

KORS

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)