



Daily Compliance Activity Report

Trade Date: 10/23/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	AAPL	B	3	618.42	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	S	5	2.74	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	ABB	B	5,000	18.92	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	ACE	B	166	80.25	n/a	n/a	6.64	4.0
BESSEMER INVESTMENT	085	ACN	B	188	67.18	n/a	n/a	7.52	4.0
CAISSE DEPOT PLACEMENT Q	257	ACN	B	28,000	66.88	n/a	n/a	840.00	3.0
BALYASNY ASSET MGMT	044	AEO	S	20,000	20.53	n/a	2-Dec	1,000.00	0.0
B BUCK CAPITAL MGMT		AEO	B	100,000	20.82	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	25,000	20.52	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	40,000	20.52	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	40,000	20.81	n/a	2-Dec	non-brg	4.0
MACELLUM CAPITAL	086	AEO	SS	26,220	20.86	n/a	2-Dec	786.60	3.0
SIMMONS VENTURES	041	AEO	SS	10,000	21.13	n/a	2-Dec	400.00	4.0
f JOSEPH CIRO AMATURO	FID	AIG	B	1000	34.93	n/a	n/a	0.00	0.0
CAISSE DEPOT PLACEMENT Q	257	ALTR	B	20,000	32.90	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		ALV	B	8,600	58.56	n/a	18-Oct	non-brg	4.0
HIGHBRIDGE CAP	041	ALV	S	35,500	58.31	n/a	18-Oct	1,065.00	3.0
STELLIAM INV ADV	034	AMAT	B	25,000	10.83	n/a	n/a	1,000.00	2.0
B BUCK CAPITAL MGMT		ANF	B	100,000	31.37	n/a	16-Aug	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
⚡	BUCK CAPITAL MGMT		ANF	B	100,000	31.37	n/a	16-Aug	non-brg 4.0
	HIGHBRIDGE CAP	041	APA	B	3,000	83.10	n/a	11-Oct	90.00 3.0
⚡	BUCK CAPITAL MGMT		ATI	B	16,000	31.94	n/a	18-Oct	non-brg 4.0
	NEUBERGER BERMAN	036	ATVI	B	35,000	11.10	n/a	n/a	1,400.00 0.0
	BESSEMER INVESTMENT	085	AVGO	B	358	33.28	n/a	n/a	14.32 4.0
	SIGMA CAPITAL ASSOCIATES	041	AVP	SS	50,000	16.03	n/a	22-Oct	1,750.00 3.5
	NEUBERGER BERMAN	036	BA	B	5,000	72.72	n/a	18-Oct	200.00 0.0
⚡	BUCK CAPITAL MGMT		BKW	SS	30,000	14.18	n/a	n/a	non-brg 4.0
	T. ROWE PRICE	033	CASC	S	56,500	64.90	n/a	n/a	2,260.00 0.0
	STANDARD PACIFIC CAPITAL	084	CE	B	100,000	38.24	n/a	20-May	5,000.00 5.0
	HIGHBRIDGE CAP	041	CF	B	1,500	203.94	n/a	n/a	45.00 3.0
	THOMPSON SIEGAL&WALMSLEY	029	CLW	B	11,300	41.39	n/a	n/a	339.00 0.0
f	DAVID GEORGE BUCK	FID	CMG	B	10	20.78	n/a	19-Oct	0.00 0.0
f	DAVID GEORGE BUCK	FID	CMG	S	10	6.92	n/a	19-Oct	0.00 0.0
	CAISSE DEPOT PLACEMENT Q	257	CNQR	B	7,000	66.21	n/a	n/a	210.00 3.0
	BESSEMER INVESTMENT	085	COH	B	414	58.32	n/a	18-Oct	16.56 4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		COH	S	63,852	57.82	n/a	18-Oct	non-brg	1.0
	NOMURA/ANGEL LANE PRINCIPAL	040	COH	B	10,000	56.17	n/a	18-Oct	300.00	3.0
	SIMMONS VENTURES	041	COH	B	5,000	57.07	n/a	18-Oct	200.00	4.0
	BESSEMER INVESTMENT	085	COP	B	396	56.18	n/a	n/a	15.84	4.0
	SIGMA CAPITAL ASSOCIATES	041	COST	B	25,000	94.40	n/a	n/a	875.00	3.5
	NEUBERGER BERMAN	036	CSX	B	10,000	21.14	n/a	n/a	400.00	0.0
	BESSEMER INVESTMENT	085	CTL	B	665	38.27	n/a	n/a	26.60	4.0
	NEUBERGER BERMAN	036	CVA	B	10,000	17.68	n/a	n/a	400.00	0.0
	NEUBERGER BERMAN	036	CVE	B	15,000	33.60	n/a	n/a	600.00	0.0
	BESSEMER INVESTMENT	085	C	B	823	37.05	n/a	17-Oct	32.92	4.0
	GUGGENHEIM GLOBAL TRADING (GGT)	251	DD	B	5,000	45.31	23-Oct	23-Oct	200.00	4.0
	NEUBERGER BERMAN	036	DECK	B	10,000	37.22	n/a	n/a	400.00	0.0
	OZ MGMT	040	DG	B	50,000	47.14	n/a	5-Sep	1,500.00	0.0
f	DAVID GEORGE BUCK	FID	DOW	S	2000	28.55	n/a	8-Oct	0.00	0.0
	HIGHBRIDGE CAP	041	DOW	SS	5,500	28.96	n/a	8-Oct	165.00	3.0
	BESSEMER INVESTMENT	085	DTE	B	396	60.85	n/a	n/a	15.84	4.0
	LEVIN CAPITAL STRATEGIES	041	ENDP	B	95,900	29.51	n/a	23-Oct	2,877.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	EXC	B	611	36.37	n/a	n/a	24.44	4.0
ARSENAL ASSET MANAGEMENT	028	EXP	SS	10,000	48.65	n/a	n/a	400.00	0.0
f JOSEPH CIRO AMATURO	FID	FBC	B	2000	13.80	n/a	n/a	0.00	0.0
BRONSON POINT	036	FB	S	100,000	19.51	n/a	n/a	3,000.00	0.0
STELLIAM INV ADV	034	FB	SS	28,500	19.62	n/a	n/a	1,140.00	2.0
BESSEMER INVESTMENT	085	FCX	B	401	39.16	n/a	n/a	16.04	4.0
B BUCK CAPITAL MGMT		FINL	B	90,000	20.97	n/a	28-Sep	non-brg	4.0
ROYCE TRADING	031	FINL	B	9,381	20.63	n/a	28-Sep	469.05	0.0
f ANDREW LONGLE Y TRUS	FID	FLPSX	B	13	38.76	n/a	n/a	0.00	0.0
f CLIFFORD LON GLEY TR	FID	FLPSX	B	13	38.76	n/a	n/a	0.00	0.0
f JONATHAN LON GLEY TR	FID	FLPSX	B	13	38.76	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	B	40,000	34.99	n/a	29-Aug	non-brg	4.0
BESSEMER INVESTMENT	085	GD	B	237	66.15	n/a	18-Oct	9.48	4.0
B BUCK CAPITAL MGMT		GIII	B	13,367	35.93	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIII	B	13,448	35.94	n/a	n/a	non-brg	4.0
THOMPSON SIEGAL&WALMSLEY	029	GLT	S	99,400	18.14	n/a	n/a	2,948.34	0.0
B BUCK CAPITAL MGMT		GM	B	20,000	24.05	n/a	18-Oct	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	15,000	24.00	n/a	18-Oct	450.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BALYASNY ASSET MGMT	044	GPS	SS	20,000	35.30	n/a	n/a	1,000.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT)251	HAL	S	10,000	33.03		n/a	n/a	300.00	3.0
IVORY CAPITAL	034	HAL	S	81,622	33.48	n/a	n/a	4,081.10	0.0	
B	BUCK CAPITAL MGMT	HAS	C	20,000	37.33	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT	HAS	C	20,000	37.33	n/a	n/a	non-brg	4.0	
CASTLEROCK	098	HBI	B	43,002	33.18	n/a	18-Oct	1,720.08	0.0	
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	82.12	n/a	n/a	200.00	0.0	
HIGHBRIDGE CAP	041	HUN	SS	18,500	14.87	n/a	n/a	555.00	3.0	
BESSEMER INVESTMENT	085	IBM	B	204	191.95	n/a	n/a	8.16	4.0	
ARMATURE CAPITAL	041	IP	S	30,000	36.80	n/a	15-Oct	1,200.00	0.0	
BALYASNY ASSET MGMT	044	IP	B	25,000	36.82	n/a	15-Oct	1,250.00	0.0	
EMPYREAN CAPITAL	084	IP	S	35,300	36.87	n/a	15-Oct	1,765.00	0.0	
HIGHBRIDGE CAP	041	IP	SS	5,500	36.97	n/a	15-Oct	165.00	3.0	
T. ROWE PRICE	033	IP	S	78,600	36.90	n/a	15-Oct	3,144.00	0.0	
SYMPHONY ASSET	033	IWM	C	10,750	80.78	n/a	n/a	322.50	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT)251	JBHT	B	10,000	57.65		n/a	n/a	400.00	4.0
HIGHBRIDGE CAP	041	JBHT	B	9,000	57.50	n/a	n/a	270.00	3.0	
B	BUCK CAPITAL MGMT	JCI	B	20,000	26.09	n/a	23-Oct	non-brg	4.0	
HIGHBRIDGE CAP	041	JCI	B	20,000	25.88	n/a	23-Oct	600.00	3.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		JCP	S	100,000	25.10	n/a	13-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	S	100,000	25.16	n/a	13-Aug	non-brg	4.0
BESSEMER INVESTMENT	085	JNJ	B	622	71.05	n/a	n/a	24.88	4.0
B BUCK CAPITAL MGMT		KORS	S	20,000	54.04	n/a	18-Oct	non-brg	4.0
HIGHBRIDGE CAP	041	LCC	B	21,000	11.84	n/a	23-Oct	630.00	3.0
B BUCK CAPITAL MGMT		LEA	B	12,400	40.53	n/a	18-Oct	non-brg	4.0
BESSEMER INVESTMENT	085	LOW	B	1,099	32.35	n/a	20-Aug	43.96	4.0
PALESTRA	040	LO	B	15,000	115.33	n/a	n/a	750.00	5.0
COOPER CREEK PART	028	LPX	B	2,244	15.10	n/a	15-Oct	89.76	4.0
DISIPLINED GROWTH INV.	030	LTD	B	11,700	47.91	n/a	n/a	585.00	0.0
MACELLUM CAPITAL	086	LTM	B	25,000	44.21	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		LVS	S	5,800	44.38	n/a	13-Jun	non-brg	1.0
HIGHBRIDGE CAP	041	MAS	SS	17,500	14.47	n/a	n/a	525.00	3.0
MERRILL ASSET/BLACKROCK	297	MA	B	19,010	462.95	n/a	16-Oct	760.40	0.0
f DAVID GEORGE BUCK	FID	MCD	B	500	88.10	n/a	22-Oct	0.00	0.0
PALESTRA	040	MDLZ	B	24,000	26.73	n/a	n/a	1,200.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MFRM	S	10,000	32.02	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	MHP	B	35	54.78	n/a	n/a	1.40	4.0
LOMAS CAPITAL	040	MLI	B	7,500	47.54	n/a	23-Oct	225.00	3.0
HIGHBRIDGE CAP	041	MMM	B	16,000	89.69	23-Oct	23-Oct	480.00	3.0
THOMPSON SIEGAL&WALMSLEY	098	MRK	S	20,700	45.99	n/a	n/a	621.00	0.0
BESSEMER INVESTMENT	085	MRO	B	881	29.66	n/a	n/a	35.24	4.0
BESSEMER INVESTMENT	085	MSFT	B	1,333	28.09	n/a	n/a	53.32	4.0
B BUCK CAPITAL MGMT		MTOR	B	110,000	4.58	n/a	n/a	non-brg	2.0
RIDGECREST INV MGMT LLC	028	MWV	S	10,000	29.51	n/a	15-Oct	400.00	4.0
BESSEMER INVESTMENT	085	M	B	826	39.64	n/a	5-Oct	33.04	4.0
BESSEMER INVESTMENT	085	NEM	B	104	54.03	n/a	n/a	4.16	4.0
B BUCK CAPITAL MGMT		NFLX	C	10,000	68.21	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NFLX	C	10,000	68.21	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NFLX	C	40,000	58.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NFLX	C	40,000	58.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NFLX	SS	30,000	67.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NFLX	SS	30,000	67.44	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	NSC	B	12,500	65.59	n/a	n/a	375.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MICHAEL ALEXANDER SM	FID	PCAR	S	25	0.27	n/a	n/a	0.00	0.0
BRONSON POINT	036	PEP	B	25,000	68.80	n/a	n/a	750.00	0.0
THOMPSON SIEGAL&WALMSLEY	098	PHG	B	31,100	25.52	n/a	n/a	933.00	0.0
f YANAI A FRANK	FID	PXP	B	425	35.37	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	QDEL	S	3,600	16.71	n/a	n/a	144.00	0.0
B BUCK CAPITAL MGMT		RCII	C	20,000	33.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RCII	C	20,000	33.92	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	RCII	B	16,520	33.89	n/a	n/a	495.60	3.0
HIGHBRIDGE CAP	041	RIG	B	10,500	47.62	n/a	n/a	315.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	RUE	B	14,900	29.83	n/a	n/a	447.00	0.0
COLUMBUS CAP MGMT LLC	084	SANM	B	100,000	7.90	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		SCSS	S	25,000	28.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	S	25,000	28.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SHOO	S	20,000	44.81	n/a	n/a	non-brg	4.0
PALESTRA	040	SIX	S	38,000	62.55	n/a	n/a	1,900.00	5.0
B BUCK CAPITAL MGMT		SKX	S	60,000	17.02	n/a	n/a	non-brg	4.0
THOMPSON SIEGAL&WALMSLEY	029	SNTS	B	44,100	8.97	n/a	n/a	1,323.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE035	SPF	B	124,407	7.64	n/a	n/a	3,732.21	0.0
f ALANA J A MADIGAN-SI	FID	SPXS	S	400	18.10	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	S	500	141.78	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	STX	B	461	27.96	n/a	n/a	18.44	4.0
B BUCK CAPITAL MGMT		SUMR	S	24,471	1.40	n/a	n/a	non-brg	0.5
B BUCK CAPITAL MGMT		SUMR	S	24,471	1.40	n/a	n/a	non-brg	0.5
THOMPSON SIEGAL&WALMSLEY	029	SUSS	S	8,782	35.00	n/a	n/a	263.46	0.0
B BUCK CAPITAL MGMT		SWFT	B	10,000	8.70	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		SWFT	B	40,000	8.89	n/a	n/a	non-brg	3.0
CAISSE DEPOT PLACEMENT Q	257	SWI	B	6,800	48.64	n/a	n/a	204.00	3.0
f KEVIN MICHAEL O'GORM	FID	SWN	S	1000	34.18	n/a	11-Oct	0.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	SWX	S	9,700	43.38	n/a	n/a	291.00	0.0
NEUBERGER BERMAN	036	SYNT	B	5,100	61.63	n/a	n/a	204.00	0.0
B BUCK CAPITAL MGMT		TDG	C	4,000	129.51	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		TDG	C	4,000	129.51	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		TDG	C	4,700	129.51	n/a	n/a	non-brg	2.5
CAMBIAR CAP	046	TEVA	S	150,000	40.24	n/a	23-Oct	6,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	TGT	B	154	62.88	n/a	4-Oct	6.16	4.0
B BUCK CAPITAL MGMT		TITN	B	10,000	21.29	n/a	n/a	non-brg	1.0
DISCIPLINED GROWTH INV.	030	TJX	B	8,500	42.42	n/a	5-Oct	425.00	0.0
BESSEMER INVESTMENT	085	TMO	B	446	57.82	n/a	n/a	17.84	4.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	TRW		S	7,500	44.82	n/a	n/a	300.00 4.0
BESSEMER INVESTMENT	085	UNH	B	583	56.27	n/a	n/a	23.32	4.0
HIGHBRIDGE CAP	041	VLO	S	32,000	28.19	n/a	n/a	960.00	3.0
BESSEMER INVESTMENT	085	WAG	B	584	35.41	n/a	n/a	23.36	4.0
BESSEMER INVESTMENT	085	WM	B	637	32.40	n/a	n/a	25.48	4.0
B BUCK CAPITAL MGMT		WNC	B	80,000	6.47	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		WRC	S	20,000	51.93	n/a	18-Oct	non-brg	4.0
BESSEMER INVESTMENT	085	WU	B	1,430	18.06	n/a	n/a	57.20	4.0
KAM ADVISORS LLC	041	XLE	SS	120,000	71.57	n/a	n/a	3,600.00	0.0
B BUCK CAPITAL MGMT		XLY	SS	90,000	45.87	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		XLY	SS	90,000	45.87	n/a	n/a	non-brg	2.0
BASSWOOD PARTNERS	267	XRX	S	158,100	6.47	n/a	n/a	6,324.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OSTERWEIS CAPITAL	084	XXR	S	505,465	6.55	n/a	n/a	25,273.25	0.0
YORK CAPITAL	036	YHOO	S	250,000	16.76	n/a	n/a	7,500.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	620	62.39	n/a	n/a	24.80	4.0
TOTAL (Trade Date) :								123,845.31	

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) :									123,845.31
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									123,845.31

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-Oct.

DD, MMM

MRI Securities without Trade Activity on 23-Oct.

ARG

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)