



Daily Compliance Activity Report

Trade Date: 01/17/2013

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		1023 HK	S	15,000	0.65	n/a	n/a	non-brg	0.0
BESSEMER INVESTMENT	085	ACE	B	190	83.08	n/a	n/a	7.60	4.0
COLUMBUS CIRCLE	036	ACIW	S	3,798	45.87	n/a	n/a	151.92	0.0
BESSEMER INVESTMENT	085	ACN	B	215	70.15	n/a	n/a	8.60	4.0
BESSEMER INVESTMENT	085	AET	B	320	46.29	n/a	n/a	12.80	4.0
f DAVID GEORGE BUCK	FID	ARIA	S	25	0.10	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	270	34.68	n/a	n/a	10.80	4.0
NEWLAND CAPITAL MGT	025	AXL	B	10,000	11.14	n/a	17-Jan	400.00	4.0
SAGE ASSET MGMT	025	BAC	B	23,800	11.40	n/a	17-Jan	1,190.00	5.0
GALT INVESTMENT	041	BBRG	S	10,000	13.70	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		BODY	S	40,000	8.45	n/a	n/a	non-brg	2.5
SCOPUS FUND	041	BWA	SS	25,000	75.80	n/a	11-Jan	1,000.00	4.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	CBL	B	100	21.32		n/a	n/a	3.00 3.0
CASTLEROCK	040	CMG	SS	7,549	291.16	17-Jan	17-Jan	301.96	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
	BESSEMER INVESTMENT	085	COH	B	215	60.97	n/a	5-Nov	8.60	4.0
B	BUCK CAPITAL MGMT		COH	SS	50,000	60.97	n/a	5-Nov	non-brg	4.0
	BESSEMER INVESTMENT	085	COP	B	185	58.98	n/a	n/a	7.40	4.0
	BESSEMER INVESTMENT	085	CTL	B	240	39.70	n/a	n/a	9.60	4.0
	BESSEMER INVESTMENT	085	CVS	B	215	51.91	n/a	n/a	8.60	4.0
	BESSEMER INVESTMENT	085	C	B	240	41.20	n/a	17-Jan	9.60	4.0
f	KAREN F LEDDY	FID	C	B	200	41.27	n/a	17-Jan	0.00	0.0
	MADISON ST PARTNERS LLC	046	C	B	25,000	41.34	n/a	17-Jan	1,250.00	5.0
B	BUCK CAPITAL MGMT		DECK	B	50,000	38.71	n/a	n/a	non-brg	4.0
	BESSEMER INVESTMENT	085	DG	B	430	44.91	n/a	12-Dec	17.20	4.0
	BESSEMER INVESTMENT	085	DTE	B	95	61.17	n/a	n/a	3.80	4.0
	LATEEF MGMT	033	DVN	B	250	54.18	n/a	17-Jan	40.00	16.0
f	DAVID GEORGE BUCK	FID	EFA	B	1000	58.25	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	EFA	B	300	58.11	n/a	n/a	0.00	0.0
f	MANNY I KORMAN	FID	ENDP	B	3000	26.63	n/a	16-Jan	0.00	0.0
	BESSEMER INVESTMENT	085	EXC	B	270	30.00	n/a	n/a	10.80	4.0
	LAKEWOOD CAPITAL MGMT	085	FAZ	SS	10,000	13.05	n/a	n/a	300.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	KAREN F LEDDY	FID	FBC	B	600	17.24	n/a	n/a	0.00	0.0	
f	THOMAS MACTAGGART LE	FID	FBC	B	250	17.23	n/a	n/a	0.00	0.0	
	FARALLON CAP MGMT	040	FDX	B	42,407	99.89	n/a	n/a	1,696.28	4.0	
	NWQ INVESTMENT MGMT CO	084	FOR	B	13,000	18.97	n/a	8-Nov	455.00	0.0	
	BESSEMER INVESTMENT	085	GD	B	100	70.01	17-Jan	17-Jan	4.00	4.0	
	J. GOLDMAN	028	GE	SS	70,000	21.30	n/a	n/a	2,800.00	4.0	
	VISIUM/BALY BOBBY	044	GE	S	25,000	21.24	n/a	n/a	1,250.00	0.0	
	LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	29.49	n/a	17-Jan	300.00	0.0	
	GUGGENHEIM GLOBAL TRADING (GGT)	251	HCP	S	5,000	46.31		n/a	n/a	200.00	4.0
	GALT INVESTMENT	041	HD	SS	10,000	64.90	n/a	n/a	500.00	5.0	
Õ	Nilsa Vazquez		HOV	B	1000	5.80	n/a	n/a	0.00	0.0	
Õ	Nilsa Vazquez		HOV	B	1000	5.98	n/a	n/a	0.00	0.0	
	STELLIAM INV ADV	086	HRL	S	18,500	34.55	n/a	n/a	740.00	0.0	
	M&I FUNDS	047	HXL	B	18,522	27.13	n/a	15-Jan	740.88	3.5	
	BESSEMER INVESTMENT	085	IBM	B	90	193.49	n/a	n/a	3.60	4.0	
B	BUCK CAPITAL MGMT		ICON	SS	25,000	23.02	n/a	n/a	non-brg	2.5	
B	BUCK CAPITAL MGMT		ICON	SS	25,000	23.08	n/a	n/a	non-brg	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	S	65,000	41.29	n/a	17-Jan	3,250.00	5.0
f DAVID GEORGE BUCK	FID	IWM	S	10	0.31	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	JNJ	B	215	72.74	n/a	n/a	8.60	4.0
B BUCK CAPITAL MGMT		JNY	SS	20,000	11.62	n/a	25-Oct	non-brg	4.0
SCOPUS FUND	041	LAD	B	10,000	39.80	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	LOW	B	240	36.17	n/a	n/a	9.60	4.0
B BUCK CAPITAL MGMT		MFRM	S	2,400	25.78	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		MFRM	S	60,504	25.54	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	MRK	B	1000	42.75	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MRK	B	200	42.59	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	MRO	B	400	32.69	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	590	27.11	n/a	n/a	23.60	4.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	20.54	n/a	15-Jan	2,500.00	5.0
BESSEMER INVESTMENT	085	M	B	375	38.85	n/a	14-Jan	15.00	4.0
LOMAS CAPITAL	040	OC	S	20,000	39.97	n/a	n/a	600.00	3.0
SANDLER CAPITAL	028	PH	C	67,800	91.08	n/a	n/a	3,390.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	S	55,000	39.65	n/a	17-Jan	2,750.00	5.0
T. ROWE PRICE	243	PKG	S	55,100	40.03	n/a	17-Jan	2,204.00	0.0
B BUCK CAPITAL MGMT		PNRA	SS	20,000	162.54	n/a	3-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PVH 3 C120	C	1,000	3.81	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		PVH	B	50,000	117.89	n/a	17-Jan	non-brg	4.0
BESSEMER INVESTMENT	085	QCOM	B	215	65.15	n/a	n/a	8.60	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	20,000	73.98	n/a	17-Jan	1,000.00	5.0
CORNERSTONE	030	RL	B	124,647	167.49	n/a	5-Nov	3,739.41	0.0
SUFFOLK CAPITAL MGMT	040	RL	B	7,500	166.57	n/a	5-Nov	300.00	0.0
KENNEDY CAPITAL	046	RUE	B	13,000	29.95	n/a	n/a	520.00	0.0
B BUCK CAPITAL MGMT		RUSHA	S	7,400	22.50	n/a	n/a	non-brg	1.0
f KAREN F LEDDY	FID	SGI	B	1000	11.70	n/a	n/a	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	SPY	S	250,000	148.09	n/a	n/a	12,500.00	5.0
COUGAR TRADING	044	SSI	S	15,000	22.87	n/a	17-Jan	750.00	5.0
FINDLAY PARK PART	085	STT	S	200,750	50.42	n/a	15-Jan	15,183.84	0.0
BESSEMER INVESTMENT	085	STX	B	215	34.63	n/a	n/a	8.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	SVM	C	15,000	4.79	n/a	n/a	450.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	SWY		S	5,000	18.11	n/a	n/a	150.00 3.0
B BUCK CAPITAL MGMT		TFM	SS	20,000	48.02	n/a	n/a	non-brg	4.0
CATAPULT	040	TFM	B	14,909	48.49	n/a	n/a	596.36	0.0
B BUCK CAPITAL MGMT		TIF	SS	20,000	63.56	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	TLT	S	20	0.97	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	TMO	B	240	68.33	n/a	n/a	9.60	4.0
f MARC PAUL LUCHANSKY	FID	TPINK	B	322	13.50	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	UNH	B	270	53.67	n/a	n/a	10.80	4.0
BESSEMER INVESTMENT	085	WAG	B	485	39.57	n/a	n/a	19.40	4.0
GLG PARTNERS	044	WMT	SS	29,943	68.82	n/a	15-Nov	898.29	0.0
BESSEMER INVESTMENT	085	WM	B	295	35.06	n/a	n/a	11.80	4.0
B BUCK CAPITAL MGMT		WSM	S	50,000	44.56	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	WSM	B	12,500	44.49	n/a	n/a	375.00	3.0
B BUCK CAPITAL MGMT		YUM	SS	20,000	65.88	n/a	14-Jan	non-brg	4.0
f DAVID GEORGE BUCK	FID	YUM	S	2000	65.35	n/a	14-Jan	0.00	0.0
f DAVID GEORGE BUCK	FID	YUM	S	250	65.35	n/a	14-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MATTHEW FRANCIS BUCK	FID	YUM	S	300	65.35	n/a	14-Jan	0.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	270	72.73	n/a	n/a	10.80	4.0
TOTAL (Trade Date):							65,551.34		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	01/16	CASTLEROCK	040	BA	B	37,835	74.02	n/a 16-Jan 1513.40	4.0
TOTAL (AO, CXL, CRT) :									-1,513.40

TOTAL (Trade Date) :	65,551.34
TOTAL (AO, CXL, CRT) :	-1,513.40
TOTAL (RUN DATE) / NFS :	64,037.94

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 17-Jan.

CMG, GD

MRI Securities without Trade Activity on 17-Jan.

WEN

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)