



Daily Compliance Activity Report

Trade Date: 02/08/2013

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		AAPL	S	5,000	473.24	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	AAPL	S	5	2.85	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	AAPL	B	15	476.77	n/a	n/a	0.00	0.0
LATEEF MGMT	033	AA	S	400	8.95	n/a	n/a	40.00	10.0
BESSEMER INVESTMENT	085	ACE	B	220	86.08	n/a	n/a	8.80	4.0
BESSEMER INVESTMENT	085	ACN	B	255	73.38	n/a	n/a	10.20	4.0
BESSEMER INVESTMENT	085	AET	B	420	50.89	n/a	n/a	16.80	4.0
B BUCK CAPITAL MGMT		ANN	S	10,300	29.96	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		ANN	S	230,500	29.63	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	ANN	SS	37,240	29.20	n/a	n/a	1,489.60	4.0
CASTLEROCK	040	ARCO	SS	5,000	13.90	n/a	3-Jan	200.00	0.0
LATEEF MGMT	033	AREPRE	S	150	26.83	n/a	n/a	30.00	20.0
LATEEF MGMT	033	ATI	S	100	33.27	n/a	28-Jan	27.00	27.0
BESSEMER INVESTMENT	085	AVGO	B	310	35.30	n/a	n/a	12.40	4.0
B BUCK CAPITAL MGMT		BCC	S	70	27.41	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BONT	S	30,000	11.70	n/a	8-Feb	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BWA	B	348	73.50	n/a	28-Jan	17.40	0.0
B BUCK CAPITAL MGMT		BYI	S	20,000	49.16	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	CBK	S	5000	6.54	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CHRW	SS	75,000	59.65	n/a	n/a	3,750.00	0.0
f MANNY I KORMAN	FID	CI	B	3000	61.91	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	COH	B	255	48.86	n/a	4-Feb	10.20	4.0
BESSEMER INVESTMENT	085	COP	B	210	57.81	n/a	n/a	8.40	4.0
ROTHSCHILD ASSET	040	CSCO	B	47,944	21.25	n/a	8-Feb	1,917.76	0.0
LATEEF MGMT	033	CTB	S	200	25.57	n/a	n/a	30.00	15.0
BESSEMER INVESTMENT	085	CTL	B	305	41.32	n/a	n/a	12.20	4.0
BESSEMER INVESTMENT	085	CVS	B	255	51.22	n/a	n/a	10.20	4.0
BESSEMER INVESTMENT	085	C	B	310	42.69	n/a	7-Feb	12.40	4.0
B BUCK CAPITAL MGMT		DAL 2 P14	B	3,000	0.07	n/a	n/a	non-brg	100.0
LATEEF MGMT	033	DD	S	100	47.41	n/a	n/a	30.00	30.0
BESSEMER INVESTMENT	085	DG	B	55	45.99	n/a	12-Dec	2.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	DLPH	SS	75,000	38.29	n/a	n/a	3,750.00	0.0
LATEEF MGMT	033	DOW	S	100	32.37	n/a	n/a	27.00	27.0
f MANNY I KORMAN	FID	DST	B	3000	67.02	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	DTE	B	120	64.00	n/a	n/a	4.80	4.0
LATEEF MGMT	033	DVN	S	75	60.21	n/a	31-Jan	22.50	30.0
SENATOR INVESTMENT GROUP	036	EC	SS	25,000	61.16	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	EXC	B	365	31.15	n/a	n/a	14.60	4.0
f KAREN F LEDDY	FID	FBC	B	800	15.59	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	FINL	B	25,000	18.46	n/a	6-Feb	1,000.00	0.0
f MICHAEL ALEXANDER SM	FID	FINL	B	10	2.04	n/a	6-Feb	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FINL	B	15	2.04	n/a	6-Feb	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FINL	B	50	2.05	n/a	6-Feb	0.00	0.0
LATEEF MGMT	033	FMER	S	200	15.16	n/a	n/a	26.00	13.0
B BUCK CAPITAL MGMT		FNP	B	150,000	16.69	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FRAN	B	50,000	26.63	n/a	n/a	non-brg	4.0
LATEEF MGMT	033	F	S	325	13.10	n/a	7-Feb	32.50	10.0
f JASON ERIC COHEN	FID	GCA	B	700	6.86	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	GD	B	135	66.79	n/a	17-Jan	5.40	4.0
B BUCK CAPITAL MGMT		GES	SS	20,000	27.98	n/a	4-Feb	non-brg	4.0
LATEEF MGMT	033	GE	S	125	22.46	n/a	n/a	25.00	20.0
J. GOLDMAN	028	GM	B	100,000	28.57	n/a	7-Feb	4,000.00	4.0
TIDE POINT CAPITAL	028	GPI	S	6,000	68.16	n/a	4-Feb	180.00	3.0
B BUCK CAPITAL MGMT		GPS	B	30,000	32.25	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HBI	S	20,000	40.61	n/a	6-Feb	non-brg	4.0
J. GOLDMAN	028	HBI	B	10,000	40.64	n/a	6-Feb	400.00	4.0
LATEEF MGMT	033	HPQ	S	150	16.85	n/a	n/a	27.00	18.0
BESSEMER INVESTMENT	085	IBM	B	110	201.85	n/a	n/a	4.40	4.0
LATEEF MGMT	033	INTC	S	200	21.05	n/a	n/a	30.00	15.0
DELTEC ASSET MGMT.	040	IP	B	2,482	42.24	n/a	5-Feb	124.10	5.0
LATEEF MGMT	033	JCI	S	100	31.06	n/a	22-Jan	27.00	27.0
BESSEMER INVESTMENT	085	JNJ	B	255	75.39	n/a	n/a	10.20	4.0
LATEEF MGMT	033	JNJ	S	75	75.44	n/a	n/a	22.50	30.0
WAGONHOUND/NICOLAS	033	JOY	S	9,810	61.43	n/a	11-Jul	392.40	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY BOBBY	044	KFN	B	25,000	11.23	n/a	n/a	1,250.00	0.0
LATEEF MGMT	033	KR	S	175	28.16	n/a	n/a	31.50	18.0
LATEEF MGMT	033	K	S	100	58.93	n/a	n/a	18.00	18.0
B BUCK CAPITAL MGMT		LCC 2 P14	B	5,000	0.12	n/a	n/a	non-brg	100.0
LIONEYE CAPITAL	040	LCC	B	20,000	14.65	n/a	7-Feb	1,000.00	5.0
BASSWOOD PARTNERS	267	LEA	B	10,000	53.98	n/a	4-Feb	400.00	0.0
BESSEMER INVESTMENT	085	LOW	B	310	38.90	n/a	n/a	12.40	4.0
OTTER CREEK MGMT	093	MBFI	S	5,752	22.60	n/a	n/a	287.60	5.0
PECONIC PARTNERS	036	MCD	C	50,000	95.07	n/a	8-Feb	2,500.00	0.0
ACK ASSET	028	MLI	B	10,000	54.87	n/a	5-Feb	300.00	0.0
EATON VANCE MGMT	029	MRK	S	546,900	41.02	n/a	n/a	16,407.00	0.0
BESSEMER INVESTMENT	085	MRO	B	250	34.35	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	80	27.60	n/a	n/a	3.20	4.0
LATEEF MGMT	033	MSFT	S	200	27.61	n/a	n/a	30.00	15.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MWW	S	29,795	5.39		n/a	n/a	893.85 3.0
BESSEMER INVESTMENT	085	M	B	445	39.89	8-Feb	8-Feb	17.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	NLSN	B	220	32.52	n/a	n/a	8.80	4.0
FIRST NEW YORK	086	NOK	S	10,000	4.08	n/a	n/a	400.00	4.0
f MICHAEL ALEXANDER SM	FID	NUAN	B	10	1.85	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	NUAN	B	10	1.85	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	NUAN	B	30	1.85	n/a	n/a	0.00	0.0
LATEEF MGMT	033	NUE	S	100	46.74	n/a	n/a	30.00	30.0
BALYASNY ASSET MGMT	044	ODFL	SS	85,000	35.35	n/a	n/a	4,250.00	0.0
LATEEF MGMT	033	OI	S	150	24.99	n/a	n/a	30.00	20.0
LATEEF MGMT	033	OLN	S	150	23.54	n/a	n/a	30.00	20.0
LATEEF MGMT	033	PBCT	S	250	12.56	n/a	4-Feb	25.00	10.0
BALYASNY ASSET MGMT	044	PCAR	B	30,000	47.52	n/a	n/a	1,500.00	0.0
B BUCK CAPITAL MGMT		PII	B	30,000	84.89	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	QCOM	B	280	67.04	n/a	n/a	11.20	4.0
B BUCK CAPITAL MGMT		RDN	B	40,000	6.74	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RH	S	20,000	38.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RLGY	S	20,000	44.87	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		RL	B	10,000	177.33	n/a	7-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		ROST	B	50,000	61.32	8-Feb	8-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		RUSHA	S	5,400	24.01	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	SGI	B	500	15.02	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SKX	S	20,000	19.53	n/a	n/a	non-brg	4.0
VERITION	028	SMG	S	2,500	43.97	n/a	31-Jan	75.00	3.0
SIGMA CAP BOBBY	044	SPR	B	57,803	16.05	n/a	7-Feb	1,734.09	3.0
f DANIEL JORDAN COHEN	FID	STLY	B	445	4.59	n/a	n/a	0.00	0.0
LATEEF MGMT	033	SWY	S	150	20.14	n/a	n/a	30.00	20.0
CR INTRINIC INVESTMENT	044	TGT	SS	10,000	62.57	n/a	7-Feb	300.00	3.0
BESSEMER INVESTMENT	085	TMO	B	305	74.44	n/a	n/a	12.20	4.0
NEWLAND CAPITAL MGT	025	UFS	S	5,000	76.32	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	UNH	B	310	58.19	n/a	n/a	12.40	4.0
PECONIC PARTNERS	036	VFC	C	30,000	152.97	n/a	4-Feb	1,500.00	0.0
BESSEMER INVESTMENT	085	WAG	B	65	41.39	n/a	n/a	2.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	WM	B	365	36.12	n/a	n/a	14.60	4.0
LATEEF MGMT	033	WRIPRF	S	150	25.39	n/a	n/a	30.00	20.0
BNP PARIBAS SEC	040	WY	B	40,000	30.04	n/a	8-Feb	1,200.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	335	75.94	n/a	n/a	13.40	4.0
f EDWARD W WHEELER	FID		B	50000	83.95	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								53,081.60	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/07	GUGGENHEIM GLOBAL TRADING (GGT)	251	CNX	B	5,000	30.74	n/a	n/a	150.00 3.0
AO,CXL	02/07	GUGGENHEIM GLOBAL TRADING (GGT)	251	CNX	B	5,000	30.74	n/a	n/a	200.00 4.0

TOTAL (AO, CXL, CRT) :	-50.00
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TOTAL (Trade Date) :	53,081.60
TOTAL (AO, CXL, CRT) :	-50.00

TOTAL (RUN DATE) / NFS:	53,031.60
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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 8-Feb.

M, ROST

MRI Securities without Trade Activity on 8-Feb.

NONE

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)