



# Daily Compliance Activity Report

Trade Date: 02/20/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>AA</b>	<b>B</b>	<b>100</b>	<b>0.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	AIG	B	100	37.95	n/a	n/a	5.00	5.0
SENATOR INVESTMENT GROUP	036	AIG	S	240,111	38.15	n/a	n/a	7,203.33	3.0
WOOSTER CAPITAL	044	ALV	SS	10,000	69.50	n/a	1-Feb	400.00	4.0
ADAGE CAPITAL MGMT	030	ANF	B	100,000	51.73	n/a	n/a	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>B</b>	<b>10,000</b>	<b>50.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SIGMA CAPITAL ASSOCIATES	041	ANF	S	65,000	51.68	n/a	n/a	1,950.00	3.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>AVGO</b>	<b>B</b>	<b>570</b>	<b>34.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BCC</b>	<b>B</b>	<b>45,000</b>	<b>27.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
NEUBERGER BERMAN	036	BECN	B	19,392	38.35	n/a	n/a	775.68	0.0
NEUBERGER BERMAN	036	BKU	B	13,608	27.81	n/a	n/a	544.32	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BLMN</b>	<b>B</b>	<b>30,000</b>	<b>18.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	BOH	B	13,315	49.16	n/a	n/a	532.60	0.0
NEUBERGER BERMAN	036	BOKF	B	6,808	58.66	n/a	n/a	272.32	0.0
NEUBERGER BERMAN	036	BRKL	B	29,900	9.21	n/a	n/a	1,196.00	0.0
CASTLEROCK	040	CAKE	SS	2,300	33.46	n/a	20-Feb	92.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	CBU	B	17,095	29.03	n/a	n/a	683.80	0.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>CLF</b>	<b>B</b>	<b>200</b>	<b>27.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>CWEI</b>	<b>B</b>	<b>5000</b>	<b>39.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MACELLUM CAPITAL	086	DECK	B	25,000	43.26	n/a	n/a	750.00	0.0
<b>f SEAN F LEDDY</b>	<b>FID</b>	<b>DECK</b>	<b>S</b>	<b>70</b>	<b>43.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	DFT	S	25,947	23.00	n/a	n/a	1,037.88	0.0
BESSEMER INVESTMENT	085	DG	B	495	44.05	n/a	12-Dec	19.80	4.0
KAM ADVISORS LLC	041	DO	SS	23,600	73.60	n/a	n/a	708.00	0.0
CASTLEROCK	040	DRI	SS	3,000	45.41	n/a	20-Feb	120.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DRI	SS	25,000	45.42	n/a	20-Feb	750.00	3.0
BESSEMER INVESTMENT	085	DTE	B	115	64.94	n/a	n/a	4.60	4.0
BESSEMER INVESTMENT	085	EXC	B	160	30.55	n/a	n/a	6.40	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>FCX</b>	<b>B</b>	<b>2000</b>	<b>32.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>FINL</b>	<b>S</b>	<b>100</b>	<b>18.89</b>	<b>n/a</b>	<b>20-Feb</b>	<b>0.00</b>	<b>0.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	FL	B	50,600	34.41	n/a	20-Feb	1,518.00	3.0
NEUBERGER BERMAN	036	FNB	B	48,700	11.82	n/a	n/a	1,948.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
B	BUCK CAPITAL MGMT		FRAN	B	20,000	26.01	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		FRAN	B	40,000	26.53	n/a	n/a	non-brg	4.0	
f	PETER D GOLDSTEIN	FID	FSCSX	B	114	87.89	n/a	n/a	0.00	0.0	
	BESSEMER INVESTMENT	085	GD	B	115	66.88	n/a	17-Jan	4.60	4.0	
B	BUCK CAPITAL MGMT		GES	SS	60,000	28.90	n/a	20-Feb	non-brg	4.0	
	NOMURA/ANGEL LANE PRINCIPAL	040	GES	SS	25,000	28.44	n/a	20-Feb	750.00	3.0	
f	MARK MEGALLI	FID	GGG	S	1000	58.44	n/a	n/a	0.00	0.0	
	KENNEDY CAPITAL	046	GIII	S	13,698	36.93	n/a	n/a	547.92	0.0	
B	BUCK CAPITAL MGMT		GIL	S	40,000	36.22	n/a	7-Feb	non-brg	4.0	
	GOLD SACHS SPECIAL SIT	030	GM	B	27,123	27.33	n/a	19-Feb	1,356.15	5.0	
	TRELLUS PARTNERS LP	028	GM	B	23,000	27.27	n/a	19-Feb	690.00	0.0	
	DELTEC ASSET MGMT.	040	GPI	S	4,900	61.70	20-Feb	20-Feb	245.00	5.0	
	THREE G	041	GPS	SS	91,978	32.54	n/a	n/a	2,759.34	0.0	
	BASSWOOD PARTNERS	267	GS	S	23,560	157.10	n/a	7-Feb	942.40	0.0	
B	BUCK CAPITAL MGMT		HBI	S	20,000	39.25	n/a	6-Feb	non-brg	4.0	
	GUGGENHEIM GLOBAL TRADING (GGT)	251	HNZ	B	93,500	72.16		n/a	n/a	3,740.00	4.0
	ARSENAL ASSET MANAGEMENT	028	HUBB	B	2,500	94.71	n/a	n/a	100.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	IBM	B	95	200.55	n/a	n/a	3.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IBM</b>	<b>SS</b>	<b>800</b>	<b>200.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	40.38	n/a	20-Feb	2,500.00	5.0
MOORE CAPITAL	041	IP	B	50,000	41.00	n/a	20-Feb	1,500.00	0.0
THREE G	041	JCP	SS	49,864	20.26	n/a	20-Feb	1,495.92	0.0
BESSEMER INVESTMENT	085	JNJ	B	210	76.89	n/a	n/a	8.40	4.0
ROSEDALE CAPITAL	046	KEG	S	22,700	8.98	n/a	31-Jan	681.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>KEM</b>	<b>S</b>	<b>10000</b>	<b>6.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	KLAC	SS	10,000	54.88	n/a	n/a	300.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LBTYA	B	5,000	64.53	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	LDR	S	2,772	58.42	n/a	n/a	110.88	0.0
SPARTAN	093	LMNX	S	10,000	17.26	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	LULU	B	25,000	70.43	n/a	20-Feb	750.00	3.0
BESSEMER INVESTMENT	085	MRO	B	440	35.17	n/a	n/a	17.60	4.0
BESSEMER INVESTMENT	085	MSFT	B	475	27.95	n/a	n/a	19.00	4.0
NUVEEN - US BANCORP		030 MTX	S	7,421	41.69	n/a	n/a	333.95	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	M	B	405	40.06	n/a	20-Feb	16.20	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	M	B	20,000	39.50	n/a	20-Feb	600.00	3.0
BESSEMER INVESTMENT	085	NLSN	B	345	32.63	n/a	n/a	13.80	4.0
FIRST NEW YORK	086	NOK	B	20,000	3.86	n/a	n/a	800.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NTSP	B	54,855	15.83		n/a	n/a	1,645.65 3.0
FARALLON CAP MGMT	040	OMX	B	230,000	11.79	n/a	n/a	6,900.00	3.0
NORTHWESTERN MUTUAL LIFE	047	PBI	B	56,700	13.49	n/a	n/a	2,268.00	0.0
MERRILL ASSET/BLACKROCK	297	PL	B	7,000	33.38	n/a	n/a	280.00	0.0
DECADE CAPITAL CHRIS C	041	PPG	SS	7,400	134.26	n/a	n/a	296.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	265	65.51	n/a	n/a	10.60	4.0
⌘ BUCK CAPITAL MGMT		RDN	B	35,000	7.87	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		RDN	B	36,800	7.93	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		RDN	B	60,000	7.93	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		RH	S	400	38.83	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		RL	B	10,000	176.13	n/a	20-Feb	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	ROST	SS	15,150	58.69	n/a	20-Feb	454.50	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	ROST	S	10,000	58.67	n/a	20-Feb	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SCSS	B	24,700	20.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SHOO 4 C50	SS	500	1.01	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		SHOO	S	50,000	45.72	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	TEVA	S	100	38.36	n/a	13-Feb	5.00	5.0
NEUBERGER BERMAN	036	TISI	B	12,099	44.56	n/a	n/a	483.96	0.0
f JASON ERIC COHEN	FID	TIVO	S	1000	13.00	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	TJX	SS	15,150	44.38	n/a	20-Feb	454.50	0.0
BESSEMER INVESTMENT	085	TMO	B	265	73.02	n/a	n/a	10.60	4.0
B BUCK CAPITAL MGMT		TXRH	SS	40,000	18.38	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	TYL	B	14,927	55.84	n/a	n/a	597.08	0.0
NEUBERGER BERMAN	036	UAL	B	81,700	26.04	n/a	19-Feb	3,268.00	0.0
BESSEMER INVESTMENT	085	UNH	B	310	55.59	n/a	n/a	12.40	4.0
DECADE CAPITAL CHRIS C	041	VAL	B	16,200	61.71	n/a	n/a	648.00	0.0
SCOPUS FUND	041	VFC	SS	15,000	161.94	n/a	20-Feb	600.00	0.0
BESSEMER INVESTMENT	085	WAG	B	545	41.89	n/a	n/a	21.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	WCC	B	800	76.07	n/a	n/a	32.00	0.0
ELM RIDGE ADVISORS	044	WFT	B	90,000	12.94	n/a	n/a	3,600.00	0.0
KAM ADVISORS LLC	041	WLL	SS	23,000	49.39	n/a	n/a	690.00	0.0
BESSEMER INVESTMENT	085	WM	B	315	36.65	n/a	n/a	12.60	4.0
BESSEMER INVESTMENT	085	ZMH	B	290	75.97	n/a	n/a	11.60	4.0
<b>TOTAL (Trade Date):</b>								<b>66,905.98</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/14	PALESTRA	040	MDLZ	S	100,000	26.80	n/a	n/a	3000.00 1.5
AO,CRT	02/14	PALESTRA	040	MDLZ	S	100,000	26.80	n/a	n/a	3000.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	66,905.98
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>66,905.98</b>
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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 20-Feb.

GPI

MRI Securities without Trade Activity on 20-Feb.

BEAV

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)