



Daily Compliance Activity Report

Trade Date: 12/24/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ABT	S	5,025	65.47	n/a	n/a	175.88	0.0
B BUCK CAPITAL MGMT		AEO	S	50,000	20.63	n/a	2-Dec	non-brg	4.0
PZENA INV ADV	044	AIG	S	38,775	34.84	n/a	n/a	1,357.13	0.0
f KAREN F LEDDY	FID	ALU	B	4000	1.38	n/a	n/a	0.00	0.0
PZENA INV ADV	044	BP	B	18,900	41.93	n/a	n/a	661.54	0.0
LATEEF MGMT	035	CCK	S	125	37.23	n/a	n/a	31.25	25.0
M&I FUNDS	047	CHKP	B	4,361	47.15	n/a	n/a	174.44	4.0
B BUCK CAPITAL MGMT		CLD	S	31,100	19.38	n/a	n/a	non-brg	1.0
LATEEF MGMT	035	DAL	S	250	11.71	n/a	17-Dec	25.00	10.0
LATEEF MGMT	035	DD	B	100	44.69	n/a	14-Dec	30.00	30.0
PZENA INV ADV	044	DELL	S	7,125	10.31	n/a	n/a	249.38	0.0
LATEEF MGMT	035	DVN	S	100	52.62	n/a	20-Dec	30.00	30.0
f KAREN F LEDDY	FID	FBC	B	300	18.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	20,000	18.94	n/a	21-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
METROPOLITAN CAPITAL	044	FINL	B	14,000	18.95	n/a	21-Dec	700.00	5.0
⚡ BUCK CAPITAL MGMT		FL	B	20,000	33.16	n/a	21-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOR	S	7,393	17.01	n/a	8-Nov	non-brg	1.0
⚡ BUCK CAPITAL MGMT		GIL	B	20,000	36.34	n/a	30-Nov	non-brg	4.0
f KAREN F LEDDY	FID	GLDD	B	700	8.95	n/a	n/a	0.00	0.0
PZENA INV ADV	044	GS	S	1,275	127.95	n/a	20-Dec	44.63	0.0
LATEEF MGMT	035	HPQ	S	400	13.91	n/a	n/a	40.00	10.0
LATEEF MGMT	035	IP	S	125	39.44	n/a	18-Dec	31.25	25.0
LATEEF MGMT	035	JCI	S	125	30.19	n/a	20-Dec	31.25	25.0
⚡ BUCK CAPITAL MGMT		M	B	20,000	37.51	n/a	30-Nov	non-brg	4.0
LATEEF MGMT	035	OI	B	150	20.97	n/a	n/a	30.00	20.0
LATEEF MGMT	035	OLN	S	150	21.22	n/a	n/a	30.00	20.0
PZENA INV ADV	044	ORCL	S	275	33.58	n/a	n/a	9.63	0.0
LATEEF MGMT	035	PG	S	100	68.36	n/a	13-Dec	30.00	30.0
⚡ BUCK CAPITAL MGMT		RLGY	S	20,000	41.22	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SCSS	S	20,000	25.48	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	SPY	B	20	3.30	n/a	n/a	0.00	0.0
LATEEF MGMT	035	TEVA	B	100	37.75	n/a	17-Dec	30.00	30.0
LATEEF MGMT	035	T	B	125	33.82	n/a	n/a	31.25	25.0
TOTAL (Trade Date) :								3,742.63	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/21	TIDE POINT CAPITAL	034	BHP	B	10,000	77.15	n/a	n/a	300.00 0.0
AO,CXL	12/21	TIDE POINT CAPITAL	034	BHP	B	10,000	77.15	n/a	n/a	300.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	3,742.63
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	3,742.63
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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 24-Dec.
NONE

MRI Securities without Trade Activity on 24-Dec.
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)