



# Daily Compliance Activity Report

Trade Date: 02/19/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	1,000,000	2.88	n/a	n/a	20,000.00	2.0
SAGE ASSET MGMT	025	AAN	SS	1,800	29.49	n/a	n/a	90.00	5.0
NEWLAND CAPITAL MGT	025	ACCO	S	15,000	7.99	n/a	n/a	450.00	3.0
BESSEMER INVESTMENT	085	ACE	B	1,215	86.99	n/a	n/a	48.60	4.0
BESSEMER INVESTMENT	085	ACN	B	1,245	74.40	n/a	n/a	49.80	4.0
BESSEMER INVESTMENT	085	AET	B	1,905	48.01	n/a	n/a	76.20	4.0
ADAGE CAPITAL MGMT	030	ANF	B	142,200	50.88	n/a	n/a	4,266.00	3.0
BALYASNY ASSET MGMT	044	ANF	S	20,000	51.52	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	APA	B	75	76.96	n/a	15-Feb	3.75	5.0
BRONSON POINT	036	ASNA	S	50,000	17.71	n/a	n/a	1,500.00	0.0
NEUBERGER BERMAN	036	ASPS	B	6,300	87.30	n/a	n/a	252.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	1,560	35.35	n/a	n/a	62.40	4.0
SAGE ASSET MGMT	025	AZO	SS	150	373.62	n/a	n/a	7.50	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>BAX</b>	<b>S</b>	<b>2000</b>	<b>68.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BA</b>	<b>B</b>	<b>6,500</b>	<b>74.43</b>	<b>n/a</b>	<b>6-Feb</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	BECN	B	43,600	38.49	n/a	n/a	1,744.00	0.0
NEUBERGER BERMAN	036	BKU	B	13,397	27.73	n/a	n/a	535.88	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BLMN</b>	<b>B</b>	<b>70,000</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	18,685	49.28	n/a	n/a	747.40	0.0
NEUBERGER BERMAN	036	BOKF	B	5,720	58.35	n/a	n/a	228.80	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BYI</b>	<b>S</b>	<b>30,000</b>	<b>49.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	CAKE	SS	20,000	33.30	n/a	19-Feb	600.00	3.0
NEUBERGER BERMAN	036	CBU	B	15,320	29.15	n/a	n/a	612.80	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>COF</b>	<b>B</b>	<b>9,400</b>	<b>53.58</b>	<b>n/a</b>	<b>19-Feb</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	COH	B	1,185	48.37	n/a	14-Feb	47.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>C</b>	<b>20,000</b>	<b>53.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	COP	B	1,040	57.90	n/a	n/a	41.60	4.0
PATTEN & PATTEN	025	CSCO	B	150	21.30	n/a	14-Feb	7.50	5.0
BESSEMER INVESTMENT	085	CTL	B	1,335	33.80	n/a	n/a	53.40	4.0
BESSEMER INVESTMENT	085	CVS	B	1,295	52.19	n/a	n/a	51.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	C	B	1,410	44.32	n/a	19-Feb	56.40	4.0
SCOPUS FUND	041	DDS	SS	15,000	87.06	n/a	n/a	600.00	0.0
VELAZQUEZ/MILLENNIUM	041	DHR	B	40,000	61.75	n/a	n/a	1,600.00	0.0
HARVEST MGMT (JMP)	029	DLTR	B	10,000	40.39	n/a	12-Feb	400.00	4.0
CASTLEROCK	040	DRI	SS	3,000	45.39	n/a	19-Feb	120.00	0.0
BESSEMER INVESTMENT	085	DTE	B	595	64.72	n/a	n/a	23.80	4.0
ROYCE TRADING	031	FINL	B	56,000	18.60	n/a	13-Feb	2,800.00	0.0
NEUBERGER BERMAN	036	FNB	B	84,800	11.85	n/a	n/a	3,392.00	0.0
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>FNSXX</b>	<b>S</b>	<b>575</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FNSXX</b>	<b>S</b>	<b>475</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FNSXX</b>	<b>S</b>	<b>403</b>	<b>1.00</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>FOE</b>	<b>S</b>	<b>40000</b>	<b>5.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	19.80	n/a	15-Feb	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FRAN</b>	<b>B</b>	<b>20,000</b>	<b>27.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FRAN</b>	<b>B</b>	<b>50,000</b>	<b>27.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAGE ASSET MGMT	025	FRED	SS	3,900	13.69	n/a	n/a	195.00	5.0
KENNEDY CAPITAL	046	GIII	S	4,802	37.00	n/a	n/a	192.08	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	GIS	S	50,000	45.25	n/a	n/a	3,000.00	6.0
S.A.C. CAPITAL	044	GNC	S	20,000	42.41	n/a	n/a	600.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>GNRC</b>	<b>S</b>	<b>400</b>	<b>37.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	GPI	B	10,000	60.95	n/a	19-Feb	500.00	5.0
KAM ADVISORS LLC	041	HAL	S	57,300	42.98	n/a	n/a	1,719.00	0.0
NEUBERGER BERMAN	036	HLSS	B	54,800	23.06	n/a	n/a	2,192.00	0.0
BALYASNY ASSET MGMT	044	HTZ	S	30,000	19.53	n/a	n/a	1,500.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	100	94.63	n/a	n/a	4.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>IBM</b>	<b>B</b>	<b>600</b>	<b>205.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NWQ INVESTMENT MGMT CO	084	IR	S	18,050	53.51	n/a	14-Feb	631.75	0.0
<b>f MARK DEVEREAUX KAICH</b>	<b>FID</b>	<b>JOEZ</b>	<b>S</b>	<b>5000</b>	<b>1.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NWQ INVESTMENT MGMT CO	084	JPM	S	20,950	49.51	n/a	15-Feb	733.25	0.0
ROSEDALE CAPITAL	046	KEG	S	2,300	9.44	n/a	31-Jan	69.00	3.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>KEY</b>	<b>S</b>	<b>150</b>	<b>9.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	LDR	S	1,800	58.16	n/a	n/a	72.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	LEA	S	19,922	55.66	n/a	12-Feb	796.88	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDT</b>	<b>B</b>	<b>20,000</b>	<b>45.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	MDT	S	200	45.82	n/a	n/a	10.00	5.0
OHIO PERS	047	MHP	B	10,800	45.06	n/a	n/a	324.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>MOH</b>	<b>B</b>	<b>10,000</b>	<b>32.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	MTX	S	4,272	42.28	n/a	n/a	170.88	0.0
LOMAS CAPITAL	040	MWV	B	50,000	35.57	19-Feb	19-Feb	1,500.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	M	SS	25,000	40.24	n/a	8-Feb	750.00	3.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	29.67	n/a	25-Jan	400.00	4.0
HIGHBRIDGE CAP	041	OIH	SS	3,500	44.52	n/a	n/a	70.00	2.0
HIGHBRIDGE CAP	041	OII	S	2,500	63.12	n/a	n/a	50.00	2.0
NORTHWESTERN MUTUAL LIFE	047	PBI	B	76,700	13.55	n/a	n/a	3,068.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>PCP</b>	<b>B</b>	<b>5,000</b>	<b>185.20</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ANDREW LONGLEY TRUS</b>	<b>FID</b>	<b>PTTDX</b>	<b>S</b>	<b>179</b>	<b>11.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CLIFFORD LONGLEY TR</b>	<b>FID</b>	<b>PTTDX</b>	<b>S</b>	<b>179</b>	<b>11.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN LONGLEY TR</b>	<b>FID</b>	<b>PTTDX</b>	<b>S</b>	<b>179</b>	<b>11.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RH</b>	<b>S</b>	<b>10,500</b>	<b>38.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		SCSS	B	23,900	21.01	n/a	n/a	non-brg	4.0
BRONSON POINT	036	SEE	S	50,000	21.51	n/a	2-Jun	1,500.00	0.0
<b>f</b> YANAI A FRANK	FID	SEE	S	2000	21.95	n/a	2-Jun	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SLM	B	10,000	19.10		n/a 13-Feb	300.00	3.0
<b>B</b> BUCK CAPITAL MGMT		SPLS	SS	50,000	14.42	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	SVU	S	35,000	3.84	n/a	n/a	1,400.00	4.0
ROTHSCHILD ASSET	040	TECD	S	22,715	53.99	n/a	n/a	908.60	0.0
S.A.C. CAPITAL	044	TGT	B	25,000	61.88	n/a	7-Feb	750.00	3.0
NEUBERGER BERMAN	036	TISI	B	9,900	45.25	n/a	n/a	396.00	0.0
HIGHBRIDGE CAP	041	TSO	S	2,000	54.25	n/a	n/a	60.00	3.0
NEUBERGER BERMAN	036	TYL	B	17,273	55.55	n/a	n/a	690.92	0.0
NEUBERGER BERMAN	036	TYPE	B	11,200	21.36	n/a	n/a	448.00	0.0
<b>B</b> BUCK CAPITAL MGMT		ULTA	B	30,000	84.95	n/a	n/a	non-brg	0.8
<b>B</b> BUCK CAPITAL MGMT		ULTA	B	6,000	84.80	n/a	n/a	non-brg	1.0
NOMURA/ANGEL LANE PRINCIPAL	040	VFC	SS	7,500	163.23	n/a	19-Feb	225.00	3.0
<b>B</b> BUCK CAPITAL MGMT		WERN	S	21,000	23.31	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KINGDON ASSET MGMT	041	WMT	SS	40,000	69.03	n/a	12-Feb	1,600.00	0.0
OZ MGMT	040	WMT	C	76,600	69.10	n/a	12-Feb	2,298.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>WWW</b>	<b>SS</b>	<b>40,000</b>	<b>44.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAP	041	XLB	B	25,500	39.24	n/a	n/a	510.00	2.0
HIGHBRIDGE CAP	041	XLI	SS	36,500	41.28	n/a	n/a	730.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>ZUMZ</b>	<b>S</b>	<b>20,000</b>	<b>23.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ANTHONY SUTERA</b>	<b>FID</b>		<b>B</b>	<b>28000</b>	<b>98.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANTHONY SUTERA</b>	<b>FID</b>		<b>S</b>	<b>25000</b>	<b>107.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>72,233.39</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	02/15	ROTHSCHILD ASSET	040	CMO	S	1,582	12.26	n/a	n/a	63.28	0.0
AO,CRT	02/15	ROTHSCHILD ASSET	040	CMO	S	1,582	12.26	n/a	n/a	63.28	0.0
AO,CRT	02/14	EPOCH INV MGMT	030	CTL	B	200	33.00	n/a	n/a	6.00	0.0
AO,CXL	02/14	EPOCH INV MGMT	030	CTL	B	200	33.00	n/a	n/a	6.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

TOTAL (Trade Date) :	72,233.39
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>72,233.39</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 19-Feb.

MWV

MRI Securities without Trade Activity on 19-Feb.

BKW

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)