



Daily Compliance Activity Report

Trade Date: 03/18/2013

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	100,000	3.61	n/a	n/a	2,000.00	2.0
B BUCK CAPITAL MGMT		AAPL	S	5,000	454.88	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	AGN	S	19,600	108.53	n/a	18-Mar	588.00	3.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	15,000	37.70	n/a	n/a	450.00	0.0
SCOPUS FUND	041	ALSN	B	23,400	23.62	n/a	n/a	936.00	4.0
WINSLOW CAPITAL	030	AMT	S	35,900	75.07	n/a	n/a	1,077.00	3.0
NOKOMIS PARTNERS	031	APA	B	77,000	76.22	n/a	14-Mar	2,310.00	3.0
B BUCK CAPITAL MGMT		ARO	C	100,000	13.91	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	C	100,000	14.12	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	C	50,000	14.28	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	AXL	B	5,000	12.81	n/a	18-Mar	200.00	4.0
f EDWARD W WHEELER	FID	BAC	B	25000	12.59	n/a	15-Mar	0.00	0.0
WINSLOW CAPITAL	030	BEN	S	24,400	148.25	n/a	2-Mar	732.00	3.0
RBC CAPITAL MARKETS	040	BHI	S	20,000	46.92	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	BLK	S	9,500	255.47	n/a	n/a	285.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	BWA	S	36,600	78.55	n/a	4-Mar	1,098.00	3.0
VERITION	028	CHRW	S	5,000	59.50	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	CHTR	S	10	2.39	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	COV	S	42,100	64.82	n/a	n/a	1,263.00	3.0
WINSLOW CAPITAL	030	CRM	S	11,600	175.59	n/a	n/a	348.00	3.0
ROYCE TRADING	031	CROX	B	25,000	15.89	n/a	n/a	1,250.00	0.0
f EDWARD W WHEELER	FID	CSCO	S	15000	21.78	n/a	26-Feb	0.00	0.0
SENATOR INVESTMENT GROUP	036	CWH	B	250,000	22.93	n/a	n/a	7,500.00	0.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		CZR	S	25,000	16.81		n/a	n/a	750.00 3.0
B BUCK CAPITAL MGMT		C	B	22,000	46.16	n/a	15-Mar	non-brg	1.0
SENATOR INVESTMENT GROUP	036	EMC	S	60,000	25.20	n/a	26-Feb	1,800.00	0.0
BESSEMER INVESTMENT	085	EXC	B	770	33.36	n/a	n/a	30.80	4.0
PARAMETER CAPITAL MGMT LLC044		FITB	B	100,000	16.50	n/a	n/a	3,000.00	3.0
J. GOLDMAN	028	F	SS	100,000	13.26	n/a	18-Mar	3,000.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040		F	SS	200,000	13.11	n/a	18-Mar	6,000.00	3.0
RBC CAPITAL MARKETS	040	GDP	S	20,000	15.60	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	GD	B	310	70.00	n/a	11-Mar	12.40	4.0
B BUCK CAPITAL MGMT		GIII	S	9,850	37.51	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GS	SS	19,800	152.06	n/a	15-Mar	non-brg	4.0
WINSLOW CAPITAL	030	GWV	S	10,900	224.22	n/a	12-Mar	327.00	3.0
B BUCK CAPITAL MGMT		HAL	B	12,000	40.78	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HBC CN	S	25,000	14.73	n/a	n/a	non-brg	4.0
f YANAI A FRANK	FID	HEES	B	500	19.94	n/a	n/a	0.00	0.0
SYMPHONY ASSET	033	HPQ	C	14,740	22.61	n/a	n/a	442.20	0.0
BESSEMER INVESTMENT	085	IBM	B	320	214.01	n/a	n/a	12.80	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	45.17	n/a	18-Mar	2,500.00	5.0
B BUCK CAPITAL MGMT		JCP	B	100,000	16.21	n/a	6-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	B	100,000	16.39	n/a	6-Mar	non-brg	4.0
BESSEMER INVESTMENT	085	JNJ	B	660	79.01	n/a	n/a	26.40	4.0
B BUCK CAPITAL MGMT		KNX	S	25,000	16.63	n/a	n/a	non-brg	4.0
PEREGRINE	030	LCC	B	225,000	16.23	n/a	5-Mar	9,000.00	0.0
f DAVID GEORGE BUCK	FID	LM	S	25	0.42	n/a	2-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		LVS	B	20,000	53.19	n/a	13-Jun	non-brg	4.0
WINSLOW CAPITAL	030	MA	S	5,600	517.46	n/a	14-Mar	168.00	3.0
BESSEMER INVESTMENT	085	MRO	B	1,285	35.19	n/a	n/a	51.40	4.0
BESSEMER INVESTMENT	085	MSFT	B	2,220	28.20	n/a	n/a	88.80	4.0
B BUCK CAPITAL MGMT		MS	B	43,000	23.00	n/a	15-Mar	non-brg	1.0
BESSEMER INVESTMENT	085	M	B	1,155	41.67	n/a	7-Mar	46.20	4.0
f JOHN MICHAEL ZOLIDIS	FID	NBG	B	5000	0.95	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	NLSN	B	945	34.56	n/a	n/a	37.80	4.0
RBC CAPITAL MARKETS	040	NOV	B	20,000	69.64	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		NTRS	SS	36,800	54.23	n/a	15-Mar	non-brg	4.0
LIONEYE CAPITAL	040	PAY	S	10,000	21.13	n/a	n/a	500.00	5.0
WINSLOW CAPITAL	030	PCP	S	19,600	194.67	n/a	11-Mar	588.00	3.0
RBC CAPITAL MARKETS	040	PSX	B	20,000	65.18	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	QCOM	B	860	64.68	n/a	n/a	34.40	4.0
f JOHN MICHAEL ZOLIDIS	FID	RL	B	30	169.62	n/a	21-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	RL	S	19,500	170.40	n/a	21-Feb	585.00	3.0
CASTLEROCK	040	SBUX	B	1,500	56.96	n/a	18-Mar	60.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	50,000	19.47	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	20,000	21.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SLM	S	100,000	20.09	n/a	1-Mar	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	STZ	B	18,645	46.79	n/a	28-Feb	559.35	0.0
WINSLOW CAPITAL	030	TDC	S	32,100	56.88	n/a	n/a	963.00	3.0
BESSEMER INVESTMENT	085	TGT	B	705	66.89	n/a	13-Mar	28.20	4.0
LEVIN CAPITAL STRATEGIES	041	TGT	SS	15,000	66.53	n/a	13-Mar	450.00	0.0
f MARK DEVEREAUX KAICH	FID	TIVO	B	400	0.15	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	TLM	S	40,000	12.11	n/a	n/a	1,600.00	4.0
BESSEMER INVESTMENT	085	TMO	B	625	77.05	n/a	n/a	25.00	4.0
f ABRAM M CHAPPELL	FID	UAL	S	225	30.95	n/a	12-Mar	0.00	0.0
f ALEXANDRA ELISE ZOLI	FID	ULTA	B	50	73.99	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	UNH	B	765	55.17	n/a	n/a	30.60	4.0
WINSLOW CAPITAL	030	UNH	S	22,900	55.09	n/a	n/a	687.00	3.0
BESSEMER INVESTMENT	085	VIAB	B	315	62.72	n/a	n/a	12.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	WAG	B	1,615	42.60	n/a	n/a	64.60	4.0
Ⓐ BUCK CAPITAL MGMT		WERN	S	20,000	24.50	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		WFC	SS	79,500	37.74	n/a	15-Mar	non-brg	4.0
BESSEMER INVESTMENT	085	WM	B	930	37.53	n/a	n/a	37.20	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	15,000	30.11	n/a	15-Mar	750.00	5.0
Ⓐ BUCK CAPITAL MGMT		XLF	C	437,000	18.27	n/a	n/a	non-brg	2.0
LAKEWOOD CAPITAL MGMT	085	XONE	SS	10,000	30.17	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	730	73.45	n/a	n/a	29.20	4.0
TOTAL (Trade Date) :							57,984.95		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	03/15	BRONSON POINT	036	JOY	B	52,500	61.89	n/a 11-Jul 1575.00	0.0
TOTAL (AO, CXL, CRT) :									1,575.00

TOTAL (Trade Date):	57,984.95
TOTAL (AO, CXL, CRT):	1,575.00

TOTAL (RUN DATE) / NFS:	59,559.95
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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 18-Mar.
NONE

MRI Securities without Trade Activity on 18-Mar.
BA, JCI, LUV, VNTV, SLXP

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)