



Daily Compliance Activity Report

Trade Date: 02/04/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	AAL	SS	128,887	33.96	n/a	n/a	3,866.61	0.0
STANDARD PACIFIC CAPITAL	084	AAL	B	72,400	33.90	n/a	n/a	2,896.00	0.0
ZWEIG FUNDS	006	AAL	B	5,000	34.02	n/a	n/a	250.00	0.0
PRIMECAP MGMT	084	ABAX	B	5,000	36.43	n/a	n/a	200.00	0.0
PHILADELPHIA FINANCIAL	033	ABG	SS	20,022	49.48	n/a	19-Jun	800.88	0.0
BESSEMER INVESTMENT	085	AET	B	10	66.62	n/a	n/a	0.40	0.0
BESSEMER INVESTMENT	085	AGN	B	120	114.24	n/a	17-Jun	4.80	0.0
BESSEMER INVESTMENT	085	AIG	B	50	47.56	n/a	n/a	2.00	0.0
EPOCH INV MGMT	030	ALKS	S	40,800	48.38	n/a	n/a	1,224.00	0.0
PIMCO	084	ALK	B	15,000	75.43	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	AMAT	B	530	16.75	n/a	n/a	21.20	0.0
BESSEMER INVESTMENT	085	APA	B	150	78.88	n/a	13-Jun	6.00	0.0
SCOPUS FUND	041	ASNA	S	25,000	17.74	n/a	n/a	1,000.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	55	53.22	n/a	n/a	2.20	0.0
BESSEMER INVESTMENT	085	AWK	B	55	42.13	n/a	n/a	2.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	AZO	B	25	484.65	n/a	n/a	1.00	0.0
SANDLER O'NEILL ASSET	031	BAC	SS	12,600	16.52	n/a	17-Jun	630.00	0.0
BESSEMER INVESTMENT	085	BBBY	B	165	63.61	n/a	n/a	6.60	0.0
BESSEMER INVESTMENT	085	BK	B	330	30.99	n/a	6-Jun	13.20	0.0
BESSEMER INVESTMENT	085	BRCM	B	375	29.09	n/a	n/a	15.00	0.0
PRIMECAP MGMT	084	BRKB	S	3,000	108.91	n/a	n/a	120.00	0.0
S.A.C. CAPITAL	044	BSX	B	21,900	12.68	n/a	n/a	657.00	0.0
KENBELLE LLC	028	CGI	B	8,800	21.36	n/a	n/a	264.00	0.0
HERRING CREEK CAPITAL	040	COF	B	11,995	69.01	n/a	19-Jun	359.85	0.0
BESSEMER INVESTMENT	085	COH	B	200	46.11	n/a	30-May	8.00	0.0
TROUBH PART	070	COH	B	15,000	45.51	n/a	30-May	750.00	0.0
STANDARD PACIFIC CAPITAL	084	CPRT	B	71,727	33.34	n/a	n/a	2,869.08	0.0
BESSEMER INVESTMENT	085	CSCO	B	335	21.51	n/a	26-Feb	13.40	0.0
BESSEMER INVESTMENT	085	CTL	B	10	28.14	n/a	n/a	0.40	0.0
BASSWOOD PARTNERS	267	DAN	B	6,690	18.40	n/a	19-Jun	267.60	0.0
LATEEF MGMT	033	DE	B	375	84.47	n/a	11-Jul	87.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	DG	B	35	55.70	n/a	4-Jun	1.40	0.0
DAVIDSON KEMPNER ADVISOR	281	DG	B	12,500	55.85	n/a	4-Jun	625.00	0.0
BESSEMER INVESTMENT	085	DPS	B	200	47.42	n/a	n/a	8.00	0.0
BESSEMER INVESTMENT	085	DTV	B	190	68.27	n/a	n/a	7.60	0.0
BESSEMER INVESTMENT	085	EMC	B	505	23.76	n/a	26-Feb	20.20	0.0
TUDOR INVESTORS	028	ETN	S	10,000	68.32	n/a	12-Jun	300.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	EXP	S	10,000	75.39		n/a	n/a	400.00 0.0
LATEEF MGMT	033	FCX	B	150	31.35	n/a	n/a	30.00	0.0
PAULSON & CO INC	041	FCX	S	300,000	31.01	n/a	n/a	9,000.00	0.0
HERRING CREEK CAPITAL	040	FDX	B	11,058	129.86	n/a	n/a	331.74	0.0
LATEEF MGMT	033	FMER	B	500	19.75	n/a	n/a	50.00	0.0
BESSEMER INVESTMENT	085	GE	B	385	24.52	n/a	n/a	15.40	0.0
ROTHSCHILD ASSET	040	GME	S	81,315	33.62	n/a	n/a	3,252.60	0.0
ROSEDALE CAPITAL	046	GM	S	30,000	35.53	n/a	19-Jun	1,200.00	0.0
SIGMA CAP BOBBY	044	GNTX	S	60,000	30.58	n/a	19-Jun	1,800.00	0.0
MOORE CAPITAL	257	GPS	B	26,500	37.89	n/a	n/a	795.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SLS CAPITAL LLC	006	HELE	B	57,389	56.06	n/a	n/a	2,295.56	0.0
BESSEMER INVESTMENT	085	HPQ	B	440	28.16	n/a	n/a	17.60	0.0
KENBELLE LLC	028	HTLD	B	8,800	20.37	n/a	n/a	264.00	0.0
BESSEMER INVESTMENT	085	IBM	B	5	173.10	n/a	n/a	0.20	0.0
BADGE CAPITAL	030	IP	B	100	45.00	n/a	17-Jun	3.50	0.0
MOORE CAPITAL	257	IP	C	100	45.05	n/a	17-Jun	3.00	0.0
SAGE ASSET MGMT	025	IP	B	5,800	45.09	n/a	17-Jun	290.00	0.0
PECONIC PARTNERS	036	JCP	S	25,000	5.03	n/a	18-Jun	1,000.00	0.0
PRIMECAP MGMT	084	JNJ	S	5,000	86.44	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	JPM	B	195	55.05	n/a	17-Jun	7.80	0.0
SANDLER O'NEILL ASSET	031	JPM	S	2,400	55.06	n/a	17-Jun	120.00	0.0
BESSEMER INVESTMENT	085	KEY	B	120	12.40	n/a	n/a	4.80	0.0
BESSEMER INVESTMENT	085	KODK	S	4,144	28.02	n/a	n/a	165.76	0.0
FRED ALGER MGMT	300	KORS	B	11,000	90.54	n/a	30-May	396.00	0.0
BESSEMER INVESTMENT	085	KSS	B	200	49.46	n/a	18-Jun	8.00	0.0
BESSEMER INVESTMENT	085	K	B	105	56.91	n/a	n/a	4.20	0.0
ACK ASSET	028	LAD	B	50,400	56.43	n/a	n/a	1,512.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	085	LBTYA	SS	43,358	78.76	n/a	n/a	1,734.32	0.0
AMBER CAPITAL	085	LBTYK	SS	31,806	78.11	n/a	n/a	1,272.24	0.0
BESSEMER INVESTMENT	085	LB	B	5	52.08	n/a	n/a	0.20	0.0
BASSWOOD PARTNERS	267	LEA	B	905	72.62	n/a	19-Jun	36.20	0.0
TIDE POINT CAPITAL	028	LEA	B	30,000	72.68	n/a	19-Jun	900.00	0.0
BESSEMER INVESTMENT	085	LO	B	20	48.56	n/a	n/a	0.80	0.0
PCO CAPITAL MGMT.	084	LULU	B	15,000	45.91	n/a	19-Jun	450.00	0.0
FOUNDRY PARTNERS LLC	030	MA	S	1,225	73.43	n/a	13-Jun	49.00	0.0
TYVOR CAPITAL LLC	031	MCD	B	1,300	92.89	n/a	17-Jun	39.00	0.0
BESSEMER INVESTMENT	085	MO	B	295	34.28	n/a	n/a	11.80	0.0
BESSEMER INVESTMENT	085	MRK	B	270	53.00	n/a	n/a	10.80	0.0
LATEEF MGMT	033	MRK	S	500	52.85	n/a	n/a	55.00	0.0
BESSEMER INVESTMENT	085	MRO	B	10	32.04	n/a	n/a	0.40	0.0
CAPITAL GROWTH MGMT.	309	MTG	S	300,000	8.21	n/a	n/a	9,000.00	0.0
OSKIE CAPITAL MGMT	224	MWV	B	30,000	34.28	n/a	18-Jun	1,500.00	0.0
BESSEMER INVESTMENT	085	MYL	B	35	43.50	n/a	17-Jun	1.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	M	B	5	51.37	n/a	18-Jun	0.20	0.0
NEW VERNON/SF INVESTMENTS	031	NQS	B	79,800	13.29	n/a	n/a	2,394.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	ODP	S	100,000	4.90	n/a	n/a	3,000.00	0.0
BESSEMER INVESTMENT	085	ORCL	B	385	35.81	n/a	n/a	15.40	0.0
BESSEMER INVESTMENT	085	OXY	B	140	87.48	n/a	n/a	5.60	0.0
FRED ALGER MGMT	300	OZM	B	13,390	13.95	n/a	n/a	482.04	0.0
BESSEMER INVESTMENT	085	PFE	B	80	31.32	n/a	n/a	3.20	0.0
LATEEF MGMT	033	PFE	S	750	31.38	n/a	n/a	85.00	0.0
FIRST NY SEC/CHRIS	041	PKG	B	9,600	62.55	n/a	17-Jun	480.00	0.0
BALYASNY ASSET MGMT	044	PLCE	S	10,000	51.32	n/a	24-May	500.00	0.0
ROARING BLUE LION MGMT	031	PLCE	B	12,000	51.34	n/a	24-May	480.00	0.0
THE BOSTON COMPANY	309	PLCE	S	12,276	51.36	n/a	24-May	491.04	0.0
BESSEMER INVESTMENT	085	PNC	B	155	78.41	n/a	n/a	6.20	0.0
ROTHSCHILD ASSET	040	PSB	B	11,160	77.38	n/a	n/a	446.40	0.0
BALYASNY ASSET MGMT	044	PVH	B	10,000	116.69	n/a	14-Jun	500.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	5	72.45	n/a	n/a	0.20	0.0
MOORE CAPITAL	257	RL	B	3,250	154.75	n/a	24-May	97.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE BOSTON COMPANY	098	RL	B	25,940	154.84	n/a	24-May	1,037.60	0.0
BESSEMER INVESTMENT	085	RTN	B	110	90.28	n/a	11-Mar	4.40	0.0
TYVOR CAPITAL LLC	031	SCSS	B	20,000	15.84	n/a	n/a	600.00	0.0
ADAGE CAPITAL MGMT	310	SWY	B	25,827	30.07	n/a	n/a	774.81	0.0
BESSEMER INVESTMENT	085	SYMC	B	445	20.72	n/a	n/a	17.80	0.0
BESSEMER INVESTMENT	085	TAP	B	230	51.58	n/a	n/a	9.20	0.0
STANDARD PACIFIC CAPITAL	084	TDG	B	40,000	171.65	n/a	n/a	1,600.00	0.0
BESSEMER INVESTMENT	085	TGT	B	15	55.41	n/a	23-May	0.60	0.0
BESSEMER INVESTMENT	085	TMO	B	30	113.87	n/a	n/a	1.20	0.0
BESSEMER INVESTMENT	085	TROW	B	120	76.73	n/a	n/a	4.80	0.0
SUFFOLK CAPITAL MGMT	040	UNH	S	58,360	70.38	n/a	n/a	2,334.40	0.0
BESSEMER INVESTMENT	085	UNP	B	10	172.49	n/a	n/a	0.40	0.0
STANDARD PACIFIC CAPITAL	084	VMC	S	21,746	60.14	n/a	n/a	869.84	0.0
BESSEMER INVESTMENT	085	WAG	B	10	55.58	n/a	n/a	0.40	0.0
BESSEMER INVESTMENT	085	WMT	B	150	72.60	n/a	16-May	6.00	0.0
STANDARD PACIFIC CAPITAL	084	WWAV	B	63,600	23.34	n/a	n/a	2,544.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	WY	B	750	29.47	n/a	19-Jun	82.50	0.0
MOORE CAPITAL	257	XLI	SS	100,000	48.43	n/a	n/a	3,000.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	XOP	C	2,500	65.22		n/a	n/a	100.00 0.0
CORTEX CAPITAL	031	XRT	B	20,000	78.36	n/a	n/a	600.00	0.0
KENBELLE LLC	028	XRT	B	22,000	77.90	n/a	n/a	660.00	0.0
TYVOR CAPITAL LLC	031	YUM	B	35,591	71.89	n/a	17-Jun	1,067.73	0.0
TOTAL (Trade Date):								80,131.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/03	LOCUST WOOD CAPITAL MGMT (LOCOPNY)	044	MCK	B	5,290	173.98	n/a	n/a	211.60 0.0
AO,	02/03	LOCUST WOOD CAPITAL MGMT (LOCOMSLOCU)	044	MCK	B	5,290	173.98	n/a	n/a	211.60 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	80,131.90
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	80,131.90
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Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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