



Daily Compliance Activity Report

Trade Date: 02/05/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	60	514.26	n/a	n/a	2.40	4.0
BESSEMER INVESTMENT	085	ACE	B	199	93.33	n/a	n/a	7.96	4.0
SANDLER CAPITAL	028	ADT	B	100,000	29.76	n/a	n/a	5,000.00	5.0
BESSEMER INVESTMENT	085	AET	B	494	68.26	n/a	n/a	19.76	4.0
BRONSON POINT	036	AGCO	C	10,000	50.13	n/a	n/a	300.00	3.0
KLEINHEINZ CAP PART	031	AGCO	SS	100,000	50.29	n/a	n/a	5,000.00	5.0
BESSEMER INVESTMENT	085	AIG	B	345	47.47	n/a	n/a	13.80	4.0
BESSEMER INVESTMENT	085	AVGO	B	497	54.07	n/a	n/a	19.88	4.0
BESSEMER INVESTMENT	085	AWK	B	743	41.34	n/a	n/a	29.72	4.0
f KEVIN MICHAEL O'GORM	FID	BBW	S	1500	8.74	n/a	n/a	0.00	0.0
JET CAPITAL/CHRIS	041	BDN	S	40,000	13.98	n/a	n/a	1,200.00	3.0
PRIMECAP MGMT	084	BIIB	S	1,000	301.83	n/a	n/a	40.00	4.0
PRIMECAP MGMT	084	BRKB	S	5,000	108.83	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	BUD	B	43,457	94.21	n/a	28-Jan	1,738.28	4.0
APEX CAPITAL MGMT.	033	CAM	B	20,000	58.35	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINSIC/CHRIS C	041	CAT	SS	2,549	92.08	n/a	n/a	76.47	3.0
YG PARTNERS LLC	041	CHS	B	9,000	16.34	n/a	n/a	360.00	4.0
JET CAPITAL/CHRIS	041	CLI	B	100,000	20.75	n/a	n/a	3,000.00	3.0
DAVIDSON KEMPNER ADVISOR	281	CLX	C	12,500	84.96	n/a	n/a	625.00	5.0
BESSEMER INVESTMENT	085	CMI	B	77	126.28	n/a	17-Jan	3.08	4.0
CR INTRINSIC/CHRIS C	041	CMI	B	5,000	126.35	n/a	17-Jan	150.00	3.0
BESSEMER INVESTMENT	085	COP	B	252	63.57	n/a	n/a	10.08	4.0
f IAN L MILLER	FID	CPA	B	10	128.25	n/a	24-Jan	0.00	0.0
CR INTRINSIC/CHRIS C	041	CSX	SS	10,000	26.45	17-Jan	17-Jan	300.00	3.0
BESSEMER INVESTMENT	085	CTL	B	948	28.26	n/a	n/a	37.92	4.0
f KEVIN MICHAEL O'GORM	FID	CVO	S	4000	3.08	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	CVS	B	245	65.58	n/a	n/a	9.80	4.0
f YANAI A FRANK	FID	CYH	B	260	38.76	n/a	n/a	0.00	0.0
STELLIAM INV ADV	086	DAL	B	30,000	29.59	22-Jan	22-Jan	1,200.00	4.0
HERRING CREEK CAPITAL	040	DDS	C	27,517	85.81	23-Jan	23-Jan	825.51	3.0
CR INTRINSIC/CHRIS C	041	DD	SS	2,500	61.91	n/a	n/a	75.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	DG	B	461	56.25	n/a	9-Jan	18.44	4.0
STELLIAM INV ADV	086	DHI	B	10,000	22.70	n/a	n/a	400.00	4.0
CORNERSTONE	030	DKS	S	143,376	50.33	n/a	5-Feb	5,735.04	4.0
KENBELLE LLC	028	DKS	B	14,500	50.40	n/a	5-Feb	435.00	3.0
DSM CAPITAL PARTNERS	085	EBAY	S	4,465	53.37	n/a	n/a	223.25	5.0
CORTEX CAPITAL	031	ENT	S	10,000	14.92	n/a	n/a	300.00	3.0
HERRING CREEK CAPITAL	040	ETN	B	5,202	67.92	4-Feb	5-Feb	156.06	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	FCX	B	50,000	31.15	n/a	n/a	1,500.00	3.0
ASCEND PARTNERS	033	FL	B	43,600	37.56	n/a	5-Feb	1,308.00	3.0
KORTRIGHT CAPITAL PARTNERS	025	FL	B	35,000	37.89	n/a	5-Feb	1,050.00	3.0
CASTLEROCK	040	GMCR	B	2,500	81.29	n/a	4-Feb	100.00	4.0
CASTLEROCK	040	GMCR	S	2,500	108.15	n/a	4-Feb	100.00	4.0
CAERUS GLOBAL	041	GM	S	16,500	35.38	27-Jan	4-Feb	660.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	C	16,000	35.18	27-Jan	4-Feb	480.00	3.0
DAVIDSON KEMPNER ADVISOR	281	GWV	C	7,500	231.41	n/a	28-Jan	375.00	5.0
BMO / M&I FUNDS	047	HAS	S	29,937	48.87	n/a	n/a	1,197.48	4.0
SCOPUS FUND	041	HBI	B	25,000	68.79	30-Jan	30-Jan	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		HD	B	32,000	74.34	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	HELE	B	4,200	57.72	n/a	n/a	168.00	4.0
SLS CAPITAL LLC	006	HELE	B	9,756	56.61	n/a	n/a	390.24	4.0
LISTED ERR	099	HELE	B	450	57.02	n/a	n/a	0.00	0.0
NEW VERNON/SF INVESTMENTS	031	HXL	B	20,000	40.58	n/a	23-Jan	600.00	3.0
BESSEMER INVESTMENT	085	IBM	S	1,900	173.25	n/a	n/a	76.00	4.0
STELLIAM INV ADV	086	INTC	B	30,000	23.74	n/a	n/a	1,200.00	4.0
PRIMECAP MGMT	084	ITMN	B	3,000	11.37	n/a	n/a	120.00	4.0
BESSEMER INVESTMENT	085	ITW	B	167	77.73	n/a	n/a	6.68	4.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	229,425	8.58	n/a	30-Jan	6,882.75	3.0
CR INTRINSIC/CHRIS C	041	JCI	B	10,000	44.61	7-Jan	24-Jan	300.00	3.0
BESSEMER INVESTMENT	085	KEY	B	2,102	12.43	n/a	n/a	84.08	4.0
B BUCK CAPITAL MGMT		KORS 5 C95	C	438	3.83	n/a	n/a	non-brg	300.0
f EDWARD W WHEELER	FID	KPLUY	B	10000	15.25	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	LB	B	321	51.79	29-Jan[i]	4-Feb	12.84	4.0
BESSEMER INVESTMENT	085	LO	B	273	47.93	n/a	n/a	10.92	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	LPX	B	10,478	16.68	22-Jan	5-Feb	419.12	4.0
CHARTERBRIDGE CAPITAL	025	MAR	SS	21,000	47.63	n/a	n/a	630.00	3.0
BESSEMER INVESTMENT	085	MRO	B	323	32.06	n/a	n/a	12.92	4.0
CR INTRINSIC/CHRIS C	041	MSM	B	10,000	80.06	15-Jan	16-Jan	300.00	3.0
BESSEMER INVESTMENT	085	MS	B	323	29.10	9-Jan	21-Jan	12.92	4.0
OSKIE CAPITAL MGMT	224	MWV	B	30,000	33.93	n/a	30-Jan	1,500.00	5.0
BESSEMER INVESTMENT	085	MYL	B	754	43.44	n/a	27-Jan	30.16	4.0
BESSEMER INVESTMENT	085	M	B	522	51.42	23-Jan	24-Jan	20.88	4.0
SANDLER O'NEILL ASSET	031	NYCB	B	22,700	15.55	10-Jan	30-Jan	1,135.00	5.0
TIEDEMANN/TIG ADVISORS LLC	006	ODP	S	100,000	4.86	n/a	n/a	3,000.00	3.0
SANDLER O'NEILL ASSET	031	OFG	SS	25,000	14.89	n/a	n/a	1,250.00	5.0
FORTRESS INVST (US)	036	PCAR	B	23,017	55.83	n/a	n/a	920.68	4.0
BESSEMER INVESTMENT	085	PFE	B	999	30.69	n/a	n/a	39.96	4.0
B BUCK CAPITAL MGMT		PII	B	10,000	119.99	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	62.37	10-Jan	5-Feb	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVEST GROUP	287	PKI	SS	150,000	42.35	n/a	n/a	4,500.00	3.0
B BUCK CAPITAL MGMT		PLCE	C	10,000	50.70	n/a	8-Jan	non-brg	4.0
THE BOSTON COMPANY	309	PLCE	S	24,884	50.55	n/a	8-Jan	995.36	4.0
CR INTRINSIC/CHRIS C	041	PLL	SS	10,000	79.58	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	QCOM	B	401	72.41	n/a	n/a	16.04	4.0
MOORE CAPITAL	257	QQQ	S	100,000	84.46	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		RAD	B	100,000	5.28	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RAD	B	50,000	5.30	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RAD	B	50,000	5.30	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	RDEN	B	91,450	24.07	17-Jan	n/a	3,658.00	4.0
SMITH MGMT/ALDEN GLOBAL		029 RDEN	SS	82,400	24.27	17-Jan	n/a	2,472.00	3.0
WOODWAY FINANCIAL	031	RKT	B	57,430	100.11	3-Feb	5-Feb	1,722.90	3.0
THE BOSTON COMPANY	309	RL	B	13,660	153.91	n/a	5-Feb	546.40	4.0
APEX CAPITAL MGMT.	033	ROST	B	25,000	65.20	23-Jan	6-Jan	1,000.00	4.0
WOODWAY FINANCIAL	031	SBUX	B	82,995	69.92	n/a	30-Jan	2,489.85	3.0
CAPITAL GROWTH MGMT.	309	SHO	S	20,000	12.40	n/a	n/a	800.00	4.0
FIRST NEW YORK	086	SIRI	B	20,000	3.43	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	SIRI	B	302,968	3.40	n/a	n/a	4,543.70	1.6
f MICHAEL MARRANO	FID	SOCL	B	100	20.60	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SPN 6 C30	B	1,000	0.25	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SQBG	B	72,400	5.75	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		SQBG	B	9,000	5.75	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		SQBG	S	81,400	5.75	n/a	n/a	non-brg	0.0
ARDSLEY PARTNERS/RIDGECREST	306	SSO	B	5,000	92.18		n/a	n/a	200.00 4.0
BESSEMER INVESTMENT	085	TGT	B	3,160	55.02	n/a	10-Jan	126.40	4.0
BESSEMER INVESTMENT	085	TMO	B	737	112.80	n/a	n/a	29.48	4.0
ß BUCK CAPITAL MGMT		UCP	B	29,600	14.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		UCP	B	400	14.20	n/a	n/a	non-brg	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	UMPQ	B	11,500	16.83	n/a	n/a	345.00	3.0
BESSEMER INVESTMENT	085	UNP	B	338	172.56	24-Jan	24-Jan	13.52	4.0
PRIMECAP MGMT	084	UPS	S	6,000	94.00	n/a	31-Jan	240.00	4.0
ARDSLEY PARTNERS/RIDGECREST	306	UWM	B	5,000	75.58		n/a	n/a	200.00 4.0
BESSEMER INVESTMENT	085	VIAB	B	492	79.92	n/a	n/a	19.68	4.0
BESSEMER INVESTMENT	085	VLO	B	668	46.46	n/a	n/a	26.72	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	WAG	B	713	57.59	n/a	n/a	28.52	4.0
B BUCK CAPITAL MGMT		WGO	B	20,000	24.55	n/a	n/a	non-brg	3.0
BESSEMER INVESTMENT	085	ZMH	B	621	92.04	n/a	n/a	24.84	4.0
TOTAL (Trade Date) :								84,504.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/04	STANDARD PACIFIC CAPITAL	084	AAL	B	72,400	33.90	2014-01-29	2014-01-29	3620.00	0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL	084	AAL	B	72,400	33.90	2014-01-29	2014-01-29	2896.00	0.0
AO,CRT	02/03	SYMPHONY ASSET	033	ABG	SS	133	45.62	n/a	2014-02-05	3.99	0.0
AO,CXL	02/03	SYMPHONY ASSET	033	ABG	SS	133	45.62	n/a	2014-02-05	3.99	0.0
AO,CRT	02/04	STANDARD PACIFIC CAPITAL	084	CPRT	B	71,727	33.34	n/a	n/a	3586.35	0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL	084	CPRT	B	71,727	33.34	n/a	n/a	2869.08	0.0
AO,CRT	02/04	LISTED ERR	099	HELE	S	450	55.60	n/a	n/a	0.00	0.0
AO,CRT	02/04	SLS CAPITAL LLC	006	HELE	B	57,839	56.06	n/a	n/a	2313.56	0.0
AO,CXL	02/04	SLS CAPITAL LLC	006	HELE	B	57,389	56.06	n/a	n/a	2295.56	0.0
AO,CXL	02/04	FIRST NY SEC/CHRIS	041	PKG	B	9,600	62.55	2014-01-10	2014-02-05	480.00	0.0
AO,CRT	02/04	FIRST NY SEC/CHRIS	041	PKG	B	9,600	62.55	2014-01-10	2014-02-05	480.00	0.0
AO,CRT	02/04	STANDARD PACIFIC CAPITAL	084	TDG	B	40,000	171.65	n/a	n/a	2000.00	0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL	084	TDG	B	40,000	171.65	n/a	n/a	1600.00	0.0
AO,CRT	02/04	STANDARD PACIFIC CAPITAL	084	VMC	S	21,746	60.14	n/a	n/a	1087.30	0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL	084	VMC	S	21,746	60.14	n/a	n/a	869.84	0.0
AO,CRT	02/04	STANDARD PACIFIC CAPITAL	084	WWAV	B	63,600	23.34	n/a	n/a	3180.00	0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL	084	WWAV	B	63,600	23.34	n/a	n/a	2544.00	0.0
TOTAL (AO, CXL, CRT) :										2,712.73	

TOTAL (Trade Date):	84,504.49
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TOTAL (AO, CXL, CRT):	2,712.73
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TOTAL (RUN DATE) / NFS:	87,217.22
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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 5-Feb.
NONE

MRI Securities without Trade Activity on 5-Feb.
JCP, R, KORS, AXE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)