



## Daily Compliance Activity Report

Trade Date: 02/05/2014

**POTENTIAL ANALYST TRADE VIOLATIONS : 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	0.0
BESSEMER INVESTMENT	085	ACE	B	199	93.33	n/a	n/a	7.96	0.0
SANDLER CAPITAL	028	ADT	B	100,000	29.76	n/a	n/a	5,000.00	0.0
BESSEMER INVESTMENT	085	AET	B	494	68.26	n/a	n/a	19.76	0.0
BRONSON POINT	036	AGCO	C	10,000	50.13	n/a	n/a	300.00	0.0
KLEINHEINZ CAP PART	031	AGCO	SS	100,000	50.29	n/a	n/a	5,000.00	0.0
BESSEMER INVESTMENT	085	AIG	B	345	47.47	n/a	n/a	13.80	0.0
BESSEMER INVESTMENT	085	AVGO	B	497	54.07	n/a	n/a	19.88	0.0
BESSEMER INVESTMENT	085	AWK	B	743	41.34	n/a	n/a	29.72	0.0
JET CAPITAL/CHRIS	041	BDN	S	40,000	13.98	n/a	n/a	1,200.00	0.0
PRIMECAP MGMT	084	BIIB	S	1,000	301.83	n/a	n/a	40.00	0.0
PRIMECAP MGMT	084	BRKB	S	5,000	108.83	n/a	n/a	200.00	0.0
NEUBERGER BERMAN	036	BUD	B	43,457	94.21	n/a	17-Jun	1,738.28	0.0
APEX CAPITAL MGMT.	033	CAM	B	20,000	58.35	n/a	n/a	800.00	0.0
CR INTRINSIC/CHRIS C	041	CAT	SS	2,549	92.08	n/a	11-Jul	76.47	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
YG PARTNERS LLC	041	CHS	B	9,000	16.34	n/a	5-Feb	360.00	0.0
JET CAPITAL/CHRIS	041	CLI	B	100,000	20.75	n/a	n/a	3,000.00	0.0
DAVIDSON KEMPNER ADVISOR	281	CLX	C	12,500	84.96	n/a	17-Jun	625.00	0.0
BESSEMER INVESTMENT	085	CMI	B	77	126.28	n/a	n/a	3.08	0.0
CR INTRINSIC/CHRIS C	041	CMI	B	5,000	126.35	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	COP	B	252	63.57	n/a	n/a	10.08	0.0
CR INTRINSIC/CHRIS C	041	CSX	SS	10,000	26.45	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	CTL	B	948	28.26	n/a	n/a	37.92	0.0
BESSEMER INVESTMENT	085	CVS	B	245	65.58	n/a	n/a	9.80	0.0
STELLIAM INV ADV	086	DAL	B	30,000	29.59	n/a	18-Jun	1,200.00	0.0
HERRING CREEK CAPITAL	040	DDS	C	27,517	85.81	n/a	n/a	825.51	0.0
CR INTRINSIC/CHRIS C	041	DD	SS	2,500	61.91	n/a	n/a	75.00	0.0
BESSEMER INVESTMENT	085	DG	B	461	56.25	n/a	4-Jun	18.44	0.0
STELLIAM INV ADV	086	DHI	B	10,000	22.70	n/a	n/a	400.00	0.0
CORNERSTONE	030	DKS	S	143,376	50.33	n/a	19-Jun	5,735.04	0.0
KENBELLE LLC	028	DKS	B	14,500	50.40	n/a	19-Jun	435.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	085	EBAY	S	4,465	53.37	n/a	n/a	223.25	0.0
CORTEX CAPITAL	031	ENT	S	10,000	14.92	n/a	n/a	300.00	0.0
HERRING CREEK CAPITAL	040	ETN	B	5,202	67.92	n/a	12-Jun	156.06	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	FCX	B	50,000	31.15	n/a	n/a	1,500.00	0.0
ASCEND PARTNERS	033	FL	B	43,600	37.56	n/a	19-Jun	1,308.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	FL	B	35,000	37.89	n/a	19-Jun	1,050.00	0.0
CASTLEROCK	040	GMCR	B	2,500	81.29	n/a	n/a	100.00	0.0
CASTLEROCK	040	GMCR	S	2,500	108.15	n/a	n/a	100.00	0.0
CAERUS GLOBAL	041	GM	S	16,500	35.38	n/a	19-Jun	660.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	C	16,000	35.18	n/a	19-Jun	480.00	0.0
DAVIDSON KEMPNER ADVISOR	281	GWV	C	7,500	231.41	n/a	11-Jun	375.00	0.0
BMO / M&I FUNDS	047	HAS	S	29,937	48.87	n/a	n/a	1,197.48	0.0
SCOPUS FUND	041	HBI	B	25,000	68.79	n/a	3-May	1,000.00	0.0
KENNEDY CAPITAL	046	HELE	B	4,200	57.72	n/a	n/a	168.00	0.0
SLS CAPITAL LLC	006	HELE	B	9,756	56.61	n/a	n/a	390.24	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>HELE</b>	<b>B</b>	<b>450</b>	<b>57.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEW VERNON/SF INVESTMENTS	031	HXL	B	20,000	40.58	n/a	22-Apr	600.00	0.0
BESSEMER INVESTMENT	085	IBM	S	1,900	173.25	n/a	n/a	76.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STELLIAM INV ADV	086	INTC	B	30,000	23.74	n/a	n/a	1,200.00	0.0
PRIMECAP MGMT	084	ITMN	B	3,000	11.37	n/a	n/a	120.00	0.0
BESSEMER INVESTMENT	085	ITW	B	167	77.73	n/a	n/a	6.68	0.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	229,425	8.58	n/a	18-Jun	6,882.75	0.0
CR INTRINSIC/CHRIS C	041	JCI	B	10,000	44.61	n/a	10-Jun	300.00	0.0
BESSEMER INVESTMENT	085	KEY	B	2,102	12.43	n/a	n/a	84.08	0.0
BESSEMER INVESTMENT	085	LB	B	321	51.79	n/a	n/a	12.84	0.0
BESSEMER INVESTMENT	085	LO	B	273	47.93	n/a	n/a	10.92	0.0
SCOPUS FUND	041	LPX	B	10,478	16.68	n/a	19-Jun	419.12	0.0
CHARTERBRIDGE CAPITAL	025	MAR	SS	21,000	47.63	n/a	13-Jun	630.00	0.0
BESSEMER INVESTMENT	085	MRO	B	323	32.06	n/a	n/a	12.92	0.0
CR INTRINSIC/CHRIS C	041	MSM	B	10,000	80.06	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	MS	B	323	29.10	n/a	6-Jun	12.92	0.0
OSKIE CAPITAL MGMT	224	MWV	B	30,000	33.93	n/a	18-Jun	1,500.00	0.0
BESSEMER INVESTMENT	085	MYL	B	754	43.44	n/a	17-Jun	30.16	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BESSEMER INVESTMENT	085	M	B	522	51.42	n/a	18-Jun	20.88	0.0	
SANDLER O'NEILL ASSET	031	NYCB	B	22,700	15.55	n/a	24-Apr	1,135.00	0.0	
TIEDEMANN/TIG ADVISORS LLC006		ODP	S	100,000	4.86	n/a	n/a	3,000.00	0.0	
SANDLER O'NEILL ASSET	031	OFG	SS	25,000	14.89	n/a	n/a	1,250.00	0.0	
FORTRESS INVST (US)	036	PCAR	B	23,017	55.83	n/a	n/a	920.68	0.0	
BESSEMER INVESTMENT	085	PFE	B	999	30.69	n/a	n/a	39.96	0.0	
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	62.37	n/a	17-Jun	1,000.00	0.0	
SENATOR INVEST GROUP	287	PKI	SS	150,000	42.35	n/a	n/a	4,500.00	0.0	
THE BOSTON COMPANY	309	PLCE	S	24,884	50.55	n/a	24-May	995.36	0.0	
CR INTRINSIC/CHRIS C	041	PLL	SS	10,000	79.58	n/a	n/a	300.00	0.0	
BESSEMER INVESTMENT	085	QCOM	B	401	72.41	n/a	n/a	16.04	0.0	
MOORE CAPITAL	257	QQQ	S	100,000	84.46	n/a	n/a	3,000.00	0.0	
NEUBERGER BERMAN	036	RDEN	B	91,450	24.07	n/a	17-Jun	3,658.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	RDEN	SS	82,400	24.27	n/a	17-Jun	2,472.00	0.0
WOODWAY FINANCIAL	031	RKT	B	57,430	100.11	n/a	17-Jun	1,722.90	0.0	
THE BOSTON COMPANY	309	RL	B	13,660	153.91	n/a	24-May	546.40	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	033	ROST	B	25,000	65.20	n/a	18-Jun	1,000.00	0.0
WOODWAY FINANCIAL	031	SBUX	B	82,995	69.92	n/a	17-Jun	2,489.85	0.0
CAPITAL GROWTH MGMT.	309	SHO	S	20,000	12.40	n/a	n/a	800.00	0.0
FIRST NEW YORK	086	SIRI	B	20,000	3.43	n/a	n/a	1,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	SIRI	B	302,968	3.40	n/a	n/a	4,543.70	0.0
ARDSLEY PARTNERS/RIDGECREST	306	SSO	B	5,000	92.18		n/a	n/a	200.00 0.0
BESSEMER INVESTMENT	085	TGT	B	3,160	55.02	n/a	23-May	126.40	0.0
BESSEMER INVESTMENT	085	TMO	B	737	112.80	n/a	n/a	29.48	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	UMPQ	B	11,500	16.83	n/a	n/a	345.00	0.0
BESSEMER INVESTMENT	085	UNP	B	338	172.56	n/a	n/a	13.52	0.0
PRIMECAP MGMT	084	UPS	S	6,000	94.00	n/a	n/a	240.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	UWM	B	5,000	75.58		n/a	n/a	200.00 0.0
BESSEMER INVESTMENT	085	VIAB	B	492	79.92	n/a	n/a	19.68	0.0
BESSEMER INVESTMENT	085	VLO	B	668	46.46	n/a	n/a	26.72	0.0
BESSEMER INVESTMENT	085	WAG	B	713	57.59	n/a	n/a	28.52	0.0
BESSEMER INVESTMENT	085	ZMH	B	621	92.04	n/a	n/a	24.84	0.0

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**TOTAL (Trade Date):**

**84,504.49**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/04	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	AAL	B	72,400	33.90	n/a	n/a	2896.00 0.0
AO,	02/04	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	AAL	B	72,400	33.90	n/a	n/a	3620.00 0.0
AO,	02/03	SYMPHONY ASSET (SYMPMLCO)	033	ABG	SS	133	45.62	n/a	19-Jun	3.99 0.0
AO,CXL	02/03	SYMPHONY ASSET (SYMPDEOTR)	033	ABG	SS	133	45.62	n/a	19-Jun	3.99 0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	CPRT	B	71,727	33.34	n/a	n/a	2869.08 0.0
AO,	02/04	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	CPRT	B	71,727	33.34	n/a	n/a	3586.35 0.0
AO,CRT	02/04	LISTED ERR (LISTED ERR)	099	HELE	S	450	55.60	n/a	n/a	0.00 0.0
AO,CXL	02/04	SLS CAPITAL LLC (SLSCJPM)	006	HELE	B	16,201	56.06	n/a	n/a	648.04 0.0
AO,	02/04	SLS CAPITAL LLC (SLSCJPM)	006	HELE	B	16,201	56.06	n/a	n/a	648.04 0.0
AO,CXL	02/04	SLS CAPITAL LLC (SLSCJEFF)	006	HELE	B	1,496	56.06	n/a	n/a	59.84 0.0
AO,	02/04	SLS CAPITAL LLC (SLSCJEFF)	006	HELE	B	1,946	56.06	n/a	n/a	77.84 0.0
AO,CXL	02/04	SLS CAPITAL LLC (SLSCBARC)	006	HELE	B	39,692	56.06	n/a	n/a	1587.68 0.0
AO,	02/04	SLS CAPITAL LLC (SLSCBARC)	006	HELE	B	39,692	56.06	n/a	n/a	1587.68 0.0
AO,CRT	02/04	FIRST NY SEC/CHRIS (FNYCGS)	041	PKG	B	9,600	62.55	n/a	17-Jun	480.00 0.0
AO,CXL	02/04	FIRST NY SEC/CHRIS (FNYCHRIS)	041	PKG	B	9,600	62.55	n/a	17-Jun	480.00 0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL (SPACUBS)	084	TDG	B	40,000	171.65	n/a	n/a	1600.00 0.0
AO,	02/04	STANDARD PACIFIC CAPITAL (SPACUBS)	084	TDG	B	40,000	171.65	n/a	n/a	2000.00 0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL (SPACUBS)	084	VMC	S	21,746	60.14	n/a	n/a	869.84 0.0
AO,	02/04	STANDARD PACIFIC CAPITAL (SPACUBS)	084	VMC	S	21,746	60.14	n/a	n/a	1087.30 0.0
AO,CXL	02/04	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	WWAV	B	63,600	23.34	n/a	n/a	2544.00 0.0
AO,	02/04	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	WWAV	B	63,600	23.34	n/a	n/a	3180.00 0.0
TOTAL (AO, CXL, CRT) :										2,712.73



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TOTAL (Trade Date):	84,504.49
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>87,217.22</b>
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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