



Daily Compliance Activity Report

Trade Date: 01/15/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f IAN L MILLER	FID	ABX	S	75	18.07	n/a	n/a	0.00	0.0
LOMAS CAPITAL	040	ACI	B	75,000	4.32	n/a	n/a	2,250.00	3.0
BESSEMER INVESTMENT	085	AEE	S	9,580	36.16	n/a	n/a	383.20	4.0
f JOHN M HICKEY	FID	AEO	S	1000	15.07	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	AEP	S	3,390	46.44	n/a	n/a	135.60	4.0
KENNEDY CAPITAL	046	ALGT	B	3,200	102.94	n/a	13-Jan	128.00	4.0
IMPALA ASSET MMT	040	ALK	S	118,838	78.50	13-Jan	13-Jan	5,941.90	5.0
PRIMECAP MGMT	084	AMGN	S	7,000	118.24	n/a	n/a	280.00	4.0
f JOHN M HICKEY	FID	AMRN	B	2500	2.43	n/a	n/a	0.00	0.0
DC CAPITAL	044	ATI	S	42,251	35.96	n/a	8-Jan	1,690.04	4.0
FRED ALGER MGMT	300	AVGO	B	98,417	56.61	n/a	n/a	3,543.01	4.0
PLATTE RIVER CAPITAL	046	AVP	B	12,000	16.92	n/a	n/a	480.00	4.0
ROSEDALE CAPITAL	046	AXL	S	10,000	20.78	n/a	13-Jan	400.00	4.0
BESSEMER INVESTMENT	085	BAC	S	2,000	17.19	9-Jan	15-Jan	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	BA	S	600	140.75	n/a	14-Jan	24.00	4.0
B BUCK CAPITAL MGMT		BBBY	C	25,320	67.23	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	BIG	SS	10,000	30.52	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	BMJ	S	19,680	55.34	n/a	n/a	787.20	4.0
CR INTRINSIC/CHRIS C	041	BWA	SS	15,000	55.88	17-Dec	15-Jan	450.00	3.0
BESSEMER INVESTMENT	085	CAT	S	1,000	92.20	n/a	n/a	40.00	4.0
CR INTRINSIC/CHRIS C	041	CAT	B	5,000	92.51	n/a	n/a	150.00	3.0
ROTHSCHILD ASSET	040	CCIX	S	18,837	26.23	n/a	n/a	753.48	4.0
LIONEYE CAPITAL	040	CHMT	S	20,000	26.90	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	CMCSA	B	10,500	54.28	19-Dec[i]	13-Jan	420.00	4.0
BESSEMER INVESTMENT	085	CNP	S	24,340	23.26	n/a	n/a	973.60	4.0
BESSEMER INVESTMENT	085	CPB	S	4,160	42.39	n/a	n/a	166.40	4.0
NWQ INVESTMENT MGMT CO	084	CRZO	B	6,200	43.49	n/a	n/a	217.00	4.0
CORTEX CAPITAL	031	CXW	SS	20,000	34.03	n/a	n/a	600.00	3.0
ZWEIG FUNDS	006	DAL	B	10,000	31.51	n/a	6-Jan	500.00	5.0
KLEINHEINZ CAP PART	031	DDS	SS	4,122	92.25	n/a	6-Jan	206.10	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	DD	S	1,300	63.55	n/a	n/a	52.00	4.0
BESSEMER INVESTMENT	085	DE	S	1,200	89.89	n/a	n/a	48.00	4.0
DELTEC ASSET MGMT.	040	DIS	S	5,000	75.03	n/a	n/a	250.00	5.0
NWQ INVESTMENT MGMT CO	084	DNR	B	6,300	16.49	n/a	n/a	220.50	4.0
BESSEMER INVESTMENT	085	DOW	S	1,980	42.89	n/a	n/a	79.20	4.0
BESSEMER INVESTMENT	085	DUK	S	21,049	67.44	n/a	n/a	841.96	4.0
f EDWARD W WHEELER	FID	DXPE	S	1000	106.00	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	D	S	700	66.61	n/a	n/a	28.00	4.0
BESSEMER INVESTMENT	085	ED	S	9,700	53.81	n/a	n/a	388.00	4.0
BTIG/LIGHT STREET CAPITAL	044	EJ	S	25,000	14.13	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	EMR	S	2,560	69.79	n/a	n/a	102.40	4.0
BESSEMER INVESTMENT	085	ENR	S	200	107.23	n/a	2-Jan	8.00	4.0
NWQ INVESTMENT MGMT CO	084	ENS	B	1,500	71.12	n/a	n/a	52.50	4.0
GAMCO ASSET MNGMT	025	FCX	B	27,000	36.52	n/a	n/a	1,080.00	4.0
BADGE CAPITAL	030	FL	S	1,500	40.39	n/a	15-Jan	52.50	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FSI GROUP, LLC	047	FOR	S	75,000	20.94	19-Dec	19-Dec	3,000.00	4.0
NWQ INVESTMENT MGMT CO	084	FOR	B	12,900	20.98	19-Dec	19-Dec	451.50	4.0
BESSEMER INVESTMENT	085	GE	S	800	27.24	n/a	n/a	32.00	4.0
NWQ INVESTMENT MGMT CO	084	GFF	B	20,600	13.87	n/a	n/a	721.00	4.0
J. GOLDMAN	028	GIII	S	20,000	71.97	n/a	14-Jan	800.00	4.0
AMICI CAPITAL N/C	044	GM	S	130,000	39.61	n/a	15-Jan	5,200.00	4.0
DELTEC ASSET MGMT.	040	GM	B	30,000	39.35	n/a	15-Jan	1,500.00	5.0
GAMCO ASSET MNGMT	025	GM	B	62,000	39.32	n/a	15-Jan	2,480.00	4.0
YG PARTNERS LLC	041	GM	B	5,000	39.35	n/a	15-Jan	200.00	4.0
BESSEMER INVESTMENT	085	GXP	S	4,880	24.31	n/a	n/a	195.20	4.0
NWQ INVESTMENT MGMT CO	084	HAR	B	3,500	89.02	n/a	n/a	122.50	4.0
BESSEMER INVESTMENT	085	HUBB	S	1,022	117.14	n/a	n/a	40.88	4.0
f IAN L MILLER	FID	HYG	S	15	93.73	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	IBM	S	2,330	187.81	n/a	n/a	93.20	4.0
BESSEMER INVESTMENT	085	IP	S	1,980	48.60	n/a	15-Jan	79.20	4.0
BMO / M&I FUNDS	047	IP	B	9,477	48.57	n/a	15-Jan	379.08	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	20,000	48.60	n/a	15-Jan	1,000.00	5.0
GAMCO ASSET MNGMT	025	IP	S	25,000	48.63	n/a	15-Jan	1,000.00	4.0
BESSEMER INVESTMENT	085	ITW	S	8,630	82.44	n/a	n/a	345.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	JNJ	S	2,000	95.04	n/a	n/a	80.00	4.0
f ALANA J A MADIGAN-SI	FID	JOY	S	100	56.64	n/a	n/a	0.00	0.0
NUDGE CAPITAL FUND LP	006	JPM	S	5,000	58.86	9-Jan	15-Jan	150.00	3.0
BESSEMER INVESTMENT	085	KMP	S	360	80.61	n/a	n/a	14.40	4.0
GAMCO ASSET MNGMT	025	KO	S	52,000	39.81	n/a	2-Jan	2,080.00	4.0
BESSEMER INVESTMENT	085	KRFT	S	5,222	54.46	n/a	n/a	208.88	4.0
PRIMECAP MGMT	084	LLY	S	3,300	53.25	n/a	n/a	132.00	4.0
ZWEIG FUNDS	006	LUV	B	10,000	21.14	n/a	9-Jan	500.00	5.0
MATRIX ASSET ADV.	091	MCD	B	600	95.34	n/a	n/a	24.00	4.0
BESSEMER INVESTMENT	085	MCO	S	400	76.11	n/a	n/a	16.00	4.0
HERRING CREEK CAPITAL	040	MCO	C	10,266	76.12	n/a	n/a	307.98	3.0
f ANTHONY SUTERA	FID	MEET	S	500	2.37	n/a	n/a	0.00	0.0
LOMAS CAPITAL	040	MLM	B	23,600	108.73	n/a	n/a	708.00	3.0
BESSEMER INVESTMENT	085	MMM	S	920	138.29	n/a	n/a	36.80	4.0
GAMCO ASSET MNGMT	025	MNK	S	20,425	57.14	n/a	15-Jan	817.00	4.0
BESSEMER INVESTMENT	085	MON	S	353	113.29	n/a	n/a	14.12	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MRK	S	10,409	52.59	n/a	n/a	416.36	4.0
BESSEMER INVESTMENT	085	MSFT	S	1,980	36.47	n/a	n/a	79.20	4.0
f MARK ANTHONY GRONET	FID	MUA	B	2000	11.97	n/a	n/a	0.00	0.0
GAMCO ASSET MNGMT	025	MUSA	S	5,700	41.85	n/a	n/a	228.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	3,700	36.94	n/a	15-Jan	185.00	5.0
BESSEMER INVESTMENT	085	NEE	S	5,346	86.75	n/a	n/a	213.84	4.0
f EDWARD W WHEELER	FID	NES	S	15000	14.43	n/a	n/a	0.00	0.0
f PATRICK O'GRADY	FID	NES	B	60	14.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NKE	B	20,000	75.62	16-Dec	15-Jan	non-brg	4.0
HOTCHKIS & WILEY	084	NRG	B	100,000	28.10	n/a	n/a	4,000.00	4.0
PERRY PARTNERS	085	NRG	S	220,000	28.08	n/a	n/a	11,000.00	5.0
BESSEMER INVESTMENT	085	NUE	S	4,610	51.45	n/a	n/a	184.40	4.0
BESSEMER INVESTMENT	085	OGE	S	15,060	33.70	n/a	n/a	602.40	4.0
GAMCO ASSET MNGMT	025	OXY	S	19,100	91.98	n/a	n/a	764.00	4.0
MATRIX ASSET ADV.	091	OXY	B	400	91.95	n/a	n/a	16.00	4.0
f IAN L MILLER	FID	PCL	S	25	44.30	n/a	15-Jan	0.00	0.0
BESSEMER INVESTMENT	085	PFE	S	10,530	31.21	n/a	n/a	421.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PG	S	3,200	80.81	n/a	14-Jan	128.00	4.0
BESSEMER INVESTMENT	085	POM	S	540	18.66	n/a	n/a	21.60	4.0
FIRST NEW YORK	086	RAD	B	20,000	5.52	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	RAI	S	340	48.13	n/a	n/a	13.60	4.0
CAMBIAR CAP	046	RDEN	B	67,539	34.65	n/a	n/a	2,701.56	4.0
BROADARCH CAP/OLD NEWC	006	RF	B	5,000	10.66	n/a	n/a	200.00	4.0
NWQ INVESTMENT MGMT CO	084	RGA	B	4,800	76.87	n/a	n/a	168.00	4.0
B BUCK CAPITAL MGMT		RL	S	5,000	168.79	n/a	14-Jan	non-brg	4.0
f GAVIN N CADWALLADER	FID	RL	B	15	169.59	n/a	14-Jan	0.00	0.0
BESSEMER INVESTMENT	085	RPM	S	1,000	43.16	n/a	n/a	40.00	4.0
f EDWARD W WHEELER	FID	RUSHA	B	57	0.15	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	RYN	B	500	41.29	17-Dec	18-Dec	0.00	0.0
f MARK ANTHONY GRONET	FID	RY	B	100	64.95	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	RY	S	100	64.93	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	SDY	B	15	72.37	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	SGEN	S	2,100	43.46	n/a	n/a	84.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	SNA	S	600	107.79	n/a	n/a	24.00	4.0
BESSEMER INVESTMENT	085	SO	S	4,930	41.09	n/a	n/a	197.20	4.0
BESSEMER INVESTMENT	085	SRE	S	1,330	91.98	n/a	n/a	53.20	4.0
BRIGADE CAPITAL MGMT	029	STAR	B	25,000	15.25	n/a	n/a	750.00	3.0
Õ Jack Chernus		STT	B	200	73.65	9-Jan	9-Jan	0.00	0.0
Õ Jack Chernus		STT	B	200	73.65	9-Jan	9-Jan	0.00	0.0
Õ Jack Chernus		STT	B	200	73.65	9-Jan	9-Jan	0.00	0.0
Õ Jack Chernus		STT	B	200	73.65	9-Jan	9-Jan	0.00	0.0
Õ Jack Chernus		STT	B	200	73.65	9-Jan	9-Jan	0.00	0.0
Õ Jack Chernus		STT	B	600	73.70	9-Jan	9-Jan	0.00	0.0
BESSEMER INVESTMENT	085	SWX	S	1,980	54.10	n/a	n/a	79.20	4.0
BESSEMER INVESTMENT	085	TEG	S	5,600	53.68	n/a	n/a	224.00	4.0
SCOPUS FUND	041	TEN	B	10,000	55.74	n/a	n/a	400.00	4.0
CR INTRINSIC/CHRIS C	041	TKR	B	25,000	56.28	n/a	n/a	750.00	3.0
HALCYON LLC	041	TK	B	25,000	53.38	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	T	S	4,864	33.92	n/a	n/a	194.56	4.0
BESSEMER INVESTMENT	085	UIL	S	1,380	37.86	n/a	n/a	55.20	4.0
8 BUCK CAPITAL MGMT		ULTA	B	100	83.99	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINSIC/CHRIS C	041	URI	B	5,000	81.36	n/a	n/a	150.00	3.0
DELTEC ASSET MGMT.	040	URI	S	2,221	79.50	n/a	n/a	111.05	5.0
FRED ALGER MGMT	300	URI	B	31,167	79.81	n/a	n/a	1,122.01	4.0
HOPLITE MGMT	025	VALE	SS	50,000	13.75	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	VMC	S	1,030	59.26	n/a	n/a	41.20	4.0
ß BUCK CAPITAL MGMT		VNCE	B	5,000	25.76	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		VNCE	B	50,000	25.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		VNCE	B	8,986	25.78	n/a	n/a	non-brg	3.0
f IAN L MILLER	FID	VNQ	B	15	66.70	n/a	n/a	0.00	0.0
f ALANA J A MADIGAN-SI	FID	VNTV	S	200	33.51	n/a	13-Jan	0.00	0.0
BESSEMER INVESTMENT	085	VVC	S	5,180	35.49	n/a	n/a	207.20	4.0
BESSEMER INVESTMENT	085	VZ	S	11,096	47.89	n/a	n/a	443.84	4.0
ROYCE TRADING	031	WD	B	12,000	15.49	n/a	n/a	600.00	5.0
BESSEMER INVESTMENT	085	WGL	S	1,100	38.24	n/a	n/a	44.00	4.0
ROYCE TRADING	031	WLT	B	10,000	14.10	n/a	n/a	500.00	5.0
TOTAL (Trade Date):								79,545.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/14	DELTEC ASSET MGMT.	040	BONT	B	22,000	12.40-2014-01-13-2014-01-14			880.00 0.0
AO,CXL	01/14	DELTEC ASSET MGMT.	040	BONT	B	22,000	12.40-2014-01-13-2014-01-14			1100.00 0.0
AO,	01/14	IMPALA ASSET MMT	040	POT	B	200,000	33.71	n/a	n/a	8000.00 0.0
AO,	01/14	IMPALA ASSET MMT	040	VFC	B	125,000	60.63	n/a-2014-01-14		6250.00 0.0

TOTAL (AO, CXL, CRT) :	14,030.00
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TOTAL (Trade Date) :	79,545.35
TOTAL (AO, CXL, CRT) :	14,030.00

TOTAL (RUN DATE) / NFS:	93,575.35
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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 15-Jan.
NONE

MRI Securities without Trade Activity on 15-Jan.
COL, MSM

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)