



Daily Compliance Activity Report

Trade Date: 01/27/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	95	553.77	n/a	n/a	3.80	0.0
BESSEMER INVESTMENT	085	ACE	B	105	93.40	n/a	n/a	4.20	0.0
BESSEMER INVESTMENT	085	AET	B	1,245	68.78	n/a	n/a	49.80	0.0
BESSEMER INVESTMENT	085	AIG	B	575	48.19	n/a	n/a	23.00	0.0
Õ May Tang		AMZN	B	65386.7199		n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	AN	S	50,000	46.54	n/a	19-Jun	2,500.00	0.0
HALCYON LLC	041	ARCP	B	50,000	13.97	n/a	n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	1,105	54.99	n/a	n/a	44.20	0.0
BESSEMER INVESTMENT	085	AWK	B	1,620	41.96	n/a	n/a	64.80	0.0
COOPER CREEK PART	028	BONT	B	15,000	10.81	n/a	18-Jun	600.00	0.0
SCOPUS FUND	041	BWA	S	52,102	53.85	n/a	19-Jun	2,084.08	0.0
BESSEMER INVESTMENT	085	CMI	B	170	127.87	n/a	n/a	6.80	0.0
BESSEMER INVESTMENT	085	COP	B	500	66.24	n/a	n/a	20.00	0.0
DELTEC ASSET MGMT.	040	CPA	B	5,000	130.55	n/a	30-May	250.00	0.0

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BESSEMER INVESTMENT	085	CTL	B	3,390	29.20	n/a	n/a	135.60	0.0	
BESSEMER INVESTMENT	085	CVS	B	145	67.82	n/a	n/a	5.80	0.0	
ZWEIG FUNDS	006	DAL	B	10,000	30.43	n/a	18-Jun	500.00	0.0	
BRONSON POINT	036	DD	B	25,000	60.64	n/a	n/a	750.00	0.0	
BESSEMER INVESTMENT	085	DG	B	990	57.56	n/a	4-Jun	39.60	0.0	
BRONSON POINT	036	EMN	SS	25,000	74.77	n/a	n/a	750.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL040		EMN	S	40,000	73.55	n/a	n/a	1,200.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL040		ETN	S	20,000	72.37	n/a	12-Jun	600.00	0.0	
BALYASNY ASSET MGMT	044	FINL	B	10,000	25.39	n/a	19-Jun	500.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	FINL	SS	79,400	25.21	n/a	19-Jun	2,382.00	0.0
SMITH MGMT/ALDEN GLOBAL		029	FL	SS	52,500	38.61	n/a	19-Jun	1,575.00	0.0
SCOPUS FUND	041	FOE	B	15,000	12.69	n/a	n/a	600.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL040		GE	B	150,000	25.04	n/a	n/a	4,500.00	0.0	
Õ May Tang		GLD	S	62121.6000		n/a	n/a	0.00	0.0	
CHARTERBRIDGE CAPITAL	025	GMCR	S	70,000	77.73	n/a	n/a	2,100.00	0.0	
SENATOR INVEST GROUP	287	GM	S	250,000	36.49	n/a	19-Jun	7,500.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ May Tang		GOOG	B	501095.5000		n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	GT	B	25,000	23.09	n/a	n/a	750.00	0.0
PROSPECTOR PARTNERS	036	HSP	S	10,000	43.94	n/a	17-Jun	400.00	0.0
BESSEMER INVESTMENT	085	IBM	B	1,295	179.02	n/a	n/a	51.80	0.0
EPOCH INV MGMT	030	IGT	S	152,654	14.71	n/a	13-Jun	4,579.62	0.0
S.A.C. CAPITAL	044	IGT	B	25,000	14.86	n/a	13-Jun	750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	B	50,000	45.80	n/a	17-Jun	1,500.00	0.0
BESSEMER INVESTMENT	085	ITW	B	105	79.32	n/a	n/a	4.20	0.0
MAPLE ROW	006	JBLU	B	10,000	8.68	n/a	18-Jun	300.00	0.0
SCOPUS FUND	041	KAR	S	4,875	27.52	n/a	n/a	195.00	0.0
BESSEMER INVESTMENT	085	KEY	B	5,135	12.92	n/a	n/a	205.40	0.0
Õ May Tang		KORS	S	200	80.6200	n/a	30-May	0.00	0.0
SAGE ASSET MGMT	025	KSU	S	5,260	99.11	n/a	n/a	263.00	0.0
BESSEMER INVESTMENT	085	LB	B	600	53.07	n/a	n/a	24.00	0.0
SCOPUS FUND	041	LEA	S	7,608	75.96	n/a	19-Jun	304.32	0.0
TIDE POINT CAPITAL	028	LEA	B	20,000	76.38	n/a	19-Jun	600.00	0.0

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INTERVAL PARTNERS	033	LEG	B	10,000	29.49	n/a	n/a	300.00	0.0
SCOPUS FUND	041	LEN	S	3,628	37.01	n/a	n/a	145.12	0.0
SCOPUS FUND	041	LII	S	2,211	85.74	n/a	n/a	88.44	0.0
CAPITAL RESEARCH GROUP		296	LMT	B	20,363	145.55	n/a	11-Jun	712.71 0.0
BESSEMER INVESTMENT	085	LO	B	570	49.44	n/a	n/a	22.80	0.0
JSRG CAPITAL PARTNERS LP	084	LPX	SS	10,000	17.55	n/a	19-Jun	300.00	0.0
LOMAS CAPITAL	040	LPX	B	330,000	17.71	n/a	19-Jun	9,900.00	0.0
MASTERS CAPITAL MANAGE	025	LPX	S	100,000	17.75	n/a	19-Jun	4,000.00	0.0
CHARTERBRIDGE CAPITAL	025	LULU	C	15,000	46.72	n/a	19-Jun	450.00	0.0
ZWEIG FUNDS	006	LUV	B	20,000	20.57	n/a	18-Jun	1,000.00	0.0
Õ May Tang		LVS	B	148	74.5700	n/a	13-Jun	0.00	0.0
SCOPUS FUND	041	MGA	S	4,299	85.93	n/a	n/a	171.96	0.0
TIDE POINT CAPITAL	028	MGA	B	7,000	86.45	n/a	n/a	210.00	0.0
SCOPUS FUND	041	MIC	S	10,218	52.42	n/a	n/a	408.72	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	MKTG	S	59,200	26.98		n/a	n/a	2,368.00 0.0
BESSEMER INVESTMENT	085	MRO	B	885	32.96	n/a	n/a	35.40	0.0
BESSEMER INVESTMENT	085	MS	B	810	30.49	n/a	6-Jun	32.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	MTOR	S	31,303	9.55	n/a	n/a	1,252.12	0.0
SCOPUS FUND	041	MTZ	S	10,946	35.10	n/a	n/a	437.84	0.0
ARDSLEY PARTNERS/RIDGECREST	306	MWV	B	25,000	35.92		n/a 18-Jun	1,250.00	0.0
CAPITAL RESEARCH GROUP	296	MWV	B	165,136	35.88		n/a 18-Jun	5,779.76	0.0
CRAMER ROSENTHAL	070	MWV	S	76,539	35.91	n/a	18-Jun	3,061.56	0.0
BESSEMER INVESTMENT	085	MYL	B	1,660	44.36	n/a	17-Jun	66.40	0.0
BESSEMER INVESTMENT	085	M	B	955	54.61	n/a	18-Jun	38.20	0.0
CORTEX CAPITAL	031	M	S	10,000	53.99	n/a	18-Jun	300.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	NCR	S	66,000	34.60	n/a	n/a	1,980.00	0.0
SCOPUS FUND	041	NCR	S	13,534	35.15	n/a	n/a	541.36	0.0
SCOPUS FUND	041	NOC	S	2,438	112.66	n/a	11-Jun	97.52	0.0
DC CAPITAL	044	NPO	B	13,200	72.66	n/a	n/a	528.00	0.0
SCOPUS FUND	041	NPO	S	10,142	73.02	n/a	n/a	405.68	0.0
PRIMECAP MGMT	084	NVS	S	167	78.89	n/a	n/a	6.68	0.0
BESSEMER INVESTMENT	085	PFE	B	1,015	30.09	n/a	n/a	40.60	0.0
PROSPECTOR PARTNERS	036	PFE	S	25,000	29.83	n/a	n/a	1,000.00	0.0
PRIMECAP MGMT	084	PSMI	B	3,500	6.98	n/a	n/a	105.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	675	74.17	n/a	n/a	27.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	ROP	SS	25,000	135.40	n/a	n/a	750.00	0.0
CHARTERBRIDGE CAPITAL	025	SALE	SS	25,000	33.57	n/a	n/a	750.00	0.0
TYVOR CAPITAL LLC	031	SCSS	SS	5,000	16.76	n/a	n/a	150.00	0.0
1798 CAP/LOMBARD ASSET	040	SUNE	S	91,000	13.91	n/a	n/a	4,550.00	0.0
ADAGE CAPITAL MGMT	310	SWY	B	50,000	31.12	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	SWY	B	575	31.19	n/a	n/a	96.50	0.0
TYVOR CAPITAL LLC	031	SWY	B	5,000	31.19	n/a	n/a	150.00	0.0
PROSPECTOR PARTNERS	036	SYI	S	10,000	35.56	n/a	n/a	400.00	0.0
MAPLE ROW	006	TER	SS	5,000	19.03	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	TGT	B	455	57.75	n/a	23-May	18.20	0.0
TYVOR CAPITAL LLC	031	TIF	B	10,000	82.88	n/a	n/a	300.00	0.0
T. ROWE PRICE	243	TISI	S	9,360	44.77	n/a	n/a	374.40	0.0
BESSEMER INVESTMENT	085	TMO	B	375	109.98	n/a	n/a	15.00	0.0
LATEEF MGMT	033	TRV	B	125	83.01	n/a	n/a	31.25	0.0
ALTIMETER CAPITAL MGMT.	309	UAL	B	73,083	43.99	n/a	18-Jun	2,923.32	0.0
J. GOLDMAN	028	UAL	S	42,500	43.99	n/a	18-Jun	1,700.00	0.0
BESSEMER INVESTMENT	085	UNP	B	270	171.92	n/a	n/a	10.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	VLO	B	540	49.48	n/a	n/a	21.60	0.0
BESSEMER INVESTMENT	085	WAG	B	445	57.09	n/a	n/a	17.80	0.0
S.A.C. CAPITAL	044	WLK	B	835	116.14	n/a	n/a	25.05	0.0
CORTEX CAPITAL	031	XRT	B	20,000	81.11	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	200	93.58	n/a	n/a	8.00	0.0
TOTAL (Trade Date):								91,821.21	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									91,821.21
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									91,821.21

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