



Daily Compliance Activity Report

Trade Date: 01/22/2014

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	35	551.45	n/a	n/a	1.40	4.0
SAC CHRIS C	041	ABT	SS	400	38.11	n/a	n/a	12.00	3.0
BESSEMER INVESTMENT	085	ACE	B	25	96.75	n/a	n/a	1.00	4.0
ROYCE TRADING	031	ACW	B	6,000	4.21	n/a	n/a	180.00	3.0
B BUCK CAPITAL MGMT		AEO	S	35,000	13.79	n/a	n/a	non-brg	3.0
ROYCE TRADING	031	AER	S	12,500	36.13	n/a	n/a	625.00	5.0
BESSEMER INVESTMENT	085	AET	B	255	70.86	n/a	n/a	10.20	4.0
BESSEMER INVESTMENT	085	AIG	B	240	51.00	n/a	n/a	9.60	4.0
ROYCE TRADING	031	ALR	S	5,000	37.80	n/a	n/a	250.00	5.0
SCOPUS FUND	041	ANF	B	30,000	35.17	n/a	n/a	1,200.00	4.0
TUDOR INVESTORS	028	APH	B	5,000	92.15	n/a	n/a	150.00	3.0
BRONSON POINT	036	ATI	B	50,000	31.99	n/a	21-Jan	1,500.00	3.0
BESSEMER INVESTMENT	085	AVGO	B	355	56.15	n/a	n/a	14.20	4.0
BESSEMER INVESTMENT	085	AWK	B	390	42.05	n/a	n/a	15.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	BGC	B	500	30.00	n/a	n/a	25.00	5.0
KORTRIGHT CAPITAL PARTNERS	025	BMS	B	50,711	38.99	n/a	n/a	1,521.33	3.0
ROYSTONE CAPITAL MANAGEMENT LP	040	BMS	SS	25,000	38.80		n/a	750.00	3.0
ROYCE TRADING	031	BTN	B	10,000	4.99	n/a	n/a	300.00	3.0
ROYCE TRADING	031	BXS	S	1,000	24.99	n/a	n/a	50.00	5.0
ROYCE TRADING	031	B	S	6,000	40.54	n/a	n/a	300.00	5.0
ROYCE TRADING	031	CIR	S	3,000	77.31	n/a	n/a	150.00	5.0
f MANNY I KORMAN	FID	CLUB	S	10000	11.26	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	CMI	B	35	136.25	n/a	17-Jan	1.40	4.0
CASTLE ARK	031	CMI	S	61,298	135.09	n/a	17-Jan	2,451.92	4.0
MAPLE ROW	006	CODE	S	4,500	15.43	n/a	n/a	135.00	3.0
B BUCK CAPITAL MGMT		COH	C	25,000	49.26	n/a	22-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		COH	C	37,510	48.72	n/a	22-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		COH	SS	50,000	48.92	n/a	22-Jan	non-brg	4.0
BESSEMER INVESTMENT	085	COP	B	155	68.74	n/a	n/a	6.20	4.0
THE BOSTON COMPANY	098	COST	S	121,410	113.84	n/a	n/a	4,856.40	4.0
CORTEX CAPITAL	031	CPRT	B	46,700	36.13	n/a	n/a	2,335.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAPLE ROW	006	CS	B	3,000	32.05	n/a	n/a	90.00	3.0
BESSEMER INVESTMENT	085	CTL	B	215	29.90	n/a	n/a	8.60	4.0
BESSEMER INVESTMENT	085	CVS	B	45	69.30	n/a	n/a	1.80	4.0
BROADARCH CAP/OLD NEWC	006	DAL	B	1,500	32.49	22-Jan	22-Jan	60.00	4.0
NUDGE CAPITAL FUND LP	006	DAL	S	5,000	32.51	22-Jan	22-Jan	150.00	3.0
ZWEIG FUNDS	006	DAL	B	25,000	32.50	22-Jan	22-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		DECK	B	20,000	74.53	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	DG	B	270	58.54	n/a	9-Jan	10.80	4.0
B BUCK CAPITAL MGMT		DG	B	10,000	58.01	n/a	9-Jan	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	DHI	S	50,000	21.98	n/a	n/a	1,500.00	3.0
f DAVID GEORGE BUCK	FID	DIS	S	20	1.27	n/a	n/a	0.00	0.0
ROVER CAPITAL PARTNERS	040	DLTR	B	2,500	53.03	n/a	n/a	100.00	4.0
STANDARD PACIFIC CAPITAL	084	DLTR	S	50,000	53.10	n/a	n/a	2,500.00	5.0
f CHRISTOPHER ROBERT C	FID	DOW	B	200	46.36	n/a	n/a	0.00	0.0
CAPITAL GUARDIAN /INTN'L	084	D	S	182,000	67.05	n/a	n/a	6,370.00	4.0
MAPLE ROW	006	EXAM	S	2,416	32.00	n/a	n/a	72.48	3.0
YG PARTNERS LLC	041	EXH	B	10,000	35.69	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	EXPE	S	3000	68.06	n/a	n/a	0.00	0.0
YG PARTNERS LLC	041	FDO	B	10,000	64.67	10-Jan	10-Jan	400.00	4.0
B BUCK CAPITAL MGMT		FNP	S	20,000	29.45	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	115.48	n/a	n/a	non-brg	4.0
AAD CAPITAL	084	FSC	S	15,000	9.47	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		FWM	S	22,024	12.65	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		FWM	S	44,900	12.31	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	FXI	B	40,000	36.64	n/a	n/a	1,200.00	3.0
B BUCK CAPITAL MGMT		F	SS	60,000	16.51	n/a	16-Jan	non-brg	4.0
S.A.C. CAPITAL	044	F	B	40,000	16.60	n/a	16-Jan	1,200.00	3.0
TUDOR INVESTORS	028	GE	B	10,000	26.20	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		GIL	S	10,000	53.58	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HBI	S	13,644	67.39	n/a	n/a	non-brg	3.0
BESSEMER INVESTMENT	085	IBM	B	70	180.19	n/a	n/a	2.80	4.0
BESSEMER INVESTMENT	085	ITW	B	10	82.95	n/a	n/a	0.40	4.0
B BUCK CAPITAL MGMT		JBLU	S	55,000	9.38	n/a	17-Jan	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	JBLU	S	13,300	9.24	n/a	17-Jan	399.00	3.0
B BUCK CAPITAL MGMT		KBR	B	15,000	33.11	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	KEY	B	1,045	14.03	n/a	n/a	41.80	4.0
BESSEMER INVESTMENT	085	LB	B	200	54.86	n/a	n/a	8.00	4.0
GALT INVESTMENT	041	LF	S	25,000	7.53	n/a	n/a	750.00	3.0
TWIN CAPITAL	041	LNCO	S	89,619	32.53	n/a	n/a	2,688.57	3.0
SIGMA CAPITAL ASSOCIATES	041	LOW	B	50,000	47.71	n/a	n/a	1,500.00	3.0
BESSEMER INVESTMENT	085	LO	B	195	50.05	n/a	n/a	7.80	4.0
MAPLE ROW	006	LYB	S	2,100	80.20	n/a	n/a	63.00	3.0
f DAVID GEORGE BUCK	FID	MAR	B	2000	51.45	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	MEI	B	5,742	35.27	n/a	n/a	229.68	4.0
TIDE POINT CAPITAL	028	MGA	B	10,000	87.46	n/a	n/a	300.00	3.0
VISIUM/BALY BOBBY	044	MGA	SS	17,000	87.10	n/a	n/a	850.00	5.0
J. GOLDMAN	028	MOS	B	20,000	47.45	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	MRO	B	215	34.42	n/a	n/a	8.60	4.0
BESSEMER INVESTMENT	085	MS	B	235	32.97	9-Jan	21-Jan	9.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	MW	S	800	49.97	n/a	n/a	24.00	3.0
BESSEMER INVESTMENT	085	MYL	B	475	46.72	n/a	15-Jan	19.00	4.0
ADAGE CAPITAL MGMT	030	M	S	100,000	55.28	9-Jan	9-Jan	3,000.00	3.0
BESSEMER INVESTMENT	085	M	B	350	55.56	9-Jan	9-Jan	14.00	4.0
CORTEX CAPITAL	031	M	S	20,000	55.39	9-Jan	9-Jan	600.00	3.0
f MARC PAUL LUCHANSKY	FID	NATDF	S	500	9.06	n/a	n/a	0.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	7.70	n/a	n/a	800.00	4.0
f DAVID GEORGE BUCK	FID	NPSP	B	1500	36.71	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	NSC	S	303,944	93.97	n/a	22-Jan	12,157.76	4.0
f CHRISTOPHER ROBERT C	FID	PCP	S	25	269.65	16-Jan	21-Jan	0.00	0.0
f MARGARET ANNE MCAULE	FID	PENN	B	100	12.50	n/a	n/a	0.00	0.0
KEY ASSET MGMT/VICTORY	220	PETM	S	124,740	63.17	n/a	n/a	4,989.60	4.0
TYVOR CAPITAL LLC	031	PETM	B	50,000	63.43	n/a	n/a	1,500.00	3.0
BESSEMER INVESTMENT	085	PFE	B	670	31.28	n/a	n/a	26.80	4.0
B BUCK CAPITAL MGMT		PII	S	5,000	141.59	n/a	n/a	non-brg	4.0
CR INTRINIC INVESTMENT	044	PKG	S	5,000	66.25	10-Jan	16-Jan	150.00	3.0
S.A.C. CAPITAL	044	PKG	B	25,000	66.16	10-Jan	16-Jan	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PLCE	SS	10,000	55.66	n/a	8-Jan	non-brg	4.0
GLG PARTNERS	280	PSX	S	26,711	76.57	n/a	n/a	1,335.55	5.0
B BUCK CAPITAL MGMT		PVH	S	20,000	123.10	n/a	14-Jan	non-brg	4.0
BESSEMER INVESTMENT	085	QCOM	B	395	75.48	n/a	n/a	15.80	4.0
SCOPUS FUND	041	RH	S	30,000	58.33	n/a	n/a	1,200.00	4.0
SCOPUS FUND	041	RL	S	25,000	160.03	n/a	14-Jan	1,000.00	4.0
f WILLIAM J GAULT	FID	RYN	B	1000	42.22	n/a	17-Jan	0.00	0.0
CASTLEROCK	040	SBUX	B	11,116	73.91	n/a	21-Jan	444.64	4.0
DAVIDSON KEMPNER ADVISOR	281	SEAS	S	12,500	33.05	n/a	n/a	625.00	5.0
DPB CAPITAL	029	SIRI	S	5,000	3.70	n/a	n/a	250.00	5.0
ROSEDALE CAPITAL	046	SLM	B	25,000	24.55	n/a	17-Jan	1,000.00	4.0
f CHRISTOPHER ROBERT C	FID	SLXP	S	50	101.05	n/a	16-Jan	0.00	0.0
f JASON ERIC COHEN	FID	SWN	S	90	41.69	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	SWY	B	33,082	31.74	n/a	n/a	992.46	3.0
BESSEMER INVESTMENT	085	TGT	B	235	59.27	n/a	10-Jan	9.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	TMO	B	165	115.20	n/a	n/a	6.60	4.0
B BUCK CAPITAL MGMT		UAL	S	15,000	48.98	9-Jan	17-Jan	non-brg	4.0
BESSEMER INVESTMENT	085	UNP	B	80	169.89	n/a	n/a	3.20	4.0
B BUCK CAPITAL MGMT		URI 3 C85	SS	500	2.65	n/a	n/a	non-brg	300.0
BESSEMER INVESTMENT	085	VLO	B	165	51.80	n/a	n/a	6.60	4.0
B BUCK CAPITAL MGMT		VNCE	B	10,000	24.24	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VNCE	B	20,000	24.25	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	WAG	B	145	60.07	n/a	n/a	5.80	4.0
TUDOR INVESTORS	028	WY	S	5,000	31.21	n/a	22-Jan	150.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	115	96.66	n/a	n/a	4.60	4.0
f DAVID GEORGE BUCK	FID		B	20000	98.17	n/a	21-Jan	0.00	0.0
TOTAL (Trade Date) :								71,654.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/21	DISIPLINED GROWTH INV.	030	RCL	B	4,300	48.93	n/a	n/a	215.00 0.0
AO,CRT	01/21	DISIPLINED GROWTH INV.	030	RCL	B	4,300	48.93	n/a	n/a	215.00 0.0
AO,CXL	01/21	DISIPLINED GROWTH INV.	030	TJX	B	8,200	60.21	n/a-2014-01-06		410.00 0.0
AO,CRT	01/21	DISIPLINED GROWTH INV.	030	TJX	B	8,200	60.21	n/a-2014-01-06		410.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	71,654.79
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	71,654.79
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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 22-Jan.

DAL

MRI Securities without Trade Activity on 22-Jan.

FRX, LPX, CIT

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

Legend:

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)