



Daily Compliance Activity Report

Trade Date: 02/04/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	AAL	SS	128,887	33.96	29-Jan	29-Jan	3,866.61	3.0
STANDARD PACIFIC CAPITAL	084	AAL	B	72,400	33.90	29-Jan	29-Jan	2,896.00	4.0
ZWEIG FUNDS	006	AAL	B	5,000	34.02	29-Jan	29-Jan	250.00	5.0
PRIMECAP MGMT	084	ABAX	B	5,000	36.43	n/a	n/a	200.00	4.0
PHILADELPHIA FINANCIAL	033	ABG	SS	20,022	49.48	n/a	4-Feb	800.88	4.0
BESSEMER INVESTMENT	085	AET	B	10	66.62	n/a	n/a	0.40	4.0
BESSEMER INVESTMENT	085	AGN	B	120	114.24	n/a	4-Feb	4.80	4.0
BESSEMER INVESTMENT	085	AIG	B	50	47.56	n/a	n/a	2.00	4.0
EPOCH INV MGMT	030	ALKS	S	40,800	48.38	n/a	n/a	1,224.00	3.0
B BUCK CAPITAL MGMT		ALK	C	2,574	73.42	24-Jan	24-Jan	non-brg	4.0
PIMCO	084	ALK	B	15,000	75.43	24-Jan	24-Jan	300.00	2.0
f HARALAMBOS EFSTATHI	FID	ALQA	B	1500	8.44	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	AMAT	B	530	16.75	n/a	n/a	21.20	4.0
BESSEMER INVESTMENT	085	APA	B	150	78.88	n/a	n/a	6.00	4.0
SCOPUS FUND	041	ASNA	S	25,000	17.74	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	AVGO	B	55	53.22	n/a	n/a	2.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AWK	B	55	42.13	n/a	n/a	2.20	4.0
BESSEMER INVESTMENT	085	AZO	B	25	484.65	n/a	n/a	1.00	4.0
SANDLER O'NEILL ASSET	031	BAC	SS	12,600	16.52	16-Jan	31-Jan	630.00	5.0
BESSEMER INVESTMENT	085	BBBY	B	165	63.61	n/a	n/a	6.60	4.0
f MARK ANTHONY GRONET	FID	BEE	S	5000	8.98	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BID	SS	23,000	47.76	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	BK	B	330	30.99	9-Jan	21-Jan	13.20	4.0
BESSEMER INVESTMENT	085	BRCM	B	375	29.09	n/a	n/a	15.00	4.0
PRIMECAP MGMT	084	BRKB	S	3,000	108.91	n/a	n/a	120.00	4.0
S.A.C. CAPITAL	044	BSX	B	21,900	12.68	n/a	n/a	657.00	3.0
KENBELLE LLC	028	CGI	B	8,800	21.36	3-Feb	3-Feb	264.00	3.0
B BUCK CAPITAL MGMT		CNC	B	8,700	58.55	n/a	n/a	non-brg	4.0
HERRING CREEK CAPITAL	040	COF	B	11,995	69.01	17-Jan	4-Feb	359.85	3.0
BESSEMER INVESTMENT	085	COH	B	200	46.11	n/a	24-Jan	8.00	4.0
TROUBH PART	070	COH	B	15,000	45.51	n/a	24-Jan	750.00	5.0
STANDARD PACIFIC CAPITAL	084	CPRT	B	71,727	33.34	n/a	n/a	2,869.08	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	CSCO	B	335	21.51	n/a	n/a	13.40	4.0
BESSEMER INVESTMENT	085	CTL	B	10	28.14	n/a	n/a	0.40	4.0
BASSWOOD PARTNERS	267	DAN	B	6,690	18.40	n/a	27-Jan	267.60	4.0
LATEEF MGMT	033	DE	B	375	84.47	n/a	n/a	87.50	25.0
BESSEMER INVESTMENT	085	DG	B	35	55.70	n/a	9-Jan	1.40	4.0
DAVIDSON KEMPNER ADVISOR	281	DG	B	12,500	55.85	n/a	9-Jan	625.00	5.0
⚡ BUCK CAPITAL MGMT		DKS	B	10,000	50.16	n/a	29-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	B	30,000	50.71	n/a	29-Jan	non-brg	4.0
BESSEMER INVESTMENT	085	DPS	B	200	47.42	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	DTV	B	190	68.27	27-Jan[i]	27-Jan	7.60	4.0
BESSEMER INVESTMENT	085	EMC	B	505	23.76	n/a	n/a	20.20	4.0
⚡ BUCK CAPITAL MGMT		ETN	B	15,000	68.38	4-Feb	4-Feb	non-brg	3.0
TUDOR INVESTORS	028	ETN	S	10,000	68.32	4-Feb	4-Feb	300.00	3.0
ARDSLEY PARTNERS/RIDGECREST		306 EXP		S	10,000	75.39	n/a	n/a	400.00 4.0
LATEEF MGMT	033	FCX	B	150	31.35	n/a	n/a	30.00	20.0
PAULSON & CO INC	041	FCX	S	300,000	31.01	n/a	n/a	9,000.00	3.0
HERRING CREEK CAPITAL	040	FDX	B	11,058	129.86	n/a	n/a	331.74	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	FMER	B	500	19.75	n/a	n/a	50.00	10.0
ß BUCK CAPITAL MGMT		FNP	B	20,000	27.99	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	20,000	28.91	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	20,000	28.97	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	20,000	29.10	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FWM	S	70,000	11.53	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	FWM	S	1100	11.54	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	F	B	1000	14.88	n/a	4-Feb	0.00	0.0
BESSEMER INVESTMENT	085	GE	B	385	24.52	n/a	n/a	15.40	4.0
f MANNY I KORMAN	FID	GILD	B	3000	81.70	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	GME	S	81,315	33.62	n/a	n/a	3,252.60	4.0
ROSEDALE CAPITAL	046	GM	S	30,000	35.53	27-Jan	4-Feb	1,200.00	4.0
SIGMA CAP BOBBY	044	GNTX	S	60,000	30.58	n/a	30-Jan	1,800.00	3.0
f HARALAMBOS EFSTATHI	FID	GOL	B	1000	3.90	n/a	n/a	0.00	0.0
MOORE CAPITAL	257	GPS	B	26,500	37.89	28-Jan[i]	4-Feb	795.00	3.0
ß BUCK CAPITAL MGMT		HD	B	16,700	74.88	n/a	n/a	non-brg	4.0
SLS CAPITAL LLC	006	HELE	B	57,389	56.06	n/a	n/a	2,295.56	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	HPQ	B	440	28.16	n/a	n/a	17.60	4.0
KENBELLE LLC	028	HTLD	B	8,800	20.37	n/a	n/a	264.00	3.0
BESSEMER INVESTMENT	085	IBM	B	5	173.10	n/a	n/a	0.20	4.0
BADGE CAPITAL	030	IP	B	100	45.00	n/a	4-Feb	3.50	4.0
MOORE CAPITAL	257	IP	C	100	45.05	n/a	4-Feb	3.00	3.0
SAGE ASSET MGMT	025	IP	B	5,800	45.09	n/a	4-Feb	290.00	5.0
PECONIC PARTNERS	036	JCP	S	25,000	5.03	9-Jan	4-Feb	1,000.00	4.0
PRIMECAP MGMT	084	JNJ	S	5,000	86.44	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	JPM	B	195	55.05	9-Jan	31-Jan	7.80	4.0
SANDLER O'NEILL ASSET	031	JPM	S	2,400	55.06	9-Jan	31-Jan	120.00	5.0
BESSEMER INVESTMENT	085	KEY	B	120	12.40	n/a	n/a	4.80	4.0
BESSEMER INVESTMENT	085	KODK	S	4,144	28.02	n/a	n/a	165.76	4.0
B BUCK CAPITAL MGMT		KORS 5 C95	SS	438	4.24	n/a	n/a	non-brg 300.0	
FRED ALGER MGMT	300	KORS	B	11,000	90.54	24-Jan	4-Feb	396.00	4.0
BESSEMER INVESTMENT	085	KSS	B	200	49.46	23-Jan	3-Feb	8.00	4.0
BESSEMER INVESTMENT	085	K	B	105	56.91	n/a	n/a	4.20	4.0
ACK ASSET	028	LAD	B	50,400	56.43	n/a	n/a	1,512.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	085	LBTYA	SS	43,358	78.76	n/a	27-Jan	1,734.32	4.0
AMBER CAPITAL	085	LBTYK	SS	31,806	78.11	n/a	n/a	1,272.24	4.0
BESSEMER INVESTMENT	085	LB	B	5	52.08	29-Jan[i]	4-Feb	0.20	4.0
B BUCK CAPITAL MGMT		LB	SS	22,500	52.17	29-Jan[i]	4-Feb	non-brg	4.0
BASSWOOD PARTNERS	267	LEA	B	905	72.62	3-Feb	31-Jan	36.20	4.0
TIDE POINT CAPITAL	028	LEA	B	30,000	72.68	3-Feb	31-Jan	900.00	3.0
BESSEMER INVESTMENT	085	LO	B	20	48.56	n/a	n/a	0.80	4.0
B BUCK CAPITAL MGMT		LPNT	B	10,000	51.42	n/a	n/a	non-brg	4.0
f KEVIN MAREK	FID	LPX	B	40	16.49	22-Jan	31-Jan	0.00	0.0
B BUCK CAPITAL MGMT		LULU	SS	25,000	45.16	17-Jan	29-Jan	non-brg	4.0
PCO CAPITAL MGMT.	084	LULU	B	15,000	45.91	17-Jan	29-Jan	450.00	3.0
FOUNDRY PARTNERS LLC	030	MA	S	1,225	73.43	10-Jan	3-Feb	49.00	4.0
TYVOR CAPITAL LLC	031	MCD	B	1,300	92.89	n/a	24-Jan	39.00	3.0
f MICHAEL C PERILLO	FID	MCGC	S	500	4.41	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	MO	B	295	34.28	n/a	n/a	11.80	4.0
BESSEMER INVESTMENT	085	MRK	B	270	53.00	n/a	n/a	10.80	4.0
LATEEF MGMT	033	MRK	S	500	52.85	n/a	n/a	55.00	11.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MRO	B	10	32.04	n/a	n/a	0.40	4.0
CAPITAL GROWTH MGMT.	309	MTG	S	300,000	8.21	n/a	n/a	9,000.00	3.0
f MARK ANTHONY GRONET	FID	MWA	S	5000	8.14	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	MWV	B	30,000	34.28	n/a	30-Jan	1,500.00	5.0
BESSEMER INVESTMENT	085	MYL	B	35	43.50	n/a	27-Jan	1.40	4.0
BESSEMER INVESTMENT	085	M	B	5	51.37	23-Jan	24-Jan	0.20	4.0
B BUCK CAPITAL MGMT		NKE	B	14,000	70.99	n/a	29-Jan	non-brg	3.0
NEW VERNON/SF INVESTMENTS	031	NQS	B	79,800	13.29	n/a	n/a	2,394.00	3.0
TIEDEMANN/TIG ADVISORS LLC	006	ODP	S	100,000	4.90	n/a	n/a	3,000.00	3.0
BESSEMER INVESTMENT	085	ORCL	B	385	35.81	n/a	n/a	15.40	4.0
BESSEMER INVESTMENT	085	OXY	B	140	87.48	n/a	n/a	5.60	4.0
FRED ALGER MGMT	300	OZM	B	13,390	13.95	n/a	n/a	482.04	4.0
BESSEMER INVESTMENT	085	PFE	B	80	31.32	n/a	n/a	3.20	4.0
LATEEF MGMT	033	PFE	S	750	31.38	n/a	n/a	85.00	12.0
f HARALAMBOS EFSTATHI	FID	PHOT	B	10000	0.39	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	PKG	B	9,600	62.55	10-Jan	3-Feb	480.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	PLCE	S	10,000	51.32	n/a	8-Jan	500.00	5.0
B BUCK CAPITAL MGMT		PLCE	C	20,000	51.41	n/a	8-Jan	non-brg	4.0
ROARING BLUE LION MGMT	031	PLCE	B	12,000	51.34	n/a	8-Jan	480.00	4.0
THE BOSTON COMPANY	309	PLCE	S	12,276	51.36	n/a	8-Jan	491.04	4.0
BESSEMER INVESTMENT	085	PNC	B	155	78.41	n/a	n/a	6.20	4.0
ROTHSCHILD ASSET	040	PSB	B	11,160	77.38	n/a	n/a	446.40	4.0
BALYASNY ASSET MGMT	044	PVH	B	10,000	116.69	24-Jan	24-Jan	500.00	5.0
BESSEMER INVESTMENT	085	QCOM	B	5	72.45	n/a	n/a	0.20	4.0
MOORE CAPITAL	257	RL	B	3,250	154.75	n/a	3-Feb	97.50	3.0
THE BOSTON COMPANY	098	RL	B	25,940	154.84	n/a	3-Feb	1,037.60	4.0
BESSEMER INVESTMENT	085	RTN	B	110	90.28	n/a	21-Jan	4.40	4.0
B BUCK CAPITAL MGMT		R	B	14,500	67.56	n/a	4-Feb	non-brg	3.0
TYVOR CAPITAL LLC	031	SCSS	B	20,000	15.84	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		SKX	SS	10,000	27.41	n/a	n/a	non-brg	3.0
ADAGE CAPITAL MGMT	310	SWY	B	25,827	30.07	n/a	n/a	774.81	3.0
BESSEMER INVESTMENT	085	SYMC	B	445	20.72	n/a	n/a	17.80	4.0
BESSEMER INVESTMENT	085	TAP	B	230	51.58	n/a	n/a	9.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	084	TDG	B	40,000	171.65	n/a	n/a	1,600.00	4.0
BESSEMER INVESTMENT	085	TGT	B	15	55.41	n/a	10-Jan	0.60	4.0
BESSEMER INVESTMENT	085	TMO	B	30	113.87	n/a	n/a	1.20	4.0
BESSEMER INVESTMENT	085	TROW	B	120	76.73	n/a	n/a	4.80	4.0
SUFFOLK CAPITAL MGMT	040	UNH	S	58,360	70.38	n/a	n/a	2,334.40	4.0
BESSEMER INVESTMENT	085	UNP	B	10	172.49	24-Jan	24-Jan	0.40	4.0
STANDARD PACIFIC CAPITAL	084	VMC	S	21,746	60.14	n/a	n/a	869.84	4.0
f MARK ANTHONY GRONET	FID	VRNG	B	7000	4.02	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	WAG	B	10	55.58	n/a	n/a	0.40	4.0
f HARALAMBOS EFSTATHI	FID	WFM	S	300	52.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WGO	B	31,101	24.24	n/a	n/a	non-brg	4.0
f MICHAEL C PERILLO	FID	WMAR	B	150	12.77	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	WMT	B	150	72.60	31-Jan	24-Jan	6.00	4.0
STANDARD PACIFIC CAPITAL	084	WWAV	B	63,600	23.34	n/a	n/a	2,544.00	4.0
LATEEF MGMT	033	WY	B	750	29.47	n/a	3-Feb	82.50	11.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	257	XLI	SS	100,000	48.43	n/a	n/a	3,000.00	3.0
f IOANNIS KOULOURIOTI	FID	XOOM	S	100	27.15	n/a	n/a	0.00	0.0
ARDSLEY PARTNERS/RIDGECREST		306 XOP		C	2,500	65.22	n/a	n/a	100.00 4.0
CORTEX CAPITAL	031	XRT	B	20,000	78.36	n/a	n/a	600.00	3.0
KENBELLE LLC	028	XRT	B	22,000	77.90	n/a	n/a	660.00	3.0
TYVOR CAPITAL LLC	031	YUM	B	35,591	71.89	n/a	n/a	1,067.73	3.0
TOTAL (Trade Date):								80,131.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	02/03	LOCUST WOOD CAPITAL MGMT	044	MCK	B	5,290	173.98	n/a	n/a	211.60	0.0
AO,CRT	02/03	LOCUST WOOD CAPITAL MGMT	044	MCK	B	5,290	173.98	n/a	n/a	211.60	0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	80,131.90
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	80,131.90
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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 4-Feb.

ETN

MRI Securities without Trade Activity on 4-Feb.

NONE

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)