



# Daily Compliance Activity Report

Trade Date: 11/19/2013

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	47	519.02	n/a	n/a	1.88	4.0
SANDLER CAPITAL	028	ABC	S	120,000	68.83	n/a	n/a	6,000.00	5.0
BESSEMER INVESTMENT	085	ACE	B	310	98.40	n/a	n/a	12.40	4.0
BESSEMER INVESTMENT	085	ACN	B	180	79.19	n/a	n/a	7.20	4.0
COLUMBUS CIRCLE	036	AEGR	S	1,368	66.01	n/a	n/a	54.72	4.0
BESSEMER INVESTMENT	085	AET	B	370	64.92	n/a	n/a	14.80	4.0
BESSEMER INVESTMENT	085	AIG	B	375	48.64	n/a	n/a	15.00	4.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>AMRI</b>	<b>B</b>	<b>500</b>	<b>12.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KEVIN MAREK</b>	<b>FID</b>	<b>AMRI</b>	<b>B</b>	<b>60</b>	<b>13.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>150,000</b>	<b>9.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
DC CAPITAL	044	ATI	B	50,000	34.15	6-Nov	6-Nov	2,000.00	4.0
BESSEMER INVESTMENT	085	AWK	B	650	43.16	n/a	n/a	26.00	4.0
<b>Õ Nicolas Pakler</b>		<b>BAC</b>	<b>S</b>	<b>500</b>	<b>15.23</b>	<b>n/a</b>	<b>19-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>SS</b>	<b>26,000</b>	<b>77.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROARING BLUE LION MGMT	031	BBY	B	12,700	39.76	n/a	n/a	508.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	BBY	B	10,000	39.32	n/a	n/a	400.00	4.0
BERYLSON CAPITAL	030	BONT	S	53,800	12.40	n/a	19-Nov	1,614.00	3.0
KLEINHEINZ CAP PART	031	CHK	B	75,000	25.32	n/a	n/a	3,750.00	5.0
PALESTRA	040	CLGX	B	110,000	35.06	n/a	n/a	3,300.00	3.0
BESSEMER INVESTMENT	085	CMI	B	45	132.25	n/a	12-Nov	1.80	4.0
BESSEMER INVESTMENT	085	COP	B	275	72.24	n/a	n/a	11.00	4.0
SENATOR INVESTMENT GROUP	287	CPRT	B	32,506	32.94	n/a	n/a	975.18	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRMB</b>	<b>S</b>	<b>27,250</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
BESSEMER INVESTMENT	085	CTL	B	380	32.14	n/a	n/a	15.20	4.0
BESSEMER INVESTMENT	085	CVS	B	340	65.68	n/a	n/a	13.60	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CYH</b>	<b>S</b>	<b>4000</b>	<b>40.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	C	B	390	50.71	n/a	19-Nov	15.60	4.0
INTERVAL PARTNERS	033	DCI	B	25,000	39.33	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	DG	B	415	59.07	n/a	n/a	16.60	4.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>DIOD</b>	<b>B</b>	<b>525</b>	<b>19.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHARTERBRIDGE CAPITAL	025	DISH	S	20,000	49.80	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DKS	S	10,000	56.28	n/a	19-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	S	10,000	56.44	n/a	19-Nov	non-brg	2.5
CADIAN CAPITAL	041	DLTR	S	9,000	59.34	n/a	19-Nov	270.00	3.0
B BUCK CAPITAL MGMT		DSW	S	20,000	45.86	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	041	DSW	S	900	46.12	n/a	n/a	27.00	3.0
KEYGROUP/KGLT	040	ECA	SS	25,000	18.95	n/a	n/a	1,000.00	4.0
f WILLIAM J GAULT	FID	ECT	B	3000	7.20	n/a	n/a	0.00	0.0
MAPLE ROW	006	ETFC	B	5,000	17.51	n/a	n/a	150.00	3.0
f NICOLAS EVAN PAKLER	FID	FBGRX	B	489	61.31	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	FCNTX	B	122	98.38	n/a	n/a	0.00	0.0
CADIAN CAPITAL	041	FL	S	27,000	37.07	n/a	19-Nov	810.00	3.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	128.17	n/a	n/a	non-brg	4.0
MOORE CAPITAL	257	F	SS	50,000	16.82	n/a	19-Nov	1,500.00	3.0
B BUCK CAPITAL MGMT		GIL	S	20,000	49.65	n/a	19-Nov	non-brg	4.0
KOLVEN CAPITAL	025	GM	B	2,000	37.94	n/a	19-Nov	60.00	3.0
MOORE CAPITAL	257	GM	B	50,000	38.62	n/a	19-Nov	1,500.00	3.0
ROSEDALE CAPITAL	046	GM	B	5,000	38.09	n/a	19-Nov	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>GNC</b>	<b>S</b>	<b>20,000</b>	<b>59.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CHARTERBRIDGE CAPITAL	025	GRPN	S	200,000	9.97	n/a	n/a	6,000.00	3.0
BESSEMER INVESTMENT	085	IBM	B	135	184.87	n/a	n/a	5.40	4.0
PENNANT CAP MGMT	250	ICON	B	90,150	38.10	n/a	n/a	2,704.50	3.0
BESSEMER INVESTMENT	085	ITW	B	235	79.60	n/a	n/a	9.40	4.0
COUGAR TRADING	044	JBLU	B	25,000	8.72	n/a	4-Nov	1,250.00	5.0
PENNANT CAP MGMT	250	JCOM	B	43,000	46.76	n/a	n/a	1,290.00	3.0
CADIAN CAPITAL	041	JWN	SS	25,000	62.02	15-Nov	15-Nov	750.00	3.0
BESSEMER INVESTMENT	085	KEY	B	530	12.72	n/a	n/a	21.20	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	50,000	53.84	n/a	15-Nov	1,500.00	3.0
SYSTEMATIC FINANCIAL MGT	070	LCC	B	272,425	24.63	24-Oct	13-Nov	8,172.75	3.0
STRONG/MARK GRONET	030	LFL	B	10,000	16.50	n/a	n/a	400.00	4.0
FRED ALGER MGMT	300	LNC	S	960	50.23	n/a	n/a	34.56	4.0
BESSEMER INVESTMENT	085	LO	B	255	52.81	n/a	n/a	10.20	4.0
BESSEMER INVESTMENT	085	LTD	B	370	64.04	n/a	n/a	14.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAPLE ROW	006	LUV	S	8,000	18.25	25-Oct	4-Nov	240.00	3.0
PENNANT CAP MGMT	250	MDP	B	32,000	51.72	n/a	n/a	960.00	3.0
HERRING CREEK CAPITAL	040	MKC	SS	14,265	69.28	n/a	n/a	427.95	3.0
CORTEX CAPITAL	031	MOVE	S	20,000	16.04	n/a	n/a	600.00	3.0
BESSEMER INVESTMENT	085	MRO	B	300	36.40	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	MS	B	215	30.30	21-Oct	15-Nov	8.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>466,700</b>	<b>321.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>25.7</b>
BESSEMER INVESTMENT	085	MYL	B	1,510	41.79	n/a	18-Nov	60.40	4.0
BESSEMER INVESTMENT	085	M	B	620	50.39	14-Nov	14-Nov	24.80	4.0
BESSEMER INVESTMENT	085	NLSN	B	25	40.61	n/a	n/a	1.00	4.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>ONVO</b>	<b>B</b>	<b>700</b>	<b>8.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f TIFFANY KANAGA</b>	<b>FID</b>	<b>ONVO</b>	<b>B</b>	<b>1500</b>	<b>10.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	PFE	B	1,160	32.01	n/a	n/a	46.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PII</b>	<b>S</b>	<b>20,000</b>	<b>130.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BASSWOOD PARTNERS	267	PVTB	S	7,678	26.25	n/a	n/a	307.12	4.0
CHART WELL ADV	028	PVTB	B	230,366	26.22	n/a	n/a	9,214.64	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	PWR	S	1,610	29.46	n/a	n/a	57.96	4.0
TUDOR INVESTORS	028	PWR	S	10,000	29.47	n/a	n/a	300.00	3.0
NOKOMIS PARTNERS	031	P	B	24,000	28.77	n/a	n/a	720.00	3.0
BESSEMER INVESTMENT	085	QCOM	B	450	72.04	n/a	n/a	18.00	4.0
FRED ALGER MGMT	300	SBUX	S	1,320	80.40	n/a	19-Nov	47.52	4.0
BESSEMER INVESTMENT	085	TGT	B	370	66.56	n/a	14-Nov	14.80	4.0
BESSEMER INVESTMENT	085	TMO	B	310	100.65	n/a	n/a	12.40	4.0
CADIAN CAPITAL	041	TSCO	S	43,892	71.81	n/a	n/a	1,316.76	3.0
ROTHSCHILD ASSET	040	TYL	S	8,709	100.89	n/a	n/a	348.36	4.0
NEW VERNON/SF INVESTMENTS	031	UAL	B	38,850	38.37	25-Oct	8-Nov	1,942.50	5.0
BESSEMER INVESTMENT	085	UNP	B	145	159.06	n/a	n/a	5.80	4.0
SIMMONS VENTURES	041	URBN	B	5,000	39.05	n/a	n/a	250.00	5.0
<b>f TIFFANY KANAGA</b>	<b>FID</b>	<b>VJET</b>	<b>B</b>	<b>88</b>	<b>55.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DEPRINCE, RACE & ZOLLO	093	WFM	SS	4,500	56.93	n/a	n/a	225.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WSM</b>	<b>S</b>	<b>65,110</b>	<b>55.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EMPYREAN CAPITAL	084	XLK	C	160,000	34.13	n/a	n/a	4,800.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	XLP	B	46,500	43.10	n/a	n/a	1,395.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>1,725,000</b>	<b>86.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
BESSEMER INVESTMENT	085	ZMH	B	435	89.57	n/a	n/a	17.40	4.0
<b>f DOUGLAS R ROGERS</b>	<b>FID</b>		<b>B</b>	<b>100000</b>	<b>87.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>71,157.20</b>	

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) :									71,157.20
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									71,157.20



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 19-Nov.  
NONE

MRI Securities without Trade Activity on 19-Nov.  
GMCR, DNKN

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)**