



## Daily Compliance Activity Report

Trade Date: 02/14/2014

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	S	8,000	34.61	n/a	n/a	320.00	0.0
BESSEMER INVESTMENT	085	AAPL	B	30	543.40	n/a	n/a	1.20	0.0
FRED ALGER MGMT	300	ABCO	B	15,000	61.07	n/a	n/a	540.00	0.0
BESSEMER INVESTMENT	085	ACE	B	80	96.82	n/a	n/a	3.20	0.0
BESSEMER INVESTMENT	085	ACN	S	381	82.29	n/a	n/a	15.24	0.0
J. GOLDMAN	028	AEO	S	40,000	13.80	n/a	n/a	1,600.00	0.0
BESSEMER INVESTMENT	085	AET	B	235	68.66	n/a	n/a	9.40	0.0
BESSEMER INVESTMENT	085	AIG	B	230	48.89	n/a	n/a	9.20	0.0
PATTEN & PATTEN	025	AIG	B	800	48.94	n/a	n/a	40.00	0.0
PATTEN & PATTEN	025	APC	B	600	81.60	n/a	n/a	30.00	0.0
FRED ALGER MGMT	300	ATHN	S	7,840	187.52	n/a	n/a	282.24	0.0
BESSEMER INVESTMENT	085	AVGO	B	345	58.18	n/a	n/a	13.80	0.0
BESSEMER INVESTMENT	085	AWK	B	400	43.38	n/a	n/a	16.00	0.0
PATTEN & PATTEN	025	BA	B	300	130.33	n/a	n/a	15.00	0.0
LATEEF MGMT	033	BBT	S	500	37.49	n/a	n/a	50.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	BDRBF	B	5,000	3.29	n/a	n/a	250.00	0.0
EPOCH INV MGMT	030	BGS	B	94,180	28.60	n/a	n/a	2,825.40	0.0
BERYLSON CAPITAL	030	BONT	B	50,000	10.00	n/a	n/a	1,500.00	0.0
ASCEND PARTNERS	033	CAKE	B	100,000	45.81	n/a	n/a	3,000.00	0.0
BESSEMER INVESTMENT	085	CMI	B	95	142.94	n/a	n/a	3.80	0.0
EPOCH INV MGMT	030	CNW	S	48,900	37.81	n/a	n/a	1,467.00	0.0
CSFB GLOBAL PROPRIETARY	041	COL	B	25,000	78.25	n/a	n/a	1,250.00	0.0
BESSEMER INVESTMENT	085	COP	B	150	65.45	n/a	n/a	6.00	0.0
PATTEN & PATTEN	025	CSD	B	1,000	44.46	n/a	n/a	50.00	0.0
BESSEMER INVESTMENT	085	CTL	B	175	30.86	n/a	n/a	7.00	0.0
BESSEMER INVESTMENT	085	CVS	B	85	70.12	n/a	n/a	3.40	0.0
LATEEF MGMT	033	CVS	S	900	70.18	n/a	n/a	108.00	0.0
PATTEN & PATTEN	025	CWB	B	1,000	48.39	n/a	n/a	50.00	0.0
CAERUS GLOBAL	041	DAL	B	32,000	31.17	n/a	n/a	1,280.00	0.0
FARBER	006	DAL	S	4,800	31.22	n/a	n/a	192.00	0.0
MOORE CAPITAL	257	DAL	S	25,000	31.04	n/a	n/a	750.00	0.0
PAR CAPITAL	309	DAL	B	20,000	31.26	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	DG	B	230	57.16	n/a	n/a	9.20	0.0
SASCO	033	D	S	17,300	70.48	n/a	n/a	605.50	0.0
Õ James Mitchell		EEM	B	130	39.7256	n/a	n/a	0.00	0.0
Õ James Mitchell		EEM	B	50	39.7100	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	EFA	B	2,000	66.52	n/a	n/a	100.00	0.0
PATTEN & PATTEN	025	EL	B	1,000	68.00	n/a	n/a	50.00	0.0
Õ James Mitchell		EWV	B	240	63.1680	n/a	n/a	0.00	0.0
Õ James Mitchell		EZU	B	1330	41.5050	n/a	n/a	0.00	0.0
Õ James Mitchell		EZU	B	195	41.5156	n/a	n/a	0.00	0.0
Õ James Mitchell		EZU	B	600	41.5000	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	EZU	B	2,500	41.61	n/a	n/a	125.00	0.0
PATTEN & PATTEN	025	FCX	B	500	33.87	n/a	n/a	25.00	0.0
1798 CAP/LOMBARD ASSET	040	F	C	200,000	15.18	n/a	n/a	10,000.00	0.0
AMICI CAPITAL N/C	044	F	B	100,000	15.30	n/a	n/a	4,000.00	0.0
Õ Jack Chernus		GILD	B	300	81.1600	n/a	n/a	0.00	0.0
Õ Jack Chernus		GILD	S	3	1.3600	n/a	n/a	0.00	0.0
MOORE CAPITAL	257	GLD	S	35,000	126.93	n/a	n/a	1,050.00	0.0
NEUBERGER BERMAN	036	HSIC	B	5,000	116.94	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	HSIC	S	15,800	116.74	n/a	n/a	632.00	0.0
FOCUSED INVESTORS	084	IBM	B	2,400	183.85	n/a	n/a	96.00	0.0
DAVIDSON KEMPNER ADVISOR	281	IGT	C	100,000	14.97	n/a	n/a	5,000.00	0.0
PATTEN & PATTEN	025	IJH	B	1,800	134.40	n/a	n/a	90.00	0.0
PATTEN & PATTEN	025	INTC	B	800	24.75	n/a	n/a	40.00	0.0
BESSEMER INVESTMENT	085	ITW	B	75	78.48	n/a	n/a	3.00	0.0
<b>James Mitchell</b>		<b>IWM</b>	<b>B</b>	<b>300</b>	<b>113.7200</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	IWM	B	300	114.18	n/a	n/a	15.00	0.0
PATTEN & PATTEN	025	IXN	B	700	83.73	n/a	n/a	35.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	JKS	S	5,000	29.85		n/a	n/a	200.00 0.0
BESSEMER INVESTMENT	085	KEY	B	935	12.94	n/a	n/a	37.40	0.0
PATTEN & PATTEN	025	KO	B	800	38.97	n/a	n/a	40.00	0.0
BESSEMER INVESTMENT	085	LB	B	290	55.22	n/a	n/a	11.60	0.0
DISCIPLINED GROWTH INV.	030	LB	S	2,325	54.97	n/a	n/a	116.25	0.0
SCOPUS FUND	041	LINTA	B	30,000	28.59	n/a	n/a	1,200.00	0.0
BESSEMER INVESTMENT	085	LO	B	135	48.00	n/a	n/a	5.40	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	200,000	17.76	n/a	n/a	10,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	LPX	B	2,500	17.52	n/a	n/a	250.00	0.0
NEWLAND CAPITAL MGT	025	LPX	B	25,000	17.71	n/a	n/a	1,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	MAT	SS	25,000	36.65	n/a	n/a	750.00	0.0
TWIN CAPITAL	041	MBI	B	41,000	12.34	n/a	n/a	1,230.00	0.0
PIMCO	084	MCK	B	30,000	175.96	n/a	n/a	600.00	0.0
DISCIPLINED GROWTH INV.	030	MIDD	S	600	250.52	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	MOS	S	400	47.84	n/a	n/a	20.00	0.0
BESSEMER INVESTMENT	085	MRO	B	150	33.37	n/a	n/a	6.00	0.0
BESSEMER INVESTMENT	085	MS	B	420	29.69	n/a	n/a	16.80	0.0
BESSEMER INVESTMENT	085	MYL	B	455	46.09	n/a	n/a	18.20	0.0
BESSEMER INVESTMENT	085	M	B	45	53.53	n/a	n/a	1.80	0.0
PATTEN & PATTEN	025	NKE	B	500	75.08	n/a	n/a	25.00	0.0
NEWLAND CAPITAL MGT	025	NX	B	20,000	19.59	n/a	n/a	800.00	0.0
FRED ALGER MGMT	300	PBYI	B	14,500	122.94	n/a	n/a	522.00	0.0
CASTLE ARK	031	PCAR	B	100,900	61.25	n/a	n/a	4,036.00	0.0
DAVIDSON KEMPNER ADVISOR	281	PETM	SS	25,000	64.81	n/a	n/a	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PFE	B	375	31.94	n/a	n/a	15.00	0.0
LATEEF MGMT	033	PFE	S	500	31.89	n/a	n/a	50.00	0.0
LATEEF MGMT	033	PNC	S	500	81.42	n/a	n/a	60.00	0.0
PATTEN & PATTEN	025	PX	B	300	129.55	n/a	n/a	15.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	150	76.31	n/a	n/a	6.00	0.0
DISIPLINED GROWTH INV.	030	RCL	S	2,025	52.11	n/a	n/a	101.25	0.0
KORTRIGHT CAPITAL PARTNERS	025	RGC	B	75,000	18.99	n/a	n/a	2,250.00	0.0
PATTEN & PATTEN	025	RHHBY	B	800	73.93	n/a	n/a	40.00	0.0
NEUBERGER BERMAN	036	ROG	B	800	57.83	n/a	n/a	32.00	0.0
SASCO	033	RTN	S	23,850	95.40	n/a	n/a	834.75	0.0
NEUBERGER BERMAN	036	SIRO	B	17,600	69.66	n/a	n/a	704.00	0.0
PATTEN & PATTEN	025	SIRO	B	600	69.83	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	SNI	B	500	79.21	n/a	n/a	25.00	0.0
MOORE CAPITAL	257	SPY	B	25,000	183.69	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	SPY	B	1,800	184.15	n/a	n/a	90.00	0.0
PATTEN & PATTEN	025	SRCL	B	300	117.07	n/a	n/a	15.00	0.0
J. GOLDMAN	028	SSI	B	25,000	18.49	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	SWN	S	1,400	41.65	n/a	n/a	70.00	0.0
BESSEMER INVESTMENT	085	TGT	B	190	56.28	n/a	n/a	7.60	0.0
FOCUSED INVESTORS	084	TGT	B	33,900	56.28	n/a	n/a	1,356.00	0.0
MSF CAPITAL (ENTRUST)	040	THO	B	20,874	52.53	n/a	n/a	1,043.70	0.0
DISCIPLINED GROWTH INV.	030	TJX	S	3,150	59.75	n/a	n/a	157.50	0.0
BESSEMER INVESTMENT	085	TMO	B	20	123.11	n/a	n/a	0.80	0.0
PATTEN & PATTEN	025	TSCO	B	500	65.66	n/a	n/a	25.00	0.0
BESSEMER INVESTMENT	085	UNP	B	115	179.13	n/a	n/a	4.60	0.0
Õ James Mitchell		VGK	B	255	59.0699	n/a	n/a	0.00	0.0
Õ James Mitchell		VGK	B	340	59.0499	n/a	n/a	0.00	0.0
Õ James Mitchell		VGK	B	85	59.0599	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	VIAB	B	140	86.06	n/a	n/a	5.60	0.0
BESSEMER INVESTMENT	085	VLO	B	90	49.56	n/a	n/a	3.60	0.0
PATTEN & PATTEN	025	VMC	B	500	66.39	n/a	n/a	25.00	0.0
BESSEMER INVESTMENT	085	WAG	B	150	65.70	n/a	n/a	6.00	0.0
PATTEN & PATTEN	025	WY	B	1,000	30.49	n/a	n/a	50.00	0.0
Õ James Mitchell		XLE	S	105	85.6844	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ James Mitchell		XLE	S	23	85.6800	n/a	n/a	0.00	0.0
Õ James Mitchell		XLE	S	260	85.7444	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	135	96.08	n/a	n/a	5.40	0.0
<b>TOTAL (Trade Date):</b>								<b>69,508.83</b>	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/12	DELTEC ASSET MGMT. (DELTPEPSPB)	040	BONT	B	12,000	10.40	n/a	n/a	600.00 0.0
AO,CRT	02/12	DELTEC ASSET MGMT. (DELTPEPSPB)	040	BONT	B	12,000	10.40	n/a	n/a	480.00 4.0
AO,CXL	02/13	ADAGE CAPITAL MGMT (ADAGGS)	310	NLSN	SS	50,000	44.63	n/a	n/a	1500.00 0.0
AO,	02/13	ADAGE CAPITAL MGMT (ADAGCSFB)	310	NLSN	SS	50,000	44.63	n/a	n/a	1500.00 0.0

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**TOTAL (AO, CXL, CRT) :****-120.00**

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**TOTAL (Trade Date) :****69,508.83****TOTAL (AO, CXL, CRT) :****-120.00**

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**TOTAL (RUN DATE) / NFS:****69,388.83**

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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