



Daily Compliance Activity Report

Trade Date: 01/09/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	AAL	S	10,000	28.94	n/a	n/a	500.00	0.0
BESSEMER INVESTMENT	085	AAPL	B	25	540.74	n/a	n/a	1.00	0.0
BESSEMER INVESTMENT	085	AET	B	3,920	71.01	n/a	n/a	156.80	0.0
BESSEMER INVESTMENT	085	AIG	B	860	52.12	n/a	n/a	34.40	0.0
ARDSLEY PARTNERS	280	ASHR	S	225,000	23.18	n/a	n/a	11,250.00	0.0
BESSEMER INVESTMENT	085	AWK	B	225	41.62	n/a	n/a	9.00	0.0
INTERVAL PARTNERS	033	AXL	SS	19,000	19.88	n/a	19-Jun	570.00	0.0
SANDLER O'NEILL ASSET	031	AXP	B	15,000	88.84	n/a	19-Jun	750.00	0.0
TYVOR CAPITAL LLC	031	BIG	B	30,000	30.94	n/a	n/a	900.00	0.0
HERRING CREEK CAPITAL	040	CLF	SS	36,197	23.04	n/a	n/a	1,085.91	0.0
BESSEMER INVESTMENT	085	CMI	B	20	138.56	n/a	n/a	0.80	0.0
BESSEMER INVESTMENT	085	COP	B	850	69.68	n/a	n/a	34.00	0.0
MATRIX ASSET ADV.	091	COP	B	700	69.55	n/a	n/a	28.00	0.0
BESSEMER INVESTMENT	085	CTL	B	1,140	31.00	n/a	n/a	45.60	0.0
MATRIX ASSET ADV.	091	CVX	B	500	122.72	n/a	n/a	20.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	C	B	935	55.11	n/a	17-Jun	37.40	0.0
SANDLER O'NEILL ASSET	031	DFS	SS	25,000	55.00	n/a	19-Jun	1,250.00	0.0
BESSEMER INVESTMENT	085	DG	B	3,140	60.60	n/a	4-Jun	125.60	0.0
PRIMECAP MGMT	084	EMC	B	12,000	25.25	n/a	26-Feb	480.00	0.0
NUDGE CAPITAL FUND LP	006	FDO	B	4,000	61.05	n/a	4-Jun	120.00	0.0
PATRIOT STRATEGY PARTNERS	036	FNMA	B	25,000	3.30	n/a	n/a	1,250.00	0.0
CAERUS GLOBAL	041	F	SS	25,000	16.01	n/a	19-Jun	1,000.00	0.0
NUDGE CAPITAL FUND LP	006	GMCR	B	5,000	80.40	n/a	n/a	150.00	0.0
GAMCO ASSET MNGMT	025	GNC	B	7,700	55.51	n/a	n/a	231.00	0.0
FARBER	006	HOV	S	113,000	6.18	n/a	n/a	2,825.00	0.0
EPOCH INV MGMT	030	IBKR	S	1,750	23.16	n/a	n/a	52.50	0.0
BESSEMER INVESTMENT	085	IBM	B	350	188.01	n/a	n/a	14.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	ISIS	B	51,131	44.74	n/a	n/a	1,533.93	0.0
BESSEMER INVESTMENT	085	KEY	B	580	13.76	n/a	n/a	23.20	0.0
SCOPUS FUND	041	LAD	S	2,512	65.93	n/a	n/a	100.48	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	LB	B	1,005	57.52	n/a	n/a	40.20	0.0
BESSEMER INVESTMENT	085	LO	B	115	49.29	n/a	n/a	4.60	0.0
IRIDIAN ASSET	036	LSI	S	218,640	10.98	n/a	n/a	10,932.00	0.0
ROYCE TRADING	031	MNK	S	7,500	55.36	n/a	n/a	375.00	0.0
BESSEMER INVESTMENT	085	MRO	B	110	34.58	n/a	n/a	4.40	0.0
BESSEMER INVESTMENT	085	MS	B	120	31.55	n/a	6-Jun	4.80	0.0
HOLLIS CAPITAL	033	MS	B	15,000	31.55	n/a	6-Jun	750.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	35.84	n/a	18-Jun	750.00	0.0
BESSEMER INVESTMENT	085	MYL	B	215	44.98	n/a	17-Jun	8.60	0.0
BESSEMER INVESTMENT	085	M	B	1,495	55.83	n/a	18-Jun	59.80	0.0
GAMCO ASSET MNGMT	025	M	S	15,000	55.75	n/a	18-Jun	450.00	0.0
SCOPUS FUND	041	M	B	50,000	55.82	n/a	18-Jun	2,000.00	0.0
WAGONHOUND/NICOLAS	033	M	S	4,178	55.19	n/a	18-Jun	167.12	0.0
PRIMECAP MGMT	084	NVDA	B	38,000	15.80	n/a	n/a	1,520.00	0.0
LATEEF MGMT	033	NYCB	S	5,175	17.25	n/a	24-Apr	482.50	0.0
ARDSLEY PARTNERS	280	NYLD	SS	10,000	38.65	n/a	n/a	500.00	0.0
BESSEMER INVESTMENT	085	PFE	B	2,475	30.80	n/a	n/a	99.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	091	PG	B	500	80.38	n/a	17-Jun	20.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	1,260	73.97	n/a	n/a	50.40	0.0
FIRST NEW YORK	086	RAD	B	20,000	5.63	n/a	n/a	1,000.00	0.0
COLUMBUS CIRCLE	036	RATE	S	3,249	16.20	n/a	n/a	129.96	0.0
DONALD SMITH	088	RCL	S	95,900	47.20	n/a	n/a	2,877.00	0.0
BESSEMER INVESTMENT	085	TGT	B	930	63.47	n/a	23-May	37.20	0.0
BESSEMER INVESTMENT	085	TMO	B	800	113.95	n/a	n/a	32.00	0.0
ROYCE TRADING	031	TPH	B	6,000	18.56	n/a	n/a	300.00	0.0
BRONSON POINT	036	T	C	50,000	33.62	n/a	n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	UNP	B	35	167.86	n/a	n/a	1.40	0.0
BESSEMER INVESTMENT	085	VLO	B	65	52.72	n/a	n/a	2.60	0.0
SYMPHONY ASSET	033	VOD	B	16,260	39.01	n/a	n/a	487.80	0.0
BESSEMER INVESTMENT	085	WAG	B	85	61.03	n/a	n/a	3.40	0.0
ROYCE TRADING	031	WD	B	5,000	15.79	n/a	n/a	250.00	0.0
PRIMECAP MGMT	084	WFC	B	20,000	46.06	n/a	6-Jun	800.00	0.0

TOTAL (Trade Date):

50,218.40

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/08	NUDGE CAPITAL FUND LP (NUDGGS)	006	FDO	SS	4,000	65.23	n/a	4-Jun	200.00 0.0
AO,CRT	01/08	NUDGE CAPITAL FUND LP (NUDGGS)	006	FDO	SS	4,000	65.23	n/a	4-Jun	120.00 0.0
CRT	01/09	FARBER (FARBGS)	006	HOV	S	113,000	6.18	n/a	n/a	2825.00 0.0

TOTAL (AO, CXL, CRT) :	2,745.00
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TOTAL (Trade Date) :	50,218.40
TOTAL (AO, CXL, CRT) :	2,745.00

TOTAL (RUN DATE) / NFS :	52,963.40
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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