



Daily Compliance Activity Report

Trade Date: 08/26/2013

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	52	507.89	n/a	n/a	2.08	4.0
LATEEF MGMT	033	AAPL	S	50	504.84	n/a	n/a	30.00	60.0
DAVIDSON KEMPNER ADVISOR	281	AAP	B	12,500	83.45	n/a	n/a	625.00	5.0
BESSEMER INVESTMENT	085	ACE	B	325	90.27	n/a	n/a	13.00	4.0
BESSEMER INVESTMENT	085	ACN	B	180	74.16	n/a	n/a	7.20	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ADT	B	5,000	41.20	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	AET	B	410	64.40	n/a	n/a	16.40	4.0
BESSEMER INVESTMENT	085	AIG	B	390	47.70	n/a	n/a	15.60	4.0
ALLIANZ/NICOLAS APPLGATE	084	AMGN	S	74,100	114.45	n/a	n/a	1,482.00	2.0
B BUCK CAPITAL MGMT		ANN	C	30,000	34.67	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	10,000	13.42	n/a	n/a	300.00	3.0
f DAVID GEORGE BUCK	FID	ARE	B	250	62.43	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	ARE	B	250	62.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	S	188,100	8.74	n/a	n/a	non-brg	3.0
BESSEMER INVESTMENT	085	AVGO	B	665	37.49	n/a	n/a	26.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	AWK	B	700	41.67	n/a	n/a	28.00	4.0
f DAVID GEORGE BUCK	FID	BAM	S	3000	35.08	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	BAM	S	600	35.06	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	BAM	S	500	35.07	n/a	n/a	0.00	0.0
AMICI CAPITAL N/C FROM PORTER-ORLIN044		BCRX		SS	10,000	6.96	n/a	n/a	400.00 4.0
LATEEF MGMT	033	BDN	B	1,500	13.11	n/a	n/a	120.00	8.0
B BUCK CAPITAL MGMT		BID	C	35,000	47.51	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BIG	C	20,000	34.14	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	BNS	SS	25,000	55.97	n/a	n/a	1,250.00	5.0
1798 CAP/LOMBARD ASSET	040	BONT	S	115,500	12.45	23-Aug	22-Aug	5,775.00	5.0
BERYLSON CAPITAL	030	BONT	B	128,304	12.35	23-Aug	22-Aug	3,849.12	3.0
GUGGENHEIM GLOBAL TRADING (GGT)251		BRE	B	14,100	49.72		n/a n/a	423.00	3.0
PROVIDENCE EQUITY CAP. MKTS.040		CBB	S	197,000	3.05	n/a	n/a	3,940.00	2.0
LATEEF MGMT	033	CBLPRD	B	300	24.06	n/a	n/a	30.00	10.0
f DAVID GEORGE BUCK	FID	CBS	B	400	53.22	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CBS	B	400	53.22	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	CME	B	3,000	72.33	n/a	n/a	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	CMG	S	56,259	404.08	n/a	n/a	2,812.95	5.0
BESSEMER INVESTMENT	085	COH	B	340	53.01	31-Jul	30-Jul	13.60	4.0
BESSEMER INVESTMENT	085	COP	B	315	66.59	n/a	n/a	12.60	4.0
LATEEF MGMT	033	CSCO	S	400	23.94	n/a	n/a	40.00	10.0
BESSEMER INVESTMENT	085	CTL	B	310	33.21	n/a	n/a	12.40	4.0
BESSEMER INVESTMENT	085	CVS	B	360	58.55	n/a	n/a	14.40	4.0
BESSEMER INVESTMENT	085	C	B	415	50.07	n/a	23-Aug	16.60	4.0
LATEEF MGMT	033	DE	B	375	85.19	n/a	n/a	56.25	15.0
BESSEMER INVESTMENT	085	DG	B	675	55.81	n/a	n/a	27.00	4.0
LATEEF MGMT	033	DRE	B	1,200	14.95	n/a	n/a	120.00	10.0
B BUCK CAPITAL MGMT		DSW	C	30,300	81.37	n/a	n/a	non-brg	4.0
LISTED ERR	099	DVR	B	7,369	2.04	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	287	ECA	SS	100,000	17.41	n/a	n/a	3,000.00	3.0
f DAVID GEORGE BUCK	FID	EW	S	15	0.90	n/a	n/a	0.00	0.0
f LARA HUNT SMITH	FID	FB	S	15	0.29	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MICHAEL ALEXANDER SM	FID	FB	S	10	0.28	n/a	n/a	0.00	0.0
f	MICHAEL ALEXANDER SM	FID	FB	S	50	0.30	n/a	n/a	0.00	0.0
	NEUBERGER BERMAN	036	FFIN	B	1,900	60.52	n/a	n/a	76.00	4.0
	MACELLUM CAPITAL	086	FIVE	B	14,000	38.01	n/a	n/a	420.00	3.0
	SEVEN LOCKS CAPITAL	025	FOXA	S	50,000	32.40	n/a	n/a	1,500.00	3.0
B	BUCK CAPITAL MGMT		GCO	B	25,000	69.45	n/a	n/a	non-brg	4.0
f	IAN L MILLER	FID	GDX	S	50	30.81	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		GIII	B	10,000	46.60	9-Aug[i]	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		GIII	B	2,455	45.94	9-Aug[i]	n/a	non-brg	2.5
	LATEEF MGMT	033	GIS	B	225	49.71	n/a	n/a	40.50	18.0
	DAVIDSON KEMPNER ADVISOR	281	GM	B	50,000	35.19	n/a	16-Aug	2,500.00	5.0
	BESSEMER INVESTMENT	085	IBM	B	175	185.41	n/a	n/a	7.00	4.0
	LATEEF MGMT	033	INTC	B	350	22.37	n/a	n/a	35.00	10.0
	LATEEF MGMT	033	IP	B	650	47.25	n/a	15-Aug	80.00	15.0
	NOMURA/ANGEL LANE PRINCIPAL	040	IP	B	50,000	47.54	n/a	15-Aug	1,500.00	3.0
	BESSEMER INVESTMENT	085	ITW	B	200	73.54	n/a	n/a	8.00	4.0
	MERRILL ASSET/BLACKROCK	085	JLL	B	9,800	84.47	n/a	n/a	392.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
LATEEF MGMT	033	K	B	100	62.02	n/a	n/a	30.00	30.0	
PAULSON & CO INC	041	LIFE	S	67,923	74.47	n/a	n/a	2,037.69	3.0	
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	15.16	n/a	26-Aug	2,500.00	5.0	
BESSEMER INVESTMENT	085	LTD	B	370	58.96	n/a	n/a	14.80	4.0	
BESSEMER INVESTMENT	085	MRO	B	650	33.34	n/a	n/a	26.00	4.0	
SANDLER O'NEILL ASSET	031	MS	S	50,000	26.51	n/a	23-Aug	2,500.00	5.0	
BESSEMER INVESTMENT	085	M	B	600	44.40	15-Aug	14-Aug	24.00	4.0	
BESSEMER INVESTMENT	085	NLSN	B	675	34.67	n/a	n/a	27.00	4.0	
SCOGGIN LLC	041	ONXX	S	23,000	123.58	n/a	n/a	1,150.00	5.0	
BESSEMER INVESTMENT	085	PFE	B	1,175	28.24	n/a	n/a	47.00	4.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	PF	S	6,300	28.30		n/a	n/a	189.00	3.0
LAKEWOOD CAPITAL MGMT	085	PRI	S	10,000	38.86	n/a	n/a	300.00	3.0	
BESSEMER INVESTMENT	085	QCOM	B	460	67.12	n/a	n/a	18.40	4.0	
CAMBIAR CAP	046	RDEN	B	8,790	35.35	9-Aug	8-Aug	351.60	4.0	
PIMCO	084	SAVE	B	20,000	31.15	n/a	19-Aug	400.00	2.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	SHW	B	1,000	171.90		n/a	n/a	30.00	3.0
COLUMBUS CIRCLE	036	SONS	B	39,910	3.54	n/a	n/a	1,596.40	4.0	
SANDLER O'NEILL ASSET	031	STT	S	22,700	69.86	n/a	23-Aug	1,135.00	5.0	
GUGGENHEIM GLOBAL TRADING	(GGT)251	SUSS	B	8,169	47.48		n/a	n/a	245.07	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	TFSL	S	12,100	11.26		n/a	n/a	363.00	3.0
BESSEMER INVESTMENT	085	TGT	B	430	64.48	n/a	22-Aug	17.20	4.0	
MERRILL ASSET/BLACKROCK	085	THG	B	15,300	55.90	n/a	n/a	612.00	4.0	
BESSEMER INVESTMENT	085	TMO	B	335	91.27	n/a	n/a	13.40	4.0	
LOMBARDIA CAP MGMT	084	TPC	S	26,727	19.54	n/a	n/a	1,069.08	4.0	
LATEEF MGMT	033	T	B	650	33.95	n/a	n/a	80.00	15.0	
BESSEMER INVESTMENT	085	UNP	B	123	157.43	n/a	n/a	4.92	4.0	
BESSEMER INVESTMENT	085	VIAB	B	460	80.28	n/a	n/a	18.40	4.0	
NEUBERGER BERMAN	036	VPFG	B	764	21.07	n/a	n/a	30.56	4.0	
BESSEMER INVESTMENT	085	WAG	B	575	49.25	n/a	n/a	23.00	4.0	
f DAVID GEORGE BUCK	FID	WAG	B	350	49.11	n/a	n/a	0.00	0.0	
NEWLAND CAPITAL MGT	025	WG	S	10,000	9.94	n/a	n/a	300.00	3.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	WRIPRF	B	364	24.94	n/a	n/a	36.40	10.0
B BUCK CAPITAL MGMT		WSM	C	50,000	59.94	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	B	20,000	28.21	n/a	26-Aug	600.00	3.0
ROSEDALE CAPITAL	046	XLU	S	10,000	37.50	n/a	n/a	400.00	4.0
LATEEF MGMT	033	XOM	B	1,125	87.18	n/a	n/a	187.50	20.0
f DAVID GEORGE BUCK	FID	XON	B	1500	23.29	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	25,000	79.00	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	440	80.77	n/a	n/a	17.60	4.0
TOTAL (Trade Date) :								48,432.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/22	MAPLE ROW	006	AXL	B	2,500	20.42-2013-08-05-2013-08-16	75.00	3.0	
AO,CXL	08/22	MAPLE ROW	006	AXL	B	2,500	20.42-2013-08-05-2013-08-16	125.00	0.0	
AO,CXL	08/21	MACELLUM CAPITAL	086	BONT	SS	116,944	14.42-2013-08-23-2013-08-22	3508.32	0.0	
AO,CRT	08/21	MACELLUM CAPITAL	086	BONT	SS	116,944	14.42-2013-08-23-2013-08-22	3508.32	0.0	
AO,	08/22	LISTED ERR	099	DVR	S	7,369	2.05	n/a	n/a	0.00 0.0
AO,CRT	08/22	MAPLE ROW	006	KBH	B	7,500	17.06	n/a	n/a	225.00 3.0
AO,CXL	08/22	MAPLE ROW	006	KBH	B	7,500	17.06	n/a	n/a	375.00 0.0
AO,CRT	08/22	MAPLE ROW	006	LEN	B	7,500	33.53	n/a	n/a	225.00 3.0
AO,CXL	08/22	MAPLE ROW	006	LEN	B	7,500	33.53	n/a	n/a	375.00 0.0
AO,CXL	08/22	MAPLE ROW	006	LRCX	B	7,500	48.29	n/a	n/a	375.00 0.0
AO,CRT	08/22	MAPLE ROW	006	LRCX	B	7,500	48.29	n/a	n/a	225.00 3.0
AO,CXL	08/22	MAPLE ROW	006	MAS	B	5,000	19.43	n/a	n/a	250.00 0.0
AO,CRT	08/22	MAPLE ROW	006	MAS	B	5,000	19.43	n/a	n/a	150.00 3.0
AO,CRT	08/23	MATRIX ASSET ADV.	091	MET	S	1,500	48.40	n/a	n/a	60.00 4.0
AO,CXL	08/23	MATRIX ASSET ADV.	091	MET	S	1,500	48.40	n/a	n/a	60.00 0.0
AO,CRT	08/22	MAPLE ROW	006	MU	B	25,000	13.84	n/a	n/a	750.00 3.0
AO,CXL	08/22	MAPLE ROW	006	MU	B	25,000	13.84	n/a	n/a	1250.00 0.0
AO,CXL	08/22	MAPLE ROW	006	PHM	B	7,500	16.37	n/a	n/a	375.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/22	MAPLE ROW	006	PHM	B	7,500	16.37	n/a	n/a	225.00 3.0
AO,CRT	08/22	MAPLE ROW	006	TOL	B	12,500	32.16	n/a	n/a	375.00 3.0
AO,CXL	08/22	MAPLE ROW	006	TOL	B	12,500	32.16	n/a	n/a	625.00 0.0
AO,CXL	08/23	FOCUSED INVESTORS	084	TPC	S	54	19.20	n/a	n/a	2.16 0.0
AO,CRT	08/23	LOMBARDIA CAP MGMT	084	TPC	S	54	19.20	n/a	n/a	2.16 0.0

TOTAL (AO, CXL, CRT) :	-1,500.00
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TOTAL (Trade Date) :	48,432.32
TOTAL (AO, CXL, CRT) :	-1,500.00

TOTAL (RUN DATE) / NFS:	46,932.32
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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 26-Aug.
NONE

MRI Securities without Trade Activity on 26-Aug.
GD, FL, NOC

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)