



Daily Compliance Activity Report

Trade Date: 11/25/2013

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	65	524.15	n/a	n/a	2.60	4.0
BESSEMER INVESTMENT	085	ACE	B	250	102.37	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	ACN	B	170	77.14	n/a	n/a	6.80	4.0
f EDWARD W WHEELER	FID	ADT	B	10000	40.37	n/a	n/a	0.00	0.0
CADIAN CAPITAL	041	AEO	C	20,000	16.20	n/a	n/a	600.00	3.0
BESSEMER INVESTMENT	085	AET	B	300	68.59	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	AIG	B	320	49.81	n/a	n/a	12.80	4.0
FORTRESS INVESTMENT (US)	036	ALV	B	22,500	92.15	n/a	19-Nov	900.00	4.0
DC CAPITAL	044	ARO	S	25,000	10.41	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	AVGO	B	460	43.66	n/a	n/a	18.40	4.0
BESSEMER INVESTMENT	085	AWK	B	700	42.14	n/a	n/a	28.00	4.0
UNITED STATES PENSION	085	BA	S	43,492	134.00	28-Oct	13-Nov	1,739.68	4.0
B BUCK CAPITAL MGMT		BKW	C	50,100	20.93	n/a	30-Oct	non-brg	4.0
BASSWOOD PARTNERS	267	BK	S	55,395	33.87	n/a	15-Nov	2,215.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	CATO	S	14,820	34.10	n/a	n/a	592.80	4.0
MOORE CAPITAL	257	CAT	C	20,000	84.77	n/a	n/a	600.00	3.0
LATEEF MGMT	033	CBL	B	150	18.22	n/a	n/a	30.00	20.0
BESSEMER INVESTMENT	085	CMI	B	65	130.69	n/a	12-Nov	2.60	4.0
BESSEMER INVESTMENT	085	COP	B	240	72.82	n/a	n/a	9.60	4.0
BADGE CAPITAL	030	CPB	SS	2,000	39.10	n/a	n/a	70.00	4.0
DC CAPITAL	044	CROX	S	40,000	13.37	n/a	n/a	1,600.00	4.0
BESSEMER INVESTMENT	085	CTL	B	320	30.65	n/a	n/a	12.80	4.0
BESSEMER INVESTMENT	085	CVS	B	300	66.68	n/a	n/a	12.00	4.0
LATEEF MGMT	033	CVS	S	100	66.73	n/a	n/a	30.00	30.0
BESSEMER INVESTMENT	085	C	B	330	53.29	n/a	19-Nov	13.20	4.0
BRANDWINE	028	DDS	B	8,940	91.73	15-Nov	15-Nov	357.60	4.0
J. GOLDMAN	028	DE	B	35,000	84.73	n/a	n/a	1,400.00	4.0
BESSEMER INVESTMENT	085	DG	B	440	58.39	n/a	n/a	17.60	4.0
BADGE CAPITAL	030	EAT	B	1,550	47.62	n/a	30-Oct	54.25	4.0
SANDLER CAPITAL	028	EMR	S	125,000	67.49	n/a	n/a	6,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	EQIX	B	2000	162.54	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FINL	S	25,000	27.18	n/a	20-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		FINL	S	30,000	26.91	n/a	20-Nov	non-brg	4.0
f KELLY ELIZABETH CLIF	FID	FNSXX	S	532	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FNSXX	S	444	1.00	n/a	n/a	0.00	0.0
f DANIEL JORDAN COHEN	FID	FOR	S	60	19.64	n/a	21-Nov	0.00	0.0
f JASON ERIC COHEN	FID	FOR	S	280	19.67	n/a	21-Nov	0.00	0.0
LATEEF MGMT	033	GE	S	125	26.77	n/a	n/a	31.25	25.0
PATTEN & PATTEN	025	GLD	S	300	120.42	n/a	n/a	15.00	5.0
PEAK INV/OAKMONT/CYPRESS	084	GM	B	250,000	37.64	n/a	21-Nov	10,000.00	4.0
ROSEDALE CAPITAL	046	GM	B	15,000	37.54	n/a	21-Nov	600.00	4.0
CORTEX CAPITAL	031	GNTX	SS	20,000	29.54	n/a	19-Nov	600.00	3.0
INTERVAL PARTNERS	033	GPS	SS	15,000	41.20	n/a	n/a	450.00	3.0
MACELLUM CAPITAL	086	GPS	B	69,000	41.17	n/a	n/a	2,070.00	3.0
LATEEF MGMT	033	GSPRD	B	250	19.16	n/a	n/a	25.00	10.0
CR INTRINIC INVESTMENT	044	GT	S	50,000	22.11	n/a	n/a	1,500.00	3.0
HAWK RIDGE	025	HMHC	B	16,674	16.23	n/a	n/a	500.22	3.0
COLUMBUS CIRCLE	036	IACI	S	2,062	55.92	n/a	n/a	82.48	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	IBM	B	120	178.99	n/a	n/a	4.80	4.0
CORTEX CAPITAL	031	IBM	SS	4,000	179.96	n/a	n/a	120.00	3.0
FORTRESS INVESTMENT (US)	036	INGERSOLL-RAND	PLCB	9,205	55.12		n/a	n/a	368.20 4.0
TUDOR INVESTORS	028	IR	S	5,000	69.08	15-Nov	19-Nov	150.00	3.0
BESSEMER INVESTMENT	085	ITW	B	260	79.36	n/a	n/a	10.40	4.0
LATEEF MGMT	033	JCI	S	150	50.39	21-Nov	21-Nov	30.00	20.0
SCOPUS FUND	041	JCP	B	40,000	9.29	n/a	21-Nov	1,600.00	4.0
BESSEMER INVESTMENT	085	KEY	B	675	12.98	n/a	n/a	27.00	4.0
LATEEF MGMT	033	KR	S	125	42.52	n/a	n/a	31.25	25.0
CASTLE ARK	031	LECO	S	30,000	71.26	n/a	n/a	1,200.00	4.0
BESSEMER INVESTMENT	085	LO	B	250	52.27	n/a	n/a	10.00	4.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	B	50,000	15.79	n/a	22-Nov	2,500.00	5.0
BESSEMER INVESTMENT	085	LTD	B	310	64.30	n/a	n/a	12.40	4.0
PENNANT CAP MGMT	250	MDP	B	50,000	52.88	n/a	n/a	1,500.00	3.0
KENNEDY CAPITAL	046	MGAM	B	9,881	28.74	n/a	n/a	395.24	4.0
BESSEMER INVESTMENT	085	MRO	B	320	36.94	n/a	n/a	12.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	MSFT	S	200	37.64	n/a	n/a	60.00	30.0
BESSEMER INVESTMENT	085	MS	B	300	31.61	n/a	15-Nov	12.00	4.0
BESSEMER INVESTMENT	085	MYL	B	725	44.31	n/a	18-Nov	29.00	4.0
BESSEMER INVESTMENT	085	M	B	490	52.21	14-Nov	14-Nov	19.60	4.0
METROPOLITAN CAPITAL	044	M	S	14,817	51.54	14-Nov	14-Nov	740.85	5.0
LATEEF MGMT	033	NEM	B	250	25.49	n/a	n/a	32.50	13.0
BESSEMER INVESTMENT	085	NLSN	B	280	42.01	n/a	n/a	11.20	4.0
PATTEN & PATTEN	025	NOK	B	10,000	8.10	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	NSC	S	200	87.22	n/a	n/a	10.00	5.0
B BUCK CAPITAL MGMT		NVGS	B	25,000	20.00	n/a	n/a	non-brg	4.0
LATEEF MGMT	033	NYCB	S	175	16.50	n/a	n/a	18.75	11.0
LATEEF MGMT	033	OI	S	125	33.01	n/a	n/a	31.25	25.0
CADIAN CAPITAL	041	PETM	SS	14,000	74.00	n/a	n/a	420.00	3.0
EATON VANCE MGMT	029	PFE	S	748,165	32.29	n/a	n/a	22,444.95	3.0
f JOHN FRANCIS MCERLEA	FID	PSUN	S	2000	2.97	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	370	72.38	n/a	n/a	14.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f IAN L MILLER	FID	RL	S	7	175.24	n/a	7-Nov	0.00	0.0
SAC CHRIS C	041	STJ	B	75,000	58.63	n/a	n/a	2,250.00	3.0
UNITED STATES PENSION	085	STT	S	135,000	72.66	n/a	15-Nov	5,400.00	4.0
KLEINHEINZ CAP PART	031	SWN	B	50,000	39.38	n/a	n/a	2,500.00	5.0
BESSEMER INVESTMENT	085	TGT	B	310	63.66	n/a	22-Nov	12.40	4.0
BESSEMER INVESTMENT	085	TMO	B	250	102.13	n/a	n/a	10.00	4.0
f ALANA J A MADIGAN-SI	FID	TWTR	B	100	40.49	n/a	n/a	0.00	0.0
LATEEF MGMT	033	UAL	S	225	39.91	20-Nov	25-Nov	56.25	25.0
BESSEMER INVESTMENT	085	UNP	B	140	162.24	n/a	n/a	5.60	4.0
SAC CHRIS C	041	VAR	SS	21,408	75.87	n/a	n/a	642.24	3.0
B BUCK CAPITAL MGMT		VNCE	B	21,700	27.70	n/a	n/a	non-brg	4.0
SEVEN LOCKS CAPITAL	025	VOLC	B	65,200	21.97	n/a	n/a	1,956.00	3.0
PENNANT CAP MGMT	250	VPRT	B	38,000	57.37	n/a	n/a	1,140.00	3.0
BESSEMER INVESTMENT	085	WAG	B	240	59.97	n/a	n/a	9.60	4.0
MADISON ST PARTNERS LLC	046	WFC	S	17,500	44.46	n/a	15-Nov	875.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	80.34	15-Nov	25-Nov	750.00	3.0
8 BUCK CAPITAL MGMT		XRT	C	290,000	87.70	n/a	n/a	non-brg	3.0
BESSEMER INVESTMENT	085	ZMH	B	360	89.82	n/a	n/a	14.40	4.0
TOTAL (Trade Date):								81,410.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/22	MACELLUM CAPITAL	086	ANF	B	63,000	33.74	n/a	n/a	1890.00 0.0
AO,CXL	11/22	MACELLUM CAPITAL	086	ANF	B	63,000	33.74	n/a	n/a	1890.00 0.0
AO,	11/22	BMO / M&I FUNDS	047	ARO	B	12,900	10.29	n/a	n/a	516.00 0.0
AO,CXL	11/22	BMO / M&I FUNDS	086	ARO	B	12,900	10.29	n/a	n/a	516.00 0.0
AO,	11/22	MACELLUM CAPITAL	086	FL	B	126,000	38.38-2013-11-25-2013-11-22			3780.00 0.0
AO,CXL	11/22	MACELLUM CAPITAL	086	FL	B	126,000	38.41-2013-11-25-2013-11-22			3780.00 0.0
AO,CXL	11/22	CAERUS GLOBAL	041	GM	B	205	37.96	n/a-2013-11-21		8.20 0.0
AO,CRT	11/22	CAERUS GLOBAL	041	GM	B	205	37.96	n/a-2013-11-21		8.20 0.0
AO,CRT	11/22	COUGAR TRADING	044	JBLU	B	25,000	9.14	n/a-2013-11-25		1000.00 0.0
AO,CXL	11/22	COUGAR TRADING	044	JBLU	B	25,000	9.14	n/a-2013-11-25		1250.00 0.0
AO,	11/22	MACELLUM CAPITAL	086	ROST	SS	32,064	74.41	n/a-2013-11-22		961.92 0.0
AO,CXL	11/22	MACELLUM CAPITAL	086	ROST	SS	32,064	74.41	n/a-2013-11-22		961.92 0.0

TOTAL (AO, CXL, CRT) :**-250.00**

TOTAL (Trade Date) :

81,410.96

TOTAL (AO, CXL, CRT) :

-250.00

TOTAL (RUN DATE) / NFS:**81,160.96**



BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CXL	11/22	BUCK CAPITAL MGMT.	FINL	S	20,000	26.31	n/a-2013-11-20	800.00
CRT	11/22	BUCK CAPITAL MGMT	FINL	S	16,195	26.39	n/a-2013-11-20	485.85 3.0
CXL	11/22	BUCK CAPITAL MGMT.	FINL	S	20,000	26.31	n/a-2013-11-20	800.00
CRT	11/22	BUCK CAPITAL MGMT	FINL	S	14,800	26.50	n/a-2013-11-20	296.00 2.0
CXL	11/22	BUCK CAPITAL MGMT.	FINL	S	20,000	26.31	n/a-2013-11-20	800.00
CRT	11/22	BUCK CAPITAL MGMT	FINL	S	50,000	26.49	n/a-2013-11-20	2000.00 4.0
CXL	11/22	BUCK CAPITAL MGMT.	FINL	S	20,000	26.31	n/a-2013-11-20	800.00
CRT	11/22	BUCK CAPITAL MGMT	FINL	S	20,000	26.31	n/a-2013-11-20	800.00 4.0

MRI Securities with Trade Activity on 25-Nov.
NONE

MRI Securities without Trade Activity on 25-Nov.
FL

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)