



# Daily Compliance Activity Report

Trade Date: 01/13/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	AAL	B	150,000	28.98	n/a	23-Dec	4,500.00	3.0
TUDOR INVESTORS	028	AAL	B	5,000	29.11	n/a	23-Dec	150.00	3.0
BESSEMER INVESTMENT	085	AAPL	B	40	542.18	n/a	n/a	1.60	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>1000</b>	<b>532.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>90,000</b>	<b>14.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	AET	B	275	71.49	n/a	n/a	11.00	4.0
NEUBERGER BERMAN	036	AET	B	10,000	71.34	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	AIG	B	205	52.21	n/a	n/a	8.20	4.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>ALGN</b>	<b>B</b>	<b>75</b>	<b>58.45</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>ALGN</b>	<b>B</b>	<b>140</b>	<b>58.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	ALGT	B	26,109	102.33	n/a	13-Jan	1,044.36	4.0
IVORY CAPITAL	084	ATI	B	50,000	35.23	n/a	8-Jan	2,500.00	5.0
J. GOLDMAN	028	AVY	SS	10,500	50.50	n/a	n/a	420.00	4.0
BESSEMER INVESTMENT	085	AWK	B	480	41.98	n/a	n/a	19.20	4.0
SAGE ASSET MGMT	025	AXL	B	9,500	19.31	n/a	13-Jan	475.00	5.0
SANDLER O'NEILL ASSET	031	AXP	SS	15,000	87.45	n/a	13-Jan	750.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>C</b>	<b>7,300</b>	<b>68.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	IVORY CAPITAL	084	BBBY	B	50,000	68.66	n/a	n/a	2,500.00	5.0
	NEUBERGER BERMAN	036	BBBY	B	10,000	69.19	n/a	n/a	400.00	4.0
	BTIG/LIGHT STREET CAPITAL	044	BBRY	S	50,000	8.41	n/a	n/a	1,500.00	3.0
	WALL STREET CAPITAL	084	BEE	B	75,926	9.37	n/a	n/a	3,037.04	4.0
	PRIMECAP MGMT	084	BRKB	S	4,500	114.90	n/a	n/a	180.00	4.0
	J. GOLDMAN	028	CAB	B	40,000	67.28	n/a	n/a	1,600.00	4.0
	BESSEMER INVESTMENT	085	CMI	B	55	137.55	n/a	19-Dec	2.20	4.0
	BALYASNY ASSET MGMT	044	COH	C	60,000	54.24	n/a	n/a	3,000.00	5.0
	BESSEMER INVESTMENT	085	COP	B	180	68.27	n/a	n/a	7.20	4.0
	TUDOR INVESTORS	028	CSX	B	10,000	28.95	n/a	19-Dec	300.00	3.0
	BESSEMER INVESTMENT	085	CTL	B	230	31.11	n/a	n/a	9.20	4.0
<b>f</b>	<b>YANAI A FRANK</b>	<b>FID</b>	<b>CYH</b>	<b>B</b>	<b>400</b>	<b>40.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	BESSEMER INVESTMENT	085	C	B	240	54.38	9-Jan	9-Jan	9.60	4.0
	NEUBERGER BERMAN	036	DAL	B	433,826	31.48	n/a	6-Jan	17,353.04	4.0
<b>f</b>	<b>EDWARD W WHEELER</b>	<b>FID</b>	<b>DAN</b>	<b>B</b>	<b>200</b>	<b>0.29</b>	<b>n/a</b>	<b>13-Jan</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	DDS	SS	15,980	92.55	n/a	6-Jan	799.00	5.0
MATRIX ASSET ADV.	091	DD	B	700	63.01	n/a	n/a	28.00	4.0
BESSEMER INVESTMENT	085	DG	B	250	62.30	n/a	9-Jan	10.00	4.0
ARDSLEY PARTNERS/RIDGECREST		306 DLPH		S	10,000	60.52	n/a	n/a	500.00 5.0
SENATOR INVEST GROUP	287	DOW	B	300,000	42.32	n/a	n/a	9,000.00	3.0
NEUBERGER BERMAN	036	EBAY	B	10,000	52.77	n/a	n/a	400.00	4.0
TUDOR INVESTORS	028	ETN	B	5,000	75.44	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	FAST	B	5,000	47.20	n/a	n/a	150.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FBC</b>	<b>S</b>	<b>200</b>	<b>20.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SHEFFIELD ASSET MGMT	031	FDO	B	75,000	65.04	10-Jan	10-Jan	3,000.00	4.0
ROARING BLUE LION MGMT	031	FL	S	51,990	40.60	n/a	8-Jan	2,079.60	4.0
SURVEYOR CAPITAL	251	FL	B	50,103	40.60	n/a	8-Jan	2,004.12	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FWM</b>	<b>S</b>	<b>200</b>	<b>13.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	041	F	C	20,000	16.41	n/a	13-Jan	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>20,000</b>	<b>54.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	GM	B	75,000	39.97	n/a	13-Jan	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATRIOT STRATEGY PARTNERS	036	GM	B	30,000	40.32	n/a	13-Jan	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GNC	S	25,000	54.69	n/a	n/a	750.00	3.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>GSFRX</b>	<b>S</b>	<b>1666</b>	<b>10.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	084	GVA	S	2,000	35.06	n/a	n/a	80.00	4.0
ZWEIG FUNDS	006	HCA	S	50,000	51.27	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	HTZ	B	10,000	27.59	n/a	n/a	400.00	4.0
TUDOR INVESTORS	028	HTZ	B	5,000	27.33	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	IBM	B	90	186.39	n/a	n/a	3.60	4.0
NEUBERGER BERMAN	036	IP	S	62,300	48.91	n/a	10-Jan	2,492.00	4.0
HERRING CREEK CAPITAL	040	IT	SS	18,063	68.53	n/a	n/a	541.89	3.0
HAWK RIDGE	025	JBL	B	65,000	16.62	n/a	n/a	1,950.00	3.0
<b>f KATHLEEN M CLARKE</b>	<b>FID</b>	<b>JNJ</b>	<b>B</b>	<b>50</b>	<b>94.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	JWN	S	10,000	60.53	n/a	9-Jan	300.00	3.0
BESSEMER INVESTMENT	085	KEY	B	1,010	13.57	n/a	n/a	40.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>S</b>	<b>20,000</b>	<b>77.43</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
J. GOLDMAN	028	KSS	C	27,500	54.25	n/a	9-Jan	1,100.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	LB	B	190	57.77	n/a	n/a	7.60	4.0
BESSEMER INVESTMENT	085	LO	B	175	49.30	n/a	n/a	7.00	4.0
SAC CHRIS C	041	MDT	B	75,000	59.75	n/a	n/a	2,250.00	3.0
TUDOR INVESTORS	028	MHK	B	11,000	148.21	n/a	n/a	330.00	3.0
BESSEMER INVESTMENT	085	MRO	B	225	34.54	n/a	n/a	9.00	4.0
Õ Mario Sapienza		MSFT	B	500	35.09	n/a	n/a	0.00	0.0
Õ Mario Sapienza		MSFT	B	500	35.10	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	MS	B	180	31.32	9-Jan	9-Jan	7.20	4.0
NEUBERGER BERMAN	036	MS	S	71,555	31.04	9-Jan	9-Jan	2,862.20	4.0
BESSEMER INVESTMENT	085	MYL	B	510	45.92	n/a	9-Jan	20.40	4.0
BESSEMER INVESTMENT	085	M	B	360	56.27	9-Jan	9-Jan	14.40	4.0
J. GOLDMAN	028	M	S	35,000	56.14	9-Jan	9-Jan	1,400.00	4.0
TUDOR INVESTORS	028	NCS	B	5,000	18.49	n/a	n/a	150.00	3.0
PCO CAPITAL MGMT.	084	NDLS	SS	15,000	33.97	n/a	n/a	450.00	3.0
f JARROD MICHAEL FEINS	FID	ONVO	B	400	10.70	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	PFE	B	610	30.86	n/a	n/a	24.40	4.0
ß BUCK CAPITAL MGMT		PII	S	10,000	140.72	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>B</b>	<b>90,000</b>	<b>20.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	QCOM	B	245	74.06	n/a	n/a	9.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>S</b>	<b>15,000</b>	<b>169.70</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
J. GOLDMAN	028	SHOO	B	20,000	33.67	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>B</b>	<b>20,000</b>	<b>70.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROVER CAPITAL PARTNERS	040	SODA	B	2,000	39.73	n/a	n/a	80.00	4.0
INTERVAL PARTNERS	033	SPY	S	25,000	182.79	n/a	n/a	750.00	3.0
ROVER CAPITAL PARTNERS	040	SPY	SS	3,000	184.00	n/a	n/a	120.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>STSI</b>	<b>S</b>	<b>1000</b>	<b>1.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	TGT	B	210	61.81	n/a	10-Jan	8.40	4.0
BESSEMER INVESTMENT	085	TMO	B	180	114.00	n/a	n/a	7.20	4.0
<b>Õ Mario Sapienza</b>		<b>T</b>	<b>B</b>	<b>1000</b>	<b>33.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	UNP	B	70	170.21	n/a	19-Dec	2.80	4.0
BESSEMER INVESTMENT	085	VLO	B	125	52.84	n/a	n/a	5.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>VNCE</b>	<b>B</b>	<b>10,000</b>	<b>25.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>VNCE</b>	<b>B</b>	<b>10,900</b>	<b>25.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		VNCE	B	20,060	25.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VNCE	B	4,040	25.66	n/a	n/a	non-brg	3.0
BESSEMER INVESTMENT	085	WAG	B	150	60.92	n/a	n/a	6.00	4.0
PRIMECAP MGMT	084	WFC	B	5,000	45.74	9-Jan	9-Jan	200.00	4.0
BRONSON POINT	036	WMT	C	70,000	77.48	n/a	n/a	2,100.00	3.0
SIGMA CAPITAL ASSOCIATES	041	WSM	SS	75,000	57.17	n/a	n/a	2,250.00	3.0
CAERUS GLOBAL	041	WY	B	5,000	30.96	n/a	10-Jan	200.00	4.0
KLEINHEINZ CAP PART	031	XLE	SS	50,000	85.25	n/a	n/a	2,500.00	5.0
FORTRESS INVST (US)	036	XLI	SS	97,400	51.30	n/a	n/a	1,948.00	2.0
RBC CAPITAL MARKETS	040	XLI	B	20,000	51.68	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	XLI	SS	40,000	51.55	n/a	n/a	1,600.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>93,575.65</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/10	LOCUST WOOD CAPITAL MGMT	044	KMI	S	53,040	35.92	n/a	n/a	2121.60 0.0
AO,CXL	01/10	LOCUST WOOD CAPITAL MGMT	044	KMI	S	53,040	35.92	n/a	n/a	2121.60 0.0
AO,CRT	01/09	FIRST NEW YORK	086	RAD	B	20,000	5.63	n/a	n/a	800.00 0.0
AO,CXL	01/09	FIRST NEW YORK	086	RAD	B	20,000	5.63	n/a	n/a	1000.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-200.00</b>

TOTAL (Trade Date) :	93,575.65
TOTAL (AO, CXL, CRT) :	-200.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>93,375.65</b>
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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 13-Jan.  
NONE

MRI Securities without Trade Activity on 13-Jan.  
ACT, BONT, ENDP, ALK, MNK, PRGO, SSI, DFS

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)**