



# Daily Compliance Activity Report

Trade Date: 02/06/2014

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	SS	68,887	34.47	29-Jan	29-Jan	2,066.61	3.0
BESSEMER INVESTMENT	085	AAPL	B	40	513.15	n/a	n/a	1.60	4.0
EPOCH INV MGMT	030	ADP	B	760	74.15	n/a	n/a	22.80	3.0
BESSEMER INVESTMENT	085	AET	B	150	68.20	n/a	n/a	6.00	4.0
J. GOLDMAN	028	AGU	SS	15,000	86.41	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	AIG	B	155	47.67	n/a	n/a	6.20	4.0
LAKEWOOD CAPITAL MGMT	085	AIG	B	5,000	47.71	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	AVGO	B	510	55.40	n/a	n/a	20.40	4.0
BESSEMER INVESTMENT	085	AWK	B	475	41.75	n/a	n/a	19.00	4.0
S.A.C. CAPITAL	044	BA	SS	50,000	122.04	n/a	29-Jan	1,500.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>BRSS</b>	<b>B</b>	<b>10000</b>	<b>17.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JSRG CAPITAL PARTNERS LP	084	CCJ	S	80,000	20.41	n/a	n/a	2,400.00	3.0
EPOCH INV MGMT	030	CME	B	6,950	76.02	n/a	n/a	208.50	3.0
BESSEMER INVESTMENT	085	CMI	B	50	131.09	n/a	17-Jan	2.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CMI</b>	<b>B</b>	<b>9,000</b>	<b>125.40</b>	<b>n/a</b>	<b>17-Jan</b>	<b>non-brg</b>	<b>3.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	070	COH	S	17,500	46.41	n/a	24-Jan	875.00	5.0
BESSEMER INVESTMENT	085	COP	B	125	64.23	n/a	n/a	5.00	4.0
BESSEMER INVESTMENT	085	CTL	B	255	28.28	n/a	n/a	10.20	4.0
BESSEMER INVESTMENT	085	CVS	B	100	65.90	n/a	n/a	4.00	4.0
TROUBH PART	070	C	S	5,000	48.08	9-Jan	31-Jan	250.00	5.0
MOORE CAPITAL	257	DAL	B	50,000	31.21	22-Jan	22-Jan	1,500.00	3.0
BESSEMER INVESTMENT	085	DG	B	390	57.24	n/a	9-Jan	15.60	4.0
CALAMOS ADVISORS LLC	041	DHI	B	389,875	23.63	n/a	n/a	11,696.25	3.0
SONICA CAPITAL LLC	025	DHR	B	8,500	73.56	n/a	n/a	255.00	3.0
CORNERSTONE	030	DKS	S	96,993	50.78	n/a	5-Feb	3,879.72	4.0
INTERVAL PARTNERS	033	DKS	B	5,000	50.79	n/a	5-Feb	150.00	3.0
FARALLON CAP MGMT	040	EEM	SS	100,000	38.25	n/a	n/a	3,000.00	3.0
1798 CAP/LOMBARD ASSET	040	EMR	SS	8,000	63.93	n/a	n/a	240.00	3.0
<b>f</b> GERALD EPHRAM COHEN	<b>FID</b>	<b>ESSX</b>	<b>B</b>	<b>1000</b>	<b>3.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>ESSX</b>	<b>B</b>	<b>1001</b>	<b>3.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>EXPE</b>	<b>C</b>	<b>24,000</b>	<b>64.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		EXPE	C	25,300	64.62	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		EXPE	C	8,000	64.41	n/a	n/a	non-brg	3.0
f MARC PAUL LUCHANSKY	FID	FILEFX	B	49	10.25	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FPCIX	S	85	10.55	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	S	104	10.55	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FPIOX	S	49	10.27	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPIOX	S	58	10.27	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSCFX	B	60	13.28	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FSGFX	B	32	15.59	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSGFX	B	26	15.59	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FVSAX	B	51	17.51	n/a	n/a	0.00	0.0
AMICI CAPITAL N/C	044	F	SS	150,000	14.70	n/a	6-Feb	6,000.00	4.0
BMO / M&I FUNDS	047	GES	S	15,450	28.22	24-Jan	24-Jan	618.00	4.0
MOORE CAPITAL	257	GES	C	22,735	28.65	24-Jan	24-Jan	682.05	3.0
WHITE PINE CAPITAL	030	GES	C	2,000	28.70	24-Jan	24-Jan	100.00	5.0
CORTEX CAPITAL	031	GIL	B	10,000	51.36	24-Jan	6-Feb	300.00	3.0
CHARTERBRIDGE CAPITAL	025	GMCR	B	15,000	102.51	6-Feb	6-Feb	450.00	3.0
CHILTON CAPITAL MGMT	031	GMCR	S	21,545	104.28	6-Feb	6-Feb	861.80	4.0
B BUCK CAPITAL MGMT		GM	B	2,500	34.95	27-Jan	6-Feb	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	GM	B	10,000	35.36	27-Jan	6-Feb	500.00	5.0
PHILADELPHIA FINANCIAL	033	GM	C	20,000	34.57	27-Jan	6-Feb	800.00	4.0
TROUBH PART	070	GM	S	10,000	35.65	27-Jan	6-Feb	500.00	5.0
ROSEDALE CAPITAL	046	GTAT	S	30,000	9.43	n/a	n/a	1,200.00	4.0
GLG PARTNERS	280	HTZ	S	7,463	26.01	n/a	n/a	373.15	5.0
FOCUSED INVESTORS	084	IBM	B	80,400	174.50	n/a	n/a	3,216.00	4.0
ARDSLEY PARTNERS/RIDGECREST	306	IP	B	5,000	46.77		n/a 5-Feb	200.00	4.0
MOORE CAPITAL	257	IWM	SS	3,390	109.59	n/a	n/a	101.70	3.0
BTG PACTUAL	040	JBLU	B	25,000	8.70	n/a	30-Jan	750.00	3.0
BROADARCH CAP/OLD NEWC	006	JCI	B	2,000	45.64	7-Jan	24-Jan	80.00	4.0
TROUBH PART	070	JPM	S	10,000	56.26	9-Jan	31-Jan	500.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>KEM</b>	<b>S</b>	<b>6459</b>	<b>5.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	KEY	B	1,515	12.63	n/a	n/a	60.60	4.0
NEWLAND CAPITAL MGT	025	KMT	B	20,000	42.37	n/a	n/a	800.00	4.0
<b>f MAY Y TANG</b>	<b>FID</b>	<b>KORS</b>	<b>S</b>	<b>50</b>	<b>92.05</b>	<b>5-Feb</b>	<b>5-Feb</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	KSS	C	700	52.21	23-Jan	6-Feb	35.00	5.0
ARDSLEY PARTNERS/RIDGECREST	306	KS	B	10,000	27.85		n/a n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	KS	B	20,000	27.98	n/a	n/a	1,000.00	5.0
FIRST NY SEC/CHRIS	041	KS	B	5,000	27.77	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LB</b>	<b>SS</b>	<b>25,000</b>	<b>53.25</b>	<b>29-Jan[i]</b>	<b>6-Feb</b>	<b>non-brg</b>	<b>4.0</b>
J. GOLDMAN	028	LB	SS	40,000	54.22	29-Jan[i]	6-Feb	1,600.00	4.0
TIDE POINT CAPITAL	028	LEA	B	10,000	73.22	3-Feb	31-Jan	300.00	3.0
HOLLIS CAPITAL	033	LGF	B	5,000	31.44	n/a	n/a	250.00	5.0
BESSEMER INVESTMENT	085	LO	B	175	48.40	n/a	n/a	7.00	4.0
BRONSON POINT	036	LPX	S	25,000	16.94	22-Jan	5-Feb	750.00	3.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	S	100,000	17.25	22-Jan	5-Feb	3,000.00	3.0
EPOCH INV MGMT	030	MAT	S	5,640	36.81	n/a	n/a	169.20	3.0
EPOCH INV MGMT	030	MA	S	1,305	74.69	10-Jan	3-Feb	39.15	3.0
VISIUM/BALY BOBBY	044	MGA	B	20,000	84.35	n/a	n/a	1,000.00	5.0
LOMAS CAPITAL	040	MLM	B	9,100	109.08	n/a	n/a	273.00	3.0
PRIMECAP MGMT	084	MMC	S	5,000	44.39	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	MRO	B	240	31.79	n/a	n/a	9.60	4.0
BESSEMER INVESTMENT	085	MS	B	185	29.63	9-Jan	21-Jan	7.40	4.0
BESSEMER INVESTMENT	085	MYL	B	480	43.70	n/a	27-Jan	19.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	M	B	1,400	52.60	23-Jan	24-Jan	56.00	4.0
SCOPUS FUND	041	M	B	11,130	52.17	23-Jan	24-Jan	445.20	4.0
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>NMBL</b>	<b>B</b>	<b>700</b>	<b>41.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	084	NVS	S	5,000	79.17	n/a	n/a	200.00	4.0
TROVE CAPITAL MANAGEMENT	237	ODP	S	30,000	4.95	n/a	n/a	900.00	3.0
SAC CHRIS C	041	OREX	B	25,000	6.18	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	PFE	B	2,780	30.78	n/a	n/a	111.20	4.0
GLOBAL 56 LLC	060	PRGN	S	3,000	7.30	n/a	n/a	150.00	5.0
BESSEMER INVESTMENT	085	QCOM	B	120	73.24	n/a	n/a	4.80	4.0
CAMBIAR CAP	046	RDEN	S	247,585	24.52	17-Jan	n/a	9,903.40	4.0
INVESCO	031	RDEN	B	116,765	24.55	17-Jan	n/a	4,670.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RVNC</b>	<b>B</b>	<b>1,000</b>	<b>16.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RVNC</b>	<b>S</b>	<b>1,000</b>	<b>26.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHLD</b>	<b>SS</b>	<b>35,000</b>	<b>36.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHLD</b>	<b>SS</b>	<b>40,000</b>	<b>35.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHLD</b>	<b>SS</b>	<b>50,000</b>	<b>35.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DW INVESTMENT MGMT.	041	SNI	B	5,600	74.12	n/a	n/a	168.00	3.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	50,000	13.01	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	SPR	B	25,000	25.63	n/a	6-Feb	750.00	3.0
MOORE CAPITAL	257	SPY	SS	2,085	176.75	n/a	n/a	62.55	3.0
ARDSLEY PARTNERS/RIDGECREST		306 SSO	B	5,000	94.09		n/a	n/a	200.00 4.0
MELLON/BANK OF NEW YORK	046	SWAY	S	164,146	29.25	n/a	n/a	6,565.84	4.0
HERRING CREEK CAPITAL	040	SWN	C	45,841	42.78	n/a	n/a	1,375.23	3.0
ADAGE CAPITAL MGMT	310	SWY	B	25,000	30.70	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	TGT	B	205	55.88	n/a	10-Jan	8.20	4.0
INTERVAL PARTNERS	033	TJX	SS	10,000	59.24	23-Jan	n/a	300.00	3.0
BESSEMER INVESTMENT	085	TMO	B	825	114.57	n/a	n/a	33.00	4.0
BTIG/LIGHT STREET CAPITAL	044	TWTR	S	50,000	51.63	n/a	n/a	1,500.00	3.0
CASTLEROCK	040	TWTR	S	33,901	50.99	n/a	n/a	1,356.04	4.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>TWTR</b>	<b>B</b>	<b>320</b>	<b>52.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
T. ROWE PRICE	243	TXI	S	25,451	75.50	n/a	n/a	1,018.04	4.0
<b>f DANIELLE MARIE SAPIE</b>	<b>FID</b>	<b>T</b>	<b>B</b>	<b>1000</b>	<b>31.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	UNP	B	95	175.37	24-Jan	24-Jan	3.80	4.0
BESSEMER INVESTMENT	085	VLO	B	160	47.23	n/a	n/a	6.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	091	VZ	B	1,450	46.56	n/a	27-Jan	58.00	4.0
BESSEMER INVESTMENT	085	WAG	B	220	59.00	n/a	n/a	8.80	4.0
INTERVAL PARTNERS	033	WAG	SS	5,000	59.16	n/a	n/a	150.00	3.0
ARDSLEY PARTNERS/RIDGECREST	306	WBC	B	2,500	87.65		n/a 30-Jan	100.00	4.0
NEWLAND CAPITAL MGT	025	WG	B	25,000	8.00	n/a	n/a	750.00	3.0
BADGE CAPITAL	030	WNC	B	4,000	12.52	n/a	6-Feb	140.00	4.0
KENBELLE LLC	028	XRT	B	44,000	79.51	n/a	n/a	1,320.00	3.0
KLEINHEINZ CAP PART	031	XRT	B	75,000	79.72	n/a	n/a	3,750.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>95,351.83</b>	



Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									95,351.83
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									95,351.83
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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 6-Feb.

GMCR

MRI Securities without Trade Activity on 6-Feb.

PCAR, COL, IR, HPY, CPA, AGN, RL, MLI

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)**