



## Daily Compliance Activity Report

Trade Date: 01/10/2014

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAL	B	5,000	29.01	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	AAPL	B	45	539.63	n/a	n/a	1.80	0.0
ROYCE TRADING	031	ACW	B	5,000	4.20	n/a	n/a	150.00	0.0
ROYCE TRADING	031	AER	S	1,000	35.99	n/a	n/a	50.00	0.0
BESSEMER INVESTMENT	085	AET	B	485	70.95	n/a	n/a	19.40	0.0
BESSEMER INVESTMENT	085	AIG	B	200	51.99	n/a	n/a	8.00	0.0
KENNEDY CAPITAL	046	ALGT	B	5,151	102.83	n/a	n/a	206.04	0.0
BROADARCH CAP/OLD NEWC	006	AMAT	B	2,000	17.48	n/a	n/a	80.00	0.0
SCOPUS FUND	041	ANF	B	25,000	37.19	n/a	n/a	1,000.00	0.0
DC CAPITAL	044	ATI	S	20,000	35.20	n/a	11-Jun	800.00	0.0
WHITE PINE CAPITAL	030	ATI	B	14,000	34.78	n/a	11-Jun	700.00	0.0
YG PARTNERS LLC	041	ATML	B	10,000	8.71	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	AWK	B	435	42.31	n/a	n/a	17.40	0.0
BTIG/LIGHT STREET CAPITAL	044	BBRY	B	50,000	8.86	n/a	n/a	1,500.00	0.0
PRIMECAP MGMT	084	BIIB	S	5,000	289.75	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	BK	B	35,000	34.23	n/a	6-Jun	1,750.00	0.0
TUDOR INVESTORS	028	CAT	B	5,000	89.99	n/a	11-Jul	150.00	0.0
ACK ASSET	028	CHRW	B	70,900	57.33	n/a	n/a	2,127.00	0.0
SUFFOLK CAPITAL MGMT	040	CMCSA	S	6,900	53.21	n/a	n/a	276.00	0.0
BESSEMER INVESTMENT	085	CMI	B	25	139.26	n/a	n/a	1.00	0.0
BESSEMER INVESTMENT	085	COP	B	175	69.29	n/a	n/a	7.00	0.0
BESSEMER INVESTMENT	085	CTL	B	200	31.09	n/a	n/a	8.00	0.0
STELLIAM INV ADV	086	CX	B	75,000	12.39	n/a	n/a	3,000.00	0.0
BESSEMER INVESTMENT	085	C	B	55	54.89	n/a	17-Jun	2.20	0.0
CORTEX CAPITAL	031	DDD	SS	5,000	94.49	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	DG	B	260	61.55	n/a	4-Jun	10.40	0.0
SCOUT/UMB	047	DLTR	S	55,625	55.82	n/a	4-Jun	1,668.75	0.0
CORTEX CAPITAL	031	DV	B	15,000	37.91	n/a	n/a	450.00	0.0
SHEFFIELD ASSET MGMT	031	FDO	B	12,100	64.26	n/a	4-Jun	484.00	0.0
J. GOLDMAN	028	FDX	B	30,000	142.17	n/a	n/a	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	FLR	B	1,100	79.44	n/a	n/a	44.00	0.0
FARALLON CAP MGMT	040	FOXA	B	55,000	33.02	n/a	n/a	1,650.00	0.0
PALESTRA	040	FOX	B	50,000	32.33	n/a	n/a	1,500.00	0.0
BROADARCH CAP/OLD NEWC	006	F	B	5,000	16.03	n/a	19-Jun	200.00	0.0
CAERUS GLOBAL	041	F	SS	75,000	16.03	n/a	19-Jun	3,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	15.96	n/a	19-Jun	750.00	0.0
GAMCO ASSET MNGMT	025	GM	B	25,042	39.98	n/a	19-Jun	751.26	0.0
TUDOR INVESTORS	028	GM	B	10,000	39.91	n/a	19-Jun	300.00	0.0
PRIMECAP MGMT	084	GSK	S	10,000	52.68	n/a	n/a	400.00	0.0
BROADARCH CAP/OLD NEWC	006	GS	S	1,000	177.66	n/a	6-May	40.00	0.0
TUDOR INVESTORS	028	HTZ	B	20,000	27.90	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	IBM	B	70	188.54	n/a	n/a	2.80	0.0
BROADARCH CAP/OLD NEWC	006	IP	B	1,000	49.03	n/a	17-Jun	40.00	0.0
BROADARCH CAP/OLD NEWC	006	IP	S	1,000	48.93	n/a	17-Jun	40.00	0.0
HARVEY PARTNERS	086	IP	SS	45,000	48.96	n/a	17-Jun	2,250.00	0.0
NEUBERGER BERMAN	036	IP	S	15,000	48.85	n/a	17-Jun	600.00	0.0
ROVER CAPITAL PARTNERS	040	IP	SS	7,100	48.96	n/a	17-Jun	284.00	0.0
SAGE ASSET MGMT	025	IP	S	25,900	48.74	n/a	17-Jun	1,295.00	0.0
BROADARCH CAP/OLD NEWC	006	ITB	B	1,000	24.88	n/a	n/a	40.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NUDGE CAPITAL FUND LP	006	JBLU	S	10,000	8.90	n/a	18-Jun	300.00	0.0
SUFFOLK CAPITAL MGMT	040	JBLU	S	77,700	9.09	n/a	18-Jun	3,108.00	0.0
BESSEMER INVESTMENT	085	JLL	B	850	103.01	n/a	n/a	34.00	0.0
BESSEMER INVESTMENT	085	KEY	B	3,030	13.68	n/a	n/a	121.20	0.0
LOCUST WOOD CAPITAL MGMT	044	KMI	S	53,040	35.92	n/a	n/a	2,121.60	0.0
LATEEF MGMT	033	KR	B	500	39.60	n/a	n/a	50.00	0.0
LATEEF MGMT	033	K	B	500	60.71	n/a	n/a	55.00	0.0
BESSEMER INVESTMENT	085	LB	B	150	57.62	n/a	n/a	6.00	0.0
DISIPLINED GROWTH INV.	030	LB	B	8,800	58.02	n/a	n/a	440.00	0.0
FARALLON CAP MGMT	040	LB	B	200	57.63	n/a	n/a	6.00	0.0
PRIMECAP MGMT	084	LLY	B	10,000	51.76	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	LO	B	125	49.47	n/a	n/a	5.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	50,000	18.58	n/a	19-Jun	2,500.00	0.0
NEWLAND CAPITAL MGT	025	LPX	B	15,000	18.36	n/a	19-Jun	600.00	0.0
ROSEDALE CAPITAL	046	LPX	S	10,000	18.54	n/a	19-Jun	400.00	0.0
IRIDIAN ASSET	036	LSI	S	245,100	10.99	n/a	n/a	12,255.00	0.0
BESSEMER INVESTMENT	085	LUV	B	4,200	20.70	n/a	18-Jun	168.00	0.0
BROADARCH CAP/OLD NEWC	006	LYB	B	500	80.30	n/a	n/a	20.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEXFORD CAPITAL	284	LYB	B	14,090	80.24	n/a	n/a	422.70	0.0
TUDOR INVESTORS	028	MHK	B	10,000	148.22	n/a	n/a	300.00	0.0
LOCUST WOOD CAPITAL MGMT	044	MIC	B	15,915	51.98	n/a	n/a	636.60	0.0
BESSEMER INVESTMENT	085	MRO	B	200	34.39	n/a	n/a	8.00	0.0
BROADARCH CAP/OLD NEWC	006	MRVL	B	2,000	15.44	n/a	n/a	80.00	0.0
PRIMECAP MGMT	084	MSI	S	2,000	66.30	n/a	n/a	80.00	0.0
BESSEMER INVESTMENT	085	MS	B	100	31.52	n/a	6-Jun	4.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	35.66	n/a	18-Jun	750.00	0.0
BESSEMER INVESTMENT	085	MYL	B	455	45.07	n/a	17-Jun	18.20	0.0
SUFFOLK CAPITAL MGMT	040	MYL	S	6,940	45.33	n/a	17-Jun	277.60	0.0
BESSEMER INVESTMENT	085	M	B	305	55.38	n/a	18-Jun	12.20	0.0
TUDOR INVESTORS	028	NCS	B	10,000	19.00	n/a	n/a	300.00	0.0
<b>Ñ Nicolas Pakler</b>		<b>NHF</b>	<b>B</b>	<b>860</b>	<b>9.8734</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOGGIN LLC	041	NI	B	88,000	33.68	n/a	n/a	4,400.00	0.0
BESSEMER INVESTMENT	085	PFE	B	550	30.77	n/a	n/a	22.00	0.0
WEXFORD CAPITAL	284	PNR	B	21,100	77.12	n/a	n/a	633.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOKOMIS PARTNERS	031	P	B	12,000	32.95	n/a	n/a	360.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	270	74.47	n/a	n/a	10.80	0.0
DISIPLINED GROWTH INV.	030	RCL	B	4,325	48.62	n/a	n/a	216.25	0.0
DONALD SMITH	088	RCL	S	50,000	48.76	n/a	n/a	1,500.00	0.0
HARVEY PARTNERS	086	RKT	SS	10,000	101.45	n/a	17-Jun	500.00	0.0
DPB CAPITAL	029	SIRI	B	5,000	3.77	n/a	n/a	250.00	0.0
KOLVEN CAPITAL	025	SPDC	B	1,200	4.28	n/a	n/a	36.00	0.0
LATEEF MGMT	033	SWY	B	250	32.50	n/a	n/a	30.00	0.0
COBALT	041	S	S	100,000	9.50	n/a	n/a	3,000.00	0.0
WADDELL AND REED	047	TCBI	B	32,000	62.96	n/a	n/a	1,280.00	0.0
SUFFOLK CAPITAL MGMT	040	TEX	S	16,600	41.24	n/a	n/a	664.00	0.0
BESSEMER INVESTMENT	085	TGT	B	195	62.96	n/a	23-May	7.80	0.0
DISIPLINED GROWTH INV.	030	TJX	B	8,000	63.97	n/a	18-Jun	400.00	0.0
TUDOR INVESTORS	028	TKR	S	10,000	54.46	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	TMO	B	130	114.29	n/a	n/a	5.20	0.0
SUFFOLK CAPITAL MGMT	040	TMO	S	5,010	113.79	n/a	n/a	200.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UNP	B	80	169.20	n/a	n/a	3.20	0.0
J. GOLDMAN	028	UPS	SS	42,500	102.29	n/a	n/a	1,700.00	0.0
KOLVEN CAPITAL	025	USAT	B	4,000	2.20	n/a	n/a	120.00	0.0
BADGE CAPITAL	030	USG	B	2,000	30.70	n/a	29-Apr	70.00	0.0
SENATOR INVEST GROUP	287	VAL	S	46,000	72.61	n/a	n/a	1,380.00	0.0
BESSEMER INVESTMENT	085	VLO	B	655	53.16	n/a	n/a	26.20	0.0
BESSEMER INVESTMENT	085	WAG	B	80	61.22	n/a	n/a	3.20	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	31.08	n/a	19-Jun	1,000.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>73,951.20</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/09	FIRST NY SEC/CHRIS (FNYCGS)	041	AAL	S	10,000	28.94	n/a	n/a	500.00 0.0
AO,CXL	01/09	FIRST NY SEC/CHRIS (FNYCHRIS)	041	AAL	S	10,000	28.94	n/a	n/a	500.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	73,951.20
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>73,951.20</b>
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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