



Daily Compliance Activity Report

Trade Date: 01/08/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	85	544.26	n/a	n/a	3.40	0.0
BESSEMER INVESTMENT	085	AAPL	S	10	542.57	n/a	n/a	0.40	0.0
BESSEMER INVESTMENT	085	AAP	B	460	112.99	n/a	n/a	18.40	0.0
BESSEMER INVESTMENT	085	ABC	B	85	71.24	n/a	n/a	3.40	0.0
BESSEMER INVESTMENT	085	ACE	B	169	99.23	n/a	n/a	6.76	0.0
BESSEMER INVESTMENT	085	ACE	S	20	99.06	n/a	n/a	0.80	0.0
BESSEMER INVESTMENT	085	AET	B	14,284	69.24	n/a	n/a	571.36	0.0
BESSEMER INVESTMENT	085	AET	S	30	69.15	n/a	n/a	1.20	0.0
NOMURA/ANGEL LANE PRINCIPAL040		AGO	B	4,300	23.06	n/a	n/a	129.00	0.0
BESSEMER INVESTMENT	085	AIG	B	803	51.78	n/a	n/a	32.12	0.0
BESSEMER INVESTMENT	085	AIG	S	35	51.83	n/a	n/a	1.40	0.0
BALYASNY ASSET MGMT	044	ASNA	B	20,000	22.10	n/a	n/a	1,000.00	0.0
BESSEMER INVESTMENT	085	AWK	B	1,696	41.63	n/a	n/a	67.84	0.0
BESSEMER INVESTMENT	085	AWK	S	65	41.60	n/a	n/a	2.60	0.0
INTERVAL PARTNERS	033	AXL	SS	15,000	19.79	n/a	19-Jun	450.00	0.0
VERITION	028	AXL	B	5,000	19.83	n/a	19-Jun	150.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		BAC	SS	12,000	16.64	n/a	17-Jun	360.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INTERVAL PARTNERS	033	BBY	S	25,000	37.72	n/a	n/a	750.00	0.0
HOLLIS CAPITAL	033	BOFI	B	1,000	78.15	n/a	n/a	50.00	0.0
COOPER CREEK PART	028	BONT	SS	5,037	15.91	n/a	18-Jun	201.48	0.0
BESSEMER INVESTMENT	085	CCK	B	675	44.44	n/a	n/a	27.00	0.0
BESSEMER INVESTMENT	085	CFN	B	635	40.31	n/a	n/a	25.40	0.0
BESSEMER INVESTMENT	085	CHKP	B	485	64.40	n/a	n/a	19.40	0.0
PIMCO	084	CHRW	SS	45,000	56.24	n/a	n/a	900.00	0.0
BESSEMER INVESTMENT	085	CMI	B	168	140.05	n/a	n/a	6.72	0.0
BESSEMER INVESTMENT	085	CMI	S	5	139.30	n/a	n/a	0.20	0.0
BESSEMER INVESTMENT	085	COL	B	270	76.13	n/a	11-Jun	10.80	0.0
BESSEMER INVESTMENT	085	COP	B	597	69.79	n/a	n/a	23.88	0.0
BESSEMER INVESTMENT	085	COP	S	30	69.67	n/a	n/a	1.20	0.0
BESSEMER INVESTMENT	085	CTL	B	4,652	31.28	n/a	n/a	186.08	0.0
BESSEMER INVESTMENT	085	CTL	S	35	31.22	n/a	n/a	1.40	0.0
BESSEMER INVESTMENT	085	CVS	B	202	69.72	n/a	n/a	8.08	0.0
BESSEMER INVESTMENT	085	CVS	S	35	69.80	n/a	n/a	1.40	0.0
BESSEMER INVESTMENT	085	C	B	671	54.86	n/a	17-Jun	26.84	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	C	S	40	54.74	n/a	17-Jun	1.60	0.0
WHITE PINE CAPITAL	030	C	B	8,200	54.87	n/a	17-Jun	410.00	0.0
BESSEMER INVESTMENT	085	DG	B	1,081	59.49	n/a	4-Jun	43.24	0.0
BESSEMER INVESTMENT	085	DG	S	40	59.52	n/a	4-Jun	1.60	0.0
BESSEMER INVESTMENT	085	ENR	B	270	105.41	n/a	17-Jun	10.80	0.0
BESSEMER INVESTMENT	085	ESV	B	520	56.52	n/a	n/a	20.80	0.0
NUDGE CAPITAL FUND LP	006	FDO	SS	4,000	65.23	n/a	4-Jun	200.00	0.0
CAPITAL RESEARCH GROUP		296	FE	S	10,929	31.92	n/a	n/a	382.52 0.0
EGS ASSOCIATES LP	091	FIVE	SS	7,000	45.00	n/a	13-Jun	350.00	0.0
BESSEMER INVESTMENT	085	FLS	B	490	77.18	n/a	n/a	19.60	0.0
OZ MGMT	040	F	SS	250,000	15.56	n/a	19-Jun	7,500.00	0.0
INTERVAL PARTNERS	033	GIII	B	10,000	69.49	n/a	n/a	300.00	0.0
J. GOLDMAN	028	GIII	B	4,783	68.71	n/a	n/a	191.32	0.0
ROVER CAPITAL PARTNERS	040	GIII	B	2,500	69.26	n/a	n/a	100.00	0.0
HOLLIS CAPITAL	033	GMCR	S	8,000	80.39	n/a	n/a	400.00	0.0
SCOGGIN LLC	041	GM	S	12,447	40.45	n/a	19-Jun	622.35	0.0
BESSEMER INVESTMENT	085	GNRC	B	560	54.73	n/a	n/a	22.40	0.0
J. GOLDMAN	028	GPS	S	25,000	39.23	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	267	HBAN	SS	50,000	9.74	n/a	n/a	2,000.00	0.0
FOUNDRY PARTNERS LLC	030	HBI	S	2,500	68.40	n/a	3-May	100.00	0.0
FARBER	006	HOV	S	113,800	6.17	n/a	n/a	2,845.00	0.0
BESSEMER INVESTMENT	085	HSIC	B	70	116.69	n/a	n/a	2.80	0.0
LOMAS CAPITAL	040	HTZ	B	38,600	27.86	n/a	n/a	1,158.00	0.0
BESSEMER INVESTMENT	085	HUBB	B	230	108.93	n/a	n/a	9.20	0.0
BESSEMER INVESTMENT	085	IBM	B	1,762	188.37	n/a	n/a	70.48	0.0
BESSEMER INVESTMENT	085	IBM	S	15	187.96	n/a	n/a	0.60	0.0
BESSEMER INVESTMENT	085	ITW	B	42	82.43	n/a	n/a	1.68	0.0
BESSEMER INVESTMENT	085	ITW	S	5	82.11	n/a	n/a	0.20	0.0
STANDARD PACIFIC CAPITAL	084	JCP	S	300,000	7.54	n/a	18-Jun	12,000.00	0.0
ZWEIG FUNDS	006	JCP	B	50,000	7.48	n/a	18-Jun	2,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	JGW	B	11,200	17.37	n/a	n/a	336.00	0.0
BESSEMER INVESTMENT	085	KEY	B	4,015	13.66	n/a	n/a	160.60	0.0
BERYLSON CAPITAL	030	KMIWS	B	65,000	3.78	n/a	n/a	1,950.00	0.0
CAPITAL RESEARCH GROUP	296	KO	B	423,440	40.00		n/a 17-Jun	14,820.41	0.0
S.A.C. CAPITAL	044	KS	SS	10,000	26.90	n/a	n/a	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
T. ROWE PRICE	243	KS	B	52,470	26.97	n/a	n/a	2,098.80	0.0
BESSEMER INVESTMENT	085	LB	B	731	60.78	n/a	n/a	29.24	0.0
BESSEMER INVESTMENT	085	LB	S	20	60.20	n/a	n/a	0.80	0.0
BESSEMER INVESTMENT	085	LO	B	604	49.44	n/a	n/a	24.16	0.0
BESSEMER INVESTMENT	085	LO	S	20	49.08	n/a	n/a	0.80	0.0
ZWEIG FUNDS	006	LUV	B	50,000	20.16	n/a	18-Jun	2,500.00	0.0
CR INTRINIC INVESTMENT	044	MAS	SS	75,000	23.03	n/a	n/a	2,250.00	0.0
S.A.C. CAPITAL	044	MGM	S	25,000	24.75	n/a	13-Jun	750.00	0.0
CORTEX CAPITAL	031	MMM	SS	20,000	137.17	n/a	n/a	600.00	0.0
BMO / M&I FUNDS	047	MNK	B	46,098	54.29	n/a	n/a	1,843.92	0.0
BESSEMER INVESTMENT	085	MRC	B	130	31.35	n/a	n/a	5.20	0.0
BESSEMER INVESTMENT	085	MRO	B	783	34.35	n/a	n/a	31.32	0.0
BESSEMER INVESTMENT	085	MRO	S	30	34.38	n/a	n/a	1.20	0.0
BESSEMER INVESTMENT	085	MSM	B	240	84.20	n/a	n/a	9.60	0.0
TUDOR INVESTORS	028	MSM	SS	8,000	82.08	n/a	n/a	240.00	0.0
BESSEMER INVESTMENT	085	MS	B	716	31.58	n/a	6-Jun	28.64	0.0
BESSEMER INVESTMENT	085	MS	S	20	31.54	n/a	6-Jun	0.80	0.0
TUDOR INVESTORS	028	MWV	S	15,000	36.43	n/a	18-Jun	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BESSEMER INVESTMENT	085	MYL	B	2,363	44.92	n/a	17-Jun	94.52	0.0	
BESSEMER INVESTMENT	085	MYL	S	75	44.71	n/a	17-Jun	3.00	0.0	
BESSEMER INVESTMENT	085	M	B	1,226	51.90	n/a	18-Jun	49.04	0.0	
BESSEMER INVESTMENT	085	M	S	55	51.84	n/a	18-Jun	2.20	0.0	
GAMCO ASSET MNGMT	025	M	B	7,029	51.74	n/a	18-Jun	210.87	0.0	
BESSEMER INVESTMENT	085	NTAP	B	310	41.05	n/a	n/a	12.40	0.0	
BESSEMER INVESTMENT	085	OMC	B	2,355	71.98	n/a	n/a	94.20	0.0	
BESSEMER INVESTMENT	085	PFE	B	2,358	30.90	n/a	n/a	94.32	0.0	
BESSEMER INVESTMENT	085	PFE	S	80	30.90	n/a	n/a	3.20	0.0	
SANDLER CAPITAL	028	PM	SS	60,000	83.34	n/a	n/a	3,000.00	0.0	
BESSEMER INVESTMENT	085	QCOM	B	515	73.18	n/a	n/a	20.60	0.0	
COLUMBUS CIRCLE	036	RATE	S	3,420	16.67	n/a	n/a	132.78	0.0	
BTIG/LIGHT STREET CAPITAL	044	RVBD	B	50,000	19.89	n/a	n/a	1,500.00	0.0	
ROVER CAPITAL PARTNERS	040	STZ	SS	3,000	75.12	n/a	17-Jun	120.00	0.0	
WAGONHOUND/NICOLAS	033	STZ	S	7,157	76.64	n/a	17-Jun	286.28	0.0	
WALL STREET CAPITAL	084	STZ	B	7,706	76.35	n/a	17-Jun	346.77	0.0	
COLUMBUS CIRCLE	036	TASR	B	6,064	18.05	n/a	n/a	242.56	0.0	
CAPITAL RESEARCH GROUP		296	TCBI	B	33,786	61.79	n/a	n/a	1,182.51	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WADDELL AND REED	047	TCBI	B	32,800	61.74	n/a	n/a	1,312.00	0.0
BESSEMER INVESTMENT	085	TGT	B	784	62.63	n/a	23-May	31.36	0.0
BESSEMER INVESTMENT	085	TGT	S	35	62.64	n/a	23-May	1.40	0.0
BESSEMER INVESTMENT	085	TMO	B	653	113.91	n/a	n/a	26.12	0.0
BESSEMER INVESTMENT	085	TMO	S	20	113.88	n/a	n/a	0.80	0.0
BESSEMER INVESTMENT	085	TUP	B	225	90.10	n/a	n/a	9.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	UMPQ	SS	2,600	18.91	n/a	n/a	78.00	0.0
BESSEMER INVESTMENT	085	UNP	B	326	166.99	n/a	n/a	13.04	0.0
BESSEMER INVESTMENT	085	UNP	S	15	166.92	n/a	n/a	0.60	0.0
BESSEMER INVESTMENT	085	VAR	B	450	80.49	n/a	n/a	18.00	0.0
BESSEMER INVESTMENT	085	VLO	B	24,135	51.72	n/a	n/a	965.40	0.0
BESSEMER INVESTMENT	085	VLO	S	10	51.77	n/a	n/a	0.40	0.0
BESSEMER INVESTMENT	085	WAG	B	965	59.25	n/a	n/a	38.60	0.0
BESSEMER INVESTMENT	085	WAG	S	25	59.33	n/a	n/a	1.00	0.0
BESSEMER INVESTMENT	085	WAT	B	305	100.54	n/a	n/a	12.20	0.0
BESSEMER INVESTMENT	085	WDC	B	335	87.27	n/a	n/a	13.40	0.0
CORTEX CAPITAL	031	WFM	B	15,000	55.01	n/a	n/a	450.00	0.0
BESSEMER INVESTMENT	085	WSH	B	665	44.01	n/a	n/a	26.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	WYN	B	235	72.07	n/a	n/a	9.40	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	15,000	30.75	n/a	19-Jun	750.00	0.0
FRED ALGER MGMT	300	XONE	S	27,395	66.10	n/a	n/a	986.22	0.0
BESSEMER INVESTMENT	085	ZMH	B	272	97.27	n/a	n/a	10.88	0.0
BESSEMER INVESTMENT	085	ZMH	S	30	97.40	n/a	n/a	1.20	0.0
TOTAL (Trade Date):							77,885.11		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/08	FARBER (FARBGS)	006	HOV	S	113,800	6.17	n/a	n/a	2845.00 0.0
AO,	01/07	FIRST NY SEC/CHRIS (FNYCGS)	041	M	B	10,000	52.23	n/a	18-Jun	500.00 0.0
AO,CXL	01/07	FIRST NY SEC/CHRIS (FNYCHRIS)	041	M	B	10,000	52.23	n/a	18-Jun	500.00 0.0

TOTAL (AO, CXL, CRT) :	2,845.00
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TOTAL (Trade Date) :	77,885.11
TOTAL (AO, CXL, CRT) :	2,845.00

TOTAL (RUN DATE) / NFS :	80,730.11
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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