

Daily Compliance Activity Report Trade Date: 01/09/2014

POTENTIAL ANALYST TRADE VIOLATIONS: 0

| | | | | | 101 | | MALLIGI | TREEDE VIO | |
|-----------------------|------|--------|-----|-----------------|--------|-----|----------|------------|--------|
| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
| FIRST NY SEC/CHRIS | 041 | AAL | S | 10,000 | 28.94 | n/a | n/a | 500.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | AAPL | В | 25 | 540.74 | n/a | n/a | 1.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | AET | В | 3 , 920 | 71.01 | n/a | n/a | 156.80 | 0.0 |
| BESSEMER INVESTMENT | 085 | AIG | В | 860 | 52.12 | n/a | n/a | 34.40 | 0.0 |
| ARDSLEY PARTNERS | 280 | ASHR | S | 225,000 | 23.18 | n/a | n/a | 11,250.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | AWK | В | 225 | 41.62 | n/a | n/a | 9.00 | 0.0 |
| INTERVAL PARTNERS | 033 | AXL | SS | 19,000 | 19.88 | n/a | 19-Jun | 570.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | AXP | В | 15,000 | 88.84 | n/a | 19-Jun | 750.00 | 0.0 |
| TYVOR CAPITAL LLC | 031 | BIG | В | 30,000 | 30.94 | n/a | n/a | 900.00 | 0.0 |
| HERRING CREEK CAPITAL | 040 | CLF | SS | 36 , 197 | 23.04 | n/a | n/a | 1,085.91 | 0.0 |
| BESSEMER INVESTMENT | 085 | CMI | В | 20 | 138.56 | n/a | n/a | 0.80 | 0.0 |
| BESSEMER INVESTMENT | 085 | COP | В | 850 | 69.68 | n/a | n/a | 34.00 | 0.0 |
| MATRIX ASSET ADV. | 091 | COP | В | 700 | 69.55 | n/a | n/a | 28.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | CTL | В | 1,140 | 31.00 | n/a | n/a | 45.60 | 0.0 |
| MATRIX ASSET ADV. | 091 | cvx | В | 500 | 122.72 | n/a | n/a | 20.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | /Shr. |
|---------------------------|----------|------------|------|---------|--------|-------|----------|----------|----------|
| BESSEMER INVESTMENT | 085 | С | В | 935 | 55.11 | n/a | 17-Jun | 37.40 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | DFS | SS | 25,000 | 55.00 | n/a | 19-Jun | 1,250.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | DG | В | 3,140 | 60.60 | n/a | 4-Jun | 125.60 | 0.0 |
| PRIMECAP MGMT | 084 | EMC | В | 12,000 | 25.25 | n/a | 26-Feb | 480.00 | 0.0 |
| NUDGE CAPITAL FUND LP | 006 | FDO | В | 4,000 | 61.05 | n/a | 4-Jun | 120.00 | 0.0 |
| PATRIOT STRATEGY PARTNERS | 036 | FNMA | В | 25,000 | 3.30 | n/a | n/a | 1,250.00 | 0.0 |
| CAERUS GLOBAL | 041 | F | SS | 25,000 | 16.01 | n/a | 19-Jun | 1,000.00 | 0.0 |
| NUDGE CAPITAL FUND LP | 006 | GMCR | В | 5,000 | 80.40 | n/a | n/a | 150.00 | 0.0 |
| GAMCO ASSET MNGMT | 025 | GNC | В | 7,700 | 55.51 | n/a | n/a | 231.00 | 0.0 |
| FARBER | 006 | HOV | S | 113,000 | 6.18 | n/a | n/a | 2,825.00 | 0.0 |
| EPOCH INV MGMT | 030 | IBKR | S | 1,750 | 23.16 | n/a | n/a | 52.50 | 0.0 |
| BESSEMER INVESTMENT | 085 | IBM | В | 350 | 188.01 | n/a | n/a | 14.00 | 0.0 |
| THOMAS WEISEL ASSET MGMT/ | TIMBERLI | NE ASSE033 | ISIS | В В | 51,131 | 44.74 | n/a | n/a | 1,533.93 |
| BESSEMER INVESTMENT | 085 | KEY | В | 580 | 13.76 | n/a | n/a | 23.20 | 0.0 |
| SCOPUS FUND | 041 | LAD | S | 2,512 | 65.93 | n/a | n/a | 100.48 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | :/Shr. |
|-------------------------|------|--------|-----|----------------|-------|-----|----------|-----------|--------|
| BESSEMER INVESTMENT | 085 | LB | В | 1,005 | 57.52 | n/a | n/a | 40.20 | 0.0 |
| BESSEMER INVESTMENT | 085 | LO | В | 115 | 49.29 | n/a | n/a | 4.60 | 0.0 |
| IRIDIAN ASSET | 036 | LSI | S | 218,640 | 10.98 | n/a | n/a | 10,932.00 | 0.0 |
| ROYCE TRADING | 031 | MNK | S | 7,500 | 55.36 | n/a | n/a | 375.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | MRO | В | 110 | 34.58 | n/a | n/a | 4.40 | 0.0 |
| BESSEMER INVESTMENT | 085 | MS | В | 120 | 31.55 | n/a | 6-Jun | 4.80 | 0.0 |
| HOLLIS CAPITAL | 033 | MS | В | 15,000 | 31.55 | n/a | 6-Jun | 750.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | MWV | В | 15,000 | 35.84 | n/a | 18-Jun | 750.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | MYL | В | 215 | 44.98 | n/a | 17-Jun | 8.60 | 0.0 |
| BESSEMER INVESTMENT | 085 | М | В | 1,495 | 55.83 | n/a | 18-Jun | 59.80 | 0.0 |
| GAMCO ASSET MNGMT | 025 | M | S | 15,000 | 55.75 | n/a | 18-Jun | 450.00 | 0.0 |
| SCOPUS FUND | 041 | M | В | 50,000 | 55.82 | n/a | 18-Jun | 2,000.00 | 0.0 |
| WAGONHOUND/NICOLAS | 033 | М | S | 4,178 | 55.19 | n/a | 18-Jun | 167.12 | 0.0 |
| PRIMECAP MGMT | 084 | NVDA | В | 38,000 | 15.80 | n/a | n/a | 1,520.00 | 0.0 |
| LATEEF MGMT | 033 | NYCB | S | 5 , 175 | 17.25 | n/a | 24-Apr | 482.50 | 0.0 |
| ARDSLEY PARTNERS | 280 | NYLD | SS | 10,000 | 38.65 | n/a | n/a | 500.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | PFE | В | 2,475 | 30.80 | n/a | n/a | 99.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢ | Shr. |
|---------------------|--|--|---|---|--|--|--|---------------------------------------|---|
| MATRIX ASSET ADV. | 091 | PG | В | 500 | 80.38 | n/a | 17-Jun | 20.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | QCOM | В | 1,260 | 73.97 | n/a | n/a | 50.40 | 0.0 |
| FIRST NEW YORK | 086 | RAD | В | 20,000 | 5.63 | n/a | n/a | 1,000.00 | 0.0 |
| COLUMBUS CIRCLE | 036 | RATE | S | 3,249 | 16.20 | n/a | n/a | 129.96 | 0.0 |
| DONALD SMITH | 088 | RCL | S | 95,900 | 47.20 | n/a | n/a | 2,877.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | TGT | В | 930 | 63.47 | n/a | 23-May | 37.20 | 0.0 |
| BESSEMER INVESTMENT | 085 | TMO | В | 800 | 113.95 | n/a | n/a | 32.00 | 0.0 |
| ROYCE TRADING | 031 | TPH | В | 6,000 | 18.56 | n/a | n/a | 300.00 | 0.0 |
| BRONSON POINT | 036 | T | С | 50,000 | 33.62 | n/a | n/a | 1,500.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | UNP | В | 35 | 167.86 | n/a | n/a | 1.40 | 0.0 |
| BESSEMER INVESTMENT | 085 | VLO | В | 65 | 52.72 | n/a | n/a | 2.60 | 0.0 |
| SYMPHONY ASSET | 033 | VOD | В | 16,260 | 39.01 | n/a | n/a | 487.80 | 0.0 |
| BESSEMER INVESTMENT | 085 | WAG | В | 85 | 61.03 | n/a | n/a | 3.40 | 0.0 |
| ROYCE TRADING | 031 | WD | В | 5,000 | 15.79 | n/a | n/a | 250.00 | 0.0 |
| PRIMECAP MGMT | 084 | WFC | В | 20,000 | 46.06 | n/a | 6-Jun | 800.00 | 0.0 |
| | MATRIX ASSET ADV. BESSEMER INVESTMENT FIRST NEW YORK COLUMBUS CIRCLE DONALD SMITH BESSEMER INVESTMENT ROYCE TRADING BRONSON POINT BESSEMER INVESTMENT BESSEMER INVESTMENT SYMPHONY ASSET BESSEMER INVESTMENT ROYCE TRADING | MATRIX ASSET ADV. 091 BESSEMER INVESTMENT 085 FIRST NEW YORK 086 COLUMBUS CIRCLE 036 DONALD SMITH 088 BESSEMER INVESTMENT 085 ROYCE TRADING 031 BRONSON POINT 036 BESSEMER INVESTMENT 085 BESSEMER INVESTMENT 085 SYMPHONY ASSET 033 BESSEMER INVESTMENT 085 ROYCE TRADING 031 | MATRIX ASSET ADV. BESSEMER INVESTMENT 085 QCOM FIRST NEW YORK 086 RAD COLUMBUS CIRCLE 036 RATE DONALD SMITH 088 RCL BESSEMER INVESTMENT 085 TGT BESSEMER INVESTMENT 085 TMO ROYCE TRADING 031 TPH BESSEMER INVESTMENT 085 UNP BESSEMER INVESTMENT 085 VLO SYMPHONY ASSET 033 VOD BESSEMER INVESTMENT 085 WAG ROYCE TRADING 031 WD | MATRIX ASSET ADV. BESSEMER INVESTMENT 085 QCOM B FIRST NEW YORK 086 RAD B COLUMBUS CIRCLE 036 RATE S DONALD SMITH 088 RCL S BESSEMER INVESTMENT 085 TGT B ROYCE TRADING 031 TPH B BESSEMER INVESTMENT 085 UNP B SSEMER INVESTMENT 085 UNP B SSEMER INVESTMENT 085 VLO B SYMPHONY ASSET 033 VOD B ROYCE TRADING 031 WD B | MATRIX ASSET ADV. 091 PG B 500 BESSEMER INVESTMENT 085 QCOM B 1,260 FIRST NEW YORK 086 RAD B 20,000 COLUMBUS CIRCLE 036 RATE S 3,249 DONALD SMITH 088 RCL S 95,900 BESSEMER INVESTMENT 085 TGT B 930 BESSEMER INVESTMENT 085 TMO B 800 ROYCE TRADING 031 TPH B 6,000 BESSEMER INVESTMENT 085 UNP B 35 BESSEMER INVESTMENT 085 VLO B 65 SYMPHONY ASSET 033 VOD B 16,260 BESSEMER INVESTMENT 085 WAG B 85 ROYCE TRADING 031 WD B 5,000 | MATRIX ASSET ADV. 091 PG B 500 80.38 BESSEMER INVESTMENT 085 QCOM B 1,260 73.97 FIRST NEW YORK 086 RAD B 20,000 5.63 COLUMBUS CIRCLE 036 RATE S 3,249 16.20 DONALD SMITH 088 RCL S 95,900 47.20 BESSEMER INVESTMENT 085 TGT B 930 63.47 BESSEMER INVESTMENT 085 TMO B 800 113.95 ROYCE TRADING 031 TPH B 6,000 18.56 BRONSON POINT 036 T C 50,000 33.62 BESSEMER INVESTMENT 085 UNP B 35 167.86 BESSEMER INVESTMENT 085 VLO B 65 52.72 SYMPHONY ASSET 033 VOD B 16,260 39.01 BESSEMER INVESTMENT 085 WAG B 85 61.03 ROYCE TRADING 031 WD B 5,000 15.79 | MATRIX ASSET ADV. 091 PG B 500 80.38 n/a BESSEMER INVESTMENT 085 QCOM B 1,260 73.97 n/a FIRST NEW YORK 086 RAD B 20,000 5.63 n/a COLUMBUS CIRCLE 036 RATE S 3,249 16.20 n/a DONALD SMITH 088 RCL S 95,900 47.20 n/a BESSEMER INVESTMENT 085 TGT B 930 63.47 n/a BESSEMER INVESTMENT 085 TMO B 800 113.95 n/a ROYCE TRADING 031 TPH B 6,000 18.56 n/a BRONSON POINT 036 T C 50,000 33.62 n/a BESSEMER INVESTMENT 085 UNP B 35 167.86 n/a BESSEMER INVESTMENT 085 VLO B 65 52.72 n/a SYMPHONY ASSET 033 VOD B 16,260 39.01 n/a BESSEMER INVESTMENT 085 WAG B 85 61.03 n/a ROYCE TRADING 031 WD B 5,000 15.79 n/a | MATRIX ASSET ADV. 091 PG B 500 80.38 | MATRIX ASSET ADV. 091 PG B 500 80.38 n/a 17-Jun 20.00 BESSEMER INVESTMENT 085 QCOM B 1,260 73.97 n/a n/a 50.40 FIRST NEW YORK 086 RAD B 20,000 5.63 n/a n/a 1,000.00 COLUMBUS CIRCLE 036 RATE S 3,249 16.20 n/a n/a 129.96 DONALD SMITH 088 RCL S 95,900 47.20 n/a n/a 2,877.00 BESSEMER INVESTMENT 085 TMO B 800 113.95 n/a n/a 32.00 BRONSON POINT 036 T C 50,000 33.62 n/a n/a 1,500.00 BESSEMER INVESTMENT 085 UNP B 35 167.86 n/a n/a 1.40 BESSEMER INVESTMENT 085 VLO B 65 52.72 n/a n/a 487.80 |

TOTAL (Trade Date): 50,218.40

Cancel/Corrects and As-Of Trades

| Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. | ¢/Shr. |
|--------|--------------------------------|---|---|---|---|---|---|--|--|--|
| 01/08 | NUDGE CAPITAL FUND LP (NUDGGS) | 006 | FDO | SS | 4,000 | 65.23 | n/a | 4-Jun | 200.00 | 0.0 |
| 01/08 | NUDGE CAPITAL FUND LP (NUDGGS) | 006 | FDO | SS | 4,000 | 65.23 | n/a | 4-Jun | 120.00 | 0.0 |
| | | | | | | | | | | |
| 01/09 | FARBER (FARBGS) | 006 | HOV | S | 113,000 | 6.18 | n/a | n/a | 2825.00 | 0.0 |
| | | | | | | | | | | |
| (AO, (| CXL, CRT): | | | | | | | 2, | 745.00 | |
| | 01/08 01/08 01/09 | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 01/09 FARBER (FARBGS) | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 01/09 FARBER (FARBGS) 006 | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO 01/09 FARBER (FARBGS) 006 HOV | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 01/09 FARBER (FARBGS) 006 HOV S | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FD0 SS 4,000 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FD0 SS 4,000 01/09 FARBER (FARBGS) 006 HOV S 113,000 | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 4,000 65.23 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 4,000 65.23 01/09 FARBER (FARBGS) 006 HOV S 113,000 6.18 | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 4,000 65.23 n/a 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 4,000 65.23 n/a 01/09 FARBER (FARBGS) 006 HOV S 113,000 6.18 n/a | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 4,000 65.23 n/a 4-Jun 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 4,000 65.23 n/a 4-Jun 01/09 FARBER (FARBGS) 006 HOV S 113,000 6.18 n/a n/a | 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 4,000 65.23 n/a 4-Jun 200.00 01/08 NUDGE CAPITAL FUND LP (NUDGGS) 006 FDO SS 4,000 65.23 n/a 4-Jun 120.00 01/09 FARBER (FARBGS) 006 HOV S 113,000 6.18 n/a n/a 2825.00 |

| TOTAL (RUN DATE) / NFS: | 52,963.40 |
|-------------------------|-----------|
| TOTAL (AO, CXL, CRT): | 2,745.00 |
| TOTAL (Trade Date): | 50,218.40 |

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