



## Daily Compliance Activity Report

Trade Date: 02/06/2014

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	AAL	SS	68,887	34.47	n/a	n/a	2,066.61	0.0
BESSEMER INVESTMENT	085	AAPL	B	40	513.15	n/a	n/a	1.60	0.0
EPOCH INV MGMT	030	ADP	B	760	74.15	n/a	n/a	22.80	0.0
BESSEMER INVESTMENT	085	AET	B	150	68.20	n/a	n/a	6.00	0.0
J. GOLDMAN	028	AGU	SS	15,000	86.41	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	AIG	B	155	47.67	n/a	n/a	6.20	0.0
LAKEWOOD CAPITAL MGMT	085	AIG	B	5,000	47.71	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	510	55.40	n/a	n/a	20.40	0.0
BESSEMER INVESTMENT	085	AWK	B	475	41.75	n/a	n/a	19.00	0.0
S.A.C. CAPITAL	044	BA	SS	50,000	122.04	n/a	11-Jun	1,500.00	0.0
JSRG CAPITAL PARTNERS LP	084	CCJ	S	80,000	20.41	n/a	n/a	2,400.00	0.0
EPOCH INV MGMT	030	CME	B	6,950	76.02	n/a	28-Apr	208.50	0.0
BESSEMER INVESTMENT	085	CMI	B	50	131.09	n/a	n/a	2.00	0.0
TROUBH PART	070	COH	S	17,500	46.41	n/a	30-May	875.00	0.0
BESSEMER INVESTMENT	085	COP	B	125	64.23	n/a	n/a	5.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	CTL	B	255	28.28	n/a	n/a	10.20	0.0
BESSEMER INVESTMENT	085	CVS	B	100	65.90	n/a	n/a	4.00	0.0
TROUBH PART	070	C	S	5,000	48.08	n/a	17-Jun	250.00	0.0
MOORE CAPITAL	257	DAL	B	50,000	31.21	n/a	18-Jun	1,500.00	0.0
BESSEMER INVESTMENT	085	DG	B	390	57.24	n/a	4-Jun	15.60	0.0
CALAMOS ADVISORS LLC	041	DHI	B	389,875	23.63	n/a	n/a	11,696.25	0.0
SONICA CAPITAL LLC	025	DHR	B	8,500	73.56	n/a	n/a	255.00	0.0
CORNERSTONE	030	DKS	S	96,993	50.78	n/a	19-Jun	3,879.72	0.0
INTERVAL PARTNERS	033	DKS	B	5,000	50.79	n/a	19-Jun	150.00	0.0
FARALLON CAP MGMT	040	EEM	SS	100,000	38.25	n/a	n/a	3,000.00	0.0
1798 CAP/LOMBARD ASSET	040	EMR	SS	8,000	63.93	n/a	n/a	240.00	0.0
AMICI CAPITAL N/C	044	F	SS	150,000	14.70	n/a	19-Jun	6,000.00	0.0
BMO / M&I FUNDS	047	GES	S	15,450	28.22	n/a	31-May	618.00	0.0
MOORE CAPITAL	257	GES	C	22,735	28.65	n/a	31-May	682.05	0.0
WHITE PINE CAPITAL	030	GES	C	2,000	28.70	n/a	31-May	100.00	0.0
CORTEX CAPITAL	031	GIL	B	10,000	51.36	n/a	3-May	300.00	0.0
CHARTERBRIDGE CAPITAL	025	GMCR	B	15,000	102.51	n/a	n/a	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT	031	GMCR	S	21,545	104.28	n/a	n/a	861.80	0.0
FIRST NY SEC/CHRIS	041	GM	B	10,000	35.36	n/a	19-Jun	500.00	0.0
PHILADELPHIA FINANCIAL	033	GM	C	20,000	34.57	n/a	19-Jun	800.00	0.0
TROUBH PART	070	GM	S	10,000	35.65	n/a	19-Jun	500.00	0.0
ROSEDALE CAPITAL	046	GTAT	S	30,000	9.43	n/a	n/a	1,200.00	0.0
GLG PARTNERS	280	HTZ	S	7,463	26.01	n/a	n/a	373.15	0.0
FOCUSED INVESTORS	084	IBM	B	80,400	174.50	n/a	n/a	3,216.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	IP	B	5,000	46.77		n/a 17-Jun	200.00	0.0
MOORE CAPITAL	257	IWM	SS	3,390	109.59	n/a	n/a	101.70	0.0
BTG PACTUAL	040	JBLU	B	25,000	8.70	n/a	18-Jun	750.00	0.0
BROADARCH CAP/OLD NEWC	006	JCI	B	2,000	45.64	n/a	10-Jun	80.00	0.0
TROUBH PART	070	JPM	S	10,000	56.26	n/a	17-Jun	500.00	0.0
BESSEMER INVESTMENT	085	KEY	B	1,515	12.63	n/a	n/a	60.60	0.0
NEWLAND CAPITAL MGT	025	KMT	B	20,000	42.37	n/a	n/a	800.00	0.0
WHITE PINE CAPITAL	030	KSS	C	700	52.21	n/a	18-Jun	35.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	KS	B	10,000	27.85		n/a n/a	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	KS	B	20,000	27.98	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	KS	B	5,000	27.77	n/a	n/a	250.00	0.0
J. GOLDMAN	028	LB	SS	40,000	54.22	n/a	n/a	1,600.00	0.0
TIDE POINT CAPITAL	028	LEA	B	10,000	73.22	n/a	19-Jun	300.00	0.0
HOLLIS CAPITAL	033	LGF	B	5,000	31.44	n/a	n/a	250.00	0.0
BESSEMER INVESTMENT	085	LO	B	175	48.40	n/a	n/a	7.00	0.0
BRONSON POINT	036	LPX	S	25,000	16.94	n/a	19-Jun	750.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	S	100,000	17.25	n/a	19-Jun	3,000.00	0.0
EPOCH INV MGMT	030	MAT	S	5,640	36.81	n/a	n/a	169.20	0.0
EPOCH INV MGMT	030	MA	S	1,305	74.69	n/a	13-Jun	39.15	0.0
VISIUM/BALY BOBBY	044	MGA	B	20,000	84.35	n/a	n/a	1,000.00	0.0
LOMAS CAPITAL	040	MLM	B	9,100	109.08	n/a	n/a	273.00	0.0
PRIMECAP MGMT	084	MMC	S	5,000	44.39	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	MRO	B	240	31.79	n/a	n/a	9.60	0.0
BESSEMER INVESTMENT	085	MS	B	185	29.63	n/a	6-Jun	7.40	0.0
BESSEMER INVESTMENT	085	MYL	B	480	43.70	n/a	17-Jun	19.20	0.0
BESSEMER INVESTMENT	085	M	B	1,400	52.60	n/a	18-Jun	56.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	M	B	11,130	52.17	n/a	18-Jun	445.20	0.0
PRIMECAP MGMT	084	NVS	S	5,000	79.17	n/a	n/a	200.00	0.0
TROVE CAPITAL MANAGEMENT	237	ODP	S	30,000	4.95	n/a	n/a	900.00	0.0
SAC CHRIS C	041	OREX	B	25,000	6.18	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	PFE	B	2,780	30.78	n/a	n/a	111.20	0.0
GLOBAL 56 LLC	060	PRGN	S	3,000	7.30	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	120	73.24	n/a	n/a	4.80	0.0
CAMBIAR CAP	046	RDEN	S	247,585	24.52	n/a	17-Jun	9,903.40	0.0
INVESCO	031	RDEN	B	116,765	24.55	n/a	17-Jun	4,670.60	0.0
DW INVESTMENT MGMT.	041	SNI	B	5,600	74.12	n/a	n/a	168.00	0.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	50,000	13.01	n/a	n/a	1,500.00	0.0
LAKEWOOD CAPITAL MGMT	085	SPR	B	25,000	25.63	n/a	2-May	750.00	0.0
MOORE CAPITAL	257	SPY	SS	2,085	176.75	n/a	n/a	62.55	0.0
ARDSLEY PARTNERS/RIDGECREST	306	SSO	B	5,000	94.09		n/a	n/a	200.00 0.0
MELLON/BANK OF NEW YORK	046	SWAY	S	164,146	29.25	n/a	n/a	6,565.84	0.0
HERRING CREEK CAPITAL	040	SWN	C	45,841	42.78	n/a	13-Jun	1,375.23	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	310	SWY	B	25,000	30.70	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	TGT	B	205	55.88	n/a	23-May	8.20	0.0
INTERVAL PARTNERS	033	TJX	SS	10,000	59.24	n/a	18-Jun	300.00	0.0
BESSEMER INVESTMENT	085	TMO	B	825	114.57	n/a	n/a	33.00	0.0
BTIG/LIGHT STREET CAPITAL	044	TWTR	S	50,000	51.63	n/a	n/a	1,500.00	0.0
CASTLEROCK	040	TWTR	S	33,901	50.99	n/a	n/a	1,356.04	0.0
T. ROWE PRICE	243	TXI	S	25,451	75.50	n/a	n/a	1,018.04	0.0
BESSEMER INVESTMENT	085	UNP	B	95	175.37	n/a	n/a	3.80	0.0
BESSEMER INVESTMENT	085	VLO	B	160	47.23	n/a	n/a	6.40	0.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>VZ</b>	<b>B</b>	<b>1,450</b>	<b>46.56</b>	<b>n/a</b>	<b>n/a</b>	<b>58.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	WAG	B	220	59.00	n/a	n/a	8.80	0.0
INTERVAL PARTNERS	033	WAG	SS	5,000	59.16	n/a	n/a	150.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	WBC	B	2,500	87.65		n/a 31-May	100.00	0.0
NEWLAND CAPITAL MGT	025	WG	B	25,000	8.00	n/a	n/a	750.00	0.0
BADGE CAPITAL	030	WNC	B	4,000	12.52	n/a	n/a	140.00	0.0
KENBELLE LLC	028	XRT	B	44,000	79.51	n/a	n/a	1,320.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	XRT	B	75,000	79.72	n/a	n/a	3,750.00	0.0
<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.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									95,351.83
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									95,351.83



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