



# Daily Compliance Activity Report

Trade Date: 10/23/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	350	524.33	n/a	n/a	14.00	4.0
BESSEMER INVESTMENT	085	AAPL	S	5	522.81	n/a	n/a	0.20	4.0
ACK ASSET	028	ABG	SS	19,000	49.79	23-Oct	23-Oct	570.00	3.0
BESSEMER INVESTMENT	085	ACE	B	565	96.27	n/a	n/a	22.60	4.0
BESSEMER INVESTMENT	085	ACE	S	50	96.23	n/a	n/a	2.00	4.0
BESSEMER INVESTMENT	085	ACN	B	330	73.78	n/a	n/a	13.20	4.0
BESSEMER INVESTMENT	085	ACN	S	35	73.63	n/a	n/a	1.40	4.0
BESSEMER INVESTMENT	085	AET	B	630	62.35	n/a	n/a	25.20	4.0
BESSEMER INVESTMENT	085	AET	S	55	62.46	n/a	n/a	2.20	4.0
BESSEMER INVESTMENT	085	AHONY	S	10	18.98	n/a	n/a	0.40	4.0
BESSEMER INVESTMENT	085	AIG	B	685	51.85	n/a	n/a	27.40	4.0
BESSEMER INVESTMENT	085	AIG	S	65	51.62	n/a	n/a	2.60	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ALXN</b>	<b>B</b>	<b>2000</b>	<b>109.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COHE & STEERS	041	ARCP	B	78,163	13.09	n/a	n/a	2,344.89	3.0
DC CAPITAL	044	ATI	S	100,000	32.90	n/a	23-Oct	4,000.00	4.0
BESSEMER INVESTMENT	085	AVGO	S	25	44.92	n/a	n/a	1.00	4.0
BESSEMER INVESTMENT	085	AWK	B	1,530	42.42	n/a	n/a	61.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIVERPARK CAPITAL	025	AXP	B	51,000	80.41	n/a	17-Oct	2,550.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>BA</b>	<b>S</b>	<b>50</b>	<b>128.66</b>	<b>2-Oct</b>	<b>23-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>40,000</b>	<b>55.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROSEDALE CAPITAL	046	BRCM	S	15,000	25.34	n/a	n/a	600.00	4.0
BADGE CAPITAL	030	CAKE	SS	1,500	42.75	n/a	11-Oct	45.00	3.0
BTG PACTUAL	040	CAKE	B	25,000	42.59	n/a	11-Oct	750.00	3.0
TUDOR INVESTORS	028	CAT	S	5,000	83.63	n/a	n/a	150.00	3.0
PROSPECTOR PARTNERS LLC	036	CCE	S	10,000	42.38	n/a	n/a	400.00	4.0
STELLIAM INV ADV	086	CIEN	B	29,000	27.14	n/a	n/a	1,160.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CNC</b>	<b>B</b>	<b>8,000</b>	<b>62.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	COH	S	1,050	48.68	23-Oct	23-Oct	42.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>COLM</b>	<b>B</b>	<b>1000</b>	<b>63.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	COP	B	260	72.36	n/a	n/a	10.40	4.0
BESSEMER INVESTMENT	085	COP	S	45	72.08	n/a	n/a	1.80	4.0
BESSEMER INVESTMENT	085	CTL	B	1,895	33.42	n/a	n/a	75.80	4.0
BESSEMER INVESTMENT	085	CTL	S	60	33.35	n/a	n/a	2.40	4.0
BESSEMER INVESTMENT	085	CVS	B	630	61.44	n/a	n/a	25.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	CVS	S	65	61.13	n/a	n/a	2.60	4.0
EPOCH INV MGMT	030	CY	B	31,500	9.08	n/a	n/a	945.00	3.0
BESSEMER INVESTMENT	085	C	B	715	50.15	n/a	16-Oct	28.60	4.0
BESSEMER INVESTMENT	085	C	S	70	50.28	n/a	16-Oct	2.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>50,000</b>	<b>57.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DGX</b>	<b>B</b>	<b>8,700</b>	<b>58.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	DG	B	900	58.93	n/a	n/a	36.00	4.0
BESSEMER INVESTMENT	085	DG	S	60	58.78	n/a	n/a	2.40	4.0
OSKIE CAPITAL MGMT	224	DG	B	5,000	59.08	n/a	n/a	250.00	5.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>DIOD</b>	<b>B</b>	<b>425</b>	<b>23.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	DTE	S	60	68.76	n/a	n/a	2.40	4.0
PROSPECTOR PARTNERS LLC	036	DWA	S	10,000	28.84	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	ENR	S	3,000	96.49	n/a	9-Oct	120.00	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>EOX</b>	<b>S</b>	<b>1670</b>	<b>8.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OSKIE CAPITAL MGMT	224	ESRX	S	15,000	63.93	n/a	n/a	750.00	5.0
TUDOR INVESTORS	028	ETN	S	10,000	67.48	n/a	n/a	300.00	3.0
KEYGROUP/KGLT	040	FCX	SS	25,000	36.35	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CORTEX CAPITAL	031	FOX	S	20,000	34.66	n/a	n/a	600.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>FWM</b>	<b>B</b>	<b>2000</b>	<b>24.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	F	B	50,000	17.48	n/a	23-Oct	1,500.00	3.0
CHILTON CAPITAL MGMT	031	GLW	S	51,960	17.13	n/a	n/a	2,078.40	4.0
TUDOR INVESTORS	028	GM	S	20,000	34.70	n/a	21-Oct	600.00	3.0
TUDOR INVESTORS	028	GWR	S	10,000	100.08	n/a	n/a	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>S</b>	<b>40,000</b>	<b>51.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NOKOMIS PARTNERS	031	HCOM	S	938	27.07	n/a	n/a	28.14	3.0
TUDOR INVESTORS	028	HON	B	5,000	86.25	n/a	21-Oct	150.00	3.0
BESSEMER INVESTMENT	085	IBM	B	280	175.75	n/a	n/a	11.20	4.0
BESSEMER INVESTMENT	085	IBM	S	20	175.37	n/a	n/a	0.80	4.0
ALLIANZ/NICOLAS APPLGATE		084 IPG		S	28,400	15.49	n/a	n/a	994.00 4.0
BESSEMER INVESTMENT	085	ITW	B	605	78.44	n/a	n/a	24.20	4.0
DAVIDSON KEMPNER FRAN	028	IYR	B	7,749	67.46	n/a	n/a	387.45	5.0
GLG PARTNERS	280	IYR	B	64,558	67.46	n/a	n/a	3,227.90	5.0
TROUBH PART	070	JCP	B	20,000	6.70	27-Sep	14-Oct	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>JOSB</b>	<b>SS</b>	<b>50,000</b>	<b>49.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> KEVIN MICHAEL O'GORM	<b>FID</b>	<b>JOSB</b>	<b>S</b>	<b>600</b>	<b>48.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LONG OAR GLOBAL	040	KBH	B	40,000	17.73	n/a	n/a	1,600.00	4.0
BESSEMER INVESTMENT	085	KEY	B	505	12.63	n/a	n/a	20.20	4.0
<b>f</b> IAN L MILLER	<b>FID</b>	<b>KMX</b>	<b>B</b>	<b>25</b>	<b>47.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	LAZ	S	4,274	38.11	n/a	2-Oct	213.70	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>LEA</b>	<b>S</b>	<b>42,628</b>	<b>75.65</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
TUDOR INVESTORS	028	LII	S	5,000	77.43	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	LO	B	3,425	49.26	n/a	n/a	137.00	4.0
COOPER CREEK PART	028	LPX	B	7,643	17.87	n/a	23-Oct	305.72	4.0
BESSEMER INVESTMENT	085	LTD	B	545	60.91	n/a	n/a	21.80	4.0
BESSEMER INVESTMENT	085	LTD	S	30	61.03	n/a	n/a	1.20	4.0
BESSEMER INVESTMENT	085	MBLX	S	3,375	1.11	n/a	n/a	135.00	4.0
SENATOR INVESTMENT GROUP	287	MDLZ	S	328,000	33.18	n/a	n/a	9,840.00	3.0
BESSEMER INVESTMENT	085	MRO	B	330	34.88	n/a	n/a	13.20	4.0
BESSEMER INVESTMENT	085	MRO	S	5	34.57	n/a	n/a	0.20	4.0
BESSEMER INVESTMENT	085	MSFT	S	4,880	34.09	n/a	n/a	195.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORTRIGHT CAPITAL PARTNERS	025	MWV	S	15,000	38.55	n/a	1-Oct	450.00	3.0
LEVIN CAPITAL STRATEGIES	041	MW	B	65,000	44.85	n/a	n/a	1,950.00	3.0
BESSEMER INVESTMENT	085	M	B	995	44.51	30-Sep	30-Sep	39.80	4.0
BESSEMER INVESTMENT	085	M	S	90	44.23	30-Sep	30-Sep	3.60	4.0
CORTEX CAPITAL	031	M	S	20,000	44.15	30-Sep	30-Sep	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>NCLH</b>	<b>S</b>	<b>25,000</b>	<b>31.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NCLH</b>	<b>S</b>	<b>43,300</b>	<b>32.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	NLSN	B	1,185	38.27	n/a	n/a	47.40	4.0
BESSEMER INVESTMENT	085	NLSN	S	10	37.77	n/a	n/a	0.40	4.0
BESSEMER INVESTMENT	085	PFE	B	2,065	30.62	n/a	n/a	82.60	4.0
BESSEMER INVESTMENT	085	PFE	S	25	30.72	n/a	n/a	1.00	4.0
TUDOR INVESTORS	028	PH	B	6,000	113.34	n/a	n/a	180.00	3.0
MERRILL ASSET/BLACKROCK	085	PRE	S	9,036	93.90	n/a	n/a	361.44	4.0
MERRILL ASSET/BLACKROCK	085	PRU	S	8,900	80.34	n/a	n/a	356.00	4.0
PROSPECTOR PARTNERS LLC	036	PTP	S	10,000	61.35	n/a	n/a	400.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PVH</b>	<b>S</b>	<b>1000</b>	<b>121.80</b>	<b>n/a</b>	<b>17-Oct</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	QCOM	B	835	67.02	n/a	n/a	33.40	4.0
BESSEMER INVESTMENT	085	QCOM	S	85	67.27	n/a	n/a	3.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	287	RDSA	B	100,000	67.61	n/a	n/a	3,000.00	3.0
PIMCO	084	SAVE	S	50,000	41.99	18-Oct	18-Oct	1,000.00	2.0
DPB CAPITAL	029	SIRI	S	5,000	4.10	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SPN</b>	<b>S</b>	<b>20,000</b>	<b>26.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ALANA J A MADIGAN-SI</b>	<b>FID</b>	<b>SPXS</b>	<b>S</b>	<b>100</b>	<b>40.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FINDLAY PARK PART	085	STT	B	154,500	66.51	n/a	23-Oct	15,414.01	10.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>SWKS</b>	<b>B</b>	<b>425</b>	<b>23.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	SWY	S	1,025	35.73	n/a	n/a	131.00	14.3
BESSEMER INVESTMENT	085	TGT	B	640	64.30	n/a	n/a	25.60	4.0
BESSEMER INVESTMENT	085	TGT	S	65	64.62	n/a	n/a	2.60	4.0
MAIRS AND POWER INV	030	TGT	B	20,000	64.60	n/a	n/a	1,000.00	5.0
BESSEMER INVESTMENT	085	TMO	B	535	97.41	n/a	n/a	21.40	4.0
BESSEMER INVESTMENT	085	TMO	S	60	95.88	n/a	n/a	2.40	4.0
BESSEMER INVESTMENT	085	UNP	B	525	154.79	n/a	18-Oct	21.00	4.0
TUDOR INVESTORS	028	UNP	B	10,000	154.31	n/a	18-Oct	300.00	3.0
MERRILL ASSET/BLACKROCK	085	V	S	4,400	198.34	25-Sep	14-Oct	176.00	4.0
BESSEMER INVESTMENT	085	WAG	S	95	58.57	n/a	n/a	3.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WTSL</b>	<b>B</b>	<b>3000</b>	<b>3.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KORTRIGHT CAPITAL PARTNERS	025	WY	S	40,000	30.38	n/a	23-Oct	1,200.00	3.0
S.A.C. CAPITAL	044	WY	B	20,000	30.42	n/a	23-Oct	600.00	3.0
MOORE CAPITAL	257	XLFX	SS	400,000	20.75	n/a	n/a	12,000.00	3.0
DAVIDSON KEMPNER ADVISOR	281	XOP	C	20,000	69.75	n/a	n/a	600.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	360	89.83	n/a	n/a	14.40	4.0
BESSEMER INVESTMENT	085	ZMH	S	80	89.05	n/a	n/a	3.20	4.0
<b>TOTAL (Trade Date) :</b>								<b>80,550.45</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) :									80,550.45
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									80,550.45

### 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 23-Oct.

ABG, COH

MRI Securities without Trade Activity on 23-Oct.

TJX, GNTX, DAL, R, FRX

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)**