



Daily Compliance Activity Report

Trade Date: 07/29/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AEO	B	40,000	19.28	n/a	2-Dec	non-brg	4.0
BESSEMER INVESTMENT	085	AKR	S	173	25.99	n/a	n/a	6.92	0.0
NOKOMIS PARTNERS	031	ALK	B	17,811	60.82	n/a	n/a	534.33	0.0
SOROS	036	ALK	S	77,442	59.82	n/a	n/a	3,097.68	0.0
PATTEN & PATTEN	025	AML	B	300	17.84	n/a	n/a	15.00	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	48.76	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	ARE	S	121	69.32	n/a	n/a	4.84	0.0
B BUCK CAPITAL MGMT		ARO	B	20,000	14.68	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	ATVI	S	25,000	18.21	n/a	n/a	750.00	0.0
ARDSLEY PARTNERS	280	AXE	SS	5,000	81.23	n/a	16-May	250.00	0.0
BESSEMER INVESTMENT	085	AXP	S	640	74.66	n/a	19-Jun	25.60	0.0
BESSEMER INVESTMENT	085	BDN	S	404	14.13	n/a	n/a	16.16	0.0
NWQ INVESTMENT MGMT CO	084	BHI	B	342,358	47.23	n/a	n/a	11,982.54	0.0
B BUCK CAPITAL MGMT		BLMN	B	5,000	23.13	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CLDT	B	10,000	18.30	n/a	n/a	300.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	COH	SS	9,868	58.47	n/a	30-May	394.72	0.0
CHARTERBRIDGE CAPITAL	025	CTCT	C	19,157	19.07	n/a	n/a	574.71	0.0
BESSEMER INVESTMENT	085	DCT	S	1,080	7.71	n/a	n/a	43.20	0.0
BESSEMER INVESTMENT	085	DDR	S	560	17.19	n/a	n/a	22.40	0.0
BALYASNY ASSET MGMT	044	DECK	B	15,000	53.38	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	DLR	S	118	57.52	n/a	n/a	4.72	0.0
BESSEMER INVESTMENT	085	DRH	S	356	9.98	n/a	n/a	14.24	0.0
ROSEDALE CAPITAL	046	ECA	B	10,000	17.60	n/a	n/a	400.00	0.0
KENNEDY CAPITAL	046	FINL	B	60,230	22.28	n/a	19-Jun	2,409.20	0.0
B BUCK CAPITAL MGMT		FOR	S	10,888	21.74	n/a	9-May	non-brg	1.0
f ANGELO CHRISTOS EFST	FID	GDOT	S	100	20.57	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	GDOT	S	300	20.57	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	GDOT	S	500	20.57	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	GLW	S	200	15.35	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	GLW	S	1000	15.35	n/a	n/a	0.00	0.0
ARDSLEY PARTNERS	280	GM	S	50,000	36.25	n/a	19-Jun	2,500.00	0.0
LOMAS CAPITAL	040	GRA	B	9,500	74.70	n/a	n/a	285.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	084	HAL	S	377,920	45.56	n/a	n/a	13,227.21	0.0
BESSEMER INVESTMENT	085	HCN	S	88	65.83	n/a	n/a	3.52	0.0
BESSEMER INVESTMENT	085	HCP	S	214	45.08	n/a	n/a	8.56	0.0
BESSEMER INVESTMENT	085	HPP	S	94	22.03	n/a	n/a	3.76	0.0
BESSEMER INVESTMENT	085	HR	S	245	26.84	n/a	n/a	9.80	0.0
f JONATHAN RICHARD HAR	FID	HTZ	B	200	25.76	n/a	n/a	0.00	0.0
M&I FUNDS	047	IPG	S	42,273	17.04	n/a	n/a	1,690.92	0.0
f YANAI A FRANK	FID	ITB	B	700	21.73	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	JEC	SS	5,000	58.94	n/a	n/a	150.00	0.0
B BUCK CAPITAL MGMT		KEG	B	20,000	6.30	n/a	13-Jun	non-brg	3.0
BESSEMER INVESTMENT	085	KIM	S	405	22.65	n/a	n/a	16.20	0.0
DAVIDSON KEMPNER ADVISOR	281	KO	B	25,000	40.36	n/a	17-Jun	1,250.00	0.0
TUDOR INVESTORS	028	KSU	SS	5,000	109.75	n/a	n/a	150.00	0.0
SCOPUS FUND	041	LAD	B	10,000	61.43	n/a	n/a	400.00	0.0
TIDE POINT CAPITAL	028	LEA	B	5,000	67.51	n/a	19-Jun	250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	281	LTD	SS	50,000	55.27	n/a	n/a	2,500.00	0.0
B BUCK CAPITAL MGMT		MOH	B	13,100	38.44	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	MOO	S	500	51.81	n/a	n/a	25.00	0.0
COLUMBUS CIRCLE	036	MTZ	S	2,977	33.20	n/a	n/a	119.08	0.0
CASTLE ARK	031	MWA	S	62,975	7.33	n/a	n/a	1,889.25	0.0
EPOCH INV MGMT	030	MWA	B	104,619	7.37	n/a	n/a	3,138.57	0.0
TUDOR INVESTORS	028	MWV	S	10,000	36.25	n/a	18-Jun	300.00	0.0
B BUCK CAPITAL MGMT		OXM	C	7,500	67.70	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	PBI	B	35	0.60	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	PCL	S	134	49.02	n/a	19-Jun	5.36	0.0
TUDOR INVESTORS	028	PPG	S	2,500	160.50	n/a	n/a	75.00	0.0
BESSEMER INVESTMENT	085	PPS	S	72	48.11	n/a	n/a	2.88	0.0
TIEDEMANN/TIG ADVISORS LLC006		PWR	SS	7,840	26.91	n/a	n/a	235.20	0.0
ENTRUST CAPITAL	040	QCOR	B	7,908	52.41	n/a	n/a	395.40	0.0
BESSEMER INVESTMENT	085	REG	S	127	53.58	n/a	n/a	5.08	0.0
BESSEMER INVESTMENT	085	RYN	S	104	58.92	n/a	25-Jan	4.16	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	SHO	S	263	13.01	n/a	n/a	10.52	0.0
BESSEMER INVESTMENT	085	SLG	S	90	92.07	n/a	n/a	3.60	0.0
BESSEMER INVESTMENT	085	SSS	S	107	69.88	n/a	n/a	4.28	0.0
ARDSLEY PARTNERS	280	STLD	S	25,000	15.49	n/a	n/a	1,250.00	0.0
TUDOR INVESTORS	028	SWK	B	3,000	83.67	n/a	n/a	90.00	0.0
PATTEN & PATTEN	025	SYI	S	3,800	35.03	n/a	n/a	190.00	0.0
B BUCK CAPITAL MGMT		TEX	C	25,000	28.58	n/a	n/a	non-brg	0.0
TUDOR INVESTORS	028	TGI	B	3,000	77.32	n/a	n/a	90.00	0.0
TUDOR INVESTORS	028	TKR	B	3,610	56.49	n/a	n/a	108.30	0.0
BESSEMER INVESTMENT	085	TLM	S	810	11.62	n/a	n/a	32.40	0.0
LEVIN CAPITAL STRATEGIES	041	UAL	S	7,500	35.37	n/a	18-Jun	225.00	0.0
CHARTERBRIDGE CAPITAL	025	UA	C	35,000	67.69	n/a	19-Jun	1,050.00	0.0
TUDOR INVESTORS	028	UNP	B	3,000	158.43	n/a	n/a	90.00	0.0
PATTEN & PATTEN	025	VB	B	160	99.21	n/a	n/a	8.00	0.0
FARALLON CAP MGMT	040	VNTV	B	2,229	26.35	n/a	11-Jun	89.16	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	VO	B	200	99.60	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	VV	B	450	77.09	n/a	n/a	22.50	0.0
f ANTHONY SUTERA	FID	WCRX	S	1500	21.16	n/a	19-Jun	0.00	0.0
HERRING CREEK CAPITAL MGMT LLC040	WGO		B	22,600	23.84	n/a	n/a	678.00	0.0
f ANTHONY SUTERA	FID	WNC	B	1000	9.66	n/a	n/a	0.00	0.0
CYRUS CAPITAL	025	WY	B	20,000	27.89	n/a	19-Jun	600.00	0.0
f MICHAEL ALEXANDER SM	FID	WY	B	100	0.68	n/a	19-Jun	0.00	0.0
f MICHAEL ALEXANDER SM	FID	WY	B	10	0.67	n/a	19-Jun	0.00	0.0
f MICHAEL ALEXANDER SM	FID	WY	B	10	0.70	n/a	19-Jun	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040	WY		B	20,000	27.89	n/a	19-Jun	600.00	0.0
TRELLUS PARTNERS LP	028	WY	B	12,500	27.86	n/a	19-Jun	375.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	ZUMZ		S	22,105	28.16	n/a	n/a	663.15	0.0
TOTAL (Trade Date):							56,426.12		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	07/26	NOKOMIS PARTNERS	031	ALK	B	2,624	60.80	n/a	n/a	78.72	0.0
AO,CXL	07/26	NOKOMIS PARTNERS	031	ALK	B	2,624	60.80	n/a	n/a	78.72	0.0
AO,CXL	07/26	BESSEMER INVESTMENT	085	COL	B	10,000	70.58	n/a	11-Jun	400.00	0.0
AO,CRT	07/26	BESSEMER INVESTMENT	085	COL	B	10,000	70.58	n/a	11-Jun	400.00	0.0
AO,CXL	07/26	PATTEN & PATTEN	025	MMM	B	67	116.31	n/a	n/a	3.35	0.0
AO,CRT	07/26	PATTEN & PATTEN	025	MMM	B	67	116.31	n/a	n/a	3.35	0.0
AO,CXL	07/26	PATTEN & PATTEN	025	PCH	S	100	44.14	n/a	19-Jun	5.00	0.0
AO,CRT	07/26	PATTEN & PATTEN	025	PCH	S	100	44.14	n/a	19-Jun	5.00	0.0
AO,CRT	07/26	TYVOR CAPITAL LLC	031	WFM	SS	10,000	54.59	n/a	n/a	300.00	0.0
AO,CXL	07/26	TYVOR CAPITAL LLC	031	WFM	SS	10,000	54.59	n/a	n/a	500.00	0.0
AO,	07/26	TRELLUS PARTNERS LP	028	WY	S	2,500	29.39	n/a	19-Jun	75.00	0.0
TOTAL (AO, CXL, CRT) :										-125.00	
TOTAL (Trade Date):										56,426.12	
TOTAL (AO, CXL, CRT):										-125.00	
TOTAL (RUN DATE) / NFS:										56,301.12	

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	07/26	BUCK CAPITAL MGMT	TEX	SS	25,000	28.41	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 29-Jul.
NONE

MRI Securities without Trade Activity on 29-Jul.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)