



# Daily Compliance Activity Report

Trade Date: 01/16/2014

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	50	555.44	n/a	n/a	2.00	4.0
BESSEMER INVESTMENT	085	ACE	B	30	97.63	n/a	n/a	1.20	4.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>ADT</b>	<b>S</b>	<b>3000</b>	<b>39.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>85,000</b>	<b>14.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	AET	B	411	70.42	n/a	n/a	16.44	4.0
BESSEMER INVESTMENT	085	AIG	B	501	52.01	n/a	n/a	20.04	4.0
KENNEDY CAPITAL	046	ALGT	B	14,776	102.50	n/a	13-Jan	591.04	4.0
FARBER	006	ANN	S	22,000	35.55	n/a	n/a	880.00	4.0
BESSEMER INVESTMENT	085	AVGO	B	731	56.21	n/a	n/a	29.24	4.0
BESSEMER INVESTMENT	085	AWK	B	767	41.39	n/a	n/a	30.68	4.0
STATE OF WISCONSIN	047	BAC	S	66,000	17.03	16-Jan	16-Jan	2,640.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>BBY</b>	<b>S</b>	<b>75,000</b>	<b>27.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BBY</b>	<b>S</b>	<b>85,500</b>	<b>27.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>BGC</b>	<b>B</b>	<b>3000</b>	<b>30.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COOPER CREEK PART	028	BONT	B	36,000	12.00	13-Jan	14-Jan	1,440.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CELG</b>	<b>B</b>	<b>600</b>	<b>166.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	CMI	B	80	137.88	n/a	19-Dec	3.20	4.0
MATRIX ASSET ADV.	091	COF	B	500	76.65	n/a	16-Jan	20.00	4.0
BESSEMER INVESTMENT	085	COP	B	346	67.89	n/a	n/a	13.84	4.0
MATRIX ASSET ADV.	091	COP	B	1,000	67.44	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	CTL	B	3,340	30.55	n/a	n/a	133.60	4.0
BESSEMER INVESTMENT	085	CVS	B	230	67.99	n/a	n/a	9.20	4.0
<b>f JOHN TIMONI</b>	<b>FID</b>	<b>DAL</b>	<b>B</b>	<b>25</b>	<b>31.68</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>35,000</b>	<b>78.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
BESSEMER INVESTMENT	085	DG	B	495	61.03	n/a	9-Jan	19.80	4.0
LATEEF MGMT	033	DVN	B	400	59.25	n/a	n/a	48.00	12.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>FBIOX</b>	<b>B</b>	<b>486</b>	<b>205.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	FNP	B	34,984	31.20	n/a	n/a	1,049.52	3.0
FSI GROUP, LLC	047	FOR	S	40,000	20.63	19-Dec	19-Dec	1,600.00	4.0
NWQ INVESTMENT MGMT CO	084	FOR	B	5,500	20.55	19-Dec	19-Dec	192.50	4.0
CAERUS GLOBAL	041	F	SS	25,000	16.70	n/a	16-Jan	1,000.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Mario Sapienza		GE	S	1208	27.12	n/a	n/a	0.00	0.0
	ROTHSCHILD ASSET	040	GE	S	91,376	27.13	n/a	n/a	3,655.04	4.0
	NWQ INVESTMENT MGMT CO	084	GFF	B	5,200	13.91	n/a	n/a	182.00	4.0
	LATEEF MGMT	033	GIS	B	400	48.48	n/a	n/a	48.00	12.0
	LOMAS CAPITAL	040	GM	S	66,606	39.28	n/a	16-Jan	1,998.18	3.0
	PERELLA WEINBERG	085	GM	S	48,000	38.98	n/a	16-Jan	2,400.00	5.0
f	JOHN MICHAEL ZOLIDIS	FID	GNC	B	200	54.22	n/a	n/a	0.00	0.0
	TYVOR CAPITAL LLC	031	GPS	B	14,100	37.07	n/a	n/a	423.00	3.0
	FIFTH THIRD BANK/FREEMAN	047	GURU	B	45,825	25.45	n/a	n/a	1,833.00	4.0
	BESSEMER INVESTMENT	085	IBM	B	215	187.67	n/a	n/a	8.60	4.0
	BESSEMER INVESTMENT	085	ITW	B	15	82.70	n/a	n/a	0.60	4.0
	KORTRIGHT CAPITAL PARTNERS	025	IWR	B	12,000	150.63	n/a	n/a	360.00	3.0
	COOPER CREEK PART	028	JCP	B	700	6.78	9-Jan	16-Jan	21.00	3.0
	BESSEMER INVESTMENT	085	KEY	B	1,564	13.58	n/a	n/a	62.56	4.0
B	BUCK CAPITAL MGMT		KORS	S	24,100	74.51	n/a	9-Jan	non-brg	4.0
B	BUCK CAPITAL MGMT		KSS	S	25,000	53.04	n/a	14-Jan	non-brg	2.5

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		KSS	S	25,000	53.05	n/a	14-Jan	non-brg	4.0
B	BUCK CAPITAL MGMT		KSS	S	70,330	53.12	n/a	14-Jan	non-brg	4.0
	BESSEMER INVESTMENT	085	LB	B	357	57.05	n/a	n/a	14.28	4.0
	MAGNETAR FINANCIAL	031	LIN	S	55,266	24.58	n/a	n/a	1,657.98	3.0
	NEUBERGER BERMAN	036	LIN	B	44,700	24.86	n/a	n/a	1,788.00	4.0
f	DAVID GEORGE BUCK	FID	LNKD	S	10	4.35	n/a	n/a	0.00	0.0
	BESSEMER INVESTMENT	085	LO	B	268	49.50	n/a	n/a	10.72	4.0
	NEWLAND CAPITAL MGT	025	LPX	B	10,000	17.89	n/a	15-Jan	400.00	4.0
	NOMURA/ANGEL LANE PRINCIPAL	040	LPX	SS	20,000	17.77	n/a	15-Jan	600.00	3.0
	ROSEDALE CAPITAL	046	LPX	B	10,000	17.77	n/a	15-Jan	400.00	4.0
	TYVOR CAPITAL LLC	031	LTM	S	1,194	46.23	n/a	n/a	35.82	3.0
	KLEINHEINZ CAP PART	031	LVL	B	40,000	34.47	n/a	n/a	2,000.00	5.0
	BALYASNY ASSET MGMT	044	LYB	SS	50,000	82.16	n/a	n/a	2,500.00	5.0
	HERRING CREEK CAPITAL	040	MCO	C	30,200	76.00	n/a	n/a	906.00	3.0
	LATEEF MGMT	033	MRK	S	400	52.49	n/a	n/a	48.00	12.0
	BESSEMER INVESTMENT	085	MRO	B	363	34.19	n/a	n/a	14.52	4.0
	BESSEMER INVESTMENT	085	MS	B	263	31.88	9-Jan	9-Jan	10.52	4.0
	NUDGE CAPITAL FUND LP	006	MS	B	5,000	31.82	9-Jan	9-Jan	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	MYL	B	960	45.52	n/a	15-Jan	38.40	4.0
BESSEMER INVESTMENT	085	M	B	721	55.70	9-Jan	9-Jan	28.84	4.0
KOLVEN CAPITAL	025	NRF	B	2,000	13.84	n/a	n/a	60.00	3.0
CR INTRINIC INVESTMENT	044	NXST	S	5,100	47.73	n/a	n/a	153.00	3.0
NEUBERGER BERMAN	036	NXST	B	20,400	47.32	n/a	n/a	816.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>OWW</b>	<b>B</b>	<b>30,000</b>	<b>7.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MATRIX ASSET ADV.	091	OXY	B	500	91.35	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	PFE	B	1,229	31.36	n/a	n/a	49.16	4.0
LATEEF MGMT	033	PG	B	300	80.44	n/a	14-Jan	42.00	14.0
LATEEF MGMT	033	PNC	S	250	81.24	n/a	n/a	37.50	15.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>14,000</b>	<b>125.13</b>	<b>n/a</b>	<b>14-Jan</b>	<b>non-brg</b>	<b>4.0</b>
FRONTIER	029	PVH	S	44,115	124.70	n/a	14-Jan	1,764.60	4.0
KINGDON ASSET MGMT	041	PVH	C	5,000	125.22	n/a	14-Jan	200.00	4.0
BESSEMER INVESTMENT	085	QCOM	B	494	74.60	n/a	n/a	19.76	4.0
CAMBIAR CAP	046	RDEN	B	38,411	34.67	n/a	n/a	1,536.44	4.0
VISIUM/BALY BOBBY	044	RDEN	S	25,000	34.51	n/a	n/a	1,250.00	5.0
LATEEF MGMT	033	RDSB	S	300	75.34	n/a	n/a	39.00	13.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RL	S	72,230	164.40	n/a	14-Jan	non-brg	4.0
f EDWARD W WHEELER	FID	RUSHA	B	27	0.25	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	R	S	100	73.16	n/a	19-Dec	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SKUL	S	1000	7.41	n/a	n/a	0.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	SPB	S	5,000	69.39	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	SPPI	B	3000	9.56	n/a	n/a	0.00	0.0
BRIGADE CAPITAL MGMT	029	STAR	B	50,000	15.19	n/a	n/a	1,500.00	3.0
SANDLER CAPITAL	028	TDW	SS	100,000	56.69	n/a	n/a	5,000.00	5.0
LATEEF MGMT	033	TEVA	S	3,000	43.57	n/a	16-Jan	300.00	10.0
f DAVID GEORGE BUCK	FID	TFCVX	B	2178	11.48	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	TGT	B	325	61.09	n/a	10-Jan	13.00	4.0
BESSEMER INVESTMENT	085	TMO	B	421	115.52	n/a	n/a	16.84	4.0
LATEEF MGMT	033	UAL	S	400	47.02	9-Jan	9-Jan	48.00	12.0
B BUCK CAPITAL MGMT		ULTA	B	16,000	83.79	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	UNP	B	172	167.26	n/a	19-Dec	6.88	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	VLO	B	172	51.32	n/a	n/a	6.88	4.0
⚡ BUCK CAPITAL MGMT		VNCE	B	15,000	24.75	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		VNCE	B	5,000	25.12	n/a	n/a	non-brg	3.0
BESSEMER INVESTMENT	085	WAG	B	239	59.42	n/a	n/a	9.56	4.0
⚡ BUCK CAPITAL MGMT		WCIC	B	1,279	17.99	n/a	n/a	non-brg	3.0
STRONG/MARK GRONET	030	WEN	S	250,000	9.12	n/a	n/a	7,500.00	3.0
⚡ CHRISTOPHER ROBERT C	FID	WNC	S	400	13.72	n/a	19-Dec	0.00	0.0
NOKOMIS PARTNERS	031	WPX	S	34,774	19.48	n/a	n/a	1,043.22	3.0
LATEEF MGMT	033	WY	B	500	31.17	n/a	15-Jan	50.00	10.0
KENBELLE LLC	028	XHB	SS	8,800	32.23	n/a	n/a	264.00	3.0
CORTEX CAPITAL	031	XRT	SS	20,000	83.15	n/a	n/a	600.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	60	97.72	n/a	n/a	2.40	4.0
<b>TOTAL (Trade Date) :</b>								<b>53,873.60</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	01/15	GAMCO ASSET MNGMT	025	GM	B	2,000	39.32	n/a-2014-01-16	80.00 0.0
AO,CRT	01/15	GAMCO ASSET MNGMT	025	GM	B	2,000	39.32	n/a-2014-01-16	80.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	53,873.60
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>53,873.60</b>
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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 16-Jan.

BAC

MRI Securities without Trade Activity on 16-Jan.

PCP, AAL, SAVE, VNTV, BEAV

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)**