



Daily Compliance Activity Report

Trade Date: 01/23/2014

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	210	549.57	n/a	n/a	8.40	4.0
EDGEWOOD	085	AAPL	B	1,045	546.71	n/a	n/a	52.25	5.0
BESSEMER INVESTMENT	085	ABT	B	400	37.32	n/a	n/a	16.00	4.0
SAC CHRIS C	041	ABT	B	15,000	37.29	n/a	n/a	450.00	3.0
BESSEMER INVESTMENT	085	ACE	B	286	94.59	n/a	n/a	11.44	4.0
BESSEMER INVESTMENT	085	ACN	B	130	83.96	n/a	n/a	5.20	4.0
B BUCK CAPITAL MGMT		AEO	B	50,000	12.91	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	50,000	13.11	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	50,000	13.40	n/a	n/a	non-brg	4.0
SURVEYOR CAPITAL	251	AEO	B	85,000	12.99	n/a	n/a	1,700.00	2.0
TRUST CO/COWEN/CALF.	040	AEO	S	71,255	13.08	n/a	n/a	2,850.20	4.0
BESSEMER INVESTMENT	085	AET	B	1,610	69.66	n/a	n/a	64.40	4.0
EDGEWOOD	085	AGN	B	5,485	116.78	n/a	15-Jan	274.25	5.0
BESSEMER INVESTMENT	085	AIG	B	1,106	49.36	n/a	n/a	44.24	4.0
BESSEMER INVESTMENT	085	AJG	B	300	48.59	n/a	n/a	12.00	4.0
B BUCK CAPITAL MGMT		ALK	SS	6,200	81.62	13-Jan	23-Jan	non-brg	3.0
EDGEWOOD	085	AMT	B	9,015	83.58	n/a	n/a	450.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AMZN	B	1,730	402.66	n/a	n/a	86.50	5.0
BESSEMER INVESTMENT	085	AVGO	B	1,750	56.17	n/a	n/a	70.00	4.0
BESSEMER INVESTMENT	085	AWK	B	2,724	42.06	n/a	n/a	108.96	4.0
PIMCO	084	BAC	S	200,000	16.99	16-Jan	16-Jan	4,000.00	2.0
BESSEMER INVESTMENT	085	BBT	B	380	38.70	n/a	n/a	15.20	4.0
BESSEMER INVESTMENT	085	BCE	B	325	41.94	n/a	n/a	13.00	4.0
BESSEMER INVESTMENT	085	BDX	B	130	110.33	n/a	n/a	5.20	4.0
BASSWOOD PARTNERS	267	BK	B	5,644	33.04	9-Jan	21-Jan	225.76	4.0
BESSEMER INVESTMENT	085	BLL	B	300	49.96	n/a	n/a	12.00	4.0
DELTEC ASSET MGMT.	040	BONT	B	19,800	11.24	13-Jan	23-Jan	792.00	4.0
BESSEMER INVESTMENT	085	CCC	B	500	20.48	n/a	n/a	20.00	4.0
EDGEWOOD	085	CELG	B	6,581	169.18	n/a	n/a	329.05	5.0
LIONEYE CAPITAL	040	CHMT	B	10,000	25.50	n/a	n/a	500.00	5.0
GEORGE WEISS	278	CMA	C	25,000	48.69	n/a	n/a	750.00	3.0
EDGEWOOD	085	CME	B	8,888	75.51	n/a	n/a	444.40	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	CMI	B	238	132.05	n/a	17-Jan	9.52	4.0
BESSEMER INVESTMENT	085	COH	B	250	48.86	n/a	23-Jan	10.00	4.0
B BUCK CAPITAL MGMT		COH	SS	20,000	48.78	n/a	23-Jan	non-brg	4.0
TROUBH PART	070	COH	B	15,000	49.19	n/a	23-Jan	750.00	5.0
BESSEMER INVESTMENT	085	COP	B	873	67.89	n/a	n/a	34.92	4.0
BESSEMER INVESTMENT	085	CPB	B	300	41.87	n/a	n/a	12.00	4.0
STANDARD PACIFIC CAPITAL	084	CPRT	B	4,800	35.77	n/a	n/a	240.00	5.0
BESSEMER INVESTMENT	085	CSCO	B	600	22.58	n/a	n/a	24.00	4.0
BESSEMER INVESTMENT	085	CTL	B	6,172	29.39	n/a	n/a	246.88	4.0
EDGEWOOD	085	CTSH	B	7,826	99.77	n/a	n/a	391.30	5.0
BESSEMER INVESTMENT	085	CVS	B	434	68.44	n/a	n/a	17.36	4.0
NUDGE CAPITAL FUND LP	006	DAL	B	10,000	32.49	22-Jan	22-Jan	300.00	3.0
ZWEIG FUNDS	006	DAL	B	25,000	32.34	22-Jan	22-Jan	1,250.00	5.0
BESSEMER INVESTMENT	085	DE	B	300	87.94	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	DG	B	1,494	57.51	n/a	9-Jan	59.76	4.0
CAPITAL GUARDIAN /INTN'L	084	D	S	60,000	66.49	n/a	n/a	2,100.00	4.0
CORNERSTONE	030	EBAY	S	25,501	54.99	n/a	n/a	1,020.04	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	EBAY	B	1000	55.25	n/a	n/a	0.00	0.0
	EDGEWOOD	085	ECL	B	4,071	102.28	n/a	n/a	203.55	5.0
	BALYASNY ASSET MGMT	044	EL	B	25,000	70.48	n/a	2-Jan	1,250.00	5.0
	BESSEMER INVESTMENT	085	EMR	B	200	67.76	n/a	n/a	8.00	4.0
	EDGEWOOD	085	EQIX	B	2,089	182.52	n/a	n/a	104.45	5.0
f	KELLY ELIZABETH CLIF	FID	FAUDX	S	228	10.07	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FAUDX	S	288	10.07	n/a	n/a	0.00	0.0
f	CINDY AMATURO	FID	FBIOX	B	52	213.09	n/a	n/a	0.00	0.0
f	GABRIELLA ROSA AMATU	FID	FBIOX	B	21	213.09	n/a	n/a	0.00	0.0
f	GIANNA VICTORIA AMAT	FID	FBIOX	B	14	213.09	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	FBIOX	B	469	213.09	n/a	n/a	0.00	0.0
f	OLIVIA DANIELLA AMAT	FID	FBIOX	B	32	213.09	n/a	n/a	0.00	0.0
	BRONSON POINT	036	FB	SS	25,000	56.28	n/a	n/a	750.00	3.0
f	KELLY ELIZABETH CLIF	FID	FCSAX	B	81	14.81	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FCSAX	B	115	14.81	n/a	n/a	0.00	0.0
f	KELLY ELIZABETH CLIF	FID	FILEX	B	314	10.65	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FILEX	B	427	10.65	n/a	n/a	0.00	0.0
	SMITH MGMT/ALDEN GLOBAL		029 FINL		SS	38,500	25.81	n/a	23-Jan	1,155.00 3.0
f	JOSEPH CIRO AMATURO	FID	FLO	B	4410	22.06	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DANIEL R SCHWARZWALD	FID	FNSXX	S	250000	1.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FOSL	S	10,000	113.87	n/a	n/a	non-brg	4.0
f KELLY ELIZABETH CLIF	FID	FPCIX	B	57	10.52	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	76	10.52	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FSCFX	B	36	13.93	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FSHBX	S	58	8.59	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSHBX	S	70	8.59	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FSPHX	B	123	203.93	n/a	n/a	0.00	0.0
EDGEWOOD	085	FTI	B	8,143	51.02	n/a	n/a	407.15	5.0
f KELLY ELIZABETH CLIF	FID	FUSOX	S	180	12.21	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FUSOX	S	221	12.21	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FWM	S	27,100	11.85	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		FWM	S	77,530	11.93	n/a	n/a	non-brg	3.0
f JOSEPH CIRO AMATURO	FID	FWM	B	5000	11.66	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	GD	B	100	101.00	17-Jan	22-Jan	4.00	4.0
CORTEX CAPITAL	031	GES	SS	20,000	28.37	n/a	14-Jan	600.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	GE	B	200,000	25.81	n/a	n/a	6,000.00	3.0
TUDOR INVESTORS	028	GE	B	10,000	25.81	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	GILD	B	13,980	81.31	n/a	n/a	699.00	5.0
B BUCK CAPITAL MGMT		GIL	S	10,000	52.92	n/a	n/a	non-brg	4.0
CORTEX CAPITAL	031	GIL	S	10,000	53.07	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	GIS	B	250	48.57	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	GOOG	B	201,158.97		n/a	n/a	0.80	4.0
EDGEWOOD	085	GOOG	B	8581,159.63		n/a	n/a	42.91	5.0
CORTEX CAPITAL	031	GWW	SS	6,000	260.03	n/a	n/a	180.00	3.0
PAR CAPITAL	029	HA	C	28,998	10.80	n/a	n/a	1,159.92	4.0
B BUCK CAPITAL MGMT		HBI	S	6,356	66.66	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	HLF	B	1000	64.92	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	IBM	B	1,884	182.37	n/a	n/a	75.36	4.0
EDGEWOOD	085	IHS	B	5,787	116.32	n/a	n/a	289.35	5.0
BESSEMER INVESTMENT	085	INTC	B	500	24.99	n/a	n/a	20.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	IR	S	30,000	60.32	n/a	n/a	900.00	3.0
EDGEWOOD	085	ISRG	B	1,813	440.51	n/a	n/a	90.65	5.0
BESSEMER INVESTMENT	085	ITW	B	263	81.33	n/a	n/a	10.52	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	JBLU	S	1000	9.18	n/a	17-Jan	0.00	0.0
T. ROWE PRICE	243	JBT	B	1,000	32.29	n/a	n/a	40.00	4.0
SMITH MGMT/ALDEN GLOBAL		029 JCP		SS	152,000	6.58	9-Jan 23-Jan	4,560.00	3.0
BESSEMER INVESTMENT	085	JNJ	B	300	92.66	n/a	n/a	12.00	4.0
B BUCK CAPITAL MGMT		KBR	B	7,500	32.64	n/a	n/a	non-brg	3.0
BESSEMER INVESTMENT	085	KEY	B	8,120	13.40	n/a	n/a	324.80	4.0
SMITH MGMT/ALDEN GLOBAL		029 KSS		SS	20,000	51.14	23-Jan 14-Jan	600.00	3.0
TUDOR INVESTORS	028	KSU	B	5,000	117.41	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	LB	B	651	54.03	n/a	n/a	26.04	4.0
B BUCK CAPITAL MGMT		LB	SS	20,000	54.12	n/a	n/a	non-brg	4.0
Õ Doug Rogers		LGND	B	200	65.02	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	3	65.02	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	3	65.02	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	LO	B	602	50.23	n/a	n/a	24.08	4.0
LOMAS CAPITAL	040	LPX	B	225,000	18.08	22-Jan	22-Jan	6,750.00	3.0
NEWLAND CAPITAL MGT	025	LPX	B	15,000	17.69	22-Jan	22-Jan	600.00	4.0
ROSEDALE CAPITAL	046	LPX	S	10,000	17.81	22-Jan	22-Jan	400.00	4.0
NUDGE CAPITAL FUND LP	006	LUV	B	10,000	22.01	n/a	23-Jan	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	MMM	B	110	134.38	n/a	n/a	4.40	4.0
BESSEMER INVESTMENT	085	MRO	B	855	33.92	n/a	n/a	34.20	4.0
BESSEMER INVESTMENT	085	MS	B	682	31.34	9-Jan	21-Jan	27.28	4.0
KAM ADVISORS LLC	041	MS	B	80,000	31.57	9-Jan	21-Jan	2,400.00	3.0
B BUCK CAPITAL MGMT		MVRX	SS	17,500	295.69	n/a	n/a	non-brg	23.7
BESSEMER INVESTMENT	085	MYL	B	1,808	45.12	n/a	15-Jan	72.32	4.0
BESSEMER INVESTMENT	085	M	B	1,204	54.88	23-Jan	9-Jan	48.16	4.0
LOMAS CAPITAL	040	NAV	S	59,000	36.58	n/a	23-Jan	1,770.00	3.0
EDGEWOOD	085	PCP	B	1,651	263.35	16-Jan	23-Jan	82.55	5.0
B BUCK CAPITAL MGMT		PETM	C	10,230	62.47	n/a	n/a	non-brg	4.0
KEY ASSET MGMT/VICTORY	220	PETM	S	133,190	63.20	n/a	n/a	5,327.60	4.0
BESSEMER INVESTMENT	085	PFE	B	2,341	31.09	n/a	n/a	93.64	4.0
B BUCK CAPITAL MGMT		PII	S	5,000	138.47	n/a	n/a	non-brg	4.0
f KELLY ELIZABETH CLIF	FID	PSFAX	S	93	9.86	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	PSFAX	S	122	9.86	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	984	75.64	n/a	n/a	39.36	4.0
EDGEWOOD	085	QCOM	B	7,053	75.51	n/a	n/a	352.65	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	INTERVAL PARTNERS	033	ROST	B	10,000	68.77	23-Jan	6-Jan	300.00	3.0	
B	BUCK CAPITAL MGMT		SBUX	B	63,700	73.79	n/a	21-Jan	non-brg	3.0	
	LONG OAR GLOBAL	040	SDRL	SS	36,000	39.49	n/a	n/a	1,440.00	4.0	
	DAVIDSON KEMPNER ADVISOR	281	SEAS	S	12,500	32.79	n/a	n/a	625.00	5.0	
	LONE PINE MGMT	257	SEAS	B	9,300	32.80	n/a	n/a	372.00	4.0	
B	BUCK CAPITAL MGMT		SLM	B	42,500	23.27	n/a	23-Jan	non-brg	4.0	
	OMEGA ADVISORS	041	SLM	B	510,000	23.45	n/a	23-Jan	20,400.00	4.0	
	PLATTE RIVER CAPITAL	046	SLM	S	62,330	22.91	n/a	23-Jan	2,493.20	4.0	
B	BUCK CAPITAL MGMT		SONC	B	50,000	19.75	n/a	17-Jan	non-brg	4.0	
B	BUCK CAPITAL MGMT		SPN 6 C30	B	400	0.52	n/a	n/a	non-brg	100.0	
f	MICHAEL MARRANO	FID	SPY	B	50	182.70	n/a	n/a	0.00	0.0	
	SMITH MGMT/ALDEN GLOBAL		029 SSI		SS	51,000	19.70	23-Jan	9-Jan	1,530.00	3.0
	EDGEWOOD	085	SSYS	B	3,668	125.62	n/a	n/a	183.40	5.0	
f	MARC PAUL LUCHANSKY	FID	STZ	S	100	77.49	9-Jan	23-Jan	0.00	0.0	
	STRONG/MARK GRONET	030	SUI	S	5,000	44.56	n/a	n/a	200.00	4.0	
	ADAGE CAPITAL MGMT	030	SWY	B	100,000	31.30	n/a	n/a	3,000.00	3.0	
Õ	Nilsa Vazquez		TBT	B	100	72.72	n/a	n/a	0.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	TGT	B	795	58.60	n/a	10-Jan	31.80	4.0
BESSEMER INVESTMENT	085	TMO	B	615	112.92	n/a	n/a	24.60	4.0
EDGEWOOD	085	TROW	B	8,331	80.13	n/a	n/a	416.55	5.0
f MARC PAUL LUCHANSKY	FID	TSU	S	136	27.35	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	T	B	400	33.70	n/a	n/a	16.00	4.0
B BUCK CAPITAL MGMT		UAL	S	10,000	48.58	9-Jan	17-Jan	non-brg	3.0
CHARTERBRIDGE CAPITAL	025	ULTA	B	13,600	82.99	n/a	n/a	408.00	3.0
BESSEMER INVESTMENT	085	UNP	B	355	173.03	n/a	23-Jan	14.20	4.0
B BUCK CAPITAL MGMT		URI 3 C85	C	500	2.79	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		URI	S	6,200	81.51	n/a	n/a	non-brg	4.0
EDGEWOOD	085	VIAB	B	9,111	83.39	n/a	n/a	455.55	5.0
BESSEMER INVESTMENT	085	VLO	B	695	50.68	n/a	n/a	27.80	4.0
B BUCK CAPITAL MGMT		VNCE	B	10,000	24.51	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VNCE	B	5,700	24.29	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		VSI	SS	25,000	46.41	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	281	VSI	B	12,500	47.21	n/a	n/a	625.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EDGEWOOD	085	V	B	3,953	229.44	10-Jan	21-Jan	197.65	5.0
BESSEMER INVESTMENT	085	WAG	B	524	58.35	n/a	n/a	20.96	4.0
CONIFER/GROW	084	WNC	SS	100,000	13.96	n/a	23-Jan	4,000.00	4.0
STRONG/MARK GRONET	030	WPP	S	8,000	13.43	n/a	n/a	320.00	4.0
NEUBERGER BERMAN	036	WWAV	S	68,800	24.40	n/a	n/a	2,752.00	4.0
FRED ALGER MGMT	300	WWW	S	78,395	28.39	n/a	n/a	2,822.22	4.0
OMEGA ADVISORS	041	XL	S	48,000	29.82	n/a	n/a	1,920.00	4.0
f JOSEPH CIRO AMATURO	FID	XOM	B	500	97.14	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	491	95.34	n/a	n/a	19.64	4.0
TOTAL (Trade Date) :								103,004.29	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/22	CORTEX CAPITAL	031	CPRT	B	46,700	36.13	n/a	n/a	2335.00	0.0
AO,CRT	01/22	STANDARD PACIFIC CAPITAL	084	CPRT	B	46,700	36.13	n/a	n/a	2335.00	0.0
AO,CRT	01/22	AAD CAPITAL	084	FSC	S	15,000	9.47	n/a	n/a	450.00	0.0
AO,CXL	01/22	AAD CAPITAL	084	FSC	S	15,000	9.47	n/a	n/a	450.00	0.0
AO,CXL	01/21	DISCIPLINED GROWTH INV.	030	TJX	S	4,150	60.19-2014-01-23-2014-01-06			207.50	0.0
AO,CRT	01/21	DISCIPLINED GROWTH INV.	030	TJX	S	4,150	60.19-2014-01-23-2014-01-06			207.50	0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	103,004.29
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	103,004.29
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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 23-Jan.

KSS, M, ROST, SSI

MRI Securities without Trade Activity on 23-Jan.

NSC, AXE, TJX, JWN, DDS

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)