



Daily Compliance Activity Report

Trade Date: 01/29/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EMPYREAN CAPITAL	084	AAL	C	300,000	33.01	n/a	n/a	9,000.00	0.0
FARBER	006	AAL	B	2,900	32.95	n/a	n/a	116.00	0.0
SOROS	036	AAL	S	263,765	32.92	n/a	n/a	10,550.60	0.0
ZWEIG FUNDS	006	AAL	B	25,000	32.95	n/a	n/a	1,250.00	0.0
STELLIAM INV ADV	086	ABX	B	60,000	19.44	n/a	n/a	2,400.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	AGU	SS	5,000	87.24		n/a	n/a	250.00 0.0
SCOPUS FUND	041	ALV	B	50,000	87.74	n/a	19-Jun	2,000.00	0.0
TWO OCEAN CAPITAL	084	ANN	SS	37,150	32.34	n/a	n/a	1,114.50	0.0
J. GOLDMAN	028	BIG	B	25,000	27.00	n/a	n/a	1,000.00	0.0
DELTEC ASSET MGMT.	040	BONT	B	12,000	10.79	n/a	18-Jun	600.00	0.0
ROVER CAPITAL PARTNERS	040	BUD	B	2,000	97.64	n/a	17-Jun	80.00	0.0
COUGAR TRADING	044	CAKE	SS	5,000	44.25	n/a	25-Apr	250.00	0.0
LIONEYE CAPITAL	040	CLF	B	85,000	20.63	n/a	n/a	4,260.00	0.0
LISTED ERR	040	CLF	B	200	20.63	n/a	n/a	0.00	0.0
LISTED ERR	099	CLF	S	200	20.01	n/a	n/a	0.00	0.0
LAKEWOOD CAPITAL MGMT	085	CONN	C	9,000	63.00	n/a	n/a	270.00	0.0
FARBER	006	CP	B	8,500	146.03	n/a	n/a	340.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MSF CAPITAL (ENTRUST)	040	C	B	9,625	47.84	n/a	17-Jun	481.25	0.0
TROUBH PART	070	C	B	25,000	49.00	n/a	17-Jun	1,250.00	0.0
MAPLE ROW	006	DAL	B	7,500	30.85	n/a	18-Jun	225.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	DECK	B	10,000	76.75	n/a	n/a	300.00	0.0
CAPITAL GUARDIAN /INTN'L	084	D	S	354,138	66.27	n/a	n/a	12,394.83	0.0
P.SCHOENFELD ASSET MGMT LLC	041	ELS	S	10,000	38.35	n/a	n/a	400.00	0.0
KAM ADVISORS LLC	041	FDX	S	71,500	132.78	n/a	n/a	2,145.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	FINL	B	19,800	25.39		n/a 19-Jun	594.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	FL	B	13,200	38.07		n/a 19-Jun	396.00	0.0
CAERUS GLOBAL	041	GM	S	25,000	36.05	n/a	19-Jun	1,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	S	15,000	36.05	n/a	19-Jun	450.00	0.0
BRONSON POINT	036	GPS	B	25,000	37.02	n/a	n/a	750.00	0.0
SANDLER CAPITAL	028	HD	S	105,000	78.07	n/a	n/a	5,250.00	0.0
DAVIDSON KEMPNER ADVISOR	281	HIBB	SS	25,000	58.99	n/a	n/a	1,250.00	0.0
INTERVAL PARTNERS	033	HIBB	C	10,000	59.00	n/a	n/a	300.00	0.0
SEVEN LOCKS CAPITAL	025	HTH	B	55,000	23.87	n/a	n/a	1,650.00	0.0
BESSEMER INVESTMENT	085	IBM	B	90	178.27	n/a	n/a	3.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	IP	B	10,000	46.46	n/a	17-Jun	500.00	0.0
KAM ADVISORS LLC	041	IP	C	53,200	46.97	n/a	17-Jun	1,596.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	IRC	B	40,000	10.25	n/a	n/a	1,600.00	0.0
AMICI CAPITAL N/C	044	IWM	B	100,000	111.48	n/a	n/a	4,000.00	0.0
LAKEWOOD CAPITAL MGMT	085	I	B	3,000	20.40	n/a	n/a	90.00	0.0
DAVIDSON KEMPNER ADVISOR	281	JACK	B	14,800	49.93	n/a	n/a	740.00	0.0
MAPLE ROW	006	JBLU	B	12,500	8.68	n/a	18-Jun	375.00	0.0
SYSTEMATIC FINANCIAL MGT	070	JBLU	B	110,750	8.97	n/a	18-Jun	3,322.50	0.0
KAM ADVISORS LLC	041	JCI	S	155,200	46.79	n/a	10-Jun	4,656.00	0.0
S.A.C. CAPITAL	044	JCI	B	3,000	46.98	n/a	10-Jun	90.00	0.0
BESSEMER INVESTMENT	085	KEY	B	1,485	13.00	n/a	n/a	59.40	0.0
J. GOLDMAN	028	KORS	B	30,000	79.75	n/a	30-May	1,200.00	0.0
AMBER CAPITAL	046	LBTYK	SS	141,659	78.13	n/a	n/a	5,666.36	0.0
LONE PINE MGMT	257	LBTYK	B	175,000	78.07	n/a	n/a	7,000.00	0.0
SEVEN LOCKS CAPITAL	025	LBTYK	B	25,000	78.07	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	LB	B	245	52.62	n/a	n/a	9.80	0.0
SEVEN LOCKS CAPITAL	025	LINTA	B	80,000	27.18	n/a	n/a	2,400.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	LOW	S	60,000	46.33	n/a	n/a	1,800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	LO	B	155	48.96	n/a	n/a	6.20	0.0
ACK ASSET	028	MCD	SS	25,000	93.35	n/a	17-Jun	750.00	0.0
CORTEX CAPITAL	031	MMM	SS	20,000	129.36	n/a	n/a	600.00	0.0
S.A.C. CAPITAL	044	MMM	B	75,000	130.12	n/a	n/a	2,250.00	0.0
PRIMECAP MGMT	084	MNTA	B	5,000	18.59	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	MRO	B	230	33.24	n/a	n/a	9.20	0.0
PRIMECAP MGMT	084	MSFT	B	37,000	36.68	n/a	n/a	1,480.00	0.0
BESSEMER INVESTMENT	085	MS	B	235	30.18	n/a	6-Jun	9.40	0.0
BADGE CAPITAL	030	MWV	B	1,000	36.05	n/a	18-Jun	35.00	0.0
BESSEMER INVESTMENT	085	MYL	B	610	44.92	n/a	17-Jun	24.40	0.0
BESSEMER INVESTMENT	085	M	B	350	54.25	n/a	18-Jun	14.00	0.0
BESSEMER INVESTMENT	085	PFE	B	620	30.22	n/a	n/a	24.80	0.0
PRIMECAP MGMT	084	PKG	S	1,500	64.72	n/a	17-Jun	60.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	265	71.92	n/a	n/a	10.60	0.0
DISCIPLINED GROWTH INV.	030	RCL	B	4,450	49.38	n/a	n/a	222.50	0.0
ROTHSCHILD ASSET	040	RFMD	S	118,020	5.22	n/a	n/a	4,720.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	RH	C	5,000	56.38	n/a	n/a	150.00	0.0
SYMPHONY ASSET	033	RH	S	18,511	55.16	n/a	n/a	555.33	0.0
LAKEWOOD CAPITAL MGMT	085	RIG	B	8,000	43.78	n/a	n/a	240.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	10,000	103.99	n/a	17-Jun	500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	RLGY	S	10,000	46.19	n/a	n/a	300.00	0.0
LAKEWOOD CAPITAL MGMT	085	SDRL	SS	4,000	36.24	n/a	n/a	120.00	0.0
ASCEND PARTNERS	033	STZ	B	22,189	77.62	n/a	17-Jun	665.67	0.0
FARBER	006	STZ	B	2,000	77.84	n/a	17-Jun	80.00	0.0
ADAGE CAPITAL MGMT	310	SWY	B	50,000	31.30	n/a	n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	TGT	B	250	57.35	n/a	23-May	10.00	0.0
DISCIPLINED GROWTH INV.	030	TJX	B	8,700	57.90	n/a	18-Jun	435.00	0.0
BESSEMER INVESTMENT	085	TMO	B	195	111.52	n/a	n/a	7.80	0.0
PRIMECAP MGMT	084	TMO	B	10,000	111.21	n/a	n/a	400.00	0.0
ROYCE TRADING	031	TRN	S	7,000	57.06	n/a	n/a	350.00	0.0
LAKEWOOD CAPITAL MGMT	085	TXMD	SS	5,000	6.01	n/a	n/a	150.00	0.0
PRIMECAP MGMT	084	TXN	B	15,000	42.58	n/a	n/a	600.00	0.0
ROYCE TRADING	031	UFI	S	5,000	22.28	n/a	n/a	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UNP	B	50	172.37	n/a	n/a	2.00	0.0
BRONSON POINT	036	URBN	B	25,000	35.77	n/a	n/a	750.00	0.0
CR INTRINSIC/CHRIS C	041	URI	B	5,000	80.28	n/a	17-Apr	150.00	0.0
VISIUM/BALY BOBBY	044	USG	C	20,051	30.74	n/a	29-Apr	1,002.55	0.0
BESSEMER INVESTMENT	085	VLO	B	235	52.05	n/a	n/a	9.40	0.0
BESSEMER INVESTMENT	085	WAG	B	145	56.86	n/a	n/a	5.80	0.0
ROYCE TRADING	031	WAIR	B	2,500	21.66	n/a	n/a	125.00	0.0
ROYCE TRADING	031	WLH	B	17,500	23.16	n/a	n/a	875.00	0.0
TOTAL (Trade Date) :							117,826.29		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/28	HALCYON LLC (HALCDBSI)	041	ARCP	B	95,592	14.01	n/a	n/a	2867.76 0.0
AO,	01/28	HALCYON LLC (HALCDBSI)	041	ARCP	B	4,714	14.01	n/a	n/a	2867.76 0.0
AO,	01/28	HALCYON LLC (HALCBARCL)	041	ARCP	B	90,878	14.01	n/a	n/a	2726.34 0.0
AO,CXL	01/28	DELTEC ASSET MGMT. (DELTPEPSPB)	040	BONT	B	1,100	10.83	n/a	18-Jun	55.00 0.0
AO,CRT	01/28	DELTEC ASSET MGMT. (DELTPEPSPB)	040	BONT	B	1,100	10.83	n/a	18-Jun	44.00 4.0
AO,CXL	01/28	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	20,000	77.13	n/a	19-Jun	600.00 0.0
AO,	01/28	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	20,000	77.13	n/a	19-Jun	600.00 0.0
AO,CXL	01/28	FIRST NY SEC/CHRIS (FNYCHRIS)	041	LOW	SS	5,000	46.95	n/a	n/a	250.00 0.0
AO,CRT	01/28	FIRST NY SEC/CHRIS (FNYCHRIS)	041	LOW	SS	5,000	46.95	n/a	n/a	150.00 3.0

TOTAL (AO, CXL, CRT) :	2,615.34
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TOTAL (Trade Date):	117,826.29
TOTAL (AO, CXL, CRT):	2,615.34

TOTAL (RUN DATE) / NFS:	120,441.63
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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