



Daily Compliance Activity Report

Trade Date: 01/14/2014

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	85	544.31	n/a	n/a	3.40	4.0
LATEEF MGMT	033	AA	B	250	10.26	n/a	n/a	25.00	10.0
BESSEMER INVESTMENT	085	ACE	B	60	97.78	n/a	n/a	2.40	4.0
BESSEMER INVESTMENT	085	AET	B	110	71.36	n/a	n/a	4.40	4.0
BESSEMER INVESTMENT	085	AIG	B	475	51.74	n/a	n/a	19.00	4.0
KENNEDY CAPITAL	046	ALGT	B	2,005	102.98	n/a	13-Jan	80.20	4.0
PRIMECAP MGMT	084	AMGN	S	6,500	117.72	n/a	n/a	260.00	4.0
B BUCK CAPITAL MGMT		AMZN	B	3,000	397.36	n/a	n/a	non-brg	4.0
TYVOR CAPITAL LLC	031	AN	SS	30,000	49.09	n/a	13-Jan	900.00	3.0
DC CAPITAL	044	ATI	S	20,000	35.32	n/a	8-Jan	800.00	4.0
BESSEMER INVESTMENT	085	AVGO	B	650	55.52	n/a	n/a	26.00	4.0
BESSEMER INVESTMENT	085	AWK	B	1,180	41.50	n/a	n/a	47.20	4.0
INTERVAL PARTNERS	033	AXL	SS	25,000	20.06	n/a	13-Jan	750.00	3.0
ROSEDALE CAPITAL	046	AXL	S	10,000	20.04	n/a	13-Jan	400.00	4.0
CASTLEROCK	040	BA	SS	5,925	139.64	n/a	14-Jan	237.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	BA	S	600	139.83	n/a	14-Jan	100.00	22.0
OZ MGMT	040	BA	SS	50,000	138.33	n/a	14-Jan	1,500.00	3.0
B BUCK CAPITAL MGMT		BBBY	C	7,500	67.26	n/a	n/a	non-brg	4.0
SYMPHONY ASSET	033	BEAM	S	5,340	83.24	n/a	n/a	160.20	3.0
B BUCK CAPITAL MGMT		BLMN	B	10,000	22.65	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BLMN	B	10,000	22.78	n/a	n/a	non-brg	3.0
BERYLSON CAPITAL	030	BONT	S	19,284	12.62	13-Jan	14-Jan	578.52	3.0
COOPER CREEK PART	028	BONT	B	17,137	12.42	13-Jan	14-Jan	685.48	4.0
DELTEC ASSET MGMT.	040	BONT	B	22,000	12.40	13-Jan	14-Jan	1,100.00	5.0
J. GOLDMAN	028	CAB	B	4,892	67.00	n/a	n/a	195.68	4.0
f EDWARD W WHEELER	FID	CBT	S	1000	51.02	n/a	n/a	0.00	0.0
PALESTRA	040	CHTR	B	28,500	136.86	19-Dec[i]	14-Jan	855.00	3.0
BESSEMER INVESTMENT	085	CMI	B	115	137.21	n/a	19-Dec	4.60	4.0
BESSEMER INVESTMENT	085	COP	B	330	68.08	n/a	n/a	13.20	4.0
BESSEMER INVESTMENT	085	CTL	B	475	30.71	n/a	n/a	19.00	4.0
BESSEMER INVESTMENT	085	CVS	B	100	68.39	n/a	n/a	4.00	4.0
SAC CHRIS C	041	CVS	SS	75,000	68.40	n/a	n/a	2,250.00	3.0
BESSEMER INVESTMENT	085	C	B	305	53.83	9-Jan	9-Jan	12.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZWEIG FUNDS	006	DAL	B	10,000	31.63	n/a	6-Jan	500.00	5.0
B BUCK CAPITAL MGMT		DECK	B	10,000	82.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	B	20,000	82.28	n/a	n/a	non-brg	4.0
CR INTRINSIC/CHRIS C	041	DE	SS	2,500	89.67	n/a	n/a	75.00	3.0
PRIMECAP MGMT	084	DFS	B	3,207	54.73	13-Jan	14-Jan	128.28	4.0
BESSEMER INVESTMENT	085	DG	B	735	61.61	n/a	9-Jan	29.40	4.0
B BUCK CAPITAL MGMT		DG	B	30,000	60.81	n/a	9-Jan	non-brg	4.0
LATEEF MGMT	033	DRE	B	1,000	15.06	n/a	n/a	100.00	10.0
CR INTRINSIC/CHRIS C	041	FAST	B	10,000	48.15	n/a	n/a	300.00	3.0
SHEFFIELD ASSET MGMT	031	FDO	B	11,500	63.72	10-Jan	10-Jan	460.00	4.0
TYVOR CAPITAL LLC	031	FDO	B	3,500	63.91	10-Jan	10-Jan	105.00	3.0
SYMPHONY ASSET	033	FFIV	B	1,998	94.67	n/a	n/a	59.94	3.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	25,000	20.63	19-Dec	19-Dec	1,250.00	5.0
NWQ INVESTMENT MGMT CO	084	FOR	B	10,200	20.68	19-Dec	19-Dec	357.00	4.0
GAMCO ASSET MNGMT	025	FOX	B	6,610	31.48	n/a	n/a	198.30	3.0
f BRIAN W CRAGO	FID	F	S	150	16.28	n/a	13-Jan	0.00	0.0
B BUCK CAPITAL MGMT		GCO	B	10,000	71.83	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GES	C	50,800	29.74	n/a	14-Jan	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	GE	B	150,000	26.85	n/a	n/a	4,500.00	3.0
NWQ INVESTMENT MGMT CO	084	GFF	B	11,000	13.71	n/a	n/a	385.00	4.0
BRONSON POINT	036	GME	S	50,000	36.63	n/a	n/a	1,500.00	3.0
LATEEF MGMT	033	GSPRD	B	300	19.21	n/a	n/a	30.00	10.0
f EDWARD W WHEELER	FID	HRS	S	100	3.50	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	IBM	B	175	186.28	n/a	n/a	7.00	4.0
RIVERLOFT CAPITAL	044	INTC	B	50,000	26.33	n/a	n/a	1,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	30,000	48.64	n/a	10-Jan	1,500.00	5.0
NEUBERGER BERMAN	036	IP	S	27,000	48.66	n/a	10-Jan	1,080.00	4.0
BESSEMER INVESTMENT	085	ITW	B	60	82.07	n/a	n/a	2.40	4.0
SYMPHONY ASSET	033	JAZZ	S	469	143.81	n/a	n/a	14.07	3.0
HAWK RIDGE	025	JBL	B	50,000	17.77	n/a	n/a	1,500.00	3.0
BRONSON POINT	036	JPM	SS	50,000	58.23	9-Jan	14-Jan	1,500.00	3.0
B BUCK CAPITAL MGMT		KBR	B	15,000	31.23	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	KEY	B	580	13.57	n/a	n/a	23.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYMPHONY ASSET	033	KRFT	B	6,245	54.59	n/a	n/a	187.35	3.0
TYVOR CAPITAL LLC	031	KSS	B	4,500	53.34	n/a	14-Jan	135.00	3.0
BESSEMER INVESTMENT	085	LB	B	470	56.42	n/a	n/a	18.80	4.0
B BUCK CAPITAL MGMT		LB	SS	30,000	56.49	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	LO	B	400	49.36	n/a	n/a	16.00	4.0
LATEEF MGMT	033	MRK	S	500	52.44	n/a	n/a	50.00	10.0
BESSEMER INVESTMENT	085	MRO	B	480	34.41	n/a	n/a	19.20	4.0
BESSEMER INVESTMENT	085	MS	B	520	31.13	9-Jan	9-Jan	20.80	4.0
NUDGE CAPITAL FUND LP	006	MS	B	10,000	31.07	9-Jan	9-Jan	300.00	3.0
BESSEMER INVESTMENT	085	MYL	B	1,275	46.26	n/a	9-Jan	51.00	4.0
BESSEMER INVESTMENT	085	M	B	825	55.72	9-Jan	9-Jan	33.00	4.0
DC CAPITAL	044	NPO	B	50,000	72.75	n/a	n/a	2,000.00	4.0
f EDWARD W WHEELER	FID	NPO	B	5000	72.09	n/a	n/a	0.00	0.0
HALCYON LLC	041	NRF	B	50,000	14.00	n/a	n/a	1,500.00	3.0
JET CAPITAL/CHRIS	041	NRG	B	50,000	27.66	n/a	n/a	1,500.00	3.0
SYMPHONY ASSET	033	OCN	S	3,459	53.55	n/a	n/a	103.77	3.0
LATEEF MGMT	033	OLN	S	300	28.57	n/a	n/a	33.00	11.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	PFE	B	1,540	30.97	n/a	n/a	61.60	4.0
LATEEF MGMT	033	PG	B	350	80.65	n/a	14-Jan	57.50	19.0
METROPOLITAN CAPITAL	044	PLCE	B	10,300	57.48	n/a	8-Jan	515.00	5.0
CORNERSTONE	030	PVH	S	129,796	127.88	n/a	14-Jan	5,191.84	4.0
SIGMA CAP BOBBY	044	PVH	B	5,000	126.98	n/a	14-Jan	150.00	3.0
BESSEMER INVESTMENT	085	QCOM	B	255	73.16	n/a	n/a	10.20	4.0
B BUCK CAPITAL MGMT		RL	S	10,000	168.04	n/a	14-Jan	non-brg	4.0
ROYCE TRADING	031	SFY	B	8,000	13.00	n/a	n/a	400.00	5.0
ROYCE TRADING	031	SGY	S	9,000	32.05	n/a	n/a	450.00	5.0
f MICHAEL MARRANO	FID	SPY	B	50	183.40	n/a	n/a	0.00	0.0
BMO / M&I FUNDS	047	SSI	S	27,500	19.62	13-Jan	9-Jan	1,100.00	4.0
BRIGADE CAPITAL MGMT	029	STAR	B	30,000	15.05	n/a	n/a	900.00	3.0
LATEEF MGMT	033	SWY	B	800	31.89	n/a	n/a	80.00	10.0
DELTEC ASSET MGMT.	040	TEN	S	6,300	56.31	n/a	n/a	315.00	5.0
TROUBH PART	070	TEVA	S	25,000	43.34	16-Dec	9-Jan	1,250.00	5.0
BESSEMER INVESTMENT	085	TGT	B	475	61.63	n/a	10-Jan	19.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HALCYON LLC	041	TK	B	26,435	50.00	n/a	n/a	793.05	3.0
BESSEMER INVESTMENT	085	TMO	B	255	114.47	n/a	n/a	10.20	4.0
f JARROD MICHAEL FEINS	FID	TSLA	S	50	160.33	n/a	n/a	0.00	0.0
FIFTH THIRD BANK/FREEMAN	047	TSM	B	26,659	17.31	n/a	n/a	1,066.36	4.0
CR INTRINSIC/CHRIS C	041	TXT	SS	5,000	35.16	n/a	n/a	150.00	3.0
LATEEF MGMT	033	UAL	S	300	46.03	9-Jan	9-Jan	36.00	12.0
TYVOR CAPITAL LLC	031	ULTA	B	12,000	88.91	n/a	n/a	360.00	3.0
BESSEMER INVESTMENT	085	UNP	B	225	169.24	n/a	19-Dec	9.00	4.0
B BUCK CAPITAL MGMT		URBN	B	10,000	37.06	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	VLO	B	85	52.08	n/a	n/a	3.40	4.0
BESSEMER INVESTMENT	085	WAG	B	460	60.05	n/a	n/a	18.40	4.0
f EDWARD W WHEELER	FID	WAG	S	3000	60.20	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	WFC	B	17,000	45.40	9-Jan	14-Jan	680.00	4.0
f EDWARD W WHEELER	FID	WLT	B	14000	13.43	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	WNC	S	15000	12.76	n/a	19-Dec	0.00	0.0
CR INTRINIC INVESTMENT	044	WWW	B	39,500	30.81	n/a	n/a	1,185.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	WWW	SS	40,000	30.80	n/a	n/a	1,600.00	4.0
TUDOR INVESTORS	028	XME	S	10,000	41.07	n/a	n/a	300.00	3.0
SIGMA CAPITAL ASSOCIATES	041	YUM	SS	25,000	73.41	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	110	96.39	n/a	n/a	4.40	4.0
TOTAL (Trade Date) :								51,570.94	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	01/13	KENNEDY CAPITAL	046	ALGT	B	26,109	102.33	n/a-2014-01-13	1044.36 0.0
AO,	01/13	KENNEDY CAPITAL	046	ALGT	B	26,109	102.33	n/a-2014-01-13	1044.36 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	51,570.94
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	51,570.94
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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 14-Jan.
NONE

MRI Securities without Trade Activity on 14-Jan.
NONE

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)