



# Daily Compliance Activity Report

Trade Date: 10/31/2013

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	101	524.38	n/a	n/a	4.04	4.0
WHITE PINE CAPITAL	030	ABX	B	6,625	19.99	n/a	n/a	331.25	5.0
BESSEMER INVESTMENT	085	ACE	B	444	96.17	n/a	n/a	17.76	4.0
BESSEMER INVESTMENT	085	ACN	B	249	73.78	n/a	n/a	9.96	4.0
BESSEMER INVESTMENT	085	AET	B	474	62.93	n/a	n/a	18.96	4.0
BESSEMER INVESTMENT	085	AIG	B	547	51.80	n/a	n/a	21.88	4.0
TUDOR INVESTORS	028	ANV	B	15,000	4.08	n/a	n/a	450.00	3.0
INTERVAL PARTNERS	033	ASNA	C	25,000	19.85	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	AWK	B	1,158	42.72	n/a	n/a	46.32	4.0
NEW VERNON/SF INVESTMENTS	031	AXL	B	70,000	18.73	n/a	25-Oct	4,200.00	6.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>BIIB</b>	<b>B</b>	<b>500</b>	<b>245.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	085	BOH	B	4,735	58.38	n/a	n/a	189.40	4.0
DC CAPITAL	044	CAM	B	6,000	55.28	n/a	n/a	240.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>1000</b>	<b>5.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KEYGROUP/KGLT	040	CHK	SS	25,000	28.00	n/a	n/a	1,000.00	4.0
JSRG CAPITAL PARTNERS LP	084	CHRW	B	15,000	59.80	n/a	11-Oct	450.00	3.0
COBALT	041	CMA	B	117,425	43.70	n/a	n/a	4,697.00	4.0
CAPITAL RESEARCH GROUP		296 CMCSA	S	65,000	47.84		n/a	n/a	2,275.00 4.0
P.SCHOENFELD ASSET MGMT LLC	041	CNHI	S	150,000	11.79	n/a	n/a	6,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CONN</b>	<b>B</b>	<b>15,000</b>	<b>59.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	COP	B	454	74.06	n/a	n/a	18.16	4.0
BESSEMER INVESTMENT	085	CTL	B	595	33.68	n/a	n/a	23.80	4.0
CAPITAL RESEARCH GROUP		296 CTL	B	615,713	33.84		n/a	n/a	21,549.96 4.0
PROSPECTOR PARTNERS LLC	036	CVC	B	10,000	15.71	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	CVS	B	483	62.43	n/a	n/a	19.32	4.0
BESSEMER INVESTMENT	085	C	B	489	49.27	n/a	25-Oct	19.56	4.0
WHITE PINE CAPITAL	030	C	B	2,050	49.56	n/a	25-Oct	102.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>20,000</b>	<b>68.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	DG	B	716	58.00	n/a	n/a	28.64	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ESNT</b>	<b>B</b>	<b>10,000</b>	<b>17.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		ESNT	S	10,000	21.58	n/a	n/a	non-brg	2.5
NOMURA/ANGEL LANE PRINCIPAL	040	ETN	S	30,000	70.86	31-Oct	31-Oct	900.00	3.0
⌘ BUCK CAPITAL MGMT		FRAN	S	11,200	18.07	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRAN	S	25,000	18.00	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRAN	S	40,000	17.93	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRAN	S	75,000	18.00	n/a	n/a	non-brg	4.0
ALLIANZ/NICOLAS APPLEGATE		084 F	B	233,500	17.24		n/a 31-Oct	8,172.50	4.0
⌘ BUCK CAPITAL MGMT		GCO	B	10,000	68.54	n/a	n/a	non-brg	4.0
LONG OAR GLOBAL	040	HERO	SS	50,000	6.81	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	IBM	B	254	180.86	n/a	n/a	10.16	4.0
MASTERS CAPITAL MANAGE	025	INTC	B	100,000	24.69	n/a	n/a	4,000.00	4.0
BESSEMER INVESTMENT	085	ITW	B	437	79.24	n/a	n/a	17.48	4.0
TIEDEMANN/TIG ADVISORS LLC	006	IYK	SS	6,560	93.87	n/a	n/a	328.00	5.0
ASCEND PARTNERS	033	JNY	C	36,092	15.39	n/a	31-Oct	1,082.76	3.0
⌘ BUCK CAPITAL MGMT		KEG	B	70,000	7.32	n/a	n/a	non-brg	3.0
BESSEMER INVESTMENT	085	KEY	B	1,141	12.64	n/a	n/a	45.64	4.0
BESSEMER INVESTMENT	085	LO	B	406	51.44	n/a	n/a	16.24	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	LTD	B	497	62.82	n/a	n/a	19.88	4.0
WHITE PINE CAPITAL	030	MCD	B	850	96.43	22-Oct	30-Oct	42.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MOH</b>	<b>B</b>	<b>15,000</b>	<b>32.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
CRAMER ROSENTHAL	070	MRC	S	47,300	28.02	n/a	n/a	1,892.00	4.0
EVERGREEN	047	MRC	B	44,600	28.07	n/a	n/a	1,784.00	4.0
BESSEMER INVESTMENT	085	MRO	B	529	35.53	n/a	n/a	21.16	4.0
MERRILL ASSET/BLACKROCK	085	MSCI	S	21,600	40.83	n/a	n/a	864.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>MTOR</b>	<b>B</b>	<b>10000</b>	<b>6.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>40,000</b>	<b>313.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>25.1</b>
BESSEMER INVESTMENT	085	M	B	1,035	46.29	n/a	n/a	41.40	4.0
BESSEMER INVESTMENT	085	NLSN	B	914	39.61	n/a	n/a	36.56	4.0
FRED ALGER MGMT	300	NOW	B	17,700	54.39	n/a	n/a	637.20	4.0
HERRING CREEK CAPITAL	040	NYT	S	37,900	13.88	n/a	n/a	1,137.00	3.0
WHITE PINE CAPITAL	030	PEP	B	1,500	84.56	n/a	n/a	75.00	5.0
BESSEMER INVESTMENT	085	PFE	B	1,606	30.87	n/a	n/a	64.24	4.0
CAPITAL RESEARCH GROUP		296 PM	B	375,000	89.79		n/a	n/a	13,125.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	PM	S	10,064	89.50	n/a	n/a	402.56	4.0
BESSEMER INVESTMENT	085	QCOM	B	205	69.65	n/a	n/a	8.20	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>QCOR</b>	<b>S</b>	<b>10</b>	<b>1.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RDN</b>	<b>S</b>	<b>30,000</b>	<b>14.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>REGN</b>	<b>S</b>	<b>10</b>	<b>3.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>10</b>	<b>0.68</b>	<b>n/a</b>	<b>30-Oct</b>	<b>0.00</b>	<b>0.0</b>
T. ROWE PRICE	243	SSD	B	58,300	35.56	n/a	n/a	2,332.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>S</b>	<b>15,000</b>	<b>20.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>S</b>	<b>20,300</b>	<b>20.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	TGT	B	350	65.10	n/a	31-Oct	14.00	4.0
WHITE PINE CAPITAL	030	TGT	B	2,000	65.84	n/a	31-Oct	100.00	5.0
BESSEMER INVESTMENT	085	TMO	B	419	97.91	n/a	n/a	16.76	4.0
BESSEMER INVESTMENT	085	UNP	B	235	151.55	n/a	18-Oct	9.40	4.0
ALLIANZ/NICOLAS APPLGATE		084 V	B	17,200	197.30	31-Oct	31-Oct	602.00	4.0
RIVERLOFT CAPITAL	044	WFT	S	25,000	16.44	n/a	n/a	750.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>WUBA</b>	<b>B</b>	<b>5,000</b>	<b>17.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WUBA</b>	<b>S</b>	<b>5,000</b>	<b>23.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	084	WUBA	S	60,000	22.79	n/a	n/a	3,000.00	5.0
TIEDEMANN/TIG ADVISORS LLC	006	XLY	B	6,130	63.28	n/a	n/a	306.50	5.0
BESSEMER INVESTMENT	085	XOM	S	4,000	89.32	n/a	n/a	160.00	4.0
BESSEMER INVESTMENT	085	ZMH	B	634	87.75	n/a	n/a	25.36	4.0
<b>TOTAL (Trade Date):</b>								<b>86,903.01</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	10/30	JSRG CAPITAL PARTNERS LP	084	WNC	SS	20,000	11.45	n/a-2013-10-31	500.00 0.0
AO,CXL	10/30	JSRG CAPITAL PARTNERS LP	084	WNC	SS	20,000	11.45	n/a-2013-10-31	1000.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-500.00</b>
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TOTAL (Trade Date) :	86,903.01
TOTAL (AO, CXL, CRT) :	-500.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>86,403.01</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 31-Oct.

ETN, V

MRI Securities without Trade Activity on 31-Oct.

HBI, MA, BWA

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)