



Daily Compliance Activity Report

Trade Date: 02/14/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	S	8,000	34.61	29-Jan	12-Feb	320.00	4.0
BESSEMER INVESTMENT	085	AAPL	B	30	543.40	n/a	n/a	1.20	4.0
FRED ALGER MGMT	300	ABCO	B	15,000	61.07	n/a	n/a	540.00	4.0
BESSEMER INVESTMENT	085	ACE	B	80	96.82	n/a	n/a	3.20	4.0
BESSEMER INVESTMENT	085	ACN	S	381	82.29	n/a	n/a	15.24	4.0
J. GOLDMAN	028	AEO	S	40,000	13.80	n/a	n/a	1,600.00	4.0
BESSEMER INVESTMENT	085	AET	B	235	68.66	n/a	n/a	9.40	4.0
BESSEMER INVESTMENT	085	AIG	B	230	48.89	n/a	n/a	9.20	4.0
PATTEN & PATTEN	025	AIG	B	800	48.94	n/a	n/a	40.00	5.0
f DAVID GEORGE BUCK	FID	AMZN	B	10	3.44	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	APC	B	600	81.60	n/a	n/a	30.00	5.0
FRED ALGER MGMT	300	ATHN	S	7,840	187.52	n/a	n/a	282.24	4.0
BESSEMER INVESTMENT	085	AVGO	B	345	58.18	n/a	n/a	13.80	4.0
BESSEMER INVESTMENT	085	AWK	B	400	43.38	n/a	n/a	16.00	4.0
PATTEN & PATTEN	025	BA	B	300	130.33	n/a	29-Jan	15.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	BBT	S	500	37.49	n/a	n/a	50.00	10.0
PATTEN & PATTEN	025	BDRBF	B	5,000	3.29	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	BGS	B	94,180	28.60	n/a	n/a	2,825.40	3.0
BERYLSON CAPITAL	030	BONT	B	50,000	10.00	n/a	11-Feb	1,500.00	3.0
ASCEND PARTNERS	033	CAKE	B	100,000	45.81	n/a	13-Feb	3,000.00	3.0
B BUCK CAPITAL MGMT		CERN	SS	8,500	59.56	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	CMI	B	95	142.94	n/a	7-Feb	3.80	4.0
EPOCH INV MGMT	030	CNW	S	48,900	37.81	n/a	7-Feb	1,467.00	3.0
CSFB GLOBAL PROPRIETARY	041	COL	B	25,000	78.25	6-Feb	6-Feb	1,250.00	5.0
BESSEMER INVESTMENT	085	COP	B	150	65.45	n/a	n/a	6.00	4.0
PATTEN & PATTEN	025	CSD	B	1,000	44.46	n/a	n/a	50.00	5.0
BESSEMER INVESTMENT	085	CTL	B	175	30.86	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	CVS	B	85	70.12	n/a	n/a	3.40	4.0
LATEEF MGMT	033	CVS	S	900	70.18	n/a	n/a	108.00	12.0
PATTEN & PATTEN	025	CWB	B	1,000	48.39	n/a	n/a	50.00	5.0
CAERUS GLOBAL	041	DAL	B	32,000	31.17	22-Jan	12-Feb	1,280.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARBER	006	DAL	S	4,800	31.22	22-Jan	12-Feb	192.00	4.0
MOORE CAPITAL	257	DAL	S	25,000	31.04	22-Jan	12-Feb	750.00	3.0
PAR CAPITAL	309	DAL	B	20,000	31.26	22-Jan	12-Feb	800.00	4.0
BESSEMER INVESTMENT	085	DG	B	230	57.16	n/a	n/a	9.20	4.0
f WILLIAM J GAULT	FID	DRL	B	2000	11.08	n/a	n/a	0.00	0.0
SASCO	033	D	S	17,300	70.48	n/a	n/a	605.50	4.0
Õ James Mitchell		EEM	B	130	39.73	n/a	n/a	0.00	0.0
Õ James Mitchell		EEM	B	50	39.71	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	EFA	B	2,000	66.52	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	EL	B	1,000	68.00	n/a	6-Feb	50.00	5.0
Õ James Mitchell		EWZ	B	240	63.17	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	EWZ	B	1000	40.75	n/a	n/a	0.00	0.0
Õ James Mitchell		EZU	B	1330	41.51	n/a	n/a	0.00	0.0
Õ James Mitchell		EZU	B	195	41.52	n/a	n/a	0.00	0.0
Õ James Mitchell		EZU	B	600	41.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	EZU	B	2,500	41.61	n/a	n/a	125.00	5.0
f DAVID GEORGE BUCK	FID	FCNTX	B	1037	96.46	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	FCX	B	500	33.87	n/a	n/a	25.00	5.0
ß BUCK CAPITAL MGMT		FIVE	SS	20,000	36.64	n/a	13-Feb	non-brg	0.8

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		FIVE	SS	35,000	36.48	n/a	13-Feb	non-brg	4.0
	1798 CAP/LOMBARD ASSET	040	F	C	200,000	15.18	n/a	13-Feb	10,000.00	5.0
	AMICI CAPITAL N/C	044	F	B	100,000	15.30	n/a	13-Feb	4,000.00	4.0
Õ	Jack Chernus		GILD	B	300	81.16	n/a	n/a	0.00	0.0
Õ	Jack Chernus		GILD	S	3	1.36	n/a	n/a	0.00	0.0
	MOORE CAPITAL	257	GLD	S	35,000	126.93	n/a	n/a	1,050.00	3.0
f	DAVID GEORGE BUCK	FID	GM	B	2020	19.46	27-Jan	13-Feb	0.00	0.0
ß	BUCK CAPITAL MGMT		GNC	B	20,000	46.42	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		GNC	B	40,000	45.48	n/a	n/a	non-brg	4.0
	NEUBERGER BERMAN	036	HSIC	B	5,000	116.94	n/a	n/a	200.00	4.0
	NEUBERGER BERMAN	036	HSIC	S	15,800	116.74	n/a	n/a	632.00	4.0
	FOCUSED INVESTORS	084	IBM	B	2,400	183.85	n/a	n/a	96.00	4.0
	DAVIDSON KEMPNER ADVISOR	281	IGT	C	100,000	14.97	n/a	n/a	5,000.00	5.0
	PATTEN & PATTEN	025	IJH	B	1,800	134.40	n/a	n/a	90.00	5.0
	PATTEN & PATTEN	025	INTC	B	800	24.75	n/a	n/a	40.00	5.0
	BESSEMER INVESTMENT	085	ITW	B	75	78.48	n/a	n/a	3.00	4.0
Õ	James Mitchell		IWM	B	300	113.72	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	IWM	B	300	114.18	n/a	n/a	15.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	IXN	B	700	83.73	n/a	n/a	35.00	5.0
ARDSLEY PARTNERS/RIDGECREST		306 JKS		S	5,000	29.85	n/a	n/a	200.00 4.0
BESSEMER INVESTMENT	085	KEY	B	935	12.94	n/a	n/a	37.40	4.0
PATTEN & PATTEN	025	KO	B	800	38.97	n/a	12-Feb	40.00	5.0
BESSEMER INVESTMENT	085	LB	B	290	55.22	29-Jan[i]	6-Feb	11.60	4.0
DISCIPLINED GROWTH INV.	030	LB	S	2,325	54.97	29-Jan[i]	6-Feb	116.25	5.0
SCOPUS FUND	041	LINTA	B	30,000	28.59	n/a	n/a	1,200.00	4.0
f DAVID GEORGE BUCK	FID	LNKD	S	1000	188.73	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	LO	B	135	48.00	n/a	n/a	5.40	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	200,000	17.76	22-Jan	14-Feb	10,000.00	5.0
LATEEF MGMT	033	LPX	B	2,500	17.52	22-Jan	14-Feb	250.00	10.0
NEWLAND CAPITAL MGT	025	LPX	B	25,000	17.71	22-Jan	14-Feb	1,000.00	4.0
f JOHN TIMONI	FID	LSG	B	650	0.83	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	LSG	B	20000	0.83	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	MAT	SS	25,000	36.65	n/a	n/a	750.00	3.0
TWIN CAPITAL	041	MBI	B	41,000	12.34	n/a	n/a	1,230.00	3.0
PIMCO	084	MCK	B	30,000	175.96	n/a	n/a	600.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISIPLINED GROWTH INV.	030	MIDD	S	600	250.52	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	MOS	S	400	47.84	n/a	n/a	20.00	5.0
BESSEMER INVESTMENT	085	MRO	B	150	33.37	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	MS	B	420	29.69	n/a	7-Feb	16.80	4.0
BESSEMER INVESTMENT	085	MYL	B	455	46.09	n/a	27-Jan	18.20	4.0
BESSEMER INVESTMENT	085	M	B	45	53.53	23-Jan	11-Feb	1.80	4.0
PATTEN & PATTEN	025	NKE	B	500	75.08	n/a	5-Feb	25.00	5.0
NEWLAND CAPITAL MGT	025	NX	B	20,000	19.59	n/a	n/a	800.00	4.0
f YANAI A FRANK	FID	ONNN	S	3000	9.40	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	PBR	B	2000	11.48	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	PBYI	B	14,500	122.94	n/a	n/a	522.00	4.0
CASTLE ARK	031	PCAR	B	100,900	61.25	6-Feb	n/a	4,036.00	4.0
DAVIDSON KEMPNER ADVISOR	281	PETM	SS	25,000	64.81	n/a	n/a	1,250.00	5.0
BESSEMER INVESTMENT	085	PFE	B	375	31.94	n/a	n/a	15.00	4.0
LATEEF MGMT	033	PFE	S	500	31.89	n/a	n/a	50.00	10.0
LATEEF MGMT	033	PNC	S	500	81.42	n/a	n/a	60.00	12.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	PX	B	300	129.55	n/a	n/a	15.00	5.0
BESSEMER INVESTMENT	085	QCOM	B	150	76.31	n/a	n/a	6.00	4.0
DISIPLINED GROWTH INV.	030	RCL	S	2,025	52.11	n/a	n/a	101.25	5.0
KORTRIGHT CAPITAL PARTNERS	025	RGC	B	75,000	18.99	n/a	n/a	2,250.00	3.0
PATTEN & PATTEN	025	RHHBY	B	800	73.93	n/a	n/a	40.00	5.0
B BUCK CAPITAL MGMT		RL	B	20,000	158.22	6-Feb	6-Feb	non-brg	4.0
NEUBERGER BERMAN	036	ROG	B	800	57.83	n/a	n/a	32.00	4.0
SASCO	033	RTN	S	23,850	95.40	n/a	21-Jan	834.75	4.0
B BUCK CAPITAL MGMT		SIG	S	20,000	79.04	n/a	n/a	non-brg	4.0
f MARIO SAPIENZA	FID	SIL	B	1000	14.53	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SIRO	B	17,600	69.66	n/a	n/a	704.00	4.0
PATTEN & PATTEN	025	SIRO	B	600	69.83	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	SNI	B	500	79.21	n/a	n/a	25.00	5.0
MOORE CAPITAL	257	SPY	B	25,000	183.69	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	SPY	B	1,800	184.15	n/a	n/a	90.00	5.0
PATTEN & PATTEN	025	SRCL	B	300	117.07	n/a	n/a	15.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	SSI	B	25,000	18.49	23-Jan	13-Feb	1,000.00	4.0
PATTEN & PATTEN	025	SWN	S	1,400	41.65	n/a	n/a	70.00	5.0
f TIFFANY KANAGA	FID	SWY	S	450	33.35	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	TGT	B	190	56.28	n/a	n/a	7.60	4.0
FOCUSED INVESTORS	084	TGT	B	33,900	56.28	n/a	n/a	1,356.00	4.0
MSF CAPITAL (ENTRUST)	040	THO	B	20,874	52.53	n/a	n/a	1,043.70	5.0
DISCIPLINED GROWTH INV.	030	TJX	S	3,150	59.75	23-Jan	11-Feb	157.50	5.0
BESSEMER INVESTMENT	085	TMO	B	20	123.11	n/a	n/a	0.80	4.0
PATTEN & PATTEN	025	TSCO	B	500	65.66	n/a	n/a	25.00	5.0
BESSEMER INVESTMENT	085	UNP	B	115	179.13	24-Jan	24-Jan	4.60	4.0
Õ James Mitchell		VGK	B	255	59.07	n/a	n/a	0.00	0.0
Õ James Mitchell		VGK	B	340	59.05	n/a	n/a	0.00	0.0
Õ James Mitchell		VGK	B	85	59.06	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	VIAB	B	140	86.06	n/a	n/a	5.60	4.0
BESSEMER INVESTMENT	085	VLO	B	90	49.56	n/a	n/a	3.60	4.0
PATTEN & PATTEN	025	VMC	B	500	66.39	n/a	n/a	25.00	5.0
ß BUCK CAPITAL MGMT		VSI	SS	50,000	41.32	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	WAG	B	150	65.70	n/a	n/a	6.00	4.0
PATTEN & PATTEN	025	WY	B	1,000	30.49	n/a	14-Feb	50.00	5.0
Õ James Mitchell		XLE	S	105	85.68	n/a	n/a	0.00	0.0
Õ James Mitchell		XLE	S	23	85.68	n/a	n/a	0.00	0.0
Õ James Mitchell		XLE	S	260	85.74	n/a	n/a	0.00	0.0
f JOHN TIMONI	FID	XPH	B	4	94.06	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	135	96.08	n/a	n/a	5.40	4.0
f DAVID GEORGE BUCK	FID		B	30000	99.48	n/a	24-Jan	0.00	0.0
TOTAL (Trade Date):								69,508.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/12	DELTEC ASSET MGMT.	040	BONT	B	12,000	10.40	n/a	2014-02-11	600.00 0.0
AO,CRT	02/12	DELTEC ASSET MGMT.	040	BONT	B	12,000	10.40	n/a	2014-02-11	480.00 4.0
AO,CRT	02/13	ADAGE CAPITAL MGMT	310	NLSN	SS	50,000	44.63	n/a	n/a	1500.00 0.0
AO,CXL	02/13	ADAGE CAPITAL MGMT	310	NLSN	SS	50,000	44.63	n/a	n/a	1500.00 0.0
TOTAL (AO, CXL, CRT) :										-120.00

TOTAL (Trade Date) :	69,508.83
TOTAL (AO, CXL, CRT) :	-120.00

TOTAL (RUN DATE) / NFS :	69,388.83
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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-Feb.
NONE

MRI Securities without Trade Activity on 14-Feb.
AVP, SHPG, BWA

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)