

Daily Compliance Activity Report Trade Date: 08/02/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account									
necount	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
May Tang		AAPL	S	3546	51.7400	n/a	n/a	0.00	0.0
May Tang		AAPL	S	6546	51.6100	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ACE	В	565	91.77	n/a	n/a	22.60	0.0
BESSEMER INVESTMENT	085	ACN	В	390	74.42	n/a	n/a	15.60	0.0
BRONSON POINT	036	ADM	S	25,000	36.96	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	AET	В	690	63.45	n/a	n/a	27.60	0.0
BESSEMER INVESTMENT	085	AIG	В	695	48.32	n/a	n/a	27.80	0.0
STRONG/MARK GRONET	030	ALK	S	8,000	63.10	n/a	n/a	320.00	0.0
BRONSON POINT	036	ATI	В	25,000	27.70	n/a	11-Jun	750.00	0.0
BESSEMER INVESTMENT	085	AVGO	В	1,100	37.39	n/a	n/a	44.00	0.0
BESSEMER INVESTMENT	085	AWK	В	1,050	42.92	n/a	n/a	42.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	S	28,000	20.69	n/a	19-Jun	1,120.00	0.0
ROSEDALE CAPITAL	046	AXL	S	5,000	21.01	n/a	19-Jun	200.00	0.0
SCOPUS FUND	041	AXL	В	23,797	20.49	n/a	19-Jun	951.88	0.0
PATTEN & PATTEN	025	AXP	В	120	75.62	n/a	19-Jun	6.00	0.0
BESSEMER INVESTMENT	085	СОН	В	995	53.40	n/a	30-May	39.80	0.0
	May Tang BESSEMER INVESTMENT BESSEMER INVESTMENT BESSEMER INVESTMENT BESSEMER INVESTMENT STRONG/MARK GRONET BRONSON POINT BESSEMER INVESTMENT BESSEMER INVESTMENT RIDGECREST INV MGMT LLC ROSEDALE CAPITAL SCOPUS FUND PATTEN & PATTEN	BESSEMER INVESTMENT 085 BESSEMER INVESTMENT 085 BRONSON POINT 036 BESSEMER INVESTMENT 085 STRONG/MARK GRONET 030 BRONSON POINT 036 BESSEMER INVESTMENT 085 STRONG/MARK GRONET 030 BRONSON POINT 036 BESSEMER INVESTMENT 085 BESSEMER INVESTMENT 085 RIDGECREST INV MGMT LLC 028 ROSEDALE CAPITAL 046 SCOPUS FUND 041 PATTEN & PATTEN 025	BESSEMER INVESTMENT 085 ACE BESSEMER INVESTMENT 085 ACN BRONSON POINT 036 ADM BESSEMER INVESTMENT 085 AET BESSEMER INVESTMENT 085 AIG STRONG/MARK GRONET 030 ALK BRONSON POINT 036 ATI BESSEMER INVESTMENT 085 AVGO BESSEMER INVESTMENT 085 AVGO BESSEMER INVESTMENT 085 AWK RIDGECREST INV MGMT LLC 028 AXL ROSEDALE CAPITAL 046 AXL SCOPUS FUND 041 AXL PATTEN & PATTEN 025 AXP	BESSEMER INVESTMENT 085 ACE B BESSEMER INVESTMENT 085 ACN B BRONSON POINT 036 ADM S BESSEMER INVESTMENT 085 AET B BESSEMER INVESTMENT 085 AIG B STRONG/MARK GRONET 030 ALK S BRONSON POINT 036 ATI B BESSEMER INVESTMENT 085 AVGO B BESSEMER INVESTMENT 085 AVGO B BESSEMER INVESTMENT 085 AWK B RIDGECREST INV MGMT LLC 028 AXL S ROSEDALE CAPITAL 046 AXL S SCOPUS FUND 041 AXL B	May Tang AAPL S 6544 BESSEMER INVESTMENT 085 ACE B 565 BESSEMER INVESTMENT 085 ACN B 390 BESSEMER INVESTMENT 036 ADM S 25,000 BESSEMER INVESTMENT 085 AET B 690 STRONG/MARK GRONET 030 ALK S 8,000 BRONSON POINT 036 ATI B 25,000 BESSEMER INVESTMENT 085 AVGO B 1,100 BESSEMER INVESTMENT 085 AWK B 1,050 RIDGECREST INV MGMT LLC 028 AXL S 28,000 ROSEDALE CAPITAL 046 AXL S 5,000 SCOPUS FUND 041 AXL B 23,797 PATTEN & PATTEN 025 AXP B 120	May Tang AAPL S 65461.6100 BESSEMER INVESTMENT 085 ACE B 565 91.77 BESSEMER INVESTMENT 085 ACN B 390 74.42 BRONSON POINT 036 ADM S 25,000 36.96 BESSEMER INVESTMENT 085 AET B 690 63.45 BESSEMER INVESTMENT 085 AIG B 695 48.32 STRONG/MARK GRONET 030 ALK S 8,000 63.10 BRONSON POINT 036 ATI B 25,000 27.70 BESSEMER INVESTMENT 085 AVGO B 1,100 37.39 BESSEMER INVESTMENT 085 AWK B 1,050 42.92 RIDGECREST INV MGMT LLC 028 AXL S 28,000 20.69 ROSEDALE CAPITAL 046 AXL S 5,000 21.01 SCOPUS FUND 041 AXL B 23,797 20.49 <td>May Tang AAPL S 65461.6100 n/a BESSEMER INVESTMENT 085 ACE B 565 91.77 n/a BESSEMER INVESTMENT 085 ACN B 390 74.42 n/a BRONSON POINT 036 ADM S 25,000 36.96 n/a BESSEMER INVESTMENT 085 AET B 690 63.45 n/a BRONSON POINT 085 AIG B 695 48.32 n/a BRONSON POINT 030 ALK S 8,000 63.10 n/a BESSEMER INVESTMENT 036 ATI B 25,000 27.70 n/a BESSEMER INVESTMENT 085 AVGO B 1,100 37.39 n/a BESSEMER INVESTMENT 085 AWK B 1,050 42.92 n/a RIDGECREST INV MGMT LLC 028 AXL S 28,000 20.69 n/a ROSEDALE CAPITAL 046 AXL</td> <td>May Tang AAPL S 65461.6100 n/a n/a BESSEMER INVESTMENT 085 ACE B 565 91.77 n/a n/a BESSEMER INVESTMENT 085 ACN B 390 74.42 n/a n/a BRONSON POINT 036 ADM S 25,000 36.96 n/a n/a BESSEMER INVESTMENT 085 AET B 690 63.45 n/a n/a STRONG/MARK GRONET 030 ALK S 8,000 63.10 n/a n/a BRONSON POINT 036 ATI B 25,000 27.70 n/a 11-Jun BESSEMER INVESTMENT 085 AVGO B 1,050 42.92 n/a n/a BESSEMER INVESTMENT 085 AWK B 1,050 42.92 n/a n/a BESSEMER INVESTMENT 085 AWK B 1,050 42.92 n/a n/a ROSEDALE CAPITAL 0</td> <td>May Tang AAPI S 65461.6100 n/a n/a 0.00 BESSEMER INVESTMENT 085 ACE B 565 91.77 n/a n/a 22.60 BESSEMER INVESTMENT 085 ACN B 390 74.42 n/a n/a 15.60 BRONSON POINT 036 ADM S 25,000 36.96 n/a n/a 750.00 BESSEMER INVESTMENT 085 AET B 690 63.45 n/a n/a 27.80 STRONG/MARK GRONET 030 ALK S 8,000 63.10 n/a n/a 320.00 BRONSON POINT 036 ATI B 25,000 27.70 n/a 11-Jun 750.00 BESSEMER INVESTMENT 085 AVGO B 1,100 37.39 n/a n/a 44.00 BESSEMER INVESTMENT 085 AWK B 1,050 42.92 n/a n/a 19-Jun 1,120.00 ROSE</td>	May Tang AAPL S 65461.6100 n/a BESSEMER INVESTMENT 085 ACE B 565 91.77 n/a BESSEMER INVESTMENT 085 ACN B 390 74.42 n/a BRONSON POINT 036 ADM S 25,000 36.96 n/a BESSEMER INVESTMENT 085 AET B 690 63.45 n/a BRONSON POINT 085 AIG B 695 48.32 n/a BRONSON POINT 030 ALK S 8,000 63.10 n/a BESSEMER INVESTMENT 036 ATI B 25,000 27.70 n/a BESSEMER INVESTMENT 085 AVGO B 1,100 37.39 n/a BESSEMER INVESTMENT 085 AWK B 1,050 42.92 n/a RIDGECREST INV MGMT LLC 028 AXL S 28,000 20.69 n/a ROSEDALE CAPITAL 046 AXL	May Tang AAPL S 65461.6100 n/a n/a BESSEMER INVESTMENT 085 ACE B 565 91.77 n/a n/a BESSEMER INVESTMENT 085 ACN B 390 74.42 n/a n/a BRONSON POINT 036 ADM S 25,000 36.96 n/a n/a BESSEMER INVESTMENT 085 AET B 690 63.45 n/a n/a STRONG/MARK GRONET 030 ALK S 8,000 63.10 n/a n/a BRONSON POINT 036 ATI B 25,000 27.70 n/a 11-Jun BESSEMER INVESTMENT 085 AVGO B 1,050 42.92 n/a n/a BESSEMER INVESTMENT 085 AWK B 1,050 42.92 n/a n/a BESSEMER INVESTMENT 085 AWK B 1,050 42.92 n/a n/a ROSEDALE CAPITAL 0	May Tang AAPI S 65461.6100 n/a n/a 0.00 BESSEMER INVESTMENT 085 ACE B 565 91.77 n/a n/a 22.60 BESSEMER INVESTMENT 085 ACN B 390 74.42 n/a n/a 15.60 BRONSON POINT 036 ADM S 25,000 36.96 n/a n/a 750.00 BESSEMER INVESTMENT 085 AET B 690 63.45 n/a n/a 27.80 STRONG/MARK GRONET 030 ALK S 8,000 63.10 n/a n/a 320.00 BRONSON POINT 036 ATI B 25,000 27.70 n/a 11-Jun 750.00 BESSEMER INVESTMENT 085 AVGO B 1,100 37.39 n/a n/a 44.00 BESSEMER INVESTMENT 085 AWK B 1,050 42.92 n/a n/a 19-Jun 1,120.00 ROSE

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BESSEMER INVESTMENT	085	COP	В	710	67.00	n/a	n/a	28.40 0.0
TUDOR INVESTORS	028	CSX	SS	5,000	25.99	n/a	n/a	150.00 0.0
BESSEMER INVESTMENT	085	CTL	В	980	36.07	n/a	n/a	39.20 0.0
BESSEMER INVESTMENT	085	CVE	S	600	29.50	n/a	n/a	24.00 0.0
PATTEN & PATTEN	025	CVE	S	250	29.66	n/a	n/a	12.50 0.0
BESSEMER INVESTMENT	085	CVS	В	505	62.10	n/a	n/a	20.20 0.0
BESSEMER INVESTMENT	085	С	В	700	52.96	n/a	17-Jun	28.00 0.0
GUGGENHEIM GLOBAL TRADIN	G (GGT)2	51 DEL	L B	50,	000 13.61		n/a n/a	a 1,500.00 0.0
PROVIDENCE EQUITY CAP. M	KTS.040	DELL	S	40,000	13.62	n/a	n/a	1,200.00 0.0
BESSEMER INVESTMENT	085	DG	В	630	55.50	n/a	4-Jun	25.20 0.0
CASTLEROCK	040	EAT	SS	2,000	43.40	n/a	13-May	80.00 0.0
BESSEMER INVESTMENT	085	ECA	S	600	17.45	n/a	n/a	24.00 0.0
PATTEN & PATTEN	025	ECA	S	150	17.47	n/a	n/a	7.50 0.0
BESSEMER INVESTMENT	085	EPD	S	800	62.13	n/a	n/a	32.00 0.0
PAULSON & CO INC	041	FDO	В	90,000	70.00	n/a	4-Jun	2,700.00 0.0
HAWKEYE CAPITAL	087	FINL	S	45,000	22.64	n/a	19-Jun	1,350.00 0.0
KENNEDY CAPITAL	046	FINL	В	39,180	22.64	n/a	19-Jun	1,567.20 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
SCOPUS FUND	041	FOE	В	31,750	6.98	n/a	n/a	1,270.00	0.0	
S.A.C. CAPITAL	044	FOSL	В	40,000	114.26	n/a	n/a	1,200.00	0.0	
BESSEMER INVESTMENT	085	НСА	S	600	39.02	n/a	n/a	24.00	0.0	
BESSEMER INVESTMENT	085	IBM	В	250	194.16	n/a	n/a	10.00	0.0	
BESSEMER INVESTMENT	085	ITW	В	350	74.29	n/a	n/a	14.00	0.0	
S.A.C. CAPITAL	044	ITW	В	10,000	74.31	n/a	n/a	300.00	0.0	
MARCATO CAPITAL MGMT.	029	IWM	S	60,000	105.06	n/a	n/a	2,400.00	0.0	
S.A.C. CAPITAL	044	JCI	В	15,000	41.23	n/a	10-Jun	450.00	0.0	
PARKWEST	084	JCP	В	25,000	14.21	n/a	18-Jun	1,000.00	0.0	
BESSEMER INVESTMENT	085	KMX	S	500	49.01	n/a	n/a	20.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 LAMR	В	1,	788 44.15		n/a	n/a 5	3.64	0.0
PRIMECAP MGMT	084	LLY	S	3,000	53.80	n/a	n/a	120.00	0.0	
BESSEMER INVESTMENT	085	LTD	В	645	58.28	n/a	n/a	25.80	0.0	
PATTEN & PATTEN	025	MOO	S	100	50.20	n/a	n/a	5.00	0.0	
BESSEMER INVESTMENT	085	MRO	В	945	37.43	n/a	n/a	37.80	0.0	
BESSEMER INVESTMENT	085	MSFT	В	1,875	31.79	n/a	n/a	75.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm	¢/Shr.	
PATTEN & PATTEN	025	MSFT	2,3	200	31.77	n/a	n/a	10.00	0.0	
PROSPECTOR PARTNERS LLC	036	MUR	S	5,000	71.47	n/a	n/a	200.00	0.0	
BESSEMER INVESTMENT	085	М	В	1,405	49.44	n/a	18-Jun	56.20	0.0	
BESSEMER INVESTMENT	085	NLSN	В	1,495	33.74	n/a	n/a	59.80	0.0	
BESSEMER INVESTMENT	085	NYX	S	1,289	42.47	n/a	n/a	51.56	0.0	
BESSEMER INVESTMENT	085	PFE	В	2,645	29.30	n/a	n/a	105.80	0.0	
FIFTH THIRD BANK/FREEMAN	047	PMF	S	15,000	12.38	n/a	n/a	600.00	0.0	
BESSEMER INVESTMENT	085	PVR	S	400	25.86	n/a	n/a	16.00	0.0	
BESSEMER INVESTMENT	085	QCOM	В	790	66.17	n/a	n/a	31.60	0.0	
FRONTIER	029	SD	В	310,760	5.64	n/a	n/a	9,322.80	0.0	
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	1,400	75.67	n/a	17-Jun	42.00	0.0	
COLUMBUS CIRCLE	036	SREV	В	57,300	12.09	n/a	n/a	2,292.00	0.0	
PATTEN & PATTEN	025	TBT	В	100	76.41	n/a	n/a	5.00	0.0	
PROSPECTOR PARTNERS LLC	036	TE	S	10,000	17.60	n/a	n/a	400.00	0.0	
BESSEMER INVESTMENT	085	TGT	В	645	71.44	n/a	23-May	25.80	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	51 TIVO)	s 70,	000 11.02	2	n/a	n/a 2,10	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BESSEMER INVESTMENT	085	TMO	В	740	91.83	n/a	n/a	29.60 0.0
BESSEMER INVESTMENT	085	UAL	S	600	34.94	n/a	18-Jun	24.00 0.0
BESSEMER INVESTMENT	085	VIAB	В	805	79.29	n/a	n/a	32.20 0.0
PATTEN & PATTEN	025	VNQ	В	150	69.21	n/a	n/a	7.50 0.0
BESSEMER INVESTMENT	085	WAG	В	1,005	50.94	n/a	n/a	40.20 0.0
HOLLIS CAPITAL	033	WFT	В	10,000	14.40	n/a	n/a	500.00 0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	В	25,000	78.61	n/a	16-May	750.00 0.0

TOTAL (Trade Date): 36,812.78

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNMLCO)	031	MWI	В	5,744	103.98	n/a	n/a	79.47	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNMLCO)	031	MWI	В	5,744	103.98	n/a	n/a	172.32	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNCSSE)	031	MWI	В	12,344	103.98	n/a	n/a	184.71	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNCSSE)	031	MWI	В	12,344	103.98	n/a	n/a	370.32	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNMSCO)	031	MWI	В	3,612	103.98	n/a	n/a	108.36	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNMSCO)	031	MWI	В	3,612	103.98	n/a	n/a	108.36	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNGS)	031	MWI	В	1,433	103.98	n/a	n/a	42.99	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNGS)	031	MWI	В	1,433	103.98	n/a	n/a	42.99	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNDB)	031	MWI	В	15,138	103.98	n/a	n/a	299.46	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNDB)	031	MWI	В	15,138	103.98	n/a	n/a	454.14	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNCITI)	031	MWI	В	9,729	103.98	n/a	n/a	725.01	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNCITI)	031	MWI	В	9,729	103.98	n/a	n/a	291.87	0.0
AO,CXL	08/01	HARVEST MGMT (JMP) (HARVGSCO)	029	JCP	SS	20,000	14.87	n/a	18-Jun	1000.00	0.0
AO,	08/01	HARVEST MGMT (JMP) (HARVGSCO)	029	JCP	SS	20,000	14.87	n/a	18-Jun	800.00	0.0
AO,CXL	08/01	MAPLE ROW (MAPWGS)	006	MAS	S	9,500	21.06	n/a	n/a	475.00	0.0
AO,	08/01	MAPLE ROW (MAPWGS)	006	MAS	S	9,500	21.06	n/a	n/a	285.00	0.0
AO,CXL	08/01	ROARING BLUE LION MGMT (ROARGSBTIG)	031	QCOM	В	3,500	64.97	n/a	n/a	140.00	0.0
AO,	08/01	ROARING BLUE LION MGMT (ROARGSBTIG)	031	QCOM	В	8,500	64.97	n/a	n/a	340.00	0.0
AO,CXL	08/01	ROARING BLUE LION MGMT (ROARMAIN)	031	QCOM	В	47,500	64.97	n/a	n/a	2040.00	0.0
AO,	08/01	ROARING BLUE LION MGMT (ROARMAIN)	031	QCOM	В	42,500	64.97	n/a	n/a	2040.00	0.0
AO,CXL	08/01	ENTRUST CAPITAL (ENTRMORGAN)	040	SNY	В	1,849	51.00	n/a	n/a	92.45	0.0
AO,CXL	08/01	ENTRUST CAPITAL (ENTRMORGAN)	040	SNY	В	1,573	50.82	n/a	n/a	78.65	0.0
AO,	08/01	ENTRUST CAPITAL (ENTRMORGAN)	040	SNY	В	1,849	51.00	n/a	n/a	92.45	0.0
AO,	08/01	ENTRUST CAPITAL (ENTRMORGAN)	040	SNY	В	1,573	50.82	n/a	n/a	78.65	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Re	esearch	Comm.	¢/Shr.
AO,CXL	08/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	SNY	В	16,438	51.00	n/a	n/a	821.90	0.0
AO,CXL	08/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	SNY	В	6,581	50.82	n/a	n/a	329.05	0.0
AO,	08/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	SNY	В	16,438	51.00	n/a	n/a	821.90	0.0
AO,	08/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	SNY	В	6,581	50.82	n/a	n/a	329.05	0.0
		2.1.1.001 0.11 11112 (2.111.0022111)									
TOTAL	(AO, 0	CXL, CRT):							-:	190.00	

TOTAL (RUN DATE) / NFS:	36,622.78
TOTAL (AO, CXL, CRT):	-190.00
TOTAL (Trade Date):	36,812.78

Legend:

O: 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