



Daily Compliance Activity Report

Trade Date: 06/24/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	ABT	B	18,600	35.20	n/a	n/a	744.00	0.0
BESSEMER INVESTMENT	085	ACE	B	170	85.06	n/a	n/a	6.80	0.0
BESSEMER INVESTMENT	085	ACN	B	160	79.01	n/a	n/a	6.40	0.0
BESSEMER INVESTMENT	085	AET	B	75	62.09	n/a	n/a	3.00	0.0
BESSEMER INVESTMENT	085	AIG	B	170	41.62	n/a	n/a	6.80	0.0
NORTHWESTERN MUTUAL LIFE	047	AMT	B	28,000	71.28	n/a	n/a	1,120.00	0.0
BESSEMER INVESTMENT	085	APD	B	55	93.28	n/a	n/a	2.20	0.0
SASCO	033	ATI	B	139,106	26.13	n/a	11-Jun	4,868.71	0.0
BESSEMER INVESTMENT	085	AVGO	B	380	36.54	n/a	n/a	15.20	0.0
BRANDWINE	028	AVX	B	20,500	11.74	n/a	n/a	820.00	0.0
BESSEMER INVESTMENT	085	AWK	B	290	39.10	n/a	n/a	11.60	0.0
LATEEF MGMT	033	BDN	B	1,250	12.34	n/a	n/a	112.50	0.0
GABELLI FUNDS	025	BFAM	B	18,060	31.00	n/a	n/a	541.80	0.0
COLUMBUS CIRCLE	036	BKD	S	11,858	25.63	n/a	n/a	474.32	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	033	BWLD	S	29,570	94.46	n/a	n/a	1,182.80	0.0
LISTED ERR	099	BWLD	B	6	94.50	n/a	n/a	0.00	0.0
LATEEF MGMT	033	CBLPRD	B	975	24.25	n/a	n/a	97.50	0.0
LATEEF MGMT	033	CCK	B	400	39.55	n/a	n/a	40.00	0.0
CASTLE ARK	031	CME	B	32,565	76.01	n/a	28-Apr	1,302.60	0.0
BESSEMER INVESTMENT	085	COH	B	75	53.91	n/a	30-May	3.00	0.0
BESSEMER INVESTMENT	085	COP	B	65	58.92	n/a	n/a	2.60	0.0
BESSEMER INVESTMENT	085	CTL	B	155	34.06	n/a	n/a	6.20	0.0
BESSEMER INVESTMENT	085	CVS	B	145	56.50	n/a	n/a	5.80	0.0
BESSEMER INVESTMENT	085	C	B	200	45.25	n/a	17-Jun	8.00	0.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	45.59	n/a	19-Jun	1,250.00	0.0
BESSEMER INVESTMENT	085	DG	B	300	49.99	n/a	4-Jun	12.00	0.0
LONG OAR GLOBAL INV	040	DISH	S	10,000	38.80	n/a	n/a	400.00	0.0
S.A.C. CAPITAL	044	DOW	B	30,000	32.00	n/a	n/a	900.00	0.0
COLUMBUS CIRCLE	036	DPZ	S	3,561	56.43	n/a	10-May	142.44	0.0
BESSEMER INVESTMENT	085	DTE	B	65	63.97	n/a	n/a	2.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CAPITAL WORLD	084	EBAY	B	143,512	50.45	n/a	n/a	5,022.92	0.0	
LATEEF MGMT	033	FMER	S	750	19.71	n/a	n/a	75.00	0.0	
SCOPUS FUND	041	F	B	40,000	14.57	n/a	19-Jun	1,600.00	0.0	
TUDOR INVESTORS	028	F	B	25,000	14.46	n/a	19-Jun	7.50	0.0	
PROVIDENCE EQUITY CAP. MKTS.040		GLD	S	30,000	124.23	n/a	n/a	900.00	0.0	
ROSEDALE CAPITAL	046	GM	B	15,000	31.34	n/a	19-Jun	750.00	0.0	
MERRILL ASSET/BLACKROCK	085	HMN	S	23,200	24.23	n/a	n/a	928.00	0.0	
COHE & STEERS	041	HST	B	1,119,131	16.06	n/a	13-Jun	33,573.93	0.0	
BESSEMER INVESTMENT	085	IBM	B	75	192.11	n/a	n/a	3.00	0.0	
MAPC	040	INTC	SS	1,000	23.59	n/a	n/a	40.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	B	75,000	42.69	n/a	17-Jun	3,750.00	0.0	
LATEEF MGMT	033	IP	B	350	42.80	n/a	17-Jun	35.00	0.0	
BESSEMER INVESTMENT	085	ITW	B	110	67.49	n/a	n/a	4.40	0.0	
J. GOLDMAN	028	JBLU	S	50,000	6.07	n/a	18-Jun	1,000.00	0.0	
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	256,285	6.05	n/a	18-Jun	10,251.40	0.0
WINSLOW CAPITAL	030	JPM	B	4,700	51.16	n/a	17-Jun	141.00	0.0	
HERRING CREEK CAPITAL MGMT LLC040		LAMR	SS	9,400	41.96	n/a	n/a	282.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	31.24	n/a	6-May	1,250.00	0.0
LOMBARDIA CAP MGMT	084	LF	B	96,889	9.59	n/a	n/a	3,875.56	0.0
BESSEMER INVESTMENT	085	LOW	S	1,879	39.42	n/a	n/a	63.16	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	14.86	n/a	19-Jun	5,000.00	0.0
FARALLON CAP MGMT	040	LPX	B	300,000	14.69	n/a	19-Jun	9,000.00	0.0
SMITH MGMT/ALDEN GLOBAL		029	LPX	S	537,860	14.83	n/a	19-Jun	16,135.80 0.0
DISCIPLINED GROWTH INV.	030	LTD	S	1,750	49.47	n/a	n/a	87.50	0.0
HERRING CREEK CAPITAL MGMT LLC	040	MCO	SS	7,000	57.57	n/a	n/a	210.00	0.0
BESSEMER INVESTMENT	085	MRO	B	285	33.55	n/a	n/a	11.40	0.0
BESSEMER INVESTMENT	085	MSFT	B	230	33.36	n/a	n/a	9.20	0.0
BESSEMER INVESTMENT	085	M	B	265	45.94	n/a	18-Jun	10.60	0.0
BESSEMER INVESTMENT	085	NLSN	B	300	33.56	n/a	n/a	12.00	0.0
BESSEMER INVESTMENT	085	PFE	B	600	27.86	n/a	n/a	24.00	0.0
CASTLE ARK	031	PFE	B	566,230	27.95	n/a	n/a	16,986.90	0.0
BESSEMER INVESTMENT	085	QCOM	B	275	59.68	n/a	n/a	11.00	0.0
BESSEMER INVESTMENT	085	QCOM	S	1,377	59.70	n/a	n/a	55.08	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	2,300	31.84	n/a	n/a	115.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IVORY CAPITAL	084	RF	S	100,000	9.04	n/a	n/a	5,000.00	0.0
CHARTER OAK	033	SONS	SS	104,533	3.02	n/a	n/a	5,226.65	0.0
JET CAPITAL/CHRIS	041	SPY	C	25,800	157.78	n/a	n/a	774.00	0.0
Õ Nilsa Vazquez		TBT	S	500	75.1111	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	TGT	B	145	68.17	n/a	23-May	5.80	0.0
DISCIPLINED GROWTH INV.	030	TJX	S	3,750	49.00	n/a	18-Jun	187.50	0.0
BESSEMER INVESTMENT	085	TMO	B	140	81.88	n/a	n/a	5.60	0.0
TIDE POINT CAPITAL	028	TRW	S	5,000	61.23	n/a	n/a	150.00	0.0
WOOSTER CAPITAL	044	TRW	B	10,000	60.86	n/a	n/a	400.00	0.0
KAM ADVISORS LLC	041	T	C	186,900	34.63	n/a	n/a	5,607.00	0.0
BESSEMER INVESTMENT	085	UNH	B	165	64.29	n/a	n/a	6.60	0.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	25,000	38.38	n/a	n/a	750.00	0.0
MERRILL ASSET/BLACKROCK	085	USB	B	470,753	35.46	n/a	n/a	18,830.12	0.0
BESSEMER INVESTMENT	085	VIAB	B	275	64.70	n/a	n/a	11.00	0.0
BESSEMER INVESTMENT	085	WAG	B	250	47.61	n/a	n/a	10.00	0.0
J. GOLDMAN	028	WY	B	21,000	27.27	n/a	19-Jun	840.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	XLI	SS	10,000	41.69	n/a	n/a	3.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	100	74.82	n/a	n/a	4.00	0.0
TOTAL (Trade Date):							163,121.49		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/21	PATTEN & PATTEN (PATTBERSHI)	025	EWG	S	200	25.05	n/a	n/a	10.00 0.0
AO,CRT	06/21	PATTEN & PATTEN (PATTSCHWAB)	025	EWG	S	200	25.05	n/a	n/a	10.00 0.0
AO,CXL	06/21	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	257	FTNT	B	20,000	17.22	n/a	n/a	1000.00 0.0
AO,	06/21	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	257	FTNT	B	20,000	17.22	n/a	n/a	600.00 0.0
AO,CXL	06/20	AMBER CAPITAL (AMBRGSI)	046	T	SS	137,700	34.99	n/a	n/a	5508.00 0.0
AO,	06/20	AMBER CAPITAL (AMBRGSI)	046	T	SS	112,942	34.99	n/a	n/a	4517.68 0.0
AO,	06/20	AMBER CAPITAL (AMBRAMFGS)	046	T	SS	24,758	34.99	n/a	n/a	990.32 0.0
TOTAL (AO, CXL, CRT) :										-400.00

TOTAL (Trade Date) :	163,121.49
TOTAL (AO, CXL, CRT) :	-400.00

TOTAL (RUN DATE) / NFS :	162,721.49
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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