



Daily Compliance Activity Report

Trade Date: 10/22/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	S	200	508.71	n/a	n/a	64.00	0.0
SCOGGIN LLC	041	ACT	S	46,000	147.54	n/a	19-Jun	2,300.00	0.0
BESSEMER INVESTMENT	085	AEP	S	3,000	45.06	n/a	n/a	120.00	0.0
BRONSON POINT	036	AIZ	SS	50,000	59.37	n/a	n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	APD	S	700	111.18	n/a	n/a	28.00	0.0
ASCEND PARTNERS	033	ATI	C	55,000	32.49	n/a	11-Jun	1,650.00	0.0
DC CAPITAL	044	ATI	S	200,000	32.45	n/a	11-Jun	8,000.00	0.0
LATEEF MGMT	033	BDNPRE	B	300	23.39	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	BMJ	S	3,000	49.77	n/a	n/a	120.00	0.0
COLUMBIA PARTNERS	028	BNNY	S	37,800	47.60	n/a	n/a	1,512.00	0.0
MACELLUM CAPITAL	086	BNNY	S	10,497	48.55	n/a	n/a	314.91	0.0
MACELLUM CAPITAL	086	CAB	B	20,100	63.84	n/a	n/a	603.00	0.0
PCO CAPITAL MGMT.	084	CAKE	SS	5,000	43.76	n/a	25-Apr	150.00	0.0
BESSEMER INVESTMENT	085	CBS	S	434	59.62	n/a	n/a	17.36	0.0
MERRILL ASSET/BLACKROCK	085	CB	S	3,300	93.88	n/a	n/a	132.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	CCK	B	150	40.67	n/a	n/a	30.00	0.0
KEYGROUP/KGLT	040	CNX	B	6,400	38.51	n/a	n/a	256.00	0.0
KEYGROUP/KGLT	040	CNX	C	18,600	38.51	n/a	n/a	744.00	0.0
P.SCHOENFELD ASSET MGMT LLC041		COLE	S	25,000	12.80	n/a	n/a	1,000.00	0.0
DEPRINCE, RACE & ZOLLO	093	DAN	S	25,000	23.35	n/a	19-Jun	1,250.00	0.0
MACELLUM CAPITAL	086	DECK	SS	25,000	57.85	n/a	n/a	750.00	0.0
P.SCHOENFELD ASSET MGMT LLC041		DISH	S	15,000	49.09	n/a	n/a	600.00	0.0
LATEEF MGMT	033	DVN	S	650	65.58	n/a	13-Jun	90.00	0.0
ROSEDALE CAPITAL	046	EMC	B	20,000	24.09	n/a	26-Feb	800.00	0.0
CAERUS GLOBAL	041	F	B	25,181	17.60	n/a	19-Jun	1,007.24	0.0
SCOPUS FUND	041	F	B	100,000	17.61	n/a	19-Jun	4,000.00	0.0
MACELLUM CAPITAL	086	GCO	B	1,000	69.85	n/a	n/a	30.00	0.0
MACELLUM CAPITAL	086	GCO	SS	8,000	69.05	n/a	n/a	240.00	0.0
LATEEF MGMT	033	GE	S	250	26.05	n/a	n/a	30.00	0.0
MOORE CAPITAL	257	GE	S	75,000	26.02	n/a	n/a	2,250.00	0.0
ARDSLEY PARTNERS	280	GM	B	10,000	35.68	n/a	19-Jun	500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		GRA	B	2,500	90.25	n/a	n/a	75.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	GWR	S	3,000	99.12	n/a	n/a	90.00	0.0
DELTEC ASSET MGMT.	040	HAL	B	10,000	51.69	n/a	n/a	500.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	985	27.01	n/a	n/a	29.55	0.0
BESSEMER INVESTMENT	085	IBM	S	4,507	174.20	n/a	n/a	180.28	0.0
ALLIANZ/NICOLAS APPLGATE	084	IPG	S	74,030	15.70		n/a	n/a	2,591.07 0.0
VISIUM/BALY BOBBY	044	IWM	C	100,000	110.84	n/a	n/a	5,000.00	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	6,900	86.92	n/a	n/a	276.00	0.0
BESSEMER INVESTMENT	085	KMP	S	2,100	83.83	n/a	n/a	84.00	0.0
BESSEMER INVESTMENT	085	KO	S	10,116	38.95	n/a	17-Jun	404.64	0.0
STRONG/MARK GRONET	030	LCC	B	36,775	21.78	n/a	18-Jun	1,471.00	0.0
MACELLUM CAPITAL	086	LL	S	5,000	107.56	n/a	n/a	150.00	0.0
LEVIN CAPITAL STRATEGIES	041	MCD	S	105,000	94.77	n/a	17-Jun	3,150.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	MTSN	B	40,000	3.09		n/a	n/a	1,600.00 0.0
KORTRIGHT CAPITAL PARTNERS	025	MWV	S	15,000	38.66	n/a	18-Jun	450.00	0.0
BADGE CAPITAL	030	M	S	1,000	44.41	n/a	18-Jun	35.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMAS CAPITAL	040	NAV	B	50,000	37.68	n/a	11-Jul	1,500.00	0.0
LIONEYE CAPITAL	040	PCH	B	10,000	42.47	n/a	19-Jun	500.00	0.0
KEY ASSET MGMT/VICTORY	220	PG	S	117,140	79.70	n/a	17-Jun	4,685.60	0.0
LATEEF MGMT	033	POT	B	500	31.68	n/a	n/a	50.00	0.0
BESSEMER INVESTMENT	085	PSX	S	1,001	64.76	n/a	n/a	40.04	0.0
ROVER CAPITAL PARTNERS	040	QQQ	SS	2,500	82.75	n/a	n/a	100.00	0.0
MACELLUM CAPITAL	086	RH	B	2,000	64.60	n/a	n/a	60.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	R	S	10,000	62.72	n/a	n/a	300.00	0.0
MACELLUM CAPITAL	086	SIX	S	15,000	34.91	n/a	n/a	450.00	0.0
ROVER CAPITAL PARTNERS	040	SPY	SS	2,500	175.33	n/a	n/a	75.00	0.0
BESSEMER INVESTMENT	085	TEG	S	2,006	58.07	n/a	n/a	80.24	0.0
MAIRS AND POWER INV	030	TGT	B	20,000	64.97	n/a	23-May	1,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	VZ	SS	15,000	50.60	n/a	n/a	450.00	0.0
MACELLUM CAPITAL	086	WTW	B	18,000	40.16	n/a	n/a	540.00	0.0
COHE & STEERS	041	WY	S	325,000	30.24	n/a	19-Jun	13,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	257	WY	B	75,000	30.34	n/a	19-Jun	2,250.00	0.0
DAVIDSON KEMPNER ADVISOR	281	XLP	C	75,000	42.00	n/a	n/a	3,750.00	0.0
BESSEMER INVESTMENT	085	XOM	S	2,536	87.39	n/a	n/a	101.44	0.0
TOTAL (Trade Date) :								75,137.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/21	ALTIMETER CAPITAL MGMT. (ALTIMS)	029	EXPE	B	50,000	48.10	n/a	n/a	2000.00 0.0
AO,CXL	10/21	ALTIMETER CAPITAL MGMT. (ALTIUBS)	029	EXPE	B	50,000	48.10	n/a	n/a	2000.00 0.0
AO,CXL	10/21	ALLIANZ/NICOLAS APPLGATE (APPL677)	084	IPG	S	9,600	15.80	n/a	n/a	0.00 0.0
AO,	10/21	ALLIANZ/NICOLAS APPLGATE (APPL677)	084	IPG	S	9,600	15.80	n/a	n/a	336.00 0.0
AO,CXL	10/21	ALLIANZ/NICOLAS APPLGATE (APPL468)	084	IPG	S	39,700	15.80	n/a	n/a	0.00 0.0
AO,	10/21	ALLIANZ/NICOLAS APPLGATE (APPL468)	084	IPG	S	39,700	15.80	n/a	n/a	1389.50 0.0
AO,CXL	10/21	ALLIANZ/NICOLAS APPLGATE (APPL238)	084	IPG	S	17,600	15.80	n/a	n/a	0.00 0.0
AO,	10/21	ALLIANZ/NICOLAS APPLGATE (APPL238)	084	IPG	S	17,600	15.80	n/a	n/a	616.00 0.0
TOTAL (AO, CXL, CRT) :										2,341.50
TOTAL (Trade Date) :										75,137.37
TOTAL (AO, CXL, CRT) :										2,341.50
TOTAL (RUN DATE) / NFS :										77,478.87

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