



Daily Compliance Activity Report

Trade Date: 11/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	65	524.15	n/a	n/a	2.60	0.0
BESSEMER INVESTMENT	085	ACE	B	250	102.37	n/a	n/a	10.00	0.0
BESSEMER INVESTMENT	085	ACN	B	170	77.14	n/a	n/a	6.80	0.0
CADIAN CAPITAL	041	AEO	C	20,000	16.20	n/a	2-Dec	600.00	0.0
BESSEMER INVESTMENT	085	AET	B	300	68.59	n/a	n/a	12.00	0.0
BESSEMER INVESTMENT	085	AIG	B	320	49.81	n/a	n/a	12.80	0.0
FORTRESS INVESTMENT (US)	036	ALV	B	22,500	92.15	n/a	19-Jun	900.00	0.0
DC CAPITAL	044	ARO	S	25,000	10.41	n/a	n/a	1,000.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	460	43.66	n/a	n/a	18.40	0.0
BESSEMER INVESTMENT	085	AWK	B	700	42.14	n/a	n/a	28.00	0.0
UNITED STATES PENSION	085	BA	S	43,492	134.00	n/a	11-Jun	1,739.68	0.0
BASSWOOD PARTNERS	267	BK	S	55,395	33.87	n/a	6-Jun	2,215.80	0.0
KENNEDY CAPITAL	046	CATO	S	14,820	34.10	n/a	n/a	592.80	0.0
MOORE CAPITAL	257	CAT	C	20,000	84.77	n/a	11-Jul	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	CBL	B	150	18.22	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	CMI	B	65	130.69	n/a	n/a	2.60	0.0
BESSEMER INVESTMENT	085	COP	B	240	72.82	n/a	n/a	9.60	0.0
BADGE CAPITAL	030	CPB	SS	2,000	39.10	n/a	n/a	70.00	0.0
DC CAPITAL	044	CROX	S	40,000	13.37	n/a	n/a	1,600.00	0.0
BESSEMER INVESTMENT	085	CTL	B	320	30.65	n/a	n/a	12.80	0.0
BESSEMER INVESTMENT	085	CVS	B	300	66.68	n/a	n/a	12.00	0.0
LATEEF MGMT	033	CVS	S	100	66.73	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	C	B	330	53.29	n/a	17-Jun	13.20	0.0
BRANDWINE	028	DDS	B	8,940	91.73	n/a	n/a	357.60	0.0
J. GOLDMAN	028	DE	B	35,000	84.73	n/a	11-Jul	1,400.00	0.0
BESSEMER INVESTMENT	085	DG	B	440	58.39	n/a	4-Jun	17.60	0.0
BADGE CAPITAL	030	EAT	B	1,550	47.62	n/a	13-May	54.25	0.0
SANDLER CAPITAL	028	EMR	S	125,000	67.49	n/a	n/a	6,250.00	0.0
LATEEF MGMT	033	GE	S	125	26.77	n/a	n/a	31.25	0.0
PATTEN & PATTEN	025	GLD	S	300	120.42	n/a	n/a	15.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PEAK INV/OAKMONT/CYPRESS	084	GM	B	250,000	37.64	n/a	19-Jun	10,000.00	0.0	
ROSEDALE CAPITAL	046	GM	B	15,000	37.54	n/a	19-Jun	600.00	0.0	
CORTEX CAPITAL	031	GNTX	SS	20,000	29.54	n/a	19-Jun	600.00	0.0	
INTERVAL PARTNERS	033	GPS	SS	15,000	41.20	n/a	n/a	450.00	0.0	
MACELLUM CAPITAL	086	GPS	B	69,000	41.17	n/a	n/a	2,070.00	0.0	
LATEEF MGMT	033	GSPRD	B	250	19.16	n/a	n/a	25.00	0.0	
CR INTRINIC INVESTMENT	044	GT	S	50,000	22.11	n/a	n/a	1,500.00	0.0	
HAWK RIDGE	025	HMHC	B	16,674	16.23	n/a	n/a	500.22	0.0	
COLUMBUS CIRCLE	036	IACI	S	2,062	55.92	n/a	n/a	82.48	0.0	
BESSEMER INVESTMENT	085	IBM	B	120	178.99	n/a	n/a	4.80	0.0	
CORTEX CAPITAL	031	IBM	SS	4,000	179.96	n/a	n/a	120.00	0.0	
FORTRESS INVESTMENT (US)	036	INGERSOLL-RAND PLCB			9,205	55.12	n/a	n/a	368.20	0.0
TUDOR INVESTORS	028	IR	S	5,000	69.08	n/a	19-Jun	150.00	0.0	
BESSEMER INVESTMENT	085	ITW	B	260	79.36	n/a	n/a	10.40	0.0	
LATEEF MGMT	033	JCI	S	150	50.39	n/a	10-Jun	30.00	0.0	
SCOPUS FUND	041	JCP	B	40,000	9.29	n/a	18-Jun	1,600.00	0.0	
BESSEMER INVESTMENT	085	KEY	B	675	12.98	n/a	n/a	27.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	KR	S	125	42.52	n/a	n/a	31.25	0.0
CASTLE ARK	031	LECO	S	30,000	71.26	n/a	n/a	1,200.00	0.0
BESSEMER INVESTMENT	085	LO	B	250	52.27	n/a	n/a	10.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	B	50,000	15.79	n/a	19-Jun	2,500.00	0.0
BESSEMER INVESTMENT	085	LTD	B	310	64.30	n/a	n/a	12.40	0.0
PENNANT CAP MGMT	250	MDP	B	50,000	52.88	n/a	n/a	1,500.00	0.0
KENNEDY CAPITAL	046	MGAM	B	9,881	28.74	n/a	n/a	395.24	0.0
BESSEMER INVESTMENT	085	MRO	B	320	36.94	n/a	n/a	12.80	0.0
LATEEF MGMT	033	MSFT	S	200	37.64	n/a	n/a	60.00	0.0
BESSEMER INVESTMENT	085	MS	B	300	31.61	n/a	6-Jun	12.00	0.0
BESSEMER INVESTMENT	085	MYL	B	725	44.31	n/a	17-Jun	29.00	0.0
BESSEMER INVESTMENT	085	M	B	490	52.21	n/a	18-Jun	19.60	0.0
METROPOLITAN CAPITAL	044	M	S	14,817	51.54	n/a	18-Jun	740.85	0.0
LATEEF MGMT	033	NEM	B	250	25.49	n/a	n/a	32.50	0.0
BESSEMER INVESTMENT	085	NLSN	B	280	42.01	n/a	n/a	11.20	0.0
PATTEN & PATTEN	025	NOK	B	10,000	8.10	n/a	n/a	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	NSC	S	200	87.22	n/a	n/a	10.00	0.0
LATEEF MGMT	033	NYCB	S	175	16.50	n/a	24-Apr	18.75	0.0
LATEEF MGMT	033	OI	S	125	33.01	n/a	n/a	31.25	0.0
CADIAN CAPITAL	041	PETM	SS	14,000	74.00	n/a	n/a	420.00	0.0
EATON VANCE MGMT	029	PFE	S	748,165	32.29	n/a	n/a	22,444.95	0.0
BESSEMER INVESTMENT	085	QCOM	B	370	72.38	n/a	n/a	14.80	0.0
SAC CHRIS C	041	STJ	B	75,000	58.63	n/a	n/a	2,250.00	0.0
UNITED STATES PENSION	085	STT	S	135,000	72.66	n/a	17-Jun	5,400.00	0.0
KLEINHEINZ CAP PART	031	SWN	B	50,000	39.38	n/a	13-Jun	2,500.00	0.0
BESSEMER INVESTMENT	085	TGT	B	310	63.66	n/a	23-May	12.40	0.0
BESSEMER INVESTMENT	085	TMO	B	250	102.13	n/a	n/a	10.00	0.0
LATEEF MGMT	033	UAL	S	225	39.91	n/a	18-Jun	56.25	0.0
BESSEMER INVESTMENT	085	UNP	B	140	162.24	n/a	n/a	5.60	0.0
SAC CHRIS C	041	VAR	SS	21,408	75.87	n/a	n/a	642.24	0.0
SEVEN LOCKS CAPITAL	025	VOLC	B	65,200	21.97	n/a	n/a	1,956.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PENNANT CAP MGMT	250	VPRT	B	38,000	57.37	n/a	n/a	1,140.00	0.0
BESSEMER INVESTMENT	085	WAG	B	240	59.97	n/a	n/a	9.60	0.0
MADISON ST PARTNERS LLC	046	WFC	S	17,500	44.46	n/a	6-Jun	875.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	80.34	n/a	16-May	750.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	360	89.82	n/a	n/a	14.40	0.0
TOTAL (Trade Date):								81,410.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/22	MACELLUM CAPITAL (MACEDB)	086	ANF	B	61,409	33.74	n/a	n/a	1842.27 0.0
AO,CXL	11/22	MACELLUM CAPITAL (MACEBTIG)	086	ANF	B	63,000	33.74	n/a	n/a	1890.00 0.0
AO,	11/22	MACELLUM CAPITAL (MACEBTIG)	086	ANF	B	1,591	33.74	n/a	n/a	47.73 0.0
AO,CXL	11/22	BMO / M&I FUNDS (MIFDMAIN)	086	ARO	B	12,900	10.29	n/a	n/a	516.00 0.0
AO,	11/22	BMO / M&I FUNDS (MIFD993022)	047	ARO	B	12,900	10.29	n/a	n/a	516.00 0.0
AO,	11/22	MACELLUM CAPITAL (MACEDB)	086	FL	B	122,817	38.38	n/a	19-Jun	3684.51 0.0
AO,CXL	11/22	MACELLUM CAPITAL (MACEBTIG)	086	FL	B	36,000	38.47	n/a	19-Jun	1080.00 0.0
AO,CXL	11/22	MACELLUM CAPITAL (MACEBTIG)	086	FL	B	90,000	38.35	n/a	19-Jun	2700.00 0.0
AO,	11/22	MACELLUM CAPITAL (MACEBTIG)	086	FL	B	3,183	38.38	n/a	19-Jun	95.49 0.0
AO,CRT	11/22	CAERUS GLOBAL (CAERUNION)	041	GM	B	205	37.96	n/a	19-Jun	8.20 0.0
AO,CXL	11/22	CAERUS GLOBAL (CAERUBSPB)	041	GM	B	205	37.96	n/a	19-Jun	8.20 0.0
AO,CXL	11/22	COUGAR TRADING (COUGPB MS)	044	JBLU	B	25,000	9.14	n/a	18-Jun	1250.00 0.0
AO,	11/22	COUGAR TRADING (COUGPB MS)	044	JBLU	B	25,000	9.14	n/a	18-Jun	1000.00 0.0
AO,	11/22	MACELLUM CAPITAL (MACEBTIG)	086	ROST	SS	1,330	74.41	n/a	18-Jun	39.90 0.0
AO,	11/22	MACELLUM CAPITAL (MACEDB)	086	ROST	SS	30,734	74.41	n/a	18-Jun	922.02 0.0
AO,CXL	11/22	MACELLUM CAPITAL (MACEBTIG)	086	ROST	SS	32,064	74.41	n/a	18-Jun	961.92 0.0
TOTAL (AO, CXL, CRT) :										-250.00

TOTAL (Trade Date) :

81,410.96

TOTAL (AO, CXL, CRT):

-250.00

TOTAL (RUN DATE) / NFS:

81,160.96

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