



Daily Compliance Activity Report

Trade Date: 10/31/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	101	524.38	n/a	n/a	4.04	0.0
WHITE PINE CAPITAL	030	ABX	B	6,625	19.99	n/a	n/a	331.25	0.0
BESSEMER INVESTMENT	085	ACE	B	444	96.17	n/a	n/a	17.76	0.0
BESSEMER INVESTMENT	085	ACN	B	249	73.78	n/a	n/a	9.96	0.0
BESSEMER INVESTMENT	085	AET	B	474	62.93	n/a	n/a	18.96	0.0
BESSEMER INVESTMENT	085	AIG	B	547	51.80	n/a	n/a	21.88	0.0
TUDOR INVESTORS	028	ANV	B	15,000	4.08	n/a	n/a	450.00	0.0
INTERVAL PARTNERS	033	ASNA	C	25,000	19.85	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	AWK	B	1,158	42.72	n/a	n/a	46.32	0.0
NEW VERNON/SF INVESTMENTS	031	AXL	B	70,000	18.73	n/a	19-Jun	4,200.00	0.0
MERRILL ASSET/BLACKROCK	085	BOH	B	4,735	58.38	n/a	n/a	189.40	0.0
DC CAPITAL	044	CAM	B	6,000	55.28	n/a	n/a	240.00	0.0
KEYGROUP/KGLT	040	CHK	SS	25,000	28.00	n/a	n/a	1,000.00	0.0
JSRG CAPITAL PARTNERS LP	084	CHRW	B	15,000	59.80	n/a	n/a	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
COBALT	041	CMA	B	117,425	43.70	n/a	n/a	4,697.00	0.0	
CAPITAL RESEARCH GROUP		296	CMCSA	S	65,000	47.84	n/a	n/a	2,275.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	CNHI	S	150,000	11.79	n/a	n/a	6,000.00	0.0	
BESSEMER INVESTMENT	085	COP	B	454	74.06	n/a	n/a	18.16	0.0	
BESSEMER INVESTMENT	085	CTL	B	595	33.68	n/a	n/a	23.80	0.0	
CAPITAL RESEARCH GROUP		296	CTL	B	615,713	33.84	n/a	n/a	21,549.96	0.0
PROSPECTOR PARTNERS LLC	036	CVC	B	10,000	15.71	n/a	n/a	400.00	0.0	
BESSEMER INVESTMENT	085	CVS	B	483	62.43	n/a	n/a	19.32	0.0	
BESSEMER INVESTMENT	085	C	B	489	49.27	n/a	17-Jun	19.56	0.0	
WHITE PINE CAPITAL	030	C	B	2,050	49.56	n/a	17-Jun	102.50	0.0	
BESSEMER INVESTMENT	085	DG	B	716	58.00	n/a	4-Jun	28.64	0.0	
NOMURA/ANGEL LANE PRINCIPAL	040	ETN	S	30,000	70.86	n/a	12-Jun	900.00	0.0	
ALLIANZ/NICOLAS APPLGATE	084	F	B	233,500	17.24		n/a	19-Jun	8,172.50	0.0
LONG OAR GLOBAL	040	HERO	SS	50,000	6.81	n/a	n/a	2,000.00	0.0	
BESSEMER INVESTMENT	085	IBM	B	254	180.86	n/a	n/a	10.16	0.0	
MASTERS CAPITAL MANAGE	025	INTC	B	100,000	24.69	n/a	n/a	4,000.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	ITW	B	437	79.24	n/a	n/a	17.48	0.0
TIEDEMANN/TIG ADVISORS LLC	006	IYK	SS	6,560	93.87	n/a	n/a	328.00	0.0
ASCEND PARTNERS	033	JNY	C	36,092	15.39	n/a	2-May	1,082.76	0.0
BESSEMER INVESTMENT	085	KEY	B	1,141	12.64	n/a	n/a	45.64	0.0
BESSEMER INVESTMENT	085	LO	B	406	51.44	n/a	n/a	16.24	0.0
BESSEMER INVESTMENT	085	LTD	B	497	62.82	n/a	n/a	19.88	0.0
WHITE PINE CAPITAL	030	MCD	B	850	96.43	n/a	17-Jun	42.50	0.0
CRAMER ROSENTHAL	070	MRC	S	47,300	28.02	n/a	n/a	1,892.00	0.0
EVERGREEN	047	MRC	B	44,600	28.07	n/a	n/a	1,784.00	0.0
BESSEMER INVESTMENT	085	MRO	B	529	35.53	n/a	n/a	21.16	0.0
MERRILL ASSET/BLACKROCK	085	MSCI	S	21,600	40.83	n/a	n/a	864.00	0.0
BESSEMER INVESTMENT	085	M	B	1,035	46.29	n/a	18-Jun	41.40	0.0
BESSEMER INVESTMENT	085	NLSN	B	914	39.61	n/a	n/a	36.56	0.0
FRED ALGER MGMT	300	NOW	B	17,700	54.39	n/a	n/a	637.20	0.0
HERRING CREEK CAPITAL	040	NYT	S	37,900	13.88	n/a	n/a	1,137.00	0.0
WHITE PINE CAPITAL	030	PEP	B	1,500	84.56	n/a	n/a	75.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BESSEMER INVESTMENT	085	PFE	B	1,606	30.87	n/a	n/a	64.24	0.0	
CAPITAL RESEARCH GROUP		296	PM	B	375,000	89.79	n/a	n/a	13,125.00	0.0
SURVEYOR CAPITAL	251	PM	S	10,064	89.50	n/a	n/a	402.56	0.0	
BESSEMER INVESTMENT	085	QCOM	B	205	69.65	n/a	n/a	8.20	0.0	
T. ROWE PRICE	243	SSD	B	58,300	35.56	n/a	n/a	2,332.00	0.0	
BESSEMER INVESTMENT	085	TGT	B	350	65.10	n/a	23-May	14.00	0.0	
WHITE PINE CAPITAL	030	TGT	B	2,000	65.84	n/a	23-May	100.00	0.0	
BESSEMER INVESTMENT	085	TMO	B	419	97.91	n/a	n/a	16.76	0.0	
BESSEMER INVESTMENT	085	UNP	B	235	151.55	n/a	n/a	9.40	0.0	
ALLIANZ/NICOLAS APPLGATE	084	V	B	17,200	197.30		n/a	11-Jun	602.00	0.0
RIVERLOFT CAPITAL	044	WFT	S	25,000	16.44	n/a	n/a	750.00	0.0	
STANDARD PACIFIC CAPITAL	084	WUBA	S	60,000	22.79	n/a	n/a	3,000.00	0.0	
TIEDEMANN/TIG ADVISORS LLC006		XLY	B	6,130	63.28	n/a	n/a	306.50	0.0	
BESSEMER INVESTMENT	085	XOM	S	4,000	89.32	n/a	n/a	160.00	0.0	
BESSEMER INVESTMENT	085	ZMH	B	634	87.75	n/a	n/a	25.36	0.0	

TOTAL (Trade Date):

86,903.01

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/30	JSRG CAPITAL PARTNERS LP (JSRGJPM)	084	WNC	SS	20,000	11.45	n/a	n/a	1000.00 0.0
AO,	10/30	JSRG CAPITAL PARTNERS LP (JSRGJPM)	084	WNC	SS	20,000	11.45	n/a	n/a	500.00 0.0

TOTAL (AO, CXL, CRT) :	-500.00
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TOTAL (Trade Date) :	86,903.01
TOTAL (AO, CXL, CRT) :	-500.00

TOTAL (RUN DATE) / NFS:	86,403.01
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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