



Daily Compliance Activity Report

Trade Date: 08/26/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	52	507.89	n/a	n/a	2.08	0.0
LATEEF MGMT	033	AAPL	S	50	504.84	n/a	n/a	30.00	0.0
DAVIDSON KEMPNER ADVISOR	281	AAP	B	12,500	83.45	n/a	n/a	625.00	0.0
BESSEMER INVESTMENT	085	ACE	B	325	90.27	n/a	n/a	13.00	0.0
BESSEMER INVESTMENT	085	ACN	B	180	74.16	n/a	n/a	7.20	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ADT	B	5,000	41.20	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	AET	B	410	64.40	n/a	n/a	16.40	0.0
BESSEMER INVESTMENT	085	AIG	B	390	47.70	n/a	n/a	15.60	0.0
ALLIANZ/NICOLAS APPLGATE	084	AMGN	S	74,100	114.45	n/a	n/a	1,482.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	10,000	13.42	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	665	37.49	n/a	n/a	26.60	0.0
BESSEMER INVESTMENT	085	AWK	B	700	41.67	n/a	n/a	28.00	0.0
AMICI CAPITAL N/C FROM PORTER-ORLIN	044	BCRX	SS	10,000	6.96	n/a	n/a	400.00	0.0
LATEEF MGMT	033	BDN	B	1,500	13.11	n/a	n/a	120.00	0.0
SANDLER O'NEILL ASSET	031	BNS	SS	25,000	55.97	n/a	n/a	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	BONT	S	115,500	12.45	n/a	18-Jun	5,775.00	0.0
BERYLSON CAPITAL	030	BONT	B	128,304	12.35	n/a	18-Jun	3,849.12	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BRE	B	14,100	49.72	n/a	n/a	423.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	CBB	S	197,000	3.05	n/a	n/a	3,940.00	0.0
LATEEF MGMT	033	CBLPRD	B	300	24.06	n/a	n/a	30.00	0.0
PRIMECAP MGMT	084	CME	B	3,000	72.33	n/a	28-Apr	120.00	0.0
EDGEWOOD	085	CMG	S	56,259	404.08	n/a	3-Jun	2,812.95	0.0
BESSEMER INVESTMENT	085	COH	B	340	53.01	n/a	30-May	13.60	0.0
BESSEMER INVESTMENT	085	COP	B	315	66.59	n/a	n/a	12.60	0.0
LATEEF MGMT	033	CSCO	S	400	23.94	n/a	26-Feb	40.00	0.0
BESSEMER INVESTMENT	085	CTL	B	310	33.21	n/a	n/a	12.40	0.0
BESSEMER INVESTMENT	085	CVS	B	360	58.55	n/a	n/a	14.40	0.0
BESSEMER INVESTMENT	085	C	B	415	50.07	n/a	17-Jun	16.60	0.0
LATEEF MGMT	033	DE	B	375	85.19	n/a	11-Jul	56.25	0.0
BESSEMER INVESTMENT	085	DG	B	675	55.81	n/a	4-Jun	27.00	0.0
LATEEF MGMT	033	DRE	B	1,200	14.95	n/a	n/a	120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	DVR	B	7,369	2.04	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	287	ECA	SS	100,000	17.41	n/a	n/a	3,000.00	0.0
NEUBERGER BERMAN	036	FFIN	B	1,900	60.52	n/a	n/a	76.00	0.0
MACELLUM CAPITAL	086	FIVE	B	14,000	38.01	n/a	13-Jun	420.00	0.0
SEVEN LOCKS CAPITAL	025	FOXA	S	50,000	32.40	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	GIS	B	225	49.71	n/a	n/a	40.50	0.0
DAVIDSON KEMPNER ADVISOR	281	GM	B	50,000	35.19	n/a	19-Jun	2,500.00	0.0
BESSEMER INVESTMENT	085	IBM	B	175	185.41	n/a	n/a	7.00	0.0
LATEEF MGMT	033	INTC	B	350	22.37	n/a	n/a	35.00	0.0
LATEEF MGMT	033	IP	B	650	47.25	n/a	17-Jun	80.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	B	50,000	47.54	n/a	17-Jun	1,500.00	0.0
BESSEMER INVESTMENT	085	ITW	B	200	73.54	n/a	n/a	8.00	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	9,800	84.47	n/a	n/a	392.00	0.0
LATEEF MGMT	033	K	B	100	62.02	n/a	n/a	30.00	0.0
PAULSON & CO INC	041	LIFE	S	67,923	74.47	n/a	n/a	2,037.69	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	15.16	n/a	19-Jun	2,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	LTD	B	370	58.96	n/a	n/a	14.80	0.0
BESSEMER INVESTMENT	085	MRO	B	650	33.34	n/a	n/a	26.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	50,000	26.51	n/a	6-Jun	2,500.00	0.0
BESSEMER INVESTMENT	085	M	B	600	44.40	n/a	18-Jun	24.00	0.0
BESSEMER INVESTMENT	085	NLSN	B	675	34.67	n/a	n/a	27.00	0.0
SCOGGIN LLC	041	ONXX	S	23,000	123.58	n/a	n/a	1,150.00	0.0
BESSEMER INVESTMENT	085	PFE	B	1,175	28.24	n/a	n/a	47.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		PF	S	6,300	28.30		n/a	n/a	189.00 0.0
LAKEWOOD CAPITAL MGMT	085	PRI	S	10,000	38.86	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	460	67.12	n/a	n/a	18.40	0.0
CAMBIAR CAP	046	RDEN	B	8,790	35.35	n/a	17-Jun	351.60	0.0
PIMCO	084	SAVE	B	20,000	31.15	n/a	18-Jun	400.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		SHW	B	1,000	171.90		n/a	n/a	30.00 0.0
COLUMBUS CIRCLE	036	SONS	B	39,910	3.54	n/a	n/a	1,596.40	0.0
SANDLER O'NEILL ASSET	031	STT	S	22,700	69.86	n/a	17-Jun	1,135.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	SUSS	B	8,169	47.48		n/a	n/a	245.07	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	TFSL	S	12,100	11.26		n/a	n/a	363.00	0.0
BESSEMER INVESTMENT	085	TGT	B	430	64.48	n/a	23-May		17.20	0.0
MERRILL ASSET/BLACKROCK	085	THG	B	15,300	55.90	n/a	n/a		612.00	0.0
BESSEMER INVESTMENT	085	TMO	B	335	91.27	n/a	n/a		13.40	0.0
LOMBARDIA CAP MGMT	084	TPC	S	26,727	19.54	n/a	n/a		1,069.08	0.0
LATEEF MGMT	033	T	B	650	33.95	n/a	n/a		80.00	0.0
BESSEMER INVESTMENT	085	UNP	B	123	157.43	n/a	n/a		4.92	0.0
BESSEMER INVESTMENT	085	VIAB	B	460	80.28	n/a	n/a		18.40	0.0
NEUBERGER BERMAN	036	VPFG	B	764	21.07	n/a	n/a		30.56	0.0
BESSEMER INVESTMENT	085	WAG	B	575	49.25	n/a	n/a		23.00	0.0
NEWLAND CAPITAL MGT	025	WG	S	10,000	9.94	n/a	n/a		300.00	0.0
LATEEF MGMT	033	WRIPRF	B	364	24.94	n/a	n/a		36.40	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	B	20,000	28.21	n/a	19-Jun		600.00	0.0
ROSEDALE CAPITAL	046	XLU	S	10,000	37.50	n/a	n/a		400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	XOM	B	1,125	87.18	n/a	n/a	187.50	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	25,000	79.00	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	440	80.77	n/a	n/a	17.60	0.0
TOTAL (Trade Date) :								48,432.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/22	MAPLE ROW (MAPWGS)	006	AXL	B	2,500	20.42	n/a	19-Jun	125.00 0.0
AO,CRT	08/22	MAPLE ROW (MAPWGS)	006	AXL	B	2,500	20.42	n/a	19-Jun	75.00 3.0
AO,CRT	08/21	MACELLUM CAPITAL (MACEDB)	086	BONT	SS	116,944	14.42	n/a	18-Jun	3508.32 0.0
AO,CXL	08/21	MACELLUM CAPITAL (MACEMS)	086	BONT	SS	116,944	14.42	n/a	18-Jun	3508.32 0.0
AO,	08/22	LISTED ERR (LISTED ERR)	099	DVR	S	7,369	2.05	n/a	n/a	0.00 0.0
AO,CRT	08/22	MAPLE ROW (MAPWGS)	006	KBH	B	7,500	17.06	n/a	n/a	225.00 3.0
AO,CXL	08/22	MAPLE ROW (MAPWGS)	006	KBH	B	7,500	17.06	n/a	n/a	375.00 0.0
AO,CXL	08/22	MAPLE ROW (MAPWGS)	006	LEN	B	7,500	33.53	n/a	n/a	375.00 0.0
AO,CRT	08/22	MAPLE ROW (MAPWGS)	006	LEN	B	7,500	33.53	n/a	n/a	225.00 3.0
AO,CXL	08/22	MAPLE ROW (MAPWGS)	006	LRCX	B	7,500	48.29	n/a	n/a	375.00 0.0
AO,CRT	08/22	MAPLE ROW (MAPWGS)	006	LRCX	B	7,500	48.29	n/a	n/a	225.00 3.0
AO,CXL	08/22	MAPLE ROW (MAPWGS)	006	MAS	B	5,000	19.43	n/a	n/a	250.00 0.0
AO,CRT	08/22	MAPLE ROW (MAPWGS)	006	MAS	B	5,000	19.43	n/a	n/a	150.00 3.0
AO,CXL	08/23	MATRIX ASSET ADV. (MATXAT&T)	091	MET	S	1,500	48.40	n/a	n/a	60.00 0.0
AO,CRT	08/23	MATRIX ASSET ADV. (MATXVALLMH)	091	MET	S	1,500	48.40	n/a	n/a	60.00 4.0
AO,CXL	08/22	MAPLE ROW (MAPWGS)	006	MU	B	25,000	13.84	n/a	n/a	1250.00 0.0
AO,CRT	08/22	MAPLE ROW (MAPWGS)	006	MU	B	25,000	13.84	n/a	n/a	750.00 3.0
AO,CXL	08/22	MAPLE ROW (MAPWGS)	006	PHM	B	7,500	16.37	n/a	n/a	375.00 0.0
AO,CRT	08/22	MAPLE ROW (MAPWGS)	006	PHM	B	7,500	16.37	n/a	n/a	225.00 3.0
CRT	08/26	PIMCO (PIMC4975)	084	SAVE	B	20,000	31.15	n/a	18-Jun	400.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/22	MAPLE ROW (MAPWGS)	006	TOL	B	12,500	32.16	n/a	n/a	625.00 0.0
AO,CRT	08/22	MAPLE ROW (MAPWGS)	006	TOL	B	12,500	32.16	n/a	n/a	375.00 3.0
AO,CXL	08/23	FOCUSED INVESTORS (FOCIUPEND)	084	TPC	S	54	19.20	n/a	n/a	2.16 0.0
AO,	08/23	LOMBARDIA CAP MGMT (LOMBCFGHMS)	084	TPC	S	54	19.20	n/a	n/a	2.16 0.0
TOTAL (AO, CXL, CRT) :										-1,100.00

TOTAL (Trade Date):	48,432.32
TOTAL (AO, CXL, CRT):	-1,100.00
TOTAL (RUN DATE) / NFS:	47,332.32

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