



Daily Compliance Activity Report

Trade Date: 01/02/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| BESSEMER INVESTMENT | 085 | AAPL | B | 45 | 548.33 | n/a | n/a | 1.80 | 4.0 |
| BESSEMER INVESTMENT | 085 | ACE | B | 764 | 81.34 | n/a | n/a | 30.56 | 4.0 |
| BESSEMER INVESTMENT | 085 | ACN | B | 877 | 68.70 | n/a | n/a | 35.08 | 4.0 |
| BESSEMER INVESTMENT | 085 | AET | B | 1,015 | 46.70 | n/a | n/a | 40.60 | 4.0 |
| PRIMECAP MGMT | 084 | AMGN | S | 5,000 | 87.90 | n/a | n/a | 200.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | AVGO | B | 1,072 | 32.57 | n/a | n/a | 42.88 | 4.0 |
| BTG PACTUAL | 040 | AXL | S | 10,000 | 11.66 | n/a | 31-Dec | 300.00 | 3.0 |
| PRIMECAP MGMT | 084 | BIIB | S | 600 | 149.53 | n/a | n/a | 24.00 | 0.0 |
| BAIRD INVESTMENT | 047 | CHD | B | 6,815 | 53.96 | n/a | 5-Dec | 340.75 | 0.0 |
| BESSEMER INVESTMENT | 085 | COH | B | 1,179 | 55.33 | n/a | 5-Nov | 47.16 | 4.0 |
| BESSEMER INVESTMENT | 085 | COP | B | 738 | 58.90 | n/a | n/a | 29.52 | 4.0 |
| BESSEMER INVESTMENT | 085 | CSCO | B | 1,250 | 20.24 | n/a | 14-Dec | 50.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | CTL | B | 876 | 40.08 | n/a | n/a | 35.04 | 4.0 |
| BESSEMER INVESTMENT | 085 | CVX | B | 250 | 109.86 | n/a | n/a | 10.00 | 4.0 |

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|--------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| BESSEMER INVESTMENT | 085 | C | B | 802 | 41.04 | n/a | 20-Dec | 32.08 | 4.0 |
| BESSEMER INVESTMENT | 085 | DG | B | 824 | 43.72 | n/a | 12-Dec | 32.96 | 4.0 |
| SENATOR INVESTMENT GROUP | 036 | DG | B | 200,000 | 43.46 | n/a | 12-Dec | 6,000.00 | 3.0 |
| CORNERSTONE | 030 | DKS | B | 50,000 | 45.53 | n/a | 21-Dec | 1,500.00 | 0.0 |
| DSG CAPITAL | 030 | DOLE | B | 30,000 | 9.97 | n/a | n/a | 900.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | DTE | B | 408 | 61.15 | n/a | n/a | 16.32 | 4.0 |
| WOOSTER CAPITAL | 035 | EMC | B | 100,000 | 24.78 | n/a | 4-Dec | 4,000.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | EMR | B | 450 | 54.43 | n/a | n/a | 18.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | ESRX | B | 450 | 55.41 | n/a | n/a | 18.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | EXC | B | 1,105 | 30.01 | n/a | n/a | 44.20 | 4.0 |
| BESSEMER INVESTMENT | 085 | FCX | S | 330 | 35.36 | n/a | n/a | 13.20 | 4.0 |
| BESSEMER INVESTMENT | 085 | GD | B | 427 | 70.87 | n/a | 11-Dec | 17.08 | 4.0 |
| BESSEMER INVESTMENT | 085 | GE | B | 1,175 | 21.27 | n/a | n/a | 47.00 | 4.0 |
| SCOPUS FUND | 041 | GNTX | SS | 50,000 | 19.00 | n/a | 24-Oct | 2,000.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | GOOG | B | 35 | 721.53 | n/a | n/a | 1.40 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | GPS | SS | 50,000 | 30.78 | n/a | n/a | 1,750.00 | 3.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| SCOPUS FUND | 041 | GWR | B | 8,150 | 78.96 | n/a | n/a | 326.00 | 4.0 |
| ARSENAL ASSET MANAGEMENT | 028 | HUBB | B | 5,000 | 86.67 | n/a | n/a | 200.00 | 0.0 |
| COLUMBUS CIRCLE | 036 | HURN | S | 2,000 | 32.88 | n/a | n/a | 80.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | IBM | B | 389 | 195.84 | n/a | n/a | 15.56 | 4.0 |
| NOKOMIS PARTNERS | 031 | IDCC | S | 77,153 | 42.35 | n/a | n/a | 2,314.59 | 3.0 |
| CENTURION PARTNERS | 041 | JBLU | B | 30,000 | 5.88 | n/a | 17-Dec | 1,200.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | JNJ | B | 1,154 | 70.72 | n/a | n/a | 46.16 | 4.0 |
| BESSEMER INVESTMENT | 085 | JPM | B | 550 | 44.56 | n/a | 20-Dec | 22.00 | 4.0 |
| CASTLEROCK | 040 | JWN | SS | 50,249 | 53.34 | n/a | 2-Jan | 2,009.96 | 4.0 |
| ROSEDALE CAPITAL | 046 | KEG | S | 20,000 | 7.20 | n/a | 4-Dec | 600.00 | 3.0 |
| CASTLEROCK | 040 | KSS | SS | 63,453 | 42.26 | n/a | 2-Jan | 2,538.12 | 4.0 |
| PRIMECAP MGMT | 084 | LLY | S | 2,500 | 49.41 | n/a | n/a | 100.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | LOW | B | 1,571 | 36.20 | n/a | n/a | 62.84 | 4.0 |
| SAC TRADING TOM LEDDY | 035 | LTD | B | 100,000 | 47.30 | n/a | n/a | 3,500.00 | 3.5 |
| BESSEMER INVESTMENT | 085 | MCD | B | 275 | 89.91 | n/a | 10-Dec | 11.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| SAC TRADING TOM LEDDY | 035 | MCD | B | 165,000 | 89.75 | n/a | 10-Dec | 5,775.00 | 3.5 |
| BESSEMER INVESTMENT | 085 | MRO | B | 1,597 | 31.50 | n/a | n/a | 63.88 | 4.0 |
| BESSEMER INVESTMENT | 085 | MSFT | B | 2,110 | 27.44 | n/a | n/a | 84.40 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | MS | B | 63,100 | 19.84 | n/a | 20-Dec | 3,155.00 | 5.0 |
| BESSEMER INVESTMENT | 085 | M | B | 1,259 | 38.65 | n/a | 2-Jan | 50.36 | 4.0 |
| HOLLIS CAPITAL | 033 | M | S | 5,000 | 38.66 | n/a | 2-Jan | 250.00 | 5.0 |
| BESSEMER INVESTMENT | 085 | NEM | B | 610 | 47.18 | n/a | n/a | 24.40 | 4.0 |
| BESSEMER INVESTMENT | 085 | NU | B | 650 | 39.60 | n/a | n/a | 26.00 | 4.0 |
| STATE TEACHERS RET SYS | 047 | PEI | S | 9,951 | 18.30 | n/a | n/a | 497.55 | 5.0 |
| BESSEMER INVESTMENT | 085 | PEP | B | 350 | 69.00 | n/a | n/a | 14.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | PG | B | 375 | 69.09 | n/a | 13-Dec | 15.00 | 4.0 |
| CR INTRINSIC/CHRIS C | 041 | PLL | SS | 5,000 | 61.86 | n/a | n/a | 175.00 | 3.5 |
| BESSEMER INVESTMENT | 085 | POT | B | 600 | 41.23 | n/a | n/a | 24.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | QCOM | B | 1,137 | 64.55 | n/a | n/a | 45.48 | 4.0 |
| SHEFFIELD ASSET MGMT | 031 | RKT | S | 17,500 | 71.56 | n/a | 18-Dec | 700.00 | 0.0 |
| TUDOR INVESTORS | 028 | SIG | SS | 5,062 | 54.26 | n/a | n/a | 151.86 | 3.0 |

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|------------------------|------|--------|-----|---------|--------|-----|----------|-------------|------|
| BESSEMER INVESTMENT | 085 | SLB | B | 350 | 71.11 | n/a | n/a | 14.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | STX | B | 806 | 31.80 | n/a | n/a | 32.24 | 4.0 |
| STATE TEACHERS RET SYS | 047 | S | S | 637,996 | 5.71 | n/a | n/a | 31,899.80 | 0.0 |
| LATEEF MGMT | 035 | TGT | B | 1,875 | 58.40 | n/a | 28-Dec | 270.00 | 16.3 |
| SAC TRADING TOM LEDDY | 035 | TJX | B | 90,000 | 42.76 | n/a | 2-Jan | 3,150.00 | 3.5 |
| BESSEMER INVESTMENT | 085 | TMO | B | 919 | 65.06 | n/a | n/a | 36.76 | 4.0 |
| BESSEMER INVESTMENT | 085 | UNH | B | 896 | 54.77 | n/a | n/a | 35.84 | 4.0 |
| BESSEMER INVESTMENT | 085 | UNP | B | 200 | 127.74 | n/a | n/a | 8.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | USB | B | 750 | 32.87 | n/a | n/a | 30.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | UTX | B | 300 | 83.65 | n/a | n/a | 12.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | WAG | B | 2,009 | 38.20 | n/a | n/a | 80.36 | 4.0 |
| BESSEMER INVESTMENT | 085 | WM | B | 1,326 | 33.89 | n/a | n/a | 53.04 | 4.0 |
| CR INTRINSIC/CHRIS C | 041 | WM | SS | 10,000 | 33.94 | n/a | n/a | 350.00 | 3.5 |
| CAMBIAR CAP | 046 | WRC | S | 120,000 | 71.54 | n/a | 6-Nov | 4,800.00 | 0.0 |
| T. ROWE PRICE | 033 | WY | S | 123,000 | 28.88 | n/a | 28-Dec | 4,920.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | XOM | B | 300 | 88.27 | n/a | n/a | 12.00 | 4.0 |

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|-----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| BESSEMER INVESTMENT | 085 | YUM | B | 375 | 66.89 | n/a | 7-Dec | 15.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | ZMH | B | 1,189 | 67.71 | n/a | n/a | 47.56 | 4.0 |
| TUDOR INVESTORS | 028 | ZUMZ | SS | 12,500 | 19.31 | n/a | n/a | 375.00 | 3.0 |
| TOTAL (Trade Date) : | | | | | | | | 87,797.39 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|-------------------------|------|---------|------|--------|-----|--------|-------|--------------|-------------|
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (Trade Date) : | | | | | | | | | 87,797.39 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 87,797.39 |

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