



## Daily Compliance Activity Report

Trade Date: 03/15/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	B	560	88.42	n/a	n/a	22.40	4.0
BESSEMER INVESTMENT	085	ACN	B	625	77.26	n/a	n/a	25.00	4.0
BESSEMER INVESTMENT	085	AET	B	970	51.09	n/a	n/a	38.80	4.0
NORTHWESTERN MUTUAL LIFE	047	AMP	S	40,950	74.39	n/a	n/a	1,638.00	0.0
BESSEMER INVESTMENT	085	APD	B	175	89.84	n/a	n/a	7.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ATVI	B	50,000	14.89		n/a	n/a	1,500.00 3.0
BESSEMER INVESTMENT	085	AVGO	B	775	36.05	n/a	n/a	31.00	4.0
PAR CAPITAL	268	AWAY	SS	10,500	30.42	n/a	n/a	420.00	0.0
BRONSON POINT	036	BAC	S	100,000	12.61	n/a	15-Mar	3,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BMC	B	10,000	44.30		n/a	n/a	400.00 4.0
RIVERLOFT CAPITAL	044	BX	S	20,000	20.91	n/a	n/a	600.00	3.0
BESSEMER INVESTMENT	085	COH	B	620	50.22	n/a	27-Feb	24.80	4.0
BESSEMER INVESTMENT	085	COP	B	520	59.17	n/a	n/a	20.80	4.0
CR INTRINSIC/CHRIS C	041	CR	B	15,000	56.15	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	CSX	B	70,000	24.07	n/a	n/a	2,100.00	0.0
BESSEMER INVESTMENT	085	CTL	B	785	34.31	n/a	n/a	31.40	4.0
BESSEMER INVESTMENT	085	CVS	B	20	53.29	n/a	n/a	0.80	4.0
MILLRACE FUND LP	028	CVU	B	5,900	8.45	n/a	n/a	177.00	3.0
BESSEMER INVESTMENT	085	C	B	730	47.21	n/a	15-Mar	29.20	4.0
BESSEMER INVESTMENT	085	DG	B	1,260	48.00	n/a	1-Mar	50.40	4.0
BESSEMER INVESTMENT	085	DTE	B	15	66.36	n/a	n/a	0.60	4.0
SENATOR INVESTMENT GROUP	036	EMC	S	80,000	25.36	n/a	26-Feb	2,400.00	3.0
BESSEMER INVESTMENT	085	EXC	B	815	32.62	n/a	n/a	32.60	4.0
OZ MGMT	040	F	SS	100,000	13.36	n/a	14-Mar	3,000.00	0.0
BESSEMER INVESTMENT	085	GD	B	315	69.43	n/a	11-Mar	12.60	4.0
SIGMA CAP BOBBY	044	GE	SS	85,000	23.38	n/a	n/a	2,550.00	3.0
BESSEMER INVESTMENT	085	IBM	B	280	214.96	n/a	n/a	11.20	4.0
HALCYON LLC	041	IRM	B	31,135	36.30	n/a	n/a	934.05	3.0
BESSEMER INVESTMENT	085	JNJ	B	685	78.95	n/a	n/a	27.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	041	KRFT	SS	50,000	50.36	n/a	n/a	1,500.00	0.0
BALYASNY ASSET MGMT	044	KSS	SS	25,000	48.97	n/a	6-Mar	1,250.00	0.0
PATRIOT STRATEGY PARTNERS	036	KW	B	10,000	15.83	n/a	n/a	400.00	4.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>LULU</b>	<b>SS</b>	<b>6,500</b>	<b>68.55</b>	<b>n/a</b>	<b>15-Mar</b>	<b>325.00</b>	<b>5.0</b>
LOMAS CAPITAL	040	MLI	S	10,700	54.29	n/a	1-Mar	321.00	3.0
BESSEMER INVESTMENT	085	MRO	B	1,185	34.90	n/a	n/a	47.40	4.0
BESSEMER INVESTMENT	085	MSFT	B	1,060	28.06	n/a	n/a	42.40	4.0
BESSEMER INVESTMENT	085	M	B	1,080	41.72	n/a	7-Mar	43.20	4.0
BESSEMER INVESTMENT	085	NLSN	B	900	34.34	n/a	n/a	36.00	4.0
PORTER-ORLIN/ NC TO AMICI CAPITAL	044	NOV	B	4,000	70.29		n/a	n/a	160.00 0.0
LOMAS CAPITAL	040	NPO	S	10,700	48.94	n/a	n/a	321.00	3.0
NWQ INVESTMENT MGMT CO	084	NP	B	8,655	30.08	n/a	22-Feb	302.93	0.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>OXY</b>	<b>B</b>	<b>4,000</b>	<b>83.44</b>	<b>n/a</b>	<b>n/a</b>	<b>160.00</b>	<b>4.0</b>
CR INTRINSIC/CHRIS C	041	PPG	B	5,000	141.46	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	QCOM	B	880	65.62	n/a	n/a	35.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	SBUX	B	3,000	57.59	n/a	11-Mar	120.00	0.0
LEVIN CAPITAL STRATEGIES	041	SHOO	S	9,700	44.95	n/a	n/a	291.00	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>SHOO</b>	<b>B</b>	<b>700</b>	<b>45.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>SHOO</b>	<b>S</b>	<b>700</b>	<b>44.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	TGT	B	655	66.75	n/a	13-Mar	26.20	4.0
BESSEMER INVESTMENT	085	TMO	B	700	77.00	n/a	n/a	28.00	4.0
COHE & STEERS	041	TOL	B	12,000	34.27	n/a	n/a	480.00	0.0
SCOPUS FUND	041	TSLA	S	150,615	35.49	n/a	n/a	6,024.60	4.0
ALTIMETER CAPITAL MGMT.	029	UAL	B	173,400	30.89	n/a	12-Mar	5,202.00	3.0
BESSEMER INVESTMENT	085	UNH	B	800	54.61	n/a	n/a	32.00	4.0
BESSEMER INVESTMENT	085	VIAB	B	330	63.27	n/a	n/a	13.20	4.0
BESSEMER INVESTMENT	085	WAG	B	1,460	42.46	n/a	n/a	58.40	4.0
BESSEMER INVESTMENT	085	WM	B	895	37.20	n/a	n/a	35.80	4.0
NOKOMIS PARTNERS	031	WWW	SS	11,000	44.44	n/a	n/a	330.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	820	73.39	n/a	n/a	32.80	4.0

---

**TOTAL (Trade Date):**

**37,303.18**

---

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/12	RIVERPARK CAPITAL (RIVP602118)	025	COH	B	5,358	49.69	n/a	27-Feb	267.90 5.0
AO,CXL	03/12	RIVERPARK CAPITAL (RIVP602985)	025	COH	B	7,386	49.69	n/a	27-Feb	0.00 0.0
AO,CRT	03/12	RIVERPARK CAPITAL (RIVP602985)	025	COH	B	7,386	49.69	n/a	27-Feb	369.30 5.0
AO,CRT	03/12	RIVERPARK CAPITAL (RIVPBBHLGF)	025	COH	B	5,358	49.69	n/a	27-Feb	267.90 5.0
CRT	03/15	EGS ASSOCIATES LP (EGASBANC O)	091	LULU	SS	6,500	68.55	n/a	15-Mar	325.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>694.30</b>

TOTAL (Trade Date) :	37,303.18
TOTAL (AO, CXL, CRT) :	694.30

<b>TOTAL (RUN DATE) / NFS :</b>	<b>37,997.48</b>
---------------------------------	------------------

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