



Daily Compliance Activity Report

Trade Date: 02/20/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AIG	B	100	37.95	n/a	n/a	5.00	5.0
SENATOR INVESTMENT GROUP	036	AIG	S	240,111	38.15	n/a	n/a	7,203.33	3.0
WOOSTER CAPITAL	044	ALV	SS	10,000	69.50	n/a	1-Feb	400.00	4.0
ADAGE CAPITAL MGMT	030	ANF	B	100,000	51.73	n/a	n/a	3,000.00	3.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	65,000	51.68	n/a	n/a	1,950.00	3.0
NEUBERGER BERMAN	036	BECN	B	19,392	38.35	n/a	n/a	775.68	0.0
NEUBERGER BERMAN	036	BKU	B	13,608	27.81	n/a	n/a	544.32	0.0
NEUBERGER BERMAN	036	BOH	B	13,315	49.16	n/a	n/a	532.60	0.0
NEUBERGER BERMAN	036	BOKF	B	6,808	58.66	n/a	n/a	272.32	0.0
NEUBERGER BERMAN	036	BRKL	B	29,900	9.21	n/a	n/a	1,196.00	0.0
CASTLEROCK	040	CAKE	SS	2,300	33.46	n/a	20-Feb	92.00	0.0
NEUBERGER BERMAN	036	CBU	B	17,095	29.03	n/a	n/a	683.80	0.0
MACELLUM CAPITAL	086	DECK	B	25,000	43.26	n/a	n/a	750.00	0.0
ROTHSCHILD ASSET	040	DFT	S	25,947	23.00	n/a	n/a	1,037.88	0.0
BESSEMER INVESTMENT	085	DG	B	495	44.05	n/a	12-Dec	19.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAM ADVISORS LLC	041	DO	SS	23,600	73.60	n/a	n/a	708.00	0.0
CASTLEROCK	040	DRI	SS	3,000	45.41	n/a	20-Feb	120.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DRI	SS	25,000	45.42	n/a	20-Feb	750.00	3.0
BESSEMER INVESTMENT	085	DTE	B	115	64.94	n/a	n/a	4.60	4.0
BESSEMER INVESTMENT	085	EXC	B	160	30.55	n/a	n/a	6.40	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	B	50,600	34.41	n/a	20-Feb	1,518.00	3.0
NEUBERGER BERMAN	036	FNB	B	48,700	11.82	n/a	n/a	1,948.00	0.0
BESSEMER INVESTMENT	085	GD	B	115	66.88	n/a	17-Jan	4.60	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	GES	SS	25,000	28.44	n/a	20-Feb	750.00	3.0
KENNEDY CAPITAL	046	GIII	S	13,698	36.93	n/a	n/a	547.92	0.0
GOLD SACHS SPECIAL SIT	030	GM	B	27,123	27.33	n/a	19-Feb	1,356.15	5.0
TRELLUS PARTNERS LP	028	GM	B	23,000	27.27	n/a	19-Feb	690.00	0.0
DELTEC ASSET MGMT.	040	GPI	S	4,900	61.70	n/a	20-Feb	245.00	5.0
THREE G	041	GPS	SS	91,978	32.54	n/a	n/a	2,759.34	0.0
BASSWOOD PARTNERS	267	GS	S	23,560	157.10	n/a	7-Feb	942.40	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HNZ	B	93,500	72.16	n/a	n/a	3,740.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.			
ARSENAL ASSET MANAGEMENT	028	HUBB	B	2,500	94.71	n/a	n/a	100.00	0.0		
BESSEMER INVESTMENT	085	IBM	B	95	200.55	n/a	n/a	3.80	4.0		
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	40.38	n/a	20-Feb	2,500.00	5.0		
MOORE CAPITAL	041	IP	B	50,000	41.00	n/a	20-Feb	1,500.00	0.0		
THREE G	041	JCP	SS	49,864	20.26	n/a	20-Feb	1,495.92	0.0		
BESSEMER INVESTMENT	085	JNJ	B	210	76.89	n/a	n/a	8.40	4.0		
ROSEDALE CAPITAL	046	KEG	S	22,700	8.98	n/a	31-Jan	681.00	3.0		
S.A.C. CAPITAL	044	KLAC	SS	10,000	54.88	n/a	n/a	300.00	3.0		
GUGGENHEIM GLOBAL TRADING (GGT)	251	LBTYA	B	5,000	64.53		n/a	n/a	200.00	4.0	
NEUBERGER BERMAN	036	LDR	S	2,772	58.42	n/a	n/a	110.88	0.0		
SPARTAN	093	LMNX	S	10,000	17.26	n/a	n/a	300.00	3.0		
TUDOR INVESTORS	028	LULU	B	25,000	70.43	n/a	20-Feb	750.00	3.0		
BESSEMER INVESTMENT	085	MRO	B	440	35.17	n/a	n/a	17.60	4.0		
BESSEMER INVESTMENT	085	MSFT	B	475	27.95	n/a	n/a	19.00	4.0		
NUVEEN - US BANCORP		030	MTX	S	7,421	41.69		n/a	n/a	333.95	0.0
BESSEMER INVESTMENT	085	M	B	405	40.06	n/a	20-Feb	16.20	4.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	M	B	20,000	39.50	n/a	20-Feb	600.00	3.0
BESSEMER INVESTMENT	085	NLSN	B	345	32.63	n/a	n/a	13.80	4.0
FIRST NEW YORK	086	NOK	B	20,000	3.86	n/a	n/a	800.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NTSP	B	54,855	15.83	n/a	n/a	1,645.65	3.0
FARALLON CAP MGMT	040	OMX	B	230,000	11.79	n/a	n/a	6,900.00	3.0
NORTHWESTERN MUTUAL LIFE	047	PBI	B	56,700	13.49	n/a	n/a	2,268.00	0.0
MERRILL ASSET/BLACKROCK	297	PL	B	7,000	33.38	n/a	n/a	280.00	0.0
DECADE CAPITAL CHRIS C	041	PPG	SS	7,400	134.26	n/a	n/a	296.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	265	65.51	n/a	n/a	10.60	4.0
LEVIN CAPITAL STRATEGIES	041	ROST	SS	15,150	58.69	n/a	20-Feb	454.50	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	ROST	S	10,000	58.67	n/a	20-Feb	300.00	3.0
PATTEN & PATTEN	025	TEVA	S	100	38.36	n/a	13-Feb	5.00	5.0
NEUBERGER BERMAN	036	TISI	B	12,099	44.56	n/a	n/a	483.96	0.0
LEVIN CAPITAL STRATEGIES	041	TJX	SS	15,150	44.38	n/a	20-Feb	454.50	0.0
BESSEMER INVESTMENT	085	TMO	B	265	73.02	n/a	n/a	10.60	4.0
NEUBERGER BERMAN	036	TYL	B	14,927	55.84	n/a	n/a	597.08	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	UAL	B	81,700	26.04	n/a	19-Feb	3,268.00	0.0
BESSEMER INVESTMENT	085	UNH	B	310	55.59	n/a	n/a	12.40	4.0
DECADE CAPITAL CHRIS C	041	VAL	B	16,200	61.71	n/a	n/a	648.00	0.0
SCOPUS FUND	041	VFC	SS	15,000	161.94	n/a	20-Feb	600.00	0.0
BESSEMER INVESTMENT	085	WAG	B	545	41.89	n/a	n/a	21.80	4.0
ARSENAL ASSET MANAGEMENT	028	WCC	B	800	76.07	n/a	n/a	32.00	0.0
ELM RIDGE ADVISORS	044	WFT	B	90,000	12.94	n/a	n/a	3,600.00	0.0
KAM ADVISORS LLC	041	WLL	SS	23,000	49.39	n/a	n/a	690.00	0.0
BESSEMER INVESTMENT	085	WM	B	315	36.65	n/a	n/a	12.60	4.0
BESSEMER INVESTMENT	085	ZMH	B	290	75.97	n/a	n/a	11.60	4.0
TOTAL (Trade Date) :								66,905.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/20	ROSEDALE CAPITAL (ROSEJPM)	046	KEG	S	22,700	8.98	n/a	31-Jan	681.00 3.0
AO,CXL	02/14	PALESTRA (PALECS)	040	MDLZ	S	51,840	26.80	n/a	n/a	1555.20 0.0
AO,	02/14	PALESTRA (PALECS)	040	MDLZ	S	100,000	26.80	n/a	n/a	3000.00 0.0
AO,CXL	02/14	PALESTRA (PALEGS)	040	MDLZ	S	48,160	26.80	n/a	n/a	1444.80 3.0
TOTAL (AO, CXL, CRT) :										681.00

TOTAL (Trade Date) :	66,905.98
TOTAL (AO, CXL, CRT) :	681.00

TOTAL (RUN DATE) / NFS :	67,586.98
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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