



## Daily Compliance Activity Report

Trade Date: 10/23/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	350	524.33	n/a	n/a	14.00	0.0
BESSEMER INVESTMENT	085	AAPL	S	5	522.81	n/a	n/a	0.20	0.0
ACK ASSET	028	ABG	SS	19,000	49.79	n/a	19-Jun	570.00	0.0
BESSEMER INVESTMENT	085	ACE	B	565	96.27	n/a	n/a	22.60	0.0
BESSEMER INVESTMENT	085	ACE	S	50	96.23	n/a	n/a	2.00	0.0
BESSEMER INVESTMENT	085	ACN	B	330	73.78	n/a	n/a	13.20	0.0
BESSEMER INVESTMENT	085	ACN	S	35	73.63	n/a	n/a	1.40	0.0
BESSEMER INVESTMENT	085	AET	B	630	62.35	n/a	n/a	25.20	0.0
BESSEMER INVESTMENT	085	AET	S	55	62.46	n/a	n/a	2.20	0.0
BESSEMER INVESTMENT	085	AHONY	S	10	18.98	n/a	n/a	0.40	0.0
BESSEMER INVESTMENT	085	AIG	B	685	51.85	n/a	n/a	27.40	0.0
BESSEMER INVESTMENT	085	AIG	S	65	51.62	n/a	n/a	2.60	0.0
COHE & STEERS	041	ARCP	B	78,163	13.09	n/a	n/a	2,344.89	0.0
DC CAPITAL	044	ATI	S	100,000	32.90	n/a	11-Jun	4,000.00	0.0
BESSEMER INVESTMENT	085	AVGO	S	25	44.92	n/a	n/a	1.00	0.0
BESSEMER INVESTMENT	085	AWK	B	1,530	42.42	n/a	n/a	61.20	0.0
RIVERPARK CAPITAL	025	AXP	B	51,000	80.41	n/a	19-Jun	2,550.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	BRCM	S	15,000	25.34	n/a	n/a	600.00	0.0
BADGE CAPITAL	030	CAKE	SS	1,500	42.75	n/a	25-Apr	45.00	0.0
BTG PACTUAL	040	CAKE	B	25,000	42.59	n/a	25-Apr	750.00	0.0
TUDOR INVESTORS	028	CAT	S	5,000	83.63	n/a	11-Jul	150.00	0.0
PROSPECTOR PARTNERS LLC	036	CCE	S	10,000	42.38	n/a	n/a	400.00	0.0
STELLIAM INV ADV	086	CIEN	B	29,000	27.14	n/a	n/a	1,160.00	0.0
BESSEMER INVESTMENT	085	COH	S	1,050	48.68	n/a	30-May	42.00	0.0
BESSEMER INVESTMENT	085	COP	B	260	72.36	n/a	n/a	10.40	0.0
BESSEMER INVESTMENT	085	COP	S	45	72.08	n/a	n/a	1.80	0.0
BESSEMER INVESTMENT	085	CTL	B	1,895	33.42	n/a	n/a	75.80	0.0
BESSEMER INVESTMENT	085	CTL	S	60	33.35	n/a	n/a	2.40	0.0
BESSEMER INVESTMENT	085	CVS	B	630	61.44	n/a	n/a	25.20	0.0
BESSEMER INVESTMENT	085	CVS	S	65	61.13	n/a	n/a	2.60	0.0
EPOCH INV MGMT	030	CY	B	31,500	9.08	n/a	n/a	945.00	0.0
BESSEMER INVESTMENT	085	C	B	715	50.15	n/a	17-Jun	28.60	0.0
BESSEMER INVESTMENT	085	C	S	70	50.28	n/a	17-Jun	2.80	0.0
BESSEMER INVESTMENT	085	DG	B	900	58.93	n/a	4-Jun	36.00	0.0
BESSEMER INVESTMENT	085	DG	S	60	58.78	n/a	4-Jun	2.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OSKIE CAPITAL MGMT	224	DG	B	5,000	59.08	n/a	4-Jun	250.00	0.0
BESSEMER INVESTMENT	085	DTE	S	60	68.76	n/a	n/a	2.40	0.0
PROSPECTOR PARTNERS LLC	036	DWA	S	10,000	28.84	n/a	n/a	400.00	0.0
PROSPECTOR PARTNERS LLC	036	ENR	S	3,000	96.49	n/a	17-Jun	120.00	0.0
OSKIE CAPITAL MGMT	224	ESRX	S	15,000	63.93	n/a	n/a	750.00	0.0
TUDOR INVESTORS	028	ETN	S	10,000	67.48	n/a	12-Jun	300.00	0.0
KEYGROUP/KGLT	040	FCX	SS	25,000	36.35	n/a	n/a	1,000.00	0.0
CORTEX CAPITAL	031	FOX	S	20,000	34.66	n/a	n/a	600.00	0.0
TUDOR INVESTORS	028	F	B	50,000	17.48	n/a	19-Jun	1,500.00	0.0
CHILTON CAPITAL MGMT	031	GLW	S	51,960	17.13	n/a	n/a	2,078.40	0.0
TUDOR INVESTORS	028	GM	S	20,000	34.70	n/a	19-Jun	600.00	0.0
TUDOR INVESTORS	028	GWR	S	10,000	100.08	n/a	n/a	300.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	938	27.07	n/a	n/a	28.14	0.0
TUDOR INVESTORS	028	HON	B	5,000	86.25	n/a	19-Apr	150.00	0.0
BESSEMER INVESTMENT	085	IBM	B	280	175.75	n/a	n/a	11.20	0.0
BESSEMER INVESTMENT	085	IBM	S	20	175.37	n/a	n/a	0.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
ALLIANZ/NICOLAS APPLEGATE	084	IPG	S	28,400	15.49		n/a	n/a	994.00	0.0
BESSEMER INVESTMENT	085	ITW	B	605	78.44	n/a	n/a	24.20	0.0	
DAVIDSON KEMPNER FRAN	028	IYR	B	7,749	67.46	n/a	n/a	387.45	0.0	
GLG PARTNERS	280	IYR	B	64,558	67.46	n/a	n/a	3,227.90	0.0	
TROUBH PART	070	JCP	B	20,000	6.70	n/a	18-Jun	1,000.00	0.0	
LONG OAR GLOBAL	040	KBH	B	40,000	17.73	n/a	n/a	1,600.00	0.0	
BESSEMER INVESTMENT	085	KEY	B	505	12.63	n/a	n/a	20.20	0.0	
SANDLER O'NEILL ASSET	031	LAZ	S	4,274	38.11	n/a	6-May	213.70	0.0	
TUDOR INVESTORS	028	LII	S	5,000	77.43	n/a	n/a	150.00	0.0	
BESSEMER INVESTMENT	085	LO	B	3,425	49.26	n/a	n/a	137.00	0.0	
COOPER CREEK PART	028	LPX	B	7,643	17.87	n/a	19-Jun	305.72	0.0	
BESSEMER INVESTMENT	085	LTD	B	545	60.91	n/a	n/a	21.80	0.0	
BESSEMER INVESTMENT	085	LTD	S	30	61.03	n/a	n/a	1.20	0.0	
BESSEMER INVESTMENT	085	MBLX	S	3,375	1.11	n/a	n/a	135.00	0.0	
SENATOR INVESTMENT GROUP	287	MDLZ	S	328,000	33.18	n/a	n/a	9,840.00	0.0	
BESSEMER INVESTMENT	085	MRO	B	330	34.88	n/a	n/a	13.20	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MRO	S	5	34.57	n/a	n/a	0.20	0.0
BESSEMER INVESTMENT	085	MSFT	S	4,880	34.09	n/a	n/a	195.20	0.0
KORTRIGHT CAPITAL PARTNERS	025	MWV	S	15,000	38.55	n/a	18-Jun	450.00	0.0
LEVIN CAPITAL STRATEGIES	041	MW	B	65,000	44.85	n/a	n/a	1,950.00	0.0
BESSEMER INVESTMENT	085	M	B	995	44.51	n/a	18-Jun	39.80	0.0
BESSEMER INVESTMENT	085	M	S	90	44.23	n/a	18-Jun	3.60	0.0
CORTEX CAPITAL	031	M	S	20,000	44.15	n/a	18-Jun	600.00	0.0
BESSEMER INVESTMENT	085	NLSN	B	1,185	38.27	n/a	n/a	47.40	0.0
BESSEMER INVESTMENT	085	NLSN	S	10	37.77	n/a	n/a	0.40	0.0
BESSEMER INVESTMENT	085	PFE	B	2,065	30.62	n/a	n/a	82.60	0.0
BESSEMER INVESTMENT	085	PFE	S	25	30.72	n/a	n/a	1.00	0.0
TUDOR INVESTORS	028	PH	B	6,000	113.34	n/a	n/a	180.00	0.0
MERRILL ASSET/BLACKROCK	085	PRE	S	9,036	93.90	n/a	n/a	361.44	0.0
MERRILL ASSET/BLACKROCK	085	PRU	S	8,900	80.34	n/a	n/a	356.00	0.0
PROSPECTOR PARTNERS LLC	036	PTP	S	10,000	61.35	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	835	67.02	n/a	n/a	33.40	0.0
BESSEMER INVESTMENT	085	QCOM	S	85	67.27	n/a	n/a	3.40	0.0
SENATOR INVESTMENT GROUP	287	RDSA	B	100,000	67.61	n/a	n/a	3,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIMCO	084	SAVE	S	50,000	41.99	n/a	18-Jun	1,000.00	0.0
DPB CAPITAL	029	SIRI	S	5,000	4.10	n/a	n/a	250.00	0.0
FINDLAY PARK PART	085	STT	B	154,500	66.51	n/a	17-Jun	15,414.01	0.0
LATEEF MGMT	033	SWY	S	1,025	35.73	n/a	n/a	131.00	0.0
BESSEMER INVESTMENT	085	TGT	B	640	64.30	n/a	23-May	25.60	0.0
BESSEMER INVESTMENT	085	TGT	S	65	64.62	n/a	23-May	2.60	0.0
MAIRS AND POWER INV	030	TGT	B	20,000	64.60	n/a	23-May	1,000.00	0.0
BESSEMER INVESTMENT	085	TMO	B	535	97.41	n/a	n/a	21.40	0.0
BESSEMER INVESTMENT	085	TMO	S	60	95.88	n/a	n/a	2.40	0.0
BESSEMER INVESTMENT	085	UNP	B	525	154.79	n/a	n/a	21.00	0.0
TUDOR INVESTORS	028	UNP	B	10,000	154.31	n/a	n/a	300.00	0.0
MERRILL ASSET/BLACKROCK	085	V	S	4,400	198.34	n/a	11-Jun	176.00	0.0
BESSEMER INVESTMENT	085	WAG	S	95	58.57	n/a	n/a	3.80	0.0
KORTRIGHT CAPITAL PARTNERS	025	WY	S	40,000	30.38	n/a	19-Jun	1,200.00	0.0
S.A.C. CAPITAL	044	WY	B	20,000	30.42	n/a	19-Jun	600.00	0.0
MOORE CAPITAL	257	XLF	SS	400,000	20.75	n/a	n/a	12,000.00	0.0
DAVIDSON KEMPNER ADVISOR	281	XOP	C	20,000	69.75	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	360	89.83	n/a	n/a	14.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	ZMH	S	80	89.05	n/a	n/a	3.20	0.0
<b>TOTAL (Trade Date) :</b>								<b>80,550.45</b>	

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) :									80,550.45
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									80,550.45



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