



Daily Compliance Activity Report

Trade Date: 05/03/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	B	170	89.75	n/a	n/a	6.80	0.0
BESSEMER INVESTMENT	085	ACN	B	150	79.61	n/a	n/a	6.00	0.0
BESSEMER INVESTMENT	085	AET	B	435	59.04	n/a	n/a	17.40	0.0
BESSEMER INVESTMENT	085	AIG	B	350	44.48	n/a	n/a	14.00	0.0
ELM RIDGE ADVISORS	044	ALL	S	116,325	48.89	n/a	n/a	4,653.00	0.0
NEW JERSEY DIV OF INV.	030	AMGN	B	50,000	107.28	n/a	n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	APD	B	350	90.00	n/a	n/a	14.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	450	32.07	n/a	n/a	18.00	0.0
TIDE POINT CAPITAL	028	AXLL	S	10,000	52.75	n/a	n/a	300.00	0.0
AH LISANTI	006	AXL	B	33,910	15.39	n/a	3-May	1,695.50	0.0
BTG PACTUAL	040	AXL	S	15,000	14.79	n/a	3-May	450.00	0.0
Õ Nilsa Vazquez		AXL	S	500	15.4020	n/a	3-May	0.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	5,000	15.13	n/a	3-May	200.00	0.0
ROSEDALE CAPITAL	046	AXL	S	20,000	14.51	n/a	3-May	800.00	0.0
TALON ASSET MGMT.	006	AXL	S	25,000	15.30	n/a	3-May	1,250.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	AXL	B	30,000	14.94	n/a	3-May	960.00	0.0
VERITION	028	AXL	S	15,000	14.97	n/a	3-May	450.00	0.0
BESSEMER INVESTMENT	085	COH	B	290	58.74	n/a	24-Apr	11.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	COP	B	315	61.82	n/a	n/a	12.60	0.0
BESSEMER INVESTMENT	085	CTL	B	10	37.09	n/a	n/a	0.40	0.0
BESSEMER INVESTMENT	085	CVS	B	360	58.77	n/a	n/a	14.40	0.0
BESSEMER INVESTMENT	085	C	B	430	47.00	n/a	1-May	17.20	0.0
BESSEMER INVESTMENT	085	DG	B	475	52.49	n/a	26-Mar	19.00	0.0
APEX CAPITAL MGMT.	033	DNR	B	82,200	17.93	n/a	n/a	3,288.00	0.0
BESSEMER INVESTMENT	085	DTE	B	185	72.75	n/a	n/a	7.40	0.0
T. ROWE PRICE	028	DWRE	S	30,704	28.58	n/a	n/a	1,228.16	0.0
CR INTRINSIC/CHRIS C	041	EMR	B	15,000	56.86	n/a	n/a	450.00	0.0
BESSEMER INVESTMENT	085	EXC	B	480	36.08	n/a	n/a	19.20	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	FDO	S	16,425	62.49		n/a 10-Apr	657.00	0.0
CAMBIAR CAP	046	FINL	S	99,000	20.42	n/a	1-May	3,960.00	0.0
OSKIE CAPITAL MGMT	224	FRGI	S	30,000	28.35	n/a	n/a	1,500.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	GES	B	7,200	27.82		n/a 22-Apr	230.41	0.0
BRONSON POINT	036	GM	S	25,000	32.31	n/a	3-May	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	31.82	n/a	3-May	300.00	0.0
BASSWOOD PARTNERS	267	GS	B	7,400	146.53	n/a	16-Apr	296.00	0.0
CAMBIAR CAP	046	HBI	S	125,000	49.38	n/a	3-May	5,000.00	0.0
FEIN	084	HBI	B	50,000	49.71	n/a	3-May	1,500.00	0.0
SONICA CAPITAL LLC	025	HRL	SS	13,100	41.73	n/a	n/a	393.00	0.0
BESSEMER INVESTMENT	085	IBM	B	155	204.90	n/a	n/a	6.20	0.0
MOORE CAPITAL	257	IP	S	50,000	45.97	n/a	2-May	1,500.00	0.0
ENTRUST CAPITAL	040	IRBT	B	18,114	29.59	n/a	n/a	905.70	0.0
BESSEMER INVESTMENT	085	ITW	B	130	65.75	n/a	n/a	5.20	0.0
BTG PACTUAL	040	JBLU	B	2,600	6.81	n/a	26-Apr	78.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	JBLU	B	100,000	6.91	n/a	26-Apr	3,000.00	0.0
PAW PARTNERS	025	JCP	B	25,000	17.05	n/a	30-Apr	1,250.00	0.0
BESSEMER INVESTMENT	085	JNJ	B	135	85.65	n/a	n/a	5.40	0.0
COLUMBIA PARTNERS	028	KFRC	S	1,397	13.20	n/a	n/a	55.88	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	27,000	32.99	n/a	26-Apr	1,350.00	0.0
CAERUS GLOBAL	041	LEA	B	2,500	58.28	n/a	29-Apr	100.00	0.0
BRONSON POINT	036	LEN	S	25,000	42.75	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	LOW	B	260	39.40	n/a	n/a	10.40	0.0
COLUMBIA PARTNERS	028	LPSN	S	579	12.97	n/a	n/a	23.16	0.0
COOPER CREEK PART	028	LPX	SS	10,000	18.12	n/a	3-May	400.00	0.0
COLUMBIA PARTNERS	028	MCC	S	1,122	15.32	n/a	n/a	44.88	0.0
COLUMBIA PARTNERS	028	MDAS	S	1,557	18.19	n/a	n/a	62.28	0.0
COLUMBIA PARTNERS	028	MDC	S	210	37.86	n/a	n/a	8.40	0.0
CENTURION PARTNERS	041	MGM	B	10,000	14.78	n/a	13-Jun	400.00	0.0
BESSEMER INVESTMENT	085	MRO	B	615	33.45	n/a	n/a	24.60	0.0
BESSEMER INVESTMENT	085	MSFT	B	900	33.34	n/a	n/a	36.00	0.0
COLUMBIA PARTNERS	028	MTZ	S	884	30.66	n/a	n/a	35.36	0.0
CORVEX CAPITAL	041	MWV	B	77,000	34.49	n/a	30-Apr	2,310.00	0.0
BESSEMER INVESTMENT	085	M	B	690	46.31	n/a	26-Apr	27.60	0.0
COLUMBIA PARTNERS	028	NICE	S	836	36.20	n/a	n/a	33.44	0.0
BESSEMER INVESTMENT	085	NLSN	B	310	35.60	n/a	n/a	12.40	0.0
COLUMBIA PARTNERS	028	NUS	S	1,101	54.17	n/a	n/a	44.04	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	NXST	S	690	25.36	n/a	n/a	27.60	0.0
COLUMBIA PARTNERS	028	OSIS	S	241	58.30	n/a	n/a	9.64	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	11,000	51.24	n/a	3-May	550.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	PCP	S	2,970	190.45		n/a 11-Apr	118.80	0.0
BESSEMER INVESTMENT	085	PFE	B	470	28.79	n/a	n/a	18.80	0.0
COLUMBIA PARTNERS	028	PIR	S	1,209	23.80	n/a	n/a	48.36	0.0
COLUMBIA PARTNERS	028	PPO	S	326	40.81	n/a	n/a	13.04	0.0
COLUMBIA PARTNERS	028	PSMT	S	175	90.17	n/a	n/a	7.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	425	63.59	n/a	n/a	17.00	0.0
NEW JERSEY DIV OF INV.	030	QCOM	B	20,000	63.54	n/a	n/a	600.00	0.0
COLUMBIA PARTNERS	028	RALY	S	961	18.26	n/a	n/a	38.44	0.0
LOMAS CAPITAL	040	RCL	B	20,000	37.01	n/a	n/a	600.00	0.0
COLUMBIA PARTNERS	028	RGC	S	1,912	18.81	n/a	n/a	76.48	0.0
COLUMBIA PARTNERS	028	SAVE	S	707	27.70	n/a	n/a	28.28	0.0
COLUMBIA PARTNERS	028	SBAC	S	117	79.45	n/a	n/a	4.68	0.0
COLUMBIA PARTNERS	028	SBGI	S	368	27.16	n/a	n/a	14.72	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	SODA	S	1,212	53.85	n/a	n/a	48.48	0.0
COLUMBIA PARTNERS	028	SPF	S	3,140	9.21	n/a	n/a	94.20	0.0
COLUMBIA PARTNERS	028	SPNC	S	954	18.69	n/a	n/a	38.16	0.0
COLUMBIA PARTNERS	028	STNR	S	513	48.75	n/a	n/a	20.52	0.0
COLUMBIA PARTNERS	028	SUSQ	S	243	11.57	n/a	n/a	9.72	0.0
SPARTAN	093	TEAR	B	16,100	8.20	n/a	n/a	483.00	0.0
COLUMBIA PARTNERS	028	TGE	S	3,775	8.80	n/a	n/a	113.25	0.0
BESSEMER INVESTMENT	085	TGT	B	250	70.59	n/a	18-Apr	10.00	0.0
COLUMBIA PARTNERS	028	TIVO	S	1,417	11.89	n/a	n/a	56.68	0.0
BESSEMER INVESTMENT	085	TMO	B	340	81.96	n/a	n/a	13.60	0.0
COLUMBIA PARTNERS	028	TREX	S	265	52.19	n/a	n/a	10.60	0.0
COLUMBIA PARTNERS	028	UBNT	S	972	16.40	n/a	n/a	38.88	0.0
COLUMBIA PARTNERS	028	UNFI	S	563	48.97	n/a	n/a	22.52	0.0
BESSEMER INVESTMENT	085	UNH	B	460	59.29	n/a	n/a	18.40	0.0
COLUMBIA PARTNERS	028	UPIP	S	5,220	1.94	n/a	n/a	52.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	VIAB	B	355	67.67	n/a	n/a	14.20	0.0
COLUMBIA PARTNERS	028	VRA	S	1,262	22.98	n/a	n/a	50.48	0.0
COLUMBIA PARTNERS	028	VRNT	S	282	34.22	n/a	n/a	11.28	0.0
COLUMBIA PARTNERS	028	WAGE	S	573	26.43	n/a	n/a	22.92	0.0
BESSEMER INVESTMENT	085	WAG	B	530	48.36	n/a	n/a	21.20	0.0
1798 CAP/LOMBARD ASSET	040	WBMD	SS	11,900	25.19	n/a	n/a	595.00	0.0
FRONTIER	029	WBMD	B	71,270	25.13	n/a	n/a	2,850.80	0.0
COLUMBIA PARTNERS	028	WCN	S	673	38.02	n/a	n/a	26.92	0.0
COLUMBIA PARTNERS	028	WETF	S	4,772	11.77	n/a	n/a	190.88	0.0
BESSEMER INVESTMENT	085	WM	B	130	41.09	n/a	n/a	5.20	0.0
COLUMBIA PARTNERS	028	WWW	S	1,075	19.38	n/a	n/a	43.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	S	20,000	30.84	n/a	3-May	1,000.00	0.0
KEYGROUP/KGLT	040	XCO	SS	25,000	7.04	n/a	n/a	1,000.00	0.0
KAM ADVISORS LLC	041	XOP	C	38,300	58.77	n/a	n/a	1,149.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	460	76.80	n/a	n/a	18.40	0.0

TOTAL (Trade Date):

54,670.34

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/02	COLUMBUS CIRCLE (COLC3050)	036	BKD	B	5,968	27.97	n/a	n/a	238.72	0.0
AO,CXL	05/01	SAGE ASSET MGMT (SAGEJEFF)	025	BZ	B	35,000	7.63	n/a	n/a	1750.00	0.0
AO,CRT	05/01	SAGE ASSET MGMT (SAGEJEFF)	025	BZ	B	35,000	7.63	n/a	n/a	1400.00	0.0
AO,CXL	05/02	J. GOLDMAN (GOLDGSBULK)	028	F	SS	225,000	13.43	n/a	2-May	11250.00	0.0
AO,CRT	05/02	J. GOLDMAN (GOLDGSBULK)	028	F	SS	225,000	13.43	n/a	2-May	5625.00	0.0
AO,CXL	05/01	MACELLUM CAPITAL (MACEDB)	086	FL	B	58,448	34.77	n/a	1-May	0.00	0.0
AO,CRT	05/01	MACELLUM CAPITAL (MACEDB)	086	FL	B	58,448	34.77	n/a	1-May	1753.44	3.0
AO,CXL	05/01	MACELLUM CAPITAL (MACEBTIG)	086	FL	B	1,552	34.77	n/a	1-May	0.00	0.0
AO,CRT	05/01	MACELLUM CAPITAL (MACEBTIG)	086	FL	B	1,552	34.77	n/a	1-May	46.56	3.0
AO,CXL	05/01	CAERUS GLOBAL (CAERUNION)	041	GM	B	591	31.01	n/a	3-May	0.00	0.0
AO,CRT	05/01	CAERUS GLOBAL (CAERUNION)	041	GM	B	591	31.01	n/a	3-May	23.64	4.0
AO,CXL	05/01	CAERUS GLOBAL (CAERGSMAIN)	041	GM	B	29,409	31.01	n/a	3-May	0.00	0.0
AO,CRT	05/01	CAERUS GLOBAL (CAERGSMAIN)	041	GM	B	29,409	31.01	n/a	3-May	1176.36	4.0
AO,CXL	05/01	LOMAS CAPITAL (LOMAJPM)	040	HD	B	1,536	73.33	n/a	n/a	0.00	0.0
AO,CRT	05/01	LOMAS CAPITAL (LOMAJPM)	040	HD	B	1,536	73.33	n/a	n/a	46.08	3.0
AO,CXL	05/01	LOMAS CAPITAL (LOMACSFB)	040	HD	B	20,564	73.33	n/a	n/a	0.00	0.0
AO,CRT	05/01	LOMAS CAPITAL (LOMACSFB)	040	HD	B	20,564	73.33	n/a	n/a	616.92	3.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSASIC)	036	HSP	B	2,200	32.43	n/a	2-May	0.00	0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSASIC)	036	HSP	B	2,200	32.43	n/a	2-May	88.00	4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSWMI)	036	HSP	B	400	32.43	n/a	2-May	0.00	0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSWMI)	036	HSP	B	400	32.43	n/a	2-May	16.00	4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSSWARTH)	036	HSP	B	600	32.43	n/a	2-May	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSSWARTH)	036	HSP	B	600	32.43	n/a	2-May	24.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSMASHOR)	036	HSP	B	300	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSMASHOR)	036	HSP	B	300	32.43	n/a	2-May	12.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSS94)	036	HSP	B	600	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSS94)	036	HSP	B	600	32.43	n/a	2-May	24.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSWHITNE)	036	HSP	B	600	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSWHITNE)	036	HSP	B	600	32.43	n/a	2-May	24.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSPCAP)	036	HSP	B	300	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSPCAP)	036	HSP	B	300	32.43	n/a	2-May	12.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSMERR)	036	HSP	B	700	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSMERR)	036	HSP	B	700	32.43	n/a	2-May	28.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSS93)	036	HSP	B	3,000	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSS93)	036	HSP	B	3,000	32.43	n/a	2-May	120.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSPENSIO)	036	HSP	B	600	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSPENSIO)	036	HSP	B	600	32.43	n/a	2-May	24.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSFULLYM)	036	HSP	B	300	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSFULLYM)	036	HSP	B	300	32.43	n/a	2-May	12.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSEQUITY)	036	HSP	B	400	32.43	n/a	2-May	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSEQUITY)	036	HSP	B	400	32.43	n/a	2-May	16.00 4.0
AO,CXL	05/01	GATOR CAPITAL MGMT LLC (GATOINTB)	093	KKR	B	3,475	20.83	n/a	n/a	0.00 0.0
AO,CRT	05/01	GATOR CAPITAL MGMT LLC (GATOINTB)	093	KKR	B	3,475	20.83	n/a	n/a	104.25 3.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSWTMAME)	036	MMC	B	8,700	37.90	n/a	n/a	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSWTMAME)	036	MMC	B	8,700	37.90	n/a	n/a	348.00 4.0
AO,CXL	05/01	PROSPECTOR PARTNERS LLC (PROSDELOS)	036	MMC	B	1,300	37.90	n/a	n/a	0.00 0.0
AO,CRT	05/01	PROSPECTOR PARTNERS LLC (PROSDELOS)	036	MMC	B	1,300	37.90	n/a	n/a	52.00 4.0
AO,CXL	05/01	GATOR CAPITAL MGMT LLC (GATOINTB)	093	MS	B	2,360	21.70	n/a	18-Apr	0.00 0.0
AO,CRT	05/01	GATOR CAPITAL MGMT LLC (GATOINTB)	093	MS	B	2,360	21.70	n/a	18-Apr	70.80 3.0

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AO,CXL	05/01	CSFB GLOBAL PROPRIETARY (CSFBGLOBA)	041	MWV	B	15,000	33.97	n/a	30-Apr	0.00 0.0
AO,CRT	05/01	CSFB GLOBAL PROPRIETARY (CSFBGLOBA)	041	MWV	B	15,000	33.97	n/a	30-Apr	750.00 5.0
AO,CXL	05/01	CAPITAL GROWTH MGMT. (CAPG4845)	241	PHM	B	50,000	20.77	n/a	n/a	0.00 0.0
AO,CRT	05/01	CAPITAL GROWTH MGMT. (CAPG4845)	241	PHM	B	50,000	20.77	n/a	n/a	2500.00 5.0
AO,CXL	05/01	PIMCO (PIMCSS)	084	UAL	S	110,000	31.78	n/a	26-Apr	0.00 0.0
AO,CRT	05/01	PIMCO (PIMCSS)	084	UAL	S	110,000	31.78	n/a	26-Apr	2200.00 0.0
AO,CXL	05/01	SAGE ASSET MGMT (SAGEJEFF)	025	VLO	S	6,900	38.84	n/a	n/a	0.00 0.0
AO,CRT	05/01	SAGE ASSET MGMT (SAGEJEFF)	025	VLO	S	6,900	38.84	n/a	n/a	345.00 5.0
AO,CXL	05/02	SCOPUS FUND (SCOPCS)	041	VLO	B	2,070	36.54	n/a	n/a	82.80 0.0
AO,CRT	05/02	SCOPUS FUND (SCOPUBS)	041	VLO	B	2,070	36.54	n/a	n/a	82.80 0.0

TOTAL (AO, CXL, CRT) :	4,696.77
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TOTAL (Trade Date) :	54,670.34
TOTAL (AO, CXL, CRT) :	4,696.77

TOTAL (RUN DATE) / NFS:	59,367.11
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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