



## Daily Compliance Activity Report

Trade Date: 09/09/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	26	506.83	n/a	n/a	1.04	0.0
LATEEF MGMT	033	AAPL	S	25	506.16	n/a	n/a	22.50	0.0
BESSEMER INVESTMENT	085	ACE	B	206	89.34	n/a	n/a	8.24	0.0
BESSEMER INVESTMENT	085	ACN	B	148	73.48	n/a	n/a	5.92	0.0
BESSEMER INVESTMENT	085	AET	B	259	64.97	n/a	n/a	10.36	0.0
BADGE CAPITAL	030	AGG	SS	500	105.52	n/a	n/a	15.00	0.0
BESSEMER INVESTMENT	085	AIG	B	271	49.04	n/a	n/a	10.84	0.0
CORTEX CAPITAL	031	ALK	S	40,000	58.50	n/a	n/a	1,200.00	0.0
NOKOMIS PARTNERS	031	ALK	B	8,000	58.21	n/a	n/a	240.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	499	38.67	n/a	n/a	19.96	0.0
BESSEMER INVESTMENT	085	AWK	B	441	39.39	n/a	n/a	17.64	0.0
MAPLE ROW	006	AXL	B	5,000	20.23	n/a	19-Jun	150.00	0.0
BADGE CAPITAL	030	BKW	SS	1,000	19.81	n/a	17-Jun	30.00	0.0
BERYLSON CAPITAL	030	BONT	B	400	10.99	n/a	18-Jun	12.00	0.0
DSM CAPITAL PARTNERS	085	BRO	B	10,795	31.95	n/a	n/a	539.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	085	CAKE	S	5,570	42.21	n/a	25-Apr	278.50	0.0
BADGE CAPITAL	030	CAT	SS	500	85.50	n/a	11-Jul	15.00	0.0
FINDLAY PARK PART	085	CHD	B	48,000	57.75	n/a	17-Jun	4,158.33	0.0
LATEEF MGMT	033	CMCSK	S	300	41.02	n/a	n/a	36.00	0.0
BESSEMER INVESTMENT	085	COH	B	239	53.45	n/a	30-May	9.56	0.0
BESSEMER INVESTMENT	085	COP	B	202	68.76	n/a	n/a	8.08	0.0
BADGE CAPITAL	030	CST	SS	1,000	29.58	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	CTL	B	268	32.02	n/a	n/a	10.72	0.0
BESSEMER INVESTMENT	085	CVS	B	244	58.59	n/a	n/a	9.76	0.0
BESSEMER INVESTMENT	085	C	B	284	49.92	n/a	17-Jun	11.36	0.0
BADGE CAPITAL	030	DE	SS	500	84.00	n/a	11-Jul	15.00	0.0
BESSEMER INVESTMENT	085	DG	B	474	57.35	n/a	4-Jun	18.96	0.0
DSM CAPITAL PARTNERS	085	DLTR	B	2,950	53.60	n/a	4-Jun	147.50	0.0
FRED ALGER MGMT	070	DNR	B	90,300	17.88	n/a	n/a	3,250.80	0.0
SCOGGIN LLC	041	DOLE	S	184,000	13.59	n/a	n/a	9,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	DRE	B	600	14.83	n/a	n/a	60.00	0.0
FIFTH THIRD BANK/FREEMAN	047	EEM	B	11,600	41.09	n/a	n/a	580.00	0.0
BADGE CAPITAL	030	EFC	B	1,000	21.55	n/a	n/a	30.00	0.0
COLUMBIA PARTNERS	028	EMC	B	38,128	26.60	n/a	26-Feb	1,525.12	0.0
BADGE CAPITAL	030	EQR	S	700	53.26	n/a	n/a	21.00	0.0
TROUBH PART	070	GE	B	25,000	23.42	n/a	n/a	1,250.00	0.0
COHE & STEERS	041	GGP	S	160,874	19.40	n/a	n/a	4,826.22	0.0
LATEEF MGMT	033	GSPRD	B	500	19.98	n/a	n/a	50.00	0.0
FRED ALGER MGMT	070	HOG	B	66,000	62.81	n/a	n/a	2,376.00	0.0
BESSEMER INVESTMENT	085	IBM	B	97	184.53	n/a	n/a	3.88	0.0
MOORE CAPITAL	257	IP	S	50,000	49.15	n/a	17-Jun	1,500.00	0.0
BESSEMER INVESTMENT	085	ITW	B	140	73.67	n/a	n/a	5.60	0.0
CASTLEROCK	040	JCP	B	53,049	14.50	n/a	18-Jun	2,121.96	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	35,727	86.29	n/a	n/a	1,429.08	0.0
BASSWOOD PARTNERS	267	KMI	SS	18,651	36.21	n/a	n/a	746.04	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	K	B	250	60.14	n/a	n/a	42.50	0.0
ROYCE TRADING	031	LAZ	B	8,200	36.85	n/a	6-May	410.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	14,813	36.80	n/a	6-May	740.65	0.0
BESSEMER INVESTMENT	085	LTD	B	243	57.49	n/a	n/a	9.72	0.0
OZ MGMT	040	MCD	B	45,000	96.44	n/a	17-Jun	1,350.00	0.0
BADGE CAPITAL	030	MIC	B	600	52.77	n/a	n/a	18.00	0.0
BADGE CAPITAL	030	MPW	B	1,000	12.09	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	MRO	B	445	36.32	n/a	n/a	17.80	0.0
LATEEF MGMT	033	MSFT	B	500	31.46	n/a	n/a	50.00	0.0
BADGE CAPITAL	030	MWV	B	700	37.41	n/a	18-Jun	21.00	0.0
BESSEMER INVESTMENT	085	M	B	412	45.45	n/a	18-Jun	16.48	0.0
BADGE CAPITAL	030	NFG	B	500	65.69	n/a	n/a	15.00	0.0
PRIMECAP MGMT	084	NKTR	B	5,000	13.33	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	NLSN	B	454	35.20	n/a	n/a	18.16	0.0
LATEEF MGMT	033	OI	B	500	30.12	n/a	n/a	50.00	0.0
BADGE CAPITAL	030	OLN	B	1,000	22.84	n/a	n/a	30.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BADGE CAPITAL	030	PDI	B	800	27.72	n/a	n/a	24.00	0.0
BADGE CAPITAL	030	PFE	B	1,000	28.14	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	PFE	B	798	28.14	n/a	n/a	31.92	0.0
LATEEF MGMT	033	PG	B	150	77.76	n/a	17-Jun	30.00	0.0
BADGE CAPITAL	030	QCOM	B	1,000	68.46	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	317	68.86	n/a	n/a	12.68	0.0
CADIAN CAPITAL	041	RCL	B	55,000	37.28	n/a	n/a	1,650.00	0.0
BADGE CAPITAL	030	RHP	B	500	34.36	n/a	n/a	15.00	0.0
BADGE CAPITAL	030	RMD	SS	500	50.25	n/a	n/a	15.00	0.0
BADGE CAPITAL	030	SIX	B	800	33.55	n/a	n/a	24.00	0.0
LATEEF MGMT	033	SPLS	B	500	14.19	n/a	n/a	50.00	0.0
T. ROWE PRICE	243	SUPX	S	10,500	24.11	n/a	n/a	420.00	0.0
BADGE CAPITAL	030	SYX	SS	1,000	32.14	n/a	n/a	30.00	0.0
MAPLE ROW	006	TER	B	5,000	16.01	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	TGT	B	272	63.79	n/a	23-May	10.88	0.0
LATEEF MGMT	033	TGT	B	350	63.78	n/a	23-May	52.50	0.0
BESSEMER INVESTMENT	085	TMO	B	216	91.06	n/a	n/a	8.64	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	070	TOL	S	97,921	31.78	n/a	n/a	3,525.16	0.0
BESSEMER INVESTMENT	085	UNP	B	58	155.79	n/a	n/a	2.32	0.0
WAGONHOUND/NICOLAS	033	URI	B	15,321	58.42	n/a	17-Apr	612.84	0.0
BESSEMER INVESTMENT	085	VIAB	B	310	80.51	n/a	n/a	12.40	0.0
BADGE CAPITAL	030	VZ	SS	800	46.00	n/a	n/a	24.00	0.0
BESSEMER INVESTMENT	085	WAG	B	387	49.92	n/a	n/a	15.48	0.0
BADGE CAPITAL	030	WFC	B	500	41.01	n/a	6-Jun	15.00	0.0
CADIAN CAPITAL	041	WFM	C	9,000	54.88	n/a	n/a	270.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	15,725	11.03	n/a	n/a	471.75	0.0
MAPLE ROW	006	XHB	B	5,000	29.16	n/a	n/a	150.00	0.0
FARALLON CAP MGMT	040	YHOO	S	45,953	29.28	n/a	n/a	1,378.59	0.0
DSM CAPITAL PARTNERS	085	YY	B	4,135	46.58	n/a	n/a	206.75	0.0
BESSEMER INVESTMENT	085	ZMH	B	298	80.60	n/a	n/a	11.92	0.0
<b>TOTAL (Trade Date) :</b>								<b>48,307.86</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	AA	SS	125,000	7.92	n/a	n/a	6250.00 0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	AA	SS	125,000	7.92	n/a	n/a	3750.00 3.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	BK	B	50,000	30.55	n/a	6-Jun	2500.00 0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	BK	B	50,000	30.55	n/a	6-Jun	1500.00 3.0
AO,	09/06	ACK ASSET (ACKAMS)	028	BKD	B	118,910	25.27	n/a	n/a	3567.30 0.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCGOLDPB)	041	CAB	SS	19,676	63.36	n/a	n/a	983.80 0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCGOLDPB)	041	CAB	SS	19,676	63.36	n/a	n/a	590.28 3.0
AO,	09/06	CAERUS GLOBAL (CAERJPMCNS)	041	GM	S	8,900	36.26	n/a	19-Jun	356.00 0.0
AO,	09/06	CAERUS GLOBAL (CAERUNION)	041	GM	S	1,300	36.26	n/a	19-Jun	52.00 0.0
AO,CXL	09/06	CAERUS GLOBAL (CAERGSMAN)	041	GM	S	46,800	36.26	n/a	19-Jun	1872.00 0.0
AO,	09/06	CAERUS GLOBAL (CAERGSMAN)	041	GM	S	36,600	36.26	n/a	19-Jun	1464.00 0.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	GM	B	25,000	36.46	n/a	19-Jun	1250.00 0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	GM	B	25,000	36.46	n/a	19-Jun	750.00 3.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	GS	B	12,500	157.20	n/a	6-May	625.00 0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	GS	B	12,500	157.20	n/a	6-May	375.00 3.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	ICE	B	2,550	179.00	n/a	n/a	127.50 0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	ICE	B	2,550	179.00	n/a	n/a	76.50 3.0
AO,CXL	09/06	DC CAPITAL (DCCAGOLDMA)	044	LCC	B	20,000	17.00	n/a	18-Jun	800.00 0.0
AO,	09/06	DELTEC ASSET MGMT. (DELTPEPSPB)	040	LCC	B	20,000	17.00	n/a	18-Jun	1000.00 0.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	MU	SS	25,000	15.19	n/a	n/a	1250.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	MU	SS	25,000	15.19	n/a	n/a	750.00 3.0
AO,	09/06	ACK ASSET (ACKAMS)	028	SAEX	S	129,144	9.92	n/a	n/a	3874.32 0.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCGOLDPB)	041	TPX	B	24,654	42.20	n/a	n/a	1232.70 0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCGOLDPB)	041	TPX	B	24,654	42.20	n/a	n/a	739.62 3.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	TRIP	SS	16,550	74.43	n/a	n/a	827.50 0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	TRIP	SS	16,550	74.43	n/a	n/a	496.50 3.0
AO,	09/06	EDGEWOOD (EDGE10237)	085	WY	B	20,000	28.40	n/a	19-Jun	600.00 0.0
AO,CXL	09/06	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS) 040	040	WY	B	50,000	28.50	n/a	19-Jun	1500.00 0.0
AO,	09/06	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS) 040	040	WY	B	30,000	28.58	n/a	19-Jun	900.00 0.0

**TOTAL (AO, CXL, CRT) :** **1,623.02**

TOTAL (Trade Date) : 48,307.86

TOTAL (AO, CXL, CRT) : 1,623.02

**TOTAL (RUN DATE) / NFS:** **49,930.88**



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