

Daily Compliance Activity Report Trade Date: 11/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					1011		MAZILIGI	Heibt vio	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
BESSEMER INVESTMENT	085	AAPL	В	65	524.15	n/a	n/a	2.60	0.0
BESSEMER INVESTMENT	085	ACE	В	250	102.37	n/a	n/a	10.00	0.0
BESSEMER INVESTMENT	085	ACN	В	170	77.14	n/a	n/a	6.80	0.0
CADIAN CAPITAL	041	AEO	С	20,000	16.20	n/a	2-Dec	600.00	0.0
BESSEMER INVESTMENT	085	AET	В	300	68.59	n/a	n/a	12.00	0.0
BESSEMER INVESTMENT	085	AIG	В	320	49.81	n/a	n/a	12.80	0.0
FORTRESS INVESTMENT (US)	036	ALV	В	22,500	92.15	n/a	19-Jun	900.00	0.0
DC CAPITAL	044	ARO	S	25 , 000	10.41	n/a	n/a	1,000.00	0.0
BESSEMER INVESTMENT	085	AVGO	В	460	43.66	n/a	n/a	18.40	0.0
BESSEMER INVESTMENT	085	AWK	В	700	42.14	n/a	n/a	28.00	0.0
UNITED STATES PENSION	085	ВА	S	43,492	134.00	n/a	11-Jun	1,739.68	0.0
BASSWOOD PARTNERS	267	BK	S	55 , 395	33.87	n/a	6-Jun	2,215.80	0.0
KENNEDY CAPITAL	046	CATO	S	14,820	34.10	n/a	n/a	592.80	0.0
MOORE CAPITAL	257	CAT	С	20,000	84.77	n/a	11-Jul	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
LATEEF MGMT	033	CBL	В	150	18.22	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	CMI	В	65	130.69	n/a	n/a	2.60	0.0
BESSEMER INVESTMENT	085	COP	В	240	72.82	n/a	n/a	9.60	0.0
BADGE CAPITAL	030	СРВ	SS	2,000	39.10	n/a	n/a	70.00	0.0
DC CAPITAL	044	CROX	S	40,000	13.37	n/a	n/a	1,600.00	0.0
BESSEMER INVESTMENT	085	CTL	В	320	30.65	n/a	n/a	12.80	0.0
BESSEMER INVESTMENT	085	CVS	В	300	66.68	n/a	n/a	12.00	0.0
LATEEF MGMT	033	CVS	S	100	66.73	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	С	В	330	53.29	n/a	17-Jun	13.20	0.0
BRANDWINE	028	DDS	В	8,940	91.73	n/a	n/a	357.60	0.0
J. GOLDMAN	028	DE	В	35,000	84.73	n/a	11-Jul	1,400.00	0.0
BESSEMER INVESTMENT	085	DG	В	440	58.39	n/a	4-Jun	17.60	0.0
BADGE CAPITAL	030	EAT	В	1,550	47.62	n/a	13-May	54.25	0.0
SANDLER CAPITAL	028	EMR	S	125,000	67.49	n/a	n/a	6,250.00	0.0
LATEEF MGMT	033	GE	S	125	26.77	n/a	n/a	31.25	0.0
PATTEN & PATTEN	025	GLD	S	300	120.42	n/a	n/a	15.00	0.0

Account	RR #	Symbol	B/S	Shares	Price		MRI	Research	Comm.	¢/Shr.	
PEAK INV/OAKMONT/CYPRESS	084	GM	В	250,000	37.64		n/a	19-Jun	10,000.00	0.0	
ROSEDALE CAPITAL	046	GM	В	15,000	37.54		n/a	19-Jun	600.00	0.0	
CORTEX CAPITAL	031	GNTX	SS	20,000	29.54		n/a	19-Jun	600.00	0.0	
INTERVAL PARTNERS	033	GPS	SS	15,000	41.20		n/a	n/a	450.00	0.0	
MACELLUM CAPITAL	086	GPS	В	69,000	41.17		n/a	n/a	2,070.00	0.0	
LATEEF MGMT	033	GSPRD	В	250	19.16		n/a	n/a	25.00	0.0	
CR INTRINIC INVESTMENT	044	GT	S	50,000	22.11		n/a	n/a	1,500.00	0.0	
HAWK RIDGE	025	НМНС	В	16,674	16.23		n/a	n/a	500.22	0.0	
COLUMBUS CIRCLE	036	IACI	S	2,062	55.92		n/a	n/a	82.48	0.0	
BESSEMER INVESTMENT	085	IBM	В	120	178.99		n/a	n/a	4.80	0.0	
CORTEX CAPITAL	031	IBM	SS	4,000	179.96		n/a	n/a	120.00	0.0	
FORTRESS INVESTMENT (US)	036	INGERSOLL	-RAND PL	СВ	9,205	55.12		n/a	n/a	368.20	0.0
TUDOR INVESTORS	028	IR	S	5,000	69.08		n/a	19-Jun	150.00	0.0	
BESSEMER INVESTMENT	085	ITW	В	260	79.36		n/a	n/a	10.40	0.0	
LATEEF MGMT	033	JCI	S	150	50.39		n/a	10-Jun	30.00	0.0	
SCOPUS FUND	041	JCP	В	40,000	9.29		n/a	18-Jun	1,600.00	0.0	
BESSEMER INVESTMENT	085	KEY	В	675	12.98		n/a	n/a	27.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
LATEEF MGMT	033	KR	S	125	42.52	n/a	n/a	31.25	0.0
CASTLE ARK	031	LECO	S	30,000	71.26	n/a	n/a	1,200.00	0.0
BESSEMER INVESTMENT	085	LO	В	250	52.27	n/a	n/a	10.00	0.0
KORTRIGHT CAPITAL PARTNER	S025	LPX	В	50,000	15.79	n/a	19-Jun	2,500.00	0.0
BESSEMER INVESTMENT	085	LTD	В	310	64.30	n/a	n/a	12.40	0.0
PENNANT CAP MGMT	250	MDP	В	50,000	52.88	n/a	n/a	1,500.00	0.0
KENNEDY CAPITAL	046	MGAM	В	9,881	28.74	n/a	n/a	395.24	0.0
BESSEMER INVESTMENT	085	MRO	В	320	36.94	n/a	n/a	12.80	0.0
LATEEF MGMT	033	MSFT	S	200	37.64	n/a	n/a	60.00	0.0
BESSEMER INVESTMENT	085	MS	В	300	31.61	n/a	6-Jun	12.00	0.0
BESSEMER INVESTMENT	085	MYL	В	725	44.31	n/a	17-Jun	29.00	0.0
BESSEMER INVESTMENT	085	М	В	490	52.21	n/a	18-Jun	19.60	0.0
METROPOLITAN CAPITAL	044	M	S	14,817	51.54	n/a	18-Jun	740.85	0.0
				,		,			
LATEEF MGMT	033	NEM	В	250	25.49	n/a	n/a	32.50	0.0
BESSEMER INVESTMENT	085	NLSN	В	280	42.01	n/a	n/a	11.20	0.0
PATTEN & PATTEN	025	NOK	В	10,000	8.10	n/a	n/a	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATTEN	025	NSC	S	200	87.22	n/a	n/a	10.00	0.0
LATEEF MGMT	033	NYCB	S	175	16.50	n/a	24-Apr	18.75	0.0
LATEEF MGMT	033	OI	S	125	33.01	n/a	n/a	31.25	0.0
CADIAN CAPITAL	041	PETM	SS	14,000	74.00	n/a	n/a	420.00	0.0
EATON VANCE MGMT	029	PFE	S	748,165	32.29	n/a	n/a	22,444.95	0.0
BESSEMER INVESTMENT	085	QCOM	В	370	72.38	n/a	n/a	14.80	0.0
SAC CHRIS C	041	STJ	В	75 , 000	58.63	n/a	n/a	2,250.00	0.0
UNITED STATES PENSION	085	STT	S	135,000	72.66	n/a	17-Jun	5,400.00	0.0
KLEINHEINZ CAP PART	031	SWN	В	50,000	39.38	n/a	13-Jun	2,500.00	0.0
BESSEMER INVESTMENT	085	TGT	В	310	63.66	n/a	23-May	12.40	0.0
BESSEMER INVESTMENT	085	TMO	В	250	102.13	n/a	n/a	10.00	0.0
LATEEF MGMT	033	UAL	S	225	39.91	n/a	18-Jun	56.25	0.0
BESSEMER INVESTMENT	085	UNP	В	140	162.24	n/a	n/a	5.60	0.0
SAC CHRIS C	041	VAR	SS	21,408	75.87	n/a	n/a	642.24	0.0
SEVEN LOCKS CAPITAL	025	VOLC	В	65,200	21.97	n/a	n/a	1,956.00	0.0
	PATTEN & PATTEN LATEEF MGMT LATEEF MGMT CADIAN CAPITAL EATON VANCE MGMT BESSEMER INVESTMENT SAC CHRIS C UNITED STATES PENSION KLEINHEINZ CAP PART BESSEMER INVESTMENT BESSEMER INVESTMENT LATEEF MGMT BESSEMER INVESTMENT SAC CHRIS C	PATTEN & PATTEN 025 LATEEF MGMT 033 LATEEF MGMT 033 CADIAN CAPITAL 041 EATON VANCE MGMT 029 BESSEMER INVESTMENT 085 SAC CHRIS C 041 UNITED STATES PENSION 085 KLEINHEINZ CAP PART 031 BESSEMER INVESTMENT 085 BESSEMER INVESTMENT 085 LATEEF MGMT 033 BESSEMER INVESTMENT 085 SAC CHRIS C 041	PATTEN & PATTEN 025 NSC LATEEF MGMT 033 NYCB LATEEF MGMT 033 OI CADIAN CAPITAL 041 PETM EATON VANCE MGMT 029 PFE BESSEMER INVESTMENT 085 QCOM SAC CHRIS C 041 STJ UNITED STATES PENSION 085 STT KLEINHEINZ CAP PART 031 SWN BESSEMER INVESTMENT 085 TGT BESSEMER INVESTMENT 085 TMO LATEEF MGMT 033 UAL BESSEMER INVESTMENT 085 UNP SAC CHRIS C 041 VAR	PATTEN & PATTEN LATEEF MGMT LATEEF MGMT O33 NYCB S LATEEF MGMT O33 OI S CADIAN CAPITAL O41 PETM SS EATON VANCE MGMT O29 PFE S BESSEMER INVESTMENT O85 QCOM B SAC CHRIS C O41 STJ B UNITED STATES PENSION O85 KLEINHEINZ CAP PART O31 SWN B BESSEMER INVESTMENT O85 TGT B BESSEMER INVESTMENT O85 TMO B LATEEF MGMT O33 UAL S BESSEMER INVESTMENT O85 UNP B SAC CHRIS C O41 VAR SS	PATTEN & PATTEN 025 NSC S 200 LATEEF MGMT 033 NYCB S 175 LATEEF MGMT 033 OI S 125 CADIAN CAPITAL 041 PETM SS 14,000 EATON VANCE MGMT 029 PFE S 748,165 BESSEMER INVESTMENT 085 QCOM B 370 SAC CHRIS C 041 STJ B 75,000 UNITED STATES PENSION 085 STT S 135,000 KLEINHEINZ CAP PART 031 SWN B 50,000 BESSEMER INVESTMENT 085 TGT B 310 BESSEMER INVESTMENT 085 TMO B 250 LATEEF MGMT 033 UAL S 225 BESSEMER INVESTMENT 085 UNP B 140 SAC CHRIS C 041 VAR SS 21,408	PATTEN & PATTEN 025 NSC S 200 87.22 LATEEF MGMT 033 NYCB S 175 16.50 LATEEF MGMT 033 OI S 125 33.01 CADIAN CAPITAL 041 PETM SS 14,000 74.00 EATON VANCE MGMT 029 PFE S 748,165 32.29 BESSEMER INVESTMENT 085 QCOM B 370 72.38 SAC CHRIS C 041 STJ B 75,000 58.63 UNITED STATES PENSION 085 STT S 135,000 72.66 KLEINHEINZ CAP PART 031 SWN B 50,000 39.38 BESSEMER INVESTMENT 085 TGT B 310 63.66 BESSEMER INVESTMENT 085 TMO B 250 102.13 LATEEF MGMT 033 UAL S 225 39.91 BESSEMER INVESTMENT 085 UNP B 140 162.24 SAC CHRIS C 041 VAR SS 21,408 75.87	PATTEN & PATTEN	PATTEN & PATTEN 025 NSC S 200 87.22	PATTEN & PATTEN

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
PENNANT CAP MGMT	250	VPRT	В	38,000	57.37	n/a	n/a	1,140.00 0.0
BESSEMER INVESTMENT	085	WAG	В	240	59.97	n/a	n/a	9.60 0.0
MADISON ST PARTNERS LLC	046	WFC	S	17,500	44.46	n/a	6-Jun	875.00 0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	В	25,000	80.34	n/a	16-May	750.00 0.0
BESSEMER INVESTMENT	085	ZMH	В	360	89.82	n/a	n/a	14.40 0.0

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	11/22	MACELLUM CAPITAL (MACEDB)	086	ANF	В	61,409	33.74	n/a	n/a	1842.27	0.0
AO,CXL	11/22	MACELLUM CAPITAL (MACEBTIG)	086	ANF	В	63,000	33.74	n/a	n/a	1890.00	0.0
AO,	11/22	MACELLUM CAPITAL (MACEBTIG)	086	ANF	В	1,591	33.74	n/a	n/a	47.73	0.0
AO,CXL	11/22	BMO / M&I FUNDS (MIFDMAIN)	086	ARO	В	12,900	10.29	n/a	n/a	516.00	0.0
AO,	11/22	BMO / M&I FUNDS (MIFD993022)	047	ARO	В	12,900	10.29	n/a	n/a	516.00	0.0
AO,	11/22	MACELLUM CAPITAL (MACEDB)	086	FL	В	122,817	38.38	n/a	19-Jun	3684.51	0.0
AO,CXL	11/22	MACELLUM CAPITAL (MACEBTIG)	086	FL	В	36,000	38.47	n/a	19-Jun	1080.00	0.0
AO,CXL	11/22	MACELLUM CAPITAL (MACEBTIG)	086	FL	В	90,000	38.35	n/a	19-Jun	2700.00	0.0
AO,	11/22	MACELLUM CAPITAL (MACEBTIG)	086	FL	В	3,183	38.38	n/a	19-Jun	95.49	0.0
AO, CRT	11/22	CAERUS GLOBAL (CAERUNION)	041	GM	В	205	37.96	n/a	19-Jun	8.20	0.0
AO,CXL	11/22	CAERUS GLOBAL (CAERUBSPB)	041	GM	В	205	37.96	n/a	19-Jun	8.20	0.0
AO,CXL	11/22	COUGAR TRADING (COUGPB MS)	044	JBLU	В	25,000	9.14	n/a	18-Jun	1250.00	0.0
AO,	11/22	COUGAR TRADING (COUGPB MS)	044	JBLU	В	25 , 000	9.14	n/a	18-Jun	1000.00	0.0
AO,	11/22	MACELLUM CAPITAL (MACEBTIG)	086	ROST	SS	1,330	74.41	n/a	18-Jun	39.90	0.0
AO,	11/22	MACELLUM CAPITAL (MACEDB)	086	ROST	SS	30,734	74.41	n/a	18-Jun	922.02	0.0
AO,CXL	11/22	MACELLUM CAPITAL (MACEBTIG)	086	ROST	SS	32,064	74.41	n/a	18-Jun	961.92	0.0

TOTAL (AO, CXL, CRT): -250.00

TOTAL (Trade Date): 81,410.96

TOTAL (AO, CXL, CRT):

-250.00

TOTAL (RUN DATE) / NFS:

81,160.96

Legend:

O: 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