



Daily Compliance Activity Report

Trade Date: 06/28/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	AAPL	S	516	394.30	n/a	n/a	25.80	0.0
BESSEMER INVESTMENT	085	ACE	B	330	89.91	n/a	n/a	13.20	0.0
BESSEMER INVESTMENT	085	ACN	B	220	71.83	n/a	n/a	8.80	0.0
KINGDON ASSET MGMT	041	AEO	B	25,000	18.19	n/a	2-Dec	1,000.00	0.0
BESSEMER INVESTMENT	085	AET	B	20	64.02	n/a	n/a	0.80	0.0
FOCUSED INVESTORS	084	AET	B	3,200	63.54	n/a	n/a	128.00	0.0
BAIRD INVESTMENT	047	AGN	S	4,625	85.28	n/a	17-Jun	231.25	0.0
BESSEMER INVESTMENT	085	AIG	B	420	44.88	n/a	n/a	16.80	0.0
INTERVAL PARTNERS	033	ANN	B	10,000	33.17	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	APD	B	105	92.09	n/a	n/a	4.20	0.0
INTERVAL PARTNERS	033	ARO	B	25,000	13.76	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	595	37.49	n/a	n/a	23.80	0.0
BESSEMER INVESTMENT	085	AWK	B	555	41.62	n/a	n/a	22.20	0.0
ROSEDALE CAPITAL	046	AXL	S	5,000	19.11	n/a	19-Jun	250.00	0.0
FOCUSED INVESTORS	084	AXP	B	6,900	74.71	n/a	19-Jun	276.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FOCUSED INVESTORS	084	BDX	B	2,200	98.85	n/a	n/a	88.00	0.0
MERRILL ASSET/BLACKROCK	085	BMR	B	55,365	20.23	n/a	n/a	2,214.60	0.0
RIVERLOFT CAPITAL	044	BYD	S	30,000	11.30	n/a	n/a	900.00	0.0
THREE G	041	CBS	S	59,426	49.24	n/a	n/a	1,782.78	0.0
BESSEMER INVESTMENT	085	COH	B	355	57.68	n/a	30-May	14.20	0.0
BESSEMER INVESTMENT	085	COP	B	305	60.71	n/a	n/a	12.20	0.0
BESSEMER INVESTMENT	085	CTL	B	395	35.61	n/a	n/a	15.80	0.0
BESSEMER INVESTMENT	085	CVS	B	365	57.67	n/a	n/a	14.60	0.0
FOCUSED INVESTORS	084	CVS	B	6,300	56.81	n/a	n/a	252.00	0.0
BESSEMER INVESTMENT	085	C	B	430	48.08	n/a	17-Jun	17.20	0.0
KINGDON ASSET MGMT	041	C	S	25,000	48.22	n/a	17-Jun	1,000.00	0.0
BRONSON POINT	036	DAN	S	50,000	19.58	n/a	19-Jun	1,500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	DELL	B	50,000	13.36		n/a n/a	1,500.00	0.0
FOCUSED INVESTORS	084	DEO	B	9,200	114.57	n/a	n/a	368.00	0.0
BESSEMER INVESTMENT	085	DG	B	760	51.07	n/a	4-Jun	30.40	0.0
THREE G	041	DG	S	16,072	51.19	n/a	4-Jun	482.16	0.0
BALYASNY ASSET MGMT	044	DKS	C	25,000	50.11	n/a	19-Jun	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	DTE	B	190	67.09	n/a	n/a	7.60	0.0
MADISON ST PARTNERS LLC	046	EWZ	S	35,000	43.70	n/a	n/a	1,750.00	0.0
GALT INVESTMENT	041	EXPR	S	10,000	21.05	n/a	n/a	500.00	0.0
IRIDIAN ASSET MGMT.	036	FMC	B	46,390	61.61	n/a	8-Dec	2,319.50	0.0
IRMA	036	FMC	B	300	61.61	n/a	8-Dec	15.00	0.0
BESSEMER INVESTMENT	085	F	S	5,000	15.61	n/a	19-Jun	200.00	0.0
FOCUSED INVESTORS	084	GS	B	2,000	151.78	n/a	6-May	80.00	0.0
BESSEMER INVESTMENT	085	IBM	B	175	191.53	n/a	n/a	7.00	0.0
FOCUSED INVESTORS	084	IBM	B	2,100	190.43	n/a	n/a	84.00	0.0
BESSEMER INVESTMENT	085	INTC	S	400	24.13	n/a	n/a	16.00	0.0
BESSEMER INVESTMENT	085	ITW	B	240	69.37	n/a	n/a	9.60	0.0
BTG PACTUAL	040	JBLU	S	25,000	6.51	n/a	18-Jun	750.00	0.0
CENTURION PARTNERS	041	JBLU	B	40,000	6.28	n/a	18-Jun	1,600.00	0.0
BALYASNY ASSET MGMT	044	JCP	S	50,000	17.06	n/a	18-Jun	2,500.00	0.0
KINGDON ASSET MGMT	041	JCP	S	30,000	16.89	n/a	18-Jun	1,200.00	0.0
FOCUSED INVESTORS	084	JNJ	B	4,600	86.12	n/a	n/a	184.00	0.0
FOCUSED INVESTORS	084	JPM	B	6,300	52.85	n/a	17-Jun	252.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FOCUSED INVESTORS	084	KO	B	9,900	40.27	n/a	17-Jun	396.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	14.96	n/a	19-Jun	5,000.00	0.0
PATRIOT STRATEGY PARTNERS	036	LPX	B	10,000	15.21	n/a	19-Jun	400.00	0.0
SCOPUS FUND	041	LPX	B	15,000	15.18	n/a	19-Jun	600.00	0.0
FOCUSED INVESTORS	084	MCD	B	5,200	99.55	n/a	17-Jun	208.00	0.0
FOCUSED INVESTORS	084	MMM	B	2,200	109.71	n/a	n/a	88.00	0.0
BESSEMER INVESTMENT	085	MRO	B	675	35.03	n/a	n/a	27.00	0.0
BESSEMER INVESTMENT	085	MSFT	B	935	34.75	n/a	n/a	37.40	0.0
FOCUSED INVESTORS	084	MSFT	B	14,100	34.51	n/a	n/a	564.00	0.0
FOCUSED INVESTORS	084	MS	B	7,700	24.51	n/a	6-Jun	308.00	0.0
BESSEMER INVESTMENT	085	M	B	595	48.38	n/a	18-Jun	23.80	0.0
FOCUSED INVESTORS	084	NKE	B	4,200	60.42	n/a	19-Jun	168.00	0.0
BESSEMER INVESTMENT	085	NLSN	B	680	33.84	n/a	n/a	27.20	0.0
MERRILL ASSET/BLACKROCK	085	NWBI	B	92,000	13.50	n/a	n/a	3,680.00	0.0
THREE G	041	NWSA	S	88,712	32.64	n/a	n/a	2,661.36	0.0
BESSEMER INVESTMENT	085	ORCL	S	300	30.61	n/a	n/a	12.00	0.0
FOCUSED INVESTORS	084	PEP	B	6,300	82.06	n/a	n/a	252.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	PFE	B	1,170	28.21	n/a	n/a	46.80	0.0
FOCUSED INVESTORS	084	PFE	B	8,400	28.17	n/a	n/a	336.00	0.0
FOCUSED INVESTORS	084	PG	B	3,100	77.39	n/a	17-Jun	124.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	475	61.38	n/a	n/a	19.00	0.0
BESSEMER INVESTMENT	085	QCOM	S	35	61.51	n/a	n/a	1.40	0.0
PRIMECAP MGMT	084	QGEN	B	5,000	19.65	n/a	n/a	200.00	0.0
GALT INVESTMENT	041	SCSS	S	30,000	25.34	n/a	n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	SLB	S	30	71.99	n/a	n/a	1.20	0.0
SCOPUS FUND	041	SSI	B	25,000	23.71	n/a	18-Jun	1,000.00	0.0
BESSEMER INVESTMENT	085	TGT	B	350	68.83	n/a	23-May	14.00	0.0
FOCUSED INVESTORS	084	TGT	B	6,100	69.15	n/a	23-May	244.00	0.0
BESSEMER INVESTMENT	085	TMO	B	335	85.12	n/a	n/a	13.40	0.0
DW INVESTMENT MGMT.	041	TMUS	S	25,000	24.80	n/a	n/a	750.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	TWTC	B	50,000	28.29	n/a	n/a	1,500.00	0.0
MARSICO CAPITAL	046	UA	SS	9,200	59.15	n/a	19-Jun	368.00	0.0
SCOPUS FUND	041	UA	SS	800	59.15	n/a	19-Jun	32.00	0.0
ARDSLEY PARTNERS	280	UGL	B	10,000	43.94	n/a	n/a	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UNH	B	445	65.93	n/a	n/a	17.80	0.0
FOCUSED INVESTORS	084	UNH	B	3,600	65.65	n/a	n/a	144.00	0.0
MARCATO CAPITAL MGMT.	029	URI	B	175,000	50.25	n/a	17-Apr	7,000.00	0.0
BESSEMER INVESTMENT	085	VIAB	B	485	68.42	n/a	n/a	19.40	0.0
BESSEMER INVESTMENT	085	WAG	B	610	44.54	n/a	n/a	24.40	0.0
FOCUSED INVESTORS	084	WFC	B	7,500	41.44	n/a	6-Jun	300.00	0.0
FOCUSED INVESTORS	084	WLP	B	3,800	81.50	n/a	n/a	152.00	0.0
FOCUSED INVESTORS	084	WMT	B	8,200	75.49	n/a	16-May	328.00	0.0
KINGDON ASSET MGMT	041	WMT	B	25,000	75.49	n/a	16-May	1,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	28.15	n/a	19-Jun	1,250.00	0.0
FEDERATED INV/KAUFMAN	029	WY	B	250,000	28.30	n/a	19-Jun	12,500.00	0.0
SCHOTTENFELD ASSOC	041	WY	B	10,000	28.10	n/a	19-Jun	300.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	465	75.23	n/a	n/a	18.60	0.0
FOCUSED INVESTORS	084	ZMH	B	2,300	75.00	n/a	n/a	92.00	0.0
TOTAL (Trade Date) :								70,216.25	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/26	PEAK INV/OAKMONT/CYPRESS (PEAKOAKUST)	084	FAF	S	99,800	21.37	n/a	n/a	3992.00 0.0
AO,	06/26	PEAK INV/OAKMONT/CYPRESS (PEAKOAKUST)	084	FAF	S	53,200	21.37	n/a	n/a	2128.00 0.0
AO,CXL	06/26	PEAK INV/OAKMONT/CYPRESS (PEAKOAKSTS)	084	FAF	S	53,200	21.37	n/a	n/a	2128.00 0.0
AO,	06/26	PEAK INV/OAKMONT/CYPRESS (PEAKOAKSTS)	084	FAF	S	99,800	21.37	n/a	n/a	3992.00 0.0
AO,CXL	06/27	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	3.85	n/a	n/a	1000.00 0.0
AO,	06/27	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	3.85	n/a	n/a	800.00 0.0

TOTAL (AO, CXL, CRT) :	-200.00
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TOTAL (Trade Date) :	70,216.25
TOTAL (AO, CXL, CRT) :	-200.00

TOTAL (RUN DATE) / NFS :	70,016.25
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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