



Daily Compliance Activity Report

Trade Date: 08/02/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ May Tang		AAPL	S	35461.7400		n/a	n/a	0.00	0.0
Õ May Tang		AAPL	S	65461.6100		n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ACE	B	565	91.77	n/a	n/a	22.60	0.0
BESSEMER INVESTMENT	085	ACN	B	390	74.42	n/a	n/a	15.60	0.0
BRONSON POINT	036	ADM	S	25,000	36.96	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	AET	B	690	63.45	n/a	n/a	27.60	0.0
BESSEMER INVESTMENT	085	AIG	B	695	48.32	n/a	n/a	27.80	0.0
STRONG/MARK GRONET	030	ALK	S	8,000	63.10	n/a	n/a	320.00	0.0
BRONSON POINT	036	ATI	B	25,000	27.70	n/a	11-Jun	750.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	1,100	37.39	n/a	n/a	44.00	0.0
BESSEMER INVESTMENT	085	AWK	B	1,050	42.92	n/a	n/a	42.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	S	28,000	20.69	n/a	19-Jun	1,120.00	0.0
ROSEDALE CAPITAL	046	AXL	S	5,000	21.01	n/a	19-Jun	200.00	0.0
SCOPUS FUND	041	AXL	B	23,797	20.49	n/a	19-Jun	951.88	0.0
PATTEN & PATTEN	025	AXP	B	120	75.62	n/a	19-Jun	6.00	0.0
BESSEMER INVESTMENT	085	COH	B	995	53.40	n/a	30-May	39.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	COP	B	710	67.00	n/a	n/a	28.40	0.0
TUDOR INVESTORS	028	CSX	SS	5,000	25.99	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	CTL	B	980	36.07	n/a	n/a	39.20	0.0
BESSEMER INVESTMENT	085	CVE	S	600	29.50	n/a	n/a	24.00	0.0
PATTEN & PATTEN	025	CVE	S	250	29.66	n/a	n/a	12.50	0.0
BESSEMER INVESTMENT	085	CVS	B	505	62.10	n/a	n/a	20.20	0.0
BESSEMER INVESTMENT	085	C	B	700	52.96	n/a	17-Jun	28.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		DELL	B	50,000	13.61		n/a	1,500.00	0.0
PROVIDENCE EQUITY CAP. MKTS. 040		DELL	S	40,000	13.62		n/a	1,200.00	0.0
BESSEMER INVESTMENT	085	DG	B	630	55.50	n/a	4-Jun	25.20	0.0
CASTLEROCK	040	EAT	SS	2,000	43.40	n/a	13-May	80.00	0.0
BESSEMER INVESTMENT	085	ECA	S	600	17.45	n/a	n/a	24.00	0.0
PATTEN & PATTEN	025	ECA	S	150	17.47	n/a	n/a	7.50	0.0
BESSEMER INVESTMENT	085	EPD	S	800	62.13	n/a	n/a	32.00	0.0
PAULSON & CO INC	041	FDO	B	90,000	70.00	n/a	4-Jun	2,700.00	0.0
HAWKEYE CAPITAL	087	FINL	S	45,000	22.64	n/a	19-Jun	1,350.00	0.0
KENNEDY CAPITAL	046	FINL	B	39,180	22.64	n/a	19-Jun	1,567.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	FOE	B	31,750	6.98	n/a	n/a	1,270.00	0.0
S.A.C. CAPITAL	044	FOSL	B	40,000	114.26	n/a	n/a	1,200.00	0.0
BESSEMER INVESTMENT	085	HCA	S	600	39.02	n/a	n/a	24.00	0.0
BESSEMER INVESTMENT	085	IBM	B	250	194.16	n/a	n/a	10.00	0.0
BESSEMER INVESTMENT	085	ITW	B	350	74.29	n/a	n/a	14.00	0.0
S.A.C. CAPITAL	044	ITW	B	10,000	74.31	n/a	n/a	300.00	0.0
MARCATO CAPITAL MGMT.	029	IWM	S	60,000	105.06	n/a	n/a	2,400.00	0.0
S.A.C. CAPITAL	044	JCI	B	15,000	41.23	n/a	10-Jun	450.00	0.0
PARKWEST	084	JCP	B	25,000	14.21	n/a	18-Jun	1,000.00	0.0
BESSEMER INVESTMENT	085	KMX	S	500	49.01	n/a	n/a	20.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LAMR	B	1,788	44.15		n/a	n/a	53.64 0.0
PRIMECAP MGMT	084	LLY	S	3,000	53.80	n/a	n/a	120.00	0.0
BESSEMER INVESTMENT	085	LTD	B	645	58.28	n/a	n/a	25.80	0.0
PATTEN & PATTEN	025	MOO	S	100	50.20	n/a	n/a	5.00	0.0
BESSEMER INVESTMENT	085	MRO	B	945	37.43	n/a	n/a	37.80	0.0
BESSEMER INVESTMENT	085	MSFT	B	1,875	31.79	n/a	n/a	75.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	MSFT	S	200	31.77	n/a	n/a	10.00	0.0
PROSPECTOR PARTNERS LLC	036	MUR	S	5,000	71.47	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	M	B	1,405	49.44	n/a	18-Jun	56.20	0.0
BESSEMER INVESTMENT	085	NLSN	B	1,495	33.74	n/a	n/a	59.80	0.0
BESSEMER INVESTMENT	085	NYX	S	1,289	42.47	n/a	n/a	51.56	0.0
BESSEMER INVESTMENT	085	PFE	B	2,645	29.30	n/a	n/a	105.80	0.0
FIFTH THIRD BANK/FREEMAN	047	PMF	S	15,000	12.38	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	PVR	S	400	25.86	n/a	n/a	16.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	790	66.17	n/a	n/a	31.60	0.0
FRONTIER	029	SD	B	310,760	5.64	n/a	n/a	9,322.80	0.0
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	1,400	75.67	n/a	17-Jun	42.00	0.0
COLUMBUS CIRCLE	036	SREV	B	57,300	12.09	n/a	n/a	2,292.00	0.0
PATTEN & PATTEN	025	TBT	B	100	76.41	n/a	n/a	5.00	0.0
PROSPECTOR PARTNERS LLC	036	TE	S	10,000	17.60	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	TGT	B	645	71.44	n/a	23-May	25.80	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TIVO	S	70,000	11.02	n/a	n/a	2,100.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	TMO	B	740	91.83	n/a	n/a	29.60	0.0
BESSEMER INVESTMENT	085	UAL	S	600	34.94	n/a	18-Jun	24.00	0.0
BESSEMER INVESTMENT	085	VIAB	B	805	79.29	n/a	n/a	32.20	0.0
PATTEN & PATTEN	025	VNQ	B	150	69.21	n/a	n/a	7.50	0.0
BESSEMER INVESTMENT	085	WAG	B	1,005	50.94	n/a	n/a	40.20	0.0
HOLLIS CAPITAL	033	WFT	B	10,000	14.40	n/a	n/a	500.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	78.61	n/a	16-May	750.00	0.0
TOTAL (Trade Date) :								36,812.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNMLCO)	031	IWM	B	5,744	103.98	n/a	n/a	79.47 0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNMLCO)	031	IWM	B	5,744	103.98	n/a	n/a	172.32 0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNCSSE)	031	IWM	B	12,344	103.98	n/a	n/a	184.71 0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNCSSE)	031	IWM	B	12,344	103.98	n/a	n/a	370.32 0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNMSCO)	031	IWM	B	3,612	103.98	n/a	n/a	108.36 0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNMSCO)	031	IWM	B	3,612	103.98	n/a	n/a	108.36 0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNGS)	031	IWM	B	1,433	103.98	n/a	n/a	42.99 0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNGS)	031	IWM	B	1,433	103.98	n/a	n/a	42.99 0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNDB)	031	IWM	B	15,138	103.98	n/a	n/a	299.46 0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNDB)	031	IWM	B	15,138	103.98	n/a	n/a	454.14 0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNCITI)	031	IWM	B	9,729	103.98	n/a	n/a	725.01 0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNCITI)	031	IWM	B	9,729	103.98	n/a	n/a	291.87 0.0
AO,CXL	08/01	HARVEST MGMT (JMP) (HARVGSCO)	029	JCP	SS	20,000	14.87	n/a	18-Jun	1000.00 0.0
AO,	08/01	HARVEST MGMT (JMP) (HARVGSCO)	029	JCP	SS	20,000	14.87	n/a	18-Jun	800.00 0.0
AO,CXL	08/01	MAPLE ROW (MAPWGS)	006	MAS	S	9,500	21.06	n/a	n/a	475.00 0.0
AO,	08/01	MAPLE ROW (MAPWGS)	006	MAS	S	9,500	21.06	n/a	n/a	285.00 0.0
AO,CXL	08/01	ROARING BLUE LION MGMT (ROARGSBTIG)	031	QCOM	B	3,500	64.97	n/a	n/a	140.00 0.0
AO,	08/01	ROARING BLUE LION MGMT (ROARGSBTIG)	031	QCOM	B	8,500	64.97	n/a	n/a	340.00 0.0
AO,CXL	08/01	ROARING BLUE LION MGMT (ROARMAIN)	031	QCOM	B	47,500	64.97	n/a	n/a	2040.00 0.0
AO,	08/01	ROARING BLUE LION MGMT (ROARMAIN)	031	QCOM	B	42,500	64.97	n/a	n/a	2040.00 0.0
AO,CXL	08/01	ENTRUST CAPITAL (ENTRMORGAN)	040	SNY	B	1,849	51.00	n/a	n/a	92.45 0.0
AO,CXL	08/01	ENTRUST CAPITAL (ENTRMORGAN)	040	SNY	B	1,573	50.82	n/a	n/a	78.65 0.0
AO,	08/01	ENTRUST CAPITAL (ENTRMORGAN)	040	SNY	B	1,849	51.00	n/a	n/a	92.45 0.0
AO,	08/01	ENTRUST CAPITAL (ENTRMORGAN)	040	SNY	B	1,573	50.82	n/a	n/a	78.65 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	SNY	B	16,438	51.00	n/a	n/a	821.90 0.0
AO,CXL	08/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	SNY	B	6,581	50.82	n/a	n/a	329.05 0.0
AO,	08/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	SNY	B	16,438	51.00	n/a	n/a	821.90 0.0
AO,	08/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	SNY	B	6,581	50.82	n/a	n/a	329.05 0.0

TOTAL (AO, CXL, CRT) :	-190.00
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TOTAL (Trade Date):	36,812.78
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TOTAL (RUN DATE) / NFS:	36,622.78
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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