



Daily Compliance Activity Report

Trade Date: 11/01/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	85	519.38	n/a	n/a	3.40	0.0
PIONEER OAKRIDGE	031	AAPL	S	120	518.65	n/a	n/a	3.60	0.0
SAC CHRIS C	041	ABT	B	150,000	36.84	n/a	n/a	4,500.00	0.0
BESSEMER INVESTMENT	085	ACE	B	284	95.99	n/a	n/a	11.36	0.0
BESSEMER INVESTMENT	085	ACN	B	249	73.03	n/a	n/a	9.96	0.0
BESSEMER INVESTMENT	085	AET	B	316	62.74	n/a	n/a	12.64	0.0
BESSEMER INVESTMENT	085	AIG	B	453	48.24	n/a	n/a	18.12	0.0
PIONEER OAKRIDGE	031	ALTR	S	400	33.36	n/a	n/a	12.00	0.0
PIONEER OAKRIDGE	031	AME	S	790	47.44	n/a	n/a	23.70	0.0
PIONEER OAKRIDGE	031	AMG	S	205	196.68	n/a	2-Mar	6.15	0.0
SAC CHRIS C	041	ARRAY	B	75,000	6.65	n/a	n/a	2,250.00	0.0
SAC CHRIS C	041	ARNA	SS	100,000	4.32	n/a	n/a	3,000.00	0.0
LATEEF MGMT	033	ATI	S	500	33.18	n/a	11-Jun	50.00	0.0
EVERGREEN	047	AVT	B	10,600	39.74	n/a	n/a	424.00	0.0
BESSEMER INVESTMENT	085	AWK	B	1,030	42.81	n/a	n/a	41.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EVERGREEN	047	A	S	8,300	51.04	n/a	n/a	332.00	0.0
PIONEER OAKRIDGE	031	BAX	S	14,610	66.16	n/a	n/a	438.30	0.0
PIONEER OAKRIDGE	031	BBBY	S	320	76.49	n/a	n/a	9.60	0.0
MERRILL ASSET/BLACKROCK	085	BOH	B	17,100	57.60	n/a	n/a	684.00	0.0
SAC CHRIS C	041	BSX	B	150,000	11.70	n/a	n/a	4,500.00	0.0
PIONEER OAKRIDGE	031	CAH	B	31,900	60.82	n/a	n/a	957.00	0.0
PIONEER OAKRIDGE	031	CELG	S	405	149.67	n/a	n/a	12.15	0.0
PIONEER OAKRIDGE	031	CERN	S	660	55.76	n/a	n/a	19.80	0.0
PIONEER OAKRIDGE	031	CHD	S	425	65.08	n/a	17-Jun	12.75	0.0
PIONEER OAKRIDGE	031	CHKP	S	435	57.96	n/a	n/a	13.05	0.0
SAGE ASSET MGMT	025	CLX	B	8,900	89.75	n/a	17-Jun	445.00	0.0
BESSEMER INVESTMENT	085	CMI	B	65	128.56	n/a	n/a	2.60	0.0
CSL ASSOCIATES	006	CNW	B	10,000	41.27	n/a	n/a	500.00	0.0
MERRILL ASSET/BLACKROCK	085	CONE	B	633	19.54	n/a	n/a	25.32	0.0
BESSEMER INVESTMENT	085	COP	B	315	72.87	n/a	n/a	12.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	CTL	B	468	33.60	n/a	n/a	18.72	0.0
SAC CHRIS C	041	CTRX	B	75,000	46.40	n/a	n/a	2,250.00	0.0
PIONEER OAKRIDGE	031	CTSH	S	170	86.39	n/a	n/a	5.10	0.0
TROUBH PART	070	CVC	S	10,000	15.90	n/a	n/a	500.00	0.0
BESSEMER INVESTMENT	085	CVS	B	399	62.71	n/a	n/a	15.96	0.0
PIONEER OAKRIDGE	031	CXO	S	135	107.16	n/a	n/a	4.05	0.0
BESSEMER INVESTMENT	085	C	B	478	48.71	n/a	17-Jun	19.12	0.0
JSRG CAPITAL PARTNERS LP	084	DAL	B	40,000	26.84	n/a	18-Jun	1,200.00	0.0
LATEEF MGMT	033	DAL	S	500	26.68	n/a	18-Jun	50.00	0.0
BESSEMER INVESTMENT	085	DG	B	680	57.84	n/a	4-Jun	27.20	0.0
SHEFFIELD ASSET MGMT	031	DG	B	52,500	57.87	n/a	4-Jun	2,625.00	0.0
PIONEER OAKRIDGE	031	DHR	S	625	72.16	n/a	n/a	18.75	0.0
PIONEER OAKRIDGE	031	DLTR	S	430	58.08	n/a	4-Jun	12.90	0.0
PIONEER OAKRIDGE	031	DNR	S	900	18.67	n/a	n/a	27.00	0.0
LATEEF MGMT	033	DVN	S	400	63.57	n/a	13-Jun	48.00	0.0
PIONEER OAKRIDGE	031	ECL	S	330	105.79	n/a	18-Jan	9.90	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	EMC	S	750	23.76	n/a	26-Feb	22.50	0.0
OSKIE CAPITAL MGMT	224	ESRX	B	20,000	62.59	n/a	n/a	1,000.00	0.0
PIONEER OAKRIDGE	031	ESRX	S	610	62.28	n/a	n/a	18.30	0.0
AMICI CAPITAL N/C	044	FB	B	50,000	50.71	n/a	n/a	2,000.00	0.0
LATEEF MGMT	033	FCX	S	500	36.68	n/a	n/a	50.00	0.0
SHEFFIELD ASSET MGMT	031	FDO	B	7,500	69.73	n/a	4-Jun	375.00	0.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	21.68	n/a	9-May	400.00	0.0
MOORE CAPITAL	257	GE	B	50,000	26.28	n/a	n/a	1,500.00	0.0
PIONEER OAKRIDGE	031	GILD	S	635	70.62	n/a	n/a	19.05	0.0
LATEEF MGMT	033	GLW	B	500	17.10	n/a	n/a	50.00	0.0
BALYASNY ASSET MGMT	044	GM	B	100,000	37.39	n/a	19-Jun	5,000.00	0.0
RIDGECREST INV MGMT LLC	028	GM	S	5,000	37.85	n/a	19-Jun	200.00	0.0
STANDARD PACIFIC CAPITAL	084	GM	B	272,000	37.73	n/a	19-Jun	13,600.00	0.0
TIDE POINT CAPITAL	028	GM	B	20,000	37.79	n/a	19-Jun	600.00	0.0
PIONEER OAKRIDGE	031	GOOG	S	201	208.64	n/a	n/a	0.60	0.0
TIDE POINT CAPITAL	028	GPI	B	11,000	64.45	n/a	19-Jun	330.00	0.0
PIONEER OAKRIDGE	031	GS	S	135	161.26	n/a	6-May	4.05	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHRIS C	041	HOLX	SS	75,000	22.41	n/a	n/a	2,250.00	0.0
SAC CHRIS C	041	HOLX	S	25,000	22.31	n/a	n/a	750.00	0.0
SAC CHRIS C	041	HWAY	S	93,000	10.26	n/a	n/a	2,790.00	0.0
BESSEMER INVESTMENT	085	IBM	B	147	179.44	n/a	n/a	5.88	0.0
PIONEER OAKRIDGE	031	ICE	S	150	193.28	n/a	n/a	4.50	0.0
PIONEER OAKRIDGE	031	ISRG	S	25	369.67	n/a	n/a	0.75	0.0
BESSEMER INVESTMENT	085	ITW	B	386	78.93	n/a	n/a	15.44	0.0
PIONEER OAKRIDGE	031	ITW	S	545	78.67	n/a	n/a	16.35	0.0
PIONEER OAKRIDGE	031	IT	S	470	59.12	n/a	n/a	14.10	0.0
BTG PACTUAL	040	JBLU	B	20,000	7.23	n/a	18-Jun	600.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	165,020	7.22	n/a	18-Jun	6,600.80 0.0
PIONEER OAKRIDGE	031	JNJ	S	510	93.04	n/a	n/a	15.30	0.0
BESSEMER INVESTMENT	085	KEY	B	851	12.54	n/a	n/a	34.04	0.0
INTERVAL PARTNERS	033	KMX	B	12,500	47.80	n/a	n/a	375.00	0.0
PIONEER OAKRIDGE	031	KORS	S	405	75.80	n/a	30-May	12.15	0.0
LATEEF MGMT	033	KR	S	500	42.67	n/a	n/a	50.00	0.0
SCOPUS FUND	041	LAD	B	2,100	63.21	n/a	n/a	84.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JSRG CAPITAL PARTNERS LP	084	LCC	B	40,000	22.01	n/a	18-Jun	1,200.00	0.0
TIDE POINT CAPITAL	028	LEA	B	10,000	77.95	n/a	19-Jun	300.00	0.0
SEVEN LOCKS CAPITAL	025	LINTA	B	9,600	27.20	n/a	n/a	288.00	0.0
PIONEER OAKRIDGE	031	LNKD	S	100	221.11	n/a	n/a	3.00	0.0
BESSEMER INVESTMENT	085	LO	B	303	51.44	n/a	n/a	12.12	0.0
CR INTRINIC INVESTMENT	044	LPX	B	35,000	16.87	n/a	19-Jun	1,050.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	16.87	n/a	19-Jun	1,500.00	0.0
PEAK INV/OAKMONT/CYPRESS	084	LPX	S	600,000	16.87	n/a	19-Jun	24,000.00	0.0
SCOPUS FUND	041	LPX	S	25,000	16.76	n/a	19-Jun	1,000.00	0.0
TIDE POINT CAPITAL	028	LPX	SS	50,000	16.91	n/a	19-Jun	1,500.00	0.0
BESSEMER INVESTMENT	085	LTD	B	425	62.44	n/a	n/a	17.00	0.0
PIONEER OAKRIDGE	031	MAR	S	685	45.32	n/a	13-Jun	20.55	0.0
PIONEER OAKRIDGE	031	MDLZ	S	575	33.44	n/a	n/a	17.25	0.0
PIONEER OAKRIDGE	031	MJN	S	300	81.66	n/a	n/a	9.00	0.0
PROSPECTOR PARTNERS LLC	036	MRK	B	10,000	44.94	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	MRO	B	534	35.20	n/a	n/a	21.36	0.0
MERRILL ASSET/BLACKROCK	085	MSCI	S	27,300	40.49	n/a	n/a	1,092.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MS	B	250	29.18	n/a	6-Jun	10.00	0.0
AVENUE CAPITAL MGMT	070	MTOR	B	80,000	6.79	n/a	n/a	2,400.00	0.0
SAGE ASSET MGMT	025	MTOR	SS	80,700	6.79	n/a	n/a	3,228.00	0.0
S.A.C. CAPITAL	044	MTW	SS	25,000	19.43	n/a	11-Jul	750.00	0.0
BESSEMER INVESTMENT	085	M	B	574	45.96	n/a	18-Jun	22.96	0.0
BESSEMER INVESTMENT	085	NLSN	B	821	40.01	n/a	n/a	32.84	0.0
SEVEN LOCKS CAPITAL	025	NWSA	B	12,400	17.66	n/a	n/a	372.00	0.0
SCOGGIN LLC	041	OCR	B	46,000	55.19	n/a	n/a	2,300.00	0.0
LATEEF MGMT	033	OLN	B	250	22.47	n/a	n/a	30.00	0.0
PIONEER OAKRIDGE	031	ORCL	S	920	33.59	n/a	n/a	27.60	0.0
PIONEER OAKRIDGE	031	ORLY	S	250	123.99	n/a	n/a	7.50	0.0
PIONEER OAKRIDGE	031	PCLN	S	251,044.68		n/a	n/a	0.75	0.0
PIONEER OAKRIDGE	031	PCP	S	155	251.54	n/a	11-Jun	4.65	0.0
PIONEER OAKRIDGE	031	PEP	S	390	84.02	n/a	n/a	11.70	0.0
BESSEMER INVESTMENT	085	PFE	B	1,375	31.21	n/a	n/a	55.00	0.0
LATEEF MGMT	033	PFE	S	500	31.16	n/a	n/a	50.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	PG	S	500	81.19	n/a	17-Jun	20.00	0.0
SHEFFIELD ASSET MGMT	031	PVH	B	20,500	124.99	n/a	14-Jun	1,025.00	0.0
PIONEER OAKRIDGE	031	PX	S	230	124.01	n/a	n/a	6.90	0.0
BESSEMER INVESTMENT	085	QCOM	B	473	69.82	n/a	n/a	18.92	0.0
PIONEER OAKRIDGE	031	QCOM	S	605	69.64	n/a	n/a	18.15	0.0
SHEFFIELD ASSET MGMT	031	RKT	B	37,500	107.21	n/a	17-Jun	1,500.00	0.0
PIONEER OAKRIDGE	031	SBH	S	845	25.80	n/a	n/a	25.35	0.0
PIONEER OAKRIDGE	031	SBUX	S	220	80.16	n/a	17-Jun	6.60	0.0
DPB CAPITAL	029	SIRI	S	5,000	3.80	n/a	n/a	250.00	0.0
PIONEER OAKRIDGE	031	SLB	S	235	92.60	n/a	n/a	7.05	0.0
PIONEER OAKRIDGE	031	SWN	S	375	37.61	n/a	13-Jun	11.25	0.0
PROSPECTOR PARTNERS LLC	036	SYI	B	5,000	32.28	n/a	n/a	200.00	0.0
STANDARD PACIFIC CAPITAL	084	TCS	S	60,000	35.93	n/a	n/a	3,000.00	0.0
BOURGEON CAPITAL	025	TEVA	S	15,000	37.11	n/a	17-Jun	600.00	0.0
LATEEF MGMT	033	TEVA	S	600	37.11	n/a	17-Jun	60.00	0.0
BESSEMER INVESTMENT	085	TGT	B	435	64.67	n/a	23-May	17.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	TJX	S	905	60.62	n/a	18-Jun	27.15	0.0
BESSEMER INVESTMENT	085	TMO	B	386	97.79	n/a	n/a	15.44	0.0
Õ Nilsa Vazquez		TMV	S	10	0.9500	n/a	n/a	0.00	0.0
CAPITAL RESEARCH GROUP		296	T	S	1,048,600	36.32	n/a	n/a	36,701.00 0.0
PIONEER OAKRIDGE	031	ULTA	S	260	128.10	n/a	n/a	7.80	0.0
BESSEMER INVESTMENT	085	UNP	B	210	152.95	n/a	n/a	8.40	0.0
PIONEER OAKRIDGE	031	UTX	S	325	106.68	n/a	n/a	9.75	0.0
PIONEER OAKRIDGE	031	VFC	S	85	215.13	n/a	12-Jun	2.55	0.0
MOORE CAPITAL	257	VZ	S	50,000	50.42	n/a	n/a	1,500.00	0.0
PIONEER OAKRIDGE	031	V	S	220	199.21	n/a	11-Jun	6.60	0.0
SAC CHRIS C	041	WBMD	B	50,000	34.40	n/a	n/a	1,500.00	0.0
VERITION	028	WNC	B	10,000	11.50	n/a	n/a	300.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	30.22	n/a	19-Jun	1,000.00	0.0
BALYASNY ASSET MGMT	044	XLI	C	357,550	49.00	n/a	n/a	17,877.50	0.0
RIDGECREST INV MGMT LLC	028	XOP	SS	15,000	68.34	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ZMH	B	492	87.71	n/a	n/a	19.68	0.0
TOTAL (Trade Date):							172,025.58		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/31	DC CAPITAL (DCCAGOLDMA)	044	CAM	B	6,000	55.28	n/a	n/a	240.00 0.0
AO,CRT	10/31	DELTEC ASSET MGMT. (DELTPEPSPB)	040	CAM	B	6,000	55.28	n/a	n/a	240.00 0.0
CRT	11/01	LATEEF MGMT (LATE5379)	033	TEVA	S	300	37.11	n/a	17-Jun	30.00 0.0
CRT	11/01	LATEEF MGMT (LATE5379)	033	TEVA	S	300	37.11	n/a	17-Jun	30.00 0.0

TOTAL (AO, CXL, CRT) :**60.00**

TOTAL (Trade Date) :**172,025.58****TOTAL (AO, CXL, CRT) :****60.00**

TOTAL (RUN DATE) / NFS:**172,085.58**

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