

## **Daily Compliance Activity Report** Trade Date: 09/09/2013

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BESSEMER INVESTMENT	085	AAPL	В	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	В	206	89.34	n/a	n/a	8.24	0.0
BESSEMER INVESTMENT	085	ACN	В	148	73.48	n/a	n/a	5.92	0.0
BESSEMER INVESTMENT	085	AET	В	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	В	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	В	8,000	58.21	n/a	n/a	240.00	0.0
BESSEMER INVESTMENT	085	AVGO	В	499	38.67	n/a	n/a	19.96	0.0
BESSEMER INVESTMENT	085	AWK	В	441	39.39	n/a	n/a	17.64	0.0
MAPLE ROW	006	AXL	В	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	В	400	10.99	n/a	18-Jun	12.00	0.0
DSM CAPITAL PARTNERS	085	BRO	В	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 <b>,</b> 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	В	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	СОН	В	239	53.45	n/a	30-May	9.56	0.0
BESSEMER INVESTMENT	085	COP	В	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	В	268	32.02	n/a	n/a	10.72	0.0
BESSEMER INVESTMENT	085	CVS	В	244	58.59	n/a	n/a	9.76	0.0
BESSEMER INVESTMENT	085	С	В	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	В	474	57.35	n/a	4-Jun	18.96	0.0
DSM CAPITAL PARTNERS	085	DLTR	В	2,950	53.60	n/a	4-Jun	147.50	0.0
FRED ALGER MGMT	070	DNR	В	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
	DSM CAPITAL PARTNERS  BADGE CAPITAL  FINDLAY PARK PART  LATEEF MGMT  BESSEMER INVESTMENT  BADGE CAPITAL  BESSEMER INVESTMENT  BESSEMER INVESTMENT  BESSEMER INVESTMENT  BESSEMER INVESTMENT  BESSEMER INVESTMENT  BADGE CAPITAL  BESSEMER INVESTMENT  BADGE CAPITAL  FRED ALGER MGMT	DSM CAPITAL PARTNERS  BADGE CAPITAL  Graph Capital  FINDLAY PARK PART  Capital  BESSEMER INVESTMENT  OR5  DSM CAPITAL PARTNERS  OR5  FRED ALGER MGMT  O70	DSM CAPITAL PARTNERS  BADGE CAPITAL  FINDLAY PARK PART  CHD  LATEEF MGMT  BESSEMER INVESTMENT  BESSEMER INVESTMENT  BADGE CAPITAL  BESSEMER INVESTMENT  BESS	DSM CAPITAL PARTNERS  BADGE CAPITAL  BADGE CAPITAL  CHD  B  LATEEF MGMT  CHCSK  S  BESSEMER INVESTMENT  BESSEMER INVESTMENT  COP  B  BADGE CAPITAL  COP  B  BADGE CAPITAL  COP  B  BESSEMER INVESTMENT  COP  COP  COP  COP  COP  COP  COP  CO	DSM CAPITAL PARTNERS         085         CAKE         S         5,570           BADGE CAPITAL         030         CAT         SS         500           FINDLAY PARK PART         085         CHD         B         48,000           LATEEF MGMT         033         CMCSK         S         300           BESSEMER INVESTMENT         085         COH         B         239           BESSEMER INVESTMENT         085         COP         B         202           BESSEMER INVESTMENT         085         CTL         B         268           BESSEMER INVESTMENT         085         CVS         B         244           BESSEMER INVESTMENT         085         C         B         284           BADGE CAPITAL         030         DE         SS         500           BESSEMER INVESTMENT         085         C         B         244           BESSEMER INVESTMENT         085         DG         B         474           DSM CAPITAL PARTNERS         085         DLTR         B         2,950           FRED ALGER MGMT         070         DNR         B         90,300	DSM CAPITAL PARTNERS         085         CAKE         S         5,570         42.21           BADGE CAPITAL         030         CAT         SS         500         85.50           FINDLAY PARK PART         085         CHD         B         48,000         57.75           LATEEF MGMT         033         CMCSK         S         300         41.02           BESSEMER INVESTMENT         085         COH         B         239         53.45           BESSEMER INVESTMENT         085         COP         B         202         68.76           BESSEMER INVESTMENT         085         CTL         B         268         32.02           BESSEMER INVESTMENT         085         CVS         B         244         58.59           BESSEMER INVESTMENT         085         C         B         284         49.92           BADGE CAPITAL         030         DE         SS         500         84.00           BESSEMER INVESTMENT         085         DG         B         474         57.35           DSM CAPITAL PARTNERS         085         DLTR         B         2,950         53.60           FRED ALGER MGMT         070         DNR         B         90,300 </td <td>DSM CAPITAL PARTNERS 085 CAKE S 5,570 42.21 n/a  BADGE CAPITAL 030 CAT SS 500 85.50 n/a  FINDLAY PARK PART 085 CHD B 48,000 57.75 n/a  LATEEF MGMT 033 CMCSK S 300 41.02 n/a  BESSEMER INVESTMENT 085 COH B 239 53.45 n/a  BESSEMER INVESTMENT 085 COP B 202 68.76 n/a  BESSEMER INVESTMENT 085 CTL B 268 32.02 n/a  BESSEMER INVESTMENT 085 CVS B 244 58.59 n/a  BESSEMER INVESTMENT 085 C B 284 49.92 n/a  BESSEMER INVESTMENT 085 C B 284 49.92 n/a  BESSEMER INVESTMENT 085 DG B 474 57.35 n/a  DSM CAPITAL PARTNERS 085 DLTR B 2,950 53.60 n/a  FRED ALGER MGMT 070 DNR B 90,300 17.88 n/a</td> <td>DSM CAPITAL PARTNERS 085 CAKE S 5,570 42.21 n/a 25-Apr  BADGE CAPITAL 030 CAT SS 500 85.50 n/a 11-Jul  FINDLAY PARK PART 085 CHD B 48,000 57.75 n/a 17-Jun  LATEEF MGMT 033 CMCSK S 300 41.02 n/a n/a  BESSEMER INVESTMENT 085 COH B 239 53.45 n/a 30-May  BESSEMER INVESTMENT 085 COP B 202 68.76 n/a n/a  BADGE CAPITAL 030 CST SS 1,000 29.58 n/a n/a  BESSEMER INVESTMENT 085 CTL B 268 32.02 n/a n/a  BESSEMER INVESTMENT 085 CVS B 244 58.59 n/a n/a  BESSEMER INVESTMENT 085 C B 284 49.92 n/a 17-Jun  BADGE CAPITAL 030 DE SS 500 84.00 n/a 11-Jul  BESSEMER INVESTMENT 085 DG B 474 57.35 n/a 4-Jun  DSM CAPITAL PARTNERS 085 DLTR B 2,950 53.60 n/a 4-Jun  FRED ALGER MGMT 070 DNR B 90,300 17.88 n/a n/a</td> <td>DEM CAPITAL PARTNERS 085 CAKE S 5,570 42.21</td>	DSM CAPITAL PARTNERS 085 CAKE S 5,570 42.21 n/a  BADGE CAPITAL 030 CAT SS 500 85.50 n/a  FINDLAY PARK PART 085 CHD B 48,000 57.75 n/a  LATEEF MGMT 033 CMCSK S 300 41.02 n/a  BESSEMER INVESTMENT 085 COH B 239 53.45 n/a  BESSEMER INVESTMENT 085 COP B 202 68.76 n/a  BESSEMER INVESTMENT 085 CTL B 268 32.02 n/a  BESSEMER INVESTMENT 085 CVS B 244 58.59 n/a  BESSEMER INVESTMENT 085 C B 284 49.92 n/a  BESSEMER INVESTMENT 085 C B 284 49.92 n/a  BESSEMER INVESTMENT 085 DG B 474 57.35 n/a  DSM CAPITAL PARTNERS 085 DLTR B 2,950 53.60 n/a  FRED ALGER MGMT 070 DNR B 90,300 17.88 n/a	DSM CAPITAL PARTNERS 085 CAKE S 5,570 42.21 n/a 25-Apr  BADGE CAPITAL 030 CAT SS 500 85.50 n/a 11-Jul  FINDLAY PARK PART 085 CHD B 48,000 57.75 n/a 17-Jun  LATEEF MGMT 033 CMCSK S 300 41.02 n/a n/a  BESSEMER INVESTMENT 085 COH B 239 53.45 n/a 30-May  BESSEMER INVESTMENT 085 COP B 202 68.76 n/a n/a  BADGE CAPITAL 030 CST SS 1,000 29.58 n/a n/a  BESSEMER INVESTMENT 085 CTL B 268 32.02 n/a n/a  BESSEMER INVESTMENT 085 CVS B 244 58.59 n/a n/a  BESSEMER INVESTMENT 085 C B 284 49.92 n/a 17-Jun  BADGE CAPITAL 030 DE SS 500 84.00 n/a 11-Jul  BESSEMER INVESTMENT 085 DG B 474 57.35 n/a 4-Jun  DSM CAPITAL PARTNERS 085 DLTR B 2,950 53.60 n/a 4-Jun  FRED ALGER MGMT 070 DNR B 90,300 17.88 n/a n/a	DEM CAPITAL PARTNERS 085 CAKE S 5,570 42.21

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
LATEEF MGMT	033	DRE	В	600	14.83	n/a	n/a	60.00	0.0
FIFTH THIRD BANK/FREEMAN	047	EEM	В	11,600	41.09	n/a	n/a	580.00	0.0
BADGE CAPITAL	030	EFC	В	1,000	21.55	n/a	n/a	30.00	0.0
COLUMBIA PARTNERS	028	EMC	В	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	В	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	В	500	19.98	n/a	n/a	50.00	0.0
FRED ALGER MGMT	070	HOG	В	66,000	62.81	n/a	n/a	2,376.00	0.0
BESSEMER INVESTMENT	085	IBM	В	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	В	140	73.67	n/a	n/a	5.60	0.0
CASTLEROCK	040	JCP	В	53,049	14.50	n/a	18-Jun	2,121.96	0.0
MERRILL ASSET/BLACKROCK	085	JLL	В	35 <b>,</b> 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
	LATEEF MGMT  FIFTH THIRD BANK/FREEMAN  BADGE CAPITAL  COLUMBIA PARTNERS  BADGE CAPITAL  TROUBH PART  COHE & STEERS  LATEEF MGMT  FRED ALGER MGMT  BESSEMER INVESTMENT  MOORE CAPITAL  BESSEMER INVESTMENT  CASTLEROCK  MERRILL ASSET/BLACKROCK	LATEEF MGMT 033  FIFTH THIRD BANK/FREEMAN 047  BADGE CAPITAL 030  COLUMBIA PARTNERS 028  BADGE CAPITAL 030  TROUBH PART 070  COHE & STEERS 041  LATEEF MGMT 033  FRED ALGER MGMT 070  BESSEMER INVESTMENT 085  MOORE CAPITAL 257  BESSEMER INVESTMENT 085  CASTLEROCK 040  MERRILL ASSET/BLACKROCK 085	LATEEF MGMT 033 DRE  FIFTH THIRD BANK/FREEMAN 047 EEM  BADGE CAPITAL 030 EFC  COLUMBIA PARTNERS 028 EMC  BADGE CAPITAL 030 EQR  TROUBH PART 070 GE  COHE & STEERS 041 GGP  LATEEF MGMT 033 GSPRD  FRED ALGER MGMT 070 HOG  BESSEMER INVESTMENT 085 IBM  MOORE CAPITAL 257 IP  BESSEMER INVESTMENT 085 ITW  CASTLEROCK 040 JCP  MERRILL ASSET/BLACKROCK 085 JLL	LATEEF MGMT 033 DRE B  FIFTH THIRD BANK/FREEMAN 047 EEM B  BADGE CAPITAL 030 EFC B  COLUMBIA PARTNERS 028 EMC B  BADGE CAPITAL 030 EQR S  TROUBH PART 070 GE B  COHE & STEERS 041 GGP S  LATEEF MGMT 033 GSPRD B  FRED ALGER MGMT 070 HOG B  BESSEMER INVESTMENT 085 IBM B  MOORE CAPITAL 257 IP S  BESSEMER INVESTMENT 085 ITW B  CASTLEROCK 040 JCP B  MERRILL ASSET/BLACKROCK 085 JLL B	LATEEF MGMT 033 DRE B 600  FIFTH THIRD BANK/FREEMAN 047 EEM B 11,600  BADGE CAPITAL 030 EFC B 1,000  COLUMBIA PARTNERS 028 EMC B 38,128  BADGE CAPITAL 030 EQR S 700  TROUBH PART 070 GE B 25,000  COHE & STEERS 041 GGP S 160,874  LATEEF MGMT 033 GSPRD B 500  FRED ALGER MGMT 070 HOG B 66,000  BESSEMER INVESTMENT 085 IBM B 97  MOORE CAPITAL 257 IP S 50,000  BESSEMER INVESTMENT 085 ITW B 140  CASTLEROCK 040 JCP B 53,049  MERRILL ASSET/BLACKROCK 085 JLL B 35,727	LATEEF MGMT 033 DRE B 600 14.83  FIFTH THIRD BANK/FREEMAN 047 EEM B 11,600 41.09  BADGE CAPITAL 030 EFC B 1,000 21.55  COLUMBIA PARTNERS 028 EMC B 38,128 26.60  BADGE CAPITAL 030 EQR S 700 53.26  TROUBH PART 070 GE B 25,000 23.42  COHE & STEERS 041 GGP S 160,874 19.40  LATEEF MGMT 033 GSPRD B 500 19.98  FRED ALGER MGMT 070 HOG B 66,000 62.81  BESSEMER INVESTMENT 085 IBM B 97 184.53  MOORE CAPITAL 257 IP S 50,000 49.15  BESSEMER INVESTMENT 085 ITW B 140 73.67  CASTLEROCK 040 JCP B 53,049 14.50  MERRILL ASSET/BLACKROCK 085 JLL B 35,727 86.29	LATEEF MGMT 033 DRE B 600 14.83 n/a  FIFTH THIRD BANK/FREEMAN 047 EEM B 11,600 41.09 n/a  BADGE CAPITAL 030 EFC B 1,000 21.55 n/a  COLUMBIA PARTNERS 028 EMC B 38,128 26.60 n/a  BADGE CAPITAL 030 EQR S 700 53.26 n/a  TROUBH PART 070 GE B 25,000 23.42 n/a  COHE & STEERS 041 GGP S 160,874 19.40 n/a  LATEEF MGMT 033 GSPRD B 500 19.98 n/a  FRED ALGER MGMT 070 HOG B 66,000 62.81 n/a  BESSEMER INVESTMENT 085 IBM B 97 184.53 n/a  MOORE CAPITAL 257 IP S 50,000 49.15 n/a  BESSEMER INVESTMENT 085 ITW B 140 73.67 n/a  CASTLEROCK 040 JCP B 53,049 14.50 n/a  MERRILL ASSET/BLACKROCK 085 JLL B 35,727 86.29 n/a	LATEEF MGMT 033 DRE B 600 14.83 N/a N/a FIFTH THIRD BANK/FREEMAN 047 EEM B 11,600 41.09 N/a N/a BADGE CAPITAL 030 EFC B 1,000 21.55 N/a N/a COLUMBIA PARTNERS 028 EMC B 38,128 26.60 N/a 26-Feb BADGE CAPITAL 030 EQR S 700 53.26 N/a N/a TROUBH PART 070 GE B 25,000 23.42 N/a N/a COHE & STEERS 041 GGP S 160,874 19.40 N/a N/a LATEEF MGMT 033 GSPRD B 500 19.98 N/a N/a FRED ALGER MGMT 070 HOG B 66,000 62.81 N/a N/a BESSEMER INVESTMENT 085 IBM B 97 184.53 N/a N/a MOORE CAPITAL 257 IP S 50,000 49.15 N/a 17-Jun BESSEMER INVESTMENT 085 IIW B 140 73.67 N/a N/a CASTLEROCK 040 JCP B 53,049 14.50 N/a 18-Jun MERRILL ASSET/BLACKROCK 085 JLL B 35,727 86.29 N/a N/a	LATEEF MGMT 033 DRE B 600 14.83 N/A N/A 60.00  FIFTH THIRD BANK/FREEMAN 047 EEM B 11,600 41.09 N/A N/A 580.00  BADGE CAPITAL 030 EFC B 1,000 21.55 N/A N/A 30.00  COLUMBIA PARTNERS 028 EMC B 38,128 26.60 N/A 26-Feb 1,525.12  BADGE CAPITAL 030 EQR S 700 53.26 N/A N/A 21.00  TROUBH PART 070 GE B 25,000 23.42 N/A N/A 1,250.00  COHE & STEERS 041 GGP S 160,874 19.40 N/A N/A 50.00  FRED ALGER MGMT 070 HOG B 66,000 62.81 N/A N/A 3.88  MOORE CAPITAL 257 TP S 50,000 49.15 N/A 17-Jun 1,500.00  BESSEMER INVESTMENT 085 TIW B 140 73.67 N/A 17-Jun 1,500.00  CASTLEROCK 040 JCF B 53,049 14.50 N/A 18-Jun 2,121.98  MERRILL ASSET/BLACKROCK 085 JILL B 35,727 86.29 N/A N/A 1/A 1,429.08

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
LATEEF MGMT	033	K	В	250	60.14	n/a	n/a	42.50	0.0	
ROYCE TRADING SANDLER O'NEILL ASSET	031 031	LAZ LAZ	В	8,200 14,813	36.85 36.80	n/a n/a	6-May 6-May	410.00 740.65	0.0	
BESSEMER INVESTMENT	085	LTD	В	243	57.49	n/a	n/a	9.72	0.0	
OZ MGMT	040	MCD	В	45,000	96.44	n/a	17-Jun	1,350.00	0.0	
BADGE CAPITAL	030	MIC	В	600	52.77	n/a	n/a	18.00	0.0	
BADGE CAPITAL	030	MPW	В	1,000	12.09	n/a	n/a	30.00	0.0	
BESSEMER INVESTMENT	085	MRO	В	445	36.32	n/a	n/a	17.80	0.0	
LATEEF MGMT	033	MSFT	В	500	31.46	n/a	n/a	50.00	0.0	
BADGE CAPITAL	030	MWV	В	700	37.41	n/a	18-Jun	21.00	0.0	
BESSEMER INVESTMENT	085	М	В	412	45.45	n/a	18-Jun	16.48	0.0	
BADGE CAPITAL	030	NFG	В	500	65.69	n/a	n/a	15.00	0.0	
PRIMECAP MGMT	084	NKTR	В	5,000	13.33	n/a	n/a	200.00	0.0	
BESSEMER INVESTMENT	085	NLSN	В	454	35.20	n/a	n/a	18.16	0.0	
LATEEF MGMT	033	OI	В	500	30.12	n/a	n/a	50.00	0.0	
BADGE CAPITAL	030	OLN	В	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	В	800	27.72	n/a	n/a	24.00	0.0
BADGE CAPITAL	030	PFE	В	1,000	28.14	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	PFE	В	798	28.14	n/a	n/a	31.92	0.0
LATEEF MGMT	033	PG	В	150	77.76	n/a	17-Jun	30.00	0.0
BADGE CAPITAL	030	QCOM	В	1,000	68.46	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	QCOM	В	317	68.86	n/a	n/a	12.68	0.0
CADIAN CAPITAL	041	RCL	В	55,000	37.28	n/a	n/a	1,650.00	0.0
BADGE CAPITAL	030	RHP	В	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	В	800	33.55	n/a	n/a	24.00	0.0
LATEEF MGMT	033	SPLS	В	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	SYY	SS	1,000	32.14	n/a	n/a	30.00	0.0
MAPLE ROW	006	TER	В	5,000	16.01	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	TGT	В	272	63.79	n/a	23-May	10.88	0.0
LATEEF MGMT	033	TGT	В	350	63.78	n/a	23-May	52.50	0.0
BESSEMER INVESTMENT	085	TMO	В	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 <b>,</b> 921	31.78	n/a	n/a	3,525.16	0.0
BESSEMER INVESTMENT	085	UNP	В	58	155.79	n/a	n/a	2.32	0.0
WAGONHOUND/NICOLAS	033	URI	В	15,321	58.42	n/a	17-Apr	612.84	0.0
BESSEMER INVESTMENT	085	VIAB	В	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	В	387	49.92	n/a	n/a	15.48	0.0
BADGE CAPITAL	030	WFC	В	500	41.01	n/a	6-Jun	15.00	0.0
CADIAN CAPITAL	041	WFM	С	9,000	54.88	n/a	n/a	270.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	В	15 <b>,</b> 725	11.03	n/a	n/a	471.75	0.0
MAPLE ROW	006	XHB	В	5,000	29.16	n/a	n/a	150.00	0.0
FARALLON CAP MGMT	040	ҮНОО	S	45 <b>,</b> 953	29.28	n/a	n/a	1,378.59	0.0
DSM CAPITAL PARTNERS	085	YY	В	4,135	46.58	n/a	n/a	206.75	0.0
BESSEMER INVESTMENT	085	ZMH	В	298	80.60	n/a	n/a	11.92	0.0

TOTAL (Trade Date): 48,307.86

## Cancel/Corrects and As-Of Trades

Туре	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		HIGHBRIDGE CAP (HIBCCSFB)	041	AA	SS	125,000	7.92	n/a		3750.00	3.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	BK	В	50,000	30.55	n/a	6-Jun	2500.00	0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	BK	В	50,000	30.55	n/a	6-Jun	1500.00	3.0
AO,	09/06	ACK ASSET (ACKAMS)	028	BKD	В	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		19-Jun	52.00	0.0
AO, CXL	09/06	CAERUS GLOBAL (CAERGSMAIN)	041	GM	S	46,800	36.26	n/a	19-Jun	1872.00	0.0
AO,	09/06	CAERUS GLOBAL (CAERGSMAIN)	041	GM	S	36,600	36.26	n/a	19-Jun	1464.00	0.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	GM	В	25,000	36.46	n/a	19-Jun	1250.00	0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	GM	В	25,000	36.46	n/a	19-Jun	750.00	3.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	GS	В	12,500	157.20	n/a	6-May	625.00	0.0
AO, CRT	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	GS	В	12,500	157.20	n/a	6-May	375.00	3.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	ICE	В	2,550	179.00	n/a	n/a	127.50	0.0
AO, CRT		HIGHBRIDGE CAP (HIBCCSFB)	041	ICE	В	·	179.00	n/a	n/a	76.50	3.0
AO,CXL	09/06	DC CAPITAL (DCCAGOLDMA)	044	LCC	В	20,000	17.00	n/2	18-Jun	800.00	0.0
AO, CAL		DELTEC ASSET MGMT. (DELTPERSPB)	040	LCC	В	20,000	17.00		18-Jun		0.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	MU	SS	25,000	15.19	n/a	n/a	1250.00	0.0

Туре	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	В	24,654	42.20	n/a	n/a	1232.70	0.0
AO,CRT	09/06	HIGHBRIDGE CAP (HIBCGOLDPB)	041	TPX	В	24,654	42.20	n/a	n/a	739.62	3.0
AO,CXL	09/06	HIGHBRIDGE CAP (HIBCCSFB)	041	TRIP	SS	16 <b>,</b> 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 (EDGEG10237)	085	WY	В	20,000	28.40	n/a	19-Jun	600.00	0.0
AO,CXL	09/06	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS	3)040	WY	В	50,000	28.50	n/a	19-Jun	1500.00	0.0
AO,	09/06	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS	3)040	WY	В	30,000	28.58	n/a	19-Jun	900.00	0.0

TOTAL (RUN DATE) / NFS:	49,930.88
TOTAL (AO, CXL, CRT):	1,623.02
TOTAL (Trade Date):	48,307.86

## 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