



Daily Compliance Activity Report

Trade Date: 09/10/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	40	496.90	n/a	n/a	1.60	0.0
LATEEF MGMT	033	AAPL	S	200	492.30	n/a	n/a	80.00	0.0
BESSEMER INVESTMENT	085	ACE	B	185	89.77	n/a	n/a	7.40	0.0
BESSEMER INVESTMENT	085	ACN	B	120	74.75	n/a	n/a	4.80	0.0
BESSEMER INVESTMENT	085	AET	B	225	65.07	n/a	n/a	9.00	0.0
SUFFOLK CAPITAL MGMT	040	AET	S	24,500	65.00	n/a	n/a	980.00	0.0
BESSEMER INVESTMENT	085	AIG	B	235	49.31	n/a	n/a	9.40	0.0
PATTEN & PATTEN	025	AIG	B	250	49.55	n/a	n/a	12.50	0.0
Õ Jack Chernus		AIN	B	500	33.1200	n/a	n/a	0.00	0.0
Õ Jack Chernus		AIN	B	500	33.1200	n/a	n/a	0.00	0.0
Õ Jack Chernus		AIN	B	500	33.1200	n/a	n/a	0.00	0.0
Õ Jack Chernus		AIN	B	700	33.0700	n/a	n/a	0.00	0.0
CORTEX CAPITAL	031	ALK	S	20,000	60.62	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	725	39.56	n/a	n/a	29.00	0.0
BESSEMER INVESTMENT	085	AWK	B	415	39.75	n/a	n/a	16.60	0.0
PECONIC PARTNERS	036	AXL	B	100,000	20.69	n/a	19-Jun	5,000.00	0.0
SCOPUS FUND	041	AXL	B	25,000	20.45	n/a	19-Jun	1,000.00	0.0
TALON ASSET MGMT.	006	AXL	B	19,000	20.62	n/a	19-Jun	950.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AZPN	B	28,699	35.13	n/a	n/a	860.97	0.0
FSI GROUP, LLC	047	BXP	B	11,729	106.06	n/a	n/a	469.16	0.0
PATTEN & PATTEN	025	CB	S	100	86.30	n/a	n/a	5.00	0.0
EPOCH INV MGMT	030	CHKP	B	50,000	58.46	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	CL	B	200	58.82	n/a	17-Jun	10.00	0.0
BESSEMER INVESTMENT	085	COH	B	230	53.82	n/a	30-May	9.20	0.0
BESSEMER INVESTMENT	085	COP	B	175	68.57	n/a	n/a	7.00	0.0
SUFFOLK CAPITAL MGMT	040	CSCO	B	64,800	24.13	n/a	26-Feb	2,592.00	0.0
BESSEMER INVESTMENT	085	CTL	B	235	32.57	n/a	n/a	9.40	0.0
PROVIDENCE EQUITY CAP. MKTS.040		CVC	B	16,000	17.88	n/a	n/a	320.00	0.0
BESSEMER INVESTMENT	085	CVS	B	245	59.31	n/a	n/a	9.80	0.0
BASSWOOD PARTNERS	267	C	B	2,139	51.15	n/a	17-Jun	85.56	0.0
BESSEMER INVESTMENT	085	C	B	240	51.14	n/a	17-Jun	9.60	0.0
FIRST NY SEC/CHRIS	041	DAL	B	10,000	22.65	n/a	18-Jun	500.00	0.0
J. GOLDMAN	028	DAL	S	50,000	22.63	n/a	18-Jun	2,000.00	0.0
PATTEN & PATTEN	025	DBD	B	400	29.42	n/a	16-Jul	20.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	DG	B	470	57.22	n/a	4-Jun	18.80	0.0
FRED ALGER MGMT	070	DNR	B	200,000	17.80	n/a	n/a	7,200.00	0.0
FSI GROUP, LLC	047	EGP	B	10,800	58.07	n/a	n/a	432.00	0.0
FSI GROUP, LLC	047	EXR	B	14,600	43.04	n/a	n/a	584.00	0.0
LONG OAR GLOBAL INV	040	FAST	B	35,000	49.64	n/a	n/a	1,400.00	0.0
SUFFOLK CAPITAL MGMT	040	FIVE	S	5,000	48.02	n/a	13-Jun	200.00	0.0
BRIGADE CAPITAL MGMT	029	FOE	S	75,000	8.16	n/a	n/a	2,250.00	0.0
FIRST NY SEC/CHRIS	041	F	SS	50,000	17.56	n/a	19-Jun	2,500.00	0.0
SIGMA CAPITAL ASSOCIATES	041	GES	SS	25,000	30.27	n/a	31-May	750.00	0.0
PATTEN & PATTEN	025	GLD	S	50	131.19	n/a	n/a	2.50	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	36.94	n/a	19-Jun	300.00	0.0
LOMAS CAPITAL	040	GRA	B	17,500	85.51	n/a	n/a	525.00	0.0
LOMAS CAPITAL	040	HD	S	43,200	74.41	n/a	n/a	1,296.00	0.0
PATTEN & PATTEN	025	HEDJ	B	250	52.56	n/a	n/a	12.50	0.0
DSM CAPITAL PARTNERS	085	HOLX	S	21,465	20.80	n/a	n/a	1,073.25	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	IBM	B	95	186.56	n/a	n/a	3.80	0.0
PATTEN & PATTEN	025	IBM	S	50	186.45	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	IDXX	B	125	97.29	n/a	n/a	6.25	0.0
PATTEN & PATTEN	025	IEV	B	250	43.09	n/a	n/a	12.50	0.0
BESSEMER INVESTMENT	085	ITW	B	120	74.32	n/a	n/a	4.80	0.0
PATTEN & PATTEN	025	IVV	S	200	169.44	n/a	n/a	10.00	0.0
RIDGECREST INV MGMT LLC	028	JCP	S	10,000	14.12	n/a	18-Jun	400.00	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	10,473	86.91	n/a	n/a	418.92	0.0
TIDE POINT CAPITAL	028	LEA	S	7,000	71.16	n/a	19-Jun	210.00	0.0
PATTEN & PATTEN	025	LOW	B	200	46.89	n/a	n/a	10.00	0.0
BESSEMER INVESTMENT	085	LTD	B	265	58.06	n/a	n/a	10.60	0.0
OZ MGMT	040	MCD	SS	45,000	96.68	n/a	17-Jun	1,350.00	0.0
PATTEN & PATTEN	025	MOS	B	200	44.34	n/a	n/a	10.00	0.0
BESSEMER INVESTMENT	085	MRO	B	415	35.73	n/a	n/a	16.60	0.0
FARALLON CAP MGMT	040	MSFT	B	315,000	32.20	n/a	n/a	9,450.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	MTG	S	25,000	7.35	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	MWV	B	350	38.23	n/a	18-Jun	17.50	0.0
BESSEMER INVESTMENT	085	M	B	385	44.63	n/a	18-Jun	15.40	0.0
BESSEMER INVESTMENT	085	NLSN	B	455	35.37	n/a	n/a	18.20	0.0
PATTEN & PATTEN	025	NVS	S	75	76.02	n/a	n/a	3.75	0.0
T. ROWE PRICE	243	NX	S	33,500	19.03	n/a	n/a	1,340.00	0.0
LISTED ERR	099	NX	B	2,000	19.05	n/a	n/a	0.00	0.0
FIFTH THIRD BANK/FREEMAN	047	PCY	S	8,000	26.32	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	PFE	B	740	28.45	n/a	n/a	29.60	0.0
ROSEDALE CAPITAL	046	PFE	S	20,000	28.49	n/a	n/a	800.00	0.0
CADIAN CAPITAL	041	PNRA	SS	4,500	166.61	n/a	10-Jun	135.00	0.0
BESSEMER INVESTMENT	085	PRLB	S	5,351	75.86	n/a	n/a	214.04	0.0
ASCEND PARTNERS	033	PVH	B	80,000	124.83	n/a	14-Jun	2,400.00	0.0
CRAMER ROSENTHAL	070	PVH	B	80,475	124.78	n/a	14-Jun	3,219.00	0.0
EGS ASSOCIATES LP	091	PVH	B	4,500	123.91	n/a	14-Jun	225.00	0.0
KEY ASSET MGMT/VICTORY	220	PVH	B	94,561	125.92	n/a	14-Jun	3,782.44	0.0
BESSEMER INVESTMENT	085	QCOM	B	305	70.15	n/a	n/a	12.20	0.0
PATTEN & PATTEN	025	RYN	S	260	56.20	n/a	25-Jan	13.00	0.0
FIRST NEW YORK NICK	029	SIRI	S	5,000	3.83	n/a	n/a	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	SNV	B	334,631	3.19	n/a	n/a	10,038.93	0.0
PATTEN & PATTEN	025	SPY	S	75	168.55	n/a	n/a	3.75	0.0
BLACKTHORN	047	STI	B	25,000	33.22	n/a	n/a	1,250.00	0.0
Õ May Tang		SVU	S	600	7.5950	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	SYMC	S	50,000	25.35	n/a	n/a	2,000.00	0.0
NEWLAND CAPITAL MGT	025	TEL	S	5,000	52.40	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	TGT	B	255	64.73	n/a	23-May	10.20	0.0
BESSEMER INVESTMENT	085	TMO	B	185	90.83	n/a	n/a	7.40	0.0
PATTEN & PATTEN	025	TSCO	S	100	128.13	n/a	n/a	5.00	0.0
PRIMECAP MGMT	084	UAL	B	5,000	32.93	n/a	18-Jun	200.00	0.0
BESSEMER INVESTMENT	085	UNP	B	60	157.42	n/a	n/a	2.40	0.0
BESSEMER INVESTMENT	085	VIAB	B	300	80.99	n/a	n/a	12.00	0.0
OSTERWEIS CAPITAL	084	VIAB	S	95,070	80.83	n/a	n/a	4,753.50	0.0
PATTEN & PATTEN	025	V	S	25	182.08	n/a	11-Jun	1.25	0.0
BESSEMER INVESTMENT	085	WAG	B	335	50.55	n/a	n/a	13.40	0.0
BLACKTHORN	047	WFC	SS	25,000	42.01	n/a	6-Jun	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	5,425	11.34	n/a	n/a	162.75	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	S	35,000	28.68	n/a	19-Jun	1,050.00	0.0
FORTRESS INVESTMENT (US)	036	XLI	B	87,500	46.03	n/a	n/a	1,750.00	0.0
FORTRESS INVESTMENT (US)	036	XLP	SS	100,000	40.08	n/a	n/a	2,000.00	0.0
RIVERLOFT CAPITAL	044	X	S	20,000	19.77	n/a	n/a	600.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	YELP	B		5,431	63.25	n/a	n/a	162.93 0.0
BESSEMER INVESTMENT	085	ZMH	B	290	80.86	n/a	n/a	11.60	0.0
TOTAL (Trade Date) :								86,678.25	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/09	FINDLAY PARK PART (FINDAMERS)	085	CHD	B	47,385	57.75	n/a	17-Jun	4105.05 0.0
AO,CXL	09/09	FINDLAY PARK PART (FINDRIT)	085	CHD	B	48,000	57.75	n/a	17-Jun	4158.33 0.0
AO,	09/09	FINDLAY PARK PART (FINDRIT)	085	CHD	B	615	57.75	n/a	17-Jun	53.28 0.0
AO,CXL	09/06	DELTEC ASSET MGMT. (DELTPEPSPB)	040	LCC	B	20,000	17.00	n/a	18-Jun	1000.00 0.0
AO,	09/06	DELTEC ASSET MGMT. (DELTPEPSPB)	040	LCC	B	20,000	17.00	n/a	18-Jun	800.00 0.0
AO,CXL	09/06	EDGEWOOD (EDGE10237)	085	WY	B	20,000	28.40	n/a	19-Jun	600.00 0.0
AO,	09/06	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS)	040	WY	B	20,000	28.40	n/a	19-Jun	600.00 0.0
TOTAL (AO, CXL, CRT) :										-200.00

TOTAL (Trade Date) :	86,678.25
TOTAL (AO, CXL, CRT) :	-200.00

TOTAL (RUN DATE) / NFS :	86,478.25
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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