



Daily Compliance Activity Report

Trade Date: 07/29/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
BESSEMER INVESTMENT	085	AKR	S	173	25.99	n/a	n/a	6.92	0.0	
NOKOMIS PARTNERS	031	ALK	B	17,811	60.82	n/a	n/a	534.33	0.0	
SOROS	036	ALK	S	77,442	59.82	n/a	n/a	3,097.68	0.0	
PATTEN & PATTEN	025	AML	B	300	17.84	n/a	n/a	15.00	0.0	
BESSEMER INVESTMENT	085	ARE	S	121	69.32	n/a	n/a	4.84	0.0	
BNP PARIBAS SEC	040	ATVI	S	25,000	18.21	n/a	n/a	750.00	0.0	
ARDSLEY PARTNERS	280	AXE	SS	5,000	81.23	n/a	16-May	250.00	0.0	
BESSEMER INVESTMENT	085	AXP	S	640	74.66	n/a	19-Jun	25.60	0.0	
BESSEMER INVESTMENT	085	BDN	S	404	14.13	n/a	n/a	16.16	0.0	
NWQ INVESTMENT MGMT CO	084	BHI	B	342,358	47.23	n/a	n/a	11,982.54	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	CLDT	B	10,000	18.30		n/a	n/a	300.00	0.0
CASTLEROCK	040	COH	SS	9,868	58.47	n/a	30-May	394.72	0.0	
CHARTERBRIDGE CAPITAL	025	CTCT	C	19,157	19.07	n/a	n/a	574.71	0.0	
BESSEMER INVESTMENT	085	DCT	S	1,080	7.71	n/a	n/a	43.20	0.0	
BESSEMER INVESTMENT	085	DDR	S	560	17.19	n/a	n/a	22.40	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	DECK	B	15,000	53.38	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	DLR	S	118	57.52	n/a	n/a	4.72	0.0
BESSEMER INVESTMENT	085	DRH	S	356	9.98	n/a	n/a	14.24	0.0
ROSEDALE CAPITAL	046	ECA	B	10,000	17.60	n/a	n/a	400.00	0.0
KENNEDY CAPITAL	046	FINL	B	60,230	22.28	n/a	19-Jun	2,409.20	0.0
ARDSLEY PARTNERS	280	GM	S	50,000	36.25	n/a	19-Jun	2,500.00	0.0
LOMAS CAPITAL	040	GRA	B	9,500	74.70	n/a	n/a	285.00	0.0
NWQ INVESTMENT MGMT CO	084	HAL	S	377,920	45.56	n/a	n/a	13,227.21	0.0
BESSEMER INVESTMENT	085	HCN	S	88	65.83	n/a	n/a	3.52	0.0
BESSEMER INVESTMENT	085	HCP	S	214	45.08	n/a	n/a	8.56	0.0
BESSEMER INVESTMENT	085	HPP	S	94	22.03	n/a	n/a	3.76	0.0
BESSEMER INVESTMENT	085	HR	S	245	26.84	n/a	n/a	9.80	0.0
M&I FUNDS	047	IPG	S	42,273	17.04	n/a	n/a	1,690.92	0.0
TUDOR INVESTORS	028	JEC	SS	5,000	58.94	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	KIM	S	405	22.65	n/a	n/a	16.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	281	KO	B	25,000	40.36	n/a	17-Jun	1,250.00	0.0
TUDOR INVESTORS	028	KSU	SS	5,000	109.75	n/a	n/a	150.00	0.0
SCOPUS FUND	041	LAD	B	10,000	61.43	n/a	n/a	400.00	0.0
TIDE POINT CAPITAL	028	LEA	B	5,000	67.51	n/a	19-Jun	250.00	0.0
DAVIDSON KEMPNER ADVISOR	281	LTD	SS	50,000	55.27	n/a	n/a	2,500.00	0.0
PATTEN & PATTEN	025	MOO	S	500	51.81	n/a	n/a	25.00	0.0
COLUMBUS CIRCLE	036	MTZ	S	2,977	33.20	n/a	n/a	119.08	0.0
CASTLE ARK	031	MWA	S	62,975	7.33	n/a	n/a	1,889.25	0.0
EPOCH INV MGMT	030	MWA	B	104,619	7.37	n/a	n/a	3,138.57	0.0
TUDOR INVESTORS	028	MWV	S	10,000	36.25	n/a	18-Jun	300.00	0.0
BESSEMER INVESTMENT	085	PCL	S	134	49.02	n/a	19-Jun	5.36	0.0
TUDOR INVESTORS	028	PPG	S	2,500	160.50	n/a	n/a	75.00	0.0
BESSEMER INVESTMENT	085	PPS	S	72	48.11	n/a	n/a	2.88	0.0
TIEDEMANN/TIG ADVISORS LLC	006	PWR	SS	7,840	26.91	n/a	n/a	235.20	0.0
ENTRUST CAPITAL	040	QCOR	B	7,908	52.41	n/a	n/a	395.40	0.0
BESSEMER INVESTMENT	085	REG	S	127	53.58	n/a	n/a	5.08	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	RYN	S	104	58.92	n/a	25-Jan	4.16	0.0
BESSEMER INVESTMENT	085	SHO	S	263	13.01	n/a	n/a	10.52	0.0
BESSEMER INVESTMENT	085	SLG	S	90	92.07	n/a	n/a	3.60	0.0
BESSEMER INVESTMENT	085	SSS	S	107	69.88	n/a	n/a	4.28	0.0
ARDSLEY PARTNERS	280	STLD	S	25,000	15.49	n/a	n/a	1,250.00	0.0
TUDOR INVESTORS	028	SWK	B	3,000	83.67	n/a	n/a	90.00	0.0
PATTEN & PATTEN	025	SYX	S	3,800	35.03	n/a	n/a	190.00	0.0
TUDOR INVESTORS	028	TGI	B	3,000	77.32	n/a	n/a	90.00	0.0
TUDOR INVESTORS	028	TKR	B	3,610	56.49	n/a	n/a	108.30	0.0
BESSEMER INVESTMENT	085	TLM	S	810	11.62	n/a	n/a	32.40	0.0
LEVIN CAPITAL STRATEGIES	041	UAL	S	7,500	35.37	n/a	18-Jun	225.00	0.0
CHARTERBRIDGE CAPITAL	025	UA	C	35,000	67.69	n/a	19-Jun	1,050.00	0.0
TUDOR INVESTORS	028	UNP	B	3,000	158.43	n/a	n/a	90.00	0.0
PATTEN & PATTEN	025	VB	B	160	99.21	n/a	n/a	8.00	0.0
FARALLON CAP MGMT	040	VNTV	B	2,229	26.35	n/a	11-Jun	89.16	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PATTEN & PATTEN	025	VO	B	200	99.60	n/a	n/a	10.00	0.0	
PATTEN & PATTEN	025	VV	B	450	77.09	n/a	n/a	22.50	0.0	
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	22,600	23.84		n/a	678.00	0.0	
CYRUS CAPITAL	025	WY	B	20,000	27.89	n/a	19-Jun	600.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL040		WY	B	20,000	27.89	n/a	19-Jun	600.00	0.0	
TRELLUS PARTNERS LP	028	WY	B	12,500	27.86	n/a	19-Jun	375.00	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ZUMZ	S		22,105	28.16		n/a	663.15	0.0
TOTAL (Trade Date) :							56,426.12			

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	07/26	NOKOMIS PARTNERS (NOKOFIDE)	031	ALK	B	2,624	60.80	n/a	n/a	78.72	0.0
AO,CXL	07/26	NOKOMIS PARTNERS (NOKOCONJPM)	031	ALK	B	2,624	60.80	n/a	n/a	78.72	0.0
AO,	07/26	BESSEMER INVESTMENT (BESS8G9563)	085	COL	B	10,000	70.58	n/a	11-Jun	400.00	0.0
AO,CXL	07/26	BESSEMER INVESTMENT (BESSMAIN)	085	COL	B	10,000	70.58	n/a	11-Jun	400.00	0.0
AO,	07/26	PATTEN & PATTEN (PATTBERSHI)	025	MMM	B	67	116.31	n/a	n/a	3.35	0.0
AO,CXL	07/26	PATTEN & PATTEN (PATTSCWAB)	025	MMM	B	67	116.31	n/a	n/a	3.35	0.0
AO,	07/26	PATTEN & PATTEN (PATTBERSHI)	025	PCH	S	100	44.14	n/a	19-Jun	5.00	0.0
AO,CXL	07/26	PATTEN & PATTEN (PATTSCWAB)	025	PCH	S	100	44.14	n/a	19-Jun	5.00	0.0
AO,CXL	07/26	TYVOR CAPITAL LLC (TYVOJPM)	031	WFM	SS	10,000	54.59	n/a	n/a	500.00	0.0
AO,CRT	07/26	TYVOR CAPITAL LLC (TYVOJPM)	031	WFM	SS	10,000	54.59	n/a	n/a	300.00	0.0
AO,	07/26	TRELLUS PARTNERS LP (TRELMAIN)	028	WY	S	2,500	29.39	n/a	19-Jun	75.00	0.0

TOTAL (AO, CXL, CRT) :**-125.00**

TOTAL (Trade Date) :

56,426.12

TOTAL (AO, CXL, CRT) :

-125.00

TOTAL (RUN DATE) / NFS:**56,301.12**

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