



Daily Compliance Activity Report

Trade Date: 03/14/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	B	170	88.70	n/a	n/a	6.80	4.0
BESSEMER INVESTMENT	085	ACN	B	215	78.08	n/a	n/a	8.60	4.0
BESSEMER INVESTMENT	085	AET	B	385	51.08	n/a	n/a	15.40	4.0
HIGHBRIDGE CAP	041	ALV	B	8,000	68.92	n/a	1-Feb	240.00	3.0
BESSEMER INVESTMENT	085	APD	B	70	89.60	n/a	n/a	2.80	4.0
CR INTRINSIC/CHRIS C	041	APD	B	5,000	89.83	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	AVGO	B	255	36.72	n/a	n/a	10.20	4.0
CATAPULT	040	AVY	B	22,371	43.60	n/a	n/a	894.84	0.0
CAERUS GLOBAL	041	BKW	B	33,500	18.81	n/a	19-Feb	1,340.00	4.0
CATAPULT	040	CCK	B	27,953	40.11	n/a	n/a	1,118.12	0.0
HIGHBRIDGE CAP	041	CF	S	2,500	201.97	n/a	n/a	75.00	3.0
COOPER CREEK PART	028	CHS	SS	10,000	18.13	n/a	5-Feb	400.00	4.0
CR INTRINSIC/CHRIS C	041	CNW	B	1,700	37.94	n/a	n/a	51.00	3.0
CR INTRINSIC/CHRIS C	041	CNW	SS	11,700	37.36	n/a	n/a	351.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		CNX	B	7,300	32.26	n/a	n/a	219.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BESSEMER INVESTMENT	085	COH	B	200	49.95	n/a	27-Feb	8.00	4.0	
FARALLON CAP MGMT	040	COL	S	50,000	63.30	n/a	14-Mar	2,000.00	4.0	
BESSEMER INVESTMENT	085	COP	B	200	59.42	n/a	n/a	8.00	4.0	
LATEEF MGMT	033	CTB	S	700	26.99	n/a	n/a	75.00	11.0	
BESSEMER INVESTMENT	085	CTL	B	295	34.66	n/a	n/a	11.80	4.0	
BESSEMER INVESTMENT	085	CVS	B	235	53.08	n/a	n/a	9.40	4.0	
MILLRACE FUND LP	028	CVU	B	10,000	8.45	n/a	n/a	300.85	3.3	
CATAPULT	040	CYT	B	20,772	76.81	n/a	n/a	830.88	0.0	
BESSEMER INVESTMENT	085	C	B	320	47.42	n/a	7-Mar	12.80	4.0	
GOLD SACHS SPECIAL SIT	030	DAN	S	50,000	18.03	n/a	22-Feb	2,500.00	5.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	DELL	B	10,000	14.28		n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	DE	B	2	92.08	n/a	11-Jul	0.08	4.0	
HIGHBRIDGE CAP	041	DE	SS	3,000	91.96	n/a	11-Jul	90.00	3.0	
BESSEMER INVESTMENT	085	DG	B	515	48.61	n/a	1-Mar	20.60	4.0	
BESSEMER INVESTMENT	085	DTE	B	105	66.33	n/a	n/a	4.20	4.0	
BASSWOOD PARTNERS	267	ESV	B	5,800	59.23	n/a	n/a	232.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
HIGHBRIDGE CAP	041	ETN	S	8,000	63.24	n/a	14-Mar	240.00	3.0	
BESSEMER INVESTMENT	085	EXC	B	285	32.44	n/a	n/a	11.40	4.0	
TUDOR INVESTORS	028	EXPR	SS	50,000	17.78	n/a	n/a	1,500.00	3.0	
DELTEC ASSET MGMT.	040	FCX	S	5,000	33.18	n/a	n/a	250.00	5.0	
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	150,000	13.40	n/a	14-Mar	4,500.00	3.0	
WOOSTER CAPITAL	044	F	SS	100,000	13.39	n/a	14-Mar	4,000.00	4.0	
BESSEMER INVESTMENT	085	GD	B	105	69.74	n/a	11-Mar	4.20	4.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	HES	B	5,000	71.94		n/a	n/a	200.00	4.0
TUDOR INVESTORS	028	HIBB	B	50,000	53.62	n/a	n/a	1,500.00	3.0	
RIVERLOFT CAPITAL	044	HW	S	20,000	10.90	n/a	n/a	600.00	3.0	
BESSEMER INVESTMENT	085	IBM	B	85	215.12	n/a	n/a	3.40	4.0	
ROSEDALE CAPITAL	046	JBLU	S	25,000	6.80	n/a	5-Mar	750.00	3.0	
CR INTRINSIC/CHRIS C	041	JCI	B	25,000	34.91	n/a	7-Mar	750.00	3.0	
MACELLUM CAPITAL	086	JCP	S	160,000	15.49	n/a	6-Mar	4,800.00	0.0	
BESSEMER INVESTMENT	085	JNJ	B	220	78.82	n/a	n/a	8.80	4.0	
LATEEF MGMT	033	KR	S	250	31.37	n/a	n/a	32.50	13.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUFFOLK CAPITAL MGMT	040	K	B	15,200	61.99	n/a	n/a	608.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	36.28	n/a	7-Mar	750.00	5.0
NORTHWESTERN MUTUAL LIFE	047	MAT	B	174,300	42.16	n/a	n/a	6,972.00	0.0
MERRILL ASSET/BLACKROCK	297	MA	B	14,442	529.66	n/a	14-Mar	577.68	0.0
BESSEMER INVESTMENT	085	MRO	B	460	34.79	n/a	n/a	18.40	4.0
BESSEMER INVESTMENT	085	MSFT	B	555	28.07	n/a	n/a	22.20	4.0
BESSEMER INVESTMENT	085	M	B	350	42.18	n/a	7-Mar	14.00	4.0
S.A.C. CAPITAL	044	M	S	30,000	42.20	n/a	7-Mar	900.00	0.0
SUFFOLK CAPITAL MGMT	040	M	B	117,500	42.17	n/a	7-Mar	4,700.00	0.0
BESSEMER INVESTMENT	085	NLSN	B	325	34.60	n/a	n/a	13.00	4.0
NWQ INVESTMENT MGMT CO	084	NP	B	7,400	29.96	n/a	22-Feb	259.00	0.0
LOMAS CAPITAL	040	OC	B	17,900	41.00	n/a	n/a	537.00	0.0
COHE & STEERS	041	OFC	B	57,103	27.21	n/a	n/a	1,713.09	0.0
VISIUM/BALY BOBBY	044	PNR	B	10,000	52.20	n/a	n/a	500.00	0.0
CR INTRINSIC/CHRIS C	041	PX	B	2,500	113.49	n/a	n/a	75.00	3.0
BESSEMER INVESTMENT	085	QCOM	B	335	66.56	n/a	n/a	13.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING (GGT)	251	RIG	B	5,000	52.99		n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	ROC	S	8,000	65.22	n/a	n/a		240.00	3.0
CASTLEROCK	040	SBUX	B	4,500	57.94	n/a	11-Mar		180.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	SNI	B	4,945	64.50		n/a	n/a	197.80	4.0
SANDLER O'NEILL ASSET	031	STT	B	25,400	59.83	n/a	14-Mar		1,270.00	5.0
BESSEMER INVESTMENT	085	TGT	B	275	67.24	n/a	13-Mar		11.00	4.0
FIRST NY SEC/CHRIS	041	TGT	SS	10,000	67.34	n/a	13-Mar		500.00	5.0
BESSEMER INVESTMENT	085	TMO	B	265	77.47	n/a	n/a		10.60	4.0
COLUMBUS CIRCLE	036	TNGO	S	15,219	12.36	n/a	n/a		608.76	0.0
HIGHBRIDGE CAP	041	TXT	B	44,000	31.01	n/a	n/a		1,320.00	3.0
ALTIMETER CAPITAL MGMT.	029	UAL	B	154,000	30.99	n/a	12-Mar		4,620.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	UA	S	50,000	50.47	n/a	13-Mar		1,500.00	3.0
BESSEMER INVESTMENT	085	UNH	B	315	54.54	n/a	n/a		12.60	4.0
M&I FUNDS	047	URBN	B	6,027	41.23	n/a	n/a		241.08	4.0
SIGMA CAP BOBBY	044	UTX	SS	84,746	93.27	n/a	n/a		2,542.38	3.0
BESSEMER INVESTMENT	085	VIAB	B	950	63.48	n/a	n/a		38.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING (GGT)	251	VMW	B	1,500	82.66		n/a	n/a	60.00	4.0
MARCATO CAPITAL MGMT.	029	VXX	SS	200,000	20.57	n/a	n/a	6,000.00	3.0	
BESSEMER INVESTMENT	085	WAG	B	545	42.49	n/a	n/a	21.80	4.0	
SCOPUS FUND	041	WBC	S	10,000	71.29	n/a	5-Mar	400.00	4.0	
SCOPUS FUND	041	WCC	S	25,000	77.57	n/a	n/a	1,000.00	4.0	
HIGHBRIDGE CAP	041	WLK	S	2,590	96.13	n/a	n/a	77.70	3.0	
HOLLIS CAPITAL	033	WLL	B	7,000	51.76	n/a	n/a	350.00	5.0	
BESSEMER INVESTMENT	085	WM	B	395	37.26	n/a	n/a	15.80	4.0	
HAMILTON CAP PART FIN	031	XLF	B	50,000	18.44	n/a	n/a	1,500.00	3.0	
CATAPULT	040	XME	SS	31,133	40.66	n/a	n/a	1,245.32	0.0	
BESSEMER INVESTMENT	085	ZMH	B	310	74.60	n/a	n/a	12.40	4.0	
TOTAL (Trade Date) :								72,284.68		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/14	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	DAN	S	50,000	18.03	n/a	22-Feb	2500.00 5.0
AO,	03/13	HALCYON LLC (HALCBARCL)	041	IRM	B	82,822	36.29	n/a	n/a	2484.66 0.0
AO,CXL	03/13	HALCYON LLC (HALCMSPB)	041	IRM	B	82,822	36.29	n/a	n/a	2484.66 0.0

TOTAL (AO, CXL, CRT) :	2,500.00
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TOTAL (Trade Date) :	72,284.68
TOTAL (AO, CXL, CRT) :	2,500.00

TOTAL (RUN DATE) / NFS:	74,784.68
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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