



Daily Compliance Activity Report

Trade Date: 06/20/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	B	280	86.77	n/a	n/a	11.20	0.0
BESSEMER INVESTMENT	085	ACN	B	205	80.44	n/a	n/a	8.20	0.0
BESSEMER INVESTMENT	085	AET	B	75	61.34	n/a	n/a	3.00	0.0
BESSEMER INVESTMENT	085	AIG	B	450	44.87	n/a	n/a	18.00	0.0
BESSEMER INVESTMENT	085	APD	B	135	94.98	n/a	n/a	5.40	0.0
BESSEMER INVESTMENT	085	AVGO	B	950	37.41	n/a	n/a	38.00	0.0
BESSEMER INVESTMENT	085	AWK	B	625	39.89	n/a	n/a	25.00	0.0
SOROS	036	CA	B	40,000	27.74	n/a	n/a	1,600.00	0.0
BESSEMER INVESTMENT	085	COH	B	515	57.66	n/a	30-May	20.60	0.0
BESSEMER INVESTMENT	085	COP	B	440	60.92	n/a	n/a	17.60	0.0
JET CAPITAL/CHRIS	041	COV	B	50,000	62.26	n/a	n/a	1,500.00	0.0
WADDELL AND REED	047	COV	S	298,865	62.03	n/a	n/a	11,954.60	0.0
BESSEMER INVESTMENT	085	CTL	B	610	34.46	n/a	n/a	24.40	0.0
BESSEMER INVESTMENT	085	CVS	B	545	57.68	n/a	n/a	21.80	0.0
BESSEMER INVESTMENT	085	C	B	610	48.45	n/a	17-Jun	24.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	DG	B	780	50.40	n/a	4-Jun	31.20	0.0
HIGHBRIDGE CAP	041	DK	B	6,672	30.55	n/a	n/a	200.16	0.0
BESSEMER INVESTMENT	085	DTE	B	245	64.90	n/a	n/a	9.80	0.0
CAPITAL WORLD	084	EBAY	B	25,000	50.54	n/a	n/a	875.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	ECHO	S	15,000	18.26	n/a	n/a	450.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	C	25,000	14.95	n/a	19-Jun	750.00	0.0
SCOPUS FUND	041	F	B	40,000	14.85	n/a	19-Jun	1,600.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	C	10,000	32.69	n/a	19-Jun	300.00	0.0
CR INTRINSIC/CHRIS C	041	GT	SS	25,000	14.84	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	IBM	B	235	199.19	n/a	n/a	9.40	0.0
BESSEMER INVESTMENT	085	ITW	B	270	69.92	n/a	n/a	10.80	0.0
CR INTRINIC INVESTMENT	044	KO	S	20,000	39.55	n/a	17-Jun	600.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	32.96	n/a	6-May	500.00	0.0
NEW VERNON	031	LCC	B	70,000	16.75	n/a	18-Jun	2,800.00	0.0
BAIRD INVESTMENT	047	LNKD	B	2,566	173.12	n/a	n/a	128.30	0.0
HARVEST MGMT (JMP)	029	LOW	S	10,000	40.06	n/a	n/a	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	LPX	B	10,000	15.76	n/a	19-Jun	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	15.87	n/a	19-Jun	3,750.00	0.0
HIGHBRIDGE CAP	041	MPC	B	3,000	75.54	n/a	n/a	90.00	0.0
BESSEMER INVESTMENT	085	MRO	B	930	34.98	n/a	n/a	37.20	0.0
BESSEMER INVESTMENT	085	MSFT	B	1,430	33.78	n/a	n/a	57.20	0.0
NORTHWESTERN MUTUAL LIFE	047	MTD	B	2,803	206.72	n/a	n/a	112.12	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	34.87	n/a	18-Jun	750.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		MWV	B	20,000	34.60		n/a 18-Jun	600.00	0.0
BESSEMER INVESTMENT	085	M	B	895	47.35	n/a	18-Jun	35.80	0.0
BESSEMER INVESTMENT	085	NLSN	B	750	34.86	n/a	n/a	30.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	3.82	n/a	n/a	800.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		NUAN	B	14,000	18.55		n/a n/a	420.00	0.0
BESSEMER INVESTMENT	085	PFE	B	2,065	28.87	n/a	n/a	82.60	0.0
TIEDEMANN/TIG ADVISORS LLC006		PHM	B	10,300	18.72	n/a	n/a	309.00	0.0
PRIMECAP MGMT	084	PPO	B	1,900	40.00	n/a	n/a	76.00	0.0
HIGHBRIDGE CAP	041	PSX	B	4,000	61.17	n/a	n/a	120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	QCOM	B	725	61.03	n/a	n/a	29.00	0.0
MACELLUM CAPITAL	086	SCSS	SS	42,000	24.36	n/a	n/a	1,260.00	0.0
CR INTRINIC INVESTMENT	044	SODA	SS	15,000	69.97	n/a	n/a	450.00	0.0
HARVEST MGMT (JMP)	029	SUSS	B	10,000	49.58	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	TGT	B	530	68.80	n/a	23-May	21.20	0.0
BESSEMER INVESTMENT	085	TMO	B	515	82.42	n/a	n/a	20.60	0.0
AMBER CAPITAL	046	T	SS	137,700	34.99	n/a	n/a	5,508.00	0.0
BESSEMER INVESTMENT	085	UNH	B	645	64.37	n/a	n/a	25.80	0.0
ROYCE TRADING	031	UNT	B	33,292	42.98	n/a	13-Jun	1,664.60	0.0
BESSEMER INVESTMENT	085	VIAB	B	645	65.56	n/a	n/a	25.80	0.0
BESSEMER INVESTMENT	085	WAG	B	820	48.96	n/a	n/a	32.80	0.0
COOPER CREEK PART	028	WY	B	10,000	27.09	n/a	19-Jun	400.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		XPO	B	15,000	16.64	n/a	n/a	450.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	705	76.66	n/a	n/a	28.20	0.0

TOTAL (Trade Date):

42,672.78

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/19	SAGE ASSET MGMT (SAGEJEFF)	025	BZ	S	25,932	8.57	n/a	n/a	1296.60 0.0
AO,	06/19	SAGE ASSET MGMT (SAGEJEFF)	025	BZ	S	25,932	8.57	n/a	n/a	1037.28 0.0
AO,CXL	06/19	HARVEST MGMT (JMP) (HARVGSCO)	029	HBI	B	10,000	52.73	n/a	3-May	500.00 0.0
AO,	06/19	HARVEST MGMT (JMP) (HARVGSCO)	029	HBI	B	10,000	52.73	n/a	3-May	400.00 0.0
TOTAL (AO, CXL, CRT) :										-359.32

TOTAL (Trade Date) :	42,672.78
TOTAL (AO, CXL, CRT) :	-359.32

TOTAL (RUN DATE) / NFS :	42,313.46
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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