



Daily Compliance Activity Report

Trade Date: 02/15/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	1,020,000	2.49	n/a	n/a	20,400.00	2.0
BESSEMER INVESTMENT	085	AAPL	B	1	468.35	n/a	n/a	0.04	4.0
BESSEMER INVESTMENT	085	ACE	B	405	86.45	n/a	n/a	16.20	4.0
BESSEMER INVESTMENT	085	ACN	B	235	73.47	n/a	n/a	9.40	4.0
BESSEMER INVESTMENT	085	AET	B	390	49.65	n/a	n/a	15.60	4.0
WINSLOW CAPITAL	030	AGN	S	8,000	107.68	n/a	13-Feb	240.00	3.0
PATTEN & PATTEN	025	AIG	B	22,275	38.40	n/a	n/a	1,113.75	5.0
WINSLOW CAPITAL	030	AMT	S	15,400	74.72	n/a	n/a	462.00	3.0
J. GOLDMAN	028	ANF	B	25,000	50.99	n/a	n/a	1,000.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	ARCO	SS	30,000	12.80	n/a	3-Jan	900.00	3.0
BESSEMER INVESTMENT	085	AVGO	B	320	35.61	n/a	n/a	12.80	4.0
SANDLER O'NEILL ASSET	031	AXP	S	15,000	61.71	n/a	15-Feb	750.00	5.0
NEUBERGER BERMAN	036	BECN	B	31,300	38.39	n/a	n/a	1,252.00	0.0
WINSLOW CAPITAL	030	BEN	S	10,800	144.45	n/a	2-Mar	324.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	BGS	SS	5,000	30.03	n/a	n/a	150.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	BIG	B	171	33.75		n/a	n/a	5.13 3.0
WINSLOW CAPITAL	030	BLK	S	5,000	243.35	n/a	n/a	150.00	3.0
NEUBERGER BERMAN	036	BOKF	B	4,000	57.77	n/a	n/a	160.00	0.0
EGS ASSOCIATES LP	091	BONT	B	2,817	11.57	n/a	8-Feb	140.85	5.0
CASTLEROCK	040	BRCD	S	30,000	5.88	n/a	15-Feb	1,200.00	0.0
ARSENAL ASSET MANAGEMENT	028	BWA	B	15,000	76.07	n/a	15-Feb	600.00	0.0
SCOPUS FUND	041	BWA	SS	25,000	76.34	n/a	15-Feb	1,000.00	4.0
WINSLOW CAPITAL	030	BWA	S	15,100	76.66	n/a	15-Feb	453.00	3.0
CASTLEROCK	040	CAKE	SS	6,000	32.96	n/a	14-Feb	240.00	0.0
NEUBERGER BERMAN	036	CBU	B	23,300	28.96	n/a	n/a	932.00	0.0
PATTEN & PATTEN	025	CB	S	360	83.64	n/a	n/a	18.00	5.0
COOKBIELER	028	CCE	S	63,200	36.15	n/a	n/a	2,528.00	0.0
NEUBERGER BERMAN	036	CHD	S	56,500	60.04	n/a	6-Feb	2,260.00	0.0
KAM ADVISORS LLC	041	CIT	S	42,800	42.63	n/a	4-Feb	1,284.00	0.0
ROTHSCHILD ASSET	040	CMO	S	62,879	12.26	n/a	n/a	2,515.16	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	COG	S	47,400	53.72	n/a	31-Jan	1,896.00	0.0
WINSLOW CAPITAL	030	COG	S	13,900	53.47	n/a	31-Jan	417.00	3.0
BESSEMER INVESTMENT	085	COH	B	180	48.51	n/a	14-Feb	7.20	4.0
BESSEMER INVESTMENT	085	COP	B	210	57.91	n/a	n/a	8.40	4.0
WINSLOW CAPITAL	030	COV	S	8,600	63.51	n/a	n/a	258.00	3.0
WINSLOW CAPITAL	030	CRM	S	12,200	173.64	n/a	n/a	366.00	3.0
BESSEMER INVESTMENT	085	CTL	B	265	32.66	n/a	n/a	10.60	4.0
BESSEMER INVESTMENT	085	CVS	B	260	51.86	n/a	n/a	10.40	4.0
NEUBERGER BERMAN	036	CXO	S	16,000	95.40	n/a	n/a	640.00	0.0
BESSEMER INVESTMENT	085	C	B	240	44.22	n/a	15-Feb	9.60	4.0
BESSEMER INVESTMENT	085	DG	B	445	45.11	n/a	12-Dec	17.80	4.0
HARVEST MGMT (JMP)	029	DG	B	10,000	46.03	n/a	12-Dec	400.00	4.0
SCOUT/UMB	047	DG	S	190,893	45.07	n/a	12-Dec	5,726.79	0.0
SENATOR INVESTMENT GROUP	036	DG	S	75,000	45.75	n/a	12-Dec	2,250.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	DLTR	B	45,000	41.02	n/a	12-Feb	1,350.00	3.0
BESSEMER INVESTMENT	085	DTE	B	100	64.44	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	ECL	S	16,800	75.46	n/a	18-Jan	504.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	EGHT	SS	5,000	6.68	n/a	n/a	150.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	EL	S	25,000	63.15	n/a	6-Feb	750.00	3.0
WINSLOW CAPITAL	030	EL	S	15,000	63.75	n/a	6-Feb	450.00	3.0
PATTEN & PATTEN	025	EWG	S	100	24.81	n/a	n/a	5.00	5.0
BESSEMER INVESTMENT	085	EXC	B	300	30.77	n/a	n/a	12.00	4.0
CAMBIAR CAP	046	FINL	B	50,000	18.45	n/a	13-Feb	2,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	B	25,000	33.45	n/a	13-Feb	750.00	3.0
WINSLOW CAPITAL	030	FTI	S	17,100	51.51	n/a	n/a	513.00	3.0
SCOPUS FUND	041	F	SS	100,000	13.03	n/a	14-Feb	4,000.00	4.0
BESSEMER INVESTMENT	085	GD	B	105	66.31	n/a	17-Jan	4.20	4.0
BNP PARIBAS SEC	040	GM	B	20,000	27.66	n/a	15-Feb	600.00	3.0
GOLD SACHS SPECIAL SIT	030	GM	B	50,000	27.53	n/a	15-Feb	2,500.00	5.0
J. GOLDMAN	028	GPS	B	25,000	32.69	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	GSK	S	19,200	45.65	n/a	n/a	576.00	3.0
WINSLOW CAPITAL	030	GWW	S	4,500	230.09	n/a	12-Feb	135.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	HBI	B	40,000	40.40	n/a	6-Feb	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	HLSS	B	62,800	23.04	n/a	n/a	2,512.00	0.0
BESSEMER INVESTMENT	085	IBM	B	100	200.47	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	IBM	S	13,200	200.66	n/a	n/a	396.00	3.0
NEUBERGER BERMAN	036	IDXX	S	22,700	91.20	n/a	n/a	908.00	0.0
PATTEN & PATTEN	025	INTC	S	400	21.06	n/a	n/a	20.00	5.0
NEUBERGER BERMAN	036	IPI	S	68,700	21.02	n/a	n/a	2,748.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	15,000	42.19	n/a	5-Feb	750.00	5.0
MOORE CAPITAL	041	IP	B	25,000	42.14	n/a	5-Feb	750.00	0.0
BESSEMER INVESTMENT	085	JNJ	B	240	75.73	n/a	n/a	9.60	4.0
PATTEN & PATTEN	025	JPM	S	500	48.79	n/a	15-Feb	25.00	5.0
HIGHLINE ADV	044	KOG	B	383,700	9.30	n/a	n/a	19,185.00	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	9,950	37.40	n/a	7-Feb	497.50	5.0
CAERUS GLOBAL	041	LEA	S	5,243	55.67	n/a	12-Feb	209.72	4.0
WINSLOW CAPITAL	030	LEN	S	7,000	40.52	n/a	n/a	210.00	3.0
JET CAPITAL/CHRIS	041	LNG	B	50,000	21.55	n/a	n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	LOW	B	240	39.61	n/a	n/a	9.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	LVS	S	17,000	52.76	n/a	13-Jun	510.00	3.0
NEUBERGER BERMAN	036	MANH	B	15,800	69.56	n/a	n/a	632.00	0.0
WINSLOW CAPITAL	030	MA	S	2,400	522.81	n/a	12-Feb	72.00	3.0
BESSEMER INVESTMENT	085	MRO	B	520	35.08	n/a	n/a	20.80	4.0
BESSEMER INVESTMENT	085	MSFT	B	1,040	28.10	n/a	n/a	41.60	4.0
MERRILL ASSET/BLACKROCK	297	MTD	S	15,200	214.86	n/a	n/a	608.00	0.0
BESSEMER INVESTMENT	085	M	B	420	39.50	n/a	8-Feb	16.80	4.0
NEUBERGER BERMAN	036	NJR	S	6,400	43.66	n/a	n/a	256.00	0.0
BESSEMER INVESTMENT	085	NLSN	B	350	32.63	n/a	n/a	14.00	4.0
PATTEN & PATTEN	025	NUAN	B	25	18.68	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	NUE	S	300	47.96	n/a	n/a	15.00	5.0
WINSLOW CAPITAL	030	PCP	S	8,100	184.87	n/a	5-Feb	243.00	3.0
BALYASNY ASSET MGMT	044	PENN	B	10,000	50.87	n/a	n/a	500.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	20,000	40.60	n/a	5-Feb	1,000.00	5.0
BALYASNY ASSET MGMT	044	PLCE	SS	10,000	51.16	n/a	10-Jan	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	PRU	S	800	57.19	n/a	n/a	40.00	5.0
BESSEMER INVESTMENT	085	QCOM	B	265	65.72	n/a	n/a	10.60	4.0
NEUBERGER BERMAN	036	RBA	S	26,400	22.33	n/a	n/a	1,056.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	RIG	B	1,500	56.01		n/a	n/a	60.00 4.0
WINSLOW CAPITAL	030	RL	S	8,000	176.81	n/a	7-Feb	240.00	3.0
COOKBIELER	028	RNR	B	16,100	84.40	n/a	n/a	644.00	0.0
NEUBERGER BERMAN	036	SAM	S	600	145.69	n/a	n/a	24.00	0.0
LAKEWOOD CAPITAL MGMT	085	SCTY	SS	5,000	18.16	n/a	n/a	150.00	0.0
WINSLOW CAPITAL	030	TDC	S	13,200	61.91	n/a	n/a	396.00	3.0
ASCEND PARTNERS	033	TGT	SS	133,060	62.15	n/a	7-Feb	3,991.80	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	TGT	B	25,000	60.91	n/a	7-Feb	750.00	3.0
SCOPUS FUND	041	TGT	SS	12,350	62.18	n/a	7-Feb	494.00	4.0
NEUBERGER BERMAN	036	TISI	B	6,601	45.10	n/a	n/a	264.04	0.0
SCOPUS FUND	041	TJX	SS	25,000	45.11	n/a	8-Feb	1,000.00	4.0
BESSEMER INVESTMENT	085	TMO	B	320	74.50	n/a	n/a	12.80	4.0
JET CAPITAL/CHRIS	041	TRIP	C	25,000	44.20	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UNH	B	345	57.28	n/a	n/a	13.80	4.0
BALYASNY ASSET MGMT	044	URBN	B	20,000	41.40	n/a	n/a	1,000.00	0.0
WINSLOW CAPITAL	030	UTX	S	18,200	90.40	n/a	n/a	546.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	VFC	S	25,000	158.02	n/a	15-Feb	750.00	3.0
BESSEMER INVESTMENT	085	WAG	B	600	41.84	n/a	n/a	24.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	WMT	B	40,000	68.68	n/a	12-Feb	1,200.00	3.0
BESSEMER INVESTMENT	085	WM	B	335	37.05	n/a	n/a	13.40	4.0
BNP PARIBAS SEC	040	WY	B	20,000	30.59	n/a	15-Feb	600.00	3.0
PATTEN & PATTEN	025	WY	S	490	30.61	n/a	15-Feb	24.50	5.0
BESSEMER INVESTMENT	085	ZMH	B	300	76.03	n/a	n/a	12.00	4.0
TOTAL (Trade Date):								116,884.73	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/14	EPOCH INV MGMT (EPOCCAWIRE)	030	CHKP	B	1,850	51.24	n/a	n/a	55.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCNOVAGC)	030	CHKP	B	4,500	51.24	n/a	n/a	135.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCDUNDEE)	030	CHKP	B	2,300	51.24	n/a	n/a	69.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCMISSGC)	030	CHKP	B	10,400	51.24	n/a	n/a	312.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCGCHOIC)	030	CHKP	B	5,850	51.24	n/a	n/a	175.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCGLACCF)	030	CHKP	B	50	51.24	n/a	n/a	1.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCUSBKGL)	030	CHKP	B	4,900	51.24	n/a	n/a	147.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCCONTIN)	030	CHKP	B	2,500	51.24	n/a	n/a	75.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCVFMGRG)	030	CHKP	B	1,150	51.24	n/a	n/a	34.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCLOCKGL)	030	CHKP	B	9,600	51.24	n/a	n/a	288.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCCHAMP)	030	CHKP	B	1,900	51.24	n/a	n/a	57.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCWHITPE)	030	CHKP	B	2,600	51.24	n/a	n/a	78.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCITVPEN)	030	CHKP	B	1,600	51.24	n/a	n/a	48.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCVFMVWA)	030	CHKP	B	8,000	51.24	n/a	n/a	240.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCGSMAGC)	030	CHKP	B	2,050	51.24	n/a	n/a	61.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCVFMTAC)	030	CHKP	B	5,450	51.24	n/a	n/a	163.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCVFMSSF)	030	CHKP	B	5,150	51.24	n/a	n/a	154.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCVFMESS)	030	CHKP	B	2,550	51.24	n/a	n/a	76.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCEPGCF)	030	CHKP	B	3,650	51.24	n/a	n/a	109.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCRBSGLC)	030	CHKP	B	15,700	51.24	n/a	n/a	471.00 0.0
AO,	02/14	EPOCH INV MGMT (EPOCSCIENC)	030	CHKP	B	2,350	51.24	n/a	n/a	70.50 0.0
AO,	02/14	EPOCH INV MGMT (EPOCDAKOTA)	030	CHKP	B	5,900	51.24	n/a	n/a	177.00 0.0
AO,CXL	02/14	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		CXW	B	13,000	37.67	n/a	n/a	520.00 4.0
AO,CRT	02/14	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		CXW	B	13,000	37.67	n/a	n/a	390.00 3.0
AO,CXL	02/14	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		GEO	B	2,000	33.29	n/a	n/a	80.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/14	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	GEO	B	2,000	33.29	n/a	n/a	60.00 3.0
CRT	02/15	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	GM	B	50,000	27.53	n/a	15-Feb	2500.00 5.0
AO,	02/14	OZ MGMT (OZFFUBSWA)	040	GM	B	1,340	28.87	n/a	15-Feb	40.20 0.0
AO,	02/14	OZ MGMT (OZFFJPMBS)	040	GM	B	87,582	28.87	n/a	15-Feb	2627.46 0.0
AO,	02/14	OZ MGMT (OZFFJPMBS)	040	GM	B	3,215	28.87	n/a	15-Feb	96.45 0.0
AO,	02/14	OZ MGMT (OZFFJPMBS)	040	GM	B	3,167	28.87	n/a	15-Feb	95.01 0.0
AO,	02/14	OZ MGMT (OZFFCSFB)	040	GM	B	2,069	28.87	n/a	15-Feb	62.07 0.0
AO,	02/14	OZ MGMT (OZFFCSFB)	040	GM	B	2,296	28.87	n/a	15-Feb	68.88 0.0
AO,	02/14	OZ MGMT (OZFFMS)	040	GM	B	331	28.87	n/a	15-Feb	9.93 0.0
AO,CRT	02/14	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	LEA	B	163,830	54.87	n/a	12-Feb	8191.50 5.0
AO,CXL	02/14	STANDARD PACIFIC CAPITAL (SPACUBS)	084	LEA	B	163,830	54.87	n/a	12-Feb	8191.50 5.0
AO,	02/14	PALESTRA (PALECS)	040	MDLZ	S	51,840	26.80	n/a	n/a	1555.20 0.0
AO,CXL	02/14	PALESTRA (PALEGS)	040	MDLZ	S	100,000	26.80	n/a	n/a	3000.00 3.0
AO,CRT	02/14	PALESTRA (PALEGS)	040	MDLZ	S	48,160	26.80	n/a	n/a	1444.80 3.0
TOTAL (AO, CXL, CRT) :										8,350.00

TOTAL (Trade Date):	116,884.73
TOTAL (AO, CXL, CRT):	8,350.00

TOTAL (RUN DATE) / NFS:	125,234.73
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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