

Daily Compliance Activity Report Trade Date: 11/19/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	BESSEMER INVESTMENT	085	AAPL	В	47	519.02	n/a	n/a	1.88	0.0
	SANDLER CAPITAL	028	ABC	S	120,000	68.83	n/a	n/a	6,000.00	0.0
	BESSEMER INVESTMENT	085	ACE	В	310	98.40	n/a	n/a	12.40	0.0
	BESSEMER INVESTMENT	085	ACN	В	180	79.19	n/a	n/a	7.20	0.0
	COLUMBUS CIRCLE	036	AEGR	S	1,368	66.01	n/a	n/a	54.72	0.0
	BESSEMER INVESTMENT	085	AET	В	370	64.92	n/a	n/a	14.80	0.0
	BESSEMER INVESTMENT	085	AIG	В	375	48.64	n/a	n/a	15.00	0.0
	DC CAPITAL	044	ATI	В	50,000	34.15	n/a	11-Jun	2,000.00	0.0
	BESSEMER INVESTMENT	085	AWK	В	650	43.16	n/a	n/a	26.00	0.0
õ	Nicolas Pakler		BAC	S	500	15.2300	n/a	17-Jun	0.00	0.0
	ROARING BLUE LION MGMT	031	BBY	В	12,700	39.76	n/a	n/a	508.00	0.0
	ROSEDALE CAPITAL	046	BBY	В	10,000	39.32	n/a	n/a	400.00	0.0
	BERYLSON CAPITAL	030	BONT	S	53,800	12.40	n/a	18-Jun	1,614.00	0.0
	KLEINHEINZ CAP PART	031	СНК	В	75,000	25.32	n/a	n/a	3,750.00	0.0
	PALESTRA	040	CLGX	В	110,000	35.06	n/a	n/a	3,300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BESSEMER INVESTMENT	085	CMI	В	45	132.25	n/a	n/a	1.80	0.0
BESSEMER INVESTMENT	085	COP	В	275	72.24	n/a	n/a	11.00	0.0
SENATOR INVESTMENT GROUP	287	CPRT	В	32,506	32.94	n/a	n/a	975.18	0.0
BESSEMER INVESTMENT	085	CTL	В	380	32.14	n/a	n/a	15.20	0.0
BESSEMER INVESTMENT	085	CVS	В	340	65.68	n/a	n/a	13.60	0.0
BESSEMER INVESTMENT	085	С	В	390	50.71	n/a	17-Jun	15.60	0.0
INTERVAL PARTNERS	033	DCI	В	25,000	39.33	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	DG	В	415	59.07	n/a	4-Jun	16.60	0.0
CHARTERBRIDGE CAPITAL	025	DISH	S	20,000	49.80	n/a	n/a	600.00	0.0
CADIAN CAPITAL	041	DLTR	S	9,000	59.34	n/a	4-Jun	270.00	0.0
CADIAN CAPITAL	041	DSW	S	900	46.12	n/a	11-Feb	27.00	0.0
KEYGROUP/KGLT	040	ECA	SS	25,000	18.95	n/a	n/a	1,000.00	0.0
MAPLE ROW	006	ETFC	В	5,000	17.51	n/a	n/a	150.00	0.0
CADIAN CAPITAL	041	FL	S	27,000	37.07	n/a	19-Jun	810.00	0.0
MOORE CAPITAL	257	F	SS	50,000	16.82	n/a	19-Jun	1,500.00	0.0
	BESSEMER INVESTMENT BESSEMER INVESTMENT GROUP BESSEMER INVESTMENT BESSEMER INVESTMENT BESSEMER INVESTMENT INTERVAL PARTNERS BESSEMER INVESTMENT CHARTERBRIDGE CAPITAL CADIAN CAPITAL KEYGROUP/KGLT MAPLE ROW CADIAN CAPITAL	BESSEMER INVESTMENT 085 BESSEMER INVESTMENT GROUP 287 BESSEMER INVESTMENT 085 BESSEMER INVESTMENT 085 BESSEMER INVESTMENT 085 INTERVAL PARTNERS 033 BESSEMER INVESTMENT 085 CHARTERBRIDGE CAPITAL 025 CADIAN CAPITAL 041 KEYGROUP/KGLT 040 MAPLE ROW 006 CADIAN CAPITAL 041	BESSEMER INVESTMENT 085 CMI BESSEMER INVESTMENT 085 COP SENATOR INVESTMENT GROUP 287 CPRT BESSEMER INVESTMENT 085 CTL BESSEMER INVESTMENT 085 CVS BESSEMER INVESTMENT 085 C INTERVAL PARTNERS 033 DCI BESSEMER INVESTMENT 085 DG CHARTERBRIDGE CAPITAL 025 DISH CADIAN CAPITAL 041 DLTR CADIAN CAPITAL 041 DSW KEYGROUP/KGLT 040 ECA MAPLE ROW 006 ETFC CADIAN CAPITAL 041 FL	BESSEMER INVESTMENT 085 CMI B BESSEMER INVESTMENT 085 COP B SENATOR INVESTMENT GROUP 287 CPRT B BESSEMER INVESTMENT 085 CTL B BESSEMER INVESTMENT 085 CVS B BESSEMER INVESTMENT 085 C B INTERVAL PARTNERS 033 DCI B BESSEMER INVESTMENT 085 DG B CHARTERBRIDGE CAPITAL 025 DISH S CADIAN CAPITAL 041 DLTR S CADIAN CAPITAL 041 DSW S KEYGROUP/KGLT 040 ECA SS MAPLE ROW 006 ETFC B CADIAN CAPITAL 041 FL S	BESSEMER INVESTMENT 085 CMI B 45 BESSEMER INVESTMENT 085 COP B 275 SENATOR INVESTMENT GROUP 287 CPRT B 32,506 BESSEMER INVESTMENT 085 CTL B 380 BESSEMER INVESTMENT 085 CVS B 340 BESSEMER INVESTMENT 085 C B 390 INTERVAL PARTNERS 033 DCI B 25,000 BESSEMER INVESTMENT 085 DG B 415 CHARTERBRIDGE CAPITAL 025 DISH S 20,000 CADIAN CAPITAL 041 DLTR S 9,000 KEYGROUP/KGLT 040 ECA SS 25,000 MAPLE ROW 006 ETFC B 5,000 CADIAN CAPITAL 041 FL S 27,000	BESSEMER INVESTMENT 085 CMI B 45 132.25 BESSEMER INVESTMENT 085 COP B 275 72.24 SENATOR INVESTMENT GROUP 287 CPRT B 32,506 32.94 BESSEMER INVESTMENT 085 CTL B 380 32.14 BESSEMER INVESTMENT 085 CVS B 340 65.68 BESSEMER INVESTMENT 085 C B 390 50.71 INTERVAL PARTNERS 033 DCI B 25,000 39.33 BESSEMER INVESTMENT 085 DG B 415 59.07 CHARTERBRIDGE CAPITAL 025 DISH S 20,000 49.80 CADIAN CAPITAL 041 DLTR S 9,000 59.34 CADIAN CAPITAL 040 ECA SS 25,000 18.95 MAPLE ROW 006 ETFC B 5,000 17.51 CADIAN CAPITAL 041 FL S 27,000 37.07	BESSEMER INVESTMENT 085 CMI B 45 132.25 n/a BESSEMER INVESTMENT 085 COP B 275 72.24 n/a SENATOR INVESTMENT GROUP 287 CPRT B 32,506 32.94 n/a BESSEMER INVESTMENT 085 CTL B 380 32.14 n/a BESSEMER INVESTMENT 085 CVS B 340 65.68 n/a BESSEMER INVESTMENT 085 C B 390 50.71 n/a INTERVAL PARTNERS 033 DCI B 25,000 39.33 n/a BESSEMER INVESTMENT 085 DG B 415 59.07 n/a CHARTERBRIDGE CAPITAL 025 DISH S 20,000 49.80 n/a CADIAN CAPITAL 041 DLTR S 9,000 59.34 n/a KEYGROUP/KGLT 040 ECA SS 25,000 18.95 n/a MAPLE ROW 006 ETFC B 5,000 17.51 n/a CADIAN CAPITAL 041 FL S 27,000 37.07 n/a	BESSEMER INVESTMENT 085 CMI B 45 132.25 n/a n/a BESSEMER INVESTMENT 085 COP B 275 72.24 n/a n/a SENATOR INVESTMENT GROUP 287 CPRT B 32,506 32.94 n/a n/a BESSEMER INVESTMENT 085 CTL B 380 32.14 n/a n/a BESSEMER INVESTMENT 085 CVS B 340 65.68 n/a n/a BESSEMER INVESTMENT 085 C B 390 50.71 n/a 17-Jun INTERVAL PARTNERS 033 DCI B 25,000 39.33 n/a n/a BESSEMER INVESTMENT 085 DG B 415 59.07 n/a 4-Jun CHARTERBRIDGE CAPITAL 025 DISH S 20,000 49.80 n/a n/a CADIAN CAPITAL 041 DLTR S 9,000 59.34 n/a 1-Feb KEYGROUP/KGLT 040 ECA SS 25,000 18.95 n/a n/a MAPLE ROW 006 ETFC B 5,000 17.51 n/a 19-Jun	BESSEMER INVESTMENT 085 CMI B 45 132.25 n/a n/a 1.80 BESSEMER INVESTMENT 085 COP B 275 72.24 n/a n/a 11.00 SENATOR INVESTMENT GROUP 287 CPRT B 32,506 32.94 n/a n/a 975.18 BESSEMER INVESTMENT 085 CTL B 380 32.14 n/a n/a 15.20 BESSEMER INVESTMENT 085 CVS B 340 65.68 n/a n/a 17-Jun 15.60 INTERVAL PARTNERS 033 DCI B 25,000 39.33 n/a n/a 750.00 BESSEMER INVESTMENT 085 DG B 415 59.07 n/a 4-Jun 16.60 CHARTERBRIDGE CAPITAL 025 DISH S 20,000 49.80 n/a n/a 4-Jun 270.00 CADIAN CAPITAL 041 DLTR S 900 46.12 n/a 11-Feb 27.00 KEYGROUP/KGLT 040 ECA SS </td

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	nm.¢/Shr.	
KOLVEN CAPITAL	025	GM	В	2,000	37.94	n/a	19-Jun	60.00	0.0	
MOORE CAPITAL	257	GM	В	50,000	38.62	n/a	19-Jun	1,500.00	0.0	
ROSEDALE CAPITAL	046	GM	В	5,000	38.09	n/a	19-Jun	200.00	0.0	
CHARTERBRIDGE CAPITAL	025	GRPN	S	200,000	9.97	n/a	n/a	6,000.00	0.0	
BESSEMER INVESTMENT	085	IBM	В	135	184.87	n/a	n/a	5.40	0.0	
PENNANT CAP MGMT	250	ICON	В	90,150	38.10	n/a	n/a	2,704.50	0.0	
BESSEMER INVESTMENT	085	ITW	В	235	79.60	n/a	n/a	9.40	0.0	
COUGAR TRADING	044	JBLU	В	25,000	8.72	n/a	18-Jun	1,250.00	0.0	
PENNANT CAP MGMT	250	JCOM	В	43,000	46.76	n/a	n/a	1,290.00	0.0	
CADIAN CAPITAL	041	JWN	SS	25,000	62.02	n/a	18-Jun	750.00	0.0	
BESSEMER INVESTMENT	085	KEY	В	530	12.72	n/a	n/a	21.20	0.0	
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	50,000	53.84	n/a	18-Jun	1,500.00	0.0	
SYSTEMATIC FINANCIAL MGT	070	LCC	В	272,425	24.63	n/a	18-Jun	8,172.75	0.0	
STRONG/MARK GRONET	030	LFL	В	10,000	16.50	n/a	n/a	400.00	0.0	
FRED ALGER MGMT	300	LNC	S	960	50.23	n/a	n/a	34.56	0.0	
BESSEMER INVESTMENT	085	LO	В	255	52.81	n/a	n/a	10.20	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
BESSEMER INVESTMENT	085	LTD	В	370	64.04	n/a	n/a	14.80	0.0
MAPLE ROW	006	LUV	S	8,000	18.25	n/a	18-Jun	240.00	0.0
PENNANT CAP MGMT	250	MDP	В	32,000	51.72	n/a	n/a	960.00	0.0
HERRING CREEK CAPITAL	040	MKC	SS	14,265	69.28	n/a	n/a	427.95	0.0
CORTEX CAPITAL	031	MOVE	S	20,000	16.04	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	MRO	В	300	36.40	n/a	n/a	12.00	0.0
BESSEMER INVESTMENT	085	MS	В	215	30.30	n/a	6-Jun	8.60	0.0
BESSEMER INVESTMENT	085	MYL	В	1,510	41.79	n/a	17-Jun	60.40	0.0
BESSEMER INVESTMENT	085	М	В	620	50.39	n/a	18-Jun	24.80	0.0
BESSEMER INVESTMENT	085	NLSN	В	25	40.61	n/a	n/a	1.00	0.0
BESSEMER INVESTMENT	085	PFE	В	1,160	32.01	n/a	n/a	46.40	0.0
BASSWOOD PARTNERS	267	PVTB	S	7,678	26.25	n/a	n/a	307.12	0.0
CHART WELL ADV	028	PVTB	В	230,366	26.22	n/a	n/a	9,214.64	0.0
FRED ALGER MGMT	300	PWR	S	1,610	29.46	n/a	n/a	57.96	0.0
TUDOR INVESTORS	028	PWR	S	10,000	29.47	n/a	n/a	300.00	0.0
NOKOMIS PARTNERS	031	Р	В	24,000	28.77	n/a	n/a	720.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/	Shr.
BESSEMER INVESTMENT	085	QCOM	В	450	72.04	n/a	n/a	18.00	0.0
FRED ALGER MGMT	300	SBUX	S	1,320	80.40	n/a	17-Jun	47.52	0.0
BESSEMER INVESTMENT	085	TGT	В	370	66.56	n/a	23-May	14.80	0.0
BESSEMER INVESTMENT	085	TMO	В	310	100.65	n/a	n/a	12.40	0.0
CADIAN CAPITAL	041	TSCO	S	43,892	71.81	n/a	n/a	1,316.76	0.0
ROTHSCHILD ASSET	040	TYL	S	8,709	100.89	n/a	n/a	348.36	0.0
NEW VERNON/SF INVESTMENTS	031	UAL	В	38,850	38.37	n/a	18-Jun	1,942.50	0.0
BESSEMER INVESTMENT	085	UNP	В	145	159.06	n/a	n/a	5.80	0.0
SIMMONS VENTURES	041	URBN	В	5,000	39.05	n/a	n/a	250.00	0.0
DEPRINCE, RACE & ZOLLO	093	WFM	SS	4,500	56.93	n/a	n/a	225.00	0.0
EMPYREAN CAPITAL	084	XLK	С	160,000	34.13	n/a	n/a	4,800.00	0.0
FORTRESS INVESTMENT (US)	036	XLP	В	46,500	43.10	n/a	n/a	1,395.00	0.0
BESSEMER INVESTMENT	085	ZMH	В	435	89.57	n/a	n/a	17.40	0.0

TOTAL (Trade Date): 71,157.20

Туре	Date Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):							0.00
TOTAL	(Trade Date):						71,1	57.20
TOTAL	(AO, CXL, CRT):							0.00
TOTAL	(RUN DATE) / NFS:						71,1	57.20

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