



## Daily Compliance Activity Report

Trade Date: 01/17/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	B	190	83.08	n/a	n/a	7.60	4.0
COLUMBUS CIRCLE	036	ACIW	S	3,798	45.87	n/a	n/a	151.92	0.0
BESSEMER INVESTMENT	085	ACN	B	215	70.15	n/a	n/a	8.60	4.0
BESSEMER INVESTMENT	085	AET	B	320	46.29	n/a	n/a	12.80	4.0
BESSEMER INVESTMENT	085	AVGO	B	270	34.68	n/a	n/a	10.80	4.0
NEWLAND CAPITAL MGT	025	AXL	B	10,000	11.14	n/a	17-Jan	400.00	4.0
SAGE ASSET MGMT	025	BAC	B	23,800	11.40	n/a	17-Jan	1,190.00	5.0
GALT INVESTMENT	041	BBRG	S	10,000	13.70	n/a	n/a	400.00	4.0
SCOPUS FUND	041	BWA	SS	25,000	75.80	n/a	11-Jan	1,000.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CBL	B	100	21.32		n/a	n/a	3.00 3.0
CASTLEROCK	040	CMG	SS	7,549	291.16	n/a	17-Jan	301.96	0.0
BESSEMER INVESTMENT	085	COH	B	215	60.97	n/a	5-Nov	8.60	4.0
BESSEMER INVESTMENT	085	COP	B	185	58.98	n/a	n/a	7.40	4.0
BESSEMER INVESTMENT	085	CTL	B	240	39.70	n/a	n/a	9.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BESSEMER INVESTMENT	085	CVS	B	215	51.91	n/a	n/a	8.60	4.0	
BESSEMER INVESTMENT	085	C	B	240	41.20	n/a	17-Jan	9.60	4.0	
MADISON ST PARTNERS LLC	046	C	B	25,000	41.34	n/a	17-Jan	1,250.00	5.0	
BESSEMER INVESTMENT	085	DG	B	430	44.91	n/a	12-Dec	17.20	4.0	
BESSEMER INVESTMENT	085	DTE	B	95	61.17	n/a	n/a	3.80	4.0	
LATEEF MGMT	033	DVN	B	250	54.18	n/a	17-Jan	40.00	16.0	
BESSEMER INVESTMENT	085	EXC	B	270	30.00	n/a	n/a	10.80	4.0	
LAKEWOOD CAPITAL MGMT	085	FAZ	SS	10,000	13.05	n/a	n/a	300.00	0.0	
FARALLON CAP MGMT	040	FDX	B	42,407	99.89	n/a	n/a	1,696.28	4.0	
NWQ INVESTMENT MGMT CO	084	FOR	B	13,000	18.97	n/a	8-Nov	455.00	0.0	
BESSEMER INVESTMENT	085	GD	B	100	70.01	n/a	17-Jan	4.00	4.0	
J. GOLDMAN	028	GE	SS	70,000	21.30	n/a	n/a	2,800.00	4.0	
VISIUM/BALY BOBBY	044	GE	S	25,000	21.24	n/a	n/a	1,250.00	0.0	
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	29.49	n/a	17-Jan	300.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	HCP	S	5,000	46.31		n/a	n/a	200.00	4.0
GALT INVESTMENT	041	HD	SS	10,000	64.90	n/a	n/a	500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Nilsa Vazquez		HOV	B	1000	5.7980	n/a	n/a	0.00	0.0
Õ Nilsa Vazquez		HOV	B	1000	5.9800	n/a	n/a	0.00	0.0
STELLIAM INV ADV	086	HRL	S	18,500	34.55	n/a	n/a	740.00	0.0
M&I FUNDS	047	HXL	B	18,522	27.13	n/a	15-Jan	740.88	3.5
BESSEMER INVESTMENT	085	IBM	B	90	193.49	n/a	n/a	3.60	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	65,000	41.29	n/a	17-Jan	3,250.00	5.0
BESSEMER INVESTMENT	085	JNJ	B	215	72.74	n/a	n/a	8.60	4.0
SCOPUS FUND	041	LAD	B	10,000	39.80	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	LOW	B	240	36.17	n/a	n/a	9.60	4.0
BESSEMER INVESTMENT	085	MRO	B	400	32.69	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	590	27.11	n/a	n/a	23.60	4.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	20.54	n/a	15-Jan	2,500.00	5.0
BESSEMER INVESTMENT	085	M	B	375	38.85	n/a	14-Jan	15.00	4.0
LOMAS CAPITAL	040	OC	S	20,000	39.97	n/a	n/a	600.00	3.0
SANDLER CAPITAL	028	PH	C	67,800	91.08	n/a	n/a	3,390.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	55,000	39.65	n/a	17-Jan	2,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
T. ROWE PRICE	243	PKG	S	55,100	40.03	n/a	17-Jan	2,204.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	215	65.15	n/a	n/a	8.60	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	20,000	73.98	n/a	17-Jan	1,000.00	5.0
CORNERSTONE	030	RL	B	124,647	167.49	n/a	5-Nov	3,739.41	0.0
SUFFOLK CAPITAL MGMT	040	RL	B	7,500	166.57	n/a	5-Nov	300.00	0.0
KENNEDY CAPITAL	046	RUE	B	13,000	29.95	n/a	n/a	520.00	0.0
JETSTREAM GLOBAL FUND LP	065	SPY	S	250,000	148.09	n/a	n/a	12,500.00	5.0
COUGAR TRADING	044	SSI	S	15,000	22.87	n/a	17-Jan	750.00	5.0
FINDLAY PARK PART	085	STT	S	200,750	50.42	n/a	15-Jan	15,183.84	0.0
BESSEMER INVESTMENT	085	STX	B	215	34.63	n/a	n/a	8.60	4.0
LAKEWOOD CAPITAL MGMT	085	SVM	C	15,000	4.79	n/a	n/a	450.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SWY	S	5,000	18.11	n/a	n/a	150.00	3.0
CATAPULT	040	TFM	B	14,909	48.49	n/a	n/a	596.36	0.0
BESSEMER INVESTMENT	085	TMO	B	240	68.33	n/a	n/a	9.60	4.0
BESSEMER INVESTMENT	085	UNH	B	270	53.67	n/a	n/a	10.80	4.0
BESSEMER INVESTMENT	085	WAG	B	485	39.57	n/a	n/a	19.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GLG PARTNERS	044	WMT	SS	29,943	68.82	n/a	15-Nov	898.29	0.0
BESSEMER INVESTMENT	085	WM	B	295	35.06	n/a	n/a	11.80	4.0
TUDOR INVESTORS	028	WSM	B	12,500	44.49	n/a	n/a	375.00	3.0
BESSEMER INVESTMENT	085	ZMH	B	270	72.73	n/a	n/a	10.80	4.0
<b>TOTAL (Trade Date) :</b>								<b>65,551.34</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/16	CASTLEROCK (CASTMERRIL)	040	BA	B	4,135	74.02	n/a	16-Jan	165.40 4.0
AO,CXL	01/16	CASTLEROCK (CASTUBS)	040	BA	B	33,700	74.02	n/a	16-Jan	1348.00 4.0
CRT	01/17	GALT INVESTMENT (GALTGS)	041	BBRG	S	10,000	13.70	n/a	n/a	400.00 4.0
CRT	01/17	FINDLAY PARK PART (FINDAMERS)	085	STT	S	198,000	50.42	n/a	15-Jan	14975.84 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>13,862.44</b>

TOTAL (Trade Date) :	65,551.34
TOTAL (AO, CXL, CRT) :	13,862.44

<b>TOTAL (RUN DATE) / NFS :</b>	<b>79,413.78</b>
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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