



## Daily Compliance Activity Report

Trade Date: 07/23/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	S	20	423.20	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	AAPL	B	10	422.72	n/a	n/a	0.50	0.0
PATTEN & PATTEN	025	AA	S	4,000	8.13	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	ACE	B	1,220	95.51	n/a	n/a	48.80	0.0
BESSEMER INVESTMENT	085	ACN	B	830	75.13	n/a	n/a	33.20	0.0
BESSEMER INVESTMENT	085	AET	B	1,565	65.54	n/a	n/a	62.60	0.0
BESSEMER INVESTMENT	085	AIG	B	1,565	47.64	n/a	n/a	62.60	0.0
SCOUT/UMB	047	ALK	B	2,375	61.89	n/a	n/a	71.25	0.0
STRONG/MARK GRONET	030	ALK	S	40,000	61.88	n/a	n/a	1,600.00	0.0
BESSEMER INVESTMENT	085	APD	B	410	100.52	n/a	n/a	16.40	0.0
BESSEMER INVESTMENT	085	APH	B	1,500	78.70	n/a	n/a	60.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	2,475	38.07	n/a	n/a	99.00	0.0
BESSEMER INVESTMENT	085	AWK	B	2,595	43.54	n/a	n/a	103.80	0.0
KADE CAPITAL LLC	028	AXE	S	7,500	79.70	n/a	16-May	375.00	0.0
PATRIOT STRATEGY PARTNERS	036	AXE	B	5,000	78.33	n/a	16-May	250.00	0.0
ROSEDALE CAPITAL	046	AXL	B	10,000	19.38	n/a	19-Jun	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	AXP	B	525	74.51	n/a	19-Jun	26.25	0.0
PATTEN & PATTEN	025	BDBD	B	16,700	13.88	n/a	n/a	835.00	0.0
BASSWOOD PARTNERS	267	BK	B	39,000	32.25	n/a	6-Jun	1,560.00	0.0
GALT INVESTMENT	041	CAB	B	20,000	66.24	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	CAT	S	4,060	85.48	n/a	11-Jul	203.00	0.0
PATTEN & PATTEN	025	CBT	B	200	40.80	n/a	n/a	10.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CLDT	B	10,674	18.82		n/a	n/a	320.22 0.0
PATTEN & PATTEN	025	CNI	S	20	99.87	n/a	n/a	1.00	0.0
BESSEMER INVESTMENT	085	COH	B	1,415	59.43	n/a	30-May	56.60	0.0
BASSWOOD PARTNERS	267	COL	B	20,000	70.68	n/a	11-Jun	800.00	0.0
BESSEMER INVESTMENT	085	COP	B	1,165	66.09	n/a	n/a	46.60	0.0
BESSEMER INVESTMENT	085	CTL	B	1,650	35.96	n/a	n/a	66.00	0.0
PATTEN & PATTEN	025	CTXS	B	1,000	66.02	n/a	n/a	50.00	0.0
BESSEMER INVESTMENT	085	CVS	B	1,470	61.97	n/a	n/a	58.80	0.0
BESSEMER INVESTMENT	085	C	B	1,660	53.18	n/a	17-Jun	66.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERRING CREEK CAPITAL MGMT LLC	040	DECK	SS	10,000	57.99	n/a	n/a	300.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	DELL	S	31,000	13.00	n/a	n/a	620.00	0.0
BESSEMER INVESTMENT	085	DG	B	2,850	53.65	n/a	4-Jun	114.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	B	50,000	60.51	n/a	10-May	1,500.00	0.0
BESSEMER INVESTMENT	085	DTE	B	625	70.71	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	DUK	S	1,581	71.33	n/a	n/a	79.05	0.0
PATTEN & PATTEN	025	D	S	900	59.85	n/a	n/a	45.00	0.0
PATTEN & PATTEN	025	ECA	S	900	17.68	n/a	n/a	45.00	0.0
CRAMER ROSENTHAL	070	EL	B	34,700	65.99	n/a	17-Jun	1,388.00	0.0
PATTEN & PATTEN	025	EWC	S	8,375	28.19	n/a	n/a	418.75	0.0
PATTEN & PATTEN	025	EWZ	S	440	45.37	n/a	n/a	22.00	0.0
DELTEC ASSET MGMT.	040	FCX	S	8,901	29.85	n/a	n/a	445.05	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	40,000	17.12	n/a	19-Jun	1,200.00	0.0
OZ MGMT	040	F	SS	150,000	16.95	n/a	19-Jun	4,500.00	0.0
PHILADELPHIA FINANCIAL	033	F	SS	150,000	16.89	n/a	19-Jun	6,000.00	0.0
STELLIAM INV ADV	086	GBX	S	25,000	23.30	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYSTONE CAPITAL	040	GNTX	SS	50,000	23.41	n/a	19-Jun	1,500.00	0.0
STELLIAM INV ADV	086	HFC	B	45,000	43.80	n/a	n/a	1,800.00	0.0
BESSEMER INVESTMENT	085	IBM	B	615	196.02	n/a	n/a	24.60	0.0
BESSEMER INVESTMENT	085	IFF	B	1,460	80.04	n/a	n/a	58.40	0.0
BESSEMER INVESTMENT	085	ITW	B	865	72.42	n/a	n/a	34.60	0.0
PATTEN & PATTEN	025	KMB	S	400	98.08	n/a	17-Jun	20.00	0.0
KEYGROUP/KGLT	040	KMI	B	25,000	39.02	n/a	n/a	1,000.00	0.0
STRONG/MARK GRONET	030	LCC	B	30,000	17.98	n/a	18-Jun	1,200.00	0.0
TIDE POINT CAPITAL	028	LEA	B	5,000	67.09	n/a	19-Jun	3.00	0.0
RIDGECREST INV MGMT LLC	028	LPX	S	20,000	17.27	n/a	19-Jun	800.00	0.0
PATTEN & PATTEN	025	MOS	B	11,640	53.68	n/a	n/a	582.00	0.0
BESSEMER INVESTMENT	085	MRO	B	2,675	37.68	n/a	n/a	107.00	0.0
BESSEMER INVESTMENT	085	MSFT	B	7,690	32.00	n/a	n/a	307.60	0.0
PATTEN & PATTEN	025	MWV	B	2,675	36.47	n/a	18-Jun	133.75	0.0
BESSEMER INVESTMENT	085	M	B	2,580	49.13	n/a	18-Jun	103.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	NKE	B	7,362	63.45	n/a	19-Jun	368.10	0.0
BESSEMER INVESTMENT	085	NLSN	B	2,740	33.35	n/a	n/a	109.60	0.0
PATTEN & PATTEN	025	NOK	B	11,940	4.01	n/a	n/a	597.00	0.0
STRONG/MARK GRONET	030	NR	S	12,000	12.55	n/a	n/a	480.00	0.0
COLUMBUS CIRCLE	036	N	S	4,000	93.55	n/a	n/a	160.00	0.0
HOTCHKIS & WILEY	084	ORCL	B	332,367	32.07	n/a	n/a	13,294.68	0.0
BESSEMER INVESTMENT	085	PFE	B	4,755	29.50	n/a	n/a	190.20	0.0
PATTEN & PATTEN	025	PFE	B	125	29.49	n/a	n/a	6.25	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			PIR	S	108,532	23.22	n/a	n/a	3,255.96 0.0
BESSEMER INVESTMENT	085	QCOM	B	1,800	62.53	n/a	n/a	72.00	0.0
BESSEMER INVESTMENT	085	RKT	B	1,000	108.24	n/a	17-Jun	40.00	0.0
PATTEN & PATTEN	025	RKT	S	855	106.36	n/a	17-Jun	42.75	0.0
BESSEMER INVESTMENT	085	SBUX	B	1,700	69.24	n/a	17-Jun	68.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		SHW	B	900	169.50		n/a n/a	27.00	0.0
OSKIE CAPITAL MGMT	224	STX	B	21,000	45.75	n/a	n/a	1,050.00	0.0
BESSEMER INVESTMENT	085	TGT	B	1,480	73.26	n/a	23-May	59.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	TGT	SS	20,000	72.94	n/a	23-May	600.00	0.0
PATTEN & PATTEN	025	TIF	S	20	78.62	n/a	n/a	1.00	0.0
BESSEMER INVESTMENT	085	TMO	B	1,245	89.83	n/a	n/a	49.80	0.0
WOODWAY FINANCIAL	031	TOT	S	150	52.74	n/a	n/a	7.50	0.0
J. GOLDMAN	028	TRN	B	33,000	37.80	n/a	n/a	1,320.00	0.0
PATTEN & PATTEN	025	TSCO	S	25	122.80	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	UNM	S	3,404	31.81	n/a	n/a	170.20	0.0
PATTEN & PATTEN	025	UTX	S	300	105.45	n/a	n/a	15.00	0.0
BESSEMER INVESTMENT	085	VIAB	B	1,775	73.73	n/a	n/a	71.00	0.0
BESSEMER INVESTMENT	085	WAG	B	2,295	51.24	n/a	n/a	91.80	0.0
J. GOLDMAN	028	WYN	B	41,000	60.26	n/a	n/a	1,640.00	0.0
FEDERATED INV/KAUFMAN	029	WY	B	58,100	29.40	n/a	19-Jun	2,905.00	0.0
TRELLUS PARTNERS LP	028	WY	B	20,000	29.51	n/a	19-Jun	600.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	1,840	84.36	n/a	n/a	73.60	0.0
PATTEN & PATTEN	025	ZTS	S	717	30.11	n/a	n/a	35.85	0.0

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**TOTAL (Trade Date):**

**61,381.76**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	ALLT	S	20,000	14.89	n/a	n/a	600.00 3.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	ALLT	S	20,000	14.89	n/a	n/a	600.00 0.0
AO,CXL	07/22	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	B	10,000	19.61	n/a	19-Jun	500.00 0.0
AO,CRT	07/22	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	B	10,000	19.61	n/a	19-Jun	400.00 4.0
AO,CXL	07/22	TALON ASSET MGMT. (TALOBARCL)	006	EAT	SS	5,000	39.46	n/a	13-May	250.00 0.0
AO,CRT	07/22	TALON ASSET MGMT. (TALOBARCL)	006	EAT	SS	5,000	39.46	n/a	13-May	150.00 3.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	FSL	B	20,000	15.53	n/a	n/a	600.00 0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	FSL	B	20,000	15.53	n/a	n/a	600.00 0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	HNR	S	10,000	4.79	n/a	n/a	300.00 0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	HNR	S	10,000	4.79	n/a	n/a	300.00 0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	OVTI	B	7,000	17.42	n/a	n/a	210.00 0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	OVTI	B	7,000	17.42	n/a	n/a	210.00 0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	SPY	SS	10,000	169.15	n/a	n/a	300.00 0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	SPY	SS	10,000	169.15	n/a	n/a	300.00 0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	SWKS	S	25,000	23.52	n/a	n/a	750.00 0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	SWKS	S	25,000	23.52	n/a	n/a	750.00 0.0
AO,CRT	07/22	CUMBERLAND (CUMBPERFLP)	033	XLP	SS	25,000	41.69	n/a	n/a	750.00 0.0
AO,CXL	07/22	CUMBERLAND (CUMBMS04)	033	XLP	SS	25,000	41.69	n/a	n/a	750.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-200.00</b>



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TOTAL (Trade Date):	61,381.76
TOTAL (AO, CXL, CRT):	-200.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>61,181.76</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