



Daily Compliance Activity Report

Trade Date: 10/18/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	1,375	422.39	n/a	n/a	55.00	4.0
BESSEMER INVESTMENT	085	AAP	B	900	59.83	n/a	n/a	36.00	4.0
SIMMONS VENTURES	041	AEO	SS	5,000	12.63	n/a	25-Aug	200.00	4.0
HIGHBRIDGE CAP	041	ANN	SS	14,000	26.36	n/a	n/a	420.00	3.0
BASSWOOD PARTNERS	267	AXP	C	16,600	46.51	n/a	17-Oct	664.00	4.0
BESSEMER INVESTMENT	085	AXP	S	1,806	46.44	n/a	17-Oct	72.24	4.0
SANDLER O'NEILL ASSET	031	AXP	B	10,000	46.04	n/a	17-Oct	500.00	5.0
HIGHBRIDGE CAP	041	BBY	SS	10,000	25.03	n/a	n/a	300.00	3.0
ROYCE TRADING	031	BKE	B	500	39.76	n/a	n/a	25.00	5.0
BESSEMER INVESTMENT	085	BMC	B	150	38.31	n/a	n/a	6.00	4.0
TALPION LLC	040	CAKE	C	5,000	25.95	n/a	14-Oct	200.00	4.0
BASIX	033	CBT	B	18,300	27.49	n/a	19-Sep	549.00	3.0
BESSEMER INVESTMENT	085	CFN	S	600	24.12	n/a	n/a	24.00	4.0
BESSEMER INVESTMENT	085	CHKP	B	1,100	59.41	n/a	n/a	44.00	4.0
SANDLER O'NEILL ASSET	031	C	S	25,000	29.84	n/a	18-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ACK ASSET	028	DAN	B	125,000	13.33	n/a	29-Jul	3,750.00	3.0
PRIMECAP MGMT	084	DE	S	82,475	69.79	n/a	14-Sep	3,299.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	DE	S	41,700	69.88	n/a	14-Sep	1,668.00	4.0
BASSWOOD PARTNERS	267	DFS	SS	30,400	22.90	n/a	17-Oct	1,216.00	4.0
BUCK CAPITAL MGMT	001	DSW	S	20,000	47.89	n/a	11-Feb	600.00	3.0
BESSEMER INVESTMENT	085	ECL	S	800	53.15	n/a	28-Sep	32.00	4.0
ROYCE TRADING	031	FINL	B	6,000	20.48	n/a	23-Sep	300.00	5.0
BESSEMER INVESTMENT	085	FISV	S	150	57.13	n/a	n/a	6.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	23.35	n/a	4-Oct	450.00	3.0
BESSEMER INVESTMENT	085	GOOG	S	65	590.66	n/a	n/a	2.60	4.0
SONTERRA CAP	041	HAS	B	20,000	33.85	n/a	n/a	800.00	4.0
COUGAR TRADING	044	HBI	S	10,000	26.59	n/a	21-Jul	500.00	5.0
MERRILL ASSET/BLACKROCK	297	HFC	S	11,900	34.55	n/a	n/a	476.00	4.0
RWC PARTNERS LTD	085	HLF	B	43,117	56.75	n/a	n/a	1,293.51	3.0
COLUMBUS CIRCLE	036	HRC	S	3,533	30.93	n/a	n/a	141.32	4.0
BESSEMER INVESTMENT	085	HSIC	S	275	63.03	n/a	n/a	11.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	HTZ	B	25,000	10.62	n/a	n/a	1,250.00	5.0
MELLON/BANK OF NEW YORK	046	IBM	S	168,083	178.29	n/a	n/a	6,723.32	4.0
BESSEMER INVESTMENT	085	IGT	S	400	16.01	n/a	13-Jun	16.00	4.0
BESSEMER INVESTMENT	085	JCI	S	725	32.44	n/a	13-Oct	29.00	4.0
HIGHBRIDGE CAP	041	JCP	SS	9,000	30.17	n/a	13-Oct	270.00	3.0
BESSEMER INVESTMENT	085	KFT	S	5,540	35.26	n/a	n/a	221.60	4.0
BESSEMER INVESTMENT	085	KO	S	6,300	67.25	n/a	18-Oct	252.00	4.0
CASTLEROCK	040	LVS	S	50,340	44.62	n/a	13-Jun	2,013.60	4.0
BESSEMER INVESTMENT	085	MA	S	511	338.56	n/a	13-Oct	20.44	4.0
BESSEMER INVESTMENT	085	MET	S	1,745	32.39	n/a	n/a	69.80	4.0
BESSEMER INVESTMENT	085	MSFT	S	15,125	27.29	n/a	n/a	605.00	4.0
SCOPUS FUND	041	M	B	50,000	30.04	n/a	7-Oct	2,000.00	4.0
TROUBH PART	070	M	SS	25,000	29.77	n/a	7-Oct	1,250.00	5.0
BESSEMER INVESTMENT	085	NOV	S	3,360	65.51	n/a	n/a	134.40	4.0
BESSEMER INVESTMENT	085	OXY	S	1,225	85.07	n/a	n/a	49.00	4.0
BESSEMER INVESTMENT	085	PCP	S	253	166.78	n/a	17-Oct	10.12	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	PETM	S	6,000	46.10	n/a	n/a	180.00	3.0
BESSEMER INVESTMENT	085	PFE	S	17,875	18.95	n/a	n/a	715.00	4.0
BESSEMER INVESTMENT	085	PG	S	5,310	65.27	n/a	10-Oct	212.40	4.0
MA CAPITAL MGMT/MELLON ADV041		PII	B	3,000	54.40	n/a	n/a	150.00	5.0
COOPER CREEK PART	028	PKG	B	10,000	24.76	n/a	18-Oct	400.00	4.0
MA CAPITAL MGMT/MELLON ADV041		PKG	B	5,000	24.71	n/a	18-Oct	200.00	4.0
MA CAPITAL MGMT/MELLON ADV041		PKG	S	5,000	24.86	n/a	18-Oct	150.00	3.0
SCOPUS FUND	041	PKG	S	18,800	24.61	n/a	18-Oct	752.00	4.0
BNP PARIBAS SEC	040	PLCE	B	19,100	44.42	n/a	18-Aug	955.00	5.0
MACQUARIE INVESTMENT MGMT.	040	PLCE	S	5,000	44.55	n/a	18-Aug	0.00	0.0
ROYCE TRADING	031	PLCE	B	1,500	44.71	n/a	18-Aug	75.00	5.0
NEUBERGER BERMAN	036	PLD	S	92,600	25.85	n/a	n/a	3,704.00	4.0
RAINIER INV MGMT	035	PX	B	59,850	101.68	n/a	7-Sep	2,394.00	4.0
BESSEMER INVESTMENT	085	QCOM	S	3,005	54.65	n/a	n/a	120.20	4.0
EPOCH INV MGMT	030	RTI	S	45,100	24.66	n/a	n/a	1,353.00	3.0
BESSEMER INVESTMENT	085	SEIC	S	675	15.20	n/a	n/a	27.00	4.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	40,000	119.34	n/a	n/a	2,000.00	5.0
OSKIE CAPITAL MGMT	224	STT	B	35,000	36.18	n/a	18-Oct	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	TUP	S	200	56.16	n/a	n/a	8.00	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	5,800	28.74	n/a	12-Oct	232.00	4.0
SIMMONS VENTURES	041	URBN	SS	5,000	23.50	n/a	n/a	200.00	4.0
MELLON/BANK OF NEW YORK	046	VMW	B	87,490	96.57	n/a	n/a	3,499.60	4.0
ROSEDALE CAPITAL	046	VZ	SS	10,000	37.07	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	WEC	S	300	31.71	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	XLNX	S	175	30.31	n/a	n/a	7.00	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	50,000	49.96	n/a	n/a	1,500.00	3.0
TUDOR INVESTORS	028	ZUMZ	B	50,000	21.18	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date) :								56,401.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/17	COLUMBUS CIRCLE (COLC3050)	036	HRC	S	4,467	30.73	n/a	n/a	178.68 4.0
CRT	10/18	OSKIE CAPITAL MGMT (OSKIGSPB)	224	STT	B	35,000	36.18	n/a	18-Oct	1750.00 5.0
TOTAL (AO, CXL, CRT) :										1,928.68

TOTAL (Trade Date):	56,401.15
TOTAL (AO, CXL, CRT):	1,928.68

TOTAL (RUN DATE) / NFS:	58,329.83
--------------------------------	------------------

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