



## Daily Compliance Activity Report

Trade Date: 03/06/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	AAPL	S	4,000	532.20	n/a	n/a	160.00	4.0
PATTEN & PATTEN	025	AAPL	S	150	529.01	n/a	n/a	7.50	5.0
BESSEMER INVESTMENT	085	ABX	B	606	45.73	n/a	n/a	24.24	4.0
BESSEMER INVESTMENT	085	ACE	B	767	72.47	n/a	n/a	30.68	4.0
BESSEMER INVESTMENT	085	ACE	S	195	71.74	n/a	n/a	7.80	4.0
BESSEMER INVESTMENT	085	ACN	B	740	60.56	n/a	n/a	29.60	4.0
PATTEN & PATTEN	025	AKS	B	10,000	6.97	n/a	n/a	500.00	5.0
CAERUS GLOBAL	041	ARCO	B	50,000	18.66	n/a	6-Mar	2,000.00	4.0
CATAPULT	040	BAC	B	12,000	7.72	n/a	5-Mar	480.00	4.0
BASSWOOD PARTNERS	267	BLK	S	4,719	194.32	n/a	n/a	188.76	4.0
KINGDON ASSET MGMT	041	BP	S	200,000	46.40	n/a	n/a	8,000.00	4.0
RAINIER INV MGMT	035	BWA	S	134,340	80.21	n/a	15-Feb	5,373.60	4.0
<b>Õ Nilsa Vazquez</b>		<b>BZH</b>	<b>B</b>	<b>1000</b>	<b>2.9900</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	BZ	S	25,000	8.16	n/a	n/a	1,250.00	5.0
BESSEMER INVESTMENT	085	CCL	B	797	29.74	n/a	n/a	31.88	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	CCL	S	430	29.49	n/a	n/a	17.20	4.0
PRIMECAP MGMT	084	CCL	B	88,559	29.46	n/a	n/a	3,542.36	4.0
BAIRD INVESTMENT	047	CLB	S	3,756	120.72	n/a	1-Mar	187.80	5.0
CATAPULT	040	CMA	S	5,850	28.44	n/a	n/a	234.00	4.0
BESSEMER INVESTMENT	085	CMCSA	S	535	28.98	n/a	n/a	21.40	4.0
CATAPULT	040	COF	S	1,000	48.72	n/a	2-Mar	40.00	4.0
BESSEMER INVESTMENT	085	COP	B	1,224	76.42	n/a	n/a	48.96	4.0
BESSEMER INVESTMENT	085	COP	S	110	76.38	n/a	n/a	4.40	4.0
PATTEN & PATTEN	025	COP	S	500	76.41	n/a	n/a	25.00	5.0
MERRILL ASSET/BLACKROCK	297	CRZO	B	1,800	27.71	n/a	n/a	72.00	4.0
PATTEN & PATTEN	025	CSJ	B	1,225	105.04	n/a	n/a	61.25	5.0
BESSEMER INVESTMENT	085	CTL	B	859	38.40	n/a	n/a	34.36	4.0
BESSEMER INVESTMENT	085	CTL	S	240	38.59	n/a	n/a	9.60	4.0
BESSEMER INVESTMENT	085	CVS	B	608	45.09	n/a	n/a	24.32	4.0
BESSEMER INVESTMENT	085	CVS	S	140	44.89	n/a	n/a	5.60	4.0
CATAPULT	040	DFS	B	35,000	29.82	n/a	1-Mar	1,400.00	4.0
BESSEMER INVESTMENT	085	DTE	B	578	54.03	n/a	n/a	23.12	4.0
BESSEMER INVESTMENT	085	DTE	S	70	53.90	n/a	n/a	2.80	4.0
DAVIDSON KEMPNER ADVISOR	040	ENB	SS	19,800	37.99	n/a	n/a	990.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PATTEN & PATTEN	025	EPR	B	350	45.52	n/a	n/a	17.50	5.0	
PATTEN & PATTEN	025	EWJ	S	101,700	9.78	n/a	n/a	5,085.00	5.0	
PATTEN & PATTEN	025	EWY	S	175	57.41	n/a	n/a	8.75	5.0	
BESSEMER INVESTMENT	085	EXC	B	764	38.79	n/a	n/a	30.56	4.0	
BESSEMER INVESTMENT	085	EXC	S	745	38.67	n/a	n/a	29.80	4.0	
BAIRD INVESTMENT	047	FCX	S	12,125	38.95	n/a	n/a	606.25	5.0	
BESSEMER INVESTMENT	085	FCX	B	468	38.97	n/a	n/a	18.72	4.0	
BESSEMER INVESTMENT	085	FCX	S	135	39.61	n/a	n/a	5.40	4.0	
PATTEN & PATTEN	025	FDX	S	13,600	88.14	n/a	n/a	680.00	5.0	
PRIMECAP MGMT	084	FDX	B	5,600	88.30	n/a	n/a	224.00	4.0	
BESSEMER INVESTMENT	085	FE	B	773	44.38	n/a	n/a	30.92	4.0	
CATAPULT	040	FHN	S	17,196	9.16	n/a	n/a	687.84	4.0	
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	15.11	n/a	23-Feb	400.00	4.0	
CATAPULT	040	FRC	B	5,000	29.72	n/a	n/a	200.00	4.0	
CAPITAL RESEARCH GROUP		085	FTI	B	117,899	49.78	n/a	n/a	4,126.47	3.5
PATTEN & PATTEN	025	F	S	1,500	12.04	n/a	2-Mar	75.00	5.0	
MERRILL ASSET/BLACKROCK	297	GDP	B	23,800	16.18	n/a	n/a	952.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	GD	B	668	71.79	n/a	14-Feb	26.72	4.0
BESSEMER INVESTMENT	085	GD	S	80	71.00	n/a	14-Feb	3.20	4.0
PATTEN & PATTEN	025	GLW	S	500	12.74	n/a	28-Feb	25.00	5.0
CASTLE ARK	031	HAL	S	435,339	34.07	n/a	n/a	21,766.95	5.0
ROTHSCHILD ASSET	040	HMN	B	15,994	17.19	n/a	n/a	639.76	4.0
CATAPULT	040	HSY	B	5,133	59.97	n/a	n/a	205.32	4.0
BESSEMER INVESTMENT	085	IBM	B	355	197.28	n/a	n/a	14.20	4.0
BESSEMER INVESTMENT	085	IBM	S	295	197.21	n/a	n/a	11.80	4.0
CAPITAL GROWTH MGMT.	241	IP	B	45,000	35.03	n/a	2-Feb	1,800.00	4.0
BALLAST CAP	040	IRM	B	7,800	28.95	n/a	n/a	390.00	5.0
MOORE CAPITAL	041	ITB	S	30,000	13.25	n/a	n/a	900.00	3.0
PATTEN & PATTEN	025	IXN	S	750	65.96	n/a	n/a	37.50	5.0
PATTEN & PATTEN	025	IYJ	S	200	68.27	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	IYR	S	40	60.17	n/a	n/a	2.00	5.0
PATTEN & PATTEN	025	IYW	S	150	72.72	n/a	n/a	7.50	5.0
BESSEMER INVESTMENT	085	JNJ	B	793	64.65	n/a	n/a	31.72	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	JNJ	S	220	64.27	n/a	n/a	8.80	4.0
THOMPSON SIEGAL&WALMSLEY	029	KSS	S	20,000	48.07	n/a	2-Mar	793.70	3.9
BMO NESBITT BURNS	041	LPX	S	24,000	7.91	n/a	7-Feb	1,200.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	7.94	n/a	7-Feb	2,500.00	5.0
PATTEN & PATTEN	025	LQD	B	775	116.64	n/a	n/a	38.75	5.0
BMO NESBITT BURNS	041	MERC	S	20,200	7.78	n/a	n/a	1,010.00	5.0
BESSEMER INVESTMENT	085	MGA	B	370	46.35	n/a	n/a	14.80	4.0
BESSEMER INVESTMENT	085	MGA	S	230	45.55	n/a	n/a	9.20	4.0
BESSEMER INVESTMENT	085	MHP	B	647	46.07	n/a	n/a	25.88	4.0
BESSEMER INVESTMENT	085	MHP	S	700	45.80	n/a	n/a	28.00	4.0
PATTEN & PATTEN	025	MMM	S	100	85.23	n/a	10-Feb	5.00	5.0
PATTEN & PATTEN	025	MOO	S	225	50.42	n/a	n/a	11.25	5.0
BESSEMER INVESTMENT	085	MRO	S	250	32.87	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	497	31.69	n/a	n/a	19.88	4.0
BESSEMER INVESTMENT	085	M	S	240	37.36	n/a	2-Mar	9.60	4.0
BESSEMER INVESTMENT	085	NEM	B	864	56.64	n/a	n/a	34.56	4.0
BESSEMER INVESTMENT	085	NEM	S	655	56.75	n/a	n/a	26.20	4.0
PATTEN & PATTEN	025	NOR	S	8,500	12.06	n/a	n/a	425.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	NOV	B	20,000	77.61	n/a	n/a	1,000.00	5.0
DAVIDSON KEMPNER ADVISOR	040	OKE	SS	9,200	82.40	n/a	n/a	460.00	5.0
PATTEN & PATTEN	025	ORCL	S	275	29.80	n/a	n/a	13.75	5.0
PATTEN & PATTEN	025	PFF	B	650	38.60	n/a	n/a	32.50	5.0
ROTHSCHILD ASSET	040	PIR	B	26,360	16.64	n/a	n/a	1,054.40	4.0
CAPITAL GROWTH MGMT.	241	PM	S	20,000	84.19	n/a	n/a	1,000.00	5.0
T. ROWE PRICE	033	PX	B	54,190	107.13	n/a	26-Jan	2,167.60	4.0
TRPA	033	PX	B	200	107.13	n/a	26-Jan	8.00	4.0
PATTEN & PATTEN	025	QCOM	S	1,050	61.65	n/a	n/a	52.50	5.0
CATAPULT	040	RF	B	10,500	5.72	n/a	n/a	420.00	4.0
CATAPULT	040	RJF	B	5,000	34.18	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	RKT	S	150	70.90	n/a	26-Jan	7.50	5.0
CATAPULT	040	SCHW	B	8,500	13.54	n/a	n/a	340.00	4.0
PATTEN & PATTEN	025	SDS	B	750	16.69	n/a	n/a	37.50	5.0
DAVIDSON KEMPNER ADVISOR	040	SE	SS	24,200	31.01	n/a	n/a	1,210.00	5.0
CAPITAL WORLD	085	SLE	B	200,000	20.85	n/a	n/a	7,000.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	SLE	B	35,000	20.87	n/a	n/a	1,400.00	4.0
PATTEN & PATTEN	025	SRZ	S	13,000	7.24	n/a	n/a	650.00	5.0
CARDINAL CAPITAL	044	SSI	S	9,000	13.75	n/a	n/a	450.00	5.0
DEVENNY CAP LLC	044	SUP	B	5,984	17.74	n/a	6-Mar	179.52	3.0
SUFFOLK CAPITAL MGMT	040	TGT	B	124,800	56.50	n/a	1-Mar	4,992.00	4.0
DECADE CAPITAL PARTNERS	040	THI	S	9,500	52.73	n/a	n/a	380.00	4.0
ROARING BLUE LION MGMT	031	TRLG	B	8,065	25.43	n/a	n/a	322.60	4.0
PATTEN & PATTEN	025	TRN	B	2,500	32.20	n/a	n/a	125.00	5.0
CATAPULT	040	TROW	SS	2,500	60.54	n/a	n/a	100.00	4.0
PATTEN & PATTEN	025	TSCO	S	500	85.71	n/a	n/a	25.00	5.0
BESSEMER INVESTMENT	085	UNH	B	552	55.20	n/a	n/a	22.08	4.0
BESSEMER INVESTMENT	085	UNH	S	140	54.33	n/a	n/a	5.60	4.0
BESSEMER INVESTMENT	085	UN	B	348	32.89	n/a	n/a	13.92	4.0
BESSEMER INVESTMENT	085	UN	S	245	32.66	n/a	n/a	9.80	4.0
PATTEN & PATTEN	025	UTF	B	16,000	17.54	n/a	n/a	800.00	5.0
CATAPULT	040	WDR	B	5,000	30.24	n/a	2-Mar	200.00	4.0
DECADE CAPITAL PARTNERS	040	WEN	B	103,700	4.83	n/a	2-Mar	4,148.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	WEN	S	80,128	4.80	n/a	2-Mar	2,804.52	3.5
DAVIDSON KEMPNER ADVISOR	040	WMB	SS	25,200	29.86	n/a	n/a	1,260.00	5.0
CATAPULT	040	WSM	B	3,117	37.40	n/a	n/a	124.68	4.0
BESSEMER INVESTMENT	085	WU	S	425	17.08	n/a	n/a	17.00	4.0
BESSEMER INVESTMENT	085	YUM	S	175	65.35	n/a	8-Feb	7.00	4.0
BALYASNY ASSET MGMT	044	ZUMZ	B	10,000	30.86	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date):</b>								<b>103,589.20</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/01	STELLIAM INV ADV (STLLGSBULK)	034	AER	S	10,100	13.15	n/a	n/a	303.00 3.0
AO,CRT	03/01	STELLIAM INV ADV (STLLGSBULK)	034	AER	S	10,100	13.15	n/a	n/a	505.00 5.0
AO,CXL	03/01	STELLIAM INV ADV (STLLGSBULK)	034	ATVI	B	130,000	11.74	n/a	n/a	3900.00 3.0
AO,CRT	03/01	STELLIAM INV ADV (STLLGSBULK)	034	ATVI	B	130,000	11.74	n/a	n/a	6500.00 5.0
AO,CXL	03/01	STELLIAM INV ADV (STLLGSBULK)	034	INTC	B	10,000	27.11	n/a	n/a	300.00 3.0
AO,CRT	03/01	STELLIAM INV ADV (STLLGSBULK)	034	INTC	B	10,000	27.11	n/a	n/a	500.00 5.0
AO,CRT	03/05	SCOPUS FUND (SCOPCS)	041	JWN	SS	8,900	53.40	n/a	2-Mar	356.00 4.0
AO,CXL	03/05	SCOPUS FUND (SCOPUBS)	041	JWN	SS	8,900	53.40	n/a	2-Mar	356.00 4.0
AO,	03/05	COLUMBUS CIRCLE (COLC3040)	036	SIMO	B	11,100	17.74	n/a	n/a	444.00 4.0

**TOTAL (AO, CXL, CRT) :****3,446.00**

TOTAL (Trade Date) :

103,589.20

TOTAL (AO, CXL, CRT) :

3,446.00

**TOTAL (RUN DATE) / NFS :****107,035.20**

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