



## Daily Compliance Activity Report

Trade Date: 05/07/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ May Tang		AAPL	B	35562.7000		n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ACE	B	410	75.93	n/a	n/a	16.40	4.0
BESSEMER INVESTMENT	085	ACE	S	460	75.88	n/a	n/a	18.40	4.0
COLUMBUS CIRCLE	036	ACIW	B	1,510	39.44	n/a	n/a	60.40	4.0
BESSEMER INVESTMENT	085	ACN	B	430	60.75	n/a	n/a	17.20	4.0
COOKBIELER	028	AVP	S	6,200	20.00	n/a	2-May	248.00	4.0
COOKBIELER	028	AXP	S	1,000	60.06	n/a	7-May	40.00	4.0
COOKBIELER	028	BAC	S	12,100	7.92	n/a	7-May	484.00	4.0
COOKBIELER	028	BAX	S	2,800	54.77	n/a	n/a	112.00	4.0
COOKBIELER	028	BBY	S	6,300	20.80	n/a	n/a	252.00	4.0
COOKBIELER	028	BDX	S	2,100	76.66	n/a	n/a	84.00	4.0
TUDOR INVESTORS	028	BKE	B	25,000	42.57	n/a	n/a	750.00	3.0
COOKBIELER	028	BLL	S	2,000	40.74	n/a	n/a	80.00	4.0
COOKBIELER	028	CAH	S	3,400	42.92	n/a	n/a	136.00	4.0
COOKBIELER	028	CCE	S	7,100	29.06	n/a	n/a	284.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOKBIELER	028	CCL	S	4,000	31.89	n/a	n/a	160.00	4.0
WILLIAMS TRADING/FOX POINT	025	CECO	SS	112,500	6.80	n/a	n/a	4,500.00	4.0
SENATOR INVESTMENT GROUP	036	CMA	SS	90,000	31.87	n/a	n/a	2,700.00	3.0
BESSEMER INVESTMENT	085	COP	B	265	52.53	n/a	n/a	10.60	4.0
CATAPULT	040	CPB	B	20,000	34.10	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	CTL	B	440	38.24	n/a	n/a	17.60	4.0
BESSEMER INVESTMENT	085	CVS	B	350	45.37	n/a	n/a	14.00	4.0
COOKBIELER	028	CVX	S	1,500	103.02	n/a	n/a	60.00	4.0
NEUBERGER BERMAN	036	CYBX	B	25,300	38.44	n/a	n/a	1,012.00	4.0
COOKBIELER	028	DGX	S	3,600	57.07	n/a	n/a	144.00	4.0
BESSEMER INVESTMENT	085	EXC	B	415	38.16	n/a	n/a	16.60	4.0
BESSEMER INVESTMENT	085	FCX	B	225	35.90	n/a	n/a	9.00	4.0
SENATOR INVESTMENT GROUP	036	FDO	B	25,000	68.25	n/a	7-May	750.00	3.0
BESSEMER INVESTMENT	085	FE	B	430	46.92	n/a	n/a	17.20	4.0
COOKBIELER	028	FISV	S	2,300	67.31	n/a	n/a	92.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOKBIELER	028	FLEX	S	25,600	6.65	n/a	n/a	1,024.00	4.0
RBC CAPITAL MARKETS	040	FL	B	5,000	30.23	n/a	7-Mar	200.00	4.0
OZ MGMT	040	F	C	72,397	10.64	n/a	2-May	2,171.91	3.0
OZ MGMT	040	GM	B	100,000	22.31	n/a	4-May	3,000.00	3.0
RBC CAPITAL MARKETS	040	GNC	B	3,800	37.64	n/a	n/a	152.00	4.0
COOKBIELER	028	HENGY	S	100	72.20	n/a	n/a	4.00	4.0
RBC CAPITAL MARKETS	040	HOT	SS	10,000	57.05	n/a	13-Jun	400.00	4.0
BASIX	033	HSC	S	36,000	19.68	n/a	4-May	1,080.00	3.0
COOKBIELER	028	ITW	S	4,100	56.74	n/a	25-Apr	164.00	4.0
BESSEMER INVESTMENT	085	JNJ	B	240	64.71	n/a	n/a	9.60	4.0
COOKBIELER	028	JNJ	S	3,900	64.79	n/a	n/a	156.00	4.0
SIMMONS VENTURES	041	JNY	B	7,500	10.16	n/a	26-Apr	300.00	4.0
COOKBIELER	028	JPM	S	6,200	41.83	n/a	7-May	248.00	4.0
COOKBIELER	028	KSS	S	4,600	50.31	n/a	4-May	184.00	4.0
WEINTRAUB CAPITAL MGT.	269	KSS	S	100,000	50.30	n/a	4-May	4,000.00	4.0
BESSEMER INVESTMENT	085	LOW	B	775	31.02	n/a	2-May	31.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	269	LOW	SS	50,000	30.97	n/a	2-May	2,000.00	4.0
SAGE ASSET MGMT	025	LPX	SS	119,800	9.40	n/a	7-May	5,990.00	5.0
COOKBIELER	028	LRCX	S	5,800	40.34	n/a	n/a	232.00	4.0
RBC CAPITAL MARKETS	040	MAR	B	1,405	39.00	n/a	13-Jun	56.20	4.0
COOKBIELER	028	MCD	S	2,000	95.55	n/a	7-May	80.00	4.0
BESSEMER INVESTMENT	085	MHP	B	355	48.59	n/a	n/a	14.20	4.0
COOKBIELER	028	MMM	S	2,200	88.10	n/a	1-May	88.00	4.0
COOKBIELER	028	MOLXA	S	5,700	21.72	n/a	n/a	228.00	4.0
BESSEMER INVESTMENT	085	MRO	B	895	26.66	n/a	n/a	35.80	4.0
BESSEMER INVESTMENT	085	MSFT	B	1,360	30.74	n/a	n/a	54.40	4.0
BESSEMER INVESTMENT	085	MSFT	S	230	30.69	n/a	n/a	9.20	4.0
COOKBIELER	028	MSFT	S	2,800	30.76	n/a	n/a	112.00	4.0
BESSEMER INVESTMENT	085	M	B	575	40.79	n/a	4-May	23.00	4.0
KLEINHEINZ CAP PART	031	M	S	25,000	40.58	n/a	4-May	1,250.00	5.0
BESSEMER INVESTMENT	085	NEM	B	470	45.69	n/a	n/a	18.80	4.0
RBC CAPITAL MARKETS	040	NKE	SS	10,000	111.74	n/a	23-Mar	400.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	27.83	n/a	16-Apr	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOKBIELER	028	NVR	S	100	801.70	n/a	n/a	4.00	4.0
SANDLER CAPITAL	028	OII	S	70,000	48.06	n/a	n/a	3,500.00	5.0
COOKBIELER	028	OMC	S	6,100	51.45	n/a	n/a	244.00	4.0
COLUMBUS CIRCLE	036	PLXS	B	1,167	31.15	n/a	n/a	46.68	4.0
COOKBIELER	028	PM	S	1,600	88.36	n/a	n/a	64.00	4.0
COOKBIELER	028	PNC	S	2,500	65.87	n/a	n/a	100.00	4.0
RBC CAPITAL MARKETS	040	PVH	B	4,300	84.80	n/a	19-Apr	172.00	4.0
COOKBIELER	028	RKT	S	2,100	58.44	n/a	26-Apr	84.00	4.0
COOKBIELER	028	RSG	S	6,200	27.01	n/a	n/a	248.00	4.0
COOKBIELER	028	SCHW	S	11,700	13.50	n/a	n/a	468.00	4.0
COOKBIELER	028	STT	S	6,600	45.15	n/a	7-May	264.00	4.0
BESSEMER INVESTMENT	085	STX	B	1,390	30.51	n/a	n/a	55.60	4.0
KACELA CAPITAL	034	SWK	B	22,000	72.44	n/a	n/a	880.00	4.0
COOKBIELER	028	TEL	S	4,600	34.18	n/a	n/a	184.00	4.0
BESSEMER INVESTMENT	085	TGT	B	395	56.03	n/a	3-May	15.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	TR	S	5,000	22.45	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	TUP	SS	5,000	59.32	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	ULTA	SS	5,000	86.22	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	VFC	SS	2,200	148.46	n/a	27-Apr	88.00	4.0
DE SHAW	070	VHC	SS	23,200	31.57	n/a	n/a	696.00	3.0
COOKBIELER	028	VOD	S	8,000	27.94	n/a	n/a	320.00	4.0
CAMBIAR CAP	046	WRC	B	49,870	47.80	n/a	4-May	1,994.80	4.0
COOKBIELER	028	WSH	S	3,200	36.18	n/a	n/a	128.00	4.0
BESSEMER INVESTMENT	085	WU	B	1,475	17.76	n/a	n/a	59.00	4.0
COOKBIELER	028	WU	S	12,100	17.68	n/a	n/a	484.00	4.0
SENATOR INVESTMENT GROUP	036	WWW	B	200,000	43.49	n/a	n/a	6,000.00	3.0
BALYASNY ASSET MGMT	044	WY	B	50,000	20.36	n/a	4-May	2,500.00	5.0
COOKBIELER	028	XOM	S	3,100	84.32	n/a	n/a	124.00	4.0
BESSEMER INVESTMENT	085	ZMH	B	1,225	63.59	n/a	n/a	49.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>56,374.39</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/07	SIMMONS VENTURES (SIMMJPM)	041	JNY	B	7,500	10.16	n/a	26-Apr	300.00 4.0
CRT	05/07	SAGE ASSET MGMT (SAGEJEFF)	025	LPX	SS	119,800	9.40	n/a	7-May	5990.00 5.0
AO,CXL	05/04	SCOPUS FUND (SCOPCS)	041	PVH	B	45,000	87.90	n/a	19-Apr	1800.00 4.0
AO,CRT	05/04	SCOPUS FUND (SCOPCS)	041	PVH	B	44,500	87.90	n/a	19-Apr	1780.00 4.0
AO,CXL	05/04	SCOPUS FUND (SCOPGS)	041	PVH	B	5,000	87.90	n/a	19-Apr	200.00 4.0
AO,CRT	05/04	SCOPUS FUND (SCOPGS)	041	PVH	B	5,500	87.90	n/a	19-Apr	220.00 4.0
CRT	05/07	RBC CAPITAL MARKETS (RBCCMAIN)	040	TUP	SS	5,000	59.32	n/a	n/a	200.00 4.0

**TOTAL (AO, CXL, CRT) :****6,490.00**

TOTAL (Trade Date) :

56,374.39

TOTAL (AO, CXL, CRT) :

6,490.00

**TOTAL (RUN DATE) / NFS :****62,864.39**

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