



## Daily Compliance Activity Report

Trade Date: 10/11/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	B	200	77.43	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	ACN	B	330	69.87	n/a	n/a	13.20	4.0
TUDOR INVESTORS	028	ADT	S	5,500	36.00	n/a	n/a	165.00	3.0
OHIO PERS	047	AMT	S	5,000	71.64	n/a	n/a	150.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	180	33.11	n/a	n/a	7.20	4.0
BESSEMER INVESTMENT	085	BA	B	100	71.06	n/a	5-Oct	4.00	4.0
BRONSON POINT	036	CBS	C	12,500	33.60	n/a	n/a	375.00	0.0
SANDLER O'NEILL ASSET	031	CBU	B	21,888	28.45	n/a	n/a	1,094.40	5.0
TUDOR INVESTORS	028	CLD	S	15,000	18.89	n/a	n/a	450.00	3.0
TUDOR INVESTORS	028	CNX	B	15,000	35.46	n/a	n/a	450.00	3.0
BESSEMER INVESTMENT	085	COH	B	220	54.67	n/a	1-Aug	8.80	4.0
BESSEMER INVESTMENT	085	COP	B	190	56.70	n/a	n/a	7.60	4.0
BESSEMER INVESTMENT	085	CTL	B	330	39.25	n/a	n/a	13.20	4.0
BESSEMER INVESTMENT	085	C	B	400	35.88	n/a	5-Oct	16.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	DOV	B	10,000	55.67	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	DTE	B	120	60.78	n/a	n/a	4.80	4.0
ROYCE TRADING	031	ENTG	B	10,000	7.75	n/a	n/a	500.00	0.0
BESSEMER INVESTMENT	085	EXC	B	300	36.17	n/a	n/a	12.00	4.0
ARSENAL ASSET MANAGEMENT	028	EXP	SS	5,000	47.70	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	FCX	B	190	40.51	n/a	n/a	7.60	4.0
TUDOR INVESTORS	028	FDX	S	5,000	92.31	n/a	n/a	150.00	3.0
ROYCE TRADING	031	FINL	B	20,000	21.18	n/a	28-Sep	1,000.00	0.0
NWQ INVESTMENT MGMT CO	084	FOR	B	15,212	16.80	n/a	5-Oct	532.42	0.0
BESSEMER INVESTMENT	085	GD	B	120	65.81	n/a	27-Jul	4.80	4.0
ADAGE CAPITAL MGMT	030	GME	B	100,000	23.75	n/a	n/a	3,000.00	3.0
BALYASNY ASSET MGMT	044	GT	S	50,000	12.70	n/a	n/a	2,500.00	0.0
BESSEMER INVESTMENT	085	IBM	B	100	206.06	n/a	n/a	4.00	4.0
BALYASNY ASSET MGMT	044	IP	S	50,000	37.17	n/a	11-Oct	2,500.00	0.0
VISIUM/BALY BOBBY	044	IP	S	10,000	37.31	n/a	11-Oct	500.00	0.0
HIGHLINE ADV	044	IWM	B	150,000	83.13	n/a	n/a	7,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	JNJ	B	320	68.12	n/a	n/a	12.80	4.0
SIMMONS VENTURES	041	JNY	SS	4,800	13.20	n/a	26-Jul	192.00	4.0
SAC TRADING TOM LEDDY	035	JWN	B	80,000	55.50	n/a	5-Oct	2,800.00	3.5
OHIO PERS	047	LBTYA	S	5,000	60.72	n/a	n/a	150.00	0.0
TUDOR INVESTORS	028	LEN	B	5,000	36.27	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	LOW	B	550	31.06	n/a	20-Aug	22.00	4.0
IRIDIAN ASSET MGMT.	036	LSI	S	3,000	6.58	n/a	n/a	150.00	0.0
NEUBERGER BERMAN	036	MAC	S	15,012	58.70	n/a	n/a	600.48	0.0
BESSEMER INVESTMENT	085	MHP	B	250	55.62	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	MRO	B	450	29.71	n/a	n/a	18.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	640	29.04	n/a	n/a	25.60	4.0
BESSEMER INVESTMENT	085	M	B	400	39.73	n/a	5-Oct	16.00	4.0
BESSEMER INVESTMENT	085	NEM	B	1,170	55.54	n/a	n/a	46.80	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	2.56	n/a	n/a	800.00	4.0
COOPER CREEK PART	028	NP	B	7,270	26.38	n/a	14-Aug	290.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	NUE	S	15,000	39.02	n/a	n/a	450.00	3.0
BRONSON POINT	036	ORLY	SS	25,000	84.37	n/a	n/a	750.00	0.0
CRAMER ROSENTHAL	070	PEP	S	12,350	70.04	n/a	n/a	494.00	0.0
SAC TRADING TOM LEDDY	035	PII	B	39,900	81.76	n/a	n/a	1,396.50	3.5
CSFB GLOBAL PROPRIETARY	041	PKG	S	15,000	35.51	n/a	11-Oct	750.00	5.0
TUDOR INVESTORS	028	PWR	B	4,000	24.20	n/a	n/a	120.00	3.0
DEVENNY CAP LLC/MILLENIU	044	RKT	SS	5,000	71.44	n/a	11-Oct	150.00	0.0
TROUBH PART	070	SPY	SS	10,000	143.83	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	STX	B	230	28.70	n/a	n/a	9.20	4.0
OMEGA ADVISORS	041	S	B	1,000,000	5.69	n/a	n/a	25,000.00	2.5
BESSEMER INVESTMENT	085	TGT	B	190	62.80	n/a	4-Oct	7.60	4.0
PAW PARTNERS	025	TGT	S	5,000	62.51	n/a	4-Oct	250.00	0.0
ADAGE CAPITAL MGMT	030	TIF	B	100,000	63.27	n/a	n/a	3,000.00	3.0
SIMMONS VENTURES	041	TJX	SS	5,000	44.50	n/a	5-Oct	200.00	4.0
BESSEMER INVESTMENT	085	TMO	B	130	59.07	n/a	n/a	5.20	4.0
BESSEMER INVESTMENT	085	UNH	B	290	57.72	n/a	n/a	11.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	UPS	B	5,000	72.92	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	URI	S	5,000	32.65	n/a	17-Apr	150.00	3.0
EVERGREEN	047	VSH	S	11,600	8.96	n/a	n/a	348.00	0.0
BESSEMER INVESTMENT	085	WM	B	340	32.05	n/a	n/a	13.60	4.0
ARSENAL ASSET MANAGEMENT	028	WSO	SS	10,000	69.62	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	WU	B	680	18.19	n/a	n/a	27.20	4.0
BESSEMER INVESTMENT	085	ZMH	B	300	63.53	n/a	n/a	12.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	12,500	26.75	n/a	n/a	375.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>61,432.40</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									61,432.40
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									61,432.40

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