



Daily Compliance Activity Report

Trade Date: 11/08/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	AAP	B	17,510	66.70	n/a	n/a	700.40	4.0
STATE TEACHERS RET SYS	047	AAT	B	800	19.52	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	AA	S	1,500	10.77	n/a	n/a	75.00	5.0
BESSEMER INVESTMENT	085	ACE	S	365	72.03	n/a	n/a	14.60	4.0
PATTEN & PATTEN	025	AGG	B	1,100	109.91	n/a	n/a	55.00	5.0
BESSEMER INVESTMENT	085	AGNC	S	285	28.23	n/a	n/a	11.40	4.0
STATE TEACHERS RET SYS	047	AIV	S	20,000	23.51	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	025	APD	S	450	87.67	n/a	21-Oct	22.50	5.0
HARVEST MGMT	029	ARO	B	5,000	17.05	n/a	4-Nov	200.00	4.0
BESSEMER INVESTMENT	085	BGC	S	495	26.97	n/a	n/a	19.80	4.0
BESSEMER INVESTMENT	085	BMJ	S	335	31.47	n/a	n/a	13.40	4.0
BNP PARIBAS SEC	040	BWA	B	20,000	71.41	n/a	7-Nov	1,000.00	5.0
DEVENNY CAP LLC	044	BWA	B	5,600	69.50	n/a	7-Nov	168.00	3.0
MADISON ST PARTNERS LLC	046	BWA	SS	25,000	70.92	n/a	7-Nov	1,250.00	5.0
MERRILL ASSET/BLACKROCK	297	CBG	B	20,000	16.68	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	CFN	B	5,000	24.39	n/a	n/a	0.00	0.0
SCOUT/UMB	047	CRR	B	10,650	149.35	n/a	11-Jan	426.00	4.0
BESSEMER INVESTMENT	085	CSCO	S	400	18.02	n/a	n/a	16.00	4.0
PATTEN & PATTEN	025	CSCO	B	14,750	18.33	n/a	n/a	737.50	5.0
PATTEN & PATTEN	025	CSJ	B	250	104.49	n/a	n/a	12.50	5.0
BESSEMER INVESTMENT	085	CTL	S	250	36.89	n/a	n/a	10.00	4.0
STATE TEACHERS RET SYS	047	CUZ	S	20,000	6.80	n/a	n/a	1,000.00	5.0
BESSEMER INVESTMENT	085	CVC	S	365	14.98	n/a	n/a	14.60	4.0
BESSEMER INVESTMENT	085	CVS	S	235	38.27	n/a	n/a	9.40	4.0
PATTEN & PATTEN	025	DELL	S	5,000	15.58	n/a	n/a	250.00	5.0
BESSEMER INVESTMENT	085	DIS	S	520	34.50	n/a	n/a	20.80	4.0
TUDOR INVESTORS	028	DKS	B	5,000	38.99	n/a	16-Aug	150.00	3.0
PATTEN & PATTEN	025	DLR	B	175	64.63	n/a	n/a	8.75	5.0
PATTEN & PATTEN	025	DOW	S	2,100	28.57	n/a	1-Nov	105.00	5.0
BESSEMER INVESTMENT	085	DTV	S	275	45.49	n/a	n/a	11.00	4.0
LEVIN CAPITAL STRATEGIES	041	DVN	B	7,500	67.71	n/a	3-Nov	225.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	D	S	325	52.56	n/a	n/a	16.25	5.0
BESSEMER INVESTMENT	085	ECL	S	555	55.71	n/a	8-Nov	22.20	4.0
ASCEND PARTNERS	033	ENR	B	7,598	70.20	n/a	7-Nov	227.94	3.0
PATTEN & PATTEN	025	EPR	B	250	46.39	n/a	n/a	12.50	5.0
BESSEMER INVESTMENT	085	EP	S	235	24.98	n/a	n/a	9.40	4.0
STATE TEACHERS RET SYS	047	EQY	B	10,000	16.75	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	EWJ	S	1,500	9.40	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	EWL	S	100	23.13	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	EWY	S	75	56.79	n/a	n/a	3.75	5.0
PATTEN & PATTEN	025	EWZ	B	1,000	63.25	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	EXC	B	6,000	45.21	n/a	n/a	300.00	5.0
PATTEN & PATTEN	025	FCX	S	625	41.87	n/a	n/a	31.25	5.0
SOROS	036	FCX	B	100,500	41.82	n/a	n/a	4,020.00	4.0
PATTEN & PATTEN	025	F	S	750	11.62	n/a	2-Nov	37.50	5.0
BESSEMER INVESTMENT	085	GE	S	2,260	16.32	n/a	n/a	90.40	4.0
BNP PARIBAS SEC	040	GM	SS	40,000	24.03	n/a	2-Nov	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	GM	SS	48,314	24.02	n/a	2-Nov	1,932.56	4.0
RIDGECREST INV MGMT LLC	028	GM	SS	15,000	24.18	n/a	2-Nov	750.00	5.0
PATTEN & PATTEN	025	GOV	B	500	22.41	n/a	n/a	25.00	5.0
SCOPUS FUND	041	GPC	SS	8,600	58.25	n/a	n/a	344.00	4.0
SANDLER O'NEILL ASSET	031	GS	SS	5,000	108.03	n/a	8-Nov	250.00	5.0
NOKOMIS PARTNERS	031	HOS	B	23,000	32.17	n/a	n/a	690.00	3.0
PATTEN & PATTEN	025	HYG	B	150	88.72	n/a	n/a	7.50	5.0
SCOPUS FUND	041	ICON	SS	50,000	17.93	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	IFF	B	20,000	55.62	n/a	8-Nov	1,000.00	5.0
OHIO PERS	047	IFF	B	44,000	56.13	n/a	8-Nov	1,320.00	3.0
BESSEMER INVESTMENT	085	INTC	S	410	24.33	n/a	n/a	16.40	4.0
PATTEN & PATTEN	025	INTC	B	400	24.73	n/a	n/a	20.00	5.0
BESSEMER INVESTMENT	085	IP	S	1,167	28.84	n/a	27-Oct	46.68	4.0
VISIUM/BALY BOBBY	044	IR	S	10,000	32.26	n/a	20-Oct	400.00	4.0
PATTEN & PATTEN	025	IYJ	S	100	64.22	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	IYR	B	125	57.52	n/a	n/a	6.25	5.0
CHESAPEAKE PARTNERS	028	JAKK	B	5,000	19.00	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	JCI	S	500	32.06	n/a	27-Oct	20.00	4.0
PATTEN & PATTEN	025	JCI	B	350	32.64	n/a	27-Oct	17.50	5.0
BESSEMER INVESTMENT	085	JCP	S	285	32.98	n/a	4-Nov	11.40	4.0
IRIDIAN ASSET MGMT.	036	JCP	SS	16,300	33.07	n/a	4-Nov	489.00	3.0
PRIMECAP MGMT	084	JNJ	B	5,000	64.67	n/a	n/a	200.00	4.0
SCOPUS FUND	041	JNY	S	25,000	11.80	n/a	27-Oct	1,000.00	4.0
SIMMONS VENTURES	041	JNY	B	10,000	12.05	n/a	27-Oct	400.00	4.0
BESSEMER INVESTMENT	085	JPM	S	540	34.25	n/a	8-Nov	21.60	4.0
SCOUT/UMB	047	JWN	S	33,380	50.54	n/a	4-Nov	1,335.20	4.0
DSG CAPITAL	030	KEG	B	15,000	14.24	n/a	2-Nov	450.00	3.0
BESSEMER INVESTMENT	085	KFT	S	380	35.27	n/a	n/a	15.20	4.0
BESSEMER INVESTMENT	085	KGC	S	200	14.85	n/a	n/a	8.00	4.0
BNP PARIBAS SEC	040	KSS	B	25,000	54.89	n/a	4-Nov	1,250.00	5.0
HARVEST MGMT	029	LF	B	25,000	4.63	n/a	n/a	750.00	3.0
MOORE CAPITAL	041	LLY	C	20,880	38.95	n/a	n/a	626.40	3.0
PATTEN & PATTEN	025	LLY	B	1,250	39.00	n/a	n/a	62.50	5.0
PATTEN & PATTEN	025	LQD	B	100	114.46	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	LYB	S	55,000	34.79	n/a	n/a	1,650.00	3.0
BNP PARIBAS SEC	040	MMM	S	20,000	80.91	n/a	8-Nov	1,000.00	5.0
PATTEN & PATTEN	025	MO	B	250	27.66	n/a	n/a	12.50	5.0
BESSEMER INVESTMENT	085	MSFT	S	1,432	26.87	n/a	n/a	57.28	4.0
SCOPUS FUND	041	MW	S	26,000	30.08	n/a	n/a	1,040.00	4.0
RAINIER INV MGMT	035	NBL	B	17,760	91.65	n/a	n/a	710.40	4.0
BESSEMER INVESTMENT	085	NEM	S	325	71.28	n/a	n/a	13.00	4.0
BESSEMER INVESTMENT	085	NOV	S	250	71.28	n/a	n/a	10.00	4.0
VISIUM/BALY BOBBY	044	NUE	B	10,000	39.06	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	NVS	B	325	56.25	n/a	n/a	16.25	5.0
WHITE PINE CAPITAL	030	OVTI	B	2,500	14.34	n/a	n/a	125.00	5.0
ROTHSCHILD ASSET	040	PCS	S	20,321	8.97	n/a	n/a	812.84	4.0
BESSEMER INVESTMENT	085	PFE	S	1,707	19.87	n/a	n/a	68.28	4.0
PATTEN & PATTEN	025	PGN	S	3,195	53.30	n/a	n/a	159.75	5.0
BESSEMER INVESTMENT	085	PG	S	367	63.71	n/a	7-Nov	14.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	PHO	S	1,900	17.50	n/a	n/a	95.00	5.0
HARVEST MGMT	029	PIR	B	10,000	12.89	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	PLCE	B	12,000	47.06	n/a	18-Aug	600.00	5.0
MELLON/BANK OF NEW YORK	046	PNC	B	82,030	53.95	n/a	n/a	3,281.20	4.0
BESSEMER INVESTMENT	085	PWR	S	885	20.57	n/a	n/a	35.40	4.0
PATTEN & PATTEN	025	PX	B	400	102.56	n/a	26-Oct	20.00	5.0
PATTEN & PATTEN	025	QCOM	B	150	57.02	n/a	n/a	7.50	5.0
SONTERRA CAP	041	RIG	B	100,000	51.64	n/a	n/a	4,000.00	4.0
TALPION LLC	040	RL	B	3,000	157.01	n/a	21-Oct	120.00	4.0
BESSEMER INVESTMENT	085	RSG	S	210	27.62	n/a	n/a	8.40	4.0
PRIMECAP MGMT	084	SCHW	B	5,000	12.75	n/a	n/a	200.00	4.0
COUGAR TRADING	044	SMG	B	2,500	43.81	n/a	8-Nov	125.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	SODA	B	6,000	34.67	n/a	n/a	300.00	5.0
LISTED ERR	099	SODA	B	2,000	35.00	n/a	n/a	0.00	0.0
LISTED ERR	099	SODA	S	2,000	34.09	n/a	n/a	0.00	0.0
MOORE CAPITAL	041	SYMS	B	2	9.01	n/a	n/a	0.06	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TSCO	S	750	73.69	n/a	n/a	37.50	5.0
WHITE PINE CAPITAL	030	TTEC	S	1,000	17.45	n/a	n/a	50.00	5.0
BESSEMER INVESTMENT	085	UNH	S	275	45.40	n/a	n/a	11.00	4.0
CHARTER OAK	033	VHS	S	20,000	9.13	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	VIA	S	285	50.39	n/a	n/a	11.40	4.0
BESSEMER INVESTMENT	085	VTRAF	S	685	10.23	n/a	n/a	27.40	4.0
NEWLAND CAPITAL MGT	025	WHR	S	6,800	52.98	n/a	n/a	272.00	4.0
PATTEN & PATTEN	025	XLU	B	175	35.40	n/a	n/a	8.75	5.0
PATTEN & PATTEN	025	XOM	B	150	79.81	n/a	n/a	7.50	5.0
SOROS	036	X	B	177,000	27.73	n/a	n/a	7,080.00	4.0
TOTAL (Trade Date) :								54,981.12	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/07	LATEFF MGMT (LATE5379)	035	BMS	S	1,000	28.78	n/a	n/a	1.00 0.1
AO,CRT	11/07	LATEFF MGMT (LATE5379)	035	BMS	S	1,000	28.78	n/a	n/a	100.00 10.0
AO,CXL	11/07	SCOPUS FUND (SCOPGS)	041	DSW	SS	501	51.00	n/a	11-Feb	20.04 4.0
AO,	11/07	SCOPUS FUND (SCOPGS)	041	DSW	SS	501	51.01	n/a	11-Feb	20.04 4.0
AO,CXL	11/07	SCOPUS FUND (SCOPUBS)	041	DSW	SS	7,199	51.00	n/a	11-Feb	287.96 4.0
AO,	11/07	SCOPUS FUND (SCOPUBS)	041	DSW	SS	7,199	51.01	n/a	11-Feb	287.96 4.0
AO,CRT	11/07	ADAGE CAPITAL MGMT (ADAGESHORT)	030	GES	B	287,700	31.69	n/a	21-Oct	8631.00 3.0
AO,CXL	11/07	ADAGE CAPITAL MGMT (ADAGLONG)	030	GES	B	287,700	31.69	n/a	21-Oct	8631.00 3.0
CRT	11/08	BNP PARIBAS SEC (BNPPMAIN)	040	MMM	S	20,000	80.91	n/a	8-Nov	1000.00 5.0

TOTAL (AO, CXL, CRT) :	1,099.00
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TOTAL (Trade Date):	54,981.12
TOTAL (AO, CXL, CRT):	1,099.00

TOTAL (RUN DATE) / NFS:	56,080.12
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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