



Daily Compliance Activity Report

Trade Date: 03/13/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ST OF MICHIAN	047	AAPL	S	31,000	559.29	n/a	n/a	930.00 3.0
PATTEN & PATTEN	025	AA	S	8,500	10.16	n/a	n/a	425.00 5.0
BESSEMER INVESTMENT	085	ACE	B	1,230	72.20	n/a	n/a	49.20 4.0
CATAPULT	040	ACI	SS	25,000	11.71	n/a	n/a	1,000.00 4.0
BESSEMER INVESTMENT	085	ACN	B	1,420	62.05	n/a	n/a	56.80 4.0
STANDARD PACIFIC CAPITAL	084	AKS	SS	100,000	7.26	n/a	n/a	5,000.00 5.0
PATTEN & PATTEN	025	AML	B	1,300	16.90	n/a	n/a	65.00 5.0
PATTEN & PATTEN	025	APA	B	200	106.62	n/a	7-Mar	10.00 5.0
CATAPULT	040	BA	B	781	74.23	n/a	29-Feb	31.24 4.0
PATTEN & PATTEN	025	BBY	S	1,300	24.81	n/a	n/a	65.00 5.0
RAINIER INV MGMT	035	BHI	S	44,990	47.73	n/a	n/a	1,799.60 4.0
SENATOR INVESTMENT GROUP	036	BHI	B	150,000	48.21	n/a	n/a	4,500.00 3.0
WEINTRAUB CAPITAL MGT.	269	BMJ	B	50,000	33.33	n/a	n/a	2,000.00 4.0
SIMMONS VENTURES	041	BONT	SS	10,000	8.31	n/a	n/a	400.00 4.0
PATTEN & PATTEN	025	CAT	S	1,000	111.88	n/a	27-Jan	50.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	CCL	B	905	31.89	n/a	n/a	36.20	4.0
BESSEMER INVESTMENT	085	COP	B	880	77.18	n/a	n/a	35.20	4.0
CATAPULT	040	CRS	B	162	51.63	n/a	n/a	6.48	4.0
MERRILL ASSET/BLACKROCK	297	CRZO	B	6,700	29.73	n/a	n/a	268.00	4.0
BASSWOOD PARTNERS	267	CSX	B	32,800	20.77	n/a	n/a	1,312.00	4.0
BESSEMER INVESTMENT	085	CVS	B	1,175	44.68	n/a	n/a	47.00	4.0
PATTEN & PATTEN	025	DD	B	400	51.99	n/a	10-Feb	20.00	5.0
PATTEN & PATTEN	025	DOW	S	700	34.22	n/a	10-Feb	35.00	5.0
BESSEMER INVESTMENT	085	DTE	B	495	56.02	n/a	n/a	19.80	4.0
PATTEN & PATTEN	025	ECA	S	2,000	19.89	n/a	n/a	100.00	5.0
STATE TEACHERS RET SYS	047	EIX	S	48,000	43.71	n/a	n/a	2,400.00	5.0
PATTEN & PATTEN	025	ETN	B	500	49.46	n/a	27-Feb	25.00	5.0
PATTEN & PATTEN	025	EWA	B	2,000	23.18	n/a	n/a	100.00	5.0
BESSEMER INVESTMENT	085	EXC	B	1,335	39.62	n/a	n/a	53.40	4.0
CATAPULT	040	EXPD	B	498	44.70	n/a	n/a	19.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	FCX	B	880	38.86	n/a	n/a	35.20	4.0
PATTEN & PATTEN	025	FCX	B	300	39.04	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	FRX	B	300	33.40	n/a	12-Mar	15.00	5.0
PATTEN & PATTEN	025	FRX	S	300	33.38	n/a	12-Mar	15.00	5.0
CAPITAL RESEARCH GROUP		084	FTI	B	3,282	50.55	n/a	n/a	114.87 3.5
BESSEMER INVESTMENT	085	GD	B	535	72.36	n/a	14-Feb	21.40	4.0
MERRILL ASSET/BLACKROCK	297	GEOI	S	4,700	33.84	n/a	n/a	188.00	4.0
PATTEN & PATTEN	025	GLD	B	50	164.36	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	GS	S	50	119.48	n/a	13-Mar	2.50	5.0
RBC CAPITAL MARKETS	040	HD	S	10,000	49.07	n/a	21-Feb	400.00	4.0
BNP PARIBAS SEC	040	HSC	B	20,000	22.52	n/a	7-Mar	1,000.00	5.0
BESSEMER INVESTMENT	085	IBM	B	470	202.67	n/a	n/a	18.80	4.0
WATERFRONT CAP	028	IGT	B	12,920	16.17	n/a	13-Jun	516.80	4.0
PATTEN & PATTEN	025	INTC	B	1,000	27.33	n/a	n/a	50.00	5.0
CATAPULT	040	ITW	B	334	56.34	n/a	1-Feb	13.36	4.0
PZENA INV ADV	044	IVZ	B	8,450	25.80	n/a	2-Mar	295.75	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	JCI	B	10,000	31.70	n/a	8-Mar	500.00	5.0
CATAPULT	040	JEC	B	952	45.98	n/a	n/a	38.08	4.0
MERRILL ASSET/BLACKROCK	297	JPM	S	374,057	43.46	n/a	13-Mar	14,962.28	4.0
WEINTRAUB CAPITAL MGT.	269	JPM	S	25,000	43.23	n/a	13-Mar	1,000.00	4.0
BFME	297	JPM	S	1,142	43.46	n/a	13-Mar	45.68	4.0
CATAPULT	040	LEA	B	584	45.23	n/a	3-Feb	23.36	4.0
KAM ADVISORS LLC	041	LH	SS	22,700	88.14	n/a	n/a	681.00	3.0
BALLAST CAP	040	LOW	B	9,300	30.27	n/a	28-Feb	465.00	5.0
BESSEMER INVESTMENT	085	LOW	B	1,285	30.19	n/a	28-Feb	51.40	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	329	9.24	n/a	7-Feb	16.45	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	49,671	9.24	n/a	7-Feb	2,483.55	5.0
JP MORGAN VENTURES	046	LTD	B	10,000	47.16	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	LUV	S	2,000	8.26	n/a	n/a	100.00	5.0
CATAPULT	040	LYB	B	574	42.15	n/a	n/a	22.96	4.0
BESSEMER INVESTMENT	085	MGA	B	1,175	48.03	n/a	n/a	47.00	4.0
BESSEMER INVESTMENT	085	MHP	B	1,150	46.85	n/a	n/a	46.00	4.0
EGS ASSOCIATES LP	091	M	B	4,000	39.15	n/a	2-Mar	240.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	NAV	B	5,000	40.54	n/a	9-Mar	150.00	3.0
BASSWOOD PARTNERS	267	NAV	B	11,800	40.88	n/a	9-Mar	472.00	4.0
TUDOR INVESTORS	028	NAV	SS	5,000	39.91	n/a	9-Mar	150.00	3.0
PATTEN & PATTEN	025	PG	S	400	67.71	n/a	24-Feb	20.00	5.0
RBC CAPITAL MARKETS	040	PG	S	30,000	67.66	n/a	24-Feb	1,200.00	4.0
PATTEN & PATTEN	025	PHO	S	1,000	18.94	n/a	n/a	50.00	5.0
BNP PARIBAS SEC	040	PLCE	B	25,000	52.33	n/a	7-Mar	1,250.00	5.0
SCOPUS FUND	041	PVH	S	30,034	88.32	n/a	29-Feb	1,201.36	4.0
PATTEN & PATTEN	025	QQQ	B	300	65.50	n/a	n/a	15.00	5.0
SCOPUS FUND	041	ROST	B	69,478	56.71	n/a	2-Mar	2,779.12	4.0
CATAPULT	040	SCHW	B	15,000	14.16	n/a	n/a	600.00	4.0
SIMMONS VENTURES	041	SKUL	B	5,000	15.00	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	SPY	B	2,100	138.96	n/a	n/a	105.00	5.0
PAULSON & CO INC	041	STI	S	500,000	21.96	n/a	n/a	15,000.00	3.0
HAHN CAPITAL MANAGEMENT	084	SUG	S	75,402	43.58	n/a	n/a	3,770.10	5.0
PATTEN & PATTEN	025	TIF	S	700	69.79	n/a	n/a	35.00	5.0
BESSEMER INVESTMENT	085	UNH	B	1,030	55.00	n/a	n/a	41.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UN	B	1,110	34.00	n/a	n/a	44.40	4.0
CASTLE ARK	031	WFM	B	86,118	84.95	n/a	n/a	4,305.90	5.0
WATERFRONT CAP	028	WM	SS	50,520	34.90	n/a	n/a	2,020.80	4.0
MFP INVESTORS	085	XYL	S	50,000	27.91	n/a	n/a	2,000.00	4.0
TOTAL (Trade Date) :								80,096.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/12	COLUMBUS CIRCLE (COLC3040)	036	APEI	S	4,555	39.20	n/a	n/a	182.20 4.0
TOTAL (AO, CXL, CRT) :										182.20

TOTAL (Trade Date):										80,096.66
TOTAL (AO, CXL, CRT):										182.20
TOTAL (RUN DATE) / NFS:										80,278.86

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