



## Daily Compliance Activity Report

Trade Date: 11/10/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	99	384.89	n/a	n/a	3.96	4.0
BESSEMER INVESTMENT	085	ACE	S	274	70.24	n/a	n/a	10.96	4.0
BESSEMER INVESTMENT	085	ACWI	B	1,000	42.63	n/a	n/a	40.00	4.0
COLUMBUS CAP MGMT LLC	084	ACW	B	50,000	6.50	n/a	n/a	2,000.00	4.0
SURVEYOR CAPITAL	041	AFL	S	23,047	43.43	n/a	n/a	691.41	3.0
SURVEYOR CAPITAL	041	AMTD	S	60,241	16.60	n/a	n/a	1,807.23	3.0
SCOPUS FUND	041	ANF	S	45,167	55.51	n/a	4-Nov	1,806.68	4.0
MELLON/BANK OF NEW YORK	046	AON	B	52,150	47.35	n/a	n/a	2,086.00	4.0
TALPION LLC	040	ARCO	B	10,000	21.38	n/a	31-Oct	400.00	4.0
LEVIN CAPITAL STRATEGIES	041	AVP	B	50,000	18.30	n/a	31-Oct	1,500.00	3.0
BESSEMER INVESTMENT	085	CTSH	S	2,678	67.31	n/a	n/a	107.12	4.0
CHALSON/MILLENIUM	041	CVS	B	20,000	38.41	n/a	n/a	800.00	4.0
TALPION LLC	040	DECK	C	2,000	104.48	n/a	n/a	80.00	4.0
BESSEMER INVESTMENT	085	DIS	S	410	34.53	n/a	n/a	16.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	DLB	B	113,000	28.81	n/a	n/a	0.00	0.0
OMEGA ADVISORS	041	EBAY	B	250,000	30.88	n/a	n/a	10,000.00	4.0
BESSEMER INVESTMENT	085	ECL	S	439	54.62	n/a	8-Nov	17.56	4.0
CHALSON/MILLENIUM	041	FL	B	40,000	22.02	n/a	10-Nov	1,600.00	4.0
ROARING BLUE LION MGMT	031	FL	B	5,565	22.09	n/a	10-Nov	222.60	4.0
OZ MGMT	040	F	C	150,297	11.12	n/a	2-Nov	4,508.91	3.0
BESSEMER INVESTMENT	085	GE	S	1,315	16.02	n/a	n/a	52.60	4.0
BRONSON POINT	036	GGC	B	22,000	19.78	n/a	n/a	660.00	3.0
BALYASNY ASSET MGMT	044	GM	SS	25,000	22.39	n/a	10-Nov	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	B	100,000	22.27	n/a	10-Nov	3,000.00	3.0
TUDOR INVESTORS	028	GM	SS	35,000	22.30	n/a	10-Nov	1,050.00	3.0
LEVIN CAPITAL STRATEGIES	041	HD	B	15,000	37.42	n/a	16-Aug	450.00	3.0
BRONSON POINT	036	HOT	S	25,000	48.54	n/a	13-Jun	750.00	3.0
BESSEMER INVESTMENT	085	IP	S	898	28.28	n/a	27-Oct	35.92	4.0
LOMBARDIA CAP MGMT	084	ITG	B	55,467	10.36	n/a	n/a	2,218.68	4.0
BESSEMER INVESTMENT	085	JCI	S	389	30.84	n/a	27-Oct	15.56	4.0
BESSEMER INVESTMENT	085	JPM	S	448	32.71	n/a	8-Nov	17.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	KFT	S	388	35.15	n/a	n/a	15.52	4.0
SURVEYOR CAPITAL	041	LM	S	38,971	25.63	n/a	2-Mar	1,169.13	3.0
BRONSON POINT	036	LOW	B	100,000	22.51	n/a	10-Nov	3,000.00	3.0
FIRST NY SEC/CHRIS	041	LOW	B	7,100	22.17	n/a	10-Nov	355.00	5.0
TRELLUS PARTNERS LP	028	LOW	SS	50,000	22.15	n/a	10-Nov	2,500.00	5.0
SCOPUS FUND	041	LTD	B	15,000	42.13	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	MCO	S	3,000	34.16	n/a	n/a	120.00	4.0
PILOT ADV	041	MET	C	10,000	32.83	n/a	n/a	300.00	3.0
TALPION LLC	040	MJN	B	10,000	69.69	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	1,080	26.34	n/a	n/a	43.20	4.0
CHALSON/MILLENIUM	041	M	B	20,000	30.77	n/a	10-Nov	800.00	4.0
TALPION LLC	040	NLSN	S	5,000	29.77	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	NOV	S	828	68.18	n/a	n/a	33.12	4.0
BESSEMER INVESTMENT	085	OXY	S	93	98.11	n/a	n/a	3.72	4.0
KAM ADVISORS LLC	041	OXY	B	17,600	98.21	n/a	n/a	528.00	3.0
CHESAPEAKE PARTNERS	028	PENN	B	10,000	34.00	n/a	n/a	300.00	3.0
CENTURION PARTNERS	041	PERY	S	10,000	22.01	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PFE	S	990	19.81	n/a	n/a	39.60	4.0
BESSEMER INVESTMENT	085	PG	S	291	63.37	n/a	7-Nov	11.64	4.0
SYSTEMATIC FINANCIAL MGT	035	PIR	B	139,275	12.98	n/a	n/a	4,178.25	3.0
MILLRACE FUND LP	028	PLCE	SS	12,000	45.71	n/a	9-Nov	480.00	4.0
ROYCE TRADING	031	PLCE	B	1,566	45.37	n/a	9-Nov	78.30	5.0
HOPLITE MGMT	025	PSMT	B	22,927	70.11	n/a	n/a	917.08	4.0
BESSEMER INVESTMENT	085	QCOM	S	163	55.32	n/a	n/a	6.52	4.0
BNP PARIBAS SEC	040	RKT	B	10,000	59.48	n/a	10-Nov	500.00	5.0
COOPER CREEK PART	028	RKT	B	5,000	59.60	n/a	10-Nov	200.00	4.0
BESSEMER INVESTMENT	085	SPW	S	616	57.26	n/a	n/a	24.64	4.0
ROARING BLUE LION MGMT	031	SSI	B	12,100	13.37	n/a	n/a	484.00	4.0
BESSEMER INVESTMENT	085	STJ	S	338	38.53	n/a	n/a	13.52	4.0
PILOT ADV	041	STX	SS	10,000	16.90	n/a	n/a	300.00	3.0
MOORE CAPITAL	041	SYMS	B	9,000	8.88	n/a	n/a	270.00	3.0
SURVEYOR CAPITAL	041	TRV	SS	17,541	57.02	n/a	n/a	526.23	3.0
TUDOR INVESTORS	028	TTWO	B	25,000	14.03	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	UPL	SS	25,000	35.57	n/a	10-Nov	1,000.00	4.0
MOORE CAPITAL	041	URI	SS	10,000	25.87	n/a	n/a	300.00	3.0
DAVIDSON KEMPNER ADVISOR	040	VALE	SS	50,000	25.58	n/a	n/a	2,500.00	5.0
JETSTREAM GLOBAL FUND LP	065	VMC	B	140,000	29.88	n/a	n/a	0.00	0.0
PILOT ADV	041	WDC	SS	3,000	25.25	n/a	n/a	90.00	3.0
TRUSTCO/SUNTRUST	040	WEN	S	75,000	5.21	n/a	9-Nov	2,002.85	2.6
MAIRS AND POWER INV	030	ZMH	S	10,000	51.93	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>63,139.83</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/09	WINSLOW CAPITAL (WINS140)	030	EMC	B	500	24.46	n/a	n/a	15.00 3.0
AO,CRT	11/09	WINSLOW CAPITAL (WINS140)	030	EMC	B	400	24.46	n/a	n/a	12.00 3.0
AO,CXL	11/09	WINSLOW CAPITAL (WINS177)	030	EMC	B	400	24.46	n/a	n/a	12.00 3.0
AO,CRT	11/09	WINSLOW CAPITAL (WINS177)	030	EMC	B	500	24.46	n/a	n/a	15.00 3.0
AO,CXL	11/09	WINSLOW CAPITAL (WINS140)	030	QCOM	B	100	56.24	n/a	n/a	3.00 3.0
AO,CRT	11/09	WINSLOW CAPITAL (WINS140)	030	QCOM	B	200	56.24	n/a	n/a	6.00 3.0
AO,CXL	11/09	WINSLOW CAPITAL (WINS177)	030	QCOM	B	200	56.24	n/a	n/a	6.00 3.0
AO,CRT	11/09	WINSLOW CAPITAL (WINS177)	030	QCOM	B	100	56.24	n/a	n/a	3.00 3.0

**TOTAL (AO, CXL, CRT) :****0.00**

TOTAL (Trade Date) :

63,139.83

TOTAL (AO, CXL, CRT) :

0.00

**TOTAL (RUN DATE) / NFS:****63,139.83**

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