



Daily Compliance Activity Report

Trade Date: 10/26/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ABT	S	1,500	53.51	n/a	n/a	60.00	4.0
COLUMBUS CAP MGMT LLC	084	ACW	B	50,000	5.63	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	ADBE	S	1,000	27.89	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	ADM	S	1,000	28.78	n/a	23-Sep	40.00	4.0
BESSEMER INVESTMENT	085	ADP	S	1,000	50.77	n/a	n/a	40.00	4.0
DSM CAPITAL PARTNERS	085	ADTN	S	8,995	31.01	n/a	n/a	449.75	5.0
MILLENNIUM-ANDEW	031	AGCO	S	35,000	41.72	n/a	26-Oct	1,750.00	5.0
B BUCK CAPITAL MGMT		AMZN	B	10,000	203.29	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	AMZN	B	25	200.07	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	APC	S	50,000	76.93	n/a	24-Oct	1,500.00	3.0
BASIX	033	ATI	B	32,000	43.42	n/a	n/a	960.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	50,000	9.21	n/a	19-Oct	1,500.00	3.0
ENTRUST CAPITAL	040	BKE	B	10,000	42.15	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	BMJ	S	5,744	32.39	n/a	n/a	229.76	4.0
CRAMER ROSENTHAL/SCOTT	070	B	S	87,000	22.01	n/a	n/a	3,480.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CAR	SS	20,000	13.14	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CAR	S	5,000	13.14	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	CBT	B	5000	28.23	n/a	26-Oct	0.00	0.0
CATAPULT	040	CE	SS	5,000	41.36	n/a	20-May	200.00	4.0
f JASON ERIC COHEN	FID	CGI	S	150	10.93	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	CLX	S	2,500	68.44	n/a	4-Aug	100.00	4.0
OZ MGMT	040	CME	C	46,552	261.87	n/a	28-Apr	1,396.56	3.0
MERRILL ASSET/BLACKROCK	297	CRR	S	4,410	123.56	n/a	11-Jan	176.40	4.0
BESSEMER INVESTMENT	085	CSCO	S	4,000	17.65	n/a	n/a	160.00	4.0
BESSEMER INVESTMENT	085	CTL	S	1,000	34.49	n/a	n/a	40.00	4.0
MERRILL ASSET/BLACKROCK	297	C	S	273,500	30.42	n/a	18-Oct	10,940.00	4.0
BESSEMER INVESTMENT	085	DD	S	1,680	46.10	n/a	25-Oct	67.20	4.0
NOKOMIS PARTNERS	031	DVN	S	18,000	62.77	n/a	24-Oct	540.00	3.0
f REUBEN D DVORETSKY	FID	EDAC	S	300	10.00	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ED	S	2,075	58.81	n/a	n/a	83.00	4.0
NOKOMIS PARTNERS	031	EPM	B	200	6.80	n/a	n/a	6.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		ERTS	S	20,000	24.21	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ERTS	S	30,000	24.03	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	ETAK	S	2000	2.45	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	FAS	B	15000	14.00	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	FCX	B	32,620	39.03	n/a	n/a	1,304.80	4.0
DSM CAPITAL PARTNERS	085	FMCN	B	3,375	24.96	n/a	n/a	168.75	5.0
AVESTA CAP	229	F	S	42,000	11.64	n/a	19-Oct	1,260.00	3.0
FIRST NY SEC/CHRIS	041	F	B	50,000	11.72	n/a	19-Oct	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	041	F	C	30,000	12.18	n/a	19-Oct	900.00	3.0
MACQUARIE INVESTMENT MGMT.	040	F	SS	25,000	12.17	n/a	19-Oct	0.00	0.0
OZ MGMT	040	F	B	455,000	11.76	n/a	19-Oct	13,650.00	3.0
RIDGECREST INV MGMT LLC	028	F	S	25,000	11.76	n/a	19-Oct	1,250.00	5.0
TRELLUS PARTNERS LP	028	F	C	50,000	11.73	n/a	19-Oct	2,500.00	5.0
JET CAPITAL/CHRIS	041	GEN	B	250,000	2.90	n/a	n/a	7,500.00	3.0
TRUSTCO/SUNTRUST	040	GE	B	69,600	16.29	n/a	n/a	2,436.00	3.5
B BUCK CAPITAL MGMT		GIII 12 C25	SS	500	3.19	n/a	n/a	non-brg	300.0
BESSEMER INVESTMENT	085	GIS	S	2,000	38.99	n/a	n/a	80.00	4.0
JANA CAPITAL	044	GLD	C	115,043	167.32	n/a	n/a	4,601.72	4.0
B BUCK CAPITAL MGMT		GMCR	B	10,000	58.02	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		GMCR	B	10,000	60.37	n/a	n/a	non-brg	4.0
f	CHRISTOPHER ROBERT C	FID	GMCR	B	20	59.23	n/a	n/a	0.00	0.0
	BALYASNY ASSET MGMT	044	GM	SS	100,000	24.82	n/a	19-Oct	5,000.00	5.0
	IRIDIAN ASSET MGMT.	036	GM	SS	267,200	24.81	n/a	19-Oct	8,016.00	3.0
	OZ MGMT	040	GM	C	28,811	24.93	n/a	19-Oct	864.33	3.0
	PHILADELPHIA FINANCIAL	033	GM	SS	92,095	24.74	n/a	19-Oct	3,683.80	4.0
	CATAPULT	040	GRA	SS	5,000	38.99	n/a	n/a	200.00	4.0
	EPOCH INV MGMT	030	HD	B	112,450	36.37	n/a	16-Aug	3,373.50	3.0
	MERRILL ASSET/BLACKROCK	297	HFC	S	30,600	30.54	n/a	n/a	1,224.00	4.0
	BESSEMER INVESTMENT	085	HON	S	1,100	51.50	n/a	21-Oct	44.00	4.0
	BESSEMER INVESTMENT	085	HPQ	S	800	25.69	n/a	n/a	32.00	4.0
	OZ MGMT	040	ICE	C	58,189	126.03	n/a	n/a	1,745.67	3.0
	LATEFF MGMT	035	INTC	S	400	24.66	n/a	n/a	48.00	12.0
	BALYASNY ASSET MGMT	044	IP	B	50,000	26.82	n/a	17-Oct	2,500.00	5.0
	BMO NESBITT BURNS	041	IP	B	3,000	26.59	n/a	17-Oct	150.00	5.0
	BNP PARIBAS SEC	040	IP	B	10,000	26.39	n/a	17-Oct	500.00	5.0
	MA CAPITAL MGMT/MELLON ADV	041	IP	B	1,400	26.12	n/a	17-Oct	70.00	5.0
	SCOPUS FUND	041	IP	B	100,000	26.52	n/a	17-Oct	4,000.00	4.0
	DELTEC ASSET MGMT.	040	IR	B	10,000	30.06	n/a	20-Oct	500.00	5.0
f	JOEL GIFFORD TISS	FID	IR	S	1000	30.07	n/a	20-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		JCP	SS	1,600	32.89	n/a	13-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JCP	SS	261,600	32.77	n/a	13-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JCP	SS	30,000	32.77	n/a	13-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JCP	SS	48,400	32.77	n/a	13-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JCP	SS	8,400	32.89	n/a	13-Oct	non-brg	4.0
SIMMONS VENTURES	041	JNY	B	5,000	10.88	n/a	28-Jul	200.00	4.0
BESSEMER INVESTMENT	085	JPM	S	1,100	34.15	n/a	13-Oct	44.00	4.0
⚡ BUCK CAPITAL MGMT		KBH	S	20,000	7.42	n/a	n/a	non-brg	2.5
Ⓣ JONATHAN RICHARD HAR	FID	KEG	B	300	11.95	n/a	20-Sep	0.00	0.0
Ⓣ KAREN F LEDDY	FID	KEG	B	600	11.79	n/a	20-Sep	0.00	0.0
BESSEMER INVESTMENT	085	KMB	S	1,000	70.13	n/a	25-Oct	40.00	4.0
LATEFF MGMT	035	KMB	S	150	70.16	n/a	25-Oct	45.00	30.0
BESSEMER INVESTMENT	085	KMP	S	1,455	77.90	n/a	n/a	58.20	4.0
⚡ BUCK CAPITAL MGMT		KMT	C	45,000	37.76	n/a	14-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KSS	SS	20,000	52.63	n/a	7-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KSS	SS	20,000	52.66	n/a	7-Oct	non-brg	4.0
HIGHBRIDGE CAP	041	KSS	S	25,000	52.56	n/a	7-Oct	750.00	3.0
BESSEMER INVESTMENT	085	MCD	S	1,500	91.64	n/a	21-Oct	60.00	4.0
NEUBERGER BERMAN	036	MET	B	34,860	31.77	n/a	n/a	1,394.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	MMM	S	720	76.88	n/a	25-Oct	28.80	4.0
BESSEMER INVESTMENT	085	MRK	S	2,500	33.41	n/a	n/a	100.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	2,000	26.59	n/a	n/a	80.00	4.0
⌘ BUCK CAPITAL MGMT		MSMSBCD	C	468,636	96.39	n/a	n/a	non-brg	0.6
⌘ BUCK CAPITAL MGMT		MSMSBCD	SS	468,636	96.39	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	4,835,917	96.34	n/a	n/a	non-brg	0.6
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	4,835,917	96.34	n/a	n/a	non-brg	0.0
BMO NESBITT BURNS	041	MWV	S	29,000	28.10	n/a	26-Oct	1,450.00	5.0
BNP PARIBAS SEC	040	MWV	B	30,000	28.13	n/a	26-Oct	1,500.00	5.0
SCHOTTENFELD ASSOC	041	MWV	B	10,000	28.20	n/a	26-Oct	300.00	3.0
THE JAY GOLDMAN	028	M	SS	20,000	30.39	n/a	7-Oct	800.00	4.0
⌘ BUCK CAPITAL MGMT		NWY	S	90,300	2.65	n/a	n/a	non-brg	2.0
GEOSPHERE CAPITAL MGMT	299	PCAR	B	100,000	41.49	26-Oct	26-Oct	3,000.00	3.0
BESSEMER INVESTMENT	085	PCL	S	1,500	37.14	n/a	25-Oct	60.00	4.0
LANE GATE PARTNERS LLC	030	PCL	B	4,000	36.93	n/a	25-Oct	120.00	3.0
BESSEMER INVESTMENT	085	PEP	S	1,000	61.96	n/a	n/a	40.00	4.0
LATEFF MGMT	035	PFE	S	400	19.24	n/a	n/a	48.00	12.0
⌘ BUCK CAPITAL MGMT		PII	B	30,000	59.59	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	PLCE	B	15,000	46.34	n/a	18-Aug	750.00	5.0
B BUCK CAPITAL MGMT		PZZA	C	24,000	33.70	n/a	n/a	non-brg	2.5
COLUMBUS CIRCLE	036	REXX	B	1,797	14.47	n/a	n/a	71.88	4.0
NUVEEN - US BANCORP		030 RFMD	S	34,119	7.52		n/a	n/a	1,535.36 4.5
NEWLAND CAPITAL MGT	025	RKT	S	15,000	57.06	n/a	17-Oct	600.00	4.0
CASTLE ARK	031	RL	B	60,970	153.47	n/a	21-Oct	3,048.50	5.0
ADAGE CAPITAL MGMT	030	ROST	S	80,000	86.01	n/a	7-Oct	2,400.00	3.0
f EDWARD W WHEELER	FID	RUSHA	S	5000	18.96	n/a	n/a	0.00	0.0
LANE GATE PARTNERS LLC	030	RYN	S	3,700	40.56	n/a	26-Oct	111.00	3.0
BESSEMER INVESTMENT	085	SBUX	S	1,500	41.45	n/a	3-Oct	60.00	4.0
BNP PARIBAS SEC	040	SEE	B	30,000	17.37	n/a	2-Jun	1,500.00	5.0
BESSEMER INVESTMENT	085	SLE	S	1,000	17.64	n/a	n/a	40.00	4.0
SCOUT/UMB	047	SNDK	B	76,395	50.13	n/a	n/a	2,291.85	3.0
BESSEMER INVESTMENT	085	SO	S	1,300	42.94	n/a	n/a	52.00	4.0
f KAREN F LEDDY	FID	SRI	B	700	7.21	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	TCK	B	30,900	35.47	n/a	n/a	1,236.00	4.0
B BUCK CAPITAL MGMT		TEA	B	10,000	22.01	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		TEA	B	20,000	22.94	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	TEX	B	1400	14.70	n/a	14-Sep	0.00	0.0
B BUCK CAPITAL MGMT		TIF	B	20,000	74.49	n/a	n/a	non-brg	4.0
HALCYON LLC	041	TIN	B	50,000	31.70	n/a	19-Oct	1,500.00	3.0
ADAGE CAPITAL MGMT	030	TJX	B	200,000	58.15	n/a	7-Oct	6,000.00	3.0
f KAREN F LEDDY	FID	TLB	S	3400	2.47	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	T	S	2,650	28.63	n/a	n/a	106.00	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	19,000	31.75	n/a	24-Oct	760.00	4.0
BESSEMER INVESTMENT	085	UPS	S	1,100	69.30	n/a	n/a	44.00	4.0
B BUCK CAPITAL MGMT		URBN	B	20,000	26.39	n/a	n/a	non-brg	4.0
WEISS PECK - ROBECO INV		040 URBN		SS	6,300	25.78	n/a	n/a	315.00 5.0
BMO NESBITT BURNS	041	USG	S	13,000	9.64	n/a	21-Oct	650.00	5.0
ENTRUST CAPITAL	040	VRA	B	37,400	44.72	n/a	n/a	1,870.00	5.0
BESSEMER INVESTMENT	085	VZ	S	2,265	36.55	n/a	n/a	90.60	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JOEL GIFFORD TISS	FID	WBC	S	1000	46.80	n/a	11-Oct	0.00	0.0
	BESSEMER INVESTMENT	085	WFC	S	1,500	25.78	n/a	17-Oct	60.00	4.0
	BESSEMER INVESTMENT	085	WMT	S	2,000	57.27	n/a	13-Oct	80.00	4.0
	ADAGE CAPITAL MGMT	030	WRC	S	900	46.75	n/a	21-Oct	27.00	3.0
f	MANNY I KORMAN	FID	XLI	B	6000	32.82	n/a	n/a	0.00	0.0
TOTAL (Trade Date):									131,678.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									131,678.83
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									131,678.83
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 26-Oct.

PCAR

MRI Securities without Trade Activity on 26-Oct.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 2%

<u>Legend:</u>
Õ: Employee Trades in Outside Accounts
ß: Non-BRG BCM Trades
[i]: Initiation of Coverage
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
Watch List Trades
f: Employee Trades (Fidelity)