



Daily Compliance Activity Report

Trade Date: 07/26/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSIMER TRUST	085	AAPL	B	1,980	403.47	n/a	n/a	79.20	4.0
BESSIMER TRUST	085	ACE	B	1,085	66.35	n/a	n/a	43.40	4.0
BESSIMER TRUST	085	ADM	B	1,895	31.83	n/a	15-Jul	75.80	4.0
PRIMECAP MGMT	084	AMGN	B	5,000	54.83	n/a	n/a	200.00	4.0
BESSIMER TRUST	085	AMTD	S	2,500	19.68	n/a	n/a	100.00	4.0
CONIFER/ISF	025	ATVI	S	30,000	12.17	n/a	n/a	1,200.00	4.0
BESSIMER TRUST	085	AXP	B	900	51.84	n/a	21-Jul	36.00	4.0
EPOCH INV MGMT	030	BA	S	100,000	70.15	n/a	22-Jul	3,000.00	3.0
BESSIMER TRUST	085	BDX	S	1,390	85.40	n/a	n/a	55.60	4.0
BUCK CAPITAL MGMT	001	BID	B	20,000	44.79	n/a	n/a	600.00	3.0
AMBER CAPITAL	046	BTU	SS	20,000	59.73	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	CBE	B	5,000	57.12	n/a	26-Apr	150.00	3.0
FRONTIER	029	COG	B	59,650	73.15	n/a	20-Jul	2,386.00	4.0
PRIMECAP MGMT	084	DFS	S	800	26.07	n/a	15-Jul	32.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	085	DIS	B	1,470	40.74	n/a	n/a	58.80	4.0
BESSIMER TRUST	085	DIS	S	414	40.58	n/a	n/a	16.56	4.0
BESSIMER TRUST	085	DVN	B	755	83.40	n/a	15-Jul	30.20	4.0
BESSIMER TRUST	085	ECL	B	1,510	51.18	n/a	21-Jul	60.40	4.0
LOCUS WOOD CAPITAL MGMT	044	ECL	B	50,000	51.24	n/a	21-Jul	2,000.00	4.0
SURVEYOR CAPITAL	041	EHTH	B	32,548	12.98	n/a	n/a	976.44	3.0
1798 CAP/LOMBARD ASSET	040	EP	B	10,000	20.73	n/a	n/a	500.00	5.0
AVESTA CAP	229	FCX	C	50,000	55.82	n/a	n/a	1,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	FL	B	10,000	22.65	n/a	2-Jun	0.00	0.0
OZ MGMT	040	F	S	293,500	12.98	n/a	14-Jul	8,805.00	3.0
WOOSTER CAPITAL	035	F	S	100,000	13.36	n/a	14-Jul	5,000.00	5.0
BESSIMER TRUST	085	GE	B	4,890	18.59	n/a	n/a	195.60	4.0
AMBER CAPITAL	046	GIL	B	20,000	32.57	n/a	18-Jul	800.00	4.0
CATAPULT	040	GM	SS	16,500	29.19	n/a	14-Jul	660.00	4.0
TROUBH PART	070	GM	S	25,000	29.33	n/a	14-Jul	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GPS	SS	50,000	19.52	n/a	n/a	1,750.00	3.5
LATEFF MGMT	035	GSPRD	S	900	22.15	n/a	n/a	270.00	30.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LONG OAR GLOBAL INV	040	HII	B	38,500	35.21	n/a	n/a	1,540.00	4.0
TRUST CO OF THE WEST/NY	040	HK	S	12,203	38.33	n/a	n/a	610.15	5.0
TRUST CO/COWEN/CALF.	040	HK	S	10,797	38.33	n/a	n/a	539.85	5.0
BESSIMER TRUST	085	HON	B	1,255	55.63	n/a	22-Jul	50.20	4.0
SONTERRA CAP	041	HRS	B	25,000	42.76	n/a	4-May	1,000.00	4.0
THOMAS WEISEL ASSET MGMT	035	HXL	S	8,978	24.62	n/a	19-Jul	269.34	3.0
BESSIMER TRUST	085	IP	B	2,080	30.86	n/a	19-Jul	83.20	4.0
BESSIMER TRUST	085	IP	S	639	30.74	n/a	19-Jul	25.56	4.0
BESSIMER TRUST	085	IR	S	135	39.48	n/a	21-Jul	5.40	4.0
BESSIMER TRUST	085	JCI	B	1,485	38.95	n/a	20-Jul	59.40	4.0
PRIMECAP MGMT	084	JNJ	B	18,000	65.93	n/a	n/a	720.00	4.0
MFP INVESTORS	085	JNS	B	6,000	8.85	n/a	n/a	300.00	5.0
BESSIMER TRUST	085	JPM	B	2,356	41.72	n/a	14-Jul	94.24	4.0
BESSIMER TRUST	085	JPM	S	230	41.61	n/a	14-Jul	9.20	4.0
BESSIMER TRUST	085	KFT	B	2,030	35.05	n/a	n/a	81.20	4.0
BESSIMER TRUST	085	KFT	S	569	35.03	n/a	n/a	22.76	4.0
TUDOR INVESTORS	028	KMT	B	4,000	43.27	n/a	29-Apr	120.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	KMX	S	1,300	32.93	n/a	n/a	52.00	4.0
WEISS PECK	040	LCC	B	30,100	6.49	n/a	n/a	1,204.00	4.0
NEUBERGER BERMAN	036	LDR	S	1,700	59.33	n/a	n/a	68.00	4.0
PRIMECAP MGMT	084	LIFE	B	697	49.75	n/a	n/a	27.88	4.0
BRONSON POINT	036	LVLTT	C	50,000	2.26	n/a	n/a	1,500.00	3.0
TUDOR INVESTORS	028	LYB	S	15,000	39.07	n/a	n/a	450.00	3.0
CYRUS CAPITAL	025	MAS	B	25,800	11.29	n/a	n/a	774.00	3.0
BESSIMER TRUST	085	MET	B	2,525	41.40	n/a	n/a	101.00	4.0
BALLAST CAP	040	MLI	B	12,500	41.99	n/a	26-Jul	625.00	5.0
SURVEYOR CAPITAL	041	MOH	B	25,000	24.12	n/a	n/a	750.00	3.0
BESSIMER TRUST	085	MSFT	B	1,860	28.10	n/a	n/a	74.40	4.0
BESSIMER TRUST	085	MSFT	S	1,159	28.06	n/a	n/a	46.36	4.0
BESSIMER TRUST	085	MS	B	3,190	23.72	n/a	21-Jul	127.60	4.0
BESSIMER TRUST	085	MS	S	1,289	23.71	n/a	21-Jul	51.56	4.0
PRIMECAP MGMT	084	MUR	S	15,619	69.01	n/a	n/a	624.76	4.0
CENTURION PARTNERS	041	M	B	20,000	30.26	n/a	8-Jul	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	NAV	B	150,000	52.21	n/a	8-Jun	6,000.00	4.0
BESSIMER TRUST	085	NOV	B	215	83.03	n/a	n/a	8.60	4.0
BESSIMER TRUST	085	NVDA	S	1,500	14.50	n/a	n/a	60.00	4.0
CASTLEROCK	040	NWL	SS	136,223	15.10	n/a	n/a	5,448.92	4.0
PARAMETER CAPITAL MGMT LLC	044	OC	SS	75,000	35.98	n/a	n/a	3,000.00	4.0
TALPION LLC	040	ORLY	S	10,000	62.30	n/a	n/a	400.00	4.0
BESSIMER TRUST	085	OXY	B	330	105.61	n/a	n/a	13.20	4.0
BESSIMER TRUST	085	PCP	B	335	160.79	n/a	19-Jul	13.40	4.0
BESSIMER TRUST	085	PFE	B	3,420	19.68	n/a	n/a	136.80	4.0
BESSIMER TRUST	085	PFE	S	979	19.64	n/a	n/a	39.16	4.0
LATEFF MGMT	035	PFE	S	300	19.66	n/a	n/a	30.00	10.0
BESSIMER TRUST	085	PG	B	1,030	63.45	n/a	25-Jul	41.20	4.0
PIIONEER PATH	028	PKI	S	27,500	25.89	n/a	n/a	825.00	3.0
MACQUARIE INVESTMENT MGMT.	040	PVH	S	2,500	73.83	n/a	18-Jul	0.00	0.0
BESSIMER TRUST	085	QCOM	B	765	56.82	n/a	n/a	30.60	4.0
LATEFF MGMT	035	RDSB	S	125	76.04	n/a	n/a	21.25	17.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	RIMM	B	112,000	27.39	n/a	n/a	4,480.00	4.0
KLEINHEINZ CAP PART	031	RKT	B	25,000	64.10	n/a	n/a	1,250.00	5.0
BESSIMER TRUST	085	SLB	S	2,000	94.33	n/a	n/a	80.00	4.0
BESSIMER TRUST	085	STJ	B	1,111	47.87	n/a	n/a	44.44	4.0
BESSIMER TRUST	085	STJ	S	632	48.22	n/a	n/a	25.28	4.0
BESSIMER TRUST	085	SWK	B	530	68.08	n/a	n/a	21.20	4.0
TRUST CO OF THE WEST/NY	040	SWY	S	13,088	20.41	n/a	n/a	523.52	4.0
TRUST CO/COWEN/CALF.	040	SWY	S	22,712	20.41	n/a	n/a	908.48	4.0
PILOT ADV	041	TBL	B	3,500	42.92	n/a	n/a	140.00	4.0
PIONEER PATH	028	TMO	B	20,000	61.54	n/a	n/a	600.00	3.0
TRUST CO/COWEN/CALF.	040	TMO	B	14,900	61.61	n/a	n/a	745.00	5.0
WEISS PECK	040	TOL	SS	8,800	20.79	n/a	n/a	440.00	5.0
TUDOR INVESTORS	028	UNP	B	8,000	104.19	n/a	n/a	240.00	3.0
SMITH MGMT LLC	029	URBN	B	681,740	33.09	n/a	n/a	20,452.20	3.0
BESSIMER TRUST	085	WHR	B	310	71.82	n/a	n/a	12.40	4.0
SCOPUS FUND	041	WRC	B	20,000	56.77	n/a	18-Jul	800.00	4.0
TUDOR INVESTORS	028	WSO	B	5,000	60.19	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	WST	B	4,200	45.11	n/a	n/a	168.00	4.0
COOPER CREEK PART	028	WY	SS	10,000	20.73	n/a	19-Jul	400.00	4.0
BRONSON POINT	036	XRX	S	50,000	9.83	n/a	n/a	1,500.00	3.0
TRUST CO OF THE WEST/NY	040	X	B	4,000	40.51	n/a	n/a	200.00	5.0
TRUST CO/COWEN/CALF.	040	X	B	44,630	40.51	n/a	n/a	2,231.50	5.0
SURVEYOR CAPITAL	041	ZOLL	B	2,516	57.48	n/a	n/a	75.48	3.0
TOTAL (Trade Date):								96,993.69	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/25	BROADARCH CAP/OLD NEWC (BROAJPM)	070	AME	S	1,190	45.24	n/a	n/a	47.60 4.0
AO,CRT	07/25	BROADARCH CAP/OLD NEWC (BROAJPM)	070	AME	S	1,299	45.24	n/a	n/a	51.96 4.0
AO,CXL	07/25	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	AME	S	2,810	45.24	n/a	n/a	112.40 4.0
AO,CRT	07/25	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	AME	S	2,701	45.24	n/a	n/a	108.04 4.0
AO,CXL	07/21	SAVITR CAPITAL (SAVIJPCHAS)	040	AONE	B	25,000	5.63	n/a	n/a	750.00 3.0
AO,CRT	07/21	SAVITR CAPITAL (SAVIJPCHAS)	040	AONE	B	25,000	5.63	n/a	n/a	750.00 3.0
AO,CXL	07/25	BROADARCH CAP/OLD NEWC (BROAJPM)	070	KMB	B	270	67.56	n/a	25-Jul	10.80 4.0
AO,CRT	07/25	BROADARCH CAP/OLD NEWC (BROAJPM)	070	KMB	B	730	67.56	n/a	25-Jul	29.20 4.0
AO,CXL	07/25	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	KMB	B	730	67.56	n/a	25-Jul	29.20 4.0
AO,CRT	07/25	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	KMB	B	270	67.56	n/a	25-Jul	10.80 4.0

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

TOTAL (Trade Date) :	96,993.69
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	96,993.69
---------------------------------	------------------

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