



## Daily Compliance Activity Report

Trade Date: 11/07/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	669	399.72	n/a	n/a	26.76	4.0
AVENUE CAPITAL MGMT	070	ABH	B	85,000	15.88	n/a	n/a	2,550.00	3.0
BESSEMER INVESTMENT	085	ACE	S	1,550	72.06	n/a	n/a	62.00	4.0
PATTEN & PATTEN	025	AGG	B	775	110.30	n/a	n/a	38.75	5.0
PATTEN & PATTEN	025	AML	B	500	15.85	n/a	n/a	25.00	5.0
TRUSTCO/SUNTRUST	040	AVP	B	60,068	18.48	n/a	31-Oct	2,102.42	3.5
PILOT ADV	041	AVY	C	8,000	26.27	n/a	26-Oct	240.00	3.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	25,000	9.27	n/a	31-Oct	1,000.00	4.0
VISIUM/BALY BOBBY	044	AXL	SS	20,000	9.06	n/a	31-Oct	800.00	4.0
PATTEN & PATTEN	025	BAB	B	2,800	28.46	n/a	n/a	140.00	5.0
LATEFF MGMT	035	BBT	B	500	23.56	n/a	n/a	50.00	10.0
MERCHANTS GATE CAP LP	036	BBY	SS	100,000	26.38	n/a	n/a	4,000.00	4.0
DE SHAW	070	BIG	B	50,000	41.34	n/a	3-Nov	1,500.00	3.0
LATEFF MGMT	035	BMS	S	1,000	28.78	n/a	n/a	1.00	0.1
STATE TEACHERS RET SYS	047	BRE	S	5,000	50.09	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	CBL	B	30,000	14.75	n/a	n/a	1,500.00	5.0
TALPION LLC	040	CLGX	S	11,700	14.12	n/a	n/a	468.00	4.0
LATEFF MGMT	035	CMCSK	B	500	22.22	n/a	n/a	50.00	10.0
SANDLER CAPITAL	028	CMI	S	75,000	99.81	n/a	26-Oct	3,750.00	5.0
SCOPUS FUND	041	CNK	SS	25,000	20.18	n/a	n/a	1,000.00	4.0
BRONSON POINT	036	CNX	B	5,000	43.71	n/a	n/a	150.00	3.0
SCOPUS FUND	041	CONN	B	10,000	8.79	n/a	n/a	400.00	4.0
STATE TEACHERS RET SYS	047	CUZ	S	6,401	6.80	n/a	n/a	320.05	5.0
PATTEN & PATTEN	025	CWB	B	500	37.77	n/a	n/a	25.00	5.0
BESSEMER INVESTMENT	085	DIS	S	195	35.08	n/a	n/a	7.80	4.0
SCOPUS FUND	041	DKS	B	35,000	39.51	n/a	16-Aug	1,400.00	4.0
STATE TEACHERS RET SYS	047	DMND	B	25,000	41.05	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	DSW	SS	7,700	51.00	n/a	11-Feb	308.00	4.0
ENTRUST CAPITAL	040	EAT	B	22,300	22.61	n/a	26-Oct	1,115.00	5.0
BESSEMER INVESTMENT	085	ECL	S	195	55.60	n/a	25-Oct	7.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	EMC	S	1,114	24.60	n/a	n/a	44.56	4.0
ASCEND PARTNERS	033	ENR	B	3,902	69.05	n/a	7-Nov	117.06	3.0
LATEFF MGMT	035	ENR	B	500	69.92	n/a	7-Nov	65.00	13.0
STATE TEACHERS RET SYS	047	EQY	B	4,359	16.75	n/a	n/a	217.95	5.0
PATTEN & PATTEN	025	EWC	B	300	28.04	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	EWZ	S	250	62.37	n/a	n/a	12.50	5.0
ARSENAL ASSET MANAGEMENT	028	GDI	S	5,000	78.27	n/a	n/a	200.00	4.0
ADAGE CAPITAL MGMT	030	GES	B	287,700	31.69	n/a	21-Oct	8,631.00	3.0
BESSEMER INVESTMENT	085	GE	S	620	16.32	n/a	n/a	24.80	4.0
ROSEDALE CAPITAL	046	GFI	B	20,000	17.97	n/a	n/a	800.00	4.0
BNP PARIBAS SEC	040	GM	SS	50,000	23.69	n/a	2-Nov	2,500.00	5.0
OZ MGMT	040	GM	SS	25,000	23.84	n/a	2-Nov	750.00	3.0
SCOPUS FUND	041	GPC	SS	35,373	57.79	n/a	n/a	1,414.92	4.0
BESSEMER INVESTMENT	085	IP	S	315	28.63	n/a	27-Oct	12.60	4.0
BESSEMER INVESTMENT	085	JCI	S	200	32.37	n/a	27-Oct	8.00	4.0
IRIDIAN ASSET MGMT.	036	JCP	SS	79,100	33.26	n/a	4-Nov	2,373.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	JPM	S	205	34.11	n/a	4-Nov	8.20	4.0
BESSEMER INVESTMENT	085	KFT	S	2,061	35.29	n/a	n/a	82.44	4.0
LATEFF MGMT	035	KFT	S	500	35.18	n/a	n/a	60.00	12.0
STATE TEACHERS RET SYS	047	KIM	S	10,000	17.43	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	LULU	SS	20,000	54.92	n/a	12-Sep	1,000.00	5.0
TRUSTCO/SUNTRUST	040	MCD	S	6,900	93.55	n/a	3-Nov	241.54	3.5
MERRILL ASSET/BLACKROCK	297	MCY	B	7,600	42.58	n/a	n/a	304.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	390	26.78	n/a	n/a	15.60	4.0
BESSEMER INVESTMENT	085	NOV	S	960	70.99	n/a	n/a	38.40	4.0
NOKOMIS PARTNERS	031	OVTI	S	62,000	14.79	n/a	n/a	1,860.00	3.0
BESSEMER INVESTMENT	085	OXY	S	707	98.19	n/a	n/a	28.28	4.0
ROTHSCHILD ASSET	040	PCS	S	86,521	8.91	n/a	n/a	3,460.84	4.0
BESSEMER INVESTMENT	085	PFE	S	460	20.07	n/a	n/a	18.40	4.0
BESSEMER INVESTMENT	085	PG	S	1,605	63.34	n/a	7-Nov	64.20	4.0
SYSTEMATIC FINANCIAL MGT	035	PIR	B	66,500	12.99	n/a	n/a	1,995.00	3.0
STATE TEACHERS RET SYS	047	PPL	B	7,500	29.72	n/a	n/a	375.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	PRA	S	21,900	76.62	n/a	n/a	876.00	4.0
BESSEMER INVESTMENT	085	QCOM	S	850	56.91	n/a	n/a	34.00	4.0
MERRILL ASSET/BLACKROCK	297	RGA	S	7,200	51.93	n/a	n/a	288.00	4.0
ROXBURY CAPITAL MGMT	035	RYL	S	389,601	13.23	n/a	n/a	11,688.03	3.0
STATE TEACHERS RET SYS	047	SHO	B	40,000	6.88	n/a	n/a	2,000.00	5.0
COUGAR TRADING	044	SMG	B	2,500	46.74	n/a	10-Oct	125.00	5.0
COUGAR TRADING	044	SMG	SS	7,500	46.68	n/a	10-Oct	375.00	5.0
COUGAR TRADING	044	SMG	S	2,500	46.66	n/a	10-Oct	125.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>SMG</b>	<b>B</b>	<b>2,500</b>	<b>46.66</b>	<b>n/a</b>	<b>10-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>SMG</b>	<b>S</b>	<b>2,500</b>	<b>46.66</b>	<b>n/a</b>	<b>10-Oct</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	031	SSI	B	3,400	13.93	n/a	n/a	136.00	4.0
BESSEMER INVESTMENT	085	STJ	S	1,720	38.78	n/a	n/a	68.80	4.0
STATE TEACHERS RET SYS	047	TCO	S	5,000	62.74	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	TEVA	B	700	40.91	n/a	7-Nov	35.00	5.0
MERRILL ASSET/BLACKROCK	297	TRH	B	9,700	54.69	n/a	n/a	388.00	4.0
OHIO PERS	047	TYC	S	26,000	45.55	n/a	19-Sep	780.00	3.0
EPOCH INV MGMT	030	WFR	S	767,767	4.90	n/a	n/a	15,355.34	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WRC	B	40,000	50.09	n/a	4-Nov	1,200.00	3.0
BESSEMER INVESTMENT	085	XOM	S	1,697	78.84	n/a	n/a	67.88	4.0
SOROS	036	X	B	169,434	27.35	n/a	n/a	6,777.36	4.0
SIMMONS VENTURES	041	ZQK	B	2,500	3.40	n/a	10-May	75.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>92,420.28</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/04	JP MORGAN VENTURES (JPMVJPM)	046	DNKN	B	15,000	26.10	n/a	n/a	0.00	0.0
AO,CRT	11/04	JP MORGAN VENTURES (JPMVJPM)	046	DNKN	B	15,000	26.10	n/a	n/a	600.00	4.0
AO,CXL	11/04	STATE TEACHERS RET SYS (STRSMAN)	047	KEY	B	133,500	7.33	n/a	n/a	6675.00	5.0
AO,CXL	11/04	STATE TEACHERS RET SYS (STRSMAN)	047	KEY	B	22,900	7.30	n/a	n/a	1145.00	5.0
AO,CXL	11/04	STATE TEACHERS RET SYS (STRSMAN)	047	KEY	B	100,000	7.30	n/a	n/a	5000.00	5.0
AO,CXL	11/04	STATE TEACHERS RET SYS (STRSMAN)	047	KEY	B	100,000	7.29	n/a	n/a	5000.00	5.0
AO,	11/04	STATE TEACHERS RET SYS (STRSMAN)	047	KEY	B	356,400	7.31	n/a	n/a	17820.00	5.0

**TOTAL (AO, CXL, CRT) :****600.00**

TOTAL (Trade Date) :

92,420.28

TOTAL (AO, CXL, CRT) :

600.00

**TOTAL (RUN DATE) / NFS:****93,020.28**

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