



Daily Compliance Activity Report

Trade Date: 10/17/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ABT	S	600	52.63	n/a	n/a	24.00	4.0
BESSEMER INVESTMENT	085	ACWX	B	5,300	37.69	n/a	n/a	212.00	4.0
NEW JERSEY DIV OF INV.	030	AIV	B	20,000	22.78	n/a	n/a	800.00	4.0
PILOT ADV	041	ANN	SS	10,000	26.05	n/a	n/a	300.00	3.0
NORTHWESTERN MUTUAL LIFE	047	ARG	B	77,600	67.90	n/a	20-Sep	3,104.00	4.0
BESSEMER INVESTMENT	085	BDX	S	1,000	74.00	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	BSFT	S	1,052	38.35	n/a	n/a	42.08	4.0
NEW JERSEY DIV OF INV.	030	BXP	S	5,000	90.79	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	CAT	S	100	84.91	n/a	14-Sep	4.00	4.0
MACQUARIE INVESTMENT MGMT.	040	CI	B	10,000	44.43	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	COP	S	700	68.74	n/a	n/a	28.00	4.0
HIGHBRIDGE CAP	041	DECK	S	5,000	106.00	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	DIS	S	3,200	33.29	n/a	n/a	128.00	4.0
LATEFF MGMT	035	DRE	B	3,000	10.27	n/a	n/a	180.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HALCYON LLC	041	EP	B	47,360	24.20	n/a	n/a	1,420.80	3.0
SENATOR INVESTMENT GROUP	036	EQT	B	30,000	63.51	n/a	n/a	900.00	3.0
SCOPUS FUND	041	FCX	S	27,000	35.23	n/a	n/a	1,080.00	4.0
JP MORGAN VENTURES	046	FOSL	SS	12,000	93.45	n/a	n/a	480.00	4.0
MACQUARIE INVESTMENT MGMT.	040	FRX	S	10,000	32.23	n/a	17-Oct	0.00	0.0
OZ MGMT	040	F	S	300,000	11.42	n/a	4-Oct	9,000.00	3.0
KENNEDY CAPITAL	046	GCA	B	13,975	2.80	n/a	n/a	279.50	2.0
BESSEMER INVESTMENT	085	GE	S	140	16.50	n/a	n/a	5.60	4.0
SIMMONS VENTURES	041	GPS	B	5,000	17.54	n/a	n/a	200.00	4.0
LATEFF MGMT	035	IBM	S	250	189.09	n/a	n/a	60.00	24.0
BESSEMER INVESTMENT	085	JNJ	S	800	64.01	n/a	n/a	32.00	4.0
CAERUS GLOBAL	041	JNY	B	39,000	10.81	n/a	28-Jul	1,560.00	4.0
COBALT	041	JOYG	B	100,000	78.47	n/a	14-Sep	4,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	JPM	SS	10,000	31.25	n/a	13-Oct	0.00	0.0
CATAPULT	040	KMR	SS	25,000	64.82	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	KSS	B	5,000	50.40	n/a	7-Oct	200.00	4.0
BESSEMER INVESTMENT	085	LMT	S	700	75.97	n/a	17-Oct	28.00	4.0
LISTED ERR	099	LMT	B	700	75.97	n/a	17-Oct	0.00	0.0
LISTED ERR	099	LMT	SS	700	75.88	n/a	17-Oct	0.00	0.0
HIGHBRIDGE CAP	041	LOW	B	47,000	21.11	n/a	17-Oct	1,410.00	3.0
BESSEMER INVESTMENT	085	MA	S	142	340.84	n/a	13-Oct	5.68	4.0
LATEFF MGMT	035	MMM	B	500	76.89	n/a	7-Sep	65.00	13.0
HIGHBRIDGE CAP	041	PETM	S	11,000	45.67	n/a	n/a	330.00	3.0
BESSEMER INVESTMENT	085	PFE	S	100	18.93	n/a	n/a	4.00	4.0
SCOPUS FUND	041	PKG	B	100,000	24.70	n/a	17-Oct	4,000.00	4.0
BESSEMER INVESTMENT	085	RGP	S	1,300	20.99	n/a	n/a	52.00	4.0
COOKBIELER	028	RKT	B	40,000	52.89	n/a	17-Oct	1,600.00	4.0
MERCHANTS GATE CAP LP	036	SPY	C	113,000	120.64	n/a	n/a	4,520.00	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	5,400	29.23	n/a	12-Oct	216.00	4.0
T. ROWE PRICE	033	WY	B	214,800	16.49	n/a	17-Oct	8,592.00	4.0
FORTRESS INVESTMENT (US)	036	XLI	SS	16,000	31.34	n/a	n/a	640.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	YUM	B	5,000	51.09	n/a	5-Oct	200.00	4.0
TOTAL (Trade Date):							47,092.66		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/14	CAERUS GLOBAL (CAERGSMAN)	041	JNY	B	37,400	10.67	n/a	28-Jul	1496.00 4.0
AO,CRT	10/14	CAERUS GLOBAL (CAERGSMAN)	041	JNY	B	37,400	10.67	n/a	28-Jul	1496.00 4.0
AO,CXL	10/14	EGS ASSOCIATES LP (EGASBANC O)	091	JNY	B	3,000	10.49	n/a	28-Jul	120.00 4.0
AO,CRT	10/14	EGS ASSOCIATES LP (EGASBANC O)	091	JNY	B	3,000	10.49	n/a	28-Jul	180.00 6.0
TOTAL (AO, CXL, CRT) :										60.00
TOTAL (Trade Date) :										47,092.66
TOTAL (AO, CXL, CRT) :										60.00
TOTAL (RUN DATE) / NFS:										47,152.66

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