



Daily Compliance Activity Report

Trade Date: 09/18/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	75	700.15	n/a	n/a	3.00	4.0
BESSEMER INVESTMENT	085	ABAX	S	301	36.69	n/a	n/a	12.04	4.0
BESSEMER INVESTMENT	085	ABT	S	1,000	68.90	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	ACCO	S	630	6.65	n/a	n/a	25.20	4.0
BESSEMER INVESTMENT	085	ACE	S	85	76.88	n/a	n/a	3.40	4.0
BESSEMER INVESTMENT	085	ACN	S	115	65.67	n/a	n/a	4.60	4.0
BESSEMER INVESTMENT	085	AGN	S	500	89.94	n/a	17-Sep	20.00	4.0
BESSEMER INVESTMENT	085	AIG	S	500	34.41	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	ALE	S	190	41.42	n/a	n/a	7.60	4.0
BESSEMER INVESTMENT	085	AMP	S	1,500	58.40	n/a	n/a	60.00	4.0
BESSEMER INVESTMENT	085	AON	S	590	52.85	n/a	n/a	23.60	4.0
BESSEMER INVESTMENT	085	APA	S	350	90.50	n/a	8-Aug	14.00	4.0
BESSEMER INVESTMENT	085	ARG	S	400	82.57	n/a	8-Aug	16.00	4.0
1798 CAP/LOMBARD ASSET	040	ASH	S	21,500	74.80	n/a	7-Sep	1,075.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BESSEMER INVESTMENT	085	ATHN	S	144	88.30	n/a	n/a	5.76	4.0	
LANE GATE PARTNERS LLC	030	AXL	S	13,500	12.25	n/a	30-Jul	405.00	3.0	
BESSEMER INVESTMENT	085	AXP	S	1,630	58.87	n/a	17-Sep	65.20	4.0	
BESSEMER INVESTMENT	085	AYI	S	130	66.19	n/a	n/a	5.20	4.0	
BESSEMER INVESTMENT	085	A	S	625	39.61	n/a	n/a	25.00	4.0	
BESSEMER INVESTMENT	085	BBY	S	645	17.62	n/a	n/a	25.80	4.0	
BESSEMER INVESTMENT	085	BECN	S	515	28.48	n/a	n/a	20.60	4.0	
BESSEMER INVESTMENT	085	BNCL	S	500	9.54	n/a	n/a	20.00	4.0	
BESSEMER INVESTMENT	085	BRLI	S	475	28.17	n/a	n/a	19.00	4.0	
BESSEMER INVESTMENT	085	BR	S	450	23.95	n/a	n/a	18.00	4.0	
BESSEMER INVESTMENT	085	BWC	S	280	25.91	n/a	n/a	11.20	4.0	
SMITH MGMT/ALDEN GLOBAL		029	BZH	S	250,000	3.62	n/a	n/a	7,500.00	3.0
BESSEMER INVESTMENT	085	CAKE	S	395	35.24	n/a	26-Jul	15.80	4.0	
BESSEMER INVESTMENT	085	CAR	S	780	16.73	n/a	n/a	31.20	4.0	
BESSEMER INVESTMENT	085	CASS	S	195	40.94	n/a	n/a	7.80	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	CA	S	2,140	27.04	n/a	n/a	85.60	4.0
BESSEMER INVESTMENT	085	CBI	S	310	41.09	n/a	n/a	12.40	4.0
BESSEMER INVESTMENT	085	CBOE	S	320	29.99	n/a	n/a	12.80	4.0
BESSEMER INVESTMENT	085	CCL	S	75	37.46	n/a	n/a	3.00	4.0
BESSEMER INVESTMENT	085	CCMP	S	237	35.83	n/a	n/a	9.48	4.0
BESSEMER INVESTMENT	085	CFFN	S	940	11.93	n/a	n/a	37.60	4.0
BESSEMER INVESTMENT	085	CHE	S	280	71.09	n/a	n/a	11.20	4.0
BESSEMER INVESTMENT	085	CHMT	S	640	17.91	n/a	18-Feb	25.60	4.0
BESSEMER INVESTMENT	085	CHRW	S	325	56.46	n/a	n/a	13.00	4.0
BESSEMER INVESTMENT	085	CIR	S	200	38.65	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	CL	S	245	106.16	n/a	18-Sep	9.80	4.0
BESSEMER INVESTMENT	085	CMP	S	90	72.38	n/a	n/a	3.60	4.0
BESSEMER INVESTMENT	085	CNQR	S	180	74.87	n/a	n/a	7.20	4.0
BESSEMER INVESTMENT	085	CNQ	S	970	33.51	n/a	n/a	38.80	4.0
BESSEMER INVESTMENT	085	COF	S	100	57.86	n/a	17-Sep	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	COH	S	35	61.01	n/a	1-Aug	1.40	4.0
BESSEMER INVESTMENT	085	COP	S	70	58.04	n/a	n/a	2.80	4.0
BESSEMER INVESTMENT	085	CPHD	S	500	39.25	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	CRZO	S	220	27.80	n/a	n/a	8.80	4.0
BESSEMER INVESTMENT	085	CSCO	S	3,190	19.17	n/a	n/a	127.60	4.0
BESSEMER INVESTMENT	085	CSGP	S	175	82.94	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	CTCT	S	184	19.91	n/a	n/a	7.36	4.0
BESSEMER INVESTMENT	085	CTL	S	115	42.49	n/a	n/a	4.60	4.0
BESSEMER INVESTMENT	085	CTXS	S	400	80.54	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	CVS	S	565	47.45	n/a	n/a	22.60	4.0
BESSEMER INVESTMENT	085	C	S	1,180	33.83	n/a	17-Sep	47.20	4.0
BESSEMER INVESTMENT	085	DAN	S	480	13.46	n/a	27-Jul	19.20	4.0
BESSEMER INVESTMENT	085	DCI	S	700	36.25	n/a	n/a	28.00	4.0
BESSEMER INVESTMENT	085	DDD	S	191	37.78	n/a	n/a	7.64	4.0
BESSEMER INVESTMENT	085	DEL	S	100	66.67	n/a	n/a	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	DENN	S	1,410	5.04	n/a	n/a	56.40	4.0
BESSEMER INVESTMENT	085	DGII	S	765	10.70	n/a	n/a	30.60	4.0
BESSEMER INVESTMENT	085	DHR	S	700	55.71	n/a	n/a	28.00	4.0
BESSEMER INVESTMENT	085	DIN	S	150	56.81	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	DISCA	S	675	58.51	n/a	n/a	27.00	4.0
CAISSE DEPOT PLACEMENT Q	295	DLLR	B	15,131	17.72	n/a	n/a	453.93	3.0
BESSEMER INVESTMENT	085	DRC	S	140	55.01	n/a	n/a	5.60	4.0
BESSEMER INVESTMENT	085	DTE	S	40	58.16	n/a	n/a	1.60	4.0
BESSEMER INVESTMENT	085	DVN	S	500	62.46	n/a	23-Jul	20.00	4.0
BESSEMER INVESTMENT	085	EBAY	S	1,150	49.96	n/a	n/a	46.00	4.0
BESSEMER INVESTMENT	085	EBIX	S	424	24.45	n/a	n/a	16.96	4.0
BESSEMER INVESTMENT	085	ECHO	S	430	17.63	n/a	n/a	17.20	4.0
BESSEMER INVESTMENT	085	ECL	S	750	63.68	n/a	9-Aug	30.00	4.0
BESSEMER INVESTMENT	085	EOG	S	150	115.28	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	ESRX	S	202	63.03	n/a	n/a	8.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	EXC	S	125	35.44	n/a	n/a	5.00	4.0
BESSEMER INVESTMENT	085	EXPD	S	700	38.24	n/a	n/a	28.00	4.0
ARSENAL ASSET MANAGEMENT	028	EXP	B	5,000	46.63	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	FAF	S	500	21.24	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	FARO	S	180	40.91	n/a	n/a	7.20	4.0
BESSEMER INVESTMENT	085	FAST	S	1,200	43.45	n/a	n/a	48.00	4.0
BESSEMER INVESTMENT	085	FBHS	S	160	27.01	n/a	n/a	6.40	4.0
BESSEMER INVESTMENT	085	FCX	S	75	41.39	n/a	n/a	3.00	4.0
BESSEMER INVESTMENT	085	FLO	S	625	20.45	n/a	n/a	25.00	4.0
BESSEMER INVESTMENT	085	FLS	S	80	131.72	n/a	n/a	3.20	4.0
BESSEMER INVESTMENT	085	FMER	S	431	15.29	n/a	n/a	17.24	4.0
BESSEMER INVESTMENT	085	FNFG	S	880	8.24	n/a	n/a	35.20	4.0
BESSEMER INVESTMENT	085	FNGN	S	335	22.95	n/a	n/a	13.40	4.0
BESSEMER INVESTMENT	085	FORR	S	130	29.81	n/a	n/a	5.20	4.0
BESSEMER INVESTMENT	085	FOR	S	330	17.18	n/a	15-Aug	13.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	FSTR	S	150	34.45	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	FWRD	S	185	34.84	n/a	n/a	7.40	4.0
OZ MGMT	040	F	SS	250,000	10.39	n/a	5-Sep	7,500.00	0.0
BESSEMER INVESTMENT	085	GD	S	40	66.80	n/a	27-Jul	1.60	4.0
BESSEMER INVESTMENT	085	GILD	S	820	67.30	n/a	n/a	32.80	4.0
NICOLAS APPELGATE	084	GILD	B	114,200	66.75	n/a	n/a	2,284.00	0.0
BESSEMER INVESTMENT	085	GMCR	S	300	29.89	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	GM	S	1,090	24.09	n/a	18-Sep	43.60	4.0
COUGAR TRADING	044	GM	B	25,000	24.18	n/a	18-Sep	1,250.00	5.0
COUGAR TRADING	044	GM	S	25,000	24.33	n/a	18-Sep	1,250.00	5.0
DC CAPITAL	044	GM	B	50,000	24.23	n/a	18-Sep	2,000.00	4.0
LANE GATE PARTNERS LLC	030	GM	B	6,500	24.14	n/a	18-Sep	195.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	B	20,000	24.21	n/a	18-Sep	600.00	0.0
LOCUST WOOD CAPITAL MGMT	044	GM	B	26,800	24.28	n/a	18-Sep	1,072.00	4.0
METROPOLITAN CAPITAL	044	GM	B	16,300	24.12	n/a	18-Sep	815.00	5.0
OZ MGMT	040	GM	B	250,000	24.29	n/a	18-Sep	7,500.00	0.0
PECONIC PARTNERS	036	GM	B	200,000	24.18	n/a	18-Sep	10,000.00	0.0
WEINTRAUB CAPITAL MGT.	084	GM	B	50,000	24.20	n/a	18-Sep	2,000.00	4.0
BESSEMER INVESTMENT	085	GNTX	S	1,465	18.28	n/a	25-Jul	58.60	4.0
BESSEMER INVESTMENT	085	GOOG	S	70	715.44	n/a	n/a	2.80	4.0
BESSEMER INVESTMENT	085	GPOR	S	320	30.02	n/a	n/a	12.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	GS	S	190	119.78	n/a	14-Sep	7.60	4.0
BESSEMER INVESTMENT	085	GWAY	S	80	15.61	n/a	n/a	3.20	4.0
BESSEMER INVESTMENT	085	GWR	S	110	66.93	n/a	n/a	4.40	4.0
BESSEMER INVESTMENT	085	HAL	S	480	36.33	n/a	n/a	19.20	4.0
BESSEMER INVESTMENT	085	HBI	S	440	32.94	n/a	1-Aug	17.60	4.0
BESSEMER INVESTMENT	085	HIG	S	1,750	19.70	n/a	n/a	70.00	4.0
BESSEMER INVESTMENT	085	HOG	S	650	45.34	n/a	n/a	26.00	4.0
BESSEMER INVESTMENT	085	HPQ	S	1,330	18.16	n/a	n/a	53.20	4.0
BESSEMER INVESTMENT	085	HRC	S	400	29.23	n/a	n/a	16.00	4.0
PERIMETER	273	HTSI	S	13,400	39.47	n/a	n/a	402.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	79.44	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	IBKC	S	190	48.80	n/a	n/a	7.60	4.0
BESSEMER INVESTMENT	085	IBM	S	40	207.62	n/a	n/a	1.60	4.0
BESSEMER INVESTMENT	085	INWK	S	751	11.95	n/a	n/a	30.04	4.0
BESSEMER INVESTMENT	085	IPCM	S	265	47.82	n/a	n/a	10.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	IP	B	20,000	34.17	n/a	20-Aug	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	100,000	34.69	n/a	20-Aug	5,000.00	5.0
VISIUM/BALY BOBBY	044	IP	B	25,000	34.11	n/a	20-Aug	1,250.00	0.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		IP	B	25,000	34.65		n/a 20-Aug	1,000.00	4.0
BESSEMER INVESTMENT	085	IR	S	400	45.48	n/a	30-Aug	16.00	4.0
BESSEMER INVESTMENT	085	ITT	S	380	20.85	n/a	n/a	15.20	4.0
BESSEMER INVESTMENT	085	JBT	S	320	16.98	n/a	n/a	12.80	4.0
BESSEMER INVESTMENT	085	JCP	S	1,500	28.52	n/a	13-Aug	60.00	4.0
BESSEMER INVESTMENT	085	JEC	S	550	42.97	n/a	n/a	22.00	4.0
BESSEMER INVESTMENT	085	JNJ	S	10	68.65	n/a	n/a	0.40	4.0
BESSEMER INVESTMENT	085	JPM	S	420	41.06	n/a	17-Sep	16.80	4.0
CAPITAL RESEARCH GROUP		296	JWN	B	80,000	56.05	n/a 31-Aug	2,800.00	0.0
J. GOLDMAN	028	JWN	B	25,000	56.22	n/a	31-Aug	1,000.00	4.0
BESSEMER INVESTMENT	085	KALU	S	190	58.04	n/a	n/a	7.60	4.0
BESSEMER INVESTMENT	085	KBW	S	330	17.58	n/a	n/a	13.20	4.0
BESSEMER INVESTMENT	085	KOP	S	150	36.83	n/a	n/a	6.00	4.0
CORNERSTONE	030	KO	B	166,864	38.64	n/a	18-Sep	5,005.92	0.0

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J. GOLDMAN	028	KSS	SS	10,000	53.11	n/a	31-Aug	400.00	4.0
BESSEMER INVESTMENT	085	KSU	S	160	79.88	n/a	n/a	6.40	4.0
BESSEMER INVESTMENT	085	LKQ	S	550	37.65	n/a	n/a	22.00	4.0
BESSEMER INVESTMENT	085	LMNX	S	305	20.33	n/a	n/a	12.20	4.0
BESSEMER INVESTMENT	085	LNC	S	380	25.18	n/a	n/a	15.20	4.0
BESSEMER INVESTMENT	085	LOPE	S	727	23.60	n/a	n/a	29.08	4.0
BESSEMER INVESTMENT	085	LOW	S	210	29.08	n/a	20-Aug	8.40	4.0
J. GOLDMAN	028	LULU	B	10,000	74.43	n/a	10-Sep	400.00	4.0
BESSEMER INVESTMENT	085	L	S	517	41.99	n/a	n/a	20.68	4.0
BESSEMER INVESTMENT	085	MCD	S	350	93.04	n/a	11-Sep	14.00	4.0
BESSEMER INVESTMENT	085	MDR	S	750	12.85	n/a	n/a	30.00	4.0
BESSEMER INVESTMENT	085	MD	S	205	75.58	n/a	n/a	8.20	4.0
BESSEMER INVESTMENT	085	MET	S	600	35.13	n/a	n/a	24.00	4.0
BESSEMER INVESTMENT	085	MHP	S	105	53.60	n/a	n/a	4.20	4.0
BESSEMER INVESTMENT	085	MINI	S	525	16.76	n/a	n/a	21.00	4.0

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BESSEMER INVESTMENT	085	MJN	S	550	75.69	n/a	n/a	22.00	4.0
BESSEMER INVESTMENT	085	MKC	S	750	63.64	n/a	n/a	30.00	4.0
BESSEMER INVESTMENT	085	MMS	S	321	58.43	n/a	n/a	12.84	4.0
BESSEMER INVESTMENT	085	MN	S	290	13.21	n/a	n/a	11.60	4.0
BESSEMER INVESTMENT	085	MOS	S	300	58.79	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	MRK	S	400	44.10	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	MRO	S	160	30.50	n/a	n/a	6.40	4.0
BESSEMER INVESTMENT	085	MSFT	S	825	31.18	n/a	n/a	33.00	4.0
BESSEMER INVESTMENT	085	MXWL	S	423	8.78	n/a	n/a	16.92	4.0
BESSEMER INVESTMENT	085	M	S	140	38.28	n/a	31-Aug	5.60	4.0
BESSEMER INVESTMENT	085	NATI	S	662	27.03	n/a	n/a	26.48	4.0
BESSEMER INVESTMENT	085	NBL	S	160	93.98	n/a	n/a	6.40	4.0
BESSEMER INVESTMENT	085	NCR	S	420	24.36	n/a	n/a	16.80	4.0
BESSEMER INVESTMENT	085	NEM	S	55	56.61	n/a	n/a	2.20	4.0
BESSEMER INVESTMENT	085	NEOG	S	317	38.99	n/a	n/a	12.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	NKE	S	250	97.16	n/a	22-Aug	10.00	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	2.88	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	NPO	S	270	37.61	n/a	n/a	10.80	4.0
BESSEMER INVESTMENT	085	NRG	S	1,500	21.57	n/a	n/a	60.00	4.0
BESSEMER INVESTMENT	085	NWBI	S	680	12.29	n/a	n/a	27.20	4.0
BESSEMER INVESTMENT	085	NWE	S	160	36.38	n/a	n/a	6.40	4.0
BESSEMER INVESTMENT	085	OAS	S	280	30.58	n/a	n/a	11.20	4.0
BESSEMER INVESTMENT	085	ORLY	S	350	81.08	n/a	n/a	14.00	4.0
BESSEMER INVESTMENT	085	OXY	S	425	89.03	n/a	n/a	17.00	4.0
BESSEMER INVESTMENT	085	PAG	S	410	30.11	n/a	1-Aug	16.40	4.0
BESSEMER INVESTMENT	085	PAYX	S	750	34.32	n/a	n/a	30.00	4.0
BESSEMER INVESTMENT	085	PBI	S	450	14.69	n/a	n/a	18.00	4.0
BESSEMER INVESTMENT	085	PCAR	S	370	42.06	n/a	12-Sep	14.80	4.0
LATEEF MGMT	035	PCH	S	3,250	37.61	n/a	18-Sep	300.00	10.5
BESSEMER INVESTMENT	085	PCP	S	150	158.72	n/a	1-Aug	6.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CAPITAL RESEARCH GROUP		296	PCP	B	21,020	158.25	n/a	1-Aug	735.71	0.0
BESSEMER INVESTMENT	085	PDCO	S	200	34.39	n/a	n/a		8.00	4.0
BESSEMER INVESTMENT	085	PEGA	S	215	29.23	n/a	n/a		8.60	4.0
RBC CAPITAL MARKETS	040	PENN	SS	6,000	41.18	n/a	n/a		240.00	4.0
BESSEMER INVESTMENT	085	PFE	S	1,580	24.04	n/a	n/a		63.20	4.0
BESSEMER INVESTMENT	085	PHH	S	550	19.69	n/a	n/a		22.00	4.0
CRAMER ROSENTHAL	070	PII	SS	2,150	81.13	n/a	n/a		86.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	150,000	32.22	n/a	20-Aug		7,500.00	5.0
BESSEMER INVESTMENT	085	PM	S	1,180	91.58	n/a	n/a		47.20	4.0
BESSEMER INVESTMENT	085	POWI	S	275	34.90	n/a	n/a		11.00	4.0
BESSEMER INVESTMENT	085	PRAA	S	173	102.44	n/a	n/a		6.92	4.0
BESSEMER INVESTMENT	085	PSX	S	750	45.03	n/a	n/a		30.00	4.0
ASCEND PARTNERS	033	PVH	B	13,800	91.24	n/a	29-Aug		414.00	0.0
RBC CAPITAL MARKETS	040	PVH	B	3,000	92.60	n/a	29-Aug		120.00	4.0
BESSEMER INVESTMENT	085	PX	S	300	107.44	n/a	8-Aug		12.00	4.0
BESSEMER INVESTMENT	085	QCOM	S	1,510	64.89	n/a	n/a		60.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	084	RKT	S	159,455	65.37	n/a	20-Aug	7,972.75	5.0
BESSEMER INVESTMENT	085	RTN	S	1,021	57.70	n/a	30-Jul	40.84	4.0
BESSEMER INVESTMENT	085	SBAC	S	300	60.49	n/a	n/a	12.00	4.0
ROSEDALE CAPITAL	046	SCHW	B	20,000	14.03	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	SE	S	1,022	28.98	n/a	n/a	40.88	4.0
CAERUS GLOBAL	041	SFLY	S	650	34.00	n/a	n/a	26.00	4.0
BESSEMER INVESTMENT	085	SLB	S	500	76.48	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	SMTC	S	610	26.50	n/a	n/a	24.40	4.0
BESSEMER INVESTMENT	085	SPSC	S	322	36.43	n/a	n/a	12.88	4.0
BESSEMER INVESTMENT	085	SQI	S	495	17.04	n/a	n/a	19.80	4.0
BESSEMER INVESTMENT	085	SRCL	S	300	94.46	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	SSYS	S	192	59.30	n/a	n/a	7.68	4.0
CAISSE DEPOT PLACEMENT Q	295	STI	S	80,000	28.67	n/a	n/a	4,000.00	5.0
BESSEMER INVESTMENT	085	STX	S	80	29.83	n/a	n/a	3.20	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.27	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	TECH	S	180	72.98	n/a	n/a	7.20	4.0
BESSEMER INVESTMENT	085	TFM	S	206	57.19	n/a	n/a	8.24	4.0
BESSEMER INVESTMENT	085	TGT	S	75	64.07	n/a	30-Aug	3.00	4.0
BESSEMER INVESTMENT	085	THG	S	280	37.64	n/a	n/a	11.20	4.0
BESSEMER INVESTMENT	085	TMO	S	45	59.86	n/a	n/a	1.80	4.0
BESSEMER INVESTMENT	085	TRAK	S	480	27.82	n/a	n/a	19.20	4.0
BESSEMER INVESTMENT	085	TRMB	S	550	50.53	n/a	n/a	22.00	4.0
SCOPUS FUND	041	TRW	B	7,000	46.39	n/a	n/a	280.00	4.0
BESSEMER INVESTMENT	085	TXN	S	1,500	28.68	n/a	n/a	60.00	4.0
RBC CAPITAL MARKETS	040	TXRH	SS	5,000	17.03	n/a	n/a	200.00	4.0
KLEINHEINZ CAP PART	031	UA	SS	20,000	57.13	n/a	18-Sep	1,000.00	5.0
SIMMONS VENTURES	041	UA	SS	5,000	57.80	n/a	18-Sep	200.00	4.0
BESSEMER INVESTMENT	085	ULTI	S	295	100.18	n/a	n/a	11.80	4.0
BESSEMER INVESTMENT	085	UNFI	S	348	59.66	n/a	n/a	13.92	4.0
BESSEMER INVESTMENT	085	UNH	S	90	55.06	n/a	n/a	3.60	4.0
VISIUM/BALY BOBBY	044	USG	B	10,000	23.40	n/a	1-Aug	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	VIAB	S	625	51.87	n/a	n/a	25.00	4.0
BESSEMER INVESTMENT	085	VPFG	S	460	18.75	n/a	n/a	18.40	4.0
BESSEMER INVESTMENT	085	VRNT	S	295	27.68	n/a	n/a	11.80	4.0
BESSEMER INVESTMENT	085	WFD	S	1,000	7.39	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	WM	S	65	33.96	n/a	n/a	2.60	4.0
LEVIN CAPITAL STRATEGIES	041	WRC	S	2,500	52.28	n/a	7-Aug	75.00	0.0
BESSEMER INVESTMENT	085	WTFC	S	250	37.99	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	WU	S	265	18.86	n/a	n/a	10.60	4.0
BALLAST CAP	040	XLP	B	20,000	36.00	n/a	n/a	400.00	2.0
BESSEMER INVESTMENT	085	ZMH	S	120	67.15	n/a	n/a	4.80	4.0
TOTAL (Trade Date) :								94,713.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/17	NEW JERSEY DIV OF INV. (NEWJ4340)	030	EBAY	S	2,000	50.34	n/a	n/a	60.00 0.0
AO,CXL	09/17	NEW JERSEY DIV OF INV. (NEWJ5140)	030	EBAY	S	2,000	50.34	n/a	n/a	60.00 0.0
CRT	09/18	J. GOLDMAN (GOLDGSBULK)	028	JWN	B	25,000	56.22	n/a	31-Aug	1000.00 4.0
AO,	09/17	NEW JERSEY DIV OF INV. (NEWJ4340)	030	QCOM	S	2,000	64.57	n/a	n/a	60.00 0.0
AO,CXL	09/17	NEW JERSEY DIV OF INV. (NEWJ5140)	030	QCOM	S	2,000	64.57	n/a	n/a	60.00 0.0
AO,	09/17	NEW JERSEY DIV OF INV. (NEWJ4340)	030	WSO	S	6,000	78.06	n/a	n/a	180.00 0.0
AO,CXL	09/17	NEW JERSEY DIV OF INV. (NEWJ5140)	030	WSO	S	6,000	78.06	n/a	n/a	180.00 0.0

TOTAL (AO, CXL, CRT) :	1,000.00
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TOTAL (Trade Date) :	94,713.95
TOTAL (AO, CXL, CRT) :	1,000.00

TOTAL (RUN DATE) / NFS :	95,713.95
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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