



## Daily Compliance Activity Report

Trade Date: 10/11/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	500	399.45	n/a	n/a	15.00	3.0
BESSEMER INVESTMENT	085	AA	S	325	10.28	n/a	n/a	13.00	4.0
BROADARCH CAP/OLD NEWC	070	AGU	B	1,000	71.49	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	AMAT	S	400	10.96	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	AMTD	B	800	15.90	n/a	n/a	24.00	3.0
JET CAPITAL/CHRIS	041	AMT	S	30,000	55.35	n/a	n/a	900.00	3.0
WINSLOW CAPITAL	030	AMZN	B	400	235.58	n/a	n/a	12.00	3.0
BESSEMER INVESTMENT	085	APC	S	247	66.63	n/a	27-Sep	9.88	4.0
BROADARCH CAP/OLD NEWC	070	APH	B	1,000	43.79	n/a	n/a	40.00	4.0
WAGONHOUND/NICOLAS	033	ARCO	B	23,079	24.68	n/a	7-Oct	923.16	4.0
MILLRACE FUND LP	028	ARG	B	2,000	66.68	n/a	20-Sep	80.00	4.0
MILLENNIUM PARTNERS ICSUS/BAHN028		ARJ	B	25,000	47.07	n/a	26-Nov	750.00	3.0
SMITH MGMT LLC	029	AXL	S	32,255	8.58	n/a	1-Aug	967.65	3.0
BROADARCH CAP/OLD NEWC	070	BASFY	B	1,000	68.79	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	BAX	B	1,000	56.62	n/a	n/a	40.00	4.0
IMPALA ASSET MMT	040	BA	B	14,900	63.94	n/a	6-Oct	745.00	5.0
MERRILL ASSET/BLACKROCK	297	BBG	B	5,100	37.51	n/a	n/a	204.00	4.0
WINSLOW CAPITAL	030	BIDU	B	200	127.22	n/a	n/a	6.00	3.0
KLEINHEINZ CAP PART	031	BIG	B	100,000	34.83	n/a	25-Aug	5,000.00	5.0
RBC CAPITAL MARKETS	040	BIG	B	5,000	34.42	n/a	25-Aug	200.00	4.0
BROADARCH CAP/OLD NEWC	070	BLL	B	1,000	33.06	n/a	n/a	40.00	4.0
FORWARD MGMT	033	BSFT	B	10,000	34.32	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	040	BTU	B	67,600	37.30	n/a	n/a	2,704.00	4.0
CSFB GLOBAL PROPRIETARY	041	BZ	SS	65,300	5.58	n/a	n/a	3,265.00	5.0
BROADARCH CAP/OLD NEWC	070	CAT	S	1,000	80.17	n/a	14-Sep	40.00	4.0
IMPALA ASSET MMT	040	CAT	B	59,055	80.74	n/a	14-Sep	2,952.75	5.0
BESSEMER INVESTMENT	085	CBG	S	160	13.95	n/a	n/a	6.40	4.0
LATEFF MGMT	035	CBL	B	625	12.05	n/a	n/a	62.50	10.0
JET CAPITAL/CHRIS	041	CCI	S	45,000	41.81	n/a	n/a	1,350.00	3.0
WINSLOW CAPITAL	030	CELG	B	400	66.52	n/a	n/a	12.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	CERN	B	750	69.38	n/a	n/a	30.00	4.0
WINSLOW CAPITAL	030	CERN	B	300	69.22	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	CHRW	B	400	73.16	n/a	n/a	12.00	3.0
BROADARCH CAP/OLD NEWC	070	CHSI	B	1,500	55.10	n/a	n/a	60.00	4.0
SANDLER CAPITAL	028	CLH	B	75,000	52.26	n/a	n/a	3,750.00	5.0
BESSEMER INVESTMENT	085	CMCSA	S	1,115	22.95	n/a	n/a	44.60	4.0
RAIL-SPLITTER	031	COL	SS	10,000	56.68	n/a	7-Oct	500.00	5.0
BESSEMER INVESTMENT	085	COP	S	600	67.01	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	COST	B	400	80.61	n/a	n/a	12.00	3.0
NORTHWESTERN MUTUAL LIFE	047	CRR	S	19,000	116.51	n/a	11-Jan	760.00	4.0
FORWARD MGMT	033	CRUS	B	25,000	16.86	n/a	n/a	1,000.00	4.0
Õ Nilsa Vazquez		CRUS	S	500	16.8700	n/a	n/a	0.00	0.0
DARUMA ASSET MGMT INC	046	CSGP	S	16,790	52.39	n/a	n/a	671.60	4.0
BESSEMER INVESTMENT	085	CTL	S	600	33.55	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	CTRP	B	500	34.53	n/a	n/a	15.00	3.0
WINSLOW CAPITAL	030	CTSH	B	600	67.28	n/a	n/a	18.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CTXS	B	400	60.66	n/a	n/a	12.00	3.0
BESSEMER INVESTMENT	085	C	S	1,100	27.92	n/a	7-Oct	44.00	4.0
CAXTON PART	040	C	B	50,000	27.96	n/a	7-Oct	1,750.00	3.5
BESSEMER INVESTMENT	085	DAL	S	1,200	8.22	n/a	n/a	48.00	4.0
NOMURA CAPITAL	029	DAN	S	8,080	12.41	n/a	29-Jul	242.40	3.0
BESSEMER INVESTMENT	085	DELL	S	550	16.13	n/a	n/a	22.00	4.0
BROADARCH CAP/OLD NEWC	070	DE	B	3,000	70.36	n/a	14-Sep	120.00	4.0
BROADARCH CAP/OLD NEWC	070	DHR	B	500	44.20	n/a	n/a	20.00	4.0
KACELA CAPITAL	034	DSW	B	20,572	50.38	n/a	11-Feb	822.88	4.0
BESSEMER INVESTMENT	085	DTV	S	250	45.61	n/a	n/a	10.00	4.0
TOCQUEVILLE	035	ECL	B	1,400	52.66	n/a	28-Sep	70.00	5.0
BESSEMER INVESTMENT	085	EMC	S	275	23.02	n/a	n/a	11.00	4.0
MACQUARIE INVESTMENT MGMT.	040	ENR	SS	1,500	69.17	n/a	28-Jul	0.00	0.0
IMPALA ASSET MMT	040	EOG	B	60,000	80.21	n/a	n/a	3,000.00	5.0
MACQUARIE INVESTMENT MGMT.	040	EOG	S	3,000	78.63	n/a	n/a	0.00	0.0
<b>Õ Nilsa Vazquez</b>		<b>ERJ</b>	<b>S</b>	<b>500</b>	<b>26.6213</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ESRX	B	500	40.75	n/a	n/a	15.00	3.0
BROADARCH CAP/OLD NEWC	070	ETN	S	1,000	40.45	n/a	31-Aug	0.00	0.0
BROADARCH CAP/OLD NEWC	070	FCX	B	1,000	35.25	n/a	n/a	40.00	4.0
LATEFF MGMT	035	FMER	B	500	12.55	n/a	n/a	50.00	10.0
BESSEMER INVESTMENT	085	F	S	325	11.20	n/a	4-Oct	13.00	4.0
RIDGECREST INV MGMT LLC	028	F	B	15,000	11.24	n/a	4-Oct	750.00	5.0
BESSEMER INVESTMENT	085	GCI	S	350	10.79	n/a	n/a	14.00	4.0
TOCQUEVILLE	035	GEOI	B	3,500	20.04	n/a	n/a	175.00	5.0
BROADARCH CAP/OLD NEWC	070	GE	B	2,000	16.08	n/a	n/a	80.00	4.0
BESSEMER INVESTMENT	085	GILD	S	829	39.55	n/a	n/a	33.16	4.0
LATEFF MGMT	035	GIS	S	1,500	40.15	n/a	n/a	150.00	10.0
BESSEMER INVESTMENT	085	GLW	S	725	13.69	n/a	23-Sep	29.00	4.0
WINSLOW CAPITAL	030	GMCR	B	300	94.13	n/a	n/a	9.00	3.0
BESSEMER INVESTMENT	085	GM	S	575	22.46	n/a	4-Oct	23.00	4.0
OZ MGMT	040	GM	SS	25,000	22.50	n/a	4-Oct	750.00	3.0
WINSLOW CAPITAL	030	GOOG	B	100	546.15	n/a	n/a	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	GS	B	10,000	96.86	n/a	7-Oct	500.00	5.0
MERRILL ASSET/BLACKROCK	297	HFC	S	3,600	31.53	n/a	n/a	144.00	4.0
BESSEMER INVESTMENT	085	HPQ	S	1,100	25.97	n/a	n/a	44.00	4.0
KACELA CAPITAL	034	HTZ	B	100,700	10.35	n/a	n/a	4,028.00	4.0
WINSLOW CAPITAL	030	INTU	B	400	51.04	n/a	n/a	12.00	3.0
BROADARCH CAP/OLD NEWC	070	IP	S	3,000	24.97	n/a	11-Oct	120.00	4.0
BESSEMER INVESTMENT	085	IR	S	425	28.81	n/a	30-Sep	17.00	4.0
BROADARCH CAP/OLD NEWC	070	ITW	B	1,920	44.74	n/a	14-Sep	76.80	4.0
BESSEMER INVESTMENT	085	JNJ	S	575	63.89	n/a	n/a	23.00	4.0
CAERUS GLOBAL	041	JNY	B	24,800	10.59	n/a	28-Jul	992.00	4.0
IMPALA ASSET MMT	040	JOYG	SS	4,500	75.40	n/a	14-Sep	225.00	5.0
LATEFF MGMT	035	KMB	S	100	71.38	n/a	25-Jul	30.00	30.0
BESSEMER INVESTMENT	085	KR	S	825	22.74	n/a	n/a	33.00	4.0
SIMMONS VENTURES	041	KSS	SS	5,000	51.15	n/a	7-Oct	200.00	4.0
CATAPULT	040	KWK	SS	25,000	7.79	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	LH	B	1,600	78.62	n/a	n/a	64.00	4.0
BESSEMER INVESTMENT	085	LOW	S	450	20.52	n/a	15-Aug	18.00	4.0
BESSEMER INVESTMENT	085	LYB	S	400	28.12	n/a	n/a	16.00	4.0
BALLAST CAP	040	MAT	S	7,500	27.33	n/a	n/a	375.00	5.0
RBC CAPITAL MARKETS	040	MCD	SS	10,000	89.49	n/a	3-Oct	400.00	4.0
BESSEMER INVESTMENT	085	MCO	S	275	31.41	n/a	n/a	11.00	4.0
PRIMECAP MGMT	084	MDT	S	5,000	33.24	n/a	n/a	200.00	4.0
ST OF MICHIAN	047	MET	S	603,280	30.79	n/a	n/a	18,098.40	3.0
BROADARCH CAP/OLD NEWC	070	MOO	SS	1,000	45.63	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	MO	S	575	27.70	n/a	n/a	23.00	4.0
BESSEMER INVESTMENT	085	MPC	S	675	33.20	n/a	n/a	27.00	4.0
BESSEMER INVESTMENT	085	MRO	S	700	23.51	n/a	n/a	28.00	4.0
BROADARCH CAP/OLD NEWC	070	MRVL	SS	2,500	15.32	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	MTD	B	500	136.73	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	NBR	S	350	14.20	n/a	n/a	14.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASIX	033	NDN	S	27,200	21.39	n/a	11-Oct	816.00	3.0
BNP PARIBAS SEC	040	NDN	S	50,000	21.42	n/a	11-Oct	2,500.00	5.0
COUGAR TRADING	044	NDN	S	10,000	21.38	n/a	11-Oct	500.00	5.0
SMITH MGMT LLC	029	NDN	S	244,552	21.39	n/a	11-Oct	7,336.56	3.0
MACQUARIE INVESTMENT MGMT.	040	NE	S	5,000	30.64	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	NOC	S	325	54.94	n/a	26-Sep	13.00	4.0
MERRILL ASSET/BLACKROCK	297	NOV	S	14,700	63.21	n/a	n/a	588.00	4.0
BROADARCH CAP/OLD NEWC	070	NSC	S	2,000	67.62	n/a	n/a	80.00	4.0
BESSEMER INVESTMENT	085	NVE	S	300	15.18	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	NXY	S	525	15.89	n/a	n/a	21.00	4.0
LATEFF MGMT	035	OI	B	250	15.89	n/a	n/a	40.00	16.0
BESSEMER INVESTMENT	085	ORCL	S	275	30.81	n/a	n/a	11.00	4.0
BROADARCH CAP/OLD NEWC	070	ORCL	B	2,000	31.10	n/a	n/a	80.00	4.0
WINSLOW CAPITAL	030	ORCL	B	1,200	30.99	n/a	n/a	36.00	3.0
WINSLOW CAPITAL	030	ORLY	B	300	69.09	n/a	n/a	9.00	3.0
BROADARCH CAP/OLD NEWC	070	OXY	B	1,000	82.07	n/a	n/a	40.00	4.0
WINSLOW CAPITAL	030	PCLN	B	100	489.10	n/a	n/a	3.00	3.0
BROADARCH CAP/OLD NEWC	070	PFE	B	2,000	18.74	n/a	n/a	80.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	POT	B	2,000	48.17	n/a	n/a	80.00	4.0
WINSLOW CAPITAL	030	PRGO	B	300	98.40	n/a	10-Oct	9.00	3.0
HILLTOP PARK ASSOC	086	QCOM	S	25,000	51.91	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	QCOM	B	1,000	51.82	n/a	n/a	30.00	3.0
BROADARCH CAP/OLD NEWC	070	RKT	S	2,000	52.36	n/a	11-Oct	80.00	4.0
IMPALA ASSET MMT	040	RRR	B	69,400	8.81	n/a	14-Sep	1,388.00	2.0
RIDGECREST INV MGMT LLC	028	R	B	15,000	41.40	n/a	n/a	750.00	5.0
WINSLOW CAPITAL	030	SBUX	B	500	41.24	n/a	3-Oct	15.00	3.0
WINSLOW CAPITAL	030	SHPGY	B	400	94.80	n/a	10-Oct	12.00	3.0
BROADARCH CAP/OLD NEWC	070	SMG	SS	1,000	44.71	n/a	10-Oct	40.00	4.0
IMPALA ASSET MMT	040	SMG	S	25,000	44.60	n/a	10-Oct	1,250.00	5.0
TOCQUEVILLE	035	SPN	S	2,800	23.36	n/a	n/a	140.00	5.0
BROADARCH CAP/OLD NEWC	070	STX	B	2,500	11.54	n/a	n/a	100.00	4.0
BESSEMER INVESTMENT	085	STZ	S	425	20.59	n/a	n/a	17.00	4.0
CYPRESS CAP MGMT LLC	040	SWY	S	11,400	17.53	n/a	n/a	456.00	4.0
BROADARCH CAP/OLD NEWC	070	SYK	B	1,000	50.23	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	TCB	S	350	10.21	n/a	n/a	35.00	10.0
BROADARCH CAP/OLD NEWC	070	TEL	SS	2,000	30.78	n/a	n/a	80.00	4.0
LATEFF MGMT	035	TEVA	B	150	38.02	n/a	10-Oct	30.00	20.0
BALYASNY ASSET MGMT	044	TGT	S	20,000	52.61	n/a	6-Oct	1,000.00	5.0
RBC CAPITAL MARKETS	040	THO	SS	3,000	26.05	n/a	n/a	120.00	4.0
LITESPEED	028	TIN	S	75,000	31.56	n/a	11-Oct	2,250.00	3.0
BESSEMER INVESTMENT	085	TRV	S	350	50.60	n/a	n/a	14.00	4.0
BESSEMER INVESTMENT	085	TSN	S	500	17.99	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	T	S	300	28.76	n/a	n/a	12.00	4.0
NEW JERSEY DIV OF INV.	030	T	B	100,000	28.89	n/a	n/a	4,000.00	4.0
BROADARCH CAP/OLD NEWC	070	UFS	B	2,000	73.49	n/a	n/a	80.00	4.0
BESSEMER INVESTMENT	085	UNH	S	500	46.62	n/a	n/a	20.00	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	5,000	28.53	n/a	27-Sep	200.00	4.0
BROADARCH CAP/OLD NEWC	070	UPS	B	2,000	67.74	n/a	n/a	80.00	4.0
MACQUARIE INVESTMENT MGMT.	040	UTX	B	15,000	73.82	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	VIAB	S	350	42.76	n/a	n/a	14.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARKWEST	084	VPRT	S	10,000	31.35	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	VRSN	B	400	30.66	n/a	n/a	12.00	3.0
BROADARCH CAP/OLD NEWC	070	WAT	SS	1,000	77.66	n/a	n/a	40.00	4.0
OSKIE CAPITAL MGMT	224	WBC	B	25,000	40.06	n/a	11-Oct	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	WDC	B	2,066	28.94	n/a	n/a	82.64	4.0
BROADARCH CAP/OLD NEWC	070	WERN	B	2,000	22.13	n/a	n/a	80.00	4.0
BESSEMER INVESTMENT	085	WFC	S	390	26.15	n/a	7-Oct	15.60	4.0
BESSEMER INVESTMENT	085	WLP	S	400	67.08	n/a	n/a	16.00	4.0
BROADARCH CAP/OLD NEWC	070	WPI	B	1,000	67.58	n/a	10-Oct	40.00	4.0
LATEFF MGMT	035	WRIPRF	B	400	23.80	n/a	n/a	48.00	12.0
BROADARCH CAP/OLD NEWC	070	XLE	S	1,000	63.68	n/a	n/a	40.00	4.0
KACELA CAPITAL	034	XLY	SS	55,000	37.56	n/a	n/a	1,650.00	3.0
BROADARCH CAP/OLD NEWC	070	XOM	S	2,000	76.37	n/a	n/a	80.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>92,505.98</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	10/11	OSKIE CAPITAL MGMT (OSKIGSPB)	224	WBC	B	25,000	40.06	n/a 11-Oct 1250.00	5.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>1,250.00</b>

TOTAL (Trade Date):	92,505.98
TOTAL (AO, CXL, CRT):	1,250.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>93,755.98</b>
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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