



Daily Compliance Activity Report

Trade Date: 07/20/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSIMER TRUST	085	AAPL	B	255	389.63	n/a	n/a	10.20	4.0
DAVIDSON KEMPNER ADVISOR	040	ABH	SS	25,000	19.15	n/a	n/a	1,250.00	5.0
BESSIMER TRUST	085	ACE	B	1,940	63.91	n/a	n/a	77.60	4.0
BESSIMER TRUST	085	ACE	S	185	63.91	n/a	n/a	7.40	4.0
BESSIMER TRUST	085	ADM	B	2,220	31.36	n/a	15-Jul	88.80	4.0
BESSIMER TRUST	085	ADM	S	1,295	31.38	n/a	15-Jul	51.80	4.0
WEISS PECK	040	AIG	S	6,700	28.05	n/a	n/a	335.00	5.0
f CHRISTOPHER ROBERT C	FID	ALV	B	50	70.14	n/a	14-Jul	0.00	0.0
BESSIMER TRUST	085	AMTD	S	565	19.45	n/a	n/a	22.60	4.0
f CHRISTOPHER ROBERT C	FID	AONE	B	1000	5.56	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	SS	20,000	17.35	n/a	20-May	non-brg	4.0
MILLENNIUM-ICS BOBBY	044	AXE	B	5,000	65.25	n/a	22-Jun	150.00	3.0
BESSIMER TRUST	085	AXP	B	360	51.78	n/a	15-Jul	14.40	4.0
BESSIMER TRUST	085	AXP	S	215	51.94	n/a	15-Jul	8.60	4.0
PLATTE RIVER CAPITAL	240	BAC	B	80,000	9.96	n/a	19-Jul	3,200.00	4.0
SURVEYOR CAPITAL	041	BA	S	5,516	72.62	n/a	19-Jul	165.48	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYEE/TYGH	035	BKD	S	40,000	22.56	n/a	n/a	1,600.00	4.0
SURVEYOR CAPITAL	041	BWA	B	2,330	75.60	n/a	14-Jul	69.90	3.0
B BUCK CAPITAL MGMT		BWLD	C	50,000	68.33	n/a	n/a	non-brg	4.0
SURVEYOR CAPITAL	041	CAT	S	5,000	110.18	n/a	2-May	150.00	3.0
IRIDIAN ASSET MGMT.	036	CA	S	35,000	22.14	n/a	n/a	1,050.00	3.0
BESSIMER TRUST	085	CCK	B	675	37.36	n/a	n/a	27.00	4.0
ENTRUST CAPITAL	040	CCK	B	10,900	37.26	n/a	n/a	545.00	5.0
BESSIMER TRUST	085	CFN	B	825	27.50	n/a	n/a	33.00	4.0
WEISS PECK	040	CQB	S	12,800	12.36	n/a	n/a	640.00	5.0
BESSIMER TRUST	085	DIS	B	2,295	39.82	n/a	n/a	91.80	4.0
BESSIMER TRUST	085	DIS	S	265	39.42	n/a	n/a	10.60	4.0
BNP PARIBAS SEC	040	DRI	SS	30,000	52.99	n/a	11-Jul	1,500.00	5.0
SHEFFIELD ASSET MGMT	031	DRI	B	15,800	53.20	n/a	11-Jul	632.00	4.0
BESSIMER TRUST	085	DVN	B	2,920	82.55	n/a	15-Jul	116.80	4.0
f EDWARD W WHEELER	FID	ECL	B	5000	50.28	20-Jul	20-Jul	0.00	0.0
f EDWARD W WHEELER	FID	ECL	B	5000	51.48	20-Jul	20-Jul	0.00	0.0
PILOT ADV	041	ECL	SS	7,000	51.05	20-Jul	20-Jul	280.00	4.0
f JILL ROSENBERG	FID	FAGIX	B	301	9.64	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JILL ROSENBERG	FID	FCSAX	B	2380	11.64	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	FCX	B	1000	56.01	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FILEX	B	4147	9.24	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FKRCX	B	60	47.97	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	B	40,000	23.30	n/a	2-Jun	non-brg	4.0
f JILL ROSENBERG	FID	FNSXX	B	1400	1.00	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FPCIX	B	710	10.57	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FPIOX	B	581	9.98	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSAMX	B	569	10.54	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSCFX	B	776	11.99	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSGFX	B	1817	12.49	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSHBX	B	914	8.53	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FTBFX	B	831	10.95	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	FTNT	B	40,500	21.55	n/a	n/a	1,620.00	4.0
f JILL ROSENBERG	FID	FUSOX	B	891	10.44	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JILL ROSENBERG	FID	FVSAX	B	1693	13.94	n/a	n/a	0.00	0.0
BESSIMER TRUST	085	GE	B	6,755	18.84	n/a	n/a	270.20	4.0
BESSIMER TRUST	085	GE	S	1,275	18.83	n/a	n/a	51.00	4.0
BASIX	033	GIL	SS	17,000	32.85	n/a	18-Jul	510.00	3.0
MACQUARIE INVESTMENT MGMT.	040	GIL	SS	5,000	33.24	n/a	18-Jul	0.00	0.0
BESSIMER TRUST	085	GM	S	22,078	29.34	n/a	14-Jul	883.12	4.0
BESSIMER TRUST	085	GOOG	B	270	597.63	n/a	n/a	10.80	4.0
MACQUARIE INVESTMENT MGMT.	040	GPS	SS	5,000	19.35	n/a	n/a	0.00	0.0
PZENA INV ADV	044	HII	B	4,950	33.49	n/a	n/a	173.26	3.5
BESSIMER TRUST	085	HON	B	3,315	57.77	n/a	7-Jul	132.60	4.0
BESSIMER TRUST	085	HON	S	215	57.21	n/a	7-Jul	8.60	4.0
MERRILL ASSET/BLACKROCK	297	IACI	B	5,500	37.10	n/a	n/a	220.00	4.0
BESSIMER TRUST	085	IGT	B	1,350	18.12	n/a	13-Jun	54.00	4.0
BESSIMER TRUST	085	IP	B	2,595	30.10	n/a	19-Jul	103.80	4.0
BESSIMER TRUST	085	IP	S	1,255	30.19	n/a	19-Jul	50.20	4.0
DENVER INST. ADV	046	IP	S	17,700	30.11	n/a	19-Jul	708.00	4.0
BESSIMER TRUST	085	IR	S	715	44.97	n/a	19-May	28.60	4.0
PZENA INV ADV	044	JAKK	B	8,725	17.84	n/a	n/a	305.38	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	085	JCI	B	2,205	40.48	n/a	20-Jul	88.20	4.0
f FRANCIS MICHAEL MCCA	FID	JCI	S	250	40.32	n/a	20-Jul	0.00	0.0
TUDOR INVESTORS	028	JCI	B	2,000	40.33	n/a	20-Jul	60.00	3.0
SURVEYOR CAPITAL	041	JOYG	B	5,500	96.98	n/a	3-Jun	165.00	3.0
BESSIMER TRUST	085	JPM	B	1,800	41.03	n/a	14-Jul	72.00	4.0
BESSIMER TRUST	085	JPM	S	275	41.15	n/a	14-Jul	11.00	4.0
BESSIMER TRUST	085	KFT	B	3,640	35.35	n/a	n/a	145.60	4.0
BESSIMER TRUST	085	KFT	S	355	35.33	n/a	n/a	14.20	4.0
MACQUARIE INVESTMENT MGMT.	040	KO	B	5,000	69.22	n/a	20-Jul	0.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	S	3,400	35.51	n/a	1-Jul	170.00	5.0
SONTERRA CAP	041	LOW	S	200,000	22.83	n/a	13-Jun	8,000.00	4.0
NEUBERGER BERMAN	036	LXU	B	17,036	44.92	n/a	n/a	681.44	4.0
BESSIMER TRUST	085	MA	B	225	307.73	n/a	11-Jul	9.00	4.0
FRONTIER	029	MDR	B	457,400	20.81	n/a	n/a	18,296.00	4.0
BESSIMER TRUST	085	MET	B	4,230	41.03	n/a	n/a	169.20	4.0
BESSIMER TRUST	085	MSFT	B	4,505	27.23	n/a	n/a	180.20	4.0
BESSIMER TRUST	085	MSFT	S	995	27.15	n/a	n/a	39.80	4.0
BESSIMER TRUST	085	MS	B	3,620	21.68	n/a	1-Jul	144.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	085	MS	S	545	21.61	n/a	1-Jul	21.80	4.0
BRONSON POINT	036	NLC	B	10,000	35.75	n/a	n/a	300.00	3.0
BESSIMER TRUST	085	NWSA	S	8,074	16.05	n/a	n/a	322.96	4.0
f CHRISTOPHER ROBERT C	FID	NWSA	B	300	15.92	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	OC	B	3,000	35.43	n/a	n/a	90.00	3.0
BESSIMER TRUST	085	OMC	B	525	48.10	n/a	n/a	21.00	4.0
DAVIDSON KEMPNER ADVISOR	040	OSK	B	10,000	30.40	n/a	n/a	500.00	5.0
BESSIMER TRUST	085	OXY	B	810	106.52	n/a	n/a	32.40	4.0
BESSIMER TRUST	085	OXY	S	270	106.51	n/a	n/a	10.80	4.0
f JILL ROSENBERG	FID	PAHIX	B	292	6.84	n/a	n/a	0.00	0.0
BESSIMER TRUST	085	PCP	B	630	162.51	n/a	19-Jul	25.20	4.0
f JILL ROSENBERG	FID	PCRRX	B	319	9.08	n/a	n/a	0.00	0.0
BESSIMER TRUST	085	PFE	B	6,375	19.97	n/a	n/a	255.00	4.0
BESSIMER TRUST	085	PFE	S	1,020	19.96	n/a	n/a	40.80	4.0
BESSIMER TRUST	085	PG	B	3,320	64.38	n/a	20-Jun	132.80	4.0
BESSIMER TRUST	085	PG	S	185	64.37	n/a	20-Jun	7.40	4.0
BNP PARIBAS SEC	040	PKG	B	20,000	27.64	n/a	19-Jul	1,000.00	5.0
CATAPULT	040	PKG	B	25,000	27.62	n/a	19-Jul	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PLCE	B	20,000	48.04	n/a	8-Jun	non-brg	4.0
TALPION LLC	040	PLXS	SS	7,000	33.35	n/a	n/a	280.00	4.0
f JILL ROSENBERG	FID	PSFAX	B	394	9.89	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	PTRAX	B	771	11.03	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	RKT	B	20,000	61.23	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		RRR	B	7,000	11.26	n/a	26-Apr	non-brg	4.0
SASCO	033	RSG	S	183,300	30.07	n/a	n/a	7,332.00	4.0
HOLLIS CAPITAL	033	RTN	B	5,000	46.45	n/a	19-Jul	250.00	5.0
MERRILL ASSET/BLACKROCK	297	RVBD	B	27,600	32.00	n/a	n/a	1,104.00	4.0
BESSIMER TRUST	085	SEIC	B	800	21.37	n/a	n/a	32.00	4.0
MACQUARIE INVESTMENT MGMT.	040	SHW	B	3,500	84.47	n/a	27-May	0.00	0.0
B BUCK CAPITAL MGMT		SIG	B	20,000	45.08	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKUL	S	10,000	20.96	n/a	n/a	non-brg	2.5
BESSIMER TRUST	085	STJ	B	535	47.98	n/a	n/a	21.40	4.0
BESSIMER TRUST	085	STJ	S	205	47.97	n/a	n/a	8.20	4.0
B BUCK CAPITAL MGMT		SWFT	S	50,000	13.03	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSIMER TRUST	085	SWK	B	1,060	69.34	n/a	n/a	42.40	4.0
TUDOR INVESTORS	028	SWK	SS	3,000	69.24	n/a	n/a	90.00	3.0
FIRST NEW YORK LEDDY	035	S	S	40,000	5.17	n/a	n/a	1,600.00	4.0
BESSIMER TRUST	085	TEN	B	525	43.07	n/a	n/a	21.00	4.0
MERRILL ASSET/BLACKROCK	297	TESO	S	5,000	22.66	n/a	n/a	200.00	4.0
NEWLAND CAPITAL MGT	025	TEU	S	45,000	11.01	n/a	n/a	1,800.00	4.0
NEUBERGER BERMAN	036	TGI	B	19,000	51.85	n/a	n/a	760.00	4.0
f JILL ROSENBERG	FID	TPINK	B	287	13.93	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	TTI	B	9,998	12.99	n/a	n/a	399.92	4.0
B BUCK CAPITAL MGMT		TWM	S	5,000	40.74	n/a	n/a	non-brg	2.0
BRONSON POINT	036	T	C	25,000	30.28	n/a	n/a	750.00	3.0
COBALT	041	UNP	SS	50,000	99.49	n/a	n/a	2,000.00	4.0
SURVEYOR CAPITAL	041	UNP	B	2,500	99.29	n/a	n/a	75.00	3.0
f STEFFANIE CARMELA CA	FID	UQM	B	2000	2.12	n/a	n/a	0.00	0.0
BASIX	033	URI	S	46,600	24.92	n/a	n/a	1,398.00	3.0
SENATOR INVESTMENT GROUP	036	VAL	B	100,000	34.50	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		VXZ	S	5,000	49.10	n/a	n/a	non-brg	2.0
BESSIMER TRUST	085	WEC	B	725	31.39	n/a	n/a	29.00	4.0
BESSIMER TRUST	085	WHR	B	800	75.21	n/a	n/a	32.00	4.0
BAIRD INVESTMENT	047	WLL	B	20,825	61.45	n/a	n/a	1,041.25	5.0
NEUBERGER BERMAN	036	WST	B	7,100	45.53	n/a	n/a	284.00	4.0
BESSIMER TRUST	085	XLNX	B	725	33.00	n/a	n/a	29.00	4.0
f FRANCIS MICHAEL MCCA	FID	XPO	B	1500	3.71	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	XPO	B	1000	3.80	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	XPO	B	4000	3.81	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	ZAGG	S	400	15.85	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								72,643.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/19	COLUMBUS CIRCLE	036	SWC	S	13,600	16.89	n/a	n/a	544.00 4.0
AO,CRT	07/18	RIDGECREST INV MGMT LLC	028	VGK	SS	10,000	49.54	n/a	n/a	300.00 3.0
AO,CXL	07/18	RIDGECREST INV MGMT LLC	028	VGK	SS	10,000	49.54	n/a	n/a	500.00 5.0
AO,CRT	07/18	RIDGECREST INV MGMT LLC	028	XLI	S	10,000	35.96	n/a	n/a	300.00 3.0
AO,CXL	07/18	RIDGECREST INV MGMT LLC	028	XLI	S	10,000	35.96	n/a	n/a	500.00 5.0

TOTAL (AO, CXL, CRT) :	144.00
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TOTAL (Trade Date) :	72,643.31
TOTAL (AO, CXL, CRT) :	144.00

TOTAL (RUN DATE) / NFS :	72,787.31
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/19	BUCK CAPITAL MGMT	ABFS	S	10,000	26.19	n/a	n/a	400.00 4.0
AO	07/19	BUCK CAPITAL MGMT	SKUL	B	10,000	20.00	n/a	n/a	0.00 0.0

MRI Securities with Trade Activity on 20-Jul.

ECL

MRI Securities without Trade Activity on 20-Jul.

COG

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 3%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)