

## **Daily Compliance Activity Report** Trade Date: 11/07/2011

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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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	АВН	В	85 <b>,</b> 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	В	775	110.30	n/a	n/a	38.75	5.0			
PATTEN & PATTEN	025	AMLP	В	500	15.85	n/a	n/a	25.00	5.0			
TRUSTCO/SUNTRUST	040	AVP	В	60,068	18.48	n/a	31-0ct	2,102.42	3.5			
PILOT ADV	041	AVY	С	8,000	26.27	n/a	26-0ct	240.00	3.0			
ARSENAL ASSET MANAGEMENT	028	AXL	В	25 <b>,</b> 000	9.27	n/a	31-0ct	1,000.00	4.0			
VISIUM/BALY BOBBY	044	AXL	SS	20,000	9.06	n/a	31-0ct	800.00	4.0			
PATTEN & PATTEN	025	BAB	В	2,800	28.46	n/a	n/a	140.00	5.0			
LATEFF MGMT	035	BBT	В	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	В	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			

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
STATE TEACHERS RET SYS	047	CBL	В	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	В	500	22.22	n/a	n/a	50.00	10.0	
SANDLER CAPITAL	028	CMI	S	75 <b>,</b> 000	99.81	n/a	26-0ct	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	В	5,000	43.71	n/a	n/a	150.00	3.0	
SCOPUS FUND	041	CONN	В	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	В	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	В	35,000	39.51	n/a	16-Aug	1,400.00	4.0	
STATE TEACHERS RET SYS	047	DMND	В	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	В	22,300	22.61	n/a	26-0ct	1,115.00	5.0	
BESSEMER INVESTMENT	085	ECL	S	195	55.60	n/a	25-0ct	7.80	4.0	
	STATE TEACHERS RET SYS  TALPION LLC  LATEFF MGMT  SANDLER CAPITAL  SCOPUS FUND  BRONSON POINT  SCOPUS FUND  STATE TEACHERS RET SYS  PATTEN & PATTEN  BESSEMER INVESTMENT  SCOPUS FUND  STATE TEACHERS RET SYS  SCOPUS FUND  ENTRUST CAPITAL	STATE TEACHERS RET SYS 047  TALPION LLC 040  LATEFF MGMT 035  SANDLER CAPITAL 028  SCOPUS FUND 041  BRONSON POINT 036  SCOPUS FUND 041  STATE TEACHERS RET SYS 047  PATTEN & PATTEN 025  BESSEMER INVESTMENT 085  SCOPUS FUND 041  STATE TEACHERS RET SYS 047  SCOPUS FUND 041  STATE TEACHERS RET SYS 047  SCOPUS FUND 041  ENTRUST CAPITAL 040	STATE TEACHERS RET SYS 047 CBL  TALPION LLC 040 CLGX  LATEFF MGMT 035 CMCSK  SANDLER CAPITAL 028 CMI  SCOPUS FUND 041 CNK  BRONSON POINT 036 CNX  SCOPUS FUND 041 CONN  STATE TEACHERS RET SYS 047 CUZ  PATTEN & PATTEN 025 CWB  BESSEMER INVESTMENT 085 DIS  SCOPUS FUND 041 DKS  STATE TEACHERS RET SYS 047 DMND  STATE TEACHERS RET SYS 047 DMND  SCOPUS FUND 041 DSW  ENTRUST CAPITAL 040 EAT	STATE TEACHERS RET SYS 047 CBL B TALPION LLC 040 CLGX S LATEFF MGMT 035 CMCSK B SANDLER CAPITAL 028 CMI S SCOPUS FUND 041 CNK SS BRONSON POINT 036 CNX B SCOPUS FUND 041 CONN B STATE TEACHERS RET SYS 047 CUZ S PATTEN & PATTEN 025 CWB B BESSEMER INVESTMENT 085 DIS S SCOPUS FUND 041 DKS B STATE TEACHERS RET SYS 047 DMND SS ENTRUST CAPITAL 040 EAT B	STATE TEACHERS RET SYS       047       CBL       B       30,000         TALPION LLC       040       CLGX       S       11,700         LATEFF MGMT       035       CMCSK       B       500         SANDLER CAPITAL       028       CMI       S       75,000         SCOPUS FUND       041       CNK       SS       25,000         BRONSON POINT       036       CNX       B       5,000         SCOPUS FUND       041       CONN       B       10,000         STATE TEACHERS RET SYS       047       CUZ       S       6,401         PATTEN & PATTEN       025       CWB       B       500         BESSEMER INVESTMENT       085       DIS       S       195         SCOPUS FUND       041       DKS       B       35,000         STATE TEACHERS RET SYS       047       DMND       B       25,000         SCOPUS FUND       041       DSW       SS       7,700         ENTRUST CAPITAL       040       EAT       B       22,300	STATE TEACHERS RET SYS 047 CBL B 30,000 14.75  TALPION LLC 040 CLGX S 11,700 14.12  LATEFF MGMT 035 CMCSK B 500 22.22  SANDLER CAPITAL 028 CMI S 75,000 99.81  SCOPUS FUND 041 CNK SS 25,000 20.18  BRONSON POINT 036 CNX B 5,000 43.71  SCOPUS FUND 041 CONN B 10,000 8.79  STATE TEACHERS RET SYS 047 CUZ S 6,401 6.80  PATTEN & PATTEN 025 CWB B 500 37.77  BESSEMER INVESTMENT 085 DIS S 195 35.08  SCOPUS FUND 041 DKS B 35,000 39.51  STATE TEACHERS RET SYS 047 DMND B 25,000 41.05  SCOPUS FUND 041 DSW SS 7,700 51.00  ENTRUST CAPITAL 040 EAT B 22,300 22.61	STATE TEACHERS RET SYS 047 CBL B 30,000 14.75 n/a  TALPION LLC 040 CLGX S 11,700 14.12 n/a  LATEFF MGMT 035 CMCSK B 500 22.22 n/a  SANDLER CAPITAL 028 CMI S 75,000 99.81 n/a  SCOPUS FUND 041 CNK SS 25,000 20.18 n/a  BRONSON POINT 036 CNX B 5,000 43.71 n/a  SCOPUS FUND 041 CONN B 10,000 8.79 n/a  STATE TEACHERS RET SYS 047 CUZ S 6,401 6.80 n/a  BESSEMER INVESTMENT 085 DIS S 195 35.08 n/a  SCOPUS FUND 041 DKS B 35,000 39.51 n/a  STATE TEACHERS RET SYS 047 DMND B 25,000 41.05 n/a  SCOPUS FUND 041 DSW SS 7,700 51.00 n/a  ENTRUST CAPITAL 040 EAT B 22,300 22.61 n/a	STATE TEACHERS RET SYS	STATE TEACHERS RET SYS 047 CBE B 30,000 14.75	STATE TEACHERS RET SYS 047 CBL B 30,000 14.75 n/a n/a 1,500.00 5.0  TALPTON 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 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 n/a 25.00 5.0  BESSEMER INVESTMENT 085 DIS S 195 35.08 n/a n/a n/a 7.80 4.0  SCOPUS FUND 041 DRS B 35,000 41.05 n/a n/a 1,250.00 5.0  SCOPUS FUND 041 DRS B 25,000 41.05 n/a n/a 1,250.00 5.0  SCOPUS FUND 041 DRS B 25,000 41.05 n/a n/a 1,250.00 5.0  SCOPUS FUND 041 DRS S 7,700 51.00 n/a 11-Peb 308.00 4.0  ENTRUST CAPITAL 040 EAT B 22,300 22.61 n/a 26-Oct 1,115.00 5.0

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	В	3,902	69.05	n/a	7-Nov	117.06	3.0	
LATEFF MGMT	035	ENR	В	500	69.92	n/a	7-Nov	65.00	13.0	
STATE TEACHERS RET SYS	047	EQY	В	4 <b>,</b> 359	16.75	n/a	n/a	217.95	5.0	
PATTEN & PATTEN	025	EWC	В	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	В	287 <b>,</b> 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	В	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 <b>,</b> 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	085 035	KFT KFT	S S	2 <b>,</b> 061 500	35.29 35.18	n/a n/a	n/a n/a	82.44 60.00	4.0 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	В	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	В	66,500	12.99	n/a	n/a	1,995.00	3.0	
STATE TEACHERS RET SYS	047	PPL	В	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	В	40,000	6.88	n/a	n/a	2,000.00	5.0
COUGAR TRADING	044	SMG	В	2 <b>,</b> 500	46.74	n/a	10-Oct	125.00	5.0
COUGAR TRADING	044	SMG	SS	7,500	46.68	n/a	10-0ct	375.00	5.0
COUGAR TRADING	044	SMG	S	2,500	46.66	n/a	10-0ct	125.00	5.0
LISTED ERR	099	SMG	В	2,500	46.66	n/a	10-0ct	0.00	0.0
LISTED ERR	099	SMG	s	2,500	46.66	n/a	10-0ct	0.00	0.0
ROARING BLUE LION MGMT	031	SSI	В	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	В	700	40.91	n/a	7-Nov	35.00	5.0
MERRILL ASSET/BLACKROCK	297	TRH	В	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 <b>,</b> 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	В	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	В	169,434	27.35	n/a	n/a	6,777.36 4.0
SIMMONS VENTURES	041	ZQK	В	2,500	3.40	n/a	10-May	75.00 3.0

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI F	Research	Comm.	\$/Shr.
AO,CXL	11/04	JP MORGAN VENTURES (JPMVJPM)	046	DNKN	В	15,000	26.10	n/a	n/a	0.00	0.0
AO, CRT		JP MORGAN VENTURES (JPMVJPM)	046	DNKN	В	15,000	26.10	n/a	n/a	600.00	4.0
30 0117	11 /04		0.47		_	100 500	7 22	,	,	6675 00	F 0
AO, CXL	,	STATE TEACHERS RET SYS (STRSMAIN) STATE TEACHERS RET SYS (STRSMAIN)	047	KEY KEY	В	133,500 22,900	7.33 7.30	n/a n/a	, -	6675.00 1145.00	5.0 5.0
•		,	047	KEY	В	100,000	7.30	n/a	n/a	5000.00	5.0
AO,CXL	11/04	STATE TEACHERS RET SYS (STRSMAIN)	047	KEY	В	100,000	7.29	n/a	n/a	5000.00	5.0
AO,	11/04	STATE TEACHERS RET SYS (STRSMAIN)	047	KEY	В	356,400	7.31	n/a	n/a 1	7820.00	5.0

TOTAL	(AO,	CXL,	CRT):	600.00

(RUN DATE) / NFS:	93,020.28
(Trade Date): (AO, CXL, CRT):	92 <b>,</b> 420.28 600.00

## Legend:

O: 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