



## Daily Compliance Activity Report

Trade Date: 10/03/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	S	205	77.17	n/a	n/a	8.20	4.0
BESSEMER INVESTMENT	085	ACN	S	365	70.47	n/a	n/a	14.60	4.0
IRIDIAN ASSET MGMT.	036	ADT	B	107,110	39.37	n/a	n/a	5,355.50	0.0
TUDOR INVESTORS	028	ADT	B	5,000	39.40	n/a	n/a	150.00	3.0
PARAMETER CAPITAL MGMT LLC	044	AMTD	B	100,000	15.73	n/a	n/a	4,000.00	4.0
CENTURION PARTNERS	041	AXL	B	15,000	11.60	n/a	3-Oct	600.00	4.0
GEORGE WEISS	034	AXL	S	5,400	11.84	n/a	3-Oct	216.00	0.0
EATON VANCE MGMT	029	AXP	S	567,563	57.33	n/a	1-Oct	17,026.89	0.0
CATAPULT	040	BAC	B	20,000	8.96	n/a	3-Oct	800.00	0.0
LOMAS CAPITAL	040	BA	SS	27,077	69.63	n/a	12-Sep	812.31	3.0
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	3.68		n/a	n/a	7,500.00 0.0
OSKIE CAPITAL MGMT	224	CBS	S	50,000	34.72	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	297	CB	S	900	77.65	n/a	n/a	36.00	0.0
BALYASNY ASSET MGMT	044	CNI	SS	15,000	88.74	n/a	n/a	750.00	0.0
CENTURION PARTNERS	041	COH	B	10,000	56.63	n/a	1-Aug	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	COP	S	200	57.14	n/a	n/a	8.00	4.0
BALYASNY ASSET MGMT	044	CP	B	15,000	85.88	n/a	n/a	750.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	CTB	B	24,155	19.28	n/a	n/a	721.17	0.0
BESSEMER INVESTMENT	085	CTL	S	370	39.76	n/a	n/a	14.80	4.0
BESSEMER INVESTMENT	085	CVS	S	275	48.53	n/a	n/a	11.00	4.0
BESSEMER INVESTMENT	085	C	S	475	33.45	n/a	3-Oct	19.00	4.0
NCM CAPITAL MGMT	035	DE	B	23,900	81.70	n/a	11-Jul	956.00	0.0
SUFFOLK CAPITAL MGMT	040	DE	B	35,000	81.74	n/a	11-Jul	1,400.00	0.0
PATRIOT STRATEGY PARTNERS	036	DG	B	5,000	51.73	n/a	5-Sep	200.00	4.0
NCM CAPITAL MGMT	035	DHR	B	14,925	56.45	n/a	n/a	597.00	0.0
OHIO PERS	047	DHR	B	40,400	56.14	n/a	n/a	1,212.00	0.0
BESSEMER INVESTMENT	085	DTE	S	135	59.95	n/a	n/a	5.40	4.0
HIGHBRIDGE CAP	041	EOG	S	4,500	112.44	n/a	n/a	135.00	3.0
LOMAS CAPITAL	040	EQR	S	33,372	57.53	n/a	n/a	1,001.16	3.0
CATAPULT	040	ETFC	B	16,952	8.98	n/a	n/a	678.08	0.0
NCM CAPITAL MGMT	035	ETN	B	59,640	46.72	n/a	26-Sep	2,385.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BESSEMER INVESTMENT	085	EXC	S	355	35.53	n/a	n/a	14.20	4.0	
ARSENAL ASSET MANAGEMENT	028	EXP	B	5,000	48.13	n/a	n/a	200.00	0.0	
BESSEMER INVESTMENT	085	FCX	S	235	39.49	n/a	n/a	9.40	4.0	
STATE TEACHERS RET SYS	047	FDS	S	15,000	94.46	n/a	n/a	750.00	5.0	
ROYCE TRADING	031	FINL	B	65,000	22.26	n/a	28-Sep	3,250.00	0.0	
HIGHBRIDGE CAP	041	GDX	S	42,000	52.80	n/a	n/a	840.00	2.0	
BESSEMER INVESTMENT	085	GD	S	150	66.61	n/a	27-Jul	6.00	4.0	
BALYASNY ASSET MGMT	044	GE	S	170,900	22.80	n/a	n/a	8,545.00	0.0	
NCM CAPITAL MGMT	035	GE	B	1,100	22.90	n/a	n/a	44.00	0.0	
CATAPULT CAP/DEFRANCO	040	GIL	B	22,675	32.77	n/a	24-Sep	907.00	0.0	
CENTURION PARTNERS	041	GM	B	10,000	23.83	n/a	3-Oct	400.00	4.0	
PHILADELPHIA FINANCIAL	033	GM	B	100,000	23.79	n/a	3-Oct	4,000.00	0.0	
RIDGECREST INV MGMT LLC	028	GM	S	10,000	24.38	n/a	3-Oct	400.00	4.0	
BALYASNY ASSET MGMT	044	GT	B	50,000	12.42	n/a	n/a	2,500.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	HOV	B	500,000	3.79	n/a	n/a	15,000.00	0.0
BESSEMER INVESTMENT	085	IBM	S	130	210.00	n/a	n/a	5.20	4.0	
HIGHBRIDGE CAP	041	ITB	B	26,000	19.85	n/a	n/a	520.00	2.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCM CAPITAL MGMT	035	ITW	B	13,500	59.71	n/a	n/a	540.00	0.0
BESSEMER INVESTMENT	085	JNJ	S	415	69.11	n/a	n/a	16.60	4.0
WEISS PECK – ROBECO INV		040	JNY	S	167,930	12.86	n/a	26-Jul	8,396.50 0.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	25,000	52.27	n/a	28-Sep	875.00	3.5
MERRILL ASSET/BLACKROCK	297	LNC	S	3,000	24.12	n/a	n/a	120.00	0.0
BESSEMER INVESTMENT	085	LOW	S	700	30.22	n/a	20-Aug	28.00	4.0
BALYASNY ASSET MGMT	044	LTD	SS	40,000	50.21	n/a	n/a	2,000.00	0.0
STELLIAM INV ADV	034	MAR	SS	32,000	38.94	n/a	13-Jun	1,280.00	0.0
APEX CAPITAL MGMT.	261	MGM	B	50,000	10.60	n/a	13-Jun	2,000.00	0.0
BESSEMER INVESTMENT	085	MHP	S	335	54.76	n/a	n/a	13.40	4.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	10,000	84.44	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	MRO	S	575	29.51	n/a	n/a	23.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	1,072	29.89	n/a	n/a	42.88	4.0
CATAPULT	040	MS	B	60,000	17.12	n/a	3-Oct	2,400.00	0.0
OSKIE CAPITAL MGMT	224	MS	B	20,000	16.91	n/a	3-Oct	1,000.00	5.0
BESSEMER INVESTMENT	085	M	S	510	38.86	n/a	28-Sep	20.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	M	B	25,000	38.94	n/a	28-Sep	875.00	3.5
BESSEMER INVESTMENT	085	NEM	S	180	55.43	n/a	n/a	7.20	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	2.61	n/a	n/a	800.00	4.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>OXY</b>	<b>B</b>	<b>1,100</b>	<b>84.50</b>	<b>n/a</b>	<b>n/a</b>	<b>44.00</b>	<b>4.0</b>
OHIO PERS	047	PCP	S	14,000	162.79	n/a	1-Aug	420.00	0.0
S.A.C. CAP/ORENSTEIN	044	PG	SS	25,000	68.82	n/a	1-Oct	875.00	3.5
HIGHBRIDGE CAP	041	PHM	B	63,000	16.17	n/a	n/a	1,890.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	PKY	B	9,503	13.02	n/a	n/a	284.34	0.0
TUDOR INVESTORS	028	PNR	SS	5,000	44.47	n/a	n/a	150.00	3.0
CASTLEROCK	040	PVH	B	7,671	94.24	n/a	3-Oct	306.84	4.0
CATAPULT	040	SCHW	B	15,000	12.92	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	STX	S	275	30.00	n/a	n/a	11.00	4.0
COOKBIELER	028	TCB	B	99,760	11.88	n/a	n/a	3,990.40	0.0
BESSEMER INVESTMENT	085	TGT	S	230	63.07	n/a	3-Oct	9.20	4.0
PERIMETER	273	TMH	B	82,620	27.44	n/a	n/a	3,304.80	0.0
BESSEMER INVESTMENT	085	TMO	S	150	59.98	n/a	n/a	6.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NICOLAS	033	ULTA	B	3,016	97.59	n/a	n/a	120.64	0.0
BESSEMER INVESTMENT	085	UNH	S	140	56.78	n/a	n/a	5.60	4.0
LOMAS CAPITAL	040	UNP	SS	15,571	119.29	n/a	n/a	467.13	3.0
NCM CAPITAL MGMT	035	UPS	S	29,245	73.00	n/a	n/a	1,169.80	0.0
HIGHBRIDGE CAP	041	URI	S	11,000	32.40	n/a	17-Apr	330.00	3.0
HIGHBRIDGE CAP	041	USG	S	17,000	21.66	n/a	1-Aug	510.00	3.0
OSKIE CAPITAL MGMT	224	VIAB	B	18,000	53.79	n/a	n/a	900.00	5.0
CENTURION PARTNERS	041	VZ	S	20,000	45.85	n/a	n/a	800.00	4.0
<b>EAGLE ASSET MGMT. (FLORIDA) 093</b>		<b>WFC</b>	<b>B</b>	<b>108,125</b>	<b>35.01</b>	<b>n/a</b>	<b>3-Oct</b>	<b>2,162.50</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	WFM	B	20,000	97.99	n/a	n/a	1,000.00	5.0
CATAPULT/KGLT	040	WMB	B	25,000	36.42	n/a	n/a	1,000.00	4.0
CATAPULT CAP/DEFRANCO	040	WMT	B	22,753	74.07	n/a	17-Aug	910.12	0.0
BESSEMER INVESTMENT	085	WM	S	395	31.56	n/a	n/a	15.80	4.0
SIMMONS VENTURES	041	WRC	B	5,000	51.30	n/a	7-Aug	200.00	4.0
BESSEMER INVESTMENT	085	WU	S	920	18.18	n/a	n/a	36.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	041	WY	S	14,800	26.14	n/a	27-Jul	444.00	0.0
BESSEMER INVESTMENT	085	ZMH	S	350	67.54	n/a	n/a	14.00	4.0
SYMPHONY ASSET	033	ZUMZ	C	18,160	26.00	n/a	n/a	544.80	0.0
<b>TOTAL (Trade Date) :</b>							<b>131,015.26</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/02	TUDOR INVESTORS (TUDRMS)	028	BKE	B	25,000	46.12	n/a	n/a	750.00 3.0
AO,CXL	10/02	TUDOR INVESTORS (TUDRMAIN)	028	BKE	B	25,000	46.12	n/a	n/a	750.00 3.0
CRT	10/03	HIGHBRIDGE CAP (HIBCCSFB)	041	GDX	S	42,000	52.80	n/a	n/a	840.00 2.0
CRT	10/03	HIGHBRIDGE CAP (HIBCCSFB)	041	ITB	B	26,000	19.85	n/a	n/a	520.00 2.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,360.00</b>
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TOTAL (Trade Date) :	131,015.26
TOTAL (AO, CXL, CRT) :	1,360.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>132,375.26</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