



Daily Compliance Activity Report

Trade Date: 05/01/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	S	643	77.13	n/a	n/a	25.72	4.0
COUGAR TRADING	044	ADM	B	10,000	31.69	n/a	1-May	500.00	5.0
COUGAR TRADING	044	ADM	S	10,000	32.37	n/a	1-May	500.00	5.0
ADAGE CAPITAL MGMT	030	AEO	S	129,100	18.23	n/a	2-Dec	3,873.00	3.0
PATTEN & PATTEN	025	AGG	S	200	110.30	n/a	n/a	10.00	5.0
BAIRD INVESTMENT	047	AGN	S	65	96.23	n/a	30-Apr	3.25	5.0
BESSEMER INVESTMENT	085	AGN	S	418	95.98	n/a	30-Apr	16.72	4.0
PRIMECAP MGMT	084	AMGN	S	12,900	71.16	n/a	n/a	516.00	4.0
Õ May Tang		AMZN	S	115230	.5900	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	AMZN	S	50	231.99	n/a	n/a	2.50	5.0
ADAGE CAPITAL MGMT	030	ANF	B	62,138	52.53	n/a	30-Apr	1,864.14	3.0
AMBER CAPITAL	046	ANF	S	8,000	52.50	n/a	30-Apr	320.00	4.0
JP MORGAN VENTURES	046	ASNA	SS	40,000	20.84	n/a	n/a	1,600.00	4.0
AMBER CAPITAL	046	AVP	S	100,000	20.14	n/a	1-May	4,000.00	4.0
INVESCO	031	AVP	B	200,000	19.89	n/a	1-May	8,000.00	4.0
BESSEMER INVESTMENT	085	BAX	S	617	55.89	n/a	n/a	24.68	4.0
BESSEMER INVESTMENT	085	BA	S	879	77.42	n/a	27-Apr	35.16	4.0

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OZ MGMT	040	BTU	S	28,897	31.35	n/a	n/a	866.91	3.0
SCOPUS FUND	041	BUD	S	45,000	73.38	n/a	1-May	1,800.00	4.0
LISTED ERR	099	CAKE	B	5,000	32.85	n/a	26-Apr	0.00	0.0
LISTED ERR	099	CAKE	S	5,000	32.85	n/a	26-Apr	0.00	0.0
TUDOR INVESTORS	028	CFX	S	5,000	34.07	n/a	n/a	150.00	3.0
SONTERRA CAP	041	CHK	B	50,000	20.09	n/a	n/a	2,000.00	4.0
CAPITAL GROWTH MGMT.	241	CMI	S	380,000	112.35	n/a	18-Apr	19,000.00	5.0
TUDOR INVESTORS	028	CMI	SS	2,000	112.37	n/a	18-Apr	60.00	3.0
PATTEN & PATTEN	025	CSCO	B	250	20.08	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	CTXS	B	100	87.30	n/a	n/a	5.00	5.0
NEUBERGER BERMAN	036	CYBX	B	18,700	38.02	n/a	n/a	748.00	4.0
BESSEMER INVESTMENT	085	DDR	S	2,500	15.08	n/a	n/a	100.00	4.0
BESSEMER INVESTMENT	085	DIS	S	590	43.78	n/a	n/a	23.60	4.0
PATTEN & PATTEN	025	DKS	B	100	50.65	n/a	9-Apr	5.00	5.0
ROYCE TRADING	031	DPZ	S	5,500	34.52	n/a	1-May	275.00	5.0
SANDLER CAPITAL	028	DPZ	S	200,000	34.08	n/a	1-May	10,000.00	5.0
PATTEN & PATTEN	025	D	B	100	52.20	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	ESRX	S	1,206	56.50	n/a	n/a	48.24	4.0
PATTEN & PATTEN	025	EWC	B	500	28.67	n/a	n/a	25.00	5.0
ADAGE CAPITAL MGMT	030	FDO	S	26,472	67.72	n/a	3-Apr	794.16	3.0
BALYASNY ASSET MGMT	044	F	B	75,000	11.27	n/a	30-Apr	3,750.00	5.0
BESSEMER INVESTMENT	085	GE	S	648	19.88	n/a	n/a	25.92	4.0
PATTEN & PATTEN	025	GLD	S	100	161.56	n/a	n/a	5.00	5.0
OZ MGMT	040	GM	C	100,000	23.12	n/a	30-Apr	3,000.00	3.0
VISIUM/BALY BOBBY	044	GM	SS	10,000	23.37	n/a	30-Apr	500.00	5.0
JANA CAPITAL	044	GNC	SS	150,000	39.65	n/a	n/a	6,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	GXP	S	16,610	20.45	n/a	n/a	498.30	3.0
LATEFF MGMT	035	HD	S	1,450	52.59	n/a	21-Feb	281.50	20.0
SEVEN LOCKS CAPITAL	025	HOLX	S	30,000	18.80	n/a	n/a	900.00	3.0
PATTEN & PATTEN	025	HON	B	100	61.20	n/a	5-Apr	5.00	5.0
PATTEN & PATTEN	025	IJR	B	150	76.61	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	IJT	B	100	82.49	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	IP	B	500	33.47	n/a	27-Apr	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	IP	B	60,000	33.51	n/a	27-Apr	2,400.00	4.0
RAINIER INV MGMT	035	ITC	S	46,100	77.43	n/a	n/a	1,844.00	4.0
BESSEMER INVESTMENT	085	ITW	S	900	58.02	n/a	25-Apr	36.00	4.0
UBS OCONNOR	031	IVZ	C	40,000	24.88	n/a	2-Mar	1,200.00	3.0
VISIUM/BALY BOBBY	044	IWM	C	13,000	82.34	n/a	n/a	650.00	5.0
PATTEN & PATTEN	025	IYW	B	250	76.62	n/a	n/a	12.50	5.0
BALLAST CAP	040	JACK	B	10,000	23.09	n/a	n/a	500.00	5.0
NEWLAND CAPITAL MGT	025	JCI	S	50,000	32.53	n/a	27-Apr	2,000.00	4.0
PATTEN & PATTEN	025	JCI	S	200	31.96	n/a	27-Apr	10.00	5.0
VISIUM/BALY BOBBY	044	JCI	SS	10,000	32.50	n/a	27-Apr	500.00	5.0
BESSEMER INVESTMENT	085	JEC	S	2,200	41.98	n/a	n/a	88.00	4.0
SIMMONS VENTURES	041	JNY	B	4,901	10.80	n/a	26-Apr	196.04	4.0
HOLLIS CAPITAL	033	KEG	S	5,000	12.90	n/a	1-May	250.00	5.0
PATTEN & PATTEN	025	KRE	B	1,500	28.50	n/a	n/a	75.00	5.0
PRIMECAP MGMT	084	LLY	S	4,000	41.36	n/a	n/a	160.00	4.0
BRONSON POINT	036	MANT	SS	10,800	31.55	n/a	n/a	216.00	2.0
ELM RIDGE ADVISORS	044	MAS	S	150,000	14.10	n/a	n/a	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	MLM	B	3,000	82.80	n/a	n/a	90.00	3.0
BESSEMER INVESTMENT	085	MMM	S	300	89.82	n/a	1-May	12.00	4.0
ROTHSCHILD ASSET	040	MMM	B	16,988	89.60	n/a	1-May	679.52	4.0
BRONSON POINT	036	MO	SS	6,000	32.39	n/a	n/a	120.00	2.0
PATTEN & PATTEN	025	M	B	500	41.35	n/a	30-Apr	25.00	5.0
DAVIDSON INV ADV	035	NILE	B	17,405	29.82	n/a	n/a	696.20	4.0
BRONSON POINT	036	NOC	SS	13,600	63.39	n/a	27-Apr	272.00	2.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	29.33	n/a	16-Apr	400.00	4.0
PATTEN & PATTEN	025	NSC	B	125	73.88	n/a	n/a	6.25	5.0
BESSEMER INVESTMENT	085	ONB	S	1,223	13.00	n/a	n/a	48.92	4.0
PATTEN & PATTEN	025	ORCL	S	1,000	29.64	n/a	n/a	50.00	5.0
PRIMECAP MGMT	084	OSUR	B	2,000	11.36	n/a	n/a	80.00	4.0
PATTEN & PATTEN	025	PEP	S	450	66.43	n/a	n/a	22.50	5.0
JANA CAPITAL	044	PETM	SS	71,360	58.79	n/a	n/a	2,854.40	4.0
THE JAY GOLDMAN	028	PH	SS	10,000	87.65	n/a	25-Apr	400.00	4.0
PATTEN & PATTEN	025	PIO	S	2,000	17.74	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	PRX	S	79,790	42.34	n/a	30-Apr	3,191.60	4.0
PATTEN & PATTEN	025	QCOM	B	500	64.38	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	RHT	B	50	60.03	n/a	n/a	2.50	5.0
BASIX	033	SAH	SS	25,000	16.77	n/a	n/a	750.00	3.0
PRIMECAP MGMT	084	SGEN	B	5,000	19.77	n/a	n/a	200.00	4.0
SIMMONS VENTURES	041	SKS	SS	5,000	11.21	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	SLB	S	440	75.90	n/a	n/a	17.60	4.0
JANA CAPITAL	044	SPY	C	27,839	141.36	n/a	n/a	1,113.56	4.0
PATTEN & PATTEN	025	SRCL	B	50	87.36	n/a	n/a	2.50	5.0
LEVIN CAPITAL STRATEGIES	041	SRE	S	35,060	64.63	n/a	n/a	1,051.80	3.0
BESSEMER INVESTMENT	085	SYI	S	1,000	29.07	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	TGT	B	50	57.53	n/a	9-Apr	2.50	5.0
THE JAY GOLDMAN	028	TKR	B	5,000	56.31	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	TSCO	B	100	99.48	n/a	n/a	5.00	5.0
WEISS PECK - ROBECO INV		040	UNG	SS	10,200	16.95	n/a	n/a	306.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	URBN	B	100,000	28.93	n/a	n/a	3,000.00	3.0
TUDOR INVESTORS	028	URBN	SS	25,000	29.01	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	VMW	B	25	111.42	n/a	n/a	1.25	5.0
FORTRESS INVESTMENT (US)	036	WCC	B	16,000	67.01	n/a	n/a	640.00	4.0
UBS OCONNOR	031	WDR	SS	32,500	32.42	n/a	2-Mar	975.00	3.0
BESSEMER INVESTMENT	085	WFC	S	400	34.14	n/a	16-Apr	16.00	4.0
ELM RIDGE ADVISORS	044	WFC	S	150,000	34.13	n/a	16-Apr	6,000.00	4.0
BESSEMER INVESTMENT	085	WU	B	175	18.62	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	WY	S	600	20.55	n/a	27-Apr	24.00	4.0
THE JAY GOLDMAN	028	WY	S	30,000	20.47	n/a	27-Apr	1,200.00	4.0
AMBER CAPITAL	046	XRT	B	7,000	61.73	n/a	n/a	280.00	4.0
BESSEMER INVESTMENT	085	ZMH	B	440	64.27	n/a	n/a	17.60	4.0
TOTAL (Trade Date):								114,226.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									114,226.04
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									114,226.04

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