



## Daily Compliance Activity Report

Trade Date: 12/05/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	B	175	79.86	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	ACE	S	295	80.32	n/a	n/a	11.80	4.0
BESSEMER INVESTMENT	085	ACN	B	175	68.75	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	ACN	S	355	69.74	n/a	n/a	14.20	4.0
BESSEMER INVESTMENT	085	AET	B	225	43.23	n/a	n/a	9.00	4.0
BESSEMER INVESTMENT	085	AET	S	550	43.77	n/a	n/a	22.00	4.0
OHIO PERS	047	APC	B	42,000	74.66	n/a	4-Dec	1,260.00	0.0
PZENA INV ADV	044	APOL	B	18,375	20.60	n/a	n/a	643.13	0.0
BESSEMER INVESTMENT	085	AVGO	B	150	34.81	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	AVGO	S	565	34.57	n/a	n/a	22.60	4.0
PZENA INV ADV	044	AXS	B	2,150	36.00	n/a	n/a	75.25	0.0
PZENA INV ADV	044	BDX	B	2,400	77.68	n/a	n/a	84.00	0.0
PLATTE RIVER CAPITAL	240	BHI	B	10,000	41.95	n/a	n/a	400.00	0.0
PZENA INV ADV	044	BHI	B	10,375	42.50	n/a	n/a	363.13	0.0
M&I FUNDS	047	BOBE	B	1,700	37.89	n/a	n/a	68.00	4.0
PZENA INV ADV	044	BP	B	3,925	41.08	n/a	n/a	137.38	0.0
PLATTE RIVER CAPITAL	240	BTU	S	7,900	25.84	n/a	n/a	316.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	CAT	S	5,400	86.01	n/a	11-Jul	216.00	0.0
BESSEMER INVESTMENT	085	COH	B	175	57.02	n/a	5-Nov	7.00	4.0
BESSEMER INVESTMENT	085	COH	S	265	57.59	n/a	5-Nov	10.60	4.0
BESSEMER INVESTMENT	085	COP	B	150	57.32	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	COP	S	260	57.36	n/a	n/a	10.40	4.0
BNP PARIBAS SEC	040	CP	SS	8,000	97.28	n/a	n/a	240.00	3.0
BESSEMER INVESTMENT	085	CSCO	S	7,050	19.28	n/a	29-Nov	282.00	4.0
OZ MGMT	040	CSCO	SS	116,860	19.40	n/a	29-Nov	3,505.80	0.0
BESSEMER INVESTMENT	085	CTL	B	200	39.43	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	CTL	S	350	39.08	n/a	n/a	14.00	4.0
BESSEMER INVESTMENT	085	C	B	225	35.87	n/a	5-Dec	9.00	4.0
BESSEMER INVESTMENT	085	C	S	335	36.96	n/a	5-Dec	13.40	4.0
EPOCH INV MGMT	030	DELL	S	500,000	10.43	n/a	n/a	15,000.00	0.0
BALYASNY ASSET MGMT	044	DPZ	C	3,104	40.44	n/a	17-Oct	155.20	0.0
BALYASNY ASSET MGMT	044	DSW	B	10,000	68.50	n/a	11-Feb	500.00	0.0
BESSEMER INVESTMENT	085	DTE	B	75	60.79	n/a	n/a	3.00	4.0
HARVEST MGMT (JMP)	029	EBAY	B	15,000	52.28	n/a	n/a	600.00	4.0
PZENA INV ADV	044	ETR	B	4,975	63.92	n/a	n/a	174.13	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	EXC	B	250	29.05	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	EXC	S	420	29.60	n/a	n/a	16.80	4.0
PROSPECTOR PARTNERS LLC	036	FAF	S	10,000	24.50	n/a	n/a	400.00	4.0
HARVEST MGMT (JMP)	029	FDO	S	10,000	69.72	n/a	20-Nov	400.00	4.0
CAPITAL GROWTH MGMT.	241	FL	B	50,000	35.44	n/a	16-Nov	2,500.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	FL	S	27,000	35.44	n/a	16-Nov	806.64	0.0
SUFFOLK CAPITAL MGMT	040	F	S	449,700	11.29	n/a	4-Dec	17,988.00	0.0
BESSEMER INVESTMENT	085	GD	S	150	67.04	n/a	16-Nov	6.00	4.0
J. GOLDMAN	028	GE	B	20,000	21.27	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	GGC	B	5,000	43.97	n/a	n/a	150.00	3.0
NOKOMIS PARTNERS	031	HD	B	20,000	64.39	n/a	16-Nov	600.00	3.0
IRIDIAN ASSET MGMT.	036	HPQ	B	236,300	13.94	n/a	n/a	11,815.00	0.0
LISTED ERR	099	HPQ	B	50,000	14.06	n/a	n/a	0.00	0.0
LISTED ERR	099	HPQ	S	50,000	13.88	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	HTZ	S	30,000	15.92	n/a	n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	IBM	S	140	189.20	n/a	n/a	5.60	4.0
BRONSON POINT	036	IFF	B	10,000	64.51	n/a	6-Nov	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>Õ Nilsa Vazquez</b>		<b>INTC</b>	<b>B</b>	<b>500</b>	<b>19.9580</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TOCQUEVILLE	035	IN	S	50,000	8.07	n/a	n/a	2,500.00	0.0
M&I FUNDS	047	IPXL	B	1,700	20.60	n/a	3-Dec	68.00	4.0
PZENA INV ADV	044	IVZ	B	3,925	24.50	n/a	2-Mar	137.38	0.0
WHITE PINE CAPITAL	030	IWO	S	2,600	93.21	n/a	n/a	130.00	0.0
WHITE PINE CAPITAL	030	IWV	SS	6,000	84.00	n/a	n/a	300.00	0.0
WHITE PINE CAPITAL	030	IWZ	C	10,000	53.33	n/a	n/a	500.00	0.0
BESSEMER INVESTMENT	085	JNJ	S	250	70.14	n/a	n/a	10.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JNY	SS	26,800	11.53	n/a	25-Oct	938.00	3.5
BESSEMER INVESTMENT	085	LOW	S	425	35.32	n/a	19-Nov	17.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>LUV</b>	<b>S</b>	<b>25,995</b>	<b>9.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC TRADING TOM LEDDY	035	MCD	B	30,000	87.18	n/a	5-Dec	1,050.00	3.5
PZENA INV ADV	044	MET	B	4,500	33.50	n/a	n/a	157.50	0.0
HALCYON LLC	041	MMR	S	100,000	15.79	n/a	n/a	3,000.00	3.0
STRONG/MARK GRONET	030	MMR	S	225,000	15.63	n/a	n/a	9,000.00	0.0
BESSEMER INVESTMENT	085	MRO	S	580	30.64	n/a	n/a	23.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	MSFT	B	525	26.38	n/a	n/a	21.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	895	26.84	n/a	n/a	35.80	4.0
PZENA INV ADV	044	MS	B	109,450	16.74	n/a	4-Dec	3,830.80	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	MWV	S	10,000	30.32	n/a	24-Oct	300.00	3.0
BESSEMER INVESTMENT	085	M	S	530	38.89	n/a	30-Nov	21.20	4.0
SCOPUS FUND	041	M	SS	25,000	38.32	n/a	30-Nov	1,000.00	0.0
BESSEMER INVESTMENT	085	NEM	S	670	44.19	n/a	n/a	26.80	4.0
PZENA INV ADV	044	NOC	B	1,225	66.98	n/a	16-Nov	42.88	0.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	3.76	n/a	n/a	800.00	4.0
DAVIDSON KEMPNER ADVISOR	040	PCS	B	50,000	10.10	n/a	n/a	1,500.00	0.0
DAVIDSON KEMPNER ADVISOR	040	PENN	B	10,000	49.50	n/a	n/a	300.00	0.0
PZENA INV ADV	044	PNC	B	4,450	56.11	n/a	n/a	155.75	0.0
Õ Manny Korman		PPT	S	7500	5.0600	n/a	n/a	0.00	0.0
Õ Manny Korman		PPT	S	8900	5.3800	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	QCOM	B	200	63.66	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	QCOM	S	550	63.84	n/a	n/a	22.00	4.0
SEVEN LOCKS CAPITAL	025	RHP	S	10,000	35.31	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>Õ Manny Korman</b>		<b>RQI</b>	<b>S</b>	<b>447</b>	<b>10.0300</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	SBUX	B	10,000	50.16	n/a	3-Dec	500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	B	100,000	50.42	n/a	3-Dec	3,000.00	3.0
OZ MGMT	040	SBUX	B	25,000	50.49	n/a	3-Dec	750.00	0.0
OZ MGMT	040	SBUX	S	29,745	49.99	n/a	3-Dec	892.35	0.0
TUDOR INVESTORS	028	SCCO	B	10,000	36.51	n/a	n/a	300.00	3.0
CAPITAL GROWTH MGMT.	241	SHW	S	30,000	149.47	n/a	14-Nov	1,500.00	5.0
LONG OAR GLOBAL INV	040	SPF	SS	154,700	6.61	n/a	n/a	4,641.00	3.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	3,500	141.91	n/a	n/a	105.00	0.0
PZENA INV ADV	044	STT	B	2,800	44.65	n/a	4-Dec	98.00	0.0
BESSEMER INVESTMENT	085	STX	B	175	27.11	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	STX	S	325	27.62	n/a	n/a	13.00	4.0
<b>SPARTAN</b>	<b>093</b>	<b>SWN</b>	<b>B</b>	<b>10,000</b>	<b>34.59</b>	<b>n/a</b>	<b>5-Dec</b>	<b>300.00</b>	<b>3.0</b>
TOCQUEVILLE	035	TKR	S	36,500	45.44	n/a	n/a	1,825.00	0.0
BESSEMER INVESTMENT	085	TMO	S	335	63.86	n/a	n/a	13.40	4.0
SANDLER CAPITAL	028	TRV	B	70,000	72.60	n/a	n/a	3,500.00	0.0
TUDOR INVESTORS	028	TSN	S	20,000	19.48	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UNH	S	415	53.99	n/a	n/a	16.60	4.0
CASTLE ARK	031	UNH	B	95,563	53.94	n/a	n/a	4,778.15	0.0
BESSEMER INVESTMENT	085	WAG	S	440	35.63	n/a	n/a	17.60	4.0
PORTER-ORLIN	044	WAG	B	25,000	34.85	n/a	n/a	1,000.00	4.0
HARVEST MGMT (JMP)	029	WMT	B	20,000	71.76	n/a	15-Nov	800.00	4.0
BESSEMER INVESTMENT	085	WM	S	440	33.63	n/a	n/a	17.60	4.0
SEVEN LOCKS CAPITAL	025	WPC	B	5,000	47.95	n/a	n/a	150.00	3.0
PZENA INV ADV	044	XOM	B	3,725	88.00	n/a	n/a	130.38	0.0
BNP PARIBAS SEC	040	X	B	20,000	22.21	n/a	n/a	600.00	3.0
BESSEMER INVESTMENT	085	ZMH	S	420	65.80	n/a	n/a	16.80	4.0
<b>TOTAL (Trade Date) :</b>								<b>113,266.25</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/04	PROSPECTOR PARTNERS LLC (PROSASIC)	036	COP	B	1,200	56.66	n/a	n/a	0.00 0.0
AO,CRT	12/04	PROSPECTOR PARTNERS LLC (PROSASIC)	036	COP	B	1,200	56.66	n/a	n/a	48.00 4.0
AO,CXL	12/04	PROSPECTOR PARTNERS LLC (PROSASIC)	036	FOR	B	1,800	14.95	n/a	8-Nov	0.00 0.0
AO,CRT	12/04	PROSPECTOR PARTNERS LLC (PROSASIC)	036	FOR	B	1,800	14.95	n/a	8-Nov	72.00 4.0
AO,	12/03	ACK ASSET (ACKAMS)	028	GMT	S	1,068	42.01	n/a	n/a	32.04 0.0
AO,CXL	12/03	ACK ASSET (ACKABEARPB)	028	GMT	S	2,753	42.01	n/a	n/a	82.59 0.0
AO,CRT	12/03	ACK ASSET (ACKABEARPB)	028	GMT	S	1,685	42.01	n/a	n/a	50.55 3.0
AO,CXL	12/04	ACK ASSET (ACKABEARPB)	028	GMT	S	22,247	41.75	n/a	n/a	667.41 0.0
AO,CRT	12/04	ACK ASSET (ACKABEARPB)	028	GMT	S	9,125	41.75	n/a	n/a	273.75 3.0
AO,	12/04	ACK ASSET (ACKABEARPB)	028	GMT	S	13,122	41.75	n/a	n/a	393.66 0.0

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**TOTAL (AO, CXL, CRT) :** **120.00**

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**TOTAL (Trade Date) :** **113,266.25****TOTAL (AO, CXL, CRT) :** **120.00**

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**TOTAL (RUN DATE) / NFS :** **113,386.25**

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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