



Daily Compliance Activity Report

Trade Date: 11/03/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AA	S	1,000	10.82	n/a	n/a	40.00	4.0
FRONTIER	029	ABC	S	111,620	39.90	n/a	n/a	4,464.80	4.0
LISTED ERR	099	ABC	B	420	39.90	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ACE	S	205	71.77	n/a	n/a	8.20	4.0
BESSEMER INVESTMENT	085	ADM	S	1,716	29.33	n/a	1-Nov	68.64	4.0
SIMMONS VENTURES	041	AEO	SS	5,000	13.80	n/a	25-Aug	200.00	4.0
OHIO PERS	047	AGP	B	89,000	56.87	n/a	n/a	2,670.00	3.0
BESSEMER INVESTMENT	085	AMTD	S	2,750	17.00	n/a	n/a	110.00	4.0
STATE TEACHERS RET SYS	047	APA	S	10,000	100.61	n/a	24-Oct	500.00	5.0
ASCEND PARTNERS	033	ARCO	B	45,000	22.69	n/a	31-Oct	1,350.00	3.0
SENATOR INVESTMENT GROUP	036	ASH	S	50,000	54.14	n/a	7-Sep	1,500.00	3.0
BALYASNY ASSET MGMT	044	ASNA	C	25,000	28.43	n/a	n/a	1,250.00	5.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	15,000	9.20	n/a	31-Oct	600.00	4.0
BALYASNY ASSET MGMT	044	AXL	SS	50,000	9.24	n/a	31-Oct	2,000.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	50,000	9.31	n/a	31-Oct	1,500.00	3.0
BESSEMER INVESTMENT	085	AXP	S	1,458	51.60	n/a	27-Oct	58.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	BEN	S	86,670	103.80	n/a	2-Mar	3,466.80	4.0
ASCEND PARTNERS	033	BIG	B	22,207	40.57	n/a	3-Nov	666.21	3.0
MACQUARIE INVESTMENT MGMT.	040	BIG	B	5,000	40.29	n/a	3-Nov	0.00	0.0
OZ MGMT	040	BIG	S	50,000	38.88	n/a	3-Nov	1,500.00	3.0
RBC CAPITAL MARKETS	040	BIG	B	13,000	40.18	n/a	3-Nov	520.00	4.0
RIDGECREST INV MGMT LLC	028	BIG	S	10,000	40.00	n/a	3-Nov	500.00	5.0
LEVIN CAPITAL STRATEGIES	041	BK	B	10,000	21.26	n/a	19-Oct	300.00	3.0
BESSEMER INVESTMENT	085	BOOM	S	300	23.26	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	CMS	S	120	20.75	n/a	n/a	4.80	4.0
SCOPUS FUND	041	CNK	B	40,000	20.55	n/a	n/a	1,600.00	4.0
PRIMECAP MGMT	084	CPHD	S	1,500	35.75	n/a	n/a	60.00	4.0
BESSEMER INVESTMENT	085	C	S	375	30.82	n/a	18-Oct	15.00	4.0
BNP PARIBAS SEC	040	DDS	SS	25,000	53.04	n/a	n/a	1,250.00	5.0
BESSEMER INVESTMENT	085	DELL	S	180	15.67	n/a	n/a	7.20	4.0
BESSEMER INVESTMENT	085	DIS	S	293	34.65	n/a	n/a	11.72	4.0
BESSEMER INVESTMENT	085	DVN	S	880	65.89	n/a	3-Nov	35.20	4.0
LEVIN CAPITAL STRATEGIES	041	DVN	B	5,000	65.49	n/a	3-Nov	150.00	3.0
BESSEMER INVESTMENT	085	ECL	S	325	55.09	n/a	25-Oct	13.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	ELT	C	5,372	14.63	n/a	n/a	214.88	4.0
CATAPULT CAP/DEFRANCO	040	ERJ	SS	6,000	26.30	n/a	n/a	240.00	4.0
BESSEMER INVESTMENT	085	FLS	S	55	99.00	n/a	n/a	2.20	4.0
O CAPITAL MGMT	029	FOR	B	10,000	13.95	n/a	3-Nov	500.00	5.0
BESSEMER INVESTMENT	085	F	S	100	11.31	n/a	2-Nov	4.00	4.0
BESSEMER INVESTMENT	085	GCI	S	170	11.72	n/a	n/a	6.80	4.0
SCOPUS FUND	041	GIL	B	84,800	26.75	n/a	21-Oct	3,392.00	4.0
BESSEMER INVESTMENT	085	GLW	S	225	14.27	n/a	31-Oct	9.00	4.0
BESSEMER INVESTMENT	085	GME	S	60	25.62	n/a	n/a	2.40	4.0
BALYASNY ASSET MGMT	044	GM	SS	100,000	23.98	n/a	2-Nov	5,000.00	5.0
TRELLUS PARTNERS LP	028	GM	SS	35,000	23.94	n/a	2-Nov	1,750.00	5.0
BESSEMER INVESTMENT	085	GOOG	S	86	595.69	n/a	n/a	3.44	4.0
BESSEMER INVESTMENT	085	GS	S	55	107.45	n/a	18-Oct	2.20	4.0
CAERUS GLOBAL	041	HBI	B	5,800	25.84	n/a	3-Nov	232.00	4.0
MERRILL ASSET/BLACKROCK	297	HFC	S	13,800	32.53	n/a	n/a	552.00	4.0
SCOPUS FUND	041	HOG	B	25,000	39.30	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	HON	B	10,000	53.62	n/a	21-Oct	400.00	4.0
BESSEMER INVESTMENT	085	HON	S	1,150	53.93	n/a	21-Oct	46.00	4.0
ROTHSCHILD ASSET	040	HPQ	B	44,091	26.31	n/a	n/a	1,763.64	4.0
SCOPUS FUND	041	JAH	SS	39,400	32.17	n/a	n/a	1,576.00	4.0
BESSEMER INVESTMENT	085	JEF	S	3,333	12.00	n/a	n/a	133.32	4.0
BESSEMER INVESTMENT	085	JNPR	S	60	24.00	n/a	n/a	2.40	4.0
BNP PARIBAS SEC	040	JOSB	SS	5,000	54.11	n/a	n/a	250.00	5.0
LISTED ERR	099	JOSB	B	2,900	54.59	n/a	n/a	0.00	0.0
LISTED ERR	099	JOSB	S	2,900	53.50	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	JPM	B	10,000	33.96	n/a	13-Oct	300.00	3.0
SOROS	036	JPM	B	141,600	34.22	n/a	13-Oct	5,664.00	4.0
ASCEND PARTNERS	033	KSS	B	64,400	55.11	n/a	28-Oct	1,932.00	3.0
BNP PARIBAS SEC	040	KSS	SS	50,000	55.58	n/a	28-Oct	2,500.00	5.0
BESSEMER INVESTMENT	085	LEA	S	60	45.97	n/a	31-Oct	2.40	4.0
LEVIN CAPITAL STRATEGIES	041	LEA	B	10,000	45.37	n/a	31-Oct	300.00	3.0
BESSEMER INVESTMENT	085	LOW	S	150	21.55	n/a	17-Oct	6.00	4.0
ADAGE CAPITAL MGMT	030	LTD	SS	150,000	41.62	n/a	n/a	4,500.00	3.0
BESSEMER INVESTMENT	085	LTD	S	145	42.89	n/a	n/a	5.80	4.0
M&I FUNDS	047	LTD	S	14,955	43.02	n/a	n/a	598.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MA	S	236	364.99	n/a	2-Nov	9.44	4.0
LEVIN CAPITAL STRATEGIES	041	MET	B	10,000	34.64	n/a	n/a	300.00	3.0
ARSENAL ASSET MANAGEMENT	028	MGA	SS	10,000	34.07	n/a	n/a	400.00	4.0
COLUMBIA PARTNERS	028	MGA	C	51,140	34.39	n/a	n/a	2,045.60	4.0
FORTRESS INVESTMENT (US)	036	MGA	B	15,000	33.44	n/a	n/a	600.00	4.0
OZ MGMT	040	MGA	B	75,000	33.90	n/a	n/a	2,250.00	3.0
OHIO PERS	047	MGM	B	110,000	11.13	n/a	13-Jun	3,300.00	3.0
LEVIN CAPITAL STRATEGIES	041	MHP	B	10,000	42.22	n/a	n/a	300.00	3.0
OHIO PERS	047	MRK	S	151,342	34.44	n/a	n/a	4,540.26	3.0
BESSEMER INVESTMENT	085	MRVL	S	200	13.86	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	585	26.43	n/a	n/a	23.40	4.0
BESSEMER INVESTMENT	085	MS	S	1,733	16.89	n/a	19-Oct	69.32	4.0
FORTRESS INVESTMENT (US)	036	MTW	B	130,000	11.91	n/a	26-Oct	3,900.00	3.0
PRIMECAP MGMT	084	NKTR	B	6,200	4.66	n/a	n/a	124.00	2.0
BESSEMER INVESTMENT	085	NOC	S	95	57.37	n/a	2-Nov	3.80	4.0
STATE TEACHERS RET SYS	047	NUAN	S	75,000	26.77	n/a	n/a	3,750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	S	34,525	50.55	n/a	n/a	1,035.75	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	NXY	S	500	17.10	n/a	n/a	20.00	4.0
CATAPULT CAP/DEFRANCO	040	OIS	S	7,200	69.97	n/a	n/a	288.00	4.0
HOTCHKIS & WILEY	035	ONNN	S	703,700	7.78	n/a	n/a	28,148.00	4.0
BESSEMER INVESTMENT	085	PCP	S	272	166.44	n/a	28-Oct	10.88	4.0
BESSEMER INVESTMENT	085	PG	S	227	63.14	n/a	3-Nov	9.08	4.0
PLATTE RIVER CAPITAL	240	PG	B	15,000	63.36	n/a	3-Nov	600.00	4.0
NEUBERGER BERMAN	036	PPDI	S	86,444	33.01	n/a	n/a	3,457.76	4.0
BESSEMER INVESTMENT	085	QCOM	S	130	55.87	n/a	n/a	5.20	4.0
BESSEMER INVESTMENT	085	ROK	S	45	71.33	n/a	n/a	1.80	4.0
BESSEMER INVESTMENT	085	ROVI	S	50	48.57	n/a	n/a	2.00	4.0
BRONSON POINT	036	SPW	SS	10,000	59.36	n/a	n/a	300.00	3.0
JANA CAPITAL	044	SPY	C	100,000	126.21	n/a	n/a	4,000.00	4.0
ROARING BLUE LION MGMT	031	SSI	B	6,700	14.27	n/a	n/a	268.00	4.0
FIRST NEW YORK LEDDY	035	S	S	30,000	2.84	n/a	n/a	1,200.00	4.0
BESSEMER INVESTMENT	085	TRW	S	30	36.69	n/a	n/a	1.20	4.0
CATAPULT CAP/DEFRANCO	040	TSLA	B	8,990	30.99	n/a	n/a	359.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	TWC	S	75	62.87	n/a	n/a	3.00	4.0
SUFFOLK CAPITAL MGMT	040	UAL	B	90,000	18.88	n/a	n/a	3,600.00	4.0
FINDLAY PARK PART	085	UNT	B	24,400	50.71	n/a	24-Oct	2,165.42	0.0
BESSEMER INVESTMENT	085	UTX	S	20	78.48	n/a	n/a	0.80	4.0
DEVENNY CAP LLC	044	VC	S	10,600	57.57	n/a	n/a	318.00	3.0
MILLENIU SUB A/C NEW VERNON	085	VTSS	S	2,235	2.70	n/a	n/a	89.40	4.0
BESSEMER INVESTMENT	085	V	S	30	93.24	n/a	27-Oct	1.20	4.0
DAVIDSON KEMPNER ADVISOR	040	WCRX	S	50,000	18.35	n/a	31-Oct	2,500.00	5.0
TRUSTCO/SUNTRUST	040	WEN	S	31,800	5.23	n/a	3-Nov	1,113.00	3.5
CATAPULT CAP/DEFRANCO	040	ZINC	S	5,000	8.74	n/a	n/a	200.00	4.0
TOTAL (Trade Date) :							130,644.48		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									130,644.48
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									130,644.48
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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