



Daily Compliance Activity Report

Trade Date: 11/11/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	430	386.52	n/a	n/a	17.20	4.0
BESSEMER INVESTMENT	085	ACE	S	410	71.36	n/a	n/a	16.40	4.0
FARBER/WEISS PECK	085	ARCO	B	50,000	21.67	n/a	31-Oct	2,000.00	4.0
TALPION LLC	040	ARCO	B	10,000	21.69	n/a	31-Oct	400.00	4.0
BRONSON POINT	036	BA	B	25,000	66.78	n/a	28-Oct	750.00	3.0
RBC CAPITAL MARKETS	040	BBY	B	35,000	28.01	n/a	n/a	1,400.00	4.0
RAINIER INV MGMT	035	BEN	S	94,440	107.64	n/a	2-Mar	3,777.60	4.0
ARSENAL ASSET MANAGEMENT	028	CE	SS	10,000	44.00	n/a	20-May	400.00	4.0
BESSEMER INVESTMENT	085	CME	S	75	262.78	n/a	28-Apr	3.00	4.0
MACQUARIE INVESTMENT MGMT.	040	CYH	B	5,000	21.02	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	DIS	S	1,940	37.24	n/a	n/a	77.60	4.0
BESSEMER INVESTMENT	085	ECL	S	600	55.89	n/a	8-Nov	24.00	4.0
KLEINHEINZ CAP PART	031	FDO	B	65,000	58.83	n/a	29-Sep	3,250.00	5.0
ARSENAL ASSET MANAGEMENT	028	FLR	B	25,000	56.21	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	GE	S	1,815	16.41	n/a	n/a	72.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMBARDIA CAP MGMT	084	GLT	S	4,600	15.42	n/a	n/a	184.00	4.0
OZ MGMT	040	GM	SS	158,282	22.30	n/a	10-Nov	4,748.46	3.0
BERMAN CAPITAL MGMT	046	GPS	B	5,000	19.93	n/a	n/a	150.00	3.0
TALPION LLC	040	GTS	S	1,942	20.02	n/a	n/a	77.68	4.0
LATEFF MGMT	035	INTC	S	200	24.84	n/a	n/a	40.00	20.0
BESSEMER INVESTMENT	085	IP	S	925	29.14	n/a	27-Oct	37.00	4.0
LOMBARDIA CAP MGMT	084	ITG	B	44,000	10.59	n/a	n/a	1,760.00	4.0
KENNEDY CAPITAL	046	IWM	S	8,500	73.34	n/a	n/a	340.00	4.0
BESSEMER INVESTMENT	085	JCI	S	540	31.80	n/a	27-Oct	21.60	4.0
BESSEMER INVESTMENT	085	JPM	S	595	33.68	n/a	8-Nov	23.80	4.0
SIMMONS VENTURES	041	JWN	SS	5,000	48.30	n/a	11-Nov	200.00	4.0
ROSEDALE CAPITAL	046	KEG	S	30,000	14.92	n/a	2-Nov	1,200.00	4.0
BESSEMER INVESTMENT	085	KFT	S	1,822	35.59	n/a	n/a	72.88	4.0
BESSEMER INVESTMENT	085	KO	B	1,500	68.09	n/a	19-Oct	60.00	4.0
TALPION LLC	040	KSS	SS	5,000	56.07	n/a	11-Nov	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	MSFT	S	1,150	26.93	n/a	n/a	46.00	4.0
BRONSON POINT	036	M	B	50,000	31.16	n/a	10-Nov	1,500.00	3.0
NEWLAND CAPITAL MGT	025	NAV	B	17,567	41.38	n/a	14-Sep	702.68	4.0
BESSEMER INVESTMENT	085	NOV	S	1,233	71.18	n/a	n/a	49.32	4.0
LATEFF MGMT	035	OI	S	250	20.74	n/a	n/a	50.00	20.0
BESSEMER INVESTMENT	085	OXY	S	455	100.31	n/a	n/a	18.20	4.0
BESSEMER INVESTMENT	085	PFE	S	1,405	20.13	n/a	n/a	56.20	4.0
BESSEMER INVESTMENT	085	PGC	S	500	10.25	n/a	n/a	20.00	4.0
LOMBARDIA CAP MGMT	084	PGI	S	16,008	8.95	n/a	n/a	640.32	4.0
BESSEMER INVESTMENT	085	PG	S	1,332	64.00	n/a	7-Nov	53.28	4.0
BESSEMER INVESTMENT	085	QCOM	S	953	56.55	n/a	n/a	38.12	4.0
SCOPUS FUND	041	RL	B	50,000	155.19	n/a	11-Nov	2,000.00	4.0
BESSEMER INVESTMENT	085	STJ	S	1,990	39.91	n/a	n/a	79.60	4.0
MACQUARIE INVESTMENT MGMT.	040	SU	S	5,000	31.75	n/a	n/a	0.00	0.0
GLG PARTNERS	034	SWY	SS	30,060	19.96	n/a	n/a	901.80	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	TEVA	S	150	40.28	n/a	11-Nov	37.50	25.0
LATEFF MGMT	035	TSN	S	300	19.63	n/a	n/a	45.00	15.0
HARVEY PARTNERS	086	TUES	S	67,000	3.66	n/a	n/a	2,010.00	3.0
LATEFF MGMT	035	UAL	B	200	17.85	n/a	n/a	34.00	17.0
LATEFF MGMT	035	WMT	S	100	58.99	n/a	11-Nov	25.00	25.0
SCOPUS FUND	041	WMT	B	100,000	58.99	n/a	11-Nov	4,000.00	4.0
PILOT ADV	041	XL	B	80,400	21.22	n/a	n/a	2,412.00	3.0
TOTAL (Trade Date):								37,022.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	AAPL	S	99	384.89	n/a	n/a	3.96	4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	AAPL	S	54	385.16	n/a	n/a	2.16	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	AAPL	S	45	384.57	n/a	n/a	1.80	4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	ACE	S	274	70.24	n/a	n/a	10.96	4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	ACE	S	119	70.29	n/a	n/a	4.76	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	ACE	S	155	70.20	n/a	n/a	6.20	4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	DIS	S	410	34.53	n/a	n/a	16.40	4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	DIS	S	172	34.57	n/a	n/a	6.88	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	DIS	S	238	34.50	n/a	n/a	9.52	4.0
AO,CXL	11/10	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	DLB	B	113,000	28.81	n/a	n/a	0.00	0.0
AO,CRT	11/10	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	DLB	B	113,000	28.81	n/a	n/a	5650.00	5.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	ECL	S	439	54.62	n/a	8-Nov	17.56	4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	ECL	S	179	54.62	n/a	8-Nov	7.16	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	ECL	S	260	54.61	n/a	8-Nov	10.40	4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	GE	S	1,315	16.02	n/a	n/a	52.60	4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	GE	S	575	16.03	n/a	n/a	23.00	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	GE	S	740	16.01	n/a	n/a	29.60	4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	IP	S	898	28.28	n/a	27-Oct	35.92	4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	IP	S	529	28.30	n/a	27-Oct	21.16	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	IP	S	369	28.26	n/a	27-Oct	14.76	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	JCI	S	225	30.81	n/a	27-Oct	9.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	JCI	S	389	30.84	n/a	27-Oct	15.56 4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	JCI	S	164	30.88	n/a	27-Oct	6.56 4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	JPM	S	448	32.71	n/a	8-Nov	17.92 4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	JPM	S	193	32.74	n/a	8-Nov	7.72 4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	JPM	S	255	32.69	n/a	8-Nov	10.20 4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	KFT	S	388	35.15	n/a	n/a	15.52 4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	KFT	S	228	35.16	n/a	n/a	9.12 4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	KFT	S	160	35.14	n/a	n/a	6.40 4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	MSFT	S	1,080	26.34	n/a	n/a	43.20 4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	MSFT	S	595	26.35	n/a	n/a	23.80 4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	MSFT	S	485	26.32	n/a	n/a	19.40 4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	NOV	S	828	68.18	n/a	n/a	33.12 4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	NOV	S	723	68.20	n/a	n/a	28.92 4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	NOV	S	105	68.06	n/a	n/a	4.20 4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	OXY	S	93	98.11	n/a	n/a	3.72 4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	OXY	S	53	98.23	n/a	n/a	2.12 4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	OXY	S	40	97.94	n/a	n/a	1.60 4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	PFE	S	990	19.81	n/a	n/a	39.60 4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	PFE	S	425	19.82	n/a	n/a	17.00 4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	PFE	S	565	19.81	n/a	n/a	22.60 4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	PG	S	291	63.37	n/a	7-Nov	11.64 4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	PG	S	121	63.38	n/a	7-Nov	4.84 4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	PG	S	170	63.36	n/a	7-Nov	6.80 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	QCOM	S	163	55.32	n/a	n/a	6.52	4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	QCOM	S	68	55.38	n/a	n/a	2.72	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	QCOM	S	95	55.28	n/a	n/a	3.80	4.0
AO,CXL	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	STJ	S	338	38.53	n/a	n/a	13.52	4.0
AO,CRT	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	STJ	S	138	38.55	n/a	n/a	5.52	4.0
AO,	11/10	BESSEMER INVESTMENT (BESSMAIN)	085	STJ	S	200	38.52	n/a	n/a	8.00	4.0
AO,CXL	11/10	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	VMC	B	140,000	29.88	n/a	n/a	0.00	0.0
AO,CRT	11/10	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	VMC	B	140,000	29.88	n/a	n/a	7000.00	5.0
TOTAL (AO, CXL, CRT) :										12,650.00	
TOTAL (Trade Date) :										37,022.84	
TOTAL (AO, CXL, CRT) :										12,650.00	
TOTAL (RUN DATE) / NFS:										49,672.84	

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