



Daily Compliance Activity Report

Trade Date: 10/13/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	ACE	B	5,400	61.94	n/a	n/a	216.00	4.0
BESSEMER INVESTMENT	085	ADM	S	500	26.74	n/a	23-Sep	20.00	4.0
NEW JERSEY DIV OF INV.	030	ALK	S	25,000	63.76	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	AMTD	S	500	15.67	n/a	n/a	20.00	4.0
GALT INVESTMENT	041	ARO	B	40,000	13.05	n/a	19-Aug	1,600.00	4.0
KLEINHEINZ CAP PART	031	BIG	B	50,000	34.65	n/a	25-Aug	2,500.00	5.0
BESSEMER INVESTMENT	085	DIS	S	500	33.27	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	EMC	S	1,500	22.68	n/a	n/a	60.00	4.0
CATAPULT	040	EQT	B	13,000	59.99	n/a	n/a	520.00	4.0
RIDGECREST INV MGMT LLC	028	F	S	30,000	11.21	n/a	4-Oct	1,500.00	5.0
BESSEMER INVESTMENT	085	GE	S	1,390	16.09	n/a	n/a	55.60	4.0
BESSEMER INVESTMENT	085	GM	S	500	23.03	n/a	4-Oct	20.00	4.0
CIRCLE T/SES PART	033	GM	SS	12,500	23.08	n/a	4-Oct	500.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	B	20,000	23.35	n/a	4-Oct	600.00	3.0
NEW JERSEY DIV OF INV.	030	GS	S	10,000	95.66	n/a	7-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	HBI	B	10,000	26.50	n/a	21-Jul	500.00	5.0
SIMMONS VENTURES	041	HBI	B	10,000	26.17	n/a	21-Jul	400.00	4.0
MERRILL ASSET/BLACKROCK	297	HFC	S	4,300	32.01	n/a	n/a	172.00	4.0
MILLENNIUM-ANDEW	031	HYG	B	58,000	85.57	n/a	n/a	2,900.00	5.0
BESSEMER INVESTMENT	085	IP	S	1,500	25.34	n/a	11-Oct	60.00	4.0
BESSEMER INVESTMENT	085	IR	S	300	29.14	n/a	30-Sep	12.00	4.0
CHESAPEAKE PARTNERS	028	JAKK	B	400	17.98	n/a	n/a	12.00	3.0
MACQUARIE INVESTMENT MGMT.	040	JCP	SS	8,000	29.62	n/a	13-Oct	0.00	0.0
BESSEMER INVESTMENT	085	JNJ	S	3,860	63.70	n/a	n/a	154.40	4.0
SIMMONS VENTURES	041	JNY	B	5,000	10.37	n/a	28-Jul	200.00	4.0
BESSEMER INVESTMENT	085	JPM	S	2,950	31.70	n/a	13-Oct	118.00	4.0
NEWLAND CAPITAL MGT	025	KMT	SS	25,000	36.03	n/a	14-Sep	1,000.00	4.0
RIDGECREST INV MGMT LLC	028	LULU	SS	2,500	52.71	n/a	12-Sep	125.00	5.0
THRIVENT ASSET MGMT	030	MCD	B	125,000	89.14	n/a	3-Oct	5,000.00	4.0
BESSEMER INVESTMENT	085	MMI	S	500	38.09	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	1,310	26.77	n/a	n/a	52.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TWIN CAPITAL	041	NDN	S	105,442	21.44	n/a	13-Oct	3,163.26	3.0
BESSEMER INVESTMENT	085	PCG	S	500	41.61	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	PFE	S	3,070	18.73	n/a	n/a	122.80	4.0
BMO NESBITT BURNS	041	PKG	B	25,000	25.07	n/a	11-Oct	1,250.00	5.0
BESSEMER INVESTMENT	085	QCOM	S	1,000	52.28	n/a	n/a	40.00	4.0
NEW JERSEY DIV OF INV.	030	RRC	S	50,000	67.61	n/a	12-Oct	2,000.00	4.0
BESSEMER INVESTMENT	085	SEIC	S	2,700	15.50	n/a	n/a	108.00	4.0
PIONEER PATH	028	SNV	S	125,000	1.27	n/a	n/a	3,750.00	3.0
BESSEMER INVESTMENT	085	STJ	S	500	37.50	n/a	n/a	20.00	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	2.76	n/a	n/a	800.00	4.0
MTB INV ADV	034	TEN	B	44,175	30.71	n/a	n/a	2,208.75	5.0
PNC CAPITAL ADV	028	T	B	24,846	28.80	n/a	n/a	993.84	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	11,100	28.14	n/a	12-Oct	444.00	4.0
KAM ADVISORS LLC	041	WMB	S	32,100	26.24	n/a	n/a	963.00	3.0
RIDGECREST INV MGMT LLC	028	WMT	B	5,000	55.00	n/a	13-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	XOM	S	500	76.29	n/a	n/a	20.00	4.0
BRONSON POINT	036	XRX	B	50,000	7.52	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date):								37,411.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERRBVAUTV)	297	ACE	B	2,800	59.43	n/a	n/a	112.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERRBVAUTV)	297	ACE	B	2,800	59.43	n/a	n/a	112.00 4.0
CRT	10/13	CIRCLE T/SES PART (CIRCMAIN)	033	GM	SS	12,500	23.08	n/a	4-Oct	500.00 4.0
AO,CXL	10/12	EGS ASSOCIATES LP (EGASBANC O)	091	JNY	B	1,400	10.62	n/a	28-Jul	84.00 6.0
AO,CRT	10/12	EGS ASSOCIATES LP (EGASBANC O)	091	JNY	B	1,400	10.62	n/a	28-Jul	70.00 5.0
TOTAL (AO, CXL, CRT) :										486.00

TOTAL (Trade Date) :	37,411.05
TOTAL (AO, CXL, CRT) :	486.00

TOTAL (RUN DATE) / NFS:	37,897.05
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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