



Daily Compliance Activity Report

Trade Date: 10/05/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	AAPL	B	25,000	377.79	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	AA	S	1,500	9.26	n/a	n/a	60.00	4.0
BESSEMER INVESTMENT	085	ACE	S	450	59.66	n/a	n/a	18.00	4.0
MERRILL ASSET/BLACKROCK	297	ACE	B	35,400	59.43	n/a	n/a	1,416.00	4.0
KACELA CAPITAL	034	ACN	B	38,000	54.78	n/a	n/a	1,520.00	4.0
OSKIE CAPITAL MGMT	224	ACW	B	11,400	5.00	n/a	n/a	570.00	5.0
BESSEMER INVESTMENT	085	ADM	S	7,514	24.92	n/a	23-Sep	300.56	4.0
BESSEMER INVESTMENT	085	AMAT	S	950	10.50	n/a	n/a	38.00	4.0
BESSEMER INVESTMENT	085	APC	S	600	65.16	n/a	27-Sep	24.00	4.0
SIMMONS VENTURES	041	ARO	B	5,000	11.40	n/a	19-Aug	200.00	4.0
BESSEMER INVESTMENT	085	AXP	S	6,605	43.31	n/a	5-Oct	264.20	4.0
NEWLAND CAPITAL MGT	025	BECN	B	25,000	16.35	n/a	n/a	1,000.00	4.0
KLEINHEINZ CAP PART	031	BID	B	50,000	27.38	n/a	n/a	2,500.00	5.0
BESSEMER INVESTMENT	085	BRCM	S	700	34.63	n/a	n/a	28.00	4.0
MERRILL ASSET/BLACKROCK	297	CBG	B	20,000	13.61	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ACK ASSET	028	CFX	SS	70,000	19.88	n/a	n/a	2,100.00	3.0
CATAPULT	040	CHK	SS	25,000	24.98	n/a	n/a	1,000.00	4.0
TALPION LLC	040	CLGX	B	10,000	10.83	n/a	n/a	400.00	4.0
ACK ASSET	028	CMI	B	26,402	86.71	n/a	14-Sep	792.06	3.0
MERRILL ASSET/BLACKROCK	297	COG	S	6,300	64.48	n/a	27-Sep	252.00	4.0
SURVEYOR CAPITAL	041	CP	SS	1,000	50.04	n/a	n/a	30.00	3.0
BESSEMER INVESTMENT	085	CTL	S	1,500	31.96	n/a	n/a	60.00	4.0
AVESTA CAP	229	CVI	B	100,000	21.41	n/a	n/a	3,000.00	3.0
COPIA CAPITAL	031	CVI	SS	25,000	21.28	n/a	n/a	875.01	3.5
BESSEMER INVESTMENT	085	C	S	3,100	23.97	n/a	27-Sep	124.00	4.0
SUFFOLK CAPITAL MGMT	040	C	B	197,100	24.56	n/a	27-Sep	7,884.00	4.0
ARMATURE CAPITAL	041	DAN	B	100,000	11.32	n/a	29-Jul	4,000.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	DG	B	2,600	37.67	n/a	30-Aug	130.00	5.0
BESSEMER INVESTMENT	085	DIS	S	650	30.91	n/a	n/a	26.00	4.0
DSG CAPITAL	030	DOW	B	8,000	23.25	n/a	5-Oct	240.00	3.0
BESSEMER INVESTMENT	085	DVN	S	3,975	55.98	n/a	27-Sep	159.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	ESRX	S	350	35.57	n/a	n/a	14.00	4.0
GREEN ARROW DOUG	040	EXPD	B	2,500	40.38	n/a	n/a	125.00	5.0
BNP PARIBAS SEC	040	EXPR	S	50,000	21.84	n/a	n/a	2,500.00	5.0
PRIMECAP MGMT	084	FDX	B	4,500	69.88	n/a	n/a	180.00	4.0
BESSEMER INVESTMENT	085	FLS	S	175	77.65	n/a	n/a	7.00	4.0
OSKIE CAPITAL MGMT	224	FSL	B	10,000	10.41	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	F	B	65,900	10.15	n/a	4-Oct	2,636.00	4.0
BESSEMER INVESTMENT	085	GE	S	2,000	15.12	n/a	n/a	80.00	4.0
MERCHANTS GATE CAP LP	036	GLT	SS	36,000	13.84	n/a	n/a	1,440.00	4.0
BNP PARIBAS SEC	040	GM	SS	60,000	22.11	n/a	4-Oct	3,000.00	5.0
HUNTER GLOBAL INVESTOR	028	GM	SS	45,200	22.17	n/a	4-Oct	2,260.00	5.0
OZ MGMT	040	GM	SS	125,000	21.30	n/a	4-Oct	3,750.00	3.0
TRELLUS PARTNERS LP	028	GM	SS	50,000	21.46	n/a	4-Oct	2,500.00	5.0
BESSEMER INVESTMENT	085	GOOG	S	513	504.18	n/a	n/a	20.52	4.0
SONTERRA CAP	041	GPC	B	200	50.79	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	HON	S	4,755	44.04	n/a	14-Sep	190.20	4.0
TROUBH PART	070	HPQ	S	50,000	23.78	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	IFF	SS	5,000	58.16	n/a	6-Sep	250.00	5.0
BESSEMER INVESTMENT	085	IP	S	1,050	23.50	n/a	6-Sep	42.00	4.0
FIRST NY SEC/CHRIS	041	IP	B	10,000	23.75	n/a	6-Sep	500.00	5.0
ARCHON CAPITAL	035	IRDM	SS	45,000	5.90	n/a	n/a	1,350.00	3.0
BESSEMER INVESTMENT	085	JPM	S	675	30.17	n/a	27-Sep	27.00	4.0
TROUBH PART	070	JPM	S	25,000	30.15	n/a	27-Sep	1,250.00	5.0
BESSEMER INVESTMENT	085	KFT	S	300	32.70	n/a	n/a	12.00	4.0
FIRST NY SEC/CHRIS	041	KSS	SS	10,000	49.15	n/a	28-Sep	500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	KSS	SS	2,000	49.07	n/a	28-Sep	100.00	5.0
PRIMECAP MGMT	084	KSS	S	5,000	49.95	n/a	28-Sep	200.00	4.0
LEVIN CAPITAL STRATEGIES	041	LEA	B	7,500	42.92	n/a	5-Aug	225.00	3.0
RIDGECREST INV MGMT LLC	028	LEA	B	5,000	43.90	n/a	5-Aug	250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	LIZ	S	20,000	4.41	n/a	7-Oct	0.00	0.0
BESSEMER INVESTMENT	085	MA	S	830	308.15	n/a	16-Sep	33.20	4.0
BESSEMER INVESTMENT	085	MET	S	7,760	28.41	n/a	n/a	310.40	4.0
NEWLAND CAPITAL MGT	025	MHK	S	42,487	45.11	n/a	n/a	1,699.48	4.0
TALPION LLC	040	MIDD	SS	2,242	73.43	n/a	14-Sep	89.68	4.0
COUGAR TRADING	044	MON	B	15,000	64.63	n/a	5-Oct	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
COUGAR TRADING	044	MON	S	15,000	65.63	n/a	5-Oct	750.00 5.0
BESSEMER INVESTMENT	085	MO	S	1,400	26.31	n/a	n/a	56.00 4.0
CAPITAL GROWTH MGMT.	241	MPC	B	300,000	30.60	n/a	n/a	12,000.00 4.0
BESSEMER INVESTMENT	085	MSFT	S	1,300	25.99	n/a	n/a	52.00 4.0
DAVIDSON KEMPNER ADVISOR	040	MT	C	124,000	16.89	n/a	n/a	6,200.00 5.0
SIMMONS VENTURES	041	M	B	5,000	25.70	n/a	28-Sep	200.00 4.0
SURVEYOR CAPITAL	041	NAV	B	4,800	33.03	n/a	14-Sep	144.00 3.0
ADAGE CAPITAL MGMT	030	NDN	B	54,579	18.64	n/a	16-Sep	1,637.37 3.0
MOORE CAPITAL	041	NDN	B	10,000	18.37	n/a	16-Sep	300.00 3.0
SMITH MGMT LLC	029	NDN	S	50,000	18.47	n/a	16-Sep	1,500.00 3.0
BESSEMER INVESTMENT	085	NOC	S	1,113	51.70	n/a	26-Sep	44.52 4.0
BESSEMER INVESTMENT	085	NOV	S	225	52.15	n/a	n/a	9.00 4.0
TALPION LLC	040	NWL	SS	35,000	11.92	n/a	n/a	1,400.00 4.0
HUNTER GLOBAL INVESTOR	028	OSK	B	70,500	15.97	n/a	n/a	2,467.50 3.5
DEVENNY CAP LLC	044	PAG	SS	13,500	17.14	n/a	22-Jul	405.00 3.0
BESSEMER INVESTMENT	085	PCP	S	1,530	149.75	n/a	22-Sep	61.20 4.0
BESSEMER INVESTMENT	085	PFE	S	1,500	17.81	n/a	n/a	60.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PG	S	325	62.97	n/a	29-Sep	13.00	4.0
ROARING BLUE LION MGMT	031	PLCE	S	4,666	48.68	n/a	18-Aug	186.64	4.0
HUNTER GLOBAL INVESTOR	028	PWR	SS	53,000	18.94	n/a	n/a	2,120.00	4.0
BESSEMER INVESTMENT	085	QCOM	S	175	50.43	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	RIG	S	550	45.25	n/a	n/a	22.00	4.0
NEWLAND CAPITAL MGT	025	RKT	B	10,000	47.31	n/a	4-Aug	400.00	4.0
BESSEMER INVESTMENT	085	SBUX	S	550	38.12	n/a	3-Oct	22.00	4.0
ENTRUST CAPITAL	040	SCSS	SS	23,400	13.59	n/a	n/a	1,170.00	5.0
CATAPULT	040	SFL	SS	25,000	12.28	n/a	n/a	1,000.00	4.0
COBALT	041	SLM	B	150,000	11.73	n/a	21-Sep	6,000.00	4.0
BESSEMER INVESTMENT	085	SO	S	500	41.11	n/a	n/a	20.00	4.0
ROARING BLUE LION MGMT	031	SSI	S	2,200	15.04	n/a	n/a	88.00	4.0
BESSEMER INVESTMENT	085	STJ	S	375	36.54	n/a	n/a	15.00	4.0
LEVIN CAPITAL STRATEGIES	041	SUG	B	15,000	39.86	n/a	n/a	450.00	3.0
BESSEMER INVESTMENT	085	SWK	S	95	53.17	n/a	n/a	3.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	TGT	B	75,000	49.62	n/a	28-Sep	2,250.00	3.0
HUNTER GLOBAL INVESTOR	028	THO	SS	20,300	24.80	n/a	n/a	1,015.00	5.0
LITESPEED	028	TIN	S	100,100	31.38	n/a	13-Sep	3,003.00	3.0
BESSEMER INVESTMENT	085	TRV	S	900	48.39	n/a	n/a	36.00	4.0
BESSEMER INVESTMENT	085	TRW	S	225	34.15	n/a	n/a	9.00	4.0
BESSEMER INVESTMENT	085	TSN	S	1,200	17.22	n/a	n/a	48.00	4.0
BESSEMER INVESTMENT	085	TWC	S	550	65.95	n/a	n/a	22.00	4.0
BESSEMER INVESTMENT	085	T	S	750	28.08	n/a	n/a	30.00	4.0
MASTERS CAPITAL MANAGE	025	UAL	B	50,000	18.26	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	UNH	S	1,500	43.96	n/a	n/a	60.00	4.0
SURVEYOR CAPITAL	041	UNP	B	1,000	85.41	n/a	n/a	30.00	3.0
MERRILL ASSET/BLACKROCK	297	UPL	B	6,400	27.74	n/a	27-Sep	256.00	4.0
BESSEMER INVESTMENT	085	UPS	S	425	65.34	n/a	n/a	17.00	4.0
BESSEMER INVESTMENT	085	UTX	S	75	69.21	n/a	n/a	3.00	4.0
BESSEMER INVESTMENT	085	VFC	S	75	125.51	n/a	22-Jul	3.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	VIAB	S	950	38.90	n/a	n/a	38.00	4.0
KAM ADVISORS LLC	041	VMC	SS	47,700	28.22	n/a	n/a	1,431.00	3.0
AVESTA CAP	229	V	B	25,000	83.69	n/a	24-Aug	750.00	3.0
BESSEMER INVESTMENT	085	V	S	100	84.35	n/a	24-Aug	4.00	4.0
BNP PARIBAS SEC	040	WEN	B	250,000	4.52	n/a	3-Oct	6,250.00	2.5
CARDINAL CAPITAL	044	WEN	S	3,300	4.55	n/a	3-Oct	165.00	5.0
BESSEMER INVESTMENT	085	WFC	S	600	24.02	n/a	27-Sep	24.00	4.0
BESSEMER INVESTMENT	085	WLP	S	1,100	63.18	n/a	n/a	44.00	4.0
APEX CAPITAL MGMT.	261	WMT	SS	75,000	52.30	n/a	25-Aug	3,000.00	4.0
BESSEMER INVESTMENT	085	WRI	S	500	19.87	n/a	n/a	20.00	4.0
KAM ADVISORS LLC	041	XLI	C	45,400	29.72	n/a	n/a	1,362.00	3.0
BESSEMER INVESTMENT	085	XOM	S	250	73.59	n/a	n/a	10.00	4.0
LEVIN CAPITAL STRATEGIES	041	XOM	B	20,000	73.63	n/a	n/a	600.00	3.0
KLEINHEINZ CAP PART	031	YUM	B	75,000	49.11	n/a	5-Oct	3,750.00	5.0
SUFFOLK CAPITAL MGMT	040	YUM	B	111,600	48.73	n/a	5-Oct	4,464.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	12,500	18.83	n/a	n/a	375.00	3.0

TOTAL (Trade Date):

129,733.34

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/04	TOCQUEVILLE (TOCQDGVALI)	035	EMN	B	9,000	33.90	n/a	n/a	450.00 5.0
AO,	10/04	TOCQUEVILLE (TOCQDGOPTI)	035	EMN	B	12,000	33.90	n/a	n/a	600.00 5.0
CRT	10/05	COUGAR TRADING (COUGPB MS)	044	MON	B	15,000	64.63	n/a	5-Oct	750.00 5.0
CRT	10/05	COUGAR TRADING (COUGPB MS)	044	MON	S	15,000	65.63	n/a	5-Oct	750.00 5.0
AO,CRT	10/04	FINDLAY PARK PART (FINDAMERS)	085	RL	S	19,970	128.02	n/a	11-Aug	4473.96 0.0
AO,CRT	10/04	FINDLAY PARK PART (FINDRITAC)	085	RL	S	330	128.02	n/a	11-Aug	73.93 0.0
AO,	09/30	NUVEEN - US BANCORP (USBCBNYMEL)	030	ULTA	S	189	63.03	n/a	n/a	8.51 4.5
AO,	09/30	NUVEEN - US BANCORP (USBCBROEMP)	030	ULTA	S	43	63.03	n/a	n/a	1.94 4.5
AO,	09/30	NUVEEN - US BANCORP (USBCIBEWMC)	030	ULTA	S	319	63.03	n/a	n/a	14.36 4.5
AO,	09/30	NUVEEN - US BANCORP (USBCFEDMCG)	030	ULTA	S	386	63.03	n/a	n/a	17.37 4.5
AO,	09/30	NUVEEN - US BANCORP (USBCSCHULZ)	030	ULTA	S	110	63.03	n/a	n/a	4.95 4.5
AO,CXL	09/30	NUVEEN - US BANCORP (USBCFSCAX)	030	ULTA	S	33,251	63.03	n/a	n/a	1496.30 4.5
AO,	09/30	NUVEEN - US BANCORP (USBCSIMS)	030	ULTA	S	4,603	63.03	n/a	n/a	207.14 4.5
AO,	09/30	NUVEEN - US BANCORP (USBCFRSLX)	030	ULTA	S	26,542	63.03	n/a	n/a	1194.39 4.5
AO,	09/30	NUVEEN - US BANCORP (USBCCTAMCG)	030	ULTA	S	1,059	63.03	n/a	n/a	47.66 4.5
AO,	10/04	PHILADELPHIA FINANCIAL (PHILFCMNFS)	033	USB	B	11,349	22.28	n/a	n/a	453.96 4.0
AO,	10/04	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	USB	B	65,779	22.28	n/a	n/a	2631.16 4.0
TOTAL (AO, CXL, CRT) :										10,183.03

TOTAL (Trade Date):

129,733.34

TOTAL (AO, CXL, CRT):

10,183.03

TOTAL (RUN DATE) / NFS:

139,916.37

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