



## Daily Compliance Activity Report

Trade Date: 10/16/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACE	B	150	78.85	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	ACN	B	55	70.60	n/a	n/a	2.20	4.0
SYMPHONY ASSET	033	AES	C	34,560	10.97	n/a	n/a	1,036.80	0.0
PARKWEST	084	AH	SS	25,000	12.19	n/a	n/a	750.00	3.0
FRONTIER	029	ALTR	B	83,590	33.42	n/a	n/a	3,343.60	0.0
BALYASNY ASSET MGMT	044	ARCO	C	79,632	15.19	n/a	4-Oct	3,981.60	0.0
PERIMETER	273	ARRY	B	25,125	5.07	n/a	n/a	753.75	0.0
BRIGADE CAPITAL MGMT	029	BYD	SS	50,000	6.53	n/a	n/a	1,500.00	0.0
IRIDIAN ASSET MGMT.	036	CCK	S	49,760	37.32	n/a	n/a	2,488.00	0.0
BAIRD INVESTMENT	047	CLR	B	2,100	79.11	n/a	n/a	105.00	0.0
DELTEC ASSET MGMT.	040	COF	B	5,000	57.96	n/a	15-Oct	250.00	5.0
RAINIER INV MGMT	035	CRZO	B	26,880	25.77	n/a	n/a	1,075.20	0.0
BESSEMER INVESTMENT	085	C	B	285	37.03	n/a	16-Oct	11.40	4.0
CAISSE DEPOT PLACEMENT Q	295	C	B	20,000	37.09	n/a	16-Oct	800.00	4.0
HARVEST MGMT (JMP)	029	DLTR	SS	15,000	41.22	n/a	12-Oct	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	DLTR	B	60,000	40.50	n/a	12-Oct	1,800.00	3.0
BESSEMER INVESTMENT	085	DTE	B	80	60.75	n/a	n/a	3.20	4.0
LOMAS CAPITAL	040	DTV	B	65,100	50.71	n/a	n/a	1,953.00	3.0
RAINIER INV MGMT	035	ECL	B	96,860	68.63	n/a	12-Oct	3,874.40	0.0
MACELLUM CAPITAL	086	EXPR	B	20,000	11.66	n/a	n/a	600.00	3.0
HARVEST MGMT (JMP)	029	FDO	B	10,000	67.88	n/a	4-Oct	400.00	4.0
ROYCE TRADING	031	FINL	B	20,087	21.12	n/a	28-Sep	1,004.35	0.0
RAINIER INV MGMT	035	FIO	B	76,590	30.01	n/a	n/a	3,063.60	0.0
BRONSON POINT	036	GE	B	100,000	22.64	n/a	n/a	3,000.00	0.0
OZ MGMT	040	GS	SS	35,000	122.48	n/a	5-Oct	1,050.00	0.0
ROXBURY CAPITAL MGMT	035	HBI	B	52,270	33.27	n/a	1-Aug	1,568.10	0.0
BESSEMER INVESTMENT	085	IBM	B	75	210.38	n/a	n/a	3.00	4.0
BALYASNY ASSET MGMT	044	IP	S	50,000	38.15	n/a	15-Oct	2,500.00	0.0
J. GOLDMAN	028	IP	S	25,000	38.11	n/a	15-Oct	1,000.00	4.0
Ñ Nilsa Vazquez		IVR	S	1000	26.2690	n/a	n/a	0.00	0.0
T. ROWE PRICE	033	KORS	B	41,700	56.57	n/a	n/a	1,668.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	KO	B	60,000	37.73	n/a	16-Oct	1,800.00	3.0
SIGMA CAPITAL ASSOCIATES	041	KR	B	25,000	24.00	n/a	n/a	875.00	3.5
CAERUS GLOBAL	041	KSS	S	36,569	52.39	n/a	5-Oct	1,462.76	4.0
SCOPUS FUND	041	KSS	B	100,000	52.41	n/a	5-Oct	4,000.00	0.0
SIMMONS VENTURES	041	KSS	B	5,000	52.29	n/a	5-Oct	200.00	4.0
CORVEX CAPITAL	041	LNG	B	75,000	15.83	n/a	n/a	2,250.00	0.0
JET CAPITAL/CHRIS	041	LNG	B	100,000	15.86	n/a	n/a	3,000.00	0.0
HOPLITE MGMT	025	LPX	C	22,317	14.46	n/a	15-Oct	892.68	0.0
DISIPLINED GROWTH INV.	030	LTD	S	7,200	49.11	n/a	n/a	360.00	0.0
OSKIE CAPITAL MGMT	224	MUR	B	35,000	62.51	n/a	n/a	1,750.00	5.0
GLG PARTNERS	034	M	S	31,728	40.39	n/a	5-Oct	951.84	3.0
BESSEMER INVESTMENT	085	NEM	B	115	55.91	n/a	n/a	4.60	4.0
CORNERSTONE	030	NKE	B	1,942	97.16	n/a	28-Sep	58.26	0.0
MERRILL ASSET/BLACKROCK	297	PACW	S	4,634	21.87	n/a	n/a	185.36	0.0
OHIO PERS	047	PG	B	11,000	69.01	n/a	1-Oct	330.00	0.0
CR INTRINIC INVESTMENT	044	PKG	B	25,000	36.09	n/a	16-Oct	875.00	3.5
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	36.22	n/a	16-Oct	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	PKG	S	50,580	36.49	n/a	16-Oct	2,529.00	0.0
RIVERPARK CAPITAL	025	RATE	B	13,130	10.65	n/a	n/a	656.50	5.0
DISIPLINED GROWTH INV.	030	RCL	S	5,900	31.11	n/a	n/a	295.00	0.0
CAISSE DEPOT PLACEMENT Q	295	RFMD	B	50,000	3.62	n/a	n/a	2,500.00	5.0
CASTLEROCK	040	RL	B	4,944	162.80	n/a	9-Aug	197.76	4.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	15,000	48.56	n/a	15-Oct	750.00	5.0
CASTLEROCK	040	STX	B	20,500	28.87	n/a	n/a	820.00	4.0
FIRST NEW YORK NICK	029	S	B	10,000	5.69	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	TGT	B	135	62.97	n/a	4-Oct	5.40	4.0
LOMAS CAPITAL	040	THO	B	60,000	37.38	n/a	n/a	1,800.00	3.0
DISIPLINED GROWTH INV.	030	TJX	S	12,200	43.01	n/a	5-Oct	610.00	0.0
BESSEMER INVESTMENT	085	TMO	B	100	60.42	n/a	n/a	4.00	4.0
ROYAL CAPITAL MGMT	070	VZ	SS	168,710	44.14	n/a	n/a	8,435.50	0.0
HOPLITE MGMT	025	WY	B	19,333	27.41	n/a	15-Oct	773.32	0.0
BESSEMER INVESTMENT	085	ZMH	B	215	64.01	n/a	n/a	8.60	4.0

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**TOTAL (Trade Date):**

**80,071.78**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/11	OMEGA ADVISORS (OMGARUSS)	041	S	B	13,600	5.69	n/a	n/a	340.00 2.5
AO,CXL	10/11	OMEGA ADVISORS (OMGASSTRAU)	041	S	B	13,600	5.69	n/a	n/a	340.00 2.5
AO,CXL	10/15	COBALT (COBAGS)	041	UAL	B	176,302	20.34	n/a	n/a	7052.08 0.0
AO,CRT	10/15	COBALT (COBAGS)	041	UAL	B	3,900	20.34	n/a	n/a	156.00 4.0
AO,CXL	10/15	COBALT (COBAUBS)	041	UAL	B	23,698	20.34	n/a	n/a	947.92 0.0
AO,CRT	10/15	COBALT (COBAUBS)	041	UAL	B	196,100	20.34	n/a	n/a	7844.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	80,071.78
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>80,071.78</b>
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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