



# Daily Compliance Activity Report

Trade Date: 10/01/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>Õ Alkesh Shah</b>		<b>AAPL</b>	<b>S</b>	<b>10671.0000</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	AAP	S	5,602	67.96	n/a	n/a	224.08	0.0
BESSEMER INVESTMENT	085	ACE	B	200	76.90	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	ACN	B	300	69.93	n/a	n/a	12.00	4.0
TUDOR INVESTORS	028	ADT	S	25,000	35.95	n/a	n/a	750.00	3.0
EVERGREEN	047	AMTD	B	19,300	15.46	n/a	n/a	772.00	0.0
CAPITAL GROWTH MGMT.	241	AMT	S	20,000	71.06	n/a	n/a	1,000.00	5.0
<b>Õ Manny Korman</b>		<b>ARR</b>	<b>B</b>	<b>1000</b>	<b>7.6800</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	AVGO	B	250	35.11	n/a	n/a	10.00	4.0
GEORGE WEISS	034	AXL	S	5,000	11.70	n/a	1-Oct	200.00	0.0
MILLENIUM SUB A/C NEW VERNON085		AXL	B	50,824	11.60	n/a	1-Oct	2,541.20	0.0
MILLRACE FUND LP	028	AXL	B	5,000	11.54	n/a	1-Oct	200.00	4.0
CAPITAL GROWTH MGMT.	241	BAC	B	200,000	9.06	n/a	26-Sep	4,000.00	2.0
CAERUS GLOBAL	041	BBY	S	20,000	17.12	n/a	n/a	800.00	4.0
CATAPULT	040	BC	SS	8,712	22.56	n/a	n/a	348.48	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	BGC	B	1,111	30.09	n/a	n/a	44.44	0.0
BTG PACTUAL	040	CAKE	SS	15,000	35.69	n/a	26-Jul	450.00	3.0
<b>Õ Alkesh Shah</b>		<b>CAT</b>	<b>S</b>	<b>15</b>	<b>86.5900</b>	<b>n/a</b>	<b>11-Jul</b>	<b>0.00</b>	<b>0.0</b>
CAERUS GLOBAL	041	CMG	B	250	321.00	n/a	20-Jul	10.00	4.0
CATAPULT	040	CMI	B	4,000	92.58	n/a	11-Jul	160.00	0.0
BESSEMER INVESTMENT	085	COH	B	300	55.76	n/a	1-Aug	12.00	4.0
BESSEMER INVESTMENT	085	COH	S	25	55.75	n/a	1-Aug	1.00	4.0
BESSEMER INVESTMENT	085	COP	B	200	57.76	n/a	n/a	8.00	4.0
GEORGE WEISS	034	CP	B	2,400	83.33	n/a	n/a	96.00	0.0
<b>Õ Alkesh Shah</b>		<b>CSCO</b>	<b>S</b>	<b>35</b>	<b>19.2200</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	CTL	B	400	40.18	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	CTL	S	25	40.17	n/a	n/a	1.00	4.0
BESSEMER INVESTMENT	085	C	B	3,000	33.48	n/a	1-Oct	120.00	4.0
LOMAS CAPITAL	040	DAL	B	248,046	9.34	n/a	n/a	7,441.38	3.0
<b>Õ Alkesh Shah</b>		<b>DELL</b>	<b>S</b>	<b>35</b>	<b>9.8801</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Alkesh Shah</b>		<b>DELL</b>	<b>S</b>	<b>5</b>	<b>9.8850</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	DG	B	25,000	51.61	n/a	5-Sep	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	DHR	S	48,413	56.27	n/a	n/a	1,936.52	0.0
VERITION	028	DHR	B	5,000	56.22	n/a	n/a	150.00	3.0
CATAPULT	040	DNKN	SS	11,876	29.22	n/a	n/a	475.04	0.0
BESSEMER INVESTMENT	085	DTE	B	300	60.05	n/a	n/a	12.00	4.0
CHESAPEAKE PARTNERS	028	DTG	S	40,000	87.08	n/a	n/a	1,200.00	3.0
Õ Alkesh Shah		EBAY	S	26	48.6601	n/a	n/a	0.00	0.0
Õ Alkesh Shah		EBAY	S	4	48.6800	n/a	n/a	0.00	0.0
LOMAS CAPITAL	040	EQR	S	14,617	57.55	n/a	n/a	438.51	3.0
BESSEMER INVESTMENT	085	EXC	B	300	35.67	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	FCX	B	200	40.27	n/a	n/a	8.00	4.0
FORWARD MGMT	033	FOLD	S	11,679	5.18	n/a	n/a	467.16	0.0
CAPITAL RESEARCH GROUP		296	FRX	B	125,000	36.00	n/a	1-Oct	4,375.00 0.0
BESSEMER INVESTMENT	085	GD	B	100	67.58	n/a	27-Jul	4.00	4.0
MATRIX ASSET ADV.	091	GLW	S	4,000	13.18	n/a	1-Oct	120.00	3.0
ROSEDALE CAPITAL	046	GM	B	20,000	23.21	n/a	1-Oct	1,000.00	5.0
TEMAGAMI CAPITAL	041	GM	B	37,200	23.08	n/a	1-Oct	1,488.00	4.0
GEORGE WEISS	034	GNK	B	10,000	3.62	n/a	n/a	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Alkesh Shah		GOOG	S	2759.1600		n/a	n/a	0.00	0.0
FORWARD MGMT	033	HME	S	5,000	60.17	n/a	n/a	200.00	0.0
GEORGE WEISS	034	HON	B	2,500	60.87	n/a	12-Sep	100.00	0.0
FORWARD MGMT	033	HOS	S	15,000	37.12	n/a	n/a	600.00	0.0
Õ Alkesh Shah		HPQ	S	22 17.2200		n/a	n/a	0.00	0.0
Õ Alkesh Shah		HPQ	S	3 17.2250		n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	S	36,200	14.16	n/a	n/a	1,086.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.63	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	IBM	B	100	211.08	n/a	n/a	4.00	4.0
SCOPUS FUND	041	IP	B	15,000	36.65	n/a	24-Sep	600.00	4.0
GEORGE WEISS	034	JBHT	SS	9,000	52.24	n/a	n/a	270.00	0.0
BESSEMER INVESTMENT	085	JNJ	B	400	69.27	n/a	n/a	16.00	4.0
SIMMONS VENTURES	041	JNY	SS	10,000	13.00	n/a	26-Jul	400.00	4.0
BALYASNY ASSET MGMT	044	JWN	B	30,000	55.66	n/a	28-Sep	1,500.00	0.0
J. GOLDMAN	028	JWN	B	10,000	55.67	n/a	28-Sep	400.00	4.0
CYRUS CAPITAL	025	KRO	SS	32,000	14.88	n/a	n/a	960.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	LOW	B	700	30.24	n/a	20-Aug	28.00	4.0
LOMAS CAPITAL	040	LOW	B	57,614	30.36	n/a	20-Aug	1,728.42	3.0
KLEINHEINZ CAP PART	031	LULU	SS	20,000	73.55	n/a	10-Sep	1,000.00	5.0
BESSEMER INVESTMENT	085	MHP	B	300	54.86	n/a	n/a	12.00	4.0
BOW STREET LLC	044	MLI	B	6,900	46.38	n/a	1-Oct	276.00	4.0
M&I FUNDS	047	MLI	B	9,422	47.06	n/a	1-Oct	376.88	4.0
LATEEF MGMT	035	MMM	S	1,000	93.47	n/a	1-Oct	100.00	10.0
BESSEMER INVESTMENT	085	MRO	B	500	30.00	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	800	29.63	n/a	n/a	32.00	4.0
NEWLAND CAPITAL MGT	025	MSM	B	25,000	67.55	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	M	B	500	38.63	n/a	28-Sep	20.00	4.0
BESSEMER INVESTMENT	085	M	S	25	38.62	n/a	28-Sep	1.00	4.0
J. GOLDMAN	028	M	S	25,000	38.54	n/a	28-Sep	1,000.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	M	B	35,000	38.56	n/a	28-Sep	1,050.00	3.0
SCOPUS FUND	041	M	B	15,000	38.84	n/a	28-Sep	600.00	4.0
BESSEMER INVESTMENT	085	NEM	S	790	56.50	n/a	n/a	31.60	4.0
VISIUM/BALY BOBBY	044	NEM	S	15,000	56.12	n/a	n/a	750.00	0.0
APEX CAPITAL MGMT.	261	NFLX	B	100,000	56.11	n/a	n/a	4,000.00	0.0
Õ Alkesh Shah		NKE	S	20	94.6700	n/a	28-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	PG	S	1,000	69.52	n/a	1-Oct	100.00	10.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>PG</b>	<b>S</b>	<b>500</b>	<b>69.55</b>	<b>n/a</b>	<b>1-Oct</b>	<b>20.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	PG	S	30,077	69.56	n/a	1-Oct	1,203.08	0.0
CHESAPEAKE PARTNERS	028	PHH	S	11,300	20.78	n/a	n/a	339.00	3.0
CAPITAL GROWTH MGMT.	241	PII	S	20,000	80.95	n/a	n/a	1,000.00	5.0
IRIDIAN ASSET MGMT.	036	PNR	S	207,670	43.27	n/a	n/a	10,383.50	0.0
ENTRUST CAPITAL	040	QCOR	SS	19,289	18.34	n/a	n/a	964.45	5.0
CAPITAL GROWTH MGMT.	241	RDN	S	150,000	4.35	n/a	n/a	4,500.00	0.0
PERIMETER	273	SFLY	B	12,830	30.16	n/a	n/a	513.20	0.0
FORWARD MGMT	033	SKS	S	40,000	10.22	n/a	n/a	1,600.00	0.0
BESSEMER INVESTMENT	085	STX	B	300	30.99	n/a	n/a	12.00	4.0
LOMAS CAPITAL	040	THO	B	48,012	36.31	n/a	n/a	1,440.36	3.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	25,000	45.40	n/a	28-Sep	875.00	3.5
BESSEMER INVESTMENT	085	TMO	B	150	59.65	n/a	n/a	6.00	4.0
NEWLAND CAPITAL MGT	025	TPLM	S	10,000	7.52	n/a	n/a	300.00	3.0
LATEEF MGMT	035	TRV	S	1,000	69.12	n/a	n/a	100.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOUT/UMB	047	TRW	S	31,451	47.42	n/a	n/a	943.53	0.0
VERITION	028	TRW	B	5,000	46.59	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	TYC	B	10,000	28.03	n/a	3-Aug	300.00	3.0
BESSEMER INVESTMENT	085	UNH	B	400	56.29	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	UNH	S	25	56.27	n/a	n/a	1.00	4.0
FORWARD MGMT	033	VMI	B	5,000	131.39	n/a	n/a	200.00	0.0
BESSEMER INVESTMENT	085	WM	B	400	31.84	n/a	n/a	16.00	4.0
BOW STREET LLC	044	WRC	B	10,000	51.30	n/a	7-Aug	400.00	4.0
BESSEMER INVESTMENT	085	WU	B	800	18.20	n/a	n/a	32.00	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	B	10,000	63.34	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	400	68.80	n/a	n/a	16.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>76,279.83</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/28	ADAGE CAPITAL MGMT (ADAGESHORT)	030	FHN	SS	135,000	9.68	n/a	n/a	4050.00 3.0
AO,CXL	09/28	ADAGE CAPITAL MGMT (ADAGLONG)	030	FHN	SS	135,000	9.68	n/a	n/a	4050.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	76,279.83
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>76,279.83</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