



Daily Compliance Activity Report

Trade Date: 01/04/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ALL	S	976	27.74	n/a	n/a	39.04	4.0
BESSEMER INVESTMENT	085	APA	S	1,000	95.74	n/a	22-Dec	40.00	4.0
FIRST NY SEC/CHRIS	041	ARO	B	4,264	15.11	n/a	n/a	127.92	3.0
TRELLUS PARTNERS LP	028	AXL	SS	5,000	10.68	n/a	31-Oct	150.00	3.0
BALYASNY ASSET MGMT	044	BWA	SS	20,000	66.04	n/a	9-Nov	1,000.00	5.0
BESSEMER INVESTMENT	085	CBSH	S	1,030	38.31	n/a	n/a	41.20	4.0
PATTEN & PATTEN	025	CBT	B	1,000	33.40	n/a	12-Dec	50.00	5.0
ROARING BLUE LION MGMT	031	CROX	B	19,200	15.92	n/a	n/a	768.00	4.0
HAMILTON CAP PART FIN	031	C	B	43,000	28.12	n/a	4-Jan	1,720.00	4.0
COBALT	041	DAN	B	100,000	12.69	n/a	1-Dec	4,000.00	4.0
CIRCLE T/SES PART	033	DKS	SS	5,000	35.83	n/a	4-Jan	200.00	4.0
MAIRS AND POWER INV	030	ECL	S	10,000	57.83	n/a	3-Jan	500.00	5.0
SCOUT/UMB	047	EXPE	B	7,625	28.93	n/a	n/a	305.00	4.0
ROARING BLUE LION MGMT	031	FL	B	20,500	24.17	n/a	18-Nov	820.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	288	FL	B	47,400	24.10	n/a	18-Nov	1,896.00	4.0
OZ MGMT	040	F	SS	275,000	11.41	n/a	3-Jan	8,250.00	3.0
PILOT ADV	041	F	B	17,100	11.42	n/a	3-Jan	513.00	3.0
BESSEMER INVESTMENT	085	GCI	S	1,340	13.81	n/a	n/a	53.60	4.0
BESSEMER INVESTMENT	085	GE	S	1,100	18.34	n/a	n/a	44.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GM	B	7,825	21.17	n/a	3-Jan	0.00	0.0
OZ MGMT	040	GM	C	88,974	21.15	n/a	3-Jan	2,669.22	3.0
OZ MGMT	040	GM	SS	150,000	21.00	n/a	3-Jan	4,500.00	3.0
DEVENNY CAP LLC	044	GPI	B	1,800	49.69	n/a	4-Jan	54.00	3.0
BALLAST CAP	040	HBI	B	11,000	22.60	n/a	30-Nov	550.00	5.0
MERRILL ASSET/BLACKROCK	297	HFC	S	6,000	25.32	n/a	n/a	240.00	4.0
SIMMONS VENTURES	041	HWD	B	10,000	11.09	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	INTC	S	1,200	24.72	n/a	n/a	48.00	4.0
MOORE CAPITAL	041	IWM	C	50,000	74.60	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	JCI	SS	50,000	32.60	n/a	4-Jan	2,500.00	5.0
BESSEMER INVESTMENT	085	JCI	S	1,200	32.29	n/a	4-Jan	48.00	4.0
PATTEN & PATTEN	025	JCI	B	1,000	32.62	n/a	4-Jan	50.00	5.0
BRIGADE CAPITAL MGMT	029	JCP	SS	125,000	34.54	n/a	3-Jan	3,750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	JCP	B	46,567	34.73	n/a	3-Jan	1,862.68	4.0
FIRST NY SEC/CHRIS	041	JNY	S	20,000	10.01	n/a	27-Oct	600.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	KSS	S	71,700	47.09	n/a	3-Jan	2,868.00	4.0
BRONSON POINT	036	LMT	C	10,000	80.78	n/a	5-Dec	300.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	M	B	5,000	32.63	n/a	3-Jan	250.00	5.0
SONTERRA CAP	041	NOC	B	20,000	58.44	n/a	21-Nov	800.00	4.0
NICOLAS APPELGATE	084	NP	S	8,500	22.43	n/a	3-Jan	340.00	4.0
MERRILL ASSET/BLACKROCK	297	OAS	S	31,900	32.82	n/a	n/a	1,276.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	10,000	31.08	n/a	6-Dec	500.00	5.0
DEVENNY CAP LLC	044	RKT	B	7,500	58.05	n/a	10-Nov	225.00	3.0
BALYASNY ASSET MGMT	044	SBUX	S	10,000	46.27	n/a	11-Nov	500.00	5.0
ROARING BLUE LION MGMT	031	SSI	B	27,400	14.13	n/a	n/a	1,096.00	4.0
BAIRD INVESTMENT	047	SWN	S	6,685	32.53	n/a	22-Dec	334.25	5.0
BESSEMER INVESTMENT	085	TGT	S	1,000	51.01	n/a	3-Jan	40.00	4.0
CAMBIAR CAP	046	TGT	B	83,255	49.82	n/a	3-Jan	3,330.20	4.0
DECADE CAPITAL PARTNERS	040	TGT	B	19,600	50.33	n/a	3-Jan	784.00	4.0
RIDGECREST INV MGMT LLC	028	TGT	S	12,500	49.64	n/a	3-Jan	625.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LORD ABBETT & COMPANY	098	TIN	S	137,009	31.71	n/a	19-Oct	4,110.27	3.0
EPOCH INV MGMT	030	TSM	B	2,600	13.14	n/a	n/a	78.00	3.0
BESSEMER INVESTMENT	085	TXN	S	1,100	29.45	n/a	n/a	44.00	4.0
ROTHSCHILD ASSET	040	WLL	B	43,672	50.06	n/a	n/a	1,746.88	4.0
DECADE CAPITAL PARTNERS	040	WMT	SS	16,600	59.68	n/a	16-Nov	664.00	4.0
TOTAL (Trade Date):								59,201.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/30	PATTEN & PATTEN (PATTMERR)	025	CBT	B	200	32.24	n/a	12-Dec	10.00 5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	025	CBT	B	200	32.24	n/a	12-Dec	10.00 5.0
AO,CXL	12/28	PATTEN & PATTEN (PATTMERR)	025	XLS	S	300	9.25	n/a	n/a	15.00 5.0
AO,CRT	12/28	PATTEN & PATTEN (PATTSCHWAB)	025	XLS	S	300	9.25	n/a	n/a	15.00 5.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	59,201.26
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	59,201.26
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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