

Daily Compliance Activity Report Trade Date: 09/19/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price		MRI	Research	Comm.	¢/Shr.	
BESSEMER INVESTMENT	085	AGII	S	949	31.44		n/a	n/a	37.96	4.0	
SUFFOLK CAPITAL MGMT	040	ARIA	S	11,400	23.79		n/a	n/a	342.00	0.0	
CATAPULT CAP/DEFRANCO	040	ASH	В	15,977	75.68		n/a	7-Sep	639.08	0.0	
ARSENAL ASSET MANAGEMENT	028	AXL	В	15,000	12.01		n/a	30-Jul	600.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	BZH	S 25	50,000	3.64		n/a	n/a 7,	500.00	3.0
SAGE ASSET MGMT	025	BZ	S	32,100	8.44		n/a	n/a	1,605.00	5.0	
TRUST CO/COWEN/CALF.	040	CBS	S	88,600	37.00		n/a	n/a	4,430.00	0.0	
T. ROWE PRICE	033	СОН	S	45,000	60.09		n/a	1-Aug	1,800.00	0.0	
PALESTRA	040	CVC	S	19,000	16.63		n/a	n/a	950.00	5.0	
TUDOR INVESTORS	028	DAN	В	30,000	13.39		n/a	27-Jul	900.00	3.0	
BESSEMER INVESTMENT	085	DHR	S	500	55.65		n/a	n/a	20.00	4.0	
CORNERSTONE	030	DKS	В	50,000	53.93		n/a	17-Sep	1,500.00	0.0	
M&I FUNDS	047	DKS	S	4,518	53.51		n/a	17-Sep	180.72	4.0	
CAISSE DEPOT PLACEMENT Q	295	DLLR	В	4,869	17.59		n/a	n/a	146.07	3.0	
BESSEMER INVESTMENT	085	DRI	S	625	54.89		n/a	18-Sep	25.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BESSEMER INVESTMENT	085	EMR	S	200	50.69	n/a	n/a	8.00	4.0
SUN AMERICA ASSET MGMT	030	EXPR	В	14,000	16.30	n/a	n/a	560.00	0.0
ROSEDALE CAPITAL	046	FB	S	15,000	22.44	n/a	n/a	750.00	5.0
TUDOR INVESTORS	028	FDX	В	5,000	87.04	n/a	n/a	150.00	3.0
BTG PACTUAL	040	FINL	В	10,000	23.20	n/a	22-Aug	300.00	3.0
CENTURION PARTNERS	041	GM	В	20,000	24.81	n/a	18-Sep	800.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	S	20,000	25.12	n/a	18-Sep	600.00	0.0
OZ MGMT	040	GM	В	50,000	25.12	n/a	18-Sep	1,500.00	0.0
J. GOLDMAN	028	GPS	SS	15,000	35.95	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	GS	S	1,475	119.65	n/a	14-Sep	59.00	4.0
BESSEMER INVESTMENT	085	G	S	1,673	47.03	n/a	n/a	66.92	4.0
ARSENAL ASSET MANAGEMENT	028	HUBB	В	5,000	80.93	n/a	n/a	200.00	0.0
ARMATURE CAPITAL	041	IP	В	30,000	34.20	n/a	20-Aug	1,200.00	0.0
BESSEMER INVESTMENT	085	IP	S	150	34.17	n/a	20-Aug	6.00	4.0
CATAPULT CAP/DEFRANCO	040	IP	В	28,970	34.14	n/a	20-Aug	1,158.80	0.0
CSFB GLOBAL PROPRIETARY	041	IP	В	95,000	34.15	n/a	20-Aug	4,750.00	5.0
BESSEMER INVESTMENT	085	JCI	S	100	29.02	n/a	20-Jul	4.00	4.0
TUDOR INVESTORS	028	JCI	В	10,000	28.68	n/a	20-Jul	300.00	3.0

Account	"										
	RR #	Symbol	B/S	Shares	Price		MRI	Research	Comm.¢	/Shr.	
BESSEMER INVESTMENT	085	JPM	S	963	41.45		n/a	17-Sep	38.52	4.0	
BALLAST CAP	040	KBR	S	6,000	31.16		n/a	n/a	300.00	5.0	
CENTURION PARTNERS	041	KFT	В	10,000	40.73		n/a	n/a	400.00	4.0	
PALESTRA	040	LAMR	В	26,000	33.19		n/a	n/a	1,300.00	5.0	
PALESTRA	040	LBTYA	В	9,000	57.38		n/a	n/a	450.00	5.0	
BESSEMER INVESTMENT	085	LNC	S	1,808	25.17		n/a	n/a	72.32	4.0	
TUDOR INVESTORS	028	MGA	SS	5,000	46.07		n/a	n/a	150.00	3.0	
DISIPLINED GROWTH INV.	030	MIDD	S	3,000	116.93		n/a	n/a	150.00	0.0	
CSFB GLOBAL PROPRIETARY	041	MWV	В	15,000	30.34		n/a	25-Jul	750.00	5.0	
BALYASNY ASSET MGMT	044	М	В	30,000	38.71		n/a	31-Aug	1,500.00	0.0	
CAPITAL RESEARCH GROUP		296	NKE	В 15	3,900	99.96		n/a	22-Aug 5,3	86.51	0.0
SUFFOLK CAPITAL MGMT	040	OAS	В	4,926	30.73		n/a	n/a	197.04	0.0	
ROTHSCHILD ASSET	040	OSIS	S	10,052	76.46		n/a	n/a	402.08	0.0	
TUDOR INVESTORS	028	PCAR	SS	5,000	42.26		n/a	12-Sep	150.00	3.0	
TUDOR INVESTORS	028	PCL	S	10,000	43.77		n/a	1-Aug	300.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BESSEMER INVESTMENT	085	PG	S	425	69.43	n/a	18-Sep	17.00	4.0
TUDOR INVESTORS	028	RBC	SS	5,000	72.96	n/a	n/a	150.00	3.0
NORTHWESTERN MUTUAL LIFE	047	RHI	S	125,877	26.94	n/a	n/a	5,035.08	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	В	8,000	66.26	n/a	20-Aug	400.00	5.0
ELM RIDGE ADVISORS	044	SWY	S	70,000	16.43	n/a	n/a	2,800.00	0.0
ARSENAL ASSET MANAGEMENT	028	TEX	В	10,000	24.73	n/a	n/a	400.00	0.0
TUDOR INVESTORS	028	TGI	В	5,000	60.55	n/a	n/a	150.00	3.0
DISIPLINED GROWTH INV.	030	TJX	S	32,400	45.26	n/a	31-Aug	1,620.00	0.0
DEVENNY CAP LLC/MILLENIUM	044	TRQ	S	30,000	9.78	n/a	n/a	900.00	0.0
TUDOR INVESTORS	028	TRW	В	5,000	46.95	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	т	S	616	37 76	n/a	n/a	24 64	4.0
CENTURION PARTNERS	041	T	S	20,000	37.58	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	UPS	SS	5,000	74.77	n/a	n/a	150.00	3.0
SUFFOLK CAPITAL MGMT	040	URI	S	24,500	37.22	n/a	17-Apr	980.00	0.0
BESSEMER INVESTMENT	085	UTX	S	250	81.36	n/a	n/a	10.00	4.0
TUDOR INVESTORS	028	VAL	S	10,000	58.01	n/a	n/a	300.00	3.0
	BESSEMER INVESTMENT TUDOR INVESTORS NORTHWESTERN MUTUAL LIFE CSFB GLOBAL PROPRIETARY ELM RIDGE ADVISORS ARSENAL ASSET MANAGEMENT TUDOR INVESTORS DISIPLINED GROWTH INV. DEVENNY CAP LLC/MILLENIUM TUDOR INVESTORS BESSEMER INVESTMENT CENTURION PARTNERS TUDOR INVESTORS SUFFOLK CAPITAL MGMT BESSEMER INVESTMENT	BESSEMER INVESTMENT 085 TUDOR INVESTORS 028 NORTHWESTERN MUTUAL LIFE 047 CSFB GLOBAL PROPRIETARY 041 ELM RIDGE ADVISORS 044 ARSENAL ASSET MANAGEMENT 028 TUDOR INVESTORS 028 DISIPLINED GROWTH INV. 030 DEVENNY CAP LLC/MILLENIUM 044 TUDOR INVESTORS 028 BESSEMER INVESTMENT 085 CENTURION PARTNERS 041 TUDOR INVESTORS 028 SUFFOLK CAPITAL MGMT 040 BESSEMER INVESTMENT 040	BESSEMER INVESTMENT 085 PG TUDOR INVESTORS 028 RBC NORTHWESTERN MUTUAL LIFE 047 RHI CSFB GLOBAL PROPRIETARY 041 RKT ELM RIDGE ADVISORS 044 SWY ARSENAL ASSET MANAGEMENT 028 TEX TUDOR INVESTORS 028 TGI DISIPLINED GROWTH INV. 030 TJX DEVENNY CAP LLC/MILLENIUM 044 TRQ TUDOR INVESTORS 028 TRW BESSEMER INVESTMENT 085 T CENTURION PARTNERS 041 T TUDOR INVESTORS 028 UPS SUFFOLK CAPITAL MGMT 040 URI BESSEMER INVESTMENT 085 UTX	BESSEMER INVESTMENT 085 PG S TUDOR INVESTORS 028 RBC SS NORTHWESTERN MUTUAL LIFE 047 RHI S CSFB GLOBAL PROPRIETARY 041 RKT B ELM RIDGE ADVISORS 044 SWY S ARSENAL ASSET MANAGEMENT 028 TEX B TUDOR INVESTORS 028 TGI B DISIPLINED GROWTH INV. 030 TJX S DEVENNY CAP LLC/MILLENIUM 044 TRQ S TUDOR INVESTORS 028 TRW B BESSEMER INVESTMENT 085 T S CENTURION PARTNERS 041 T S TUDOR INVESTORS 028 UPS SS SUFFOLK CAPITAL MGMT 040 URI S BESSEMER INVESTMENT 085 UTX S	BESSEMER INVESTMENT 085 PG S 425 TUDOR INVESTORS 028 RBC SS 5,000 NORTHWESTERN MUTUAL LIFE 047 RHI S 125,877 CSFB GLOBAL PROPRIETARY 041 RKT B 8,000 ELM RIDGE ADVISORS 044 SWY S 70,000 ARSENAL ASSET MANAGEMENT 028 TEX B 10,000 TUDOR INVESTORS 028 TGI B 5,000 DISIPLINED GROWTH INV. 030 TJX S 32,400 DEVENNY CAP LLC/MILLENIUM 044 TRQ S 30,000 TUDOR INVESTORS 028 TRW B 5,000 BESSEMER INVESTMENT 085 T S 616 CENTURION PARTNERS 041 T S 20,000 TUDOR INVESTORS 028 UPS SS 5,000 SUFFOLK CAPITAL MGMT 040 URI S 24,500 BESSEMER INVESTMENT 085 UTX S 250	BESSEMER INVESTMENT 085 PG S 425 69.43 TUDOR INVESTORS 028 RBC SS 5,000 72.96 NORTHWESTERN MUTUAL LIFE 047 RHI S 125,877 26.94 CSFB GLOBAL PROPRIETARY 041 RKT B 8,000 66.26 ELM RIDGE ADVISORS 044 SWY S 70,000 16.43 ARSENAL ASSET MANAGEMENT 028 TEX B 10,000 24.73 TUDOR INVESTORS 028 TGI B 5,000 60.55 DISIPLINED GROWTH INV. 030 TJX S 32,400 45.26 DEVENNY CAP LLC/MILLENIUM 044 TRQ S 30,000 9.78 TUDOR INVESTORS 028 TRW B 5,000 46.95 BESSEMER INVESTMENT 085 T S 616 37.76 CENTURION PARTNERS 041 T S 20,000 37.58 TUDOR INVESTORS 028 UPS SS 5,000 74.77 SUFFOLK CAPITAL MGMT 040 URI S 24,500 37.22 BESSEMER INVESTMENT 085 UTX S 250 81.36	BESSEMER INVESTMENT 085 PG S 425 69.43 n/a TUDOR INVESTORS 028 RBC SS 5,000 72.96 n/a NORTHWESTERN MUTUAL LIFE 047 RHI S 125,877 26.94 n/a CSFB GLOBAL PROPRIETARY 041 RKT B 8,000 66.26 n/a ELIM RIDGE ADVISORS 044 SWY S 70,000 16.43 n/a ARSENAL ASSET MANAGEMENT 028 TEX B 10,000 24.73 n/a TUDOR INVESTORS 028 TGI B 5,000 60.55 n/a DISIPLINED GROWTH INV. 030 TJX S 32,400 45.26 n/a DEVENNY CAP LLC/MILLENIUM 044 TRQ S 30,000 9.78 n/a TUDOR INVESTORS 028 TRW B 5,000 46.95 n/a BESSEMER INVESTMENT 085 T S 616 37.76 n/a CENTURION PARTNERS 041 T S 20,000 37.58 n/a TUDOR INVESTORS 028 UPS SS 5,000 74.77 n/a SUFFOLK CAPITAL MGMT 040 URI S 24,500 37.22 n/a BESSEMER INVESTMENT 085 UTX S 250 81.36 n/a	BESSEMER INVESTMENT 085 PG S 425 69.43	BESSEMER INVESTMENT 085 PG S 425 69.43

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BESSEMER INVESTMENT	085	VNQI	S	500	52.46	n/a	n/a	20.00 4.0
BESSEMER INVESTMENT	085	VZ	S	975	45.25	n/a	n/a	39.00 4.0
CATAPULT	040	WAG	S	22,826	35.70	n/a	n/a	913.04 0.0
TUDOR INVESTORS	028	WBC	В	5,000	59.68	n/a	29-Aug	150.00 3.0
ARSENAL ASSET MANAGEMENT	028	WCC	В	5,000	62.60	n/a	n/a	200.00 0.0
TUDOR INVESTORS	028	WY	В	15,000	26.36	n/a	27-Jul	450.00 3.0
DEVENNY CAP LLC/MILLENIUM	044	X	В	5,000	20.88	n/a	n/a	150.00 0.0

TOTAL (Trade Date):

61,043.78

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
~~~	00/10		0.4.6			15 000	00.44	,	,	750.00	<b>5</b> 0
CRT	09/19	ROSEDALE CAPITAL (ROSEJPM)	046	FB	S	15,000	22.44	n/a	n/a	750.00	5.0
AO,	09/18	VISIUM/BALY BOBBY (VISBMSIL)	044	IP	В	3,198	34.11	n/a	20-Aug	159.90	0.0
AO,CXL	09/18	VISIUM/BALY BOBBY (VISBMSBOB)	044	IP	В	25,000	34.11	n/a	20-Aug	1250.00	0.0
AO,	09/18	VISIUM/BALY BOBBY (VISBMSBOB)	044	IP	В	21,802	34.11	n/a	20-Aug	1090.10	0.0
AO,	09/18	VISIUM/BALY BOBBY (VISBMSIL)	044	USG	В	1,279	23.40	n/a	1-Aug	63.95	0.0
AO,CXL	09/18	VISIUM/BALY BOBBY (VISBMSBOB)	044	USG	В	10,000	23.40	n/a	1-Aug	500.00	0.0
AO,	09/18	VISIUM/BALY BOBBY (VISBMSBOB)	044	USG	В	8,721	23.40	n/a	1-Aug	436.05	0.0

TOTAL (AO, CXL,	CRT):	750.00

## 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