



Daily Compliance Activity Report

Trade Date: 10/19/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AMP	S	420	42.44	n/a	n/a	16.80	4.0
SANDLER CAPITAL	028	ANR	SS	75,000	21.01	n/a	n/a	3,750.00	5.0
COUGAR TRADING	044	APC	B	10,000	79.33	n/a	12-Oct	500.00	5.0
COUGAR TRADING	044	APC	S	10,000	78.45	n/a	12-Oct	500.00	5.0
DSM CAPITAL PARTNERS	085	ARCO	B	6,375	22.83	n/a	17-Oct	318.75	5.0
PLATTE RIVER CAPITAL	240	ARCO	B	30,000	23.15	n/a	17-Oct	1,200.00	4.0
COUGAR TRADING	044	AXL	B	10,000	8.99	n/a	19-Oct	400.00	4.0
COUGAR TRADING	044	AXL	SS	10,000	9.16	n/a	19-Oct	400.00	4.0
BESSEMER INVESTMENT	085	AXP	S	27,316	46.74	n/a	19-Oct	1,092.64	4.0
RIDGECREST INV MGMT LLC	028	BIG	B	6,400	36.55	n/a	25-Aug	320.00	5.0
MERRILL ASSET/BLACKROCK	297	CBG	B	18,100	14.87	n/a	n/a	724.00	4.0
DSM CAPITAL PARTNERS	085	CHKP	S	4,125	59.61	n/a	n/a	206.25	5.0
SANDLER O'NEILL ASSET	031	C	S	85,000	30.15	n/a	18-Oct	1,700.00	2.0
SERENGETI MGMT	030	C	S	125,000	31.10	n/a	18-Oct	6,250.00	5.0
SCOPUS FUND	041	DG	B	25,000	40.18	n/a	19-Oct	1,000.00	4.0
CHART WELL ADV	028	DPZ	S	123,093	30.60	n/a	18-Oct	4,923.72	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	EL	SS	20,000	94.47	n/a	16-Aug	600.00	3.0
MOORE CAPITAL	041	EM	B	250,000	18.97	n/a	n/a	7,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	FINL	S	7,500	20.57	n/a	23-Sep	0.00	0.0
ROYCE TRADING	031	FINL	B	4,000	20.55	n/a	23-Sep	200.00	5.0
BESSEMER INVESTMENT	085	FIS	S	273	25.98	n/a	n/a	10.92	4.0
OZ MGMT	040	F	S	300,000	11.57	n/a	19-Oct	9,000.00	3.0
BESSEMER INVESTMENT	085	GOOG	S	1,741	589.44	n/a	n/a	69.64	4.0
MERRILL ASSET/BLACKROCK	297	HFC	S	4,800	34.61	n/a	n/a	192.00	4.0
SIMMONS VENTURES	041	HWD	B	20,000	11.02	n/a	n/a	800.00	4.0
MILLENNIUM-ANDEW	031	HYG	S	145,000	86.13	n/a	n/a	5,800.00	4.0
SIMMONS VENTURES	041	JNY	B	5,000	11.05	n/a	28-Jul	200.00	4.0
LATEFF MGMT	035	KMB	S	1,000	71.61	n/a	25-Jul	100.00	10.0
BESSEMER INVESTMENT	085	KO	S	1,500	67.60	n/a	19-Oct	60.00	4.0
BALLAST CAP	040	LTM	B	7,200	41.09	n/a	n/a	360.00	5.0
BESSEMER INVESTMENT	085	MA	S	2,658	340.00	n/a	13-Oct	106.32	4.0
CRAMER ROSENTHAL/SCOTT	070	MCP	C	10,800	37.78	n/a	n/a	432.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MET	S	16,083	32.35	n/a	n/a	643.32	4.0
OZ MGMT	040	MGA	C	43,620	36.30	n/a	n/a	1,308.60	3.0
Õ Abram Chappel		MTH	S	100	17.4190	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	OSIS	S	8,500	41.11	n/a	n/a	425.00	5.0
BESSEMER INVESTMENT	085	PCP	S	4,588	168.47	n/a	17-Oct	183.52	4.0
TRUSTCO/SUNTRUST	040	PEP	B	87,532	62.21	n/a	n/a	3,063.64	3.5
KACELA CAPITAL	034	PG	B	23,000	65.19	n/a	10-Oct	920.00	4.0
LATEFF MGMT	035	PG	S	1,500	64.75	n/a	10-Oct	150.00	10.0
ROYCE TRADING	031	PLCE	B	1,500	45.38	n/a	18-Aug	75.00	5.0
MERRILL ASSET/BLACKROCK	297	PRA	S	10,600	76.97	n/a	n/a	424.00	4.0
MERRILL ASSET/BLACKROCK	297	RLI	S	6,000	69.67	n/a	n/a	240.00	4.0
CATAPULT	040	SEE	SS	3,254	17.18	n/a	2-Jun	130.16	4.0
CATAPULT	040	SEE	S	21,746	17.25	n/a	2-Jun	869.84	4.0
Õ Abram Chappel		SPF	S	300	2.9611	n/a	n/a	0.00	0.0
Õ Abram Chappel		SPF	S	350	2.9640	n/a	n/a	0.00	0.0
FIRST NEW YORK NICK	029	S	B	10,000	2.80	n/a	n/a	500.00	5.0
OHIO PERS	047	TXT	B	199,000	18.95	n/a	n/a	5,970.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	T	S	2,000	29.18	n/a	n/a	80.00	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	11,800	30.46	n/a	12-Oct	472.00	4.0
RIDGECREST INV MGMT LLC	028	VRA	B	5,000	41.05	n/a	n/a	250.00	5.0
BESSEMER INVESTMENT	085	WFC	S	5,260	25.78	n/a	17-Oct	210.40	4.0
TOTAL (Trade Date) :								64,648.52	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	10/19	COUGAR TRADING (COUGPB MS)	044	APC	S	10,000	78.45	n/a 12-Oct	500.00 5.0

TOTAL (AO, CXL, CRT) :	500.00
-------------------------------	---------------

TOTAL (Trade Date) :	64,648.52
TOTAL (AO, CXL, CRT) :	500.00

TOTAL (RUN DATE) / NFS:	65,148.52
--------------------------------	------------------

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