



Daily Compliance Activity Report

Trade Date: 05/04/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALTHAZAR CAPITAL PARTNERS LTD085		ARCO	B	25,000	16.03	n/a	4-May	1,500.00	6.0
BALTHAZAR CAPITAL PARTNERS LTD085		ARCO	S	25,000	15.71	n/a	4-May	1,500.00	6.0
COUGAR TRADING	044	ARCO	S	15,000	14.96	n/a	4-May	750.00	5.0
TRELLUS PARTNERS LP	028	ARCO	B	40,000	15.40	n/a	4-May	1,200.00	3.0
MILLRACE FUND LP	028	ARG	S	7,594	91.94	n/a	3-May	303.76	4.0
BALYASNY ASSET MGMT	044	ASNA	B	20,000	21.59	n/a	n/a	1,000.00	5.0
SANDLER O'NEILL ASSET	031	BAC	B	25,000	7.77	n/a	3-May	750.00	3.0
PRIMECAP MGMT	084	BA	B	10,000	75.80	n/a	27-Apr	400.00	4.0
PATTEN & PATTEN	025	BBY	S	550	21.02	n/a	n/a	27.50	5.0
HOPLITE MGMT	025	BKE	C	4,758	43.60	n/a	n/a	190.32	4.0
SIMMONS VENTURES	041	BODY	B	10,000	15.93	n/a	n/a	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	CE	SS	5,000	46.34	n/a	20-May	150.00	3.0
Õ Ravi Sadarangani		CHS	S	100	15.3810	n/a	5-Feb	0.00	0.0
TUDOR INVESTORS	028	CROX	B	25,000	18.87	n/a	n/a	750.00	3.0
NEUBERGER BERMAN	036	CYBX	B	46,189	37.83	n/a	n/a	1,847.56	4.0
HIGHBRIDGE CAP	041	DAL	S	32,000	10.97	n/a	n/a	960.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	DAL	B	60,000	10.98	n/a	n/a	2,400.00	4.0
BESSEMER INVESTMENT	085	DIS	S	720	43.13	n/a	n/a	28.80	4.0
KLEINHEINZ CAP PART	031	DVN	S	50,000	65.11	n/a	1-May	2,500.00	5.0
BESSEMER INVESTMENT	085	ECL	S	450	63.61	n/a	1-May	18.00	4.0
PATTEN & PATTEN	025	EFG	B	200	56.59	n/a	n/a	10.00	5.0
OSKIE CAPITAL MGMT	224	ESRX	B	20,000	54.64	n/a	n/a	1,000.00	5.0
BESSEMER INVESTMENT	085	EXC	S	867	38.70	n/a	n/a	34.68	4.0
HIGHBRIDGE CAP	041	FDX	B	5,500	88.95	n/a	n/a	165.00	3.0
BRONSON POINT	036	F	S	250,000	10.69	n/a	2-May	7,500.00	3.0
OZ MGMT	040	F	B	310,095	10.77	n/a	2-May	9,302.85	3.0
OZ MGMT	040	GM	B	150,000	21.98	n/a	4-May	4,500.00	3.0
ARSENAL ASSET MANAGEMENT	028	HTZ	B	25,000	15.48	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	IP	S	700	32.19	n/a	27-Apr	28.00	4.0
PATTEN & PATTEN	025	IXN	B	200	67.27	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	IYG	B	150	53.86	n/a	n/a	7.50	5.0
BESSEMER INVESTMENT	085	JCI	S	400	31.79	n/a	27-Apr	16.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	JPM	S	450	41.99	n/a	3-May	18.00	4.0
MERRILL ASSET/BLACKROCK	297	LF	S	108,169	10.54	n/a	n/a	4,326.76	4.0
BESSEMER INVESTMENT	085	LOW	B	370	31.39	n/a	2-May	14.80	4.0
VERITION	028	LVS	B	5,000	54.56	n/a	13-Jun	150.00	3.0
BESSEMER INVESTMENT	085	MSFT	S	480	31.28	n/a	n/a	19.20	4.0
MTB INV ADV	034	MTW	S	101,873	12.87	n/a	18-Apr	3,310.87	3.3
ARSENAL ASSET MANAGEMENT	028	MWV	B	5,000	28.15	n/a	25-Apr	150.00	3.0
BESSEMER INVESTMENT	085	NEM	B	360	46.17	n/a	n/a	14.40	4.0
MERRILL ASSET/BLACKROCK	297	PCS	B	300,000	6.72	n/a	n/a	12,000.00	4.0
BESSEMER INVESTMENT	085	PFE	S	1,000	22.35	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	PHO	S	900	18.37	n/a	n/a	45.00	5.0
COLUMBUS CIRCLE	036	PLXS	B	2,784	31.03	n/a	n/a	111.36	4.0
OSKIE CAPITAL MGMT	224	PPO	B	40,000	38.13	n/a	n/a	2,000.00	5.0
BESSEMER INVESTMENT	085	PSX	S	412	30.92	n/a	n/a	16.48	4.0
SCOPUS FUND	041	PVH	B	50,000	87.90	n/a	19-Apr	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	274	QQQ	SS	1,000,000	65.62	n/a	n/a	30,000.00	3.0
MERRILL ASSET/BLACKROCK	297	RSE	B	4,900	13.44	n/a	n/a	196.00	4.0
PATTEN & PATTEN	025	RSG	B	400	27.03	n/a	n/a	20.00	5.0
BNP PARIBAS SEC	040	SEE	B	25,000	17.76	n/a	2-Jun	1,250.00	5.0
PRIMECAP MGMT	084	SGEN	B	2,500	19.24	n/a	n/a	100.00	4.0
HIGHBRIDGE CAP	041	SHW	B	1,300	121.33	n/a	19-Apr	39.00	3.0
ELM RIDGE ADVISORS	044	SKS	C	50,000	10.85	n/a	n/a	2,000.00	4.0
M&I FUNDS	047	SPLS	B	40,165	14.99	n/a	n/a	1,606.60	4.0
HIGHBRIDGE CAP	041	SPN	S	20,000	25.04	n/a	n/a	600.00	3.0
ARSENAL ASSET MANAGEMENT	028	TKR	B	5,000	52.47	n/a	n/a	150.00	3.0
TALPION LLC	040	TPX	C	2,600	56.59	n/a	n/a	104.00	4.0
TUDOR INVESTORS	028	TYC	B	5,000	55.17	n/a	28-Mar	150.00	3.0
WHITE PINE CAPITAL	030	T	S	33,500	32.93	n/a	n/a	1,675.00	5.0
HIGHBRIDGE CAP	041	UAL	B	51,000	22.19	n/a	n/a	1,530.00	3.0
LONG OAR GLOBAL INV	040	URS	SS	52,186	39.64	n/a	n/a	2,087.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Ravi Sadarangani		WNC	S	100	7.9700	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	WRC	B	5,000	48.00	n/a	4-May	200.00	4.0
BNP PARIBAS SEC	040	WY	B	20,000	20.09	n/a	4-May	1,000.00	5.0
CATAPULT	040	WY	B	10,000	20.03	n/a	4-May	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	20.00	n/a	4-May	2,500.00	5.0
DEVENNY CAP LLC	044	WY	B	30,000	20.15	n/a	4-May	900.00	3.0
BESSEMER INVESTMENT	085	XEL	S	1,336	27.09	n/a	n/a	53.44	4.0
TOTAL (Trade Date):							110,778.32		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/04	SIMMONS VENTURES (SIMMJPM)	041	BODY	B	10,000	15.93	n/a	n/a	400.00 4.0
CRT	05/04	OSKIE CAPITAL MGMT (OSKIGSPB)	224	ESRX	B	20,000	54.64	n/a	n/a	1000.00 5.0
TOTAL (AO, CXL, CRT) :										1,400.00

TOTAL (Trade Date):	110,778.32
TOTAL (AO, CXL, CRT):	1,400.00

TOTAL (RUN DATE) / NFS:	112,178.32
--------------------------------	-------------------

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