

## **Daily Compliance Activity Report** Trade Date: 07/21/2011

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	085	AAPL	В	100	387.88	n/a	n/a	4.00 4.0	
MACQUARIE INVESTMENT MGMT	Γ. 040	AAP	В	3,000	55.14	n/a	n/a	0.00 0.0	
BESSIMER TRUST	085	ABT	S	1,000	52.63	n/a	n/a	40.00 4.0	
BESSIMER TRUST	085	ACE	В	730	65.38	n/a	n/a	29.20 4.0	
BESSIMER TRUST	085	ACN	S	1,200	61.46	n/a	n/a	48.00 4.0	
BESSIMER TRUST	085	ADM	В	1,640	32.32	n/a	15-Jul	65.60 4.0	
BESSIMER TRUST	085	ADSK	S	1,250	35.52	n/a	n/a	50.00 4.0	
HOLDEN CAPITAL MGMT	035	AF	В	10,000	12.24	n/a	21-Jul	400.00 4.0	
BESSIMER TRUST	085	AMGN	S	466	55.54	n/a	n/a	18.64 4.0	
SAVITR CAPITAL	040	AONE	В	25,000	5.63	n/a	n/a	750.00 3.0	
BESSIMER TRUST	085	АРН	S	1,000	50.48	n/a	n/a	40.00 4.0	
TRELLUS PARTNERS LP	028	AXL	SS	30,000	11.75	n/a	14-Jul	1,500.00 5.0	
BESSIMER TRUST	085	AXP	В	520	52.43	n/a	21-Jul	20.80 4.0	
MERRILL ASSET/BLACKROCK	297	BBG	В	6,600	50.40	n/a	n/a	264.00 4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BRASADA	031	ВНЕ	S	12,000	16.08	n/a	n/a	360.00	3.0
BESSIMER TRUST	085	BTU	S	1,200	61.00	n/a	n/a	48.00	4.0
PLATTE RIVER CAPITAL	240	BUD	S	15,750	58.20	n/a	29-Jun	630.00	4.0
1798 CAP/LOMBARD ASSET	040	CAT	SS	8,000	111.71	n/a	2-May	400.00	5.0
AVESTA CAP	229	CBI	S	50,000	41.27	n/a	n/a	1,500.00	3.0
BESSIMER TRUST	085	CFR	S	800	55.23	n/a	n/a	32.00	4.0
BAIRD INVESTMENT	047	CLB	В	2,585	108.62	n/a	21-Jul	129.25	5.0
BESSIMER TRUST	085	СОН	S	900	66.84	n/a	18-Jul	36.00	4.0
BESSIMER TRUST	085	COST	S	500	80.99	n/a	n/a	20.00	4.0
BESSIMER TRUST	085	CRR	S	250	174.75	n/a	11-Jan	10.00	4.0
BESSIMER TRUST	085	CSCO	S	2,038	15.87	n/a	n/a	81.52	4.0
DECCIMED TOLICE	085	С	C	618	39.68	n/a	18-Jul	24.72	4.0
BESSIMER TRUST SANDLER O'NEILL ASSET	031	С	S S	35,000	40.27	n/a	18-Jul	1,750.00	4.0 5.0
SANDLER O NEILL ASSET	031	C	S	33,000	40.27	II/a	10-041	1,730.00	3.0
BESSIMER TRUST	085	DCI	S	1,000	59.56	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	DHR	S	17,100	51.91	n/a	n/a	684.00	4.0
BESSIMER TRUST	085	DIS	В	1,280	40.85	n/a	n/a	51.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BESSIMER TRUST	085	DKS	S	1,500	39.31	n/a	18-May	60.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	S	9,900	26.11	n/a	11-Jul	346.50	3.5
BESSIMER TRUST	085	DVN	В	450	83.64	n/a	15-Jul	18.00	4.0
BESSIMER TRUST	085	DVN	S	110	83.93	n/a	15-Jul	4.40	4.0
BESSIMER TRUST	085	ECL	В	945	52.51	n/a	21-Jul	37.80	4.0
BRONSON POINT	036	ECL	S	7,500	51.90	n/a	21-Jul	225.00	3.0
BESSIMER TRUST	085	EL	S	600	106.49	n/a	20-Jun	24.00	4.0
BESSIMER TRUST	085	EMR	S	1,300	55.81	n/a	n/a	52.00	4.0
LATEFF MGMT	035	ENR	S	150	79.71	n/a	20-Jun	45.00	30.0
BNP PARIBAS SEC	040	FL	В	50,000	22.70	n/a	2-Jun	2,500.00	5.0
OZ MGMT	040	F	В	150,000	13.23	n/a	14-Jul	4,500.00	3.0
TROUBH PART	070	F	В	50,000	13.31	n/a	14-Jul	2,500.00	5.0
BRASADA	031	GBX	S	8,000	22.44	n/a	n/a	240.00	3.0
TUDOR INVESTORS	028	GDI	S	5,000	86.26	n/a	n/a	150.00	3.0
AVESTA CAP	229	GE	В	500,000	19.17	n/a	n/a	15,000.00	3.0
BESSIMER TRUST	085	GE	В	2,500	19.25	n/a	n/a	100.00	4.0
BESSIMER TRUST	085	GE	S	2,315	19.17	n/a	n/a	92.60	4.0
BRONSON POINT	036	GE	S	25,000	19.00	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
COUGAR TRADING	044	GIL	В	10,000	33.33	n/a	18-Jul	500.00	5.0
MILLENNIUM-ICS BOBBY	044	GNTX	SS	10,000	29.57	n/a	14-Jul	300.00	3.0
ROTHSCHILD ASSET	040	НМА	S	83 <b>,</b> 730	10.39	n/a	n/a	3,349.20	4.0
TPG-AXON	040	HMA	В	115,000	10.39	n/a	n/a	4,600.00	4.0
BESSIMER TRUST	085	HON	В	1,070	58.32	n/a	7-Jul	42.80	4.0
BESSIMER TRUST	085	HPQ	S	300	36.28	n/a	n/a	12.00	4.0
BESSIMER TRUST	085	IBM	S	345	183.11	n/a	n/a	13.80	4.0
BESSIMER TRUST	085	IP	В	1,270	30.98	n/a	19-Jul	50.80	4.0
BESSIMER TRUST	085	IP	S	1,665	30.84	n/a	19-Jul	66.60	4.0
BESSIMER TRUST	085	IR	S	335	40.72	n/a	21-Jul	13.40	4.0
NOKOMIS PARTNERS	031	IWM	В	15,000	84.01	n/a	n/a	450.00	3.0
BESSIMER TRUST	085	JCI	В	580	39.99	n/a	20-Jul	23.20	4.0
MA CAPITAL MGMT/MELLON AI	OV041	JCI	В	4,000	40.06	n/a	20-Jul	200.00	5.0
MFP INVESTORS	085	JNS	В	109,000	8.84	n/a	n/a	4,360.00	4.0
BESSIMER TRUST	085	JPM	В	1,310	42.43	n/a	14-Jul	52.40	4.0
BESSIMER TRUST	085	KFT	В	1,820	35.50	n/a	n/a	72.80	4.0
KACELA CAPITAL	034	KLAC	В	18,000	43.07	n/a	n/a	720.00	4.0
	COUGAR TRADING  MILLENNIUM-ICS BOBBY  ROTHSCHILD ASSET TPG-AXON  BESSIMER TRUST  BESSIMER TRUST  BESSIMER TRUST  BESSIMER TRUST  BESSIMER TRUST  BESSIMER TRUST  MESSIMER TRUST  NOKOMIS PARTNERS  BESSIMER TRUST  MA CAPITAL MGMT/MELLON AI  MFP INVESTORS  BESSIMER TRUST  BESSIMER TRUST  MEP INVESTORS  BESSIMER TRUST  BESSIMER TRUST	COUGAR TRADING 044  MILLENNIUM-ICS BOBBY 044  ROTHSCHILD ASSET 040 TPG-AXON 040  BESSIMER TRUST 085  NOKOMIS PARTNERS 031  BESSIMER TRUST 085  MA CAPITAL MGMT/MELLON ADVO41  MFP INVESTORS 085  BESSIMER TRUST 085  BESSIMER TRUST 085  BESSIMER TRUST 085  MA CAPITAL MGMT/MELLON ADVO41	COUGAR TRADING 044 GIL  MILLENNIUM-ICS BOBBY 044 GNTX  ROTHSCHILD ASSET 040 HMA  TPG-AXON 040 HMA  BESSIMER TRUST 085 HON  BESSIMER TRUST 085 HPQ  BESSIMER TRUST 085 IP  BESSIMER TRUST 085 IP  BESSIMER TRUST 085 IP  BESSIMER TRUST 085 IP  BESSIMER TRUST 085 IR  NOKOMIS PARTNERS 031 IWM  BESSIMER TRUST 085 JCI  MA CAPITAL MGMT/MELLON ADV041 JCI  MFP INVESTORS 085 JNS  BESSIMER TRUST 085 JPM  BESSIMER TRUST 085 JPM  BESSIMER TRUST 085 JPM	COUGAR TRADING 044 GIL B  MILLENNIUM-ICS BOBBY 044 GNTX SS  ROTHSCHILD ASSET 040 HMA S TPG-AXON 040 HMA B  BESSIMER TRUST 085 HON B  BESSIMER TRUST 085 HPQ S  BESSIMER TRUST 085 IP B  BESSIMER TRUST 085 IP S  BESSIMER TRUST 085 IR S  NOKOMIS PARTNERS 031 IWM B  BESSIMER TRUST 085 JCI B  MA CAPITAL MGMT/MELLON ADVO41 JCI B  MFP INVESTORS 085 JNS B  BESSIMER TRUST 085 JPM B	COUGAR TRADING 044 GIL B 10,000  MILLENNIUM-ICS BOBBY 044 GNTX SS 10,000  ROTHSCHILD ASSET 040 HMA S 83,730  TPG-AXON 040 HMA B 115,000  BESSIMER TRUST 085 HON B 1,070  BESSIMER TRUST 085 HPQ S 300  BESSIMER TRUST 085 IBM S 345  BESSIMER TRUST 085 IP B 1,270  BESSIMER TRUST 085 IP S 1,665  BESSIMER TRUST 085 IP S 1,665  BESSIMER TRUST 085 IR S 335  NOKOMIS PARTNERS 031 IWM B 15,000  BESSIMER TRUST 085 JCI B 580  MA CAPITAL MGMT/MELLON ADV041 JCI B 4,000  MFP INVESTORS 085 JNS B 109,000  BESSIMER TRUST 085 JPM B 1,310  BESSIMER TRUST 085 JPM B 1,310	COUGAR TRADING 044 GIL B 10,000 33.33  MILLENNIUM-ICS BOBBY 044 GNTX SS 10,000 29.57  ROTHSCHILD ASSET 040 HMA S 83,730 10.39  TPG-AXON 040 HMA B 115,000 10.39  BESSIMER TRUST 085 HON B 1,070 58.32  BESSIMER TRUST 085 HPQ S 300 36.28  BESSIMER TRUST 085 IBM S 345 183.11  BESSIMER TRUST 085 IP B 1,270 30.98  BESSIMER TRUST 085 IP S 1,665 30.84  BESSIMER TRUST 085 IP S 1,665 30.84  BESSIMER TRUST 085 IR S 335 40.72  NOKOMIS PARTNERS 031 IWM B 15,000 84.01  BESSIMER TRUST 085 JCI B 580 39.99  MA CAPITAL MGMT/MELLON ADV041 JCI B 4,000 40.06  MFP INVESTORS 085 JNS B 109,000 8.84  BESSIMER TRUST 085 JPM B 1,310 42.43  BESSIMER TRUST 085 JPM B 1,310 42.43  BESSIMER TRUST 085 JPM B 1,310 42.43	COUGAR TRADING 044 GIL B 10,000 33.33 n/a  MILLENNIUM-ICS BOBBY 044 GNTX SS 10,000 29.57 n/a  ROTHSCHILD ASSET 040 HMA S 83,730 10.39 n/a  TPG-AXON 040 HMA B 115,000 10.39 n/a  BESSIMER TRUST 085 HON B 1,070 58.32 n/a  BESSIMER TRUST 085 HPO S 300 36.28 n/a  BESSIMER TRUST 085 IBM S 345 183.11 n/a  BESSIMER TRUST 085 IP B 1,270 30.98 n/a  BESSIMER TRUST 085 IP S 1,665 30.84 n/a  BESSIMER TRUST 085 IP S 1,665 30.84 n/a  BESSIMER TRUST 085 IR S 335 40.72 n/a  NOKOMIS PARTNERS 031 IWM B 15,000 84.01 n/a  BESSIMER TRUST 085 JCI B 580 39.99 n/a  MA CAPITAL MGMT/MELLON ADVO41 JCI B 4,000 40.06 n/a  MFP INVESTORS 085 JNS B 109,000 8.84 n/a  BESSIMER TRUST 085 JPM B 1,310 42.43 n/a  BESSIMER TRUST 085 JPM B 1,310 42.43 n/a	COUGAR TRADING 044 GIL B 10,000 33.33 n/a 18-Jul  MILLENNIUM-ICS BOBBY 044 GNTX SS 10,000 29.57 n/a 14-Jul  ROTHSCHILD ASSET 040 HMA S 83,730 10.39 n/a n/a  TPG-AXON 040 HMA B 115,000 10.39 n/a n/a  BESSIMER TRUST 085 HON B 1,000 58.32 n/a 7-Jul  BESSIMER TRUST 085 HPQ S 300 36.28 n/a n/a  BESSIMER TRUST 085 IBM S 345 183.11 n/a n/a  BESSIMER TRUST 085 IP B 1,270 30.98 n/a 19-Jul  BESSIMER TRUST 085 IP S 1,665 30.84 n/a 19-Jul  BESSIMER TRUST 085 IR S 335 40.72 n/a 21-Jul  NOKOMIS PARTNERS 031 IWM B 15,000 84.01 n/a n/a  BESSIMER TRUST 085 JCI B 580 39.99 n/a 20-Jul  MA CAPITAL MGMT/MELLON ADVO41 JCI B 4,000 40.06 n/a 20-Jul  MPP INVESTORS 085 JNS B 109,000 8.84 n/a n/a  BESSIMER TRUST 085 JPM B 1,310 42.43 n/a 14-Jul  BESSIMER TRUST 085 JPM B 1,310 42.43 n/a 14-Jul  BESSIMER TRUST 085 JPM B 1,310 42.43 n/a 14-Jul	COUGAR TRADING 044 GIL B 10,000 33.33 n/a 18-Jul 500.00  MILLENNIUM-ICS BOBBY 044 GNTX SS 10,000 29.57 n/a 14-Jul 300.00  ROTHSCHILD ASSET 040 HMA S 83,730 10.39 n/a n/a 3,349.20  TPG-AXON 040 HMA B 115,000 10.39 n/a n/a 1/a 4,600.00  BESSIMER TRUST 085 HPQ S 300 36.28 n/a 7-Jul 42.80  BESSIMER TRUST 085 HPQ S 300 36.28 n/a n/a 12.00  BESSIMER TRUST 085 IBM S 345 183.11 n/a n/a 13.80  BESSIMER TRUST 085 IP B 1,270 30.98 n/a 19-Jul 50.80  BESSIMER TRUST 085 IP S 1,665 30.84 n/a 19-Jul 66.60  BESSIMER TRUST 085 IR S 335 40.72 n/a 21-Jul 13.40  NOKOMIS PARTNERS 031 IWM B 15,000 84.01 n/a 19-Jul 23.20  MA CAPITAL MGMI/MELLON ADVO41 JCI B 40.00 40.06 n/a 20-Jul 200.00  MFP INVESTORS 085 JNS B 109,000 8.84 n/a 14-Jul 52.40  BESSIMER TRUST 085 JPM B 1,310 42.43 n/a 14-Jul 52.40  BESSIMER TRUST 085 JPM B 1,310 42.43 n/a 14-Jul 52.40

Account RR # Symbol B/S Shares Price MRI Research	Comm.¢/Shr.
CYRUS CAPITAL 025 KND S 16,000 21.28 n/a n/a 48	30.00 3.0
PIONEER PATH 028 KR B 50,000 25.35 n/a n/a 1,50	0.00 3.0
BNP PARIBAS SEC 040 KS B 40,000 16.83 n/a n/a 2,00	0.00 5.0
NEUBERGER BERMAN 036 LDR S 600 60.98 n/a n/a 2	4.00 4.0
BESSIMER TRUST 085 LOW S 1,500 22.87 n/a 13-Jun 6	50.00 4.0
NEUBERGER BERMAN 036 LXU B 25,364 46.17 n/a n/a 1,01	4.56 4.0
1798 CAP/LOMBARD ASSET 040 MAS SS 40,000 11.64 n/a n/a 2,	000.00 5.0
BESSIMER TRUST 085 MA B 100 310.30 n/a 11-Jul	4.00 4.0
BESSIMER TRUST 085 MET B 945 42.08 n/a n/a 3	37.80 4.0
MACQUARIE INVESTMENT MGMT. 040 MHK SS 2,000 56.82 n/a n/a	0.00 0.0
SURVEYOR CAPITAL 041 MRK B 25,000 36.41 n/a n/a 75	0.00 3.0
BESSIMER TRUST 085 MSFT B 1,625 27.19 n/a n/a 6	55.00 4.0
· · · · · · · · · · · · · · · · · · ·	0.60 4.0
BESSIMER TRUST 085 MS B 1,880 24.31 n/a 21-Jul 7	5.20 4.0
BESSIMER TRUST 085 MS S 150 24.31 n/a 21-Jul	6.00 4.0
	0.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BESSIMER TRUST	085	NDAQ	S	647	23.83	n/a	n/a	25.88	4.0
BESSIMER TRUST	085	NKE	S	600	90.90	n/a	1-Jul	24.00	4.0
BESSIMER TRUST	085	NOV	В	250	81.30	n/a	n/a	10.00	4.0
SCOPUS FUND	041	NYT	В	34,920	9.51	n/a	n/a	1,396.80	4.0
LATEFF MGMT	035	OI	В	250	26.28	n/a	n/a	50.00	20.0
BNP PARIBAS SEC	040	OLN	S	30,000	22.99	n/a	n/a	1,500.00	5.0
SCOPUS FUND	041	OMX	SS	68,600	6.97	n/a	n/a	2,744.00	4.0
BESSIMER TRUST	085	ORCL	S	2,000	32.07	n/a	n/a	80.00	4.0
BESSIMER TRUST	085	ORLY	S	1,000	61.69	n/a	n/a	40.00	4.0
BESSIMER TRUST	085	OXY	В	190	107.73	n/a	n/a	7.60	4.0
BESSIMER TRUST	085	PCP	В	120	167.10	n/a	19-Jul	4.80	4.0
BESSIMER TRUST	085	PEP	S	1,000	66.40	n/a	n/a	40.00	4.0
BESSIMER TRUST	085	PETM	S	1,500	44.85	n/a	n/a	60.00	4.0
SCOPUS FUND	041	PETM	S	8,000	45.32	n/a	n/a	320.00	4.0
BESSIMER TRUST	085	PFE	В	2 <b>,</b> 580	20.16	n/a	n/a	103.20	4.0
BESSIMER TRUST	085	PFE	S	2,150	20.15	n/a	n/a	86.00	4.0

count	RR #	Symbol	B/S	Shares	Price	VDT			
			B/ 3	Shares	Price	MRI	Research	Comm.¢	/Shr.
SSIMER TRUST	085	PG	В	430	64.60	n/a	20-Jun	17.20	4.0
SSIMER TRUST	085	PM	S	300	71.47	n/a	n/a	12.00	4.0
CQUARIE INVESTMENT MGMT	. 040	PPG	В	20,000	90.98	n/a	21-Jul	0.00	0.0
SSIMER TRUST	085	PRU	S	1,268	61.57	n/a	n/a	50.72	4.0
GMA CAPITAL ASSOCIATES	041	PSS	SS	50,000	13.36	n/a	n/a	1,750.00	3.5
DPUS FUND	041	PVH	В	25,000	75.09	n/a	18-Jul	1,000.00	4.0
SSIMER TRUST	085	PX	S	700	106.50	n/a	15-Jul	28.00	4.0
SSIMER TRUST	085	QCOM	В	230	56.94	n/a	n/a	9.20	4.0
LLAST CAP	040	RGC	В	4,600	11.75	n/a	n/a	230.00	5.0
EFFIELD ASSET MGMT	031	RKT	В	22,000	63.18	n/a	n/a	880.00	4.0
EEN ARROW DOUG	040	SGMS	В	25 <b>,</b> 000	9.65	n/a	n/a	1,250.00	5.0
CK CAPITAL MGMT	001	SIG	В	10,000	45.52	n/a	n/a	300.00	3.0
SSIMER TRUST	085	STJ	В	450	49.41	n/a	n/a	18.00	4.0
CELA CAPITAL	034	STZ	В	44,000	21.48	n/a	n/a	1,760.00	4.0
SSIMER TRUST	085	SWK	В	280	69.26	n/a	n/a	11.20	4.0
	SSIMER TRUST	SSIMER TRUST 085  CQUARIE INVESTMENT MGMT. 040  SSIMER TRUST 085  GMA CAPITAL ASSOCIATES 041  DPUS FUND 041  SSIMER TRUST 085  SSIMER TRUST 085  LLAST CAP 040  EFFIELD ASSET MGMT 031  EEN ARROW DOUG 040  CK CAPITAL MGMT 001  SSIMER TRUST 085  CELA CAPITAL 034	CQUARIE INVESTMENT MGMT. 040 PPG  SSIMER TRUST 085 PRU  GMA CAPITAL ASSOCIATES 041 PSS  DPUS FUND 041 PVH  SSIMER TRUST 085 PX  SSIMER TRUST 085 QCOM  CLAST CAP 040 RGC  CEFFIELD ASSET MGMT 031 RKT  GEN ARROW DOUG 040 SGMS  CK CAPITAL MGMT 001 SIG  SSIMER TRUST 085 STJ  CELA CAPITAL 034 STZ	SSIMER TRUST 085 PM S  CQUARIE INVESTMENT MGMT. 040 PPG B  SSIMER TRUST 085 PRU S  GMA CAPITAL ASSOCIATES 041 PSS SS  OPUS FUND 041 PVH B  SSIMER TRUST 085 PX S  SSIMER TRUST 085 PX S  SSIMER TRUST 085 QCOM B  CLAST CAP 040 RGC B  SEFFIELD ASSET MGMT 031 RKT B  CEN ARROW DOUG 040 SGMS B  SSIMER TRUST 085 STJ B  SSIMER TRUST 085 STJ B  CELA CAPITAL MGMT 034 STZ B	SSIMER TRUST 085 PM S 300  CQUARIE INVESTMENT MGMT. 040 PPG B 20,000  SSIMER TRUST 085 PRU S 1,268  SMA CAPITAL ASSOCIATES 041 PSS SS 50,000  DPUS FUND 041 PVH B 25,000  SSIMER TRUST 085 PX S 700  SSIMER TRUST 085 QCOM B 230  CLAST CAP 040 RGC B 4,600  EFFIELD ASSET MGMT 031 RKT B 22,000  CEN ARROW DOUG 040 SGMS B 25,000  CEN CAPITAL MGMT 001 SIG B 10,000  SSIMER TRUST 085 STJ B 450  CELA CAPITAL 034 STZ B 44,000	SSIMER TRUST 085 PM S 300 71.47  CQUARIE INVESTMENT MGMT. 040 PPG B 20,000 90.98  SSIMER TRUST 085 PRU S 1,268 61.57  SMA CAPITAL ASSOCIATES 041 PSS SS 50,000 13.36  CPUS FUND 041 PVH B 25,000 75.09  SSIMER TRUST 085 PX S 700 106.50  SSIMER TRUST 085 QCOM B 230 56.94  CLAST CAP 040 RGC B 4,600 11.75  SEFFIELD ASSET MGMT 031 RKT B 22,000 63.18  SEN ARROW DOUG 040 SGMS B 25,000 9.65  CK CAPITAL MGMT 001 SIG B 10,000 45.52  SSIMER TRUST 085 STJ B 450 49.41  CELA CAPITAL 034 STZ B 44,000 21.48	SSIMER TRUST 085 PM S 300 71.47 n/a  CQUARIE INVESTMENT MGMT. 040 PPG B 20,000 90.98 n/a  SSIMER TRUST 085 PRU S 1,268 61.57 n/a  SMA CAPITAL ASSOCIATES 041 PSS SS 50,000 13.36 n/a  OPUS FUND 041 PVH B 25,000 75.09 n/a  SSIMER TRUST 085 PX S 700 106.50 n/a  SSIMER TRUST 085 QCOM B 230 56.94 n/a  CLAST CAP 040 RGC B 4,600 11.75 n/a  CELA CAPITAL MGMT 001 SIG B 10,000 45.52 n/a  SSIMER TRUST 085 STJ B 450 49.41 n/a  CELA CAPITAL MGMT 034 STZ B 44,000 21.48 n/a	SSIMER TRUST 085 PM S 300 71.47 n/a n/a  EQUARIE INVESTMENT MGMT. 040 PPG B 20,000 90.98 n/a 21-Jul  SSIMER TRUST 085 PRU S 1,268 61.57 n/a n/a  EMA CAPITAL ASSOCIATES 041 PSS SS 50,000 13.36 n/a n/a  EDUS FUND 041 PVH B 25,000 75.09 n/a 18-Jul  SSIMER TRUST 085 PX S 700 106.50 n/a 15-Jul  SSIMER TRUST 085 QCOM B 230 56.94 n/a n/a  ELAST CAP 040 RGC B 4,600 11.75 n/a n/a  EFFIELD ASSET MGMT 031 RKT B 22,000 63.18 n/a n/a  EEN ARROW DOUG 040 SGMS B 25,000 9.65 n/a n/a  ECK CAPITAL MGMT 001 SIG B 10,000 45.52 n/a n/a  ECK CAPITAL MGMT 085 STJ B 450 49.41 n/a n/a  ELAST CAP 1040 STZ B 44,000 21.48 n/a n/a  ELAST CAPITAL MGMT 034 STZ B 44,000 21.48 n/a n/a	SIMER TRUST 085 PM S 300 71.47

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	TUDOR INVESTORS	028	SWK	SS	3,000	69.60	n/a	n/a	90.00	3.0
	BESSIMER TRUST	085	SWN	S	1,000	47.83	n/a	15-Jul	40.00	4.0
	SIGMA CAPITAL ASSOCIATES	041	SWY	SS	25,000	21.55	n/a	n/a	875.00	3.5
	BESSIMER TRUST	085	SYK	S	850	56.81	n/a	n/a	34.00	4.0
	MERRILL ASSET/BLACKROCK	297	TESO	S	14,700	22.79	n/a	n/a	588.00	4.0
	ENTRUST CAPITAL	040	TEX	В	45,300	24.75	n/a	25-Apr	2,265.00	5.0
	TUDOR INVESTORS	028	TEX	В	3,000	25.57	n/a	25-Apr	90.00	3.0
	BESSIMER TRUST	085	TGT	S	700	51.29	n/a	7-Jul	28.00	4.0
	MACQUARIE INVESTMENT MGMT	. 040	TJX	S	5,000	56.21	n/a	8-Jul	0.00	0.0
	CRAMER ROSENTHAL/SCOTT	012	TNB	В	33,521	54.72	n/a	n/a	1,340.84	4.0
	BESSIMER TRUST	085	TROW	S	1,000	58.29	n/a	n/a	40.00	4.0
	LATEFF MGMT	035	TRV	S	125	57.35	n/a	n/a	37.50	30.0
	ROTHSCHILD ASSET	040	TYL	В	19,275	26.52	n/a	n/a	771.00	4.0
õ	Abram Chappel		TZA	S	100 3	2.3303	n/a	n/a	0.00	0.0
õ	Abram Chappel		TZA	S	15 3	2.3200	n/a	n/a	0.00	0.0
	BESSIMER TRUST	085	T	S	1,000	30.41	n/a	n/a	40.00	4.0
	LATEFF MGMT	035	UAL	В	200	20.44	n/a	n/a	40.00	20.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BESSIMER TRUST	085	UNP	S	800	103.62	n/a	n/a	32.00	4.0
MACQUARIE INVESTMENT MGMT	. 040	UNP	В	5,000	104.21	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	UNP	SS	5,000	103.00	n/a	n/a	150.00	3.0
1798 CAP/LOMBARD ASSET	040	UPS	В	10,000	74.43	n/a	n/a	500.00	5.0
BESSIMER TRUST	085	USB	S	1,900	26.41	n/a	n/a	76.00	4.0
SENATOR INVESTMENT GROUP	036	VAL	В	100,000	34.63	n/a	n/a	3,000.00	3.0
BNP PARIBAS SEC	040	VFC	S	10,000	121.12	n/a	18-Jul	500.00	5.0
BESSIMER TRUST	085	WAG	S	1,600	40.28	n/a	n/a	64.00	4.0
BESSIMER TRUST	085	WAT	S	750	96.52	n/a	n/a	30.00	4.0
BESSIMER TRUST	085	WFC	S	1,625	28.92	n/a	20-Jul	65.00	4.0
BESSIMER TRUST	085	WHR	В	190	72.51	n/a	n/a	7.60	4.0
SCOPUS FUND	041	WRC	В	30,000	56.81	n/a	18-Jul	1,200.00	4.0
BESSIMER TRUST	085	WSM	S	300	38.49	n/a	n/a	12.00	4.0
NEUBERGER BERMAN	036	WST	В	11,600	46.21	n/a	n/a	464.00	4.0

TOTAL (Trade Date): 85,034.93

Туре	Date Account	RR # Symb	ol B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):						0.00
	(Trade Date): (AO, CXL, CRT):					85 <b>,</b> 0	34.93
	· , , , ,						
TOTAL	(RUN DATE) / NFS:					85,0	34.93

## 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