



## Daily Compliance Activity Report

Trade Date: 03/01/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	ABD	SS	10,000	12.07	n/a	n/a	500.00	5.0
MOORE CAPITAL	041	ABD	SS	35,000	12.00	n/a	n/a	1,050.00	3.0
BESSEMER INVESTMENT	085	ACE	B	75	72.56	n/a	n/a	3.00	4.0
STELLIAM INV ADV	034	AER	S	10,100	13.15	n/a	n/a	303.00	3.0
WINSLOW CAPITAL	030	AMT	B	3,700	62.80	n/a	n/a	111.00	3.0
WEINTRAUB CAPITAL MGT.	269	ARIA	B	30,000	14.89	n/a	n/a	1,200.00	4.0
STELLIAM INV ADV	034	ATVI	B	130,000	11.74	n/a	n/a	3,900.00	3.0
TUDOR INVESTORS	028	AWI	SS	3,000	51.31	n/a	n/a	90.00	3.0
CAPITAL GROWTH MGMT.	241	BAC	S	200,000	8.13	n/a	16-Feb	4,000.00	2.0
WINSLOW CAPITAL	030	BEN	B	1,800	118.99	n/a	2-Mar	54.00	3.0
IRIDIAN ASSET MGMT.	036	BHI	B	280	50.60	n/a	n/a	14.00	5.0
BESSEMER INVESTMENT	085	BMJ	S	3,000	32.65	n/a	n/a	120.00	4.0
WINSLOW CAPITAL	030	BWA	B	2,400	84.20	n/a	15-Feb	72.00	3.0
WINSLOW CAPITAL	030	CAM	B	1,700	56.58	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	CAT	B	1,700	114.42	n/a	27-Jan	51.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FEDERATED INV/KAUFMAN	029	CIM	B	500,000	2.89	n/a	n/a	20,000.00	4.0
WINSLOW CAPITAL	030	CLF	B	1,700	65.28	n/a	n/a	51.00	3.0
BESSEMER INVESTMENT	085	CMCSA	B	450	29.46	n/a	n/a	18.00	4.0
BNP PARIBAS SEC	040	COH	B	50,000	76.69	n/a	25-Jan	2,500.00	5.0
WINSLOW CAPITAL	030	COH	B	1,000	76.42	n/a	25-Jan	30.00	3.0
BESSEMER INVESTMENT	085	COP	B	300	77.97	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	CRM	B	2,000	144.98	n/a	n/a	60.00	3.0
CAERUS GLOBAL	041	CROX	S	15,100	19.99	n/a	n/a	604.00	4.0
WEINTRAUB CAPITAL MGT.	269	CROX	B	100,000	20.47	n/a	n/a	4,000.00	4.0
BESSEMER INVESTMENT	085	CTL	B	1,200	39.75	n/a	n/a	48.00	4.0
BESSEMER INVESTMENT	085	CVS	B	125	45.15	n/a	n/a	5.00	4.0
WINSLOW CAPITAL	030	CXO	B	2,600	109.23	n/a	n/a	78.00	3.0
WINSLOW CAPITAL	030	DHR	B	8,200	53.00	n/a	n/a	246.00	3.0
BESSEMER INVESTMENT	085	DTE	B	50	54.56	n/a	n/a	2.00	4.0
WINSLOW CAPITAL	030	ECL	B	3,200	60.13	n/a	28-Feb	96.00	3.0
WINSLOW CAPITAL	030	EL	B	2,300	58.89	n/a	6-Feb	69.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	EMC	B	14,200	28.28	n/a	n/a	426.00	3.0
WINSLOW CAPITAL	030	EW	B	1,800	72.31	n/a	n/a	54.00	3.0
BESSEMER INVESTMENT	085	FCX	B	75	43.17	n/a	n/a	3.00	4.0
BAIRD INVESTMENT	047	FLR	B	5,525	61.68	n/a	n/a	276.25	5.0
WINSLOW CAPITAL	030	FLR	B	3,900	61.62	n/a	n/a	117.00	3.0
BESSEMER INVESTMENT	085	FLS	S	1,000	118.58	n/a	n/a	40.00	4.0
WINSLOW CAPITAL	030	FTI	B	5,100	51.23	n/a	n/a	153.00	3.0
BESSEMER INVESTMENT	085	GD	B	325	72.85	n/a	14-Feb	13.00	4.0
MAIRS AND POWER INV	030	GLW	B	20,000	13.00	n/a	28-Feb	1,000.00	5.0
BNP PARIBAS SEC	040	GM	B	20,000	26.51	n/a	1-Mar	1,000.00	5.0
PNC CAPITAL ADV	028	HSY	S	19,607	61.04	n/a	n/a	784.28	4.0
WINSLOW CAPITAL	030	ICE	B	1,300	139.30	n/a	n/a	39.00	3.0
STELLIAM INV ADV	034	INTC	B	10,000	27.11	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	ITW	B	2,800	55.89	n/a	1-Feb	84.00	3.0
BESSEMER INVESTMENT	085	JNJ	B	1,275	64.89	n/a	n/a	51.00	4.0
WINSLOW CAPITAL	030	JPM	B	5,200	40.26	n/a	29-Feb	156.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	KSS	B	50,000	49.37	n/a	24-Feb	2,500.00	5.0
FIRST NY SEC/CHRIS	041	KSS	SS	10,000	49.34	n/a	24-Feb	300.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	S	10,000	30.63	n/a	16-Feb	500.00	5.0
RIDGECREST INV MGMT LLC	028	LEA	B	5,000	46.38	n/a	3-Feb	250.00	5.0
WINSLOW CAPITAL	030	LVS	B	5,500	57.10	n/a	13-Jun	165.00	3.0
PNC CAPITAL ADV	028	MCD	S	8,290	99.42	n/a	8-Feb	331.60	4.0
BESSEMER INVESTMENT	085	MGA	B	675	49.27	n/a	n/a	27.00	4.0
BESSEMER INVESTMENT	085	MMI	S	374	39.71	n/a	n/a	14.96	4.0
WINSLOW CAPITAL	030	MON	B	3,800	79.92	n/a	19-Jan	114.00	3.0
BESSEMER INVESTMENT	085	MSFT	B	600	32.36	n/a	n/a	24.00	4.0
BESSEMER INVESTMENT	085	MSI	S	428	50.05	n/a	n/a	17.12	4.0
ROYCE TRADING	031	MTX	B	13,564	64.60	n/a	n/a	678.20	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	30,000	30.56	n/a	26-Jan	1,500.00	5.0
LANE GATE PARTNERS LLC	030	MWV	B	5,000	30.54	n/a	26-Jan	150.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	B	1,500	30.67	n/a	26-Jan	75.00	5.0
MOORE CAPITAL	041	MWV	B	105,000	30.53	n/a	26-Jan	3,150.00	3.0
BALYASNY ASSET MGMT	044	MW	S	10,000	39.80	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	M	B	725	38.52	n/a	24-Feb	29.00	4.0
SIMMONS VENTURES	041	M	B	7,500	37.53	n/a	24-Feb	300.00	4.0
BESSEMER INVESTMENT	085	NEM	B	725	59.88	n/a	n/a	29.00	4.0
BESSEMER INVESTMENT	085	NOC	S	2,000	60.16	n/a	14-Feb	80.00	4.0
WINSLOW CAPITAL	030	OXY	B	2,900	105.37	n/a	n/a	87.00	3.0
WINSLOW CAPITAL	030	PCP	B	700	169.16	n/a	29-Feb	21.00	3.0
MERRILL ASSET/BLACKROCK	297	PDC	S	44,100	10.26	n/a	n/a	1,764.00	4.0
METROPOLITAN CAPITAL	044	PLCE	S	13,000	52.73	n/a	27-Feb	650.00	5.0
CAPITAL GROWTH MGMT.	241	PM	S	30,000	83.01	n/a	n/a	1,500.00	5.0
TUDOR INVESTORS	028	PNR	SS	5,000	38.71	n/a	n/a	150.00	3.0
IRIDIAN ASSET MGMT.	036	RDSB	B	190	74.95	n/a	n/a	9.50	5.0
SF SENTRY	085	RKT	SS	7,500	71.19	n/a	26-Jan	375.00	5.0
WINSLOW CAPITAL	030	RL	B	1,300	178.18	n/a	9-Feb	39.00	3.0
WINSLOW CAPITAL	030	SLB	B	2,800	78.74	n/a	n/a	84.00	3.0
RAINIER INV MGMT	035	TDC	B	88,520	66.79	n/a	n/a	3,540.80	4.0
WINSLOW CAPITAL	030	TDC	B	800	66.80	n/a	n/a	24.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	TNB	S	11,275	72.28	n/a	n/a	451.00	4.0
ACK ASSET	028	UMH	B	12,070	10.19	n/a	n/a	362.10	3.0
BESSEMER INVESTMENT	085	UNH	B	475	55.95	n/a	n/a	19.00	4.0
WINSLOW CAPITAL	030	UNH	B	7,700	55.94	n/a	n/a	231.00	3.0
WINSLOW CAPITAL	030	UNP	B	4,400	111.95	n/a	n/a	132.00	3.0
BESSEMER INVESTMENT	085	UN	B	50	33.76	n/a	n/a	2.00	4.0
BASSWOOD PARTNERS	267	USB	SS	126,043	29.63	n/a	n/a	5,041.72	4.0
WINSLOW CAPITAL	030	UTX	B	3,400	84.16	n/a	n/a	102.00	3.0
WINSLOW CAPITAL	030	VAR	B	1,700	65.85	n/a	n/a	51.00	3.0
NOMURA CAPITAL	029	VC	S	20,000	55.32	n/a	n/a	600.00	3.0
WINSLOW CAPITAL	030	V	B	4,300	117.54	n/a	28-Feb	129.00	3.0
ASCEND PARTNERS	033	WRC	B	70,000	59.76	n/a	29-Feb	2,100.00	3.0
SCOUT/UMB	047	WRC	B	92,114	59.76	n/a	29-Feb	2,763.42	3.0
BESSEMER INVESTMENT	085	WU	B	200	17.59	n/a	n/a	8.00	4.0
CSFB GLOBAL PROPRIETARY	041	XLB	SS	18,000	37.32	n/a	n/a	900.00	5.0
BESSEMER INVESTMENT	085	YUM	B	150	66.40	n/a	8-Feb	6.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	YUM	B	2,400	66.43	n/a	8-Feb	72.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>75,783.95</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/27	ARCHON CAPITAL (ARCCMORGAN)	035	CRM	S	10,000	142.86	n/a	n/a	400.00 4.0
AO,CRT	02/27	ARCHON CAPITAL (ARCCMORGAN)	035	CRM	S	10,000	142.86	n/a	n/a	300.00 3.0
AO,CXL	02/27	ARCHON CAPITAL (ARCCMORGAN)	035	CRR	S	15,000	92.41	n/a	1-Mar	600.00 4.0
AO,CRT	02/27	ARCHON CAPITAL (ARCCMORGAN)	035	CRR	S	15,000	92.41	n/a	1-Mar	450.00 3.0
AO,CXL	02/27	STELLIAM INV ADV (STLLMSEXEC)	034	DAL	B	100,000	9.61	n/a	n/a	5000.00 5.0
AO,CRT	02/27	STELLIAM INV ADV (STLLMSEXEC)	034	DAL	B	100,000	9.61	n/a	n/a	3000.00 3.0
AO,CXL	02/29	BRONSON POINT (BRONGS)	036	EL	B	37,500	58.62	n/a	6-Feb	1125.00 3.0
AO,CRT	02/29	BRONSON POINT (BRONFBCO)	036	EL	B	37,500	58.62	n/a	6-Feb	1125.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-2,250.00</b>
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TOTAL (Trade Date) :	75,783.95
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TOTAL (AO, CXL, CRT) :	-2,250.00
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>73,533.95</b>
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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