



Daily Compliance Activity Report

Trade Date: 02/28/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AA	B	1,000	10.34	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	ABT	B	400	57.02	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	ACN	B	270	59.77	n/a	n/a	10.80	4.0
BESSEMER INVESTMENT	085	ACWI	S	1,158	46.78	n/a	n/a	46.32	4.0
BESSEMER INVESTMENT	085	ADP	B	400	54.56	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	AVG	S	1,000	13.02	n/a	n/a	40.00	4.0
SIMMONS VENTURES	041	AVP	B	5,000	18.70	n/a	16-Feb	200.00	4.0
PZENA INV ADV	044	AXS	B	1,475	31.26	n/a	n/a	51.63	3.5
BESSEMER INVESTMENT	085	BDX	B	300	77.29	n/a	n/a	12.00	4.0
FIRST NY SEC/CHRIS	041	BIG	B	5,000	43.92	n/a	16-Feb	250.00	5.0
FIRST NY SEC/CHRIS	041	CHS	S	10,000	15.05	n/a	5-Feb	300.00	3.0
BESSEMER INVESTMENT	085	CMCSA	B	2,513	29.31	n/a	n/a	100.52	4.0
DELTEC ASSET MGMT.	040	CS	B	10,000	27.50	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	CTL	B	1,458	40.44	n/a	n/a	58.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	DAN	B	15,000	16.34	n/a	22-Feb	450.00	3.0
BESSEMER INVESTMENT	085	DTE	B	1,208	54.17	n/a	n/a	48.32	4.0
CATAPULT	040	ECL	SS	5,000	61.60	n/a	28-Feb	200.00	4.0
FIRST NY SEC/CHRIS	041	FINL	B	10,000	23.34	n/a	16-Feb	500.00	5.0
SCOPUS FUND	041	FL	S	25,000	28.96	n/a	16-Feb	1,000.00	4.0
BESSEMER INVESTMENT	085	GD	B	1,331	72.61	n/a	14-Feb	53.24	4.0
MAIRS AND POWER INV	030	GLW	B	30,000	13.37	n/a	28-Feb	1,500.00	5.0
FIRST NY SEC/CHRIS	041	GPS	B	15,000	23.33	n/a	n/a	450.00	3.0
SURVEYOR CAPITAL	251	HTZ	B	20,000	14.17	n/a	n/a	600.00	3.0
BESSEMER INVESTMENT	085	IBM	B	1,207	197.59	n/a	n/a	48.28	4.0
BESSEMER INVESTMENT	085	ITW	B	400	55.96	n/a	1-Feb	16.00	4.0
BAIRD INVESTMENT	047	JCI	S	17,900	33.17	n/a	27-Feb	895.00	5.0
BESSEMER INVESTMENT	085	JNJ	B	960	64.66	n/a	n/a	38.40	4.0
BESSEMER INVESTMENT	085	KO	B	330	68.91	n/a	23-Feb	13.20	4.0
FIRST NY SEC/CHRIS	041	KSS	B	5,000	48.88	n/a	24-Feb	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	LEN	B	5,000	22.44	n/a	n/a	150.00	3.0
BALYASNY ASSET MGMT	044	LTD	C	40,000	47.10	n/a	n/a	2,000.00	5.0
BESSEMER INVESTMENT	085	MFA	S	941	7.43	n/a	n/a	37.64	4.0
BESSEMER INVESTMENT	085	MGA	B	1,870	47.42	n/a	n/a	74.80	4.0
BESSEMER INVESTMENT	085	MKC	B	450	50.35	n/a	n/a	18.00	4.0
1798 CAP/LOMBARD ASSET	040	MPC	S	22,000	42.18	n/a	n/a	1,100.00	5.0
BESSEMER INVESTMENT	085	MRO	B	1,700	35.06	n/a	n/a	68.00	4.0
BESSEMER INVESTMENT	085	MRO	S	330	35.04	n/a	n/a	13.20	4.0
BESSEMER INVESTMENT	085	MSFT	B	3,285	31.85	n/a	n/a	131.40	4.0
BESSEMER INVESTMENT	085	MSFT	S	270	31.70	n/a	n/a	10.80	4.0
FIRST NY SEC/CHRIS	041	MSO	S	20,000	4.41	n/a	n/a	600.00	3.0
ROYCE TRADING	031	MTX	B	8,100	65.68	n/a	n/a	405.00	5.0
TUDOR INVESTORS	028	MWV	B	5,000	30.48	n/a	26-Jan	150.00	3.0
BESSEMER INVESTMENT	085	M	B	2,150	37.69	n/a	24-Feb	86.00	4.0
BESSEMER INVESTMENT	085	NEM	B	1,190	62.05	n/a	n/a	47.60	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.40	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	NUAN	B	8,000	26.19	n/a	n/a	320.00	4.0
CATAPULT	040	OMG	SS	10,000	29.37	n/a	n/a	400.00	4.0
SURVEYOR CAPITAL	251	PCAR	B	7,600	46.41	n/a	1-Feb	228.00	3.0
PZENA INV ADV	044	PNC	S	850	59.55	n/a	n/a	29.75	3.5
PZENA INV ADV	044	PPG	S	1,525	93.48	n/a	19-Jan	53.38	3.5
CATAPULT	040	RKT	SS	5,000	69.56	n/a	26-Jan	200.00	4.0
NEUBERGER BERMAN	036	SCHW	S	1,265,175	13.71	n/a	n/a	50,607.00	4.0
BESSEMER INVESTMENT	085	SNI	S	790	44.62	n/a	n/a	31.60	4.0
PZENA INV ADV	044	STT	B	2,075	41.97	n/a	16-Feb	72.63	3.5
NOKOMIS PARTNERS	031	STX	S	12,000	26.71	n/a	n/a	360.00	3.0
TUDOR INVESTORS	028	SWK	B	10,000	76.05	n/a	n/a	300.00	3.0
SUN AMERICA ASSET MGMT	030	SWN	S	24,410	33.25	n/a	28-Feb	976.40	4.0
PZENA INV ADV	044	TAP	S	2,800	44.10	n/a	n/a	98.00	3.5
BESSEMER INVESTMENT	085	TGT	B	1,020	55.71	n/a	24-Feb	40.80	4.0
BESSEMER INVESTMENT	085	TGT	S	280	55.63	n/a	24-Feb	11.20	4.0
PZENA INV ADV	044	UBS	S	750	14.18	n/a	n/a	26.25	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UN	B	1,906	33.44	n/a	n/a	76.24	4.0
KACELA CAPITAL	034	USG	B	80,000	14.25	n/a	7-Feb	3,200.00	4.0
NOKOMIS PARTNERS	031	VPFG	S	22,000	14.92	n/a	n/a	660.00	3.0
NOKOMIS PARTNERS	031	VQ	S	19,700	10.97	n/a	n/a	591.00	3.0
BLUEMAR CAPITAL MANAGEMENT	029	WSH	B	13,000	35.47	n/a	n/a	390.00	3.0
BESSEMER INVESTMENT	085	WU	B	2,330	17.80	n/a	n/a	93.20	4.0
BESSEMER INVESTMENT	085	WU	S	525	17.77	n/a	n/a	21.00	4.0
TOTAL (Trade Date):								72,082.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	02/27	CAVOLEPH (CAVOFLIP)	085	MRVL	B	2,250	15.35	n/a	n/a	0.00	0.0
AO,CRT	02/27	CAVOLEPH (CAVOFLIP)	085	MRVL	B	2,250	15.35	n/a	n/a	90.00	0.0
AO,CXL	02/27	STELLIAM INV ADV (STLLGSBULK)	034	UAL	B	10,000	20.00	n/a	n/a	0.00	0.0
AO,CRT	02/27	STELLIAM INV ADV (STLLGSBULK)	034	UAL	B	10,000	20.00	n/a	n/a	500.00	5.0
TOTAL (AO, CXL, CRT) :										590.00	

TOTAL (Trade Date) :	72,082.92
TOTAL (AO, CXL, CRT) :	590.00

TOTAL (RUN DATE) / NFS :	72,672.92
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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