



Daily Compliance Activity Report

Trade Date: 10/07/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	133	375.55	n/a	n/a	5.32	4.0
BESSEMER INVESTMENT	085	ACE	S	540	61.36	n/a	n/a	21.60	4.0
BESSEMER INVESTMENT	085	ADM	S	12,935	25.58	n/a	23-Sep	517.40	4.0
B BUCK CAPITAL MGMT		ASNA	B	11,705	28.62	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	AXP	S	6,112	43.83	n/a	7-Oct	244.48	4.0
PARKWEST	084	BEAV	SS	50,000	32.37	n/a	7-Oct	2,000.00	4.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	2000	42.89	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041		BIG	B	4,400	34.47	n/a	25-Aug	220.00	5.0
BESSEMER INVESTMENT	085	BMJ	S	1,000	32.36	n/a	n/a	40.00	4.0
MERRILL ASSET/BLACKROCK	297	BOH	B	6,800	36.37	n/a	n/a	272.00	4.0
B BUCK CAPITAL MGMT		BONT	S	4,958	4.89	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		BWA	SS	31,200	64.46	n/a	29-Jul	non-brg	4.0
SURVEYOR CAPITAL	041	BWS	S	64,683	7.56	n/a	n/a	1,940.49	3.0
CHART WELL ADV	028	CAKE	S	189,675	25.23	n/a	3-Oct	7,587.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	CAM	S	1,900	45.92	n/a	n/a	57.00	3.0
PRIMECAP MGMT	084	CAM	B	8,000	45.20	n/a	n/a	320.00	4.0
MERRILL ASSET/BLACKROCK	297	CFR	B	3,300	46.34	n/a	n/a	132.00	4.0
MACQUARIE INVESTMENT MGMT.	040	CLB	SS	2,500	92.15	n/a	21-Jul	0.00	0.0
TALPION LLC	040	CLGX	B	25,000	10.53	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		CMG	SS	10,000	294.87	n/a	3-Oct	non-brg	4.0
HOLLIS CAPITAL	033	CNX	B	4,000	36.02	n/a	n/a	200.00	5.0
MERRILL ASSET/BLACKROCK	297	COG	S	17,900	64.27	n/a	27-Sep	716.00	4.0
EPOCH INV MGMT	030	COL	S	1,450	55.26	n/a	7-Oct	43.50	3.0
CATAPULT	040	COP	SS	4,828	64.46	n/a	n/a	193.12	4.0
CATAPULT	040	COP	S	20,172	64.47	n/a	n/a	806.88	4.0
B BUCK CAPITAL MGMT		CRI	B	70,000	32.85	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	70,000	25.71	n/a	n/a	non-brg	4.0
Õ Nilsa Vazquez		CRSU	S	500	16.32	n/a	n/a	0.00	0.0
f ALEXANDER PRYLUCKI	FID	CVGI	B	250	8.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CVX	SS	21,000	93.96	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	EDWARD W WHEELER	FID	DAN	S	190	1.25	n/a	29-Jul	0.00	0.0
B	BUCK CAPITAL MGMT		DECK	S	20,000	100.06	n/a	n/a	non-brg	4.0
	BESSEMER INVESTMENT	085	DIS	S	764	32.18	n/a	n/a	30.56	4.0
	BESSEMER INVESTMENT	085	ECL	S	807	50.49	n/a	28-Sep	32.28	4.0
	MA CAPITAL MGMT/MELLON ADV	041	FDO	SS	2,800	52.68	n/a	29-Sep	140.00	5.0
	EPOCH INV MGMT	030	FIS	S	3,150	24.86	n/a	n/a	94.50	3.0
	BESSEMER INVESTMENT	085	GE	S	2,426	15.73	n/a	n/a	97.04	4.0
	STRONG/MARK GRONET	030	GLBL	S	161,965	7.92	n/a	n/a	4,858.95	3.0
	PRIMECAP MGMT	084	GLW	B	44,200	13.41	n/a	23-Sep	1,768.00	4.0
	OZ MGMT	040	GM	SS	25,000	21.98	n/a	4-Oct	750.00	3.0
	EPOCH INV MGMT	030	GPC	S	1,400	52.35	n/a	n/a	42.00	3.0
	CASTLEROCK	040	GPI	SS	65,152	37.66	n/a	27-Jul	2,606.08	4.0
	ADAGE CAPITAL MGMT	030	GPS	B	84,277	17.46	n/a	n/a	2,528.31	3.0
B	BUCK CAPITAL MGMT		GPS	SS	100,000	17.32	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		GWW	SS	13,400	149.85	n/a	18-Aug	non-brg	4.0
	BESSEMER INVESTMENT	085	IP	S	1,331	24.53	n/a	6-Sep	53.24	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		JBHT	SS	53,000	37.80	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	JCI	S	763	29.43	n/a	5-Oct	30.52	4.0
B BUCK CAPITAL MGMT		JCP	SS	30,000	28.61	n/a	7-Oct	non-brg	4.0
BESSEMER INVESTMENT	085	JPM	S	809	32.24	n/a	7-Oct	32.36	4.0
BESSEMER INVESTMENT	085	KFT	S	512	33.62	n/a	n/a	20.48	4.0
B BUCK CAPITAL MGMT		KMT	SS	60,000	33.93	n/a	14-Sep	non-brg	4.0
DE SHAW	070	KSS	SS	45,000	50.67	7-Oct	7-Oct	1,350.00	3.0
BASIX	033	LIFE	S	48,100	36.87	n/a	n/a	1,443.00	3.0
MACQUARIE INVESTMENT MGMT.	040	LIFE	S	5,000	36.52	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	LIFE	B	20,000	36.80	n/a	n/a	800.00	4.0
HARVEST MGMT	029	LTD	S	5,000	40.72	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	LVL	S	3,660	1.64	n/a	n/a	146.40	4.0
BESSEMER INVESTMENT	085	MA	S	730	312.82	n/a	16-Sep	29.20	4.0
PRIMECAP MGMT	084	MDT	B	5,000	32.99	n/a	n/a	200.00	4.0
f EDWARD W WHEELER	FID	MET	S	113	2.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MPXL	S	100,000	9.66	n/a	13-Jun	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MSFT	S	1,687	26.48	n/a	n/a	67.48	4.0
f ALICE BEEBE LONGLEY	FID	MWO	B	1000	20.22	n/a	n/a	0.00	0.0
f KATHERINE L O'GORMAN	FID	MWO	B	2000	20.23	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	NDN	S	30,000	20.07	n/a	16-Sep	1,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	NFG	B	5,000	52.88	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	NOV	S	377	59.85	n/a	n/a	15.08	4.0
EPOCH INV MGMT	030	NYX	S	3,300	24.58	n/a	n/a	99.00	3.0
BESSEMER INVESTMENT	085	OXY	S	128	79.30	n/a	n/a	5.12	4.0
BESSEMER INVESTMENT	085	PFE	S	1,824	18.48	n/a	n/a	72.96	4.0
BESSEMER INVESTMENT	085	PG	S	521	64.15	n/a	29-Sep	20.84	4.0
EPOCH INV MGMT	030	PRU	S	2,250	47.64	n/a	n/a	67.50	3.0
BESSEMER INVESTMENT	085	QCOM	S	310	50.63	n/a	n/a	12.40	4.0
TRUST CO OF THE WEST/NY	040	RGA	B	1,700	49.73	n/a	n/a	85.00	5.0
TRUST CO/COWEN/CALF.	040	RGA	B	2,095	49.73	n/a	n/a	104.75	5.0
B BUCK CAPITAL MGMT		SHOO	B	10,000	32.72	n/a	n/a	non-brg	4.0
BRONSON POINT	036	SOA	B	85,000	14.19	n/a	n/a	2,550.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SODA	S	20,000	34.49	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	SPF	S	800	2.42	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	031	SSI	S	4,200	15.03	n/a	n/a	168.00	4.0
BESSEMER INVESTMENT	085	STJ	S	609	37.28	n/a	n/a	24.36	4.0
f JAMES H HLAVACEK II	FID	TACT	S	250	7.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TIF	B	20,000	67.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TIF	B	20,000	67.16	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	TRV	S	1,000	49.83	n/a	n/a	30.00	3.0
f JOSEPH CIRO AMATURO	FID	TZA	B	2000	45.02	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	SS	71,000	23.53	n/a	n/a	non-brg	4.0
NUVEEN - US BANCORP		030 VRX	B	52,127	35.89		n/a	n/a	2,345.73 4.5
EPOCH INV MGMT	030	V	S	1,800	86.85	n/a	24-Aug	54.00	3.0
BESSEMER INVESTMENT	085	XOM	S	583	73.72	n/a	n/a	23.32	4.0
f ALEXANDER PRYLUCKI	FID	XPO	S	250	7.62	n/a	n/a	0.00	0.0
f SEAN F LEDDY	FID	XPO	B	180	7.38	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	YHOO	S	6,050	15.65	n/a	n/a	181.50	3.0

TOTAL (Trade Date):

40,996.75

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/06	SURVEYOR CAPITAL	041	AA	B	20,367	9.79	n/a	n/a	611.01 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	AA	B	20,367	9.79	n/a	n/a	611.01 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	AGCO	SS	3,000	34.70	n/a	14-Sep	90.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL	041	AGCO	SS	3,000	34.70	n/a	14-Sep	90.00 3.0
AO,CXL	10/06	CATAPULT	040	AVY	SS	5,000	26.29	n/a	6-Sep	200.00 4.0
AO,CRT	10/06	CATAPULT	040	AVY	SS	5,000	26.29	n/a	6-Sep	200.00 4.0
AO,CXL	10/06	COUGAR TRADING	044	BA	S	5,000	60.96	n/a	6-Oct	250.00 5.0
AO,CRT	10/06	COUGAR TRADING	044	BA	S	10,000	60.96	n/a	6-Oct	500.00 5.0
AO,CXL	10/06	ASCEND PARTNERS	033	BIG	B	150,000	34.30	n/a	25-Aug	4500.00 3.0
AO,CRT	10/06	ASCEND PARTNERS	033	BIG	B	150,000	34.30	n/a	25-Aug	4500.00 3.0
AO,CXL	10/06	WEISS PECK	040	BWS	B	115,860	7.50	n/a	n/a	4634.40 4.0
AO,CRT	10/06	WEISS PECK	040	BWS	B	115,860	7.50	n/a	n/a	4634.40 4.0
AO,CRT	10/05	ACK ASSET	028	CMI	B	15,217	86.71	n/a	14-Sep	456.51 3.0
AO,CXL	10/05	ACK ASSET	028	CMI	B	15,217	86.71	n/a	14-Sep	456.51 3.0
AO,CXL	10/06	CATAPULT	040	CPX	B	9,100	20.59	n/a	n/a	364.00 4.0
AO,CRT	10/06	CATAPULT	040	CPX	B	9,100	20.59	n/a	n/a	364.00 4.0
AO,CXL	10/06	SYSTEMATIC FINANCIAL MGT	035	CROX	B	30,000	25.45	n/a	n/a	900.00 3.0
AO,CRT	10/06	SYSTEMATIC FINANCIAL MGT	035	CROX	B	30,000	25.45	n/a	n/a	900.00 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	EXPD	SS	4,000	42.64	n/a	n/a	120.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/06	SURVEYOR CAPITAL	041	EXPD	SS	4,000	42.64	n/a	n/a	120.00 3.0
AO,CRT	10/06	MERCHANTS GATE CAP LP	036	GLT	SS	24,000	13.85	n/a	n/a	960.00 4.0
AO,CXL	10/06	MERCHANTS GATE CAP LP	036	GLT	SS	24,000	13.85	n/a	n/a	960.00 4.0
AO,CXL	10/06	OZ MGMT	040	GM	SS	50,000	21.80	n/a	4-Oct	1500.00 3.0
AO,CRT	10/06	OZ MGMT	040	GM	SS	50,000	21.80	n/a	4-Oct	1500.00 3.0
AO,CRT	10/06	TRELLUS PARTNERS LP	028	GM	SS	20,000	22.35	n/a	4-Oct	1000.00 5.0
AO,CXL	10/06	TRELLUS PARTNERS LP	028	GM	SS	20,000	22.35	n/a	4-Oct	1000.00 5.0
AO,CXL	10/06	SURVEYOR CAPITAL	041	HII	B	4,201	23.70	n/a	n/a	126.03 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	HII	B	4,201	23.70	n/a	n/a	126.03 3.0
AO,CXL	10/06	CATAPULT	040	HON	SS	5,000	44.51	n/a	7-Oct	200.00 4.0
AO,CRT	10/06	CATAPULT	040	HON	SS	5,000	44.51	n/a	7-Oct	200.00 4.0
AO,CXL	10/06	GREEN ARROW DOUG	040	IFF	SS	5,000	57.68	n/a	6-Sep	250.00 5.0
AO,CRT	10/06	GREEN ARROW DOUG	040	IFF	SS	5,000	57.68	n/a	6-Sep	250.00 5.0
AO,CRT	10/06	LEVIN CAPITAL STRATEGIES	041	LEA	S	35,000	43.80	n/a	5-Aug	1050.00 3.0
AO,CXL	10/06	LEVIN CAPITAL STRATEGIES	041	LEA	S	35,000	43.80	n/a	5-Aug	1050.00 3.0
AO,CXL	10/06	TALPION LLC	040	MIDD	SS	3,758	73.21	n/a	14-Sep	150.32 4.0
AO,CRT	10/06	TALPION LLC	040	MIDD	SS	3,758	73.21	n/a	14-Sep	150.32 4.0
AO,CRT	10/06	PRIMECAP MGMT	084	MON	S	10,000	70.05	n/a	5-Oct	400.00 4.0
AO,CXL	10/06	PRIMECAP MGMT	084	MON	S	10,000	70.05	n/a	5-Oct	400.00 4.0
AO,CXL	10/06	PILOT ADV	041	MYL	B	95,000	17.06	n/a	7-Oct	2850.00 3.0
AO,CRT	10/06	PILOT ADV	041	MYL	B	95,000	17.06	n/a	7-Oct	2850.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/06	BASSWOOD PARTNERS	267	NAV	B	11,600	33.54	n/a	14-Sep	464.00 4.0
AO,CRT	10/06	BASSWOOD PARTNERS	267	NAV	B	11,600	33.54	n/a	14-Sep	464.00 4.0
AO,CXL	10/06	MOORE CAPITAL	041	NDN	B	14,220	19.76	n/a	16-Sep	568.80 4.0
AO,CRT	10/06	MOORE CAPITAL	041	NDN	B	14,220	19.76	n/a	16-Sep	568.80 4.0
AO,CXL	10/06	SURVEYOR CAPITAL	041	PCP	SS	1,310	152.20	n/a	22-Sep	39.30 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	PCP	SS	1,310	152.20	n/a	22-Sep	39.30 3.0
AO,CXL	10/06	AVESTA CAP	229	PEP	SS	100,000	59.87	n/a	n/a	3000.00 3.0
AO,CRT	10/06	AVESTA CAP	229	PEP	SS	100,000	59.87	n/a	n/a	3000.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL	041	PHM	B	24,876	4.04	n/a	n/a	746.28 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	PHM	B	24,876	4.04	n/a	n/a	746.28 3.0
AO,CXL	10/06	SURVEYOR CAPITAL	041	PLL	B	2,500	44.78	n/a	n/a	75.00 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	PLL	B	2,500	44.78	n/a	n/a	75.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL	041	PPO	SS	1,000	56.23	n/a	n/a	30.00 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	PPO	SS	1,000	56.23	n/a	n/a	30.00 3.0
AO,CXL	10/06	PRIMECAP MGMT	084	PSS	S	2,000	13.94	n/a	n/a	80.00 4.0
AO,CRT	10/06	PRIMECAP MGMT	084	PSS	S	2,000	13.94	n/a	n/a	80.00 4.0
AO,CXL	10/06	BRONSON POINT	036	RGC	SS	50,000	12.41	n/a	n/a	1500.00 3.0
AO,CRT	10/06	BRONSON POINT	036	RGC	SS	50,000	12.41	n/a	n/a	1500.00 3.0
AO,CXL	10/06	CATAPULT	040	RKT	S	5,000	50.30	n/a	4-Aug	200.00 4.0
AO,CRT	10/06	CATAPULT	040	RKT	S	5,000	50.30	n/a	4-Aug	200.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/06	WEISS PECK	040	SDS	B	31,500	24.20	n/a	n/a	945.00 3.0
AO,CRT	10/06	WEISS PECK	040	SDS	B	31,500	24.20	n/a	n/a	945.00 3.0
AO,CXL	10/06	KAM ADVISORS LLC	041	SU	SS	76,500	27.48	n/a	n/a	2295.00 3.0
AO,CRT	10/06	KAM ADVISORS LLC	041	SU	SS	76,500	27.48	n/a	n/a	2295.00 3.0
AO,CRT	10/06	BASSWOOD PARTNERS	267	TEX	B	8,700	11.93	n/a	14-Sep	348.00 4.0
AO,CXL	10/06	BASSWOOD PARTNERS	267	TEX	B	8,700	11.93	n/a	14-Sep	348.00 4.0
AO,CRT	10/06	ASCEND PARTNERS	033	TGT	S	50,000	51.92	n/a	6-Oct	1500.00 3.0
AO,CXL	10/06	ASCEND PARTNERS	033	TGT	S	50,000	51.92	n/a	6-Oct	1500.00 3.0
AO,CRT	10/06	OZ MGMT	040	TGT	S	10,000	51.30	n/a	6-Oct	300.00 3.0
AO,CXL	10/06	OZ MGMT	040	TGT	S	10,000	51.30	n/a	6-Oct	300.00 3.0
AO,CXL	10/06	MERRILL ASSET/BLACKROCK	297	UPL	B	8,200	28.23	n/a	27-Sep	328.00 4.0
AO,CRT	10/06	MERRILL ASSET/BLACKROCK	297	UPL	B	8,200	28.23	n/a	27-Sep	328.00 4.0
AO,CRT	10/06	AVESTA CAP	229	UTX	C	50,000	70.01	n/a	n/a	1500.00 3.0
AO,CXL	10/06	AVESTA CAP	229	UTX	C	50,000	70.01	n/a	n/a	1500.00 3.0
AO,CXL	10/06	SURVEYOR CAPITAL	041	WMT	SS	5,716	52.47	n/a	25-Aug	171.48 3.0
AO,CRT	10/06	SURVEYOR CAPITAL	041	WMT	SS	5,716	52.47	n/a	25-Aug	171.48 3.0
AO,CXL	10/06	SUFFOLK CAPITAL MGMT	040	YUM	B	25,000	48.89	n/a	5-Oct	1000.00 4.0
AO,CRT	10/06	SUFFOLK CAPITAL MGMT	040	YUM	B	25,000	48.89	n/a	5-Oct	1000.00 4.0
TOTAL (AO, CXL, CRT) :										250.00

TOTAL (Trade Date):	40,996.75
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TOTAL (AO, CXL, CRT):	250.00
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TOTAL (RUN DATE) / NFS:	41,246.75
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 7-Oct.

KSS

MRI Securities without Trade Activity on 7-Oct.

STT, BK, ROST

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 2%

<u>Legend:</u>
Õ: Employee Trades in Outside Accounts
ß: Non-BRG BCM Trades
[i]: Initiation of Coverage
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
Watch List Trades
f: Employee Trades (Fidelity)