



Daily Compliance Activity Report

Trade Date: 11/04/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	63	400.10	n/a	n/a	2.52	4.0
LISTED ERR	099	ABC	S	420	39.12	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ACE	S	233	71.81	n/a	n/a	9.32	4.0
MATRIX ASSET ADV.	091	ADI	S	2,000	37.12	n/a	n/a	80.00	4.0
PAW PARTNERS	025	AEO	B	17,500	13.96	n/a	4-Nov	700.00	4.0
PORTER-ORLIN	044	ALU	S	1,140,000	2.30	n/a	n/a	22,800.00	2.0
PATTEN & PATTEN	025	AML	B	620	16.11	n/a	n/a	31.00	5.0
LOMBARDIA CAP MGMT	084	AMSWA	B	5,100	8.21	n/a	n/a	204.00	4.0
KACELA CAPITAL	034	ANR	B	82,000	28.48	n/a	n/a	3,280.00	4.0
STATE TEACHERS RET SYS	047	ANR	B	50,300	28.15	n/a	n/a	2,515.00	5.0
ASCEND PARTNERS	033	ARCO	B	7,700	21.81	n/a	31-Oct	231.00	3.0
BALYASNY ASSET MGMT	044	AXL	SS	25,000	9.28	n/a	31-Oct	1,000.00	4.0
BESSEMER INVESTMENT	085	BA	S	641	65.82	n/a	28-Oct	25.64	4.0
STATE TEACHERS RET SYS	047	BFS	S	2,868	35.00	n/a	n/a	143.40	5.0
OZ MGMT	040	BIG	S	25,000	41.04	n/a	3-Nov	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	BK	B	25	20.88	n/a	4-Nov	1.25	5.0
PATTEN & PATTEN	025	BP	S	200	43.53	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	BR	S	25	22.45	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	CAT	S	2,300	95.19	n/a	25-Oct	115.00	5.0
SURVEYOR CAPITAL	041	CAT	B	1,000	94.65	n/a	25-Oct	30.00	3.0
ARSENAL ASSET MANAGEMENT	028	CBE	B	10,000	53.94	n/a	21-Oct	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	CBE	S	20,000	54.89	n/a	21-Oct	800.00	4.0
PATTEN & PATTEN	025	CBT	B	15	30.89	n/a	4-Nov	0.75	5.0
BESSEMER INVESTMENT	085	CB	S	496	67.65	n/a	n/a	19.84	4.0
SCOPUS FUND	041	CHD	B	9,900	43.37	n/a	4-Nov	396.00	4.0
ROARING BLUE LION MGMT	031	CJES	S	22,700	17.82	n/a	n/a	908.00	4.0
BESSEMER INVESTMENT	085	CLX	S	484	64.90	n/a	2-Nov	19.36	4.0
FARALLON CAP MGMT	040	CMCSA	B	57,500	22.74	n/a	n/a	1,725.00	3.0
SCOPUS FUND	041	CNK	SS	36,500	20.33	n/a	n/a	1,460.00	4.0
BESSEMER INVESTMENT	085	CP	B	165	61.23	n/a	n/a	6.60	4.0
BMO NESBITT BURNS	041	CROX	B	8,000	17.76	n/a	n/a	400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	CVS	B	31,940	37.90	n/a	n/a	1,277.60	4.0
NEUBERGER BERMAN	036	C	B	40,850	30.13	n/a	4-Nov	1,634.00	4.0
BESSEMER INVESTMENT	085	DIS	S	333	34.50	n/a	n/a	13.32	4.0
JP MORGAN VENTURES	046	DNKN	B	15,000	26.10	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	DUK	B	1,000	20.53	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	ECA	S	50	21.31	n/a	n/a	2.50	5.0
BESSEMER INVESTMENT	085	ECL	S	350	54.54	n/a	25-Oct	14.00	4.0
BNP PARIBAS SEC	040	ECL	SS	20,000	54.36	n/a	25-Oct	1,000.00	5.0
PATTEN & PATTEN	025	EP	S	2,500	24.78	n/a	n/a	125.00	5.0
PATTEN & PATTEN	025	EWZ	S	435	61.55	n/a	n/a	21.75	5.0
VISIUM/BALY BOBBY	044	EXP	S	20,000	20.54	n/a	n/a	1,000.00	5.0
FORTRESS INVESTMENT (US)	036	FAST	S	20,000	40.10	n/a	n/a	800.00	4.0
SOROS LONDON	036	FCX	B	124,500	40.14	n/a	n/a	4,980.00	4.0
PATTEN & PATTEN	025	FHN	B	1,187	7.07	n/a	n/a	59.35	5.0
SCOPUS FUND	041	FOSL	S	31,967	97.11	n/a	n/a	1,278.68	4.0
PATTEN & PATTEN	025	F	S	1,000	11.17	n/a	2-Nov	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	GES	SS	49,000	31.23	n/a	21-Oct	1,470.00	3.0
BESSEMER INVESTMENT	085	GE	S	1,233	16.28	n/a	n/a	49.32	4.0
BESSEMER INVESTMENT	085	GIS	S	980	38.73	n/a	n/a	39.20	4.0
PATTEN & PATTEN	025	GLD	S	20	170.50	n/a	n/a	1.00	5.0
PATTEN & PATTEN	025	GLW	B	400	14.20	n/a	31-Oct	20.00	5.0
PLATTE RIVER CAPITAL	240	GLW	B	37,000	14.27	n/a	31-Oct	1,480.00	4.0
BALYASNY ASSET MGMT	044	GM	SS	25,000	23.49	n/a	2-Nov	1,250.00	5.0
PHILADELPHIA FINANCIAL	033	GM	SS	100,000	23.53	n/a	2-Nov	4,000.00	4.0
PATTEN & PATTEN	025	GOOG	B	10	594.11	n/a	n/a	0.50	5.0
STATE TEACHERS RET SYS	047	GOV	S	15,000	21.95	n/a	n/a	750.00	5.0
LOMBARDIA CAP MGMT	084	GRT	B	117,217	9.05	n/a	n/a	4,688.68	4.0
CASTLEROCK	040	HAL	S	169,977	37.07	n/a	n/a	6,799.08	4.0
VISIUM/BALY BOBBY	044	HAL	S	8,000	37.12	n/a	n/a	400.00	5.0
STATE TEACHERS RET SYS	047	HCN	B	20,000	50.32	n/a	n/a	1,000.00	5.0
BESSEMER INVESTMENT	085	HII	S	998	29.66	n/a	n/a	39.92	4.0
BESSEMER INVESTMENT	085	HON	S	1,333	53.58	n/a	21-Oct	53.32	4.0
PATTEN & PATTEN	025	HPQ	B	3,000	26.41	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	041	HTZ	B	21,738	11.51	n/a	n/a	652.14	3.0
SIMMONS VENTURES	041	HWD	B	5,000	11.84	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	ILF	S	1,400	45.23	n/a	n/a	70.00	5.0
BESSEMER INVESTMENT	085	IMO	S	470	41.36	n/a	n/a	18.80	4.0
BESSEMER INVESTMENT	085	IP	S	519	28.16	n/a	27-Oct	20.76	4.0
VISIUM/BALY BOBBY	044	IWM	C	14,000	74.68	n/a	n/a	700.00	5.0
BESSEMER INVESTMENT	085	JCI	S	325	32.39	n/a	27-Oct	13.00	4.0
PATTEN & PATTEN	025	JCI	B	35	32.26	n/a	27-Oct	1.75	5.0
SURVEYOR CAPITAL	041	JCI	SS	2,200	32.25	n/a	27-Oct	66.00	3.0
DELTEC ASSET MGMT.	040	JNY	S	10,000	12.02	n/a	27-Oct	500.00	5.0
BESSEMER INVESTMENT	085	JPM	S	345	33.62	n/a	4-Nov	13.80	4.0
STATE TEACHERS RET SYS	047	KEY	B	356,400	7.33	n/a	n/a	17,820.00	5.0
BESSEMER INVESTMENT	085	KFT	S	247	35.22	n/a	n/a	9.88	4.0
BESSEMER INVESTMENT	085	KO	S	15	67.59	n/a	19-Oct	0.60	4.0
PATTEN & PATTEN	025	KRE	S	200	23.45	n/a	n/a	10.00	5.0
SURVEYOR CAPITAL	041	LNC	B	52,192	19.31	n/a	n/a	1,565.76	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	MIC	B	300	27.63	n/a	n/a	15.00	5.0
BNP PARIBAS SEC	040	MMM	B	20,000	79.27	n/a	25-Oct	1,000.00	5.0
BESSEMER INVESTMENT	085	MRK	S	200	33.85	n/a	n/a	8.00	4.0
PATTEN & PATTEN	025	MRK	B	400	34.12	n/a	n/a	20.00	5.0
STRONG/MARK GRONET	030	MRVC	S	400,000	1.36	n/a	n/a	4,000.00	1.0
BESSEMER INVESTMENT	085	MSFT	S	649	26.08	n/a	n/a	25.96	4.0
PATTEN & PATTEN	025	MSI	S	17	45.89	n/a	n/a	0.85	5.0
ADAGE CAPITAL MGMT	030	M	S	250,000	30.89	n/a	4-Nov	7,500.00	3.0
PILOT ADV	041	M	S	7,000	30.79	n/a	4-Nov	210.00	3.0
SYSTEMATIC FINANCIAL MGT	035	M	S	336,300	31.01	n/a	4-Nov	10,089.00	3.0
THOMAS WEISEL ASSET MGMT	035	NAV	B	1,552	42.28	n/a	14-Sep	46.56	3.0
THOMAS WEISEL ASSET MGMT	035	NCI	B	11,451	11.35	n/a	n/a	343.53	3.0
SERENGETI MGMT	030	NOK	SS	1,000,000	6.58	n/a	n/a	50,000.00	5.0
BESSEMER INVESTMENT	085	NOV	S	153	70.82	n/a	n/a	6.12	4.0
THOMAS WEISEL ASSET MGMT	035	NTSP	B	13,390	6.15	n/a	n/a	401.70	3.0
PATTEN & PATTEN	025	NUE	S	4,650	38.16	n/a	n/a	232.50	5.0
BESSEMER INVESTMENT	085	NVE	S	400	15.83	n/a	n/a	16.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	OAS	B	1,564	31.80	n/a	n/a	46.92	3.0
THOMAS WEISEL ASSET MGMT	035	OCZ	B	20,237	8.30	n/a	n/a	607.11	3.0
THOMAS WEISEL ASSET MGMT	035	ODFL	B	1,992	37.20	n/a	n/a	59.76	3.0
THOMAS WEISEL ASSET MGMT	035	OEH	B	8,683	8.78	n/a	n/a	260.49	3.0
HUNTER GLOBAL INVESTOR	028	OIS	B	8,260	73.82	n/a	n/a	413.00	5.0
BESSEMER INVESTMENT	085	OLN	S	625	19.55	n/a	n/a	25.00	4.0
THOMAS WEISEL ASSET MGMT	035	OMCL	B	18,874	15.28	n/a	n/a	566.22	3.0
THOMAS WEISEL ASSET MGMT	035	OPNT	B	1,832	46.19	n/a	n/a	54.96	3.0
BESSEMER INVESTMENT	085	ORCL	S	428	32.57	n/a	n/a	17.12	4.0
THOMAS WEISEL ASSET MGMT	035	OSUR	B	4,140	8.91	n/a	n/a	124.20	3.0
THOMAS WEISEL ASSET MGMT	035	OVTI	B	4,310	16.97	n/a	n/a	129.30	3.0
BESSEMER INVESTMENT	085	OXY	S	60	95.21	n/a	n/a	2.40	4.0
THOMAS WEISEL ASSET MGMT	035	PANL	B	596	50.46	n/a	n/a	17.88	3.0
PATTEN & PATTEN	025	PCAR	S	1,000	43.22	n/a	26-Oct	50.00	5.0
THOMAS WEISEL ASSET MGMT	035	PDC	B	18,425	9.90	n/a	n/a	552.75	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PFE	S	782	19.61	n/a	n/a	31.28	4.0
BESSEMER INVESTMENT	085	PG	S	642	63.12	n/a	3-Nov	25.68	4.0
PATTEN & PATTEN	025	PHO	S	11,050	17.29	n/a	n/a	552.50	5.0
PATTEN & PATTEN	025	PIO	S	5,200	16.75	n/a	n/a	260.00	5.0
THOMAS WEISEL ASSET MGMT	035	PIR	B	11,689	12.85	n/a	n/a	350.67	3.0
THOMAS WEISEL ASSET MGMT	035	PMTC	B	6,273	21.35	n/a	n/a	188.19	3.0
NEUBERGER BERMAN	036	PPDI	S	252,756	33.02	n/a	n/a	10,110.24	4.0
STATE TEACHERS RET SYS	047	PSA	B	3,000	123.43	n/a	n/a	150.00	5.0
BESSEMER INVESTMENT	085	QCOM	S	118	55.39	n/a	n/a	4.72	4.0
PATTEN & PATTEN	025	RHHBY	S	200	40.28	n/a	n/a	10.00	5.0
THOMAS WEISEL ASSET MGMT	035	RUSHA	B	3,165	19.77	n/a	n/a	94.95	3.0
VISIUM/BALY BOBBY	044	R	S	8,000	51.21	n/a	n/a	400.00	5.0
THOMAS WEISEL ASSET MGMT	035	SFLY	B	6,377	41.26	n/a	n/a	191.31	3.0
BMO NESBITT BURNS	041	SKX	SS	10,000	14.26	n/a	n/a	400.00	4.0
PZENA INV ADV	044	SKX	B	2,525	14.38	n/a	n/a	88.38	3.5
SURVEYOR CAPITAL	041	SLM	S	70,679	14.13	n/a	26-Oct	2,120.37	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	SODA	B	2,596	34.75	n/a	n/a	77.88	3.0
THOMAS WEISEL ASSET MGMT	035	SONS	B	13,008	2.69	n/a	n/a	390.24	3.0
BESSEMER INVESTMENT	085	SO	S	200	42.95	n/a	n/a	8.00	4.0
THOMAS WEISEL ASSET MGMT	035	SPPI	B	4,172	11.74	n/a	n/a	125.16	3.0
ROARING BLUE LION MGMT	031	SSI	B	3,400	13.99	n/a	n/a	136.00	4.0
BESSEMER INVESTMENT	085	STJ	S	256	38.33	n/a	n/a	10.24	4.0
THOMAS WEISEL ASSET MGMT	035	STNR	B	6,060	47.80	n/a	n/a	181.80	3.0
PATTEN & PATTEN	025	SWN	B	90	42.49	n/a	28-Oct	4.50	5.0
PATTEN & PATTEN	025	SWN	S	200	42.09	n/a	28-Oct	10.00	5.0
THOMAS WEISEL ASSET MGMT	035	TEN	B	2,789	32.32	n/a	n/a	83.67	3.0
PATTEN & PATTEN	025	TEVA	B	10	41.31	n/a	3-Nov	0.50	5.0
PATTEN & PATTEN	025	TEVA	S	850	41.58	n/a	3-Nov	42.50	5.0
PATTEN & PATTEN	025	TGT	S	300	51.86	n/a	3-Nov	15.00	5.0
LOMBARDIA CAP MGMT	084	TPC	B	64,119	15.32	n/a	n/a	2,564.76	4.0
THOMAS WEISEL ASSET MGMT	035	TSRX	B	7,741	6.80	n/a	n/a	232.23	3.0
MELLON/BANK OF NEW YORK	046	TXN	B	492,550	31.87	n/a	n/a	19,702.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FINDLAY PARK PART	085	UNT	B	6,100	51.06	n/a	24-Oct	545.10	0.0
THOMAS WEISEL ASSET MGMT	035	UPI	B	6,919	4.51	n/a	n/a	207.57	3.0
ACK ASSET	028	URBN	SS	55,000	26.36	n/a	n/a	1,650.00	3.0
BESSEMER INVESTMENT	085	USB	S	150	25.25	n/a	n/a	6.00	4.0
THOMAS WEISEL ASSET MGMT	035	VLTR	B	5,956	25.37	n/a	n/a	178.68	3.0
PATTEN & PATTEN	025	VMC	S	1,988	30.74	n/a	n/a	99.40	5.0
STATE TEACHERS RET SYS	047	VNO	S	3,000	81.38	n/a	n/a	150.00	5.0
THOMAS WEISEL ASSET MGMT	035	VOLC	B	2,234	24.02	n/a	n/a	67.02	3.0
THOMAS WEISEL ASSET MGMT	035	VRUS	B	567	73.05	n/a	n/a	17.01	3.0
SURVEYOR CAPITAL	041	VR	S	52,539	28.47	n/a	n/a	1,576.17	3.0
BESSEMER INVESTMENT	085	V	S	477	92.88	n/a	27-Oct	19.08	4.0
THOMAS WEISEL ASSET MGMT	035	WCG	B	2,197	54.66	n/a	n/a	65.91	3.0
KENNEDY CAPITAL	046	WEN	S	50,000	5.40	n/a	3-Nov	1,500.00	3.0
COUGAR TRADING	044	WRC	SS	5,000	51.11	n/a	4-Nov	250.00	5.0
THOMAS WEISEL ASSET MGMT	035	WRC	B	3,003	51.00	n/a	4-Nov	90.09	3.0
PATTEN & PATTEN	025	WY	S	800	17.34	n/a	28-Oct	40.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VISIUM/BALY BOBBY	044	XLI	C	15,000	33.56	n/a	n/a	750.00	5.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	25,000	52.64	n/a	n/a	750.00	3.0
MOORE CAPITAL	041	XRT	SS	8,500	52.74	n/a	n/a	255.00	3.0
MOORE CAPITAL	041	YHOO	B	20,000	15.01	n/a	n/a	600.00	3.0
TALPION LLC	040	YUM	B	10,000	53.82	n/a	5-Oct	400.00	4.0
TOTAL (Trade Date):								218,846.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/03	STATE TEACHERS RET SYS (STRSMAIN)	047	NUAN	S	50,000	26.54	n/a	n/a	2500.00 5.0
AO,CRT	11/03	STATE TEACHERS RET SYS (STRSMAIN)	047	NUAN	S	25,000	26.66	n/a	n/a	1250.00 5.0
AO,	11/03	STATE TEACHERS RET SYS (STRSMAIN)	047	NUAN	S	25,000	26.42	n/a	n/a	1250.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (RUN DATE) / NFS :	218,846.77
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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