



Daily Compliance Activity Report

Trade Date: 10/26/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ABT	S	1,500	53.51	n/a	n/a	60.00	4.0
COLUMBUS CAP MGMT LLC	084	ACW	B	50,000	5.63	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	ADBE	S	1,000	27.89	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	ADM	S	1,000	28.78	n/a	23-Sep	40.00	4.0
BESSEMER INVESTMENT	085	ADP	S	1,000	50.77	n/a	n/a	40.00	4.0
DSM CAPITAL PARTNERS	085	ADTN	S	8,995	31.01	n/a	n/a	449.75	5.0
MILLENNIUM-ANDEW	031	AGCO	S	35,000	41.72	n/a	26-Oct	1,750.00	5.0
SENATOR INVESTMENT GROUP	036	APC	S	50,000	76.93	n/a	24-Oct	1,500.00	3.0
BASIX	033	ATI	B	32,000	43.42	n/a	n/a	960.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	50,000	9.21	n/a	19-Oct	1,500.00	3.0
ENTRUST CAPITAL	040	BKE	B	10,000	42.15	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	BMJ	S	5,744	32.39	n/a	n/a	229.76	4.0
CRAMER ROSENTHAL/SCOTT	070	B	S	87,000	22.01	n/a	n/a	3,480.00	4.0
CATAPULT	040	CE	SS	5,000	41.36	n/a	20-May	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	CLX	S	2,500	68.44	n/a	4-Aug	100.00	4.0
OZ MGMT	040	CME	C	46,552	261.87	n/a	28-Apr	1,396.56	3.0
MERRILL ASSET/BLACKROCK	297	CRR	S	4,410	123.56	n/a	11-Jan	176.40	4.0
BESSEMER INVESTMENT	085	CSCO	S	4,000	17.65	n/a	n/a	160.00	4.0
BESSEMER INVESTMENT	085	CTL	S	1,000	34.49	n/a	n/a	40.00	4.0
MERRILL ASSET/BLACKROCK	297	C	S	273,500	30.42	n/a	18-Oct	10,940.00	4.0
BESSEMER INVESTMENT	085	DD	S	1,680	46.10	n/a	25-Oct	67.20	4.0
NOKOMIS PARTNERS	031	DVN	S	18,000	62.77	n/a	24-Oct	540.00	3.0
BESSEMER INVESTMENT	085	ED	S	2,075	58.81	n/a	n/a	83.00	4.0
NOKOMIS PARTNERS	031	EPM	B	200	6.80	n/a	n/a	6.00	3.0
NEUBERGER BERMAN	036	FCX	B	32,620	39.03	n/a	n/a	1,304.80	4.0
DSM CAPITAL PARTNERS	085	FMCN	B	3,375	24.96	n/a	n/a	168.75	5.0
AVESTA CAP	229	F	S	42,000	11.64	n/a	19-Oct	1,260.00	3.0
FIRST NY SEC/CHRIS	041	F	B	50,000	11.72	n/a	19-Oct	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	041	F	C	30,000	12.18	n/a	19-Oct	900.00	3.0
MACQUARIE INVESTMENT MGMT.	040	F	SS	25,000	12.17	n/a	19-Oct	0.00	0.0
OZ MGMT	040	F	B	455,000	11.76	n/a	19-Oct	13,650.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	F	S	25,000	11.76	n/a	19-Oct	1,250.00	5.0
TRELLUS PARTNERS LP	028	F	C	50,000	11.73	n/a	19-Oct	2,500.00	5.0
JET CAPITAL/CHRIS	041	GEN	B	250,000	2.90	n/a	n/a	7,500.00	3.0
TRUSTCO/SUNTRUST	040	GE	B	69,600	16.29	n/a	n/a	2,436.00	3.5
BESSEMER INVESTMENT	085	GIS	S	2,000	38.99	n/a	n/a	80.00	4.0
JANA CAPITAL	044	GLD	C	115,043	167.32	n/a	n/a	4,601.72	4.0
BALYASNY ASSET MGMT	044	GM	SS	100,000	24.82	n/a	19-Oct	5,000.00	5.0
IRIDIAN ASSET MGMT.	036	GM	SS	267,200	24.81	n/a	19-Oct	8,016.00	3.0
OZ MGMT	040	GM	C	28,811	24.93	n/a	19-Oct	864.33	3.0
PHILADELPHIA FINANCIAL	033	GM	SS	92,095	24.74	n/a	19-Oct	3,683.80	4.0
CATAPULT	040	GRA	SS	5,000	38.99	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	HD	B	112,450	36.37	n/a	16-Aug	3,373.50	3.0
MERRILL ASSET/BLACKROCK	297	HFC	S	30,600	30.54	n/a	n/a	1,224.00	4.0
BESSEMER INVESTMENT	085	HON	S	1,100	51.50	n/a	21-Oct	44.00	4.0
BESSEMER INVESTMENT	085	HPQ	S	800	25.69	n/a	n/a	32.00	4.0
OZ MGMT	040	ICE	C	58,189	126.03	n/a	n/a	1,745.67	3.0
LATEFF MGMT	035	INTC	S	400	24.66	n/a	n/a	48.00	12.0
BALYASNY ASSET MGMT	044	IP	B	50,000	26.82	n/a	17-Oct	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	IP	B	3,000	26.59	n/a	17-Oct	150.00	5.0
BNP PARIBAS SEC	040	IP	B	10,000	26.39	n/a	17-Oct	500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	1,400	26.12	n/a	17-Oct	70.00	5.0
SCOPUS FUND	041	IP	B	100,000	26.52	n/a	17-Oct	4,000.00	4.0
DELTEC ASSET MGMT.	040	IR	B	10,000	30.06	n/a	20-Oct	500.00	5.0
SIMMONS VENTURES	041	JNY	B	5,000	10.88	n/a	28-Jul	200.00	4.0
BESSEMER INVESTMENT	085	JPM	S	1,100	34.15	n/a	13-Oct	44.00	4.0
BESSEMER INVESTMENT	085	KMB	S	1,000	70.13	n/a	25-Oct	40.00	4.0
LATEFF MGMT	035	KMB	S	150	70.16	n/a	25-Oct	45.00	30.0
BESSEMER INVESTMENT	085	KMP	S	1,455	77.90	n/a	n/a	58.20	4.0
HIGHBRIDGE CAP	041	KSS	S	25,000	52.56	n/a	7-Oct	750.00	3.0
BESSEMER INVESTMENT	085	MCD	S	1,500	91.64	n/a	21-Oct	60.00	4.0
NEUBERGER BERMAN	036	MET	B	34,860	31.77	n/a	n/a	1,394.40	4.0
BESSEMER INVESTMENT	085	MMM	S	720	76.88	n/a	25-Oct	28.80	4.0
BESSEMER INVESTMENT	085	MRK	S	2,500	33.41	n/a	n/a	100.00	4.0
BESSEMER INVESTMENT	085	MSFT	S	2,000	26.59	n/a	n/a	80.00	4.0
BMO NESBITT BURNS	041	MWV	S	29,000	28.10	n/a	26-Oct	1,450.00	5.0
BNP PARIBAS SEC	040	MWV	B	30,000	28.13	n/a	26-Oct	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
SCHOTTENFELD ASSOC	041	MWV	B	10,000	28.20	n/a	26-Oct	300.00	3.0	
THE JAY GOLDMAN	028	M	SS	20,000	30.39	n/a	7-Oct	800.00	4.0	
GEOSPHERE CAPITAL MGMT	299	PCAR	B	100,000	41.49	n/a	26-Oct	3,000.00	3.0	
BESSEMER INVESTMENT	085	PCL	S	1,500	37.14	n/a	25-Oct	60.00	4.0	
LANE GATE PARTNERS LLC	030	PCL	B	4,000	36.93	n/a	25-Oct	120.00	3.0	
BESSEMER INVESTMENT	085	PEP	S	1,000	61.96	n/a	n/a	40.00	4.0	
LATEFF MGMT	035	PFE	S	400	19.24	n/a	n/a	48.00	12.0	
BNP PARIBAS SEC	040	PLCE	B	15,000	46.34	n/a	18-Aug	750.00	5.0	
COLUMBUS CIRCLE	036	REXX	B	1,797	14.47	n/a	n/a	71.88	4.0	
NUVEEN - US BANCORP		030	RFMD	S	34,119	7.52	n/a	n/a	1,535.36	4.5
NEWLAND CAPITAL MGT	025	RKT	S	15,000	57.06	n/a	17-Oct	600.00	4.0	
CASTLE ARK	031	RL	B	60,970	153.47	n/a	21-Oct	3,048.50	5.0	
ADAGE CAPITAL MGMT	030	ROST	S	80,000	86.01	n/a	7-Oct	2,400.00	3.0	
LANE GATE PARTNERS LLC	030	RYN	S	3,700	40.56	n/a	26-Oct	111.00	3.0	
BESSEMER INVESTMENT	085	SBUX	S	1,500	41.45	n/a	3-Oct	60.00	4.0	
BNP PARIBAS SEC	040	SEE	B	30,000	17.37	n/a	2-Jun	1,500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	SLE	S	1,000	17.64	n/a	n/a	40.00	4.0
SCOUT/UMB	047	SNDK	B	76,395	50.13	n/a	n/a	2,291.85	3.0
BESSEMER INVESTMENT	085	SO	S	1,300	42.94	n/a	n/a	52.00	4.0
NEUBERGER BERMAN	036	TCK	B	30,900	35.47	n/a	n/a	1,236.00	4.0
HALCYON LLC	041	TIN	B	50,000	31.70	n/a	19-Oct	1,500.00	3.0
ADAGE CAPITAL MGMT	030	TJX	B	200,000	58.15	n/a	7-Oct	6,000.00	3.0
BESSEMER INVESTMENT	085	T	S	2,650	28.63	n/a	n/a	106.00	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	19,000	31.75	n/a	24-Oct	760.00	4.0
BESSEMER INVESTMENT	085	UPS	S	1,100	69.30	n/a	n/a	44.00	4.0
WEISS PECK - ROBECO INV		040	URBN	SS	6,300	25.78	n/a	n/a	315.00 5.0
BMO NESBITT BURNS	041	USG	S	13,000	9.64	n/a	21-Oct	650.00	5.0
ENTRUST CAPITAL	040	VRA	B	37,400	44.72	n/a	n/a	1,870.00	5.0
BESSEMER INVESTMENT	085	VZ	S	2,265	36.55	n/a	n/a	90.60	4.0
BESSEMER INVESTMENT	085	WFC	S	1,500	25.78	n/a	17-Oct	60.00	4.0
BESSEMER INVESTMENT	085	WMT	S	2,000	57.27	n/a	13-Oct	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	WRC	S	900	46.75	n/a	21-Oct	27.00	3.0
TOTAL (Trade Date):							131,678.83		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									131,678.83
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									131,678.83
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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