



Daily Compliance Activity Report

Trade Date: 07/21/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSIMER TRUST	085	AAPL	B	100	387.88	n/a	n/a	4.00	4.0
MACQUARIE INVESTMENT MGMT.	040	AAP	B	3,000	55.14	n/a	n/a	0.00	0.0
BESSIMER TRUST	085	ABT	S	1,000	52.63	n/a	n/a	40.00	4.0
BESSIMER TRUST	085	ACE	B	730	65.38	n/a	n/a	29.20	4.0
BESSIMER TRUST	085	ACN	S	1,200	61.46	n/a	n/a	48.00	4.0
BESSIMER TRUST	085	ADM	B	1,640	32.32	n/a	15-Jul	65.60	4.0
BESSIMER TRUST	085	ADSK	S	1,250	35.52	n/a	n/a	50.00	4.0
HOLDEN CAPITAL MGMT	035	AF	B	10,000	12.24	n/a	21-Jul	400.00	4.0
BESSIMER TRUST	085	AMGN	S	466	55.54	n/a	n/a	18.64	4.0
SAVITR CAPITAL	040	AONE	B	25,000	5.63	n/a	n/a	750.00	3.0
BESSIMER TRUST	085	APH	S	1,000	50.48	n/a	n/a	40.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	30,000	11.75	n/a	14-Jul	1,500.00	5.0
BESSIMER TRUST	085	AXP	B	520	52.43	n/a	21-Jul	20.80	4.0
MERRILL ASSET/BLACKROCK	297	BBG	B	6,600	50.40	n/a	n/a	264.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRASADA	031	BHE	S	12,000	16.08	n/a	n/a	360.00	3.0
BESSIMER TRUST	085	BTU	S	1,200	61.00	n/a	n/a	48.00	4.0
PLATTE RIVER CAPITAL	240	BUD	S	15,750	58.20	n/a	29-Jun	630.00	4.0
1798 CAP/LOMBARD ASSET	040	CAT	SS	8,000	111.71	n/a	2-May	400.00	5.0
AVESTA CAP	229	CBI	S	50,000	41.27	n/a	n/a	1,500.00	3.0
BESSIMER TRUST	085	CFR	S	800	55.23	n/a	n/a	32.00	4.0
BAIRD INVESTMENT	047	CLB	B	2,585	108.62	n/a	21-Jul	129.25	5.0
BESSIMER TRUST	085	COH	S	900	66.84	n/a	18-Jul	36.00	4.0
BESSIMER TRUST	085	COST	S	500	80.99	n/a	n/a	20.00	4.0
BESSIMER TRUST	085	CRR	S	250	174.75	n/a	11-Jan	10.00	4.0
BESSIMER TRUST	085	CSCO	S	2,038	15.87	n/a	n/a	81.52	4.0
BESSIMER TRUST	085	C	S	618	39.68	n/a	18-Jul	24.72	4.0
SANDLER O'NEILL ASSET	031	C	S	35,000	40.27	n/a	18-Jul	1,750.00	5.0
BESSIMER TRUST	085	DCI	S	1,000	59.56	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	DHR	S	17,100	51.91	n/a	n/a	684.00	4.0
BESSIMER TRUST	085	DIS	B	1,280	40.85	n/a	n/a	51.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	085	DKS	S	1,500	39.31	n/a	18-May	60.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	S	9,900	26.11	n/a	11-Jul	346.50	3.5
BESSIMER TRUST	085	DVN	B	450	83.64	n/a	15-Jul	18.00	4.0
BESSIMER TRUST	085	DVN	S	110	83.93	n/a	15-Jul	4.40	4.0
BESSIMER TRUST	085	ECL	B	945	52.51	n/a	21-Jul	37.80	4.0
BRONSON POINT	036	ECL	S	7,500	51.90	n/a	21-Jul	225.00	3.0
BESSIMER TRUST	085	EL	S	600	106.49	n/a	20-Jun	24.00	4.0
BESSIMER TRUST	085	EMR	S	1,300	55.81	n/a	n/a	52.00	4.0
LATEFF MGMT	035	ENR	S	150	79.71	n/a	20-Jun	45.00	30.0
BNP PARIBAS SEC	040	FL	B	50,000	22.70	n/a	2-Jun	2,500.00	5.0
OZ MGMT	040	F	B	150,000	13.23	n/a	14-Jul	4,500.00	3.0
TROUBH PART	070	F	B	50,000	13.31	n/a	14-Jul	2,500.00	5.0
BRASADA	031	GBX	S	8,000	22.44	n/a	n/a	240.00	3.0
TUDOR INVESTORS	028	GDI	S	5,000	86.26	n/a	n/a	150.00	3.0
AVESTA CAP	229	GE	B	500,000	19.17	n/a	n/a	15,000.00	3.0
BESSIMER TRUST	085	GE	B	2,500	19.25	n/a	n/a	100.00	4.0
BESSIMER TRUST	085	GE	S	2,315	19.17	n/a	n/a	92.60	4.0
BRONSON POINT	036	GE	S	25,000	19.00	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	GIL	B	10,000	33.33	n/a	18-Jul	500.00	5.0
MILLENNIUM-ICS BOBBY	044	GNTX	SS	10,000	29.57	n/a	14-Jul	300.00	3.0
ROTHSCHILD ASSET	040	HMA	S	83,730	10.39	n/a	n/a	3,349.20	4.0
TPG-AXON	040	HMA	B	115,000	10.39	n/a	n/a	4,600.00	4.0
BESSIMER TRUST	085	HON	B	1,070	58.32	n/a	7-Jul	42.80	4.0
BESSIMER TRUST	085	HPQ	S	300	36.28	n/a	n/a	12.00	4.0
BESSIMER TRUST	085	IBM	S	345	183.11	n/a	n/a	13.80	4.0
BESSIMER TRUST	085	IP	B	1,270	30.98	n/a	19-Jul	50.80	4.0
BESSIMER TRUST	085	IP	S	1,665	30.84	n/a	19-Jul	66.60	4.0
BESSIMER TRUST	085	IR	S	335	40.72	n/a	21-Jul	13.40	4.0
NOKOMIS PARTNERS	031	IWM	B	15,000	84.01	n/a	n/a	450.00	3.0
BESSIMER TRUST	085	JCI	B	580	39.99	n/a	20-Jul	23.20	4.0
MA CAPITAL MGMT/MELLON ADV041	041	JCI	B	4,000	40.06	n/a	20-Jul	200.00	5.0
MFP INVESTORS	085	JNS	B	109,000	8.84	n/a	n/a	4,360.00	4.0
BESSIMER TRUST	085	JPM	B	1,310	42.43	n/a	14-Jul	52.40	4.0
BESSIMER TRUST	085	KFT	B	1,820	35.50	n/a	n/a	72.80	4.0
KACELA CAPITAL	034	KLAC	B	18,000	43.07	n/a	n/a	720.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	KND	S	16,000	21.28	n/a	n/a	480.00	3.0
PIONEER PATH	028	KR	B	50,000	25.35	n/a	n/a	1,500.00	3.0
BNP PARIBAS SEC	040	KS	B	40,000	16.83	n/a	n/a	2,000.00	5.0
NEUBERGER BERMAN	036	LDR	S	600	60.98	n/a	n/a	24.00	4.0
BESSIMER TRUST	085	LOW	S	1,500	22.87	n/a	13-Jun	60.00	4.0
NEUBERGER BERMAN	036	LXU	B	25,364	46.17	n/a	n/a	1,014.56	4.0
1798 CAP/LOMBARD ASSET	040	MAS	SS	40,000	11.64	n/a	n/a	2,000.00	5.0
BESSIMER TRUST	085	MA	B	100	310.30	n/a	11-Jul	4.00	4.0
BESSIMER TRUST	085	MET	B	945	42.08	n/a	n/a	37.80	4.0
MACQUARIE INVESTMENT MGMT.	040	MHK	SS	2,000	56.82	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	MRK	B	25,000	36.41	n/a	n/a	750.00	3.0
BESSIMER TRUST	085	MSFT	B	1,625	27.19	n/a	n/a	65.00	4.0
BESSIMER TRUST	085	MSFT	S	765	27.17	n/a	n/a	30.60	4.0
BESSIMER TRUST	085	MS	B	1,880	24.31	n/a	21-Jul	75.20	4.0
BESSIMER TRUST	085	MS	S	150	24.31	n/a	21-Jul	6.00	4.0
TUDOR INVESTORS	028	MTW	S	10,000	16.81	n/a	3-May	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSIMER TRUST	085	NDAQ	S	647	23.83	n/a	n/a	25.88	4.0
BESSIMER TRUST	085	NKE	S	600	90.90	n/a	1-Jul	24.00	4.0
BESSIMER TRUST	085	NOV	B	250	81.30	n/a	n/a	10.00	4.0
SCOPUS FUND	041	NYT	B	34,920	9.51	n/a	n/a	1,396.80	4.0
LATEFF MGMT	035	OI	B	250	26.28	n/a	n/a	50.00	20.0
BNP PARIBAS SEC	040	OLN	S	30,000	22.99	n/a	n/a	1,500.00	5.0
SCOPUS FUND	041	OMX	SS	68,600	6.97	n/a	n/a	2,744.00	4.0
BESSIMER TRUST	085	ORCL	S	2,000	32.07	n/a	n/a	80.00	4.0
BESSIMER TRUST	085	ORLY	S	1,000	61.69	n/a	n/a	40.00	4.0
BESSIMER TRUST	085	OXY	B	190	107.73	n/a	n/a	7.60	4.0
BESSIMER TRUST	085	PCP	B	120	167.10	n/a	19-Jul	4.80	4.0
BESSIMER TRUST	085	PEP	S	1,000	66.40	n/a	n/a	40.00	4.0
BESSIMER TRUST	085	PETM	S	1,500	44.85	n/a	n/a	60.00	4.0
SCOPUS FUND	041	PETM	S	8,000	45.32	n/a	n/a	320.00	4.0
BESSIMER TRUST	085	PFE	B	2,580	20.16	n/a	n/a	103.20	4.0
BESSIMER TRUST	085	PFE	S	2,150	20.15	n/a	n/a	86.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	085	PG	B	430	64.60	n/a	20-Jun	17.20	4.0
BESSIMER TRUST	085	PM	S	300	71.47	n/a	n/a	12.00	4.0
MACQUARIE INVESTMENT MGMT.	040	PPG	B	20,000	90.98	n/a	21-Jul	0.00	0.0
BESSIMER TRUST	085	PRU	S	1,268	61.57	n/a	n/a	50.72	4.0
SIGMA CAPITAL ASSOCIATES	041	PSS	SS	50,000	13.36	n/a	n/a	1,750.00	3.5
SCOPUS FUND	041	PVH	B	25,000	75.09	n/a	18-Jul	1,000.00	4.0
BESSIMER TRUST	085	PX	S	700	106.50	n/a	15-Jul	28.00	4.0
BESSIMER TRUST	085	QCOM	B	230	56.94	n/a	n/a	9.20	4.0
BALLAST CAP	040	RGC	B	4,600	11.75	n/a	n/a	230.00	5.0
SHEFFIELD ASSET MGMT	031	RKT	B	22,000	63.18	n/a	n/a	880.00	4.0
GREEN ARROW DOUG	040	SGMS	B	25,000	9.65	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	SIG	B	10,000	45.52	n/a	n/a	300.00	3.0
BESSIMER TRUST	085	STJ	B	450	49.41	n/a	n/a	18.00	4.0
KACELA CAPITAL	034	STZ	B	44,000	21.48	n/a	n/a	1,760.00	4.0
BESSIMER TRUST	085	SWK	B	280	69.26	n/a	n/a	11.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	SWK	SS	3,000	69.60	n/a	n/a	90.00	3.0
BESSIMER TRUST	085	SWN	S	1,000	47.83	n/a	15-Jul	40.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SWY	SS	25,000	21.55	n/a	n/a	875.00	3.5
BESSIMER TRUST	085	SYK	S	850	56.81	n/a	n/a	34.00	4.0
MERRILL ASSET/BLACKROCK	297	TESO	S	14,700	22.79	n/a	n/a	588.00	4.0
ENTRUST CAPITAL	040	TEX	B	45,300	24.75	n/a	25-Apr	2,265.00	5.0
TUDOR INVESTORS	028	TEX	B	3,000	25.57	n/a	25-Apr	90.00	3.0
BESSIMER TRUST	085	TGT	S	700	51.29	n/a	7-Jul	28.00	4.0
MACQUARIE INVESTMENT MGMT.	040	TJX	S	5,000	56.21	n/a	8-Jul	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	TNB	B	33,521	54.72	n/a	n/a	1,340.84	4.0
BESSIMER TRUST	085	TROW	S	1,000	58.29	n/a	n/a	40.00	4.0
LATEFF MGMT	035	TRV	S	125	57.35	n/a	n/a	37.50	30.0
ROTHSCHILD ASSET	040	TYL	B	19,275	26.52	n/a	n/a	771.00	4.0
Õ Abram Chappel		TZA	S	100	32.3303	n/a	n/a	0.00	0.0
Õ Abram Chappel		TZA	S	15	32.3200	n/a	n/a	0.00	0.0
BESSIMER TRUST	085	T	S	1,000	30.41	n/a	n/a	40.00	4.0
LATEFF MGMT	035	UAL	B	200	20.44	n/a	n/a	40.00	20.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	085	UNP	S	800	103.62	n/a	n/a	32.00	4.0
MACQUARIE INVESTMENT MGMT.	040	UNP	B	5,000	104.21	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	UNP	SS	5,000	103.00	n/a	n/a	150.00	3.0
1798 CAP/LOMBARD ASSET	040	UPS	B	10,000	74.43	n/a	n/a	500.00	5.0
BESSIMER TRUST	085	USB	S	1,900	26.41	n/a	n/a	76.00	4.0
SENATOR INVESTMENT GROUP	036	VAL	B	100,000	34.63	n/a	n/a	3,000.00	3.0
BNP PARIBAS SEC	040	VFC	S	10,000	121.12	n/a	18-Jul	500.00	5.0
BESSIMER TRUST	085	WAG	S	1,600	40.28	n/a	n/a	64.00	4.0
BESSIMER TRUST	085	WAT	S	750	96.52	n/a	n/a	30.00	4.0
BESSIMER TRUST	085	WFC	S	1,625	28.92	n/a	20-Jul	65.00	4.0
BESSIMER TRUST	085	WHR	B	190	72.51	n/a	n/a	7.60	4.0
SCOPUS FUND	041	WRC	B	30,000	56.81	n/a	18-Jul	1,200.00	4.0
BESSIMER TRUST	085	WSM	S	300	38.49	n/a	n/a	12.00	4.0
NEUBERGER BERMAN	036	WST	B	11,600	46.21	n/a	n/a	464.00	4.0
TOTAL (Trade Date) :								85,034.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									85,034.93
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									85,034.93

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