



## Daily Compliance Activity Report

Trade Date: 11/14/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	730	384.09	n/a	n/a	29.20	4.0
BESSEMER INVESTMENT	085	ACE	S	1,500	70.79	n/a	n/a	60.00	4.0
LAGRANGE CAP ADV	085	ALGT	SS	3,488	53.70	n/a	n/a	174.40	5.0
FARBER/WEISS PECK	085	ARCO	B	27,500	21.71	n/a	31-Oct	1,100.00	4.0
MERCHANTS GATE CAP LP	036	BKS	SS	25,000	15.80	n/a	n/a	1,000.00	4.0
LOMBARDIA CAP MGMT	084	CBZ	B	38,556	5.78	n/a	n/a	1,542.24	4.0
PNC CAPITAL ADV	028	COP	B	161,688	71.55	n/a	n/a	6,467.52	4.0
CYRUS CAPITAL	025	CSCO	B	25,000	18.99	n/a	n/a	1,000.00	4.0
ROSEDALE CAPITAL	046	CSCO	B	15,000	18.95	n/a	n/a	600.00	4.0
SANDLER O'NEILL ASSET	031	C	S	49,830	28.32	n/a	8-Nov	996.60	2.0
TROUBH PART	070	C	S	10,000	28.40	n/a	8-Nov	500.00	5.0
BESSEMER INVESTMENT	085	DIS	S	4,039	36.27	n/a	n/a	161.56	4.0
TALPION LLC	040	DKS	B	5,000	39.74	n/a	14-Nov	200.00	4.0
BESSEMER INVESTMENT	085	ECL	S	230	55.60	n/a	8-Nov	9.20	4.0
ARSENAL ASSET MANAGEMENT	028	FBHS	B	30,000	15.31	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	041	FDX	SS	7,500	81.06	n/a	n/a	225.00	3.0
LAGRANGE CAP ADV	085	FII	B	20,000	16.81	n/a	2-Mar	1,000.00	5.0
FIRST NY SEC/CHRIS	041	FL	B	10,000	22.84	n/a	10-Nov	300.00	3.0
BESSEMER INVESTMENT	085	GE	S	750	16.06	n/a	n/a	30.00	4.0
FIRST NY SEC/CHRIS	041	GM	SS	25,000	23.08	n/a	10-Nov	1,250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	HFC	B	5,000	28.03	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	IP	S	357	28.01	n/a	27-Oct	14.28	4.0
LOMBARDIA CAP MGMT	084	ITG	B	56,372	10.57	n/a	n/a	2,254.88	4.0
CHESAPEAKE PARTNERS	028	JAKK	B	4,932	19.00	n/a	n/a	147.96	3.0
BESSEMER INVESTMENT	085	JCI	S	200	31.57	n/a	27-Oct	8.00	4.0
THE JAY GOLDMAN	028	JCP	B	10,000	33.00	n/a	4-Nov	400.00	4.0
BESSEMER INVESTMENT	085	JPM	S	250	32.27	n/a	8-Nov	10.00	4.0
TROUBH PART	070	JPM	S	10,000	32.47	n/a	8-Nov	500.00	5.0
BESSEMER INVESTMENT	085	KFT	S	1,645	35.60	n/a	n/a	65.80	4.0
STELLIAM INV ADV	034	KLAC	SS	12,500	47.78	n/a	n/a	625.00	5.0
SCOPUS FUND	041	KMX	SS	50,000	27.97	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	LOW	B	75,000	23.58	n/a	10-Nov	2,250.00	3.0
BESSEMER INVESTMENT	085	NOV	S	1,845	70.45	n/a	n/a	73.80	4.0
MACQUARIE INVESTMENT MGMT.	040	OII	SS	5,000	44.23	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	OXY	S	678	98.77	n/a	n/a	27.12	4.0
BESSEMER INVESTMENT	085	PFE	S	525	19.76	n/a	n/a	21.00	4.0
LOMBARDIA CAP MGMT	084	PGI	S	9,000	8.62	n/a	n/a	360.00	4.0
BESSEMER INVESTMENT	085	PG	S	3,052	63.45	n/a	7-Nov	122.08	4.0
ROARING BLUE LION MGMT	031	PLCE	S	11,179	47.44	n/a	9-Nov	447.16	4.0
BESSEMER INVESTMENT	085	QCOM	S	1,603	57.15	n/a	n/a	64.12	4.0
BESSEMER INVESTMENT	085	STJ	S	1,353	39.53	n/a	n/a	54.12	4.0
PILOT ADV	041	UPS	SS	5,000	70.03	n/a	n/a	150.00	3.0
METROPOLITAN CAPITAL	044	VCLK	B	10,200	15.98	n/a	n/a	510.00	5.0
BNP PARIBAS SEC	040	WMT	B	50,000	58.68	n/a	11-Nov	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	20,000	52.96	n/a	n/a	600.00	3.0

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**TOTAL (Trade Date):**

**31,051.04**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/11	PIONEER PATH (PIOPPPCDCS)	028	CL	B	20,000	89.15	n/a	1-Nov	600.00 3.0
AO,	11/11	SURVEYOR CAPITAL (SURVCDRGS)	041	DIS	SS	26,907	36.86	n/a	n/a	807.21 3.0
AO,	11/11	SURVEYOR CAPITAL (SURVSCLDN)	041	DIS	SS	54,394	36.86	n/a	n/a	1631.82 3.0
AO,CRT	11/10	TUDOR INVESTORS (TUDRJMPMB)	028	GM	SS	35,000	22.30	n/a	10-Nov	1050.00 3.0
AO,CXL	11/10	TUDOR INVESTORS (TUDRMAIN)	028	GM	SS	35,000	22.30	n/a	10-Nov	1050.00 3.0
AO,	11/11	PIONEER PATH (PIOPCDRPPD)	028	JWN	B	25,000	49.25	n/a	11-Nov	750.00 3.0
AO,	11/11	PIONEER PATH (PIOPPPCDCS)	028	KSS	B	1,789	56.25	n/a	11-Nov	53.67 3.0
AO,	11/11	PIONEER PATH (PIOPCDRPPD)	028	KSS	B	48,211	56.25	n/a	11-Nov	1446.33 3.0
AO,	11/11	PIONEER PATH (PIOPCDRPPD)	028	LOW	S	60,000	23.20	n/a	10-Nov	1800.00 3.0
AO,	11/11	PIONEER PATH (PIOPCDRPPD)	028	M	S	50,000	31.02	n/a	10-Nov	1500.00 3.0
AO,	11/11	SURVEYOR CAPITAL (SURVCDRGS)	041	MAR	B	31,626	31.60	n/a	13-Jun	948.78 3.0
AO,	11/11	SURVEYOR CAPITAL (SURVCDRGS)	041	MAT	B	31,764	29.07	n/a	n/a	952.92 3.0
AO,	11/11	SURVEYOR CAPITAL (SURVSCLDN)	041	MAT	B	2,600	29.07	n/a	n/a	78.00 3.0
AO,	11/11	SURVEYOR CAPITAL (SURVGSNY)	041	RCL	S	28,515	27.42	n/a	n/a	855.45 3.0
AO,	11/11	SURVEYOR CAPITAL (SURVSCLDN)	041	RCL	S	44,239	27.42	n/a	n/a	1327.17 3.0
AO,	11/11	GLG PARTNERS (GLGPNAOPF)	034	SWY	S	25,000	19.96	n/a	n/a	750.00 3.0
AO,CRT	11/11	GLG PARTNERS (GLGPNAOMAC)	034	SWY	SS	5,060	19.96	n/a	n/a	151.80 3.0
AO,CXL	11/11	GLG PARTNERS (GLGPNAOPMS)	034	SWY	SS	30,060	19.96	n/a	n/a	901.80 3.0
AO,CXL	11/10	TRUSTCO/SUNTRUST (TRUS10275)	040	WEN	S	2,073	5.21	n/a	9-Nov	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/10	TRUSTCO/SUNTRUST (TRUS6306)	040	WEN	S	4,402	5.21	n/a	9-Nov	0.00	0.0
AO,CXL	11/10	TRUSTCO/SUNTRUST (TRUS6300)	040	WEN	S	10,933	5.21	n/a	9-Nov	0.00	0.0
AO,CXL	11/10	TRUSTCO/SUNTRUST (TRUS6579)	040	WEN	S	368	5.21	n/a	9-Nov	0.00	0.0
AO,	11/11	SCOPUS FUND (SCOPFIDO)	041	WMT	B	85,523	58.99	n/a	11-Nov	3420.92	4.0
AO,CXL	11/11	SCOPUS FUND (SCOPUBS)	041	WMT	B	87,000	58.99	n/a	11-Nov	3480.00	4.0
AO,CRT	11/11	SCOPUS FUND (SCOPUBS)	041	WMT	B	1,477	58.99	n/a	11-Nov	59.08	4.0
AO,	11/11	PILOT ADV (PILOJPM)	041	XL	B	1,000	21.22	n/a	n/a	30.00	3.0
AO,CXL	11/11	PILOT ADV (PILOPERSH)	041	XL	B	79,300	21.22	n/a	n/a	2379.00	3.0
AO,	11/11	PILOT ADV (PILOPERSH)	041	XL	B	78,300	21.22	n/a	n/a	2349.00	3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>12,751.35</b>	
TOTAL (Trade Date) :										31,051.04	
TOTAL (AO, CXL, CRT) :										12,751.35	
<b>TOTAL (RUN DATE) / NFS :</b>										<b>43,802.39</b>	

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