



Daily Compliance Activity Report

Trade Date: 11/08/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ABT	S	125	63.79	n/a	n/a	5.00	4.0
BESSEMER INVESTMENT	085	ACCO	S	29	6.93	n/a	n/a	1.16	4.0
BESSEMER INVESTMENT	085	ADBE	S	583	32.97	n/a	n/a	23.32	4.0
HIGHBRIDGE CAP	041	ADT	B	12,000	42.08	n/a	n/a	360.00	3.0
ROYCE TRADING	031	AEO	B	12,500	19.99	n/a	2-Dec	625.00	0.0
BESSEMER INVESTMENT	085	AET	B	3,500	42.84	n/a	n/a	140.00	4.0
BESSEMER INVESTMENT	085	AET	S	530	42.46	n/a	n/a	21.20	4.0
PARAMETER CAPITAL MGMT LLC044		AFL	B	20,000	50.98	n/a	n/a	800.00	4.0
HIGHBRIDGE CAP	041	AGCO	B	22,500	44.58	n/a	n/a	675.00	3.0
BESSEMER INVESTMENT	085	AME	S	1,293	36.11	n/a	n/a	51.72	4.0
HIGHBRIDGE CAP	041	APA	B	11,939	79.96	n/a	11-Oct	358.17	3.0
BESSEMER INVESTMENT	085	ASBC	S	4,345	12.25	n/a	n/a	173.80	4.0
BESSEMER INVESTMENT	085	ASNA	S	1,000	19.57	n/a	n/a	40.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)251		ATVI	B	10,000	11.10		n/a n/a	300.00	3.0
KLEINHEINZ CAP PART	031	AXE	B	28,930	58.88	n/a	24-Oct	1,446.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	AXL	B	15,000	10.09	n/a	2-Nov	750.00	0.0
SANDLER O'NEILL ASSET	031	BAC	S	22,800	9.46	n/a	8-Nov	684.00	3.0
BESSEMER INVESTMENT	085	BAX	S	125	64.91	n/a	n/a	5.00	4.0
BESSEMER INVESTMENT	085	BEAM	S	125	54.92	n/a	n/a	5.00	4.0
BESSEMER INVESTMENT	085	BGG	S	421	19.38	n/a	n/a	16.84	4.0
BESSEMER INVESTMENT	085	BMO	S	1,593	58.45	n/a	n/a	63.72	4.0
BESSEMER INVESTMENT	085	BMV	S	250	32.30	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	CAR	S	12	16.29	n/a	n/a	0.48	4.0
HIGHBRIDGE CAP	041	CF	S	5,200	197.82	n/a	n/a	156.00	3.0
OHIO PERS	047	CME	B	50,300	54.99	n/a	28-Apr	1,509.00	0.0
BESSEMER INVESTMENT	085	COH	S	50	54.29	n/a	5-Nov	2.00	4.0
BESSEMER INVESTMENT	085	COP	S	80	56.12	n/a	n/a	3.20	4.0
BESSEMER INVESTMENT	085	CRBC	S	21	17.79	n/a	n/a	0.84	4.0
KLEINHEINZ CAP PART	031	CSX	SS	75,000	20.23	n/a	n/a	3,750.00	5.0
KAYNE ANDERSON ADV	084	CVGW	S	4,300	22.78	n/a	n/a	172.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CVX	S	75	106.66	n/a	n/a	3.75	5.0
1798 CAP/LOMBARD ASSET	040	CXW	S	10,000	33.04	n/a	n/a	500.00	0.0
BESSEMER INVESTMENT	085	C	S	29	36.22	n/a	8-Nov	1.16	4.0
MERRILL ASSET/BLACKROCK	297	C	B	164,200	36.39	n/a	8-Nov	6,568.00	0.0
LOMAS CAPITAL	040	DAL	S	82,000	10.15	n/a	31-Oct	2,460.00	3.0
G WEISS /IAN	025	DB	SS	5,200	43.76	n/a	n/a	208.00	0.0
1798 CAP/LOMBARD ASSET	040	DD	SS	5,000	43.73	n/a	23-Oct	250.00	0.0
BESSEMER INVESTMENT	085	DNB	S	62	81.85	n/a	n/a	2.48	4.0
BESSEMER INVESTMENT	085	EL	S	500	57.79	n/a	1-Nov	20.00	4.0
PATTEN & PATTEN	025	EWC	S	200	27.86	n/a	n/a	10.00	5.0
BESSEMER INVESTMENT	085	FBHS	S	125	28.11	n/a	n/a	5.00	4.0
HIGHBRIDGE CAP	041	FCX	SS	13,000	38.84	n/a	n/a	390.00	3.0
BESSEMER INVESTMENT	085	FE	S	125	43.32	n/a	n/a	5.00	4.0
ROYCE TRADING	031	FINL	B	6,331	20.06	n/a	28-Sep	316.55	0.0
BESSEMER INVESTMENT	085	FISV	S	187	73.60	n/a	n/a	7.48	4.0
HARVEST MGMT (JMP)	029	FIVE	SS	5,000	30.91	n/a	21-Sep	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	FL	B	105,625	32.48	n/a	29-Aug	3,168.75	0.0
BESSEMER INVESTMENT	085	FMBI	S	234	12.20	n/a	n/a	9.36	4.0
HIGHBRIDGE CAP	041	FTI	S	12,706	40.22	n/a	n/a	381.18	3.0
BESSEMER INVESTMENT	085	F	S	343	10.95	n/a	2-Nov	13.72	4.0
J. GOLDMAN	028	F	SS	95,000	10.96	n/a	2-Nov	2,850.00	3.0
EATON VANCE MGMT	029	GD	S	100,000	65.18	n/a	8-Nov	3,000.00	0.0
BESSEMER INVESTMENT	085	GE	S	75	21.01	n/a	n/a	3.00	4.0
OZ MGMT	040	GM	B	113,822	24.93	n/a	2-Nov	3,414.66	0.0
COLUMBUS CIRCLE	036	GNC	B	1,037	35.12	n/a	n/a	41.48	0.0
BESSEMER INVESTMENT	085	HBI	S	31	33.70	n/a	24-Oct	1.24	4.0
BESSEMER INVESTMENT	085	HSH	S	50	26.38	n/a	n/a	2.00	4.0
BESSEMER INVESTMENT	085	HSP	S	12	30.00	n/a	7-Nov	0.48	4.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	29.94	n/a	7-Nov	400.00	4.0
CHANNING CAPITAL	031	IGT	S	120,101	12.73	n/a	13-Jun	4,196.24	3.3
BESSEMER INVESTMENT	085	IT	S	32	45.77	n/a	n/a	1.28	4.0
BESSEMER INVESTMENT	085	JPM	S	219	40.71	n/a	8-Nov	8.76	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	KRFT	S	86	43.99	n/a	n/a	3.44	4.0
HIGHBRIDGE CAP	041	LPX	B	31,000	16.18	n/a	7-Nov	930.00	3.0
1798 CAP/LOMBARD ASSET	040	MAR	SS	185,000	35.47	n/a	13-Jun	9,250.00	0.0
HIGHBRIDGE CAP	041	MAS	SS	31,500	16.06	n/a	n/a	945.00	3.0
NEWLAND CAPITAL MGT	025	MATX	SS	11,917	23.07	n/a	n/a	476.68	4.0
BESSEMER INVESTMENT	085	MCO	S	250	46.24	n/a	n/a	10.00	4.0
BESSEMER INVESTMENT	085	MDLZ	S	259	26.19	n/a	n/a	10.36	4.0
BESSEMER INVESTMENT	085	MO	S	375	31.46	n/a	n/a	15.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		MRGE	B	5,000	3.01		n/a n/a	150.00	3.0
KAYNE ANDERSON ADV	084	MRTN	S	3,400	17.63	n/a	n/a	136.00	0.0
BESSEMER INVESTMENT	085	MSI	S	17	53.40	n/a	n/a	0.68	4.0
BESSEMER INVESTMENT	085	MTW	S	3,375	13.38	n/a	11-Jul	135.00	4.0
M&I FUNDS	047	MYL	S	8,833	25.75	n/a	5-Nov	2,114.97	16.5
KAYNE ANDERSON ADV	084	NBTB	S	5,150	20.11	n/a	n/a	206.00	0.0
SENATOR INVESTMENT GROUP	036	NE	S	400,000	35.32	n/a	n/a	12,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GUGGENHEIM GLOBAL TRADING (GGT)	251	NOC	B	5,000	65.73		n/a 18-Oct	200.00	4.0
COHE & STEERS	041	PCL	B	77,700	43.07	n/a	31-Oct	3,108.00	0.0
BESSEMER INVESTMENT	085	PFE	S	25	24.30	n/a	n/a	1.00	4.0
1798 CAP/LOMBARD ASSET	040	PHH	S	25,000	19.68	n/a	n/a	1,250.00	0.0
BESSEMER INVESTMENT	085	PHH	S	6	19.12	n/a	n/a	0.24	4.0
1798 CAP/LOMBARD ASSET	040	PH	SS	3,000	79.14	n/a	n/a	150.00	0.0
OHIO PERS	047	PII	S	31,771	83.89	n/a	n/a	953.13	0.0
BESSEMER INVESTMENT	085	PJC	S	4	26.78	n/a	n/a	0.16	4.0
ROYCE TRADING	031	PLCE	B	3,400	57.25	n/a	17-Sep	170.00	0.0
BESSEMER INVESTMENT	085	PM	S	375	86.29	n/a	n/a	15.00	4.0
PROSPECTOR PARTNERS LLC	036	PPS	S	5,000	49.49	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	PRU	S	25	53.06	n/a	n/a	1.00	4.0
BESSEMER INVESTMENT	085	PSX	S	90	49.31	n/a	n/a	3.60	4.0
PARAMETER CAPITAL MGMT LLC	044	SCHW	B	40,000	13.39	n/a	n/a	1,600.00	4.0
BESSEMER INVESTMENT	085	STI	S	125	26.42	n/a	n/a	5.00	4.0
PATTEN & PATTEN	025	SWN	S	200	34.80	n/a	2-Nov	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	S	B	20,000	5.64	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	TEG	S	250	52.16	n/a	n/a	10.00	4.0
LOCUST WOOD CAPITAL MGMT	044	TGT	B	38,400	62.95	n/a	1-Nov	1,536.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	50,000	62.53	n/a	1-Nov	1,750.00	3.5
WATERFRONT CAP	028	TGT	B	19,200	62.04	n/a	1-Nov	768.00	0.0
BESSEMER INVESTMENT	085	TIKRF	S	41	0.43	n/a	n/a	1.64	4.0
BESSEMER INVESTMENT	085	TMO	S	65	60.03	n/a	n/a	2.60	4.0
BESSEMER INVESTMENT	085	TRV	S	17	69.24	n/a	n/a	0.68	4.0
SCOPUS FUND	041	TRW	S	68,700	47.72	n/a	n/a	2,748.00	4.0
BESSEMER INVESTMENT	085	TWC	S	2	93.33	n/a	n/a	0.08	4.0
BESSEMER INVESTMENT	085	TWX	S	8	44.21	n/a	n/a	0.32	4.0
BESSEMER INVESTMENT	085	TXN	S	401	29.24	n/a	n/a	16.04	4.0
1798 CAP/LOMBARD ASSET	040	URI	S	5,000	38.65	n/a	17-Apr	250.00	0.0
BESSEMER INVESTMENT	085	USB	S	439	32.34	n/a	n/a	17.56	4.0
DAVIDSON KEMPNER ADVISOR	040	VLO	C	10,000	29.55	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	VMC	S	200	45.93	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	VRA	S	21,810	27.16	n/a	n/a	654.30	3.0
PATTEN & PATTEN	025	V	S	25	142.72	n/a	31-Oct	1.25	5.0
BESSEMER INVESTMENT	085	WAG	S	80	32.87	n/a	n/a	3.20	4.0
BESSEMER INVESTMENT	085	WEC	S	1,597	37.01	n/a	n/a	63.88	4.0
BESSEMER INVESTMENT	085	WEYS	S	5,733	22.87	n/a	n/a	229.32	4.0
BESSEMER INVESTMENT	085	WYN	S	25	51.09	n/a	n/a	1.00	4.0
BESSEMER INVESTMENT	085	XEL	S	96	26.93	n/a	n/a	3.84	4.0
TOTAL (Trade Date) :								83,806.49	

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) :									83,806.49
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									83,806.49

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