



Daily Compliance Activity Report

Trade Date: 10/27/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	95	407.20	n/a	n/a	3.80	4.0
DSM CAPITAL PARTNERS	085	AAPL	S	5,300	405.80	n/a	n/a	265.00	5.0
BESSEMER INVESTMENT	085	AA	S	505	11.39	n/a	n/a	20.20	4.0
BESSEMER INVESTMENT	085	ACE	S	405	73.00	n/a	n/a	16.20	4.0
COLUMBUS CAP MGMT LLC	084	ACW	B	50,000	5.79	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	AGN	S	1,153	84.83	n/a	26-Oct	46.12	4.0
BESSEMER INVESTMENT	085	AMAT	S	1,115	12.45	n/a	n/a	44.60	4.0
BESSEMER INVESTMENT	085	AMP	S	293	48.68	n/a	n/a	11.72	4.0
BESSEMER INVESTMENT	085	AMZN	S	259	206.93	n/a	n/a	10.36	4.0
BALYASNY ASSET MGMT	044	ANN	C	25,000	28.03	n/a	n/a	1,250.00	5.0
FRED ALGER MGMT	035	APKT	S	66,700	34.49	n/a	n/a	2,401.20	3.6
ASCEND PARTNERS	033	ARCO	B	25,000	22.92	n/a	25-Oct	750.00	3.0
MELLON/BANK OF NEW YORK	046	ARMH	B	205,860	30.04	n/a	n/a	8,234.40	4.0
BESSEMER INVESTMENT	085	ARUN	S	475	24.95	n/a	n/a	19.00	4.0
BESSEMER INVESTMENT	085	AVY	S	355	27.97	n/a	26-Oct	14.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AWK	S	1,000	30.32	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	AXE	S	90	59.46	n/a	25-Oct	2.70	3.0
BESSEMER INVESTMENT	085	AXP	S	2,395	51.91	n/a	27-Oct	95.80	4.0
BESSEMER INVESTMENT	085	BAC	S	3,496	7.18	n/a	18-Oct	139.84	4.0
BESSEMER INVESTMENT	085	BAX	S	1,400	55.49	n/a	n/a	56.00	4.0
BESSEMER INVESTMENT	085	BA	S	1,735	67.48	n/a	17-Oct	69.40	4.0
MERRILL ASSET/BLACKROCK	297	BBG	S	15,400	41.52	n/a	n/a	616.00	4.0
BESSEMER INVESTMENT	085	BDX	S	500	78.68	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	BEN	S	263	109.09	n/a	2-Mar	10.52	4.0
SANDLER CAPITAL	028	BG	C	65,000	59.79	n/a	n/a	3,250.00	5.0
MELLON/BANK OF NEW YORK	046	BIDU	S	108,225	138.17	n/a	n/a	4,329.00	4.0
BASSWOOD PARTNERS	267	BK	S	120,200	21.82	n/a	19-Oct	4,808.00	4.0
BESSEMER INVESTMENT	085	BRCM	S	980	36.52	n/a	n/a	39.20	4.0
BESSEMER INVESTMENT	085	BWA	S	579	76.28	n/a	19-Oct	23.16	4.0
BESSEMER INVESTMENT	085	BWC	S	600	23.07	n/a	n/a	24.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHALSON/MILLENIU	041	BWLD	SS	10,000	66.30	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	BZ	B	10,000	6.02	n/a	n/a	500.00	5.0
SAGE ASSET MGMT	025	BZ	S	188,200	6.16	n/a	n/a	7,528.00	4.0
BESSEMER INVESTMENT	085	CASY	S	1,000	50.70	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	CCI	S	1,313	42.98	n/a	n/a	52.52	4.0
CHALSON/MILLENIU	041	CCL	SS	44,000	36.93	n/a	n/a	1,760.00	4.0
BESSEMER INVESTMENT	085	CDE	S	115	26.57	n/a	n/a	4.60	4.0
FRED ALGER MGMT	035	CDNS	S	382,600	10.94	n/a	n/a	13,773.60	3.6
SAGE ASSET MGMT	025	CGI	B	51,200	11.37	n/a	n/a	2,560.00	5.0
IMPALA ASSET MMT	040	CHRW	B	44,435	70.09	n/a	n/a	2,221.75	5.0
BESSEMER INVESTMENT	085	CLR	S	175	62.01	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	CNX	S	367	45.23	n/a	n/a	14.68	4.0
BESSEMER INVESTMENT	085	COP	S	1,000	72.79	n/a	n/a	40.00	4.0
MERRILL ASSET/BLACKROCK	297	CRR	S	4,890	140.15	n/a	11-Jan	195.60	4.0
NEUBERGER BERMAN	036	CRS	B	11,200	57.87	n/a	n/a	448.00	4.0
DEVENNY CAP LLC	044	CTB	S	27,700	14.79	n/a	n/a	831.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	CTXS	S	672	75.52	n/a	n/a	26.88	4.0
COLUMBUS CAP MGMT LLC	084	CVGI	S	80,000	10.75	n/a	n/a	3,200.00	4.0
GOLD SACHS SPECIAL SIT	030	CVGI	S	125,000	10.77	n/a	n/a	6,250.00	5.0
BESSEMER INVESTMENT	085	CYH	S	195	17.60	n/a	n/a	7.80	4.0
NEUBERGER BERMAN	036	C	B	72,990	33.65	n/a	18-Oct	2,919.60	4.0
BESSEMER INVESTMENT	085	DAL	S	1,855	8.72	n/a	n/a	74.20	4.0
ACK ASSET	028	DAN	B	95,000	14.56	n/a	19-Oct	2,850.00	3.0
ARMATURE CAPITAL	041	DAN	S	50,000	15.03	n/a	19-Oct	2,000.00	4.0
BALYASNY ASSET MGMT	044	DDS	B	10,000	52.49	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	DD	B	40,000	49.00	n/a	25-Oct	2,000.00	5.0
BESSEMER INVESTMENT	085	DFS	S	740	24.47	n/a	27-Oct	29.60	4.0
BESSEMER INVESTMENT	085	DG	S	270	39.75	n/a	19-Oct	10.80	4.0
BESSEMER INVESTMENT	085	DHR	S	1,082	49.86	n/a	n/a	43.28	4.0
TALPION LLC	040	DHR	C	1,762	49.48	n/a	n/a	70.48	4.0
DSM CAPITAL PARTNERS	085	DISCA	S	13,650	43.12	n/a	n/a	682.50	5.0
BESSEMER INVESTMENT	085	DIS	S	585	36.48	n/a	n/a	23.40	4.0
BALYASNY ASSET MGMT	044	DLTR	C	20,000	79.74	n/a	19-Oct	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	DLTR	SS	18,000	79.75	n/a	19-Oct	720.00	4.0
SCOUT/UMB	047	DLTR	S	63,250	79.83	n/a	19-Oct	1,897.50	3.0
BESSEMER INVESTMENT	085	DOW	S	625	29.07	n/a	27-Oct	25.00	4.0
BESSEMER INVESTMENT	085	EBAY	S	415	32.29	n/a	n/a	16.60	4.0
BESSEMER INVESTMENT	085	ECL	S	600	55.13	n/a	25-Oct	24.00	4.0
BESSEMER INVESTMENT	085	EL	S	76	101.41	n/a	16-Aug	3.04	4.0
BESSEMER INVESTMENT	085	EMC	S	4,364	24.99	n/a	n/a	174.56	4.0
BESSEMER INVESTMENT	085	EOG	S	315	91.75	n/a	n/a	12.60	4.0
BESSEMER INVESTMENT	085	EXPD	S	667	47.48	n/a	n/a	26.68	4.0
BESSEMER INVESTMENT	085	FDX	S	275	84.82	n/a	n/a	11.00	4.0
MACQUARIE INVESTMENT MGMT.	040	FINL	B	5,000	20.85	n/a	23-Sep	0.00	0.0
BESSEMER INVESTMENT	085	FLR	S	65	60.29	n/a	n/a	2.60	4.0
TALPION LLC	040	FLS	C	336	91.73	n/a	n/a	13.44	4.0
BALYASNY ASSET MGMT	044	FL	B	25,000	22.73	n/a	19-Aug	1,250.00	5.0
CHALSON/MILLENIU	041	FL	B	20,000	22.78	n/a	19-Aug	800.00	4.0
MADISON ST PARTNERS LLC	046	FL	B	70,000	22.95	n/a	19-Aug	3,500.00	5.0
ROARING BLUE LION MGMT	031	FL	B	5,800	22.71	n/a	19-Aug	232.00	4.0
BESSEMER INVESTMENT	085	FTI	S	430	46.41	n/a	n/a	17.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	F	S	30,000	12.01	n/a	27-Oct	900.00	3.0
PILOT ADV	041	F	B	52,900	11.98	n/a	27-Oct	1,058.00	2.0
BESSEMER INVESTMENT	085	GDP	S	1,775	17.62	n/a	n/a	71.00	4.0
SCOPUS FUND	041	GEF	B	17,000	47.04	n/a	n/a	680.00	4.0
BESSEMER INVESTMENT	085	GE	B	100	17.35	n/a	n/a	4.00	4.0
BESSEMER INVESTMENT	085	GE	S	1,830	17.43	n/a	n/a	73.20	4.0
TRUSTCO/SUNTRUST	040	GE	B	283,900	16.94	n/a	n/a	9,936.50	3.5
MA CAPITAL MGMT/MELLON ADV	041	GMCR	B	2,000	66.01	n/a	n/a	100.00	5.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	25.65	n/a	19-Oct	2,500.00	5.0
HUNTER GLOBAL INVESTOR	028	GM	B	105,530	26.01	n/a	19-Oct	5,276.50	5.0
TROUBH PART	070	GM	B	40,000	26.18	n/a	19-Oct	2,000.00	5.0
BESSEMER INVESTMENT	085	GOOG	S	213	600.68	n/a	n/a	8.52	4.0
BESSEMER INVESTMENT	085	GR	S	355	122.88	n/a	7-Oct	14.20	4.0
NOKOMIS PARTNERS	031	HALO	S	13,000	8.98	n/a	n/a	390.00	3.0
BESSEMER INVESTMENT	085	HBI	S	1,800	27.59	n/a	21-Oct	72.00	4.0
ROXBURY CAPITAL MGMT	035	HBI	B	106,790	27.84	n/a	21-Oct	3,203.70	3.0
BESSEMER INVESTMENT	085	HCA	S	452	22.53	n/a	n/a	18.08	4.0
MERRILL ASSET/BLACKROCK	297	HFC	S	35,800	32.03	n/a	n/a	1,432.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHALSON/MILLENIUM	041	HOG	B	20,000	39.89	n/a	n/a	800.00	4.0
FRED ALGER MGMT	035	HOG	B	105,250	40.07	n/a	n/a	3,789.00	3.6
IMPALA ASSET MMT	040	HOG	S	100,000	39.92	n/a	n/a	4,000.00	4.0
CAMBIAR CAP	046	HSP	B	124,970	30.82	n/a	27-Oct	4,998.80	4.0
CAMP	046	HSP	B	30	30.82	n/a	27-Oct	1.20	4.0
BESSEMER INVESTMENT	085	ICE	S	314	131.82	n/a	n/a	12.56	4.0
TALPION LLC	040	IEX	C	860	37.00	n/a	n/a	34.40	4.0
BESSEMER INVESTMENT	085	IFF	S	200	63.73	n/a	6-Sep	8.00	4.0
KACELA CAPITAL	034	IGT	S	125,000	17.66	n/a	13-Jun	5,000.00	4.0
BESSEMER INVESTMENT	085	ILMN	S	216	31.83	n/a	n/a	8.64	4.0
THOMAS WEISEL ASSET MGMT	035	IMMR	B	18,405	7.09	n/a	n/a	552.15	3.0
BESSEMER INVESTMENT	085	INTU	S	1,387	55.13	n/a	n/a	55.48	4.0
BALYASNY ASSET MGMT	044	IP	S	29,800	28.23	n/a	27-Oct	1,490.00	5.0
BESSEMER INVESTMENT	085	IP	S	855	28.87	n/a	27-Oct	34.20	4.0
BMO NESBITT BURNS	041	IP	SS	4,000	28.04	n/a	27-Oct	400.00	10.0
BMO NESBITT BURNS	041	IP	S	25,000	27.91	n/a	27-Oct	1,250.00	5.0
OZ MGMT	040	IP	S	68,093	28.25	n/a	27-Oct	2,042.79	3.0
BESSEMER INVESTMENT	085	JCI	S	540	33.68	n/a	27-Oct	21.60	4.0
IMPALA ASSET MMT	040	JOYG	B	54,000	92.56	n/a	14-Sep	2,700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	JPM	S	605	36.95	n/a	13-Oct	24.20	4.0
THOMAS WEISEL ASSET MGMT	035	KALU	B	2,978	48.59	n/a	n/a	89.34	3.0
BESSEMER INVESTMENT	085	KFT	S	6,051	35.42	n/a	n/a	242.04	4.0
COLUMBUS CAP MGMT LLC	084	KITD	SS	45,300	9.30	n/a	n/a	1,812.00	4.0
IMPALA ASSET MMT	040	LEN	S	50,000	16.74	n/a	n/a	2,000.00	4.0
TALPION LLC	040	LLL	C	535	70.84	n/a	n/a	21.40	4.0
TALPION LLC	040	LMT	C	477	77.66	n/a	17-Oct	19.08	4.0
BMO NESBITT BURNS	041	LPX	B	10,000	7.12	n/a	17-Oct	400.00	4.0
CHALSON/MILLENIUM	041	LTM	SS	15,000	44.42	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	LVS	S	450	45.04	n/a	13-Jun	18.00	4.0
BESSEMER INVESTMENT	085	LYV	S	3,700	9.49	n/a	n/a	148.00	4.0
COLUMBUS CAP MGMT LLC	084	MASI	SS	20,000	19.90	n/a	n/a	1,000.00	5.0
BESSEMER INVESTMENT	085	MA	S	535	346.01	n/a	27-Oct	21.40	4.0
BESSEMER INVESTMENT	085	MDT	S	175	34.99	n/a	n/a	7.00	4.0
BESSEMER INVESTMENT	085	MET	S	1,515	35.69	n/a	n/a	60.60	4.0

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BALYASNY ASSET MGMT	044	MGM	S	25,000	11.30	n/a	13-Jun	1,250.00	5.0
BESSEMER INVESTMENT	085	MGM	S	415	11.76	n/a	13-Jun	16.60	4.0
BESSEMER INVESTMENT	085	MHS	S	890	54.29	n/a	n/a	35.60	4.0
BESSEMER INVESTMENT	085	MMC	S	613	31.66	n/a	n/a	24.52	4.0
MELLON/BANK OF NEW YORK	046	MMM	S	43,329	82.02	n/a	25-Oct	1,733.16	4.0
BESSEMER INVESTMENT	085	MMR	S	445	13.03	n/a	n/a	17.80	4.0
BESSEMER INVESTMENT	085	MON	S	599	77.01	n/a	19-Oct	23.96	4.0
BESSEMER INVESTMENT	085	MO	S	8,160	27.63	n/a	n/a	326.40	4.0
BESSEMER INVESTMENT	085	MRK	S	873	34.34	n/a	n/a	34.92	4.0
BESSEMER INVESTMENT	085	MSFT	S	1,080	27.30	n/a	n/a	43.20	4.0
BESSEMER INVESTMENT	085	MS	S	1,480	19.25	n/a	19-Oct	59.20	4.0
VISIUM/BALY BOBBY	044	MT	C	10,000	22.38	n/a	n/a	500.00	5.0
BMO NESBITT BURNS	041	MWV	SS	2,000	29.34	n/a	26-Oct	80.00	4.0
BALYASNY ASSET MGMT	044	M	B	20,000	31.24	n/a	7-Oct	1,000.00	5.0
BESSEMER INVESTMENT	085	NBL	S	90	93.53	n/a	n/a	3.60	4.0
KACELA CAPITAL	034	NEWP	S	39,189	14.21	n/a	n/a	1,567.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	NFX	S	361	40.63	n/a	n/a	14.44	4.0
BESSEMER INVESTMENT	085	NKE	S	1,099	96.00	n/a	23-Sep	43.96	4.0
BESSEMER INVESTMENT	085	NLC	S	2,100	38.41	n/a	n/a	84.00	4.0
NEUBERGER BERMAN	036	NLSN	B	31,500	29.75	n/a	n/a	1,260.00	4.0
TALPION LLC	040	NOC	C	658	57.29	n/a	17-Oct	26.32	4.0
BESSEMER INVESTMENT	085	NOV	S	240	74.53	n/a	n/a	9.60	4.0
SONTERRA CAP	041	NSR	B	28,124	32.45	n/a	n/a	1,124.96	4.0
BESSEMER INVESTMENT	085	NVR	S	20	647.05	n/a	n/a	0.80	4.0
BESSEMER INVESTMENT	085	NWL	S	1,257	13.80	n/a	n/a	50.28	4.0
NEUBERGER BERMAN	036	OAS	S	35,500	31.45	n/a	n/a	1,420.00	4.0
SONTERRA CAP	041	OSK	S	50,000	21.42	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	OXY	S	95	94.91	n/a	n/a	3.80	4.0
BRONSON POINT	036	OXY	S	7,500	95.91	n/a	n/a	225.00	3.0
IMPALA ASSET MMT	040	OXY	B	41,200	95.79	n/a	n/a	2,060.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PAY	B	90,550	41.34	n/a	n/a	2,716.50	3.0
BESSEMER INVESTMENT	085	PCP	S	200	169.56	n/a	17-Oct	8.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	PEP	S	1,789	62.85	n/a	n/a	71.56	4.0
BESSEMER INVESTMENT	085	PFE	S	1,355	19.76	n/a	n/a	54.20	4.0
BESSEMER INVESTMENT	085	PG	S	410	64.58	n/a	27-Oct	16.40	4.0
KACELA CAPITAL	034	PG	SS	18,000	64.75	n/a	27-Oct	720.00	4.0
TALPION LLC	040	PH	C	393	81.28	n/a	19-Oct	15.72	4.0
BMO NESBITT BURNS	041	PKG	SS	2,800	27.01	n/a	18-Oct	112.00	4.0
BMO NESBITT BURNS	041	PKG	S	8,200	27.01	n/a	18-Oct	328.00	4.0
SCOPUS FUND	041	PKG	SS	45,171	26.95	n/a	18-Oct	1,806.84	4.0
BESSEMER INVESTMENT	085	PLCM	S	888	16.84	n/a	n/a	35.52	4.0
TALPION LLC	040	PLL	C	1,682	53.18	n/a	n/a	67.28	4.0
BESSEMER INVESTMENT	085	PM	S	8,160	71.99	n/a	n/a	326.40	4.0
LISTED ERR	099	PNRA	B	2,214	135.39	n/a	26-Oct	0.00	0.0
LISTED ERR	099	PNRA	S	2,214	132.71	n/a	26-Oct	0.00	0.0
BESSEMER INVESTMENT	085	POT	S	380	50.57	n/a	n/a	15.20	4.0
BESSEMER INVESTMENT	085	PRGO	S	301	90.84	n/a	25-Oct	12.04	4.0
BESSEMER INVESTMENT	085	PRU	S	1,047	57.39	n/a	n/a	41.88	4.0
BESSEMER INVESTMENT	085	PX	S	305	105.65	n/a	26-Oct	12.20	4.0

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BESSEMER INVESTMENT	085	QCOM	S	225	53.93	n/a	n/a	9.00	4.0
NEUBERGER BERMAN	036	RDEN	B	19,200	36.50	n/a	31-Aug	768.00	4.0
COLUMBUS CIRCLE	036	REXX	B	3,594	15.93	n/a	n/a	143.76	4.0
NEUBERGER BERMAN	036	RHT	B	22,800	49.87	n/a	n/a	912.00	4.0
COOPER CREEK PART	028	RKT	B	20,000	59.97	n/a	17-Oct	800.00	4.0
MA CAPITAL MGMT/MELLON ADV041		RKT	B	2,000	60.23	n/a	17-Oct	100.00	5.0
MERRILL ASSET/BLACKROCK	297	RKT	S	19,000	61.02	n/a	17-Oct	760.00	4.0
NEWLAND CAPITAL MGT	025	RKT	S	20,000	59.85	n/a	17-Oct	800.00	4.0
SAGE ASSET MGMT	025	RKT	B	19,200	60.52	n/a	17-Oct	960.00	5.0
SCHOTTENFELD ASSOC	041	RKT	S	10,000	60.55	n/a	17-Oct	300.00	3.0
SCOPUS FUND	041	RKT	B	15,244	60.18	n/a	17-Oct	609.76	4.0
FRED ALGER MGMT	035	ROC	S	16,600	47.75	n/a	n/a	597.60	3.6
TALPION LLC	040	RTN	C	860	44.42	n/a	17-Oct	34.40	4.0
BESSEMER INVESTMENT	085	RVBD	S	510	28.73	n/a	n/a	20.40	4.0
ROSEDALE CAPITAL	046	SCHW	S	20,000	13.40	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	SCSS	C	15,000	21.14	n/a	n/a	750.00	5.0
BESSEMER INVESTMENT	085	SLB	S	278	75.95	n/a	n/a	11.12	4.0
BESSEMER INVESTMENT	085	SLM	S	1,889	13.71	n/a	26-Oct	75.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	035	SPW	S	37,250	55.66	n/a	n/a	1,341.00	3.6
TALPION LLC	040	SPW	C	556	55.57	n/a	n/a	22.24	4.0
IMPALA ASSET MMT	040	SPY	SS	39,000	128.36	n/a	n/a	1,950.00	5.0
ROARING BLUE LION MGMT	031	SSI	S	6,800	16.39	n/a	n/a	272.00	4.0
BESSEMER INVESTMENT	085	STJ	S	445	41.06	n/a	n/a	17.80	4.0
BASSWOOD PARTNERS	267	STT	B	70,800	41.35	n/a	18-Oct	2,832.00	4.0
BESSEMER INVESTMENT	085	STT	S	570	41.80	n/a	18-Oct	22.80	4.0
SUN AMERICA ASSET MGMT	030	STX	S	5,400	15.96	n/a	n/a	216.00	4.0
BESSEMER INVESTMENT	085	STZ	S	2,305	20.70	n/a	n/a	92.20	4.0
BESSEMER INVESTMENT	085	SWN	S	685	44.09	n/a	24-Oct	27.40	4.0
BESSEMER INVESTMENT	085	SWY	S	390	19.85	n/a	n/a	15.60	4.0
BESSEMER INVESTMENT	085	TAP	S	1,500	42.17	n/a	n/a	60.00	4.0
BESSEMER INVESTMENT	085	TEX	S	445	17.96	n/a	14-Sep	17.80	4.0
NEWLAND CAPITAL MGT	025	TKR	S	15,000	43.89	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	TMO	S	670	50.76	n/a	n/a	26.80	4.0
BESSEMER INVESTMENT	085	TYC	S	1,228	46.36	n/a	19-Sep	49.12	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	040	UAL	S	100,000	19.72	n/a	n/a	0.00	0.0
SONTERRA CAP	041	UPL	SS	25,000	32.99	n/a	24-Oct	1,000.00	4.0
BESSEMER INVESTMENT	085	USB	S	2,205	26.23	n/a	n/a	88.20	4.0
BESSEMER INVESTMENT	085	UTX	S	1,222	79.40	n/a	n/a	48.88	4.0
SONTERRA CAP	041	VALE	B	150,000	26.42	n/a	n/a	6,000.00	4.0
BESSEMER INVESTMENT	085	VIAB	S	386	45.67	n/a	n/a	15.44	4.0
BESSEMER INVESTMENT	085	VRSN	S	758	31.69	n/a	n/a	30.32	4.0
DSM CAPITAL PARTNERS	085	V	S	22,600	93.75	n/a	27-Oct	1,130.00	5.0
ROTHSCHILD ASSET	040	WBMD	S	8,026	36.71	n/a	n/a	321.04	4.0
AVESTA CAP	229	WCC	B	50,000	50.48	n/a	n/a	1,500.00	3.0
NEWLAND CAPITAL MGT	025	WCC	S	55,900	50.26	n/a	n/a	2,236.00	4.0
BESSEMER INVESTMENT	085	WFC	S	849	27.14	n/a	17-Oct	33.96	4.0
KLEINHEINZ CAP PART	031	WFM	B	25,000	73.57	n/a	n/a	1,250.00	5.0
BESSEMER INVESTMENT	085	WFT	S	444	16.16	n/a	n/a	17.76	4.0
IMPALA ASSET MMT	040	WLT	B	64,600	79.92	n/a	n/a	3,230.00	5.0
HUNTER GLOBAL INVESTOR	028	WMT	SS	50,000	57.62	n/a	13-Oct	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	WRC	B	10,000	49.14	n/a	21-Oct	0.00	0.0
BESSEMER INVESTMENT	085	WYNN	S	15	136.23	n/a	13-Jun	0.60	4.0
BMO NESBITT BURNS	041	WY	S	3,000	18.04	n/a	17-Oct	150.00	5.0
HOLLIS CAPITAL	033	WY	S	10,000	17.97	n/a	17-Oct	500.00	5.0
OZ MGMT	040	WY	S	174,852	18.02	n/a	17-Oct	5,245.56	3.0
TRELLUS PARTNERS LP	028	WY	S	75,000	18.05	n/a	17-Oct	3,750.00	5.0
IMPALA ASSET MMT	040	XLI	SS	146,000	34.21	n/a	n/a	5,840.00	4.0
BESSEMER INVESTMENT	085	XOM	S	215	81.65	n/a	n/a	8.60	4.0
ROTHSCHILD ASSET	040	XOM	S	9,960	81.11	n/a	n/a	398.40	4.0
TOTAL (Trade Date) :							223,710.05		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/26	BASIX (BASIBARC)	033	ATI	B	13,100	43.42	n/a	n/a	393.00 3.0
AO,CRT	10/26	BASIX (BASIBARC)	033	ATI	B	12,900	43.42	n/a	n/a	387.00 3.0
AO,CXL	10/26	BASIX (BASIUBS)	033	ATI	B	18,900	43.42	n/a	n/a	567.00 3.0
AO,CRT	10/26	BASIX (BASIUBS)	033	ATI	B	19,100	43.42	n/a	n/a	573.00 3.0
AO,CXL	10/25	CRAMER ROSENTHAL/SCOTT (CRSB3156)	070	B	S	600	22.00	n/a	n/a	24.00 4.0
AO,	10/25	CRAMER ROSENTHAL/SCOTT (CRSB3146)	070	B	S	600	22.00	n/a	n/a	24.00 4.0
CRT	10/27	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	CVGI	S	125,000	10.77	n/a	n/a	6250.00 5.0
AO,	10/26	JET CAPITAL/CHRIS (JETCGSBULK)	041	GEN	B	157,630	2.90	n/a	n/a	4728.90 3.0
AO,CXL	10/26	JET CAPITAL/CHRIS (JETCGOLD)	041	GEN	B	157,630	2.90	n/a	n/a	4728.90 3.0

TOTAL (AO, CXL, CRT) :	6,250.00
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TOTAL (Trade Date) :	223,710.05
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TOTAL (AO, CXL, CRT) :	6,250.00
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TOTAL (RUN DATE) / NFS :	229,960.05
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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