



## Daily Compliance Activity Report

Trade Date: 12/31/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	AAPL	B	675	527.40	n/a	n/a	197.50	38.3
BESSEMER INVESTMENT	085	ACE	B	170	78.96	n/a	n/a	6.80	4.0
BESSEMER INVESTMENT	085	ACN	B	180	65.77	n/a	n/a	7.20	4.0
BESSEMER INVESTMENT	085	AET	B	195	45.79	n/a	n/a	7.80	4.0
PATTEN & PATTEN	025	AML	B	900	15.91	n/a	n/a	45.00	5.0
BESSEMER INVESTMENT	085	AVGO	B	225	31.23	n/a	n/a	9.00	4.0
M&I FUNDS	047	BAC	B	3,952	11.42	n/a	20-Dec	158.08	4.0
<b>Õ Nilsa Vazquez</b>		<b>BZH</b>	<b>S</b>	<b>1000</b>	<b>16.7420</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	035	CCK	B	250	36.54	n/a	n/a	30.00	12.0
BESSEMER INVESTMENT	085	COH	B	185	54.56	n/a	5-Nov	7.40	4.0
BESSEMER INVESTMENT	085	COP	B	160	57.15	n/a	n/a	6.40	4.0
M&I FUNDS	047	CSCO	B	1,954	19.43	n/a	14-Dec	78.16	4.0
BESSEMER INVESTMENT	085	CTL	B	195	38.64	n/a	n/a	7.80	4.0
BESSEMER INVESTMENT	085	C	B	205	38.89	n/a	20-Dec	8.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	C	S	28,000	39.33	n/a	20-Dec	1,400.00	5.0
BESSEMER INVESTMENT	085	DG	B	195	43.25	n/a	12-Dec	7.80	4.0
BESSEMER INVESTMENT	085	DTE	B	85	59.28	n/a	n/a	3.40	4.0
BESSEMER INVESTMENT	085	EXC	B	250	28.98	n/a	n/a	10.00	4.0
BALYASNY ASSET MGMT	044	F	SS	177,800	12.83	n/a	28-Dec	8,890.00	0.0
M&I FUNDS	047	F	B	1,391	12.81	n/a	28-Dec	55.64	4.0
OZ MGMT	040	F	S	150,000	12.85	n/a	28-Dec	4,500.00	0.0
DAVIDSON KEMPNER ADVISOR	040	GDI	S	20,000	68.38	n/a	n/a	600.00	0.0
BESSEMER INVESTMENT	085	GD	B	70	68.09	n/a	11-Dec	2.80	4.0
M&I FUNDS	047	GE	B	3,827	20.68	n/a	n/a	153.08	4.0
SANDLER O'NEILL ASSET	031	GS	SS	6,600	125.42	n/a	20-Dec	330.00	5.0
HARVEST MGMT (JMP)	029	HD	B	25,000	60.75	n/a	n/a	1,000.00	4.0
HOLLIS CAPITAL	033	HK	S	5,000	6.77	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	HPQ	S	828	14.24	n/a	n/a	41.40	5.0
BESSEMER INVESTMENT	085	IBM	B	70	189.16	n/a	n/a	2.80	4.0
M&I FUNDS	047	INTC	B	1,823	20.32	n/a	n/a	72.92	4.0
ARMATURE CAPITAL	041	IP	B	25,000	39.65	n/a	18-Dec	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	IXN	S	100	66.38	n/a	n/a	5.00	5.0
LATEEF MGMT	035	JCI	S	2,000	30.36	n/a	20-Dec	200.00	10.0
BESSEMER INVESTMENT	085	JNJ	B	160	69.59	n/a	n/a	6.40	4.0
M&I FUNDS	047	JNJ	B	1,012	69.53	n/a	n/a	40.48	4.0
M&I FUNDS	047	JPM	B	1,385	43.21	n/a	20-Dec	55.40	4.0
M&I FUNDS	047	KO	B	1,387	35.77	n/a	22-Oct	55.48	4.0
SANDLER O'NEILL ASSET	031	LAZ	SS	5,100	30.12	n/a	4-Dec	255.00	5.0
BESSEMER INVESTMENT	085	LOW	B	340	35.20	n/a	n/a	13.60	4.0
CYPRESS CAP MGMT LLC	040	LOW	B	19,400	35.45	n/a	n/a	776.00	4.0
M&I FUNDS	047	LUV	B	1,081	10.21	n/a	17-Dec	43.24	4.0
LATEEF MGMT	035	MRK	B	350	40.66	n/a	n/a	42.00	12.0
M&I FUNDS	047	MRK	B	1,110	40.60	n/a	n/a	44.40	4.0
BESSEMER INVESTMENT	085	MRO	B	360	29.99	n/a	n/a	14.40	4.0
BESSEMER INVESTMENT	085	MSFT	B	525	26.49	n/a	n/a	21.00	4.0
M&I FUNDS	047	MSFT	B	2,770	26.48	n/a	n/a	110.80	4.0
BESSEMER INVESTMENT	085	M	B	310	38.89	n/a	28-Dec	12.40	4.0
BESSEMER INVESTMENT	085	NEM	B	115	45.67	n/a	n/a	4.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	NTRS	SS	8,000	49.75	n/a	20-Dec	400.00	5.0
M&I FUNDS	047	ORCL	B	1,368	33.13	n/a	n/a	54.72	4.0
M&I FUNDS	047	PFE	B	2,676	24.89	n/a	n/a	107.04	4.0
LATEEF MGMT	035	PG	B	500	67.16	n/a	13-Dec	60.00	12.0
COLUMBUS CIRCLE	036	PPG	B	1,300	134.79	n/a	14-Dec	52.00	0.0
NOKOMIS PARTNERS	031	PRGS	S	7,000	20.85	n/a	n/a	210.00	3.0
BESSEMER INVESTMENT	085	QCOM	B	190	60.98	n/a	n/a	7.60	4.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	24,790	141.10	n/a	n/a	743.70	0.0
SANDLER O'NEILL ASSET	031	SPY	B	6,100	140.35	n/a	n/a	305.00	5.0
BESSEMER INVESTMENT	085	STX	B	180	30.16	n/a	n/a	7.20	4.0
M&I FUNDS	047	T	B	2,068	33.42	n/a	n/a	82.72	4.0
HARVEST MGMT (JMP)	029	URI	SS	10,000	43.99	n/a	17-Apr	400.00	4.0
NOKOMIS PARTNERS	031	USO	B	67,500	32.95	n/a	n/a	2,025.00	3.0
M&I FUNDS	047	WFC	B	1,777	33.88	n/a	21-Dec	71.08	4.0
HARVEST MGMT (JMP)	029	WSM	B	10,000	42.94	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	XLK	B	250	28.52	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
M&I FUNDS	047	XOM	B	1,657	85.31	n/a	n/a	66.28	4.0
<b>TOTAL (Trade Date):</b>								<b>25,594.22</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/28	NOKOMIS PARTNERS (NOKOCONJPM)	031	PRGS	S	1,364	20.86	n/a	n/a	0.00	0.0
AO,CRT	12/28	NOKOMIS PARTNERS (NOKOCONJPM)	031	PRGS	S	1,364	20.86	n/a	n/a	40.92	3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>40.92</b>
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TOTAL (Trade Date) :	25,594.22
TOTAL (AO, CXL, CRT) :	40.92

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>25,635.14</b>
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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