



Daily Compliance Activity Report

Trade Date: 02/07/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ABT	B	400	55.50	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	ADP	B	400	54.79	n/a	n/a	16.00	4.0
JP MORGAN VENTURES	046	AEO	B	15,000	13.75	n/a	2-Dec	450.00	3.0
PATTEN & PATTEN	025	AML	S	300	16.72	n/a	n/a	15.00	5.0
MACQUARIE INVESTMENT MGMT.	040	APC	B	2,500	85.77	n/a	7-Feb	0.00	0.0
PATTEN & PATTEN	025	APD	S	400	89.95	n/a	24-Jan	20.00	5.0
BALYASNY ASSET MGMT	044	ARCO	C	800	21.99	n/a	6-Feb	40.00	5.0
NEWLAND CAPITAL MGT	025	ATI	SS	25,000	47.81	n/a	27-Jan	1,000.00	4.0
BESSEMER INVESTMENT	085	BDX	B	300	77.23	n/a	n/a	12.00	4.0
ROYCE TRADING	031	CLI	S	5,000	29.37	n/a	n/a	250.00	5.0
BESSEMER INVESTMENT	085	CL	B	250	91.38	n/a	26-Jan	10.00	4.0
PATTEN & PATTEN	025	CNI	S	300	77.22	n/a	n/a	15.00	5.0
BESSEMER INVESTMENT	085	COP	B	1,415	71.41	n/a	n/a	56.60	4.0
BALYASNY ASSET MGMT	044	CROX	S	15,000	20.25	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	DF	S	94,073	10.60	n/a	n/a	2,822.19	3.0
IRIDIAN ASSET MGMT.	036	DVN	S	28,930	66.10	n/a	6-Jan	1,446.50	5.0
LATEFF MGMT	035	DVN	B	500	66.02	n/a	6-Jan	60.00	12.0
VERITION	028	EBAY	S	7,500	32.77	n/a	n/a	225.00	3.0
ETON PARK CAPITAL	041	EEM	B	250,000	43.60	n/a	n/a	7,500.00	3.0
BESSEMER INVESTMENT	085	EXC	B	1,830	39.63	n/a	n/a	73.20	4.0
PATTEN & PATTEN	025	FCX	S	300	45.90	n/a	n/a	15.00	5.0
LATEFF MGMT	035	FDX	S	250	94.72	n/a	n/a	62.50	25.0
SMITH MGMT LLC	029	FINL	B	148,000	22.44	n/a	20-Jan	4,440.00	3.0
ASCEND PARTNERS	033	FL	B	100,000	26.92	n/a	9-Jan	3,000.00	3.0
NEUBERGER BERMAN	036	FRT	B	10,700	96.63	n/a	n/a	428.00	4.0
OZ MGMT	040	F	SS	250,000	12.85	n/a	2-Feb	7,500.00	3.0
SCOUT/UMB	047	GIL	S	116,025	21.32	n/a	23-Jan	3,480.75	3.0
PATTEN & PATTEN	025	GLW	S	2,500	13.74	n/a	6-Feb	125.00	5.0
VERITION	028	GMCR	B	12,500	66.80	n/a	n/a	375.00	3.0
LATEFF MGMT	035	GSPRD	B	1,400	19.91	n/a	n/a	126.00	9.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	IBM	B	1,065	192.26	n/a	n/a	42.60	4.0
PATTEN & PATTEN	025	IDXX	S	500	86.24	n/a	n/a	25.00	5.0
BESSEMER INVESTMENT	085	IP	S	250	31.14	n/a	2-Feb	10.00	4.0
MA CAPITAL MGMT/MELLON ADV041		IP	B	3,000	31.21	n/a	2-Feb	150.00	5.0
SENATOR INVESTMENT GROUP	036	IP	S	130,000	31.24	n/a	2-Feb	3,900.00	3.0
BESSEMER INVESTMENT	085	ITW	B	400	55.22	n/a	1-Feb	16.00	4.0
PATTEN & PATTEN	025	IYT	S	400	95.05	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	JCI	S	2,700	33.12	n/a	19-Jan	135.00	5.0
KLEINHEINZ CAP PART	031	JCP	B	70,000	42.10	n/a	27-Jan	3,500.00	5.0
PATTEN & PATTEN	025	JPM	S	1,200	38.07	n/a	6-Feb	60.00	5.0
DENVER INST. ADV	046	JWN	S	150,000	50.06	n/a	3-Feb	6,000.00	4.0
BESSEMER INVESTMENT	085	KO	B	350	68.21	n/a	7-Feb	14.00	4.0
PATTEN & PATTEN	025	KRE	B	1,450	27.07	n/a	n/a	72.50	5.0
LATEFF MGMT	035	KR	B	250	23.69	n/a	n/a	37.50	15.0
ROYCE TRADING	031	KWR	S	1,000	45.76	n/a	n/a	50.00	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	27.04	n/a	6-Feb	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	LHO	S	5,000	27.86	n/a	n/a	250.00	5.0
ROYCE TRADING	031	LIZ	S	5,000	9.65	n/a	7-Oct	250.00	5.0
DAVIDSON INV ADV	035	LL	S	35,700	22.57	n/a	n/a	1,428.00	4.0
BMO NESBITT BURNS	041	LPX	B	25,000	8.31	n/a	7-Feb	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	33,329	8.61	n/a	7-Feb	1,666.45	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	41,671	8.68	n/a	7-Feb	2,083.55	5.0
MERRILL ASSET/BLACKROCK	297	MCY	S	6,558	43.41	n/a	n/a	262.32	4.0
ROYCE TRADING	031	MDP	S	3,000	34.11	n/a	n/a	150.00	5.0
BESSEMER INVESTMENT	085	MHP	B	1,970	45.39	n/a	n/a	78.80	4.0
BESSEMER INVESTMENT	085	MKC	B	450	50.66	n/a	n/a	18.00	4.0
PATTEN & PATTEN	025	MMM	S	200	87.99	n/a	26-Jan	10.00	5.0
BESSEMER INVESTMENT	085	MOS	S	1,000	56.76	n/a	n/a	40.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	750	30.10	n/a	n/a	30.00	4.0
CATAPULT	040	MTW	B	5,571	15.82	n/a	2-Feb	222.84	4.0
BESSEMER INVESTMENT	085	M	B	540	35.59	n/a	3-Feb	21.60	4.0
LATEFF MGMT	035	NUE	S	500	45.43	n/a	n/a	50.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	NVLS	S	15,000	48.01	n/a	n/a	600.00	4.0
SURVEYOR CAPITAL	251	NWL	B	106,101	19.12	n/a	n/a	3,183.03	3.0
BALLAST CAP	040	OI	S	7,100	24.70	n/a	n/a	355.00	5.0
LATEFF MGMT	035	OI	S	150	24.80	n/a	n/a	30.00	20.0
ROYCE TRADING	031	OMG	S	3,000	29.46	n/a	n/a	150.00	5.0
ROYCE TRADING	031	ORI	S	2,000	10.25	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	OXY	S	200	105.06	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	PCH	B	500	31.22	n/a	31-Jan	25.00	5.0
CATAPULT	040	PKG	B	9,368	28.94	n/a	24-Jan	374.72	4.0
CATAPULT	040	PLL	B	3,835	62.50	n/a	n/a	153.40	4.0
ROYCE TRADING	031	RTI	S	3,000	24.78	n/a	n/a	150.00	5.0
NEWLAND CAPITAL MGT	025	RYN	S	15,000	45.04	n/a	26-Jan	600.00	4.0
MOORE CAPITAL	041	SHOO	S	7,600	41.01	n/a	n/a	228.00	3.0
NEUBERGER BERMAN	036	SPG	B	14,000	137.37	n/a	n/a	560.00	4.0
PATTEN & PATTEN	025	TIF	S	1,200	64.86	n/a	n/a	60.00	5.0
ROYCE TRADING	031	TKR	S	1,000	51.43	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON INV ADV	035	TRLG	B	10,000	37.24	n/a	n/a	400.00	4.0
ROYCE TRADING	031	TRN	S	1,000	32.37	n/a	n/a	50.00	5.0
JETSTREAM GLOBAL FUND LP	065	TSL	B	30,000	8.25	n/a	n/a	1,500.00	5.0
BALYASNY ASSET MGMT	044	UFS	B	5,000	92.17	n/a	n/a	250.00	5.0
BESSEMER INVESTMENT	085	UN	B	700	33.45	n/a	n/a	28.00	4.0
ROYCE TRADING	031	URI	S	2,000	40.80	n/a	n/a	100.00	5.0
RBC CAPITAL MARKETS	040	USG	S	15,000	14.94	n/a	7-Feb	600.00	4.0
ROYCE TRADING	031	VC	S	1,000	52.16	n/a	n/a	50.00	5.0
SIMMONS VENTURES	041	ZQK	B	10,000	4.46	n/a	10-May	300.00	3.0
TOTAL (Trade Date) :								67,331.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/07	VERITION (VERTBAMLAC)	028	GMCR	B	12,500	66.80	n/a	n/a	375.00 3.0
CRT	02/07	ROSEDALE CAPITAL (ROSEJPM)	046	NVLS	S	15,000	48.01	n/a	n/a	600.00 4.0

TOTAL (AO, CXL, CRT) :	975.00
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TOTAL (Trade Date) :	67,331.05
TOTAL (AO, CXL, CRT) :	975.00

TOTAL (RUN DATE) / NFS :	68,306.05
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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