



## Daily Compliance Activity Report

Trade Date: 03/08/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account              | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm. ¢/Shr. |     |
|----------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| BESSEMER INVESTMENT  | 085  | ABX    | B   | 740     | 46.00  | n/a | n/a      | 29.60        | 4.0 |
| BESSEMER INVESTMENT  | 085  | ACE    | B   | 565     | 71.61  | n/a | n/a      | 22.60        | 4.0 |
| BESSEMER INVESTMENT  | 085  | ACN    | B   | 740     | 60.16  | n/a | n/a      | 29.60        | 4.0 |
| BESSEMER INVESTMENT  | 085  | ACWI   | S   | 1,550   | 46.30  | n/a | n/a      | 62.00        | 4.0 |
| BESSEMER INVESTMENT  | 085  | AEM    | S   | 442     | 36.16  | n/a | n/a      | 17.68        | 4.0 |
| RBC CAPITAL MARKETS  | 040  | ANF    | B   | 10,000  | 49.61  | n/a | 16-Feb   | 400.00       | 4.0 |
| BESSEMER INVESTMENT  | 085  | ANH    | S   | 11,305  | 6.57   | n/a | n/a      | 452.20       | 4.0 |
| EPOCH INV MGMT       | 030  | ARCO   | B   | 100,000 | 19.81  | n/a | 6-Mar    | 3,000.00     | 3.0 |
| MOORE CAPITAL        | 041  | ARO    | C   | 20,475  | 19.00  | n/a | n/a      | 614.25       | 3.0 |
| BALYASNY ASSET MGMT  | 044  | ASNA   | B   | 15,000  | 41.90  | n/a | n/a      | 750.00       | 5.0 |
| RBC CAPITAL MARKETS  | 040  | BBBY   | SS  | 10,000  | 62.28  | n/a | n/a      | 400.00       | 4.0 |
| SIMMONS VENTURES     | 041  | BONT   | SS  | 15,000  | 8.21   | n/a | n/a      | 600.00       | 4.0 |
| CAPITAL GROWTH MGMT. | 241  | BXP    | S   | 20,000  | 101.96 | n/a | n/a      | 1,000.00     | 5.0 |
| TUDOR INVESTORS      | 028  | CAT    | B   | 2,000   | 110.26 | n/a | 27-Jan   | 60.00        | 3.0 |

| Account                | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |     |
|------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| TUDOR INVESTORS        | 028  | CAT    | SS  | 2,000  | 109.60 | n/a | 27-Jan   | 60.00       | 3.0 |
| STATE TEACHERS RET SYS | 047  | CBG    | S   | 50,000 | 18.17  | n/a | n/a      | 2,500.00    | 5.0 |
| CATAPULT               | 040  | CBSH   | B   | 9,316  | 38.37  | n/a | n/a      | 372.64      | 4.0 |
| BESSEMER INVESTMENT    | 085  | CCL    | B   | 490    | 30.86  | n/a | n/a      | 19.60       | 4.0 |
| BESSEMER INVESTMENT    | 085  | CMCSA  | B   | 1,300  | 29.64  | n/a | n/a      | 52.00       | 4.0 |
| BESSEMER INVESTMENT    | 085  | CMCSA  | S   | 100    | 29.53  | n/a | n/a      | 4.00        | 4.0 |
| BESSEMER INVESTMENT    | 085  | CNK    | S   | 860    | 21.65  | n/a | n/a      | 34.40       | 4.0 |
| BESSEMER INVESTMENT    | 085  | COP    | B   | 430    | 77.50  | n/a | n/a      | 17.20       | 4.0 |
| SONTERRA CAP           | 041  | CSX    | B   | 10,000 | 20.17  | n/a | n/a      | 400.00      | 4.0 |
| BESSEMER INVESTMENT    | 085  | CTL    | B   | 615    | 38.78  | n/a | n/a      | 24.60       | 4.0 |
| BESSEMER INVESTMENT    | 085  | CVE    | S   | 390    | 38.31  | n/a | n/a      | 15.60       | 4.0 |
| BESSEMER INVESTMENT    | 085  | CVS    | B   | 515    | 45.24  | n/a | n/a      | 20.60       | 4.0 |
| SURVEYOR CAPITAL       | 251  | DAN    | B   | 12,500 | 15.72  | n/a | 22-Feb   | 375.00      | 3.0 |
| COLUMBUS CAP MGMT LLC  | 084  | DE     | B   | 16,100 | 80.31  | n/a | 23-Feb   | 805.00      | 5.0 |
| TUDOR INVESTORS        | 028  | DSW    | B   | 15,000 | 55.02  | n/a | 11-Feb   | 450.00      | 3.0 |
| BESSEMER INVESTMENT    | 085  | DTE    | B   | 230    | 54.56  | n/a | n/a      | 9.20        | 4.0 |

| Account                 | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |     |
|-------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| CATAPULT                | 040  | ETFC   | S   | 5,000  | 9.70   | n/a | n/a      | 200.00      | 4.0 |
| BESSEMER INVESTMENT     | 085  | EXC    | B   | 660    | 38.49  | n/a | n/a      | 26.40       | 4.0 |
| BESSEMER INVESTMENT     | 085  | FCX    | B   | 400    | 39.44  | n/a | n/a      | 16.00       | 4.0 |
| RBC CAPITAL MARKETS     | 040  | FDO    | SS  | 10,000 | 56.33  | n/a | 9-Jan    | 400.00      | 4.0 |
| BESSEMER INVESTMENT     | 085  | FE     | B   | 790    | 44.45  | n/a | n/a      | 31.60       | 4.0 |
| CATAPULT                | 040  | FHN    | B   | 18,500 | 9.66   | n/a | n/a      | 740.00      | 4.0 |
| CATAPULT                | 040  | FHN    | S   | 12,060 | 9.57   | n/a | n/a      | 482.40      | 4.0 |
| CATAPULT                | 040  | FRC    | B   | 7,000  | 30.10  | n/a | n/a      | 280.00      | 4.0 |
| BESSEMER INVESTMENT     | 085  | GD     | B   | 230    | 71.83  | n/a | 14-Feb   | 8.80        | 2.0 |
| BESSEMER INVESTMENT     | 085  | GG     | S   | 430    | 47.70  | n/a | n/a      | 17.20       | 4.0 |
| DSG CAPITAL             | 030  | GLW    | B   | 20,000 | 13.22  | n/a | 8-Mar    | 600.00      | 3.0 |
| GALT INVESTMENT         | 041  | HGG    | S   | 15,000 | 11.63  | n/a | n/a      | 750.00      | 5.0 |
| ROTHSCHILD ASSET        | 040  | HMN    | B   | 9,212  | 17.20  | n/a | n/a      | 368.48      | 4.0 |
| RIDGECREST INV MGMT LLC | 028  | HSC    | B   | 15,000 | 21.65  | n/a | 7-Mar    | 750.00      | 5.0 |
| BESSEMER INVESTMENT     | 085  | HTS    | S   | 910    | 28.51  | n/a | n/a      | 36.40       | 4.0 |
| BESSEMER INVESTMENT     | 085  | IBM    | B   | 220    | 199.27 | n/a | n/a      | 8.80        | 4.0 |

| Account                    | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |      |
|----------------------------|------|--------|-----|--------|-------|-----|----------|--------------|------|
| CSFB GLOBAL PROPRIETARY    | 041  | IP     | S   | 50,000 | 35.36 | n/a | 2-Feb    | 2,500.00     | 5.0  |
| LATEFF MGMT                | 035  | IP     | S   | 4,750  | 35.41 | n/a | 2-Feb    | 612.25       | 15.4 |
| MA CAPITAL MGMT/MELLON ADV | 041  | IP     | S   | 4,000  | 35.43 | n/a | 2-Feb    | 200.00       | 5.0  |
| SCOPUS FUND                | 041  | IP     | B   | 20,000 | 35.12 | n/a | 2-Feb    | 800.00       | 4.0  |
| RIDGECREST INV MGMT LLC    | 028  | JCI    | B   | 5,000  | 31.51 | n/a | 8-Mar    | 250.00       | 5.0  |
| KLEINHEINZ CAP PART        | 031  | JCP    | B   | 50,000 | 39.47 | n/a | 27-Feb   | 2,500.00     | 5.0  |
| BESSEMER INVESTMENT        | 085  | JNJ    | B   | 615    | 64.93 | n/a | n/a      | 24.60        | 4.0  |
| TUDOR INVESTORS            | 028  | JOY    | B   | 2,000  | 79.99 | n/a | 1-Mar    | 60.00        | 3.0  |
| TUDOR INVESTORS            | 028  | JOY    | S   | 2,000  | 80.75 | n/a | 1-Mar    | 60.00        | 3.0  |
| RBC CAPITAL MARKETS        | 040  | KO     | SS  | 10,000 | 69.39 | n/a | 23-Feb   | 400.00       | 4.0  |
| ADAGE CAPITAL MGMT         | 030  | KSS    | B   | 70,000 | 48.74 | n/a | 2-Mar    | 2,100.00     | 3.0  |
| CAERUS GLOBAL              | 041  | KSS    | B   | 20,000 | 49.17 | n/a | 2-Mar    | 800.00       | 4.0  |
| VERITION                   | 028  | KSS    | B   | 7,500  | 48.65 | n/a | 2-Mar    | 225.00       | 3.0  |
| BESSEMER INVESTMENT        | 085  | LOW    | B   | 3,555  | 29.22 | n/a | 28-Feb   | 142.20       | 4.0  |
| RBC CAPITAL MARKETS        | 040  | LTD    | B   | 10,000 | 46.27 | n/a | n/a      | 400.00       | 4.0  |
| BESSEMER INVESTMENT        | 085  | MFA    | S   | 8,743  | 7.33  | n/a | n/a      | 349.72       | 4.0  |
| CRAMER ROSENTHAL           | 070  | MFB    | C   | 17,500 | 22.05 | n/a | n/a      | 700.00       | 4.0  |
| BESSEMER INVESTMENT        | 085  | MGA    | B   | 380    | 46.86 | n/a | n/a      | 15.20        | 4.0  |

| Account                 | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |     |
|-------------------------|------|--------|-----|--------|-------|-----|----------|--------------|-----|
| BESSEMER INVESTMENT     | 085  | MHP    | B   | 585    | 46.19 | n/a | n/a      | 23.40        | 4.0 |
| BESSEMER INVESTMENT     | 085  | MRO    | B   | 925    | 33.26 | n/a | n/a      | 37.00        | 4.0 |
| CATAPULT                | 040  | MTB    | SS  | 200    | 80.37 | n/a | n/a      | 8.00         | 4.0 |
| BESSEMER INVESTMENT     | 085  | M      | B   | 945    | 38.97 | n/a | 2-Mar    | 37.80        | 4.0 |
| BESSEMER INVESTMENT     | 085  | NEM    | B   | 820    | 57.00 | n/a | n/a      | 32.80        | 4.0 |
| FIRST NEW YORK LEDDY    | 035  | NOK    | B   | 20,000 | 5.09  | n/a | n/a      | 800.00       | 4.0 |
| TUDOR INVESTORS         | 028  | OC     | S   | 5,000  | 32.91 | n/a | n/a      | 150.00       | 3.0 |
| BESSEMER INVESTMENT     | 085  | OKS    | S   | 900    | 57.01 | n/a | n/a      | 36.00        | 4.0 |
| MERRILL ASSET/BLACKROCK | 297  | PDC    | S   | 23,200 | 9.29  | n/a | n/a      | 928.00       | 4.0 |
| BESSEMER INVESTMENT     | 085  | PEP    | S   | 50     | 62.95 | n/a | n/a      | 2.00         | 4.0 |
| BESSEMER INVESTMENT     | 085  | PVR    | S   | 1,479  | 24.21 | n/a | n/a      | 59.16        | 4.0 |
| CATAPULT                | 040  | RF     | B   | 6,277  | 5.80  | n/a | n/a      | 251.08       | 4.0 |
| RBC CAPITAL MARKETS     | 040  | SBH    | B   | 15,000 | 24.92 | n/a | n/a      | 600.00       | 4.0 |
| BESSEMER INVESTMENT     | 085  | SLB    | S   | 120    | 76.15 | n/a | n/a      | 4.80         | 4.0 |
| CATAPULT                | 040  | TCB    | B   | 19,000 | 10.61 | n/a | n/a      | 760.00       | 4.0 |

| Account                    | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm. ¢/Shr.     |     |
|----------------------------|------|--------|-----|---------|-------|-----|----------|------------------|-----|
| BESSEMER INVESTMENT        | 085  | TGT    | B   | 720     | 57.23 | n/a | 1-Mar    | 28.80            | 4.0 |
| VERITION                   | 028  | TTWO   | B   | 7,500   | 15.46 | n/a | n/a      | 225.00           | 3.0 |
| BESSEMER INVESTMENT        | 085  | UAL    | S   | 950     | 19.93 | n/a | n/a      | 38.00            | 4.0 |
| CAPITAL GROWTH MGMT.       | 241  | UAL    | S   | 150,000 | 19.60 | n/a | n/a      | 6,000.00         | 4.0 |
| BESSEMER INVESTMENT        | 085  | UNH    | B   | 500     | 55.80 | n/a | n/a      | 20.00            | 4.0 |
| M&I FUNDS                  | 047  | UNT    | B   | 2,300   | 45.75 | n/a | 1-Mar    | 92.00            | 4.0 |
| BESSEMER INVESTMENT        | 085  | UN     | B   | 360     | 33.52 | n/a | n/a      | 14.40            | 4.0 |
| COBALT                     | 041  | WBC    | S   | 60,000  | 58.80 | n/a | 17-Feb   | 2,400.00         | 4.0 |
| SCOPUS FUND                | 041  | WRC    | S   | 67,614  | 56.95 | n/a | 29-Feb   | 2,704.56         | 4.0 |
| TUDOR INVESTORS            | 028  | WSO    | B   | 3,000   | 70.50 | n/a | n/a      | 90.00            | 3.0 |
| BESSEMER INVESTMENT        | 085  | WU     | B   | 1,700   | 17.47 | n/a | n/a      | 68.00            | 4.0 |
| BNP PARIBAS SEC            | 040  | WY     | B   | 20,000  | 20.99 | n/a | 3-Feb    | 1,000.00         | 5.0 |
| MA CAPITAL MGMT/MELLON ADV | 041  | WY     | B   | 5,000   | 20.90 | n/a | 3-Feb    | 250.00           | 5.0 |
| <b>TOTAL (Trade Date):</b> |      |        |     |         |       |     |          | <b>46,113.62</b> |     |

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

| Type   | Date  | Account                       | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CXL | 03/07 | HARVEST MGMT (JMP) (HARVGSCO) | 029  | LPX    | B   | 50,000 | 7.77  | n/a | 7-Feb    | 2000.00 4.0 |
| AO,CRT | 03/07 | HARVEY PARTNERS (HARPGSPB)    | 086  | LPX    | B   | 50,000 | 7.77  | n/a | 7-Feb    | 2000.00 4.0 |

---

|                               |             |
|-------------------------------|-------------|
| <b>TOTAL (AO, CXL, CRT) :</b> | <b>0.00</b> |
|-------------------------------|-------------|

---

---

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 46,113.62 |
| TOTAL (AO, CXL, CRT) : | 0.00      |

---

|                                |                  |
|--------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS:</b> | <b>46,113.62</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