



Daily Compliance Activity Report

Trade Date: 02/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	ABC	B	40,000	37.72	n/a	n/a	1,200.00	3.0
TRELLUS PARTNERS LP	028	ABG	B	11,473	25.61	n/a	15-Feb	344.19	3.0
BESSEMER INVESTMENT	085	ACE	S	1,450	72.56	n/a	n/a	58.00	4.0
DELTEC ASSET MGMT.	040	BHI	B	7,500	50.59	n/a	n/a	375.00	5.0
NORTHWESTERN MUTUAL LIFE	047	BRCM	B	77,450	36.63	n/a	n/a	3,098.00	4.0
TUDOR INVESTORS	028	CF	B	2,000	182.24	n/a	n/a	60.00	3.0
M&I FUNDS	047	CHRW	S	3,770	67.16	n/a	n/a	150.80	4.0
ARCHON CAPITAL	035	CRM	S	10,000	142.86	n/a	n/a	400.00	4.0
CAERUS GLOBAL	041	CROX	S	7,400	20.00	n/a	n/a	296.00	4.0
ARCHON CAPITAL	035	CRR	S	15,000	92.41	n/a	8-Feb	600.00	4.0
STELLIAM INV ADV	034	DAL	B	100,000	9.61	n/a	n/a	5,000.00	5.0
RBC CAPITAL MARKETS	040	DG	S	20,000	41.57	n/a	27-Jan	800.00	4.0
BESSEMER INVESTMENT	085	DIS	S	950	41.61	n/a	n/a	38.00	4.0
CORNERSTONE	030	DKS	S	137,997	44.98	n/a	17-Feb	4,139.91	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	DRC	S	14,080	52.72	n/a	n/a	704.00	5.0
BESSEMER INVESTMENT	085	DTE	B	1,403	54.39	n/a	n/a	56.12	4.0
M&I FUNDS	047	EL	B	3,419	57.64	n/a	6-Feb	136.76	4.0
PRIMECAP MGMT	084	EXH	S	9,164	14.50	n/a	24-Feb	366.56	4.0
SMITH MGMT LLC	029	FL	S	100,000	28.73	n/a	16-Feb	3,000.00	3.0
BESSEMER INVESTMENT	085	GD	B	1,683	72.31	n/a	14-Feb	67.32	4.0
BESSEMER INVESTMENT	085	IBM	B	1,608	196.56	n/a	n/a	64.32	4.0
BESSEMER INVESTMENT	085	IP	S	1,540	33.43	n/a	2-Feb	61.60	4.0
DC CAPITAL	044	IP	S	50,000	34.04	n/a	2-Feb	2,000.00	4.0
FORTRESS INVESTMENT (US)	036	ITT	B	42,500	23.31	n/a	n/a	1,700.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	S	9,200	30.50	n/a	16-Feb	460.00	5.0
CAVOLEPH	085	MRVL	B	2,250	15.35	n/a	n/a	0.00	0.0
ROYCE TRADING	031	MTX	B	9,800	65.62	n/a	n/a	490.00	5.0
BESSEMER INVESTMENT	085	MU	S	925	8.44	n/a	n/a	37.00	4.0
RIDGECREST INV MGMT LLC	028	MWV	B	10,000	30.78	n/a	26-Jan	500.00	5.0
LATEFF MGMT	035	PCH	B	6,000	30.97	n/a	31-Jan	480.00	8.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PFE	S	3,300	20.98	n/a	n/a	132.00	4.0
IRIDIAN ASSET MGMT.	036	ROC	S	6,050	52.64	n/a	n/a	302.50	5.0
GEORGE WEISS	034	ROST	S	26,000	53.08	n/a	24-Feb	780.00	3.0
RBC CAPITAL MARKETS	040	ROST	B	10,000	52.97	n/a	24-Feb	400.00	4.0
VERITION	028	SBUX	SS	15,000	48.25	n/a	27-Jan	450.00	3.0
TALPION LLC	040	SKX	B	10,000	12.61	n/a	n/a	400.00	4.0
TUDOR INVESTORS	028	SPW	B	3,000	74.30	n/a	n/a	90.00	3.0
STELLIAM INV ADV	034	UAL	B	10,000	20.00	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	WMT	S	8,029	58.43	n/a	22-Feb	321.16	4.0
CATAPULT	040	XCO	SS	25,000	7.19	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date):								30,559.24	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									30,559.24
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									30,559.24
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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