



Daily Compliance Activity Report

Trade Date: 10/28/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIIONEER OAKRIDGE	031	AAPL	S	610	193.93	n/a	n/a	12.20	2.0
PIIONEER OAKRIDGE	031	ABT	S	1,930	51.29	n/a	n/a	38.60	2.0
PHILADELPHIA FINANCIAL	033	AB	S	600	27.00	n/a	26-Oct	24.00	4.0
PIIONEER OAKRIDGE	031	ADBE	S	2,000	33.46	n/a	n/a	40.00	2.0
PIIONEER OAKRIDGE	031	AGN	S	1,200	54.39	n/a	26-Oct	24.00	2.0
PAW PARTNERS	045	AKAM	S	35,000	20.38	n/a	n/a	1,750.00	5.0
THIRD COAST CAPITAL	035	AN	B	5,000	18.35	n/a	19-Oct	250.00	5.0
PIIONEER OAKRIDGE	031	APH	S	930	40.68	n/a	n/a	18.60	2.0
BUCK CAPITAL MGMT	001	ARO	B	15,000	38.91	n/a	9-Oct	600.00	4.0
LEVIN CAPITAL STRATEGIES	012	AXE	SS	20,000	42.26	n/a	27-Oct	800.00	4.0
TROUBH PART	067	AXL	B	25,000	6.00	n/a	28-Oct	1,250.00	5.0
PIIONEER OAKRIDGE	031	BBY	S	1,450	39.12	n/a	n/a	29.00	2.0
KEEFE BRUYETTE WOODS A	045	BCS	S	43,400	21.72	n/a	n/a	2,170.00	5.0
PIIONEER OAKRIDGE	031	BDX	S	895	66.91	n/a	n/a	17.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	BEN	S	5,000	107.89	n/a	28-Oct	250.00	5.0
UBS OCONNOR	031	BEN	C	125,000	104.59	n/a	28-Oct	3,750.00	3.0
BUCK CAPITAL MGMT	001	BJS	B	30,000	19.95	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	BWA	B	7,100	30.45	n/a	27-Oct	355.00	5.0
BARROW HANLEY MEWHINNEY	031	CCL	S	172,800	29.62	n/a	n/a	6,048.00	3.5
LOOMIS SALES/BOSTON	036	CCL	SS	80,651	29.42	n/a	n/a	3,226.04	4.0
PIONEER OAKRIDGE	031	CELG	S	1,150	51.23	n/a	n/a	23.00	2.0
ISLE RIDGE PARTNERS	041	CLX	B	10,000	57.95	n/a	n/a	400.00	4.0
ISLE RIDGE PARTNERS	041	CL	B	10,000	78.53	n/a	14-Oct	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	CL	SS	15,000	78.24	n/a	14-Oct	600.00	4.0
PIONEER OAKRIDGE	031	CME	S	80	312.53	n/a	15-Oct	1.60	2.0
LEVEL GLOBAL SHARED ACCT	257	COH	S	100,000	32.88	n/a	21-Oct	3,000.00	3.0
BUCK CAPITAL MGMT	001	CRI	B	376,700	23.06	n/a	n/a	15,068.00	4.0
PIONEER OAKRIDGE	031	CSCO	S	4,790	23.28	n/a	n/a	95.80	2.0
PIONEER OAKRIDGE	031	CTSH	S	855	40.07	n/a	n/a	17.10	2.0
CAXTON PART	040	C	S	303,583	4.10	n/a	16-Oct	10,625.41	3.5
EXIS CAPITAL	044	C	B	50,000	4.09	n/a	16-Oct	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	DAL	B	50,000	7.40	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	214	DBRN	B	18,815	18.00	n/a	n/a	846.68	4.5
KLEINHEINZ CAP PART	031	DELL	S	200,000	14.61	n/a	n/a	10,000.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	14.33	n/a	28-Oct	1,250.00	5.0
PIONEER OAKRIDGE	031	DHR	S	1,110	67.98	n/a	n/a	22.20	2.0
CRAMER ROSENTHAL/SCOTT	012	DNB	S	80,000	79.60	n/a	n/a	3,200.00	4.0
ROXBURY CAPITAL MGMT	035	EAT	B	160,000	13.17	n/a	n/a	6,400.00	4.0
PIONEER OAKRIDGE	031	ECL	S	1,490	44.62	n/a	27-Oct	29.80	2.0
PIONEER OAKRIDGE	031	ESRX	S	1,140	78.29	n/a	n/a	22.80	2.0
ENTRUST CAPITAL	040	ETN	SS	35,200	61.20	n/a	20-Oct	1,760.00	5.0
DIAMONDBACK CAP MGMT	232	EXPD	C	30,000	32.78	n/a	n/a	1,500.00	5.0
NUMERIC	060	FDO	S	84,400	29.09	n/a	8-Oct	2,532.00	3.0
MANNING & NAPIER	034	FINL	B	47,000	10.09	n/a	n/a	1,410.00	3.0
PIONEER OAKRIDGE	031	GILD	S	1,520	43.12	n/a	n/a	30.40	2.0
LEVIN CAPITAL STRATEGIES	012	GIS	C	8,000	65.16	n/a	n/a	320.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	GLD	S	75,000	101.24	n/a	n/a	3,750.00	5.0
PIONEER OAKRIDGE	031	GOOG	S	230	542.03	n/a	n/a	4.60	2.0
BUCK CAPITAL MGMT	001	HBI	B	10,000	22.78	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	HK	S	1,480	24.80	n/a	n/a	29.60	2.0
OVERLAND PARK CAP	041	HOTT	S	22,500	7.68	n/a	n/a	900.00	4.0
PIONEER OAKRIDGE	031	HPQ	S	1,775	47.37	n/a	n/a	35.50	2.0
PIONEER OAKRIDGE	031	HSIC	S	1,330	55.02	n/a	n/a	26.60	2.0
PIONEER OAKRIDGE	031	IBM	S	860	121.33	n/a	n/a	17.20	2.0
PIONEER OAKRIDGE	031	ICE	S	535	102.74	n/a	n/a	10.70	2.0
IRIDIAN ASSET MGMT.	036	INTC	SS	258,030	19.34	n/a	n/a	12,901.50	5.0
PIONEER OAKRIDGE	031	INTC	S	3,605	19.41	n/a	n/a	72.10	2.0
BACKBAY	041	IP	S	25,000	22.38	n/a	28-Oct	1,250.00	5.0
BALYASNY ASSET MGMT	044	IP	C	10,000	21.52	n/a	28-Oct	500.00	5.0
CASTLEROCK	040	IP	B	58,000	21.76	n/a	28-Oct	2,320.00	4.0
COLONIAL FUND LLC	036	IP	B	15,000	23.28	n/a	28-Oct	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	270,000	22.43	n/a	28-Oct	13,500.00	5.0
OZ MGMT	040	IP	S	75,000	21.96	n/a	28-Oct	2,250.00	3.0
TRELLUS PARTNERS LP	028	IP	S	60,000	22.90	n/a	28-Oct	3,000.00	5.0
PIONEER OAKRIDGE	031	IRM	S	1,495	26.46	n/a	n/a	29.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM-ANDEW	031	ITRI	B	5,500	57.73	n/a	n/a	330.00	6.0
PIONEER OAKRIDGE	031	IVZ	S	1,735	20.65	n/a	26-Oct	34.70	2.0
MATLIN PATTERSON	046	IYR	B	150,000	39.99	n/a	n/a	4,500.00	3.0
SENATOR INVESTMENT GROUP	036	IYR	SS	25,000	39.73	n/a	n/a	865.00	3.5
BUCK CAPITAL MGMT	001	JCG	B	10,000	41.83	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	JCI	S	2,135	24.55	n/a	28-Oct	42.70	2.0
ADAGE CAPITAL MGMT	030	JCP	SS	200,000	33.14	n/a	9-Oct	8,000.00	4.0
OVERLAND PARK CAP	041	JNY	B	10,000	16.65	n/a	21-Oct	400.00	4.0
HOLLIS CAPITAL	033	JPM	B	5,000	43.40	n/a	15-Oct	250.00	5.0
JP MORGAN VENTURES	046	JWN	B	10,000	31.26	n/a	9-Oct	500.00	5.0
MILLENIUM PARTNERS	028	KMB	B	11,000	61.55	n/a	26-Oct	440.00	4.0
PIONEER OAKRIDGE	031	KR	S	1,965	23.65	n/a	n/a	39.30	2.0
SYSTEMATIC FINANCIAL MGT	035	KSS	S	98,900	57.22	n/a	9-Oct	3,461.54	3.5
LONG OAR GLOBAL INV	040	K	B	6,800	50.52	n/a	n/a	272.00	4.0
PIONEER OAKRIDGE	031	K	S	1,365	50.13	n/a	n/a	27.30	2.0
METROPOLITAN CAPITAL	044	LMT	B	10,900	69.05	n/a	22-Oct	545.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PHILADELPHIA FINANCIAL	033	LM	SS	23,544	29.72	n/a	26-Oct	941.76	4.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.23	n/a	n/a	600.00	6.0
PIONEER OAKRIDGE	031	MON	S	320	71.45	n/a	20-Oct	6.40	2.0
BENCHMARK	028	MSFT	S	5,000	27.97	n/a	n/a	250.00	5.0
KLEINHEINZ CAP PART	031	MSFT	B	75,000	28.40	n/a	n/a	3,750.00	5.0
PIONEER OAKRIDGE	031	MSFT	S	3,060	28.33	n/a	n/a	61.20	2.0
PAW PARTNERS	045	MWW	S	10,000	16.57	n/a	n/a	500.00	5.0
TOCQUEVILLE	067	NCS	B	46,060	1.65	n/a	n/a	1,381.80	3.0
DIAMONDBACK CAP MGMT	232	NTRS	SS	10,000	50.87	n/a	21-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	NTY	S	20,000	37.38	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	PCH	B	10,000	28.35	n/a	12-Oct	0.00	0.0
PIONEER OAKRIDGE	031	PCP	S	560	96.24	n/a	n/a	11.20	2.0
PIONEER OAKRIDGE	031	PEP	S	1,380	61.05	n/a	n/a	27.60	2.0
PIONEER OAKRIDGE	031	PG	S	1,645	57.65	n/a	n/a	32.90	2.0
CATAPULT	040	PKG	S	65,000	18.49	n/a	22-Oct	3,250.00	5.0
ELM RIDGE ADVISORS	044	PKG	B	231,000	18.58	n/a	22-Oct	9,240.00	4.0
IRIDIAN ASSET MGMT.	036	PKG	B	41,730	18.52	n/a	22-Oct	2,086.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	PKG	SS	285	18.62	n/a	22-Oct	0.00	0.0
DENVER INST. ADV	046	PRGO	B	85,000	36.55	n/a	26-Oct	3,400.00	4.0
ASCEND PARTNERS	033	PVH	B	10,000	40.33	n/a	n/a	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	PVH	S	117,100	39.86	n/a	n/a	3,513.00	3.0
MILLENNIUM-ANDEW	031	PWR	B	10,000	20.91	n/a	n/a	600.00	6.0
PIONEER OAKRIDGE	031	PX	S	830	78.38	n/a	28-Oct	16.60	2.0
PIONEER OAKRIDGE	031	QCOM	S	2,755	41.77	n/a	n/a	55.10	2.0
LONG OAR GLOBAL INV	040	RAH	B	6,300	55.02	n/a	n/a	252.00	4.0
PRINCIPLE CAPITAL	040	RHI	SS	33,700	24.43	n/a	n/a	1,011.00	3.0
PIONEER OAKRIDGE	031	RIG	S	605	84.68	n/a	n/a	12.10	2.0
BUCK CAPITAL MGMT	001	RL	B	5,000	72.27	n/a	n/a	200.00	4.0
HUNTER GLOBAL INVESTOR	067	RL	B	25,000	72.77	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	RSX	S	20,000	28.64	n/a	n/a	600.00	3.0
PIONEER OAKRIDGE	031	RTN	S	1,605	46.14	n/a	22-Oct	32.10	2.0
PIONEER OAKRIDGE	031	SAP	S	1,380	46.75	n/a	n/a	27.60	2.0
PIONEER OAKRIDGE	031	SCHW	S	2,385	17.73	n/a	n/a	47.70	2.0
NEWLAND CAPITAL MGT	067	SEE	B	10,000	19.97	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM-ANDEW	031	SHAW	B	7,500	26.47	n/a	n/a	450.00	6.0
HOLLIS CAPITAL	033	SII	SS	4,000	30.87	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	22.44	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	SLB	S	1,205	63.33	n/a	n/a	24.10	2.0
PIONEER OAKRIDGE	031	SPLS	S	3,510	22.28	n/a	n/a	70.20	2.0
PIONEER OAKRIDGE	031	SWN	S	1,345	45.02	n/a	9-Oct	26.90	2.0
PIONEER OAKRIDGE	031	SYK	S	1,190	47.56	n/a	n/a	23.80	2.0
BUCK CAPITAL MGMT	001	TGT	S	20,000	48.44	n/a	21-Oct	800.00	4.0
MAIRS AND POWER INV	030	TGT	S	20,000	49.06	n/a	21-Oct	1,000.00	5.0
PIONEER OAKRIDGE	031	TGT	S	1,395	48.96	n/a	21-Oct	27.90	2.0
BASIX	033	TIN	B	12,000	15.68	n/a	22-Oct	360.00	3.0
BMO NESBITT BURNS	041	TIN	B	25,000	15.62	n/a	22-Oct	1,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TJX	S	50,000	38.91	n/a	21-Oct	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	TKR	C	25,000	21.35	n/a	n/a	1,000.00	4.0
PIONEER OAKRIDGE	031	TMO	S	1,640	45.18	n/a	n/a	32.80	2.0
PIONEER OAKRIDGE	031	TXN	S	2,705	23.93	n/a	n/a	54.10	2.0
LEVIN CAPITAL STRATEGIES	012	TYC	B	25,000	33.75	n/a	12-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	UFS	B	33,000	37.60	n/a	n/a	1,320.00	4.0
HUNTER GLOBAL INVESTOR	067	USB	B	50,000	23.67	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	UTX	S	1,140	63.40	n/a	n/a	22.80	2.0
MERRILL ASSET/BLACKROCK	214	VIAB	S	57,000	27.41	n/a	n/a	2,565.00	4.5
PIONEER OAKRIDGE	031	V	S	1,160	77.32	n/a	28-Oct	23.20	2.0
VENTANA CAPITAL	060	WBC	B	5,000	24.85	n/a	28-Oct	200.00	4.0
ARAGON GLOBAL	041	WYNN	S	25,700	53.92	n/a	28-Oct	1,285.00	5.0
PIONEER OAKRIDGE	031	XTO	S	1,305	42.06	n/a	n/a	26.10	2.0
TOTAL (Trade Date) :								197,081.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/27	TOCQUEVILLE (TOCQAM3007)	067	AME	B	3,000	35.85	n/a	n/a	150.00 5.0
AO,	10/27	TOCQUEVILLE (TOCQAM2967)	067	AME	B	3,000	35.85	n/a	n/a	150.00 5.0
AO,CXL	10/27	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BJS	SS	30,000	19.95	n/a	n/a	1200.00 4.0
AO,CRT	10/27	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BJS	SS	30,000	19.95	n/a	n/a	0.00 0.0
AO,	10/27	DAVIDSON KEMPNER ADVISOR (DAVIBARC)	040	DTV	C	58,560	25.82	n/a	n/a	2928.00 5.0
AO,CXL	10/27	DAVIDSON KEMPNER ADVISOR (DAVIML)	040	DTV	C	58,560	25.82	n/a	n/a	2928.00 5.0
AO,CXL	10/22	ST OF MICHIAN (MICHMER2)	047	MON	B	30,000	74.54	n/a	20-Oct	900.00 3.0
AO,CRT	10/22	ST OF MICHIAN (MICHMER2)	047	MON	B	30,000	74.54	n/a	20-Oct	600.00 2.0
AO,CXL	10/27	MILLENIUM PARTNERS (MILPUSE)	028	SHAW	B	10,000	28.09	n/a	n/a	600.00 6.0
AO,CRT	10/27	MILLENNIUM-ANDEW (MILAMSMART)	028	SHAW	B	10,000	28.09	n/a	n/a	600.00 6.0
TOTAL (AO, CXL, CRT) :										-1,200.00
TOTAL (Trade Date):										197,081.83
TOTAL (AO, CXL, CRT):										-1,200.00
TOTAL (RUN DATE) / NFS:										195,881.83

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