



# Daily Compliance Activity Report

Trade Date: 02/25/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT CAP/DEFRANCO	040	ABB	B	25,000	24.06	n/a	n/a	1,000.00	4.0
CR INTRINIC INVESTMENT	044	ABT	S	25,000	47.66	n/a	n/a	875.00	3.5
PIONEER OAKRIDGE	031	ABT	S	1,570	47.35	n/a	n/a	31.40	2.0
<b>Õ Nilsa Vazquez</b>		<b>ACW</b>	<b>S</b>	<b>500</b>	<b>14.0140</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	AGN	S	1,345	74.05	n/a	22-Feb	26.90	2.0
PIONEER OAKRIDGE	031	ALTR	S	1,610	42.45	n/a	n/a	32.20	2.0
PIONEER OAKRIDGE	031	AMG	S	805	106.83	n/a	2-Mar	16.10	2.0
CASTLE ARK	031	ANSS	B	31,440	55.44	n/a	n/a	1,572.00	5.0
PIONEER OAKRIDGE	031	APH	S	1,040	56.86	n/a	n/a	20.80	2.0
BALYASNY ASSET MGMT	044	ASNA	C	25,000	31.07	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	ASNA	B	10,000	31.16	n/a	n/a	400.00	4.0
<b>Õ Doug Rogers</b>		<b>BAC</b>	<b>B</b>	<b>35</b>	<b>24.4500</b>	<b>n/a</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>BAC</b>	<b>B</b>	<b>35</b>	<b>24.4500</b>	<b>n/a</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>BAC</b>	<b>B</b>	<b>35</b>	<b>24.4500</b>	<b>n/a</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	BAX	S	1,385	52.16	n/a	n/a	27.70	2.0
ISLE RIDGE PARTNERS	041	BYI	B	26,000	38.40	n/a	3-Feb	1,040.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	CELG	S	1,280	53.39	n/a	n/a	25.60	2.0
CASTLEROCK	040	CREE	SS	17,952	53.10	n/a	n/a	718.08	4.0
PIONEER OAKRIDGE	031	CSCO	S	7,385	18.68	n/a	n/a	147.70	2.0
PIONEER OAKRIDGE	031	CTSH	S	705	76.34	n/a	n/a	14.10	2.0
PIONEER OAKRIDGE	031	CTXS	S	765	70.94	n/a	n/a	15.30	2.0
PIONEER OAKRIDGE	031	CXO	S	1,140	108.78	n/a	n/a	22.80	2.0
PIONEER OAKRIDGE	031	DHR	S	2,475	50.17	n/a	n/a	49.50	2.0
PIONEER OAKRIDGE	031	DNR	S	2,310	23.61	n/a	n/a	46.20	2.0
PIONEER OAKRIDGE	031	ECL	S	1,660	47.89	n/a	17-Feb	33.20	2.0
PIONEER OAKRIDGE	031	EMC	S	5,885	26.90	n/a	n/a	117.70	2.0
CATAPULT CAP/DEFRANCO	040	EMR	B	35,000	59.94	n/a	n/a	1,400.00	4.0
PIONEER OAKRIDGE	031	ESRX	S	1,900	55.32	n/a	n/a	38.00	2.0
CATAPULT CAP/DEFRANCO	040	ETN	B	8,500	107.77	n/a	27-Jan	340.00	4.0
DC CAPITAL	044	FOE	S	10,000	15.54	n/a	n/a	300.00	3.0
GRANITE CAPITAL	028	F	B	35,000	14.97	n/a	2-Feb	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	GILD	S	2,345	38.90	n/a	n/a	46.90	2.0
GRANITE CAPITAL	028	GM	B	15,000	34.15	n/a	25-Feb	750.00	5.0
PIONEER OAKRIDGE	031	GOOG	S	290	612.11	n/a	n/a	5.80	2.0
PIONEER OAKRIDGE	031	GS	S	540	164.84	n/a	14-Feb	10.80	2.0
NCM CAPITAL MGMT	035	HP	B	2,600	63.65	n/a	n/a	104.00	4.0
PIONEER OAKRIDGE	031	IBM	S	1,250	161.46	n/a	n/a	25.00	2.0
PIONEER OAKRIDGE	031	ICE	S	595	126.15	n/a	n/a	11.90	2.0
PIONEER OAKRIDGE	031	INTC	S	4,925	21.88	n/a	n/a	98.50	2.0
PIONEER OAKRIDGE	031	ITW	S	2,195	53.49	n/a	1-Feb	43.90	2.0
ROTHSCHILD ASSET	040	IVC	S	14,400	29.55	n/a	n/a	576.00	4.0
PIONEER OAKRIDGE	031	IVZ	S	3,530	26.13	n/a	2-Mar	70.60	2.0
PIONEER OAKRIDGE	031	JCI	S	2,375	40.60	n/a	20-Jan	47.50	2.0
THE JAY GOLDMAN	028	JCP	B	25,000	34.82	n/a	7-Feb	1,000.00	4.0
BNP PARIBAS SEC	040	JWN	B	100,000	45.50	n/a	18-Feb	5,000.00	5.0
PIONEER OAKRIDGE	031	JWN	S	2,095	45.71	n/a	18-Feb	41.90	2.0
CYRUS CAPITAL	025	KND	B	13,000	25.22	n/a	n/a	520.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	LL	S	50,000	23.84	n/a	n/a	1,000.00	2.0
SCOPUS FUND	041	LOW	B	30,000	25.32	n/a	23-Feb	1,200.00	4.0
NOMURA CAPITAL	029	LYB	S	25,000	38.22	n/a	n/a	750.00	3.0
KLEINHEINZ CAP PART	031	MMM	S	60,000	90.22	n/a	11-Feb	3,000.00	5.0
THE JAY GOLDMAN	028	MPEL	S	25,000	6.80	n/a	22-Feb	1,000.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	1,975	26.72	n/a	n/a	39.50	2.0
TRUSTCO/SUNTRUST	040	MSFT	S	259,073	26.73	n/a	n/a	9,067.63	3.5
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	29.45	n/a	26-Jan	750.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	B	2,000	29.63	n/a	26-Jan	100.00	5.0
SCOPUS FUND	041	MW	S	25,000	27.47	n/a	n/a	1,000.00	4.0
CYRUS CAPITAL	041	M	B	17,000	23.29	n/a	23-Feb	680.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	M	B	2,500	23.43	n/a	23-Feb	125.00	5.0
THE JAY GOLDMAN	028	M	SS	25,000	23.35	n/a	23-Feb	1,000.00	4.0
PIONEER OAKRIDGE	031	NTAP	S	1,450	52.36	n/a	n/a	29.00	2.0
NCM CAPITAL MGMT	035	OIS	B	8,404	72.03	n/a	n/a	336.16	4.0
PIONEER OAKRIDGE	031	ORCL	S	3,690	32.94	n/a	n/a	73.80	2.0
PIONEER OAKRIDGE	031	ORLY	S	1,965	55.10	n/a	n/a	39.30	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	OXY	S	1,180	102.50	n/a	n/a	23.60	2.0
PIONEER OAKRIDGE	031	PCAR	S	1,535	50.19	n/a	2-Feb	30.70	2.0
ELM RIDGE ADVISORS	044	PCL	S	7,000	41.47	n/a	1-Feb	280.00	4.0
PIONEER OAKRIDGE	031	PCP	S	625	141.31	n/a	31-Jan	12.50	2.0
PIONEER OAKRIDGE	031	PEP	S	1,540	63.77	n/a	n/a	30.80	2.0
SAC TRADING TOM LEDDY	035	PFCB	B	14,000	46.53	n/a	16-Feb	490.00	3.5
PIONEER OAKRIDGE	031	PG	S	1,835	62.76	n/a	18-Feb	36.70	2.0
SAC TRADING TOM LEDDY	035	PLCE	B	18,000	46.14	n/a	14-Feb	630.00	3.5
PIONEER OAKRIDGE	031	PX	S	930	98.21	n/a	23-Feb	18.60	2.0
SCOPUS FUND	041	SCS	B	25,000	9.68	n/a	n/a	1,000.00	4.0
SONTERRA CAP	041	SD	B	50,000	10.14	n/a	n/a	2,000.00	4.0
PIONEER OAKRIDGE	031	SLB	S	1,225	91.31	n/a	n/a	24.50	2.0
PIONEER OAKRIDGE	031	SPLS	S	3,920	20.86	n/a	n/a	78.40	2.0
CARDINAL CAPITAL	044	SSI	S	25,000	18.31	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	SWN	S	1,505	38.57	n/a	25-Feb	30.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	SWN	B	10,200	38.60	n/a	25-Feb	408.00	4.0
CR INTRINIC INVESTMENT	044	TEVA	S	25,000	50.27	n/a	22-Feb	875.00	3.5
PIONEER OAKRIDGE	031	TGT	S	2,100	52.42	n/a	24-Feb	42.00	2.0
PIONEER OAKRIDGE	031	UTX	S	1,270	83.33	n/a	n/a	25.40	2.0
NCM CAPITAL MGMT	035	VLO	B	81,450	28.24	n/a	n/a	3,258.00	4.0
ROTHSCHILD ASSET	040	VLO	S	6,989	27.65	n/a	n/a	279.56	4.0
PIONEER OAKRIDGE	031	V	S	885	75.21	n/a	17-Feb	17.70	2.0
NCM CAPITAL MGMT	035	WFT	B	28,500	23.90	n/a	n/a	1,140.00	4.0
BNP PARIBAS SEC	040	XRT	SS	50,000	49.21	n/a	n/a	500.00	1.0
<b>TOTAL (Trade Date) :</b>								<b>52,335.03</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/24	NEW JERSEY DIV OF INV. (NEWJ5162)	030	NLC	B	50,000	25.42	n/a	n/a	2000.00 4.0
AO,	02/24	NEW JERSEY DIV OF INV. (NEWJ5162)	030	NLC	B	50,000	25.42	n/a	n/a	2000.00 4.0
AO,CXL	02/23	PILOT ADV (PILOJPM)	048	PBY	B	18,800	13.68	n/a	n/a	752.00 4.0
AO,	02/23	PILOT ADV (PILOJPM)	048	PBY	B	18,800	13.68	n/a	n/a	564.00 3.0
AO,CXL	02/23	PILOT ADV (PILOBOFA)	048	PBY	B	1,200	13.68	n/a	n/a	48.00 4.0
AO,	02/23	PILOT ADV (PILOBOFA)	048	PBY	B	1,200	13.68	n/a	n/a	36.00 3.0
AO,	02/24	OZ MGMT (OZFFCSFB)	040	RIG	C	2,335	79.12	n/a	n/a	70.05 3.0
AO,	02/24	OZ MGMT (OZFFCSFB)	040	RIG	C	862	79.12	n/a	n/a	25.86 3.0
AO,	02/24	OZ MGMT (OZFFCSFB)	040	RIG	C	2,555	79.12	n/a	n/a	76.65 3.0
AO,	02/24	OZ MGMT (OZFFCSFB)	040	RIG	C	6,284	79.03	n/a	n/a	188.52 3.0
AO,	02/24	OZ MGMT (OZFFCSFB)	040	RIG	C	2,319	79.03	n/a	n/a	69.57 3.0
AO,	02/24	OZ MGMT (OZFFCSFB)	040	RIG	C	6,876	79.03	n/a	n/a	206.28 3.0
AO,	02/24	OZ MGMT (OZFFMS)	040	RIG	C	1,111	79.12	n/a	n/a	33.33 3.0
AO,	02/24	OZ MGMT (OZFFMS)	040	RIG	C	2,989	79.03	n/a	n/a	89.67 3.0
AO,	02/24	OZ MGMT (OZFFGS)	040	RIG	C	1,028	79.12	n/a	n/a	30.84 3.0
AO,	02/24	OZ MGMT (OZFFGS)	040	RIG	C	55,750	79.12	n/a	n/a	1672.50 3.0
AO,	02/24	OZ MGMT (OZFFGS)	040	RIG	C	1,359	79.12	n/a	n/a	40.77 3.0
AO,	02/24	OZ MGMT (OZFFGS)	040	RIG	C	2,765	79.03	n/a	n/a	82.95 3.0
AO,	02/24	OZ MGMT (OZFFGS)	040	RIG	C	150,000	79.03	n/a	n/a	4500.00 3.0
AO,	02/24	OZ MGMT (OZFFGS)	040	RIG	C	3,657	79.03	n/a	n/a	109.71 3.0
AO,CXL	02/24	FIRST NEW YORK LEDDY (FNYS)	035	S	S	20,000	4.16	n/a	n/a	1200.00 6.0
AO,CRT	02/24	FIRST NEW YORK LEDDY (FNYS)	035	S	S	20,000	4.16	n/a	n/a	800.00 4.0
CRT	02/25	SONTERRA CAP (SONTGSRUCK)	041	SD	B	50,000	10.14	n/a	n/a	2000.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/24	SCOPUS FUND (SCOPGS)	041	SPLS	S	2,600	20.68	n/a	n/a	104.00 4.0
AO,CRT	02/24	SCOPUS FUND (SCOPGS)	041	SPLS	S	3,900	20.68	n/a	n/a	156.00 4.0
AO,CXL	02/24	SCOPUS FUND (SCOPUBS)	041	SPLS	S	17,400	20.68	n/a	n/a	696.00 4.0
AO,CRT	02/24	SCOPUS FUND (SCOPUBS)	041	SPLS	S	16,100	20.68	n/a	n/a	644.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>8,596.70</b>
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TOTAL (Trade Date):	52,335.03
TOTAL (AO, CXL, CRT):	8,596.70

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>60,931.73</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