



Daily Compliance Activity Report

Trade Date: 06/15/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	560	259.14	n/a	n/a	11.20	2.0
PIONEER OAKRIDGE	031	ABT	S	1,765	47.99	n/a	n/a	35.30	2.0
PIONEER OAKRIDGE	031	ADBE	S	1,840	32.46	n/a	n/a	36.80	2.0
EXIS CAPITAL	044	AEO	B	5,000	13.39	n/a	4-Jun	250.00	5.0
PIONEER OAKRIDGE	031	AGN	S	1,105	61.47	n/a	14-Jun	22.10	2.0
ROYCE TRADING	012	AIN	B	500	18.60	n/a	n/a	25.00	5.0
PIONEER OAKRIDGE	031	ALTR	S	1,370	25.36	n/a	n/a	27.40	2.0
BERMAN CAPITAL MGMT	046	ANN	B	5,000	21.96	n/a	n/a	150.00	3.0
PIONEER OAKRIDGE	031	APH	S	855	42.89	n/a	n/a	17.10	2.0
BERMAN CAPITAL MGMT	046	APP	B	2,000	1.95	n/a	n/a	60.00	3.0
EXIS CAPITAL	044	ARO	B	5,000	30.25	n/a	4-Jun	250.00	5.0
ROYCE TRADING	012	BAS	B	11,000	8.62	n/a	n/a	550.00	5.0
PIONEER OAKRIDGE	031	BAX	S	1,140	42.19	n/a	n/a	22.80	2.0
PIONEER OAKRIDGE	031	BBY	S	1,705	38.39	n/a	n/a	34.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PIONEER OAKRIDGE	031	BDX	S	825	70.62	n/a	n/a	16.50	2.0	
CATAPULT	040	BEN	B	2,500	93.74	n/a	2-Mar	125.00	5.0	
BUCK CAPITAL MGMT	001	BJ	SS	20,000	38.87	n/a	n/a	800.00	4.0	
CATAPULT	040	BLK	S	2,500	162.78	n/a	n/a	125.00	5.0	
BALYASNY ASSET MGMT	044	BRKB	B	50,000	76.59	n/a	n/a	2,500.00	5.0	
ROYCE TRADING	012	BWS	S	10,000	17.25	n/a	n/a	500.00	5.0	
STANDARD PACIFIC CAPITAL	040	BYI	SS	20,000	40.66	n/a	n/a	800.00	4.0	
ROYCE TRADING	012	BZ	B	2,000	5.82	n/a	n/a	100.00	5.0	
TRELLUS PARTNERS LP	028	BZ	S	25,000	6.01	n/a	n/a	750.00	3.0	
WEDBUSH/PACIFIC GROWTH EQTY LLC084		BZ		S	10,000	5.90	n/a	n/a	400.00	4.0
ROYCE TRADING	012	B	B	5,500	18.33	n/a	n/a	275.00	5.0	
JP MORGAN VENTURES	046	CAT	SS	5,000	62.22	n/a	12-May	250.00	5.0	
BNP PARIBAS SEC	040	CBE	B	15,000	48.37	n/a	27-May	600.00	4.0	
PIONEER OAKRIDGE	031	CELG	S	1,050	54.82	n/a	n/a	21.00	2.0	
MERRILL ASSET/BLACKROCK	266	CLX	S	53,500	64.62	n/a	6-May	2,140.00	4.0	
ENTRUST CAPITAL	040	CPLA	SS	25,900	84.07	n/a	n/a	1,295.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	CSCO	S	2,830	23.40	n/a	n/a	56.60	2.0
PIONEER OAKRIDGE	031	CTSH	S	1,465	53.42	n/a	n/a	29.30	2.0
ROYCE TRADING	012	CTS	S	500	10.53	n/a	n/a	25.00	5.0
MARINER/TRICADIA	041	CXW	S	30,000	21.05	n/a	n/a	1,500.00	5.0
FIRST NY SEC/CHRIS	041	C	B	25,000	3.97	n/a	15-Jun	0.00	0.0
PIONEER OAKRIDGE	031	DHR	S	2,035	40.45	n/a	n/a	61.05	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		DKS	SS	10,000	28.11		n/a 11-Jun	500.00	5.0
BERMAN CAPITAL MGMT	046	DSW	B	3,000	27.25	n/a	11-Jun	90.00	3.0
PIONEER OAKRIDGE	031	ECL	S	1,365	47.07	n/a	26-May	27.30	2.0
ROTHSCHILD ASSET	040	EMS	S	15,520	55.80	n/a	n/a	620.80	4.0
PIONEER OAKRIDGE	031	ESRX	S	1,560	53.21	n/a	n/a	46.80	3.0
BNP PARIBAS SEC	040	ETN	SS	10,000	74.46	n/a	27-May	400.00	4.0
BERMAN CAPITAL MGMT	046	FINL	B	2,000	16.60	n/a	n/a	60.00	3.0
LEVIN CAPITAL STRATEGIES	012	FL	B	50,000	14.80	n/a	11-Jun	1,500.00	3.0
ROYCE TRADING	012	FRM	B	12,500	4.51	n/a	n/a	375.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	FSS	S	500	6.61	n/a	n/a	25.00	5.0
MUHLENKAMP FUND	046	F	B	1,150,000	11.66	n/a	3-Jun	57,500.00	5.0
OZ MGMT	040	F	SS	220,843	11.58	n/a	3-Jun	6,625.29	3.0
OZ MGMT	040	F	S	34,157	11.55	n/a	3-Jun	1,024.71	3.0
TROUBH PART	067	F	B	50,000	11.74	n/a	3-Jun	2,500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	100,000	36.17	n/a	28-May	3,000.00	3.0
CHART WELL ADV	028	GET	B	26,821	26.02	n/a	n/a	1,072.84	4.0
PIONEER OAKRIDGE	031	GILD	S	1,930	35.18	n/a	n/a	38.60	2.0
PIONEER OAKRIDGE	031	GOOG	S	240	498.95	n/a	n/a	4.80	2.0
BERMAN CAPITAL MGMT	046	GPS	B	5,000	22.20	n/a	n/a	150.00	3.0
CHART WELL ADV	028	GYMB	S	36,875	45.44	n/a	10-Jun	1,475.00	4.0
PIONEER OAKRIDGE	031	HPQ	S	2,170	47.72	n/a	n/a	43.40	2.0
PILOT ROCK	028	HTZ	B	100,000	10.87	n/a	n/a	4,000.00	4.0
PIONEER OAKRIDGE	031	IBM	S	790	129.60	n/a	n/a	15.80	2.0
ROSEDALE CAPITAL	046	IBM	B	10,000	129.27	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	ICE	S	490	123.70	n/a	n/a	9.80	2.0
PIONEER OAKRIDGE	031	INTC	S	4,050	21.51	n/a	n/a	81.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	IN	B	5,000	10.91	n/a	n/a	250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	40,000	25.26	n/a	29-Apr	2,000.00	5.0
PIONEER OAKRIDGE	031	ITW	S	1,460	46.48	n/a	30-Apr	29.20	2.0
PIONEER OAKRIDGE	031	IVZ	S	2,900	19.36	n/a	2-Mar	58.00	2.0
MARINER/TRICADIA	041	IWM	B	10,000	66.32	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	JCI	S	1,955	29.36	n/a	27-May	39.10	2.0
EXIS CAPITAL	044	JNY	B	5,000	19.38	n/a	14-May	250.00	5.0
BERMAN CAPITAL MGMT	046	JPM	B	5,000	37.55	n/a	15-Jun	150.00	3.0
EXIS CAPITAL	044	JPM	B	20,000	38.25	n/a	15-Jun	1,000.00	5.0
PIONEER OAKRIDGE	031	JWN	S	1,705	39.98	n/a	4-Jun	34.10	2.0
EXIS CAPITAL	044	KSS	B	5,000	51.80	n/a	4-Jun	250.00	5.0
GALT INVESTMENT	041	KSS	S	30,000	52.70	n/a	4-Jun	1,500.00	5.0
PIONEER OAKRIDGE	031	K	S	1,250	54.53	n/a	n/a	25.00	2.0
THOMPSON SIEGAL&WALMSLEY	029	LHO	B	5,700	23.90	n/a	n/a	171.00	3.0
FIRST NEW YORK LEDDY	035	LVL	S	20,000	1.23	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	4,030	26.51	n/a	n/a	80.60	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAW PARTNERS	045	NUAN	S	10,000	17.25	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	OEH	S	10,000	9.35	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	ORLY	S	1,615	50.99	n/a	n/a	32.30	2.0
COHE & STEERS	041	PCL	S	21,400	36.79	n/a	27-Apr	856.00	4.0
PIONEER OAKRIDGE	031	PCP	S	515	112.36	n/a	15-Jun	10.30	2.0
BERMAN CAPITAL MGMT	046	PEP	B	4,000	63.88	n/a	n/a	120.00	3.0
PIONEER OAKRIDGE	031	PEP	S	1,265	64.20	n/a	n/a	25.30	2.0
PIONEER OAKRIDGE	031	PG	S	1,510	61.69	n/a	4-Jun	30.20	2.0
ASCEND PARTNERS	033	PLCE	S	93,214	48.82	n/a	3-Jun	4,660.70	5.0
BUCK CAPITAL MGMT	001	PSS	S	150,000	19.45	n/a	n/a	6,000.00	4.0
BERMAN CAPITAL MGMT	046	PXP	B	5,000	23.95	n/a	n/a	150.00	3.0
PIONEER OAKRIDGE	031	PX	S	765	78.72	n/a	10-May	15.30	2.0
PIONEER OAKRIDGE	031	QCOM	S	1,780	35.46	n/a	n/a	35.60	2.0
SYSTEMATIC FINANCIAL MGT	035	RAI	B	98,600	52.58	n/a	n/a	2,958.00	3.0
BASIX	033	RST	SS	28,000	24.54	n/a	n/a	840.00	3.0
PIONEER OAKRIDGE	031	RTN	S	1,195	52.75	n/a	23-Apr	23.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	SCHW	S	2,210	15.93	n/a	n/a	44.20	2.0
BUCK CAPITAL MGMT	001	SHW	SS	10,000	77.55	n/a	24-May	400.00	4.0
BUCK CAPITAL MGMT	001	SIG	S	20,000	32.08	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	SLB	S	815	60.62	n/a	n/a	16.30	2.0
PIONEER OAKRIDGE	031	SPLS	S	3,225	22.11	n/a	n/a	64.50	2.0
SENATOR INVESTMENT GROUP	036	ST	S	55,491	17.37	n/a	n/a	1,664.73	3.0
PIONEER OAKRIDGE	031	SWN	S	1,235	44.64	n/a	3-Jun	24.70	2.0
PIONEER OAKRIDGE	031	SYK	S	1,365	51.42	n/a	n/a	27.30	2.0
BERMAN CAPITAL MGMT	046	TGT	S	10,000	54.48	n/a	4-Jun	300.00	3.0
PIONEER OAKRIDGE	031	TGT	S	1,730	54.55	n/a	4-Jun	34.60	2.0
BMO NESBITT BURNS	041	TIN	SS	25,000	23.09	n/a	21-Apr	1,250.00	5.0
CHART WELL ADV	028	TIVO	S	20,000	8.14	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	TJX	SS	5,000	46.35	n/a	4-Jun	250.00	5.0
PIONEER OAKRIDGE	031	TMO	S	1,505	53.09	n/a	n/a	30.10	2.0
COUGAR TRADING	044	TM	B	10,000	72.59	n/a	n/a	500.00	5.0
PAW PARTNERS	045	TNS	B	10,000	19.42	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	TPX	C	35,000	33.62	n/a	n/a	1,750.00	5.0
LEVIN CAPITAL STRATEGIES	012	TPX	C	15,000	33.63	n/a	n/a	450.00	3.0
SCOUT/UMB	047	UNT	B	45,950	46.88	n/a	3-Jun	2,297.50	5.0
BNP PARIBAS SEC	040	URBN	SS	1,100	37.55	n/a	n/a	44.00	4.0
LEVEL GLOBAL SHARED ACCT	257	URBN	SS	100,000	37.59	n/a	n/a	3,000.00	3.0
PIIONEER OAKRIDGE	031	UTX	S	1,045	68.36	n/a	n/a	20.90	2.0
RBC CAPITAL MARKETS	040	VALE	SS	50,000	27.32	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	VFC	S	40,000	79.26	n/a	14-May	1,600.00	4.0
JP MORGAN VENTURES	046	VLO	B	50,000	18.14	n/a	n/a	2,500.00	5.0
PIIONEER OAKRIDGE	031	V	S	1,060	76.69	n/a	24-May	21.20	2.0
STANDARD PACIFIC CAPITAL	040	WMS	B	40,000	45.70	n/a	n/a	1,600.00	4.0
ARMATURE CAPITAL	040	WY	B	30,000	40.67	n/a	27-May	1,200.00	4.0
COHE & STEERS	041	WY	S	298,644	40.66	n/a	27-May	11,945.76	4.0
RBC CAPITAL MARKETS	040	WY	SS	20,000	40.57	n/a	27-May	800.00	4.0
TOTAL (Trade Date):								155,277.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/15	MARINER/TRICADIA (MARITRICAD)	041	CXW	S	30,000	21.05	n/a	n/a	1500.00 5.0
TOTAL (AO, CXL, CRT) :										1,500.00

TOTAL (Trade Date):										155,277.78
TOTAL (AO, CXL, CRT):										1,500.00
TOTAL (RUN DATE) / NFS:										156,777.78

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