



Daily Compliance Activity Report

Trade Date: 03/21/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	300	338.69	n/a	n/a	6.00	2.0
PIONEER OAKRIDGE	031	ABT	S	1,385	47.99	n/a	n/a	27.70	2.0
BROADARCH CAP/OLD NEWC	070	ADBE	S	1,500	32.25	n/a	n/a	60.00	4.0
PIONEER OAKRIDGE	031	AGN	S	140	70.28	n/a	21-Mar	2.80	2.0
SURVEYOR CAPITAL	041	AIG	B	6,864	36.42	n/a	n/a	205.92	3.0
BROADARCH CAP/OLD NEWC	070	AKS	B	2,000	15.40	n/a	n/a	80.00	4.0
PIONEER OAKRIDGE	031	ALTR	S	1,275	41.07	n/a	n/a	25.50	2.0
BROADARCH CAP/OLD NEWC	070	ALV	B	1,000	73.35	n/a	2-Feb	40.00	4.0
PIONEER OAKRIDGE	031	AMG	S	650	103.38	n/a	2-Mar	13.00	2.0
BROADARCH CAP/OLD NEWC	070	AMR	S	1,500	6.77	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	APD	S	1,000	88.51	n/a	8-Mar	40.00	4.0
PIONEER OAKRIDGE	031	APH	S	430	56.11	n/a	n/a	8.60	2.0
BROADARCH CAP/OLD NEWC	070	ARM	S	3,000	18.78	n/a	n/a	120.00	4.0
ISLE RIDGE PARTNERS	041	ARO	S	35,000	23.95	n/a	11-Mar	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AYI	S	1,500	57.08	n/a	n/a	60.00	4.0
PIONEER OAKRIDGE	031	BAX	S	920	52.68	n/a	n/a	18.40	2.0
WHITE PINE CAPITAL	030	BA	B	7,350	70.57	n/a	16-Mar	367.50	5.0
BROADARCH CAP/OLD NEWC	070	BEAV	S	2,000	34.47	n/a	4-Mar	80.00	4.0
BROADARCH CAP/OLD NEWC	070	BLL	B	3,000	34.82	n/a	n/a	120.00	4.0
US BANCORP	030	BRC	S	2,895	35.72	n/a	n/a	130.28	4.5
BROADARCH CAP/OLD NEWC	070	BWA	B	1,500	76.27	n/a	11-Feb	60.00	4.0
BROADARCH CAP/OLD NEWC	070	CAT	S	1,000	107.21	n/a	28-Jan	40.00	4.0
BROADARCH CAP/OLD NEWC	070	CCL	B	2,925	40.77	n/a	n/a	117.00	4.0
BROADARCH CAP/OLD NEWC	070	CELG	S	1,500	53.95	n/a	n/a	60.00	4.0
PIONEER OAKRIDGE	031	CELG	S	300	53.98	n/a	n/a	6.00	2.0
RBC CAPITAL MARKETS	040	CE	B	25,000	40.74	n/a	n/a	1,000.00	4.0
SCOPIA CAPITAL	048	CLNE	B	71,595	13.34	n/a	n/a	2,863.80	4.0
BROADARCH CAP/OLD NEWC	070	CLX	SS	1,500	69.56	n/a	18-Feb	60.00	4.0
BROADARCH CAP/OLD NEWC	070	CMI	S	1,000	102.38	n/a	1-Mar	40.00	4.0
PIONEER PATH	028	CNW	S	22,000	38.45	n/a	n/a	660.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	CSCO	S	200	17.48	n/a	n/a	4.00	2.0
BROADARCH CAP/OLD NEWC	070	CTAS	B	2,500	28.46	n/a	n/a	100.00	4.0
PIONEER OAKRIDGE	031	CTSH	S	585	75.58	n/a	n/a	11.70	2.0
PIONEER OAKRIDGE	031	CTXS	S	300	68.49	n/a	n/a	6.00	2.0
PIONEER OAKRIDGE	031	CXO	S	1,005	108.46	n/a	n/a	20.10	2.0
STANDARD PACIFIC CAPITAL	040	CX	B	100,000	8.72	n/a	n/a	4,000.00	4.0
BROADARCH CAP/OLD NEWC	070	DAL	S	3,000	10.17	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	DAN	B	7,000	17.15	n/a	24-Feb	280.00	4.0
MERRILL ASSET/BLACKROCK	266	DCOM	S	14,777	14.44	n/a	n/a	591.08	4.0
BUCK CAPITAL MGMT	001	DDS	B	20,000	39.83	n/a	n/a	600.00	3.0
BROADARCH CAP/OLD NEWC	070	DE	S	1,000	91.53	n/a	18-Feb	40.00	4.0
BROADARCH CAP/OLD NEWC	070	DGX	B	2,000	54.30	n/a	n/a	80.00	4.0
PIONEER OAKRIDGE	031	DHR	S	585	51.30	n/a	n/a	11.70	2.0
PIONEER OAKRIDGE	031	DNR	B	47,400	24.12	n/a	n/a	1,422.00	3.0
PIONEER OAKRIDGE	031	DNR	S	1,995	23.91	n/a	n/a	39.90	2.0
BROADARCH CAP/OLD NEWC	070	DOW	B	3,500	37.08	n/a	8-Mar	140.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041		DPZ	S	3,000	18.10	n/a	1-Mar	150.00	5.0
BROADARCH CAP/OLD NEWC	070	ECL	B	1,000	48.22	n/a	21-Mar	40.00	4.0
BROADARCH CAP/OLD NEWC	070	EMC	S	3,000	26.51	n/a	n/a	120.00	4.0
PIONEER OAKRIDGE	031	EMC	S	5,020	26.63	n/a	n/a	100.40	2.0
PIONEER OAKRIDGE	031	ESRX	S	1,140	52.33	n/a	n/a	22.80	2.0
BROADARCH CAP/OLD NEWC	070	ETN	B	2,000	52.39	n/a	1-Mar	80.00	4.0
BROADARCH CAP/OLD NEWC	070	FCX	B	2,000	52.13	n/a	n/a	80.00	4.0
ROYCE TRADING	012	FINL	B	40,000	17.37	n/a	18-Mar	2,000.00	5.0
FIRST NY SEC/CHRIS	041	F	B	25,000	14.55	n/a	2-Mar	1,250.00	5.0
ROSEDALE CAPITAL	046	F	B	30,000	14.57	n/a	2-Mar	1,200.00	4.0
FIRST NY SEC/CHRIS	041	GE	B	25,000	19.68	n/a	n/a	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	GGC	B	1,300	33.43	n/a	n/a	52.00	4.0
PIONEER OAKRIDGE	031	GILD	S	1,640	40.63	n/a	n/a	32.80	2.0
PIONEER OAKRIDGE	031	GOOG	S	175	577.25	n/a	n/a	3.50	2.0
PIONEER OAKRIDGE	031	GS	S	290	160.73	n/a	21-Mar	5.80	2.0
SURVEYOR CAPITAL	041	HIG	B	9,484	26.34	n/a	n/a	284.52	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	IBM	S	950	158.24	n/a	n/a	19.00	2.0
PIONEER OAKRIDGE	031	ICE	S	55	124.86	n/a	n/a	1.10	2.0
BROADARCH CAP/OLD NEWC	070	IP	B	3,000	27.09	n/a	17-Mar	120.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	27.08	n/a	17-Mar	1,000.00	5.0
RBC CAPITAL MARKETS	040	IP	B	30,000	27.16	n/a	17-Mar	1,200.00	4.0
BROADARCH CAP/OLD NEWC	070	IR	S	1,500	48.01	n/a	4-Mar	60.00	4.0
PIONEER OAKRIDGE	031	ITW	S	1,765	54.72	n/a	1-Feb	35.30	2.0
PIONEER OAKRIDGE	031	IVZ	S	2,630	25.13	n/a	2-Mar	52.60	2.0
RBC CAPITAL MARKETS	040	JCI	B	20,000	40.24	n/a	20-Jan	800.00	4.0
BROADARCH CAP/OLD NEWC	070	JEF	B	1,500	24.30	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	JNPR	B	1,000	39.43	n/a	n/a	40.00	4.0
M&I FUNDS	047	JPM	B	28,242	45.46	n/a	21-Mar	1,129.68	4.0
PIONEER OAKRIDGE	031	JWN	S	1,585	42.18	n/a	3-Mar	31.70	2.0
KLEINHEINZ CAP PART	031	KO	B	50,000	63.70	n/a	18-Feb	2,500.00	5.0
SAC TRADING TOM LEDDY	035	KSS	B	24,000	52.96	n/a	3-Mar	840.00	3.5
LEVIN CAPITAL STRATEGIES	012	LEA	B	10,000	50.28	n/a	21-Mar	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	LEA	B	48,325	50.01	n/a	21-Mar	1,449.75	3.0
DISCIPLINED GROWTH INV.	030	LTD	B	1,400	31.25	n/a	n/a	70.00	5.0
COUGAR TRADING	044	LULU	B	5,000	76.87	n/a	17-Mar	250.00	5.0
GRYPHON CAPITAL MGMT	084	LVS	S	100,000	38.68	n/a	21-Mar	3,000.00	3.0
RBC CAPITAL MARKETS	040	LYB	B	25,000	39.08	n/a	n/a	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	MEE	S	1,750	62.85	n/a	n/a	70.00	4.0
DENVER INST. ADV	046	MFB	B	11,800	27.24	n/a	n/a	472.00	4.0
SENATOR INVESTMENT GROUP	036	MTW	B	190,000	20.74	n/a	2-Feb	5,700.00	3.0
SYSTEMATIC FINANCIAL MGT	035	MTW	B	122,100	20.77	n/a	2-Feb	3,663.00	3.0
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	29.25	n/a	26-Jan	250.00	5.0
US BANCORP	030	MWW	S	25,041	15.50	n/a	n/a	1,126.85	4.5
KACELA CAPITAL	034	MXIM	B	45,000	24.86	n/a	n/a	1,800.00	4.0
SMITH MGMT LLC	029	NDN	B	25,000	19.61	n/a	11-Mar	1,250.00	5.0
PIONEER OAKRIDGE	031	NTAP	S	805	48.99	n/a	n/a	16.10	2.0
BROADARCH CAP/OLD NEWC	070	OLN	B	2,000	20.82	n/a	n/a	80.00	4.0
PIONEER OAKRIDGE	031	ORCL	S	3,050	31.51	n/a	n/a	61.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ORLY	S	1,290	56.91	n/a	n/a	25.80	2.0
PIONEER OAKRIDGE	031	OXY	S	995	100.57	n/a	n/a	19.90	2.0
LAGRANGE CAP ADV	048	PAG	B	10,000	18.90	n/a	17-Feb	500.00	5.0
PIONEER OAKRIDGE	031	PCAR	S	1,290	50.67	n/a	2-Feb	25.80	2.0
PIONEER OAKRIDGE	031	PCLN	S	100	455.84	n/a	n/a	2.00	2.0
PIONEER OAKRIDGE	031	PCP	S	190	143.46	n/a	31-Jan	3.80	2.0
PIONEER OAKRIDGE	031	PEP	S	195	64.17	n/a	n/a	3.90	2.0
PIONEER OAKRIDGE	031	PG	S	235	61.30	n/a	21-Mar	4.70	2.0
ROYCE TRADING	012	PLCE	B	25,974	47.74	n/a	9-Mar	1,298.70	5.0
CAXTON PART	040	PM	B	70,800	62.87	n/a	n/a	2,478.01	3.5
BROADARCH CAP/OLD NEWC	070	PPG	B	4,000	88.41	n/a	18-Mar	160.00	4.0
HARVEST MGMT	029	PSS	B	10,000	20.14	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	76,550	57.17	n/a	1-Feb	2,296.50	3.0
PIONEER OAKRIDGE	031	PX	S	640	97.99	n/a	23-Feb	12.80	2.0
PIONEER OAKRIDGE	031	QCOM	S	120	53.65	n/a	n/a	2.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	RCL	S	1,000	43.25	n/a	n/a	40.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	B	1,000	42.91	n/a	n/a	50.00	5.0
MERRILL ASSET/BLACKROCK	266	RE	S	6,100	82.70	n/a	n/a	244.00	4.0
APEX CAPITAL MGMT.	261	RIMM	S	150,000	62.30	n/a	n/a	6,000.00	4.0
ELM RIDGE ADVISORS	044	RYN	S	38,018	60.40	n/a	26-Jan	1,520.72	4.0
BROADARCH CAP/OLD NEWC	070	SAIA	B	3,000	15.24	n/a	n/a	120.00	4.0
US BANCORP	030	SFN	S	7,676	13.61	n/a	n/a	345.42	4.5
BROADARCH CAP/OLD NEWC	070	SLB	S	2,000	89.45	n/a	n/a	80.00	4.0
PIONEER OAKRIDGE	031	SLB	S	1,015	88.99	n/a	n/a	20.30	2.0
PIONEER OAKRIDGE	031	SPLS	S	540	20.04	n/a	n/a	10.80	2.0
BROADARCH CAP/OLD NEWC	070	SWFT	B	5,000	14.58	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	SWKS	S	150	31.09	n/a	n/a	3.00	2.0
PIONEER OAKRIDGE	031	SWN	S	555	41.96	n/a	25-Feb	11.10	2.0
ISLE RIDGE PARTNERS	041	SYN	B	45,000	28.01	n/a	n/a	1,800.00	4.0
PIONEER OAKRIDGE	031	TGT	S	1,450	50.69	n/a	24-Feb	29.00	2.0
MA CAPITAL MGMT/MELLON ADV	041	TIN	B	5,000	22.18	n/a	17-Mar	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	UNP	B	2,000	95.65	n/a	n/a	80.00	4.0
PIONEER OAKRIDGE	031	UTX	S	120	81.64	n/a	n/a	2.40	2.0
GREEN ARROW DOUG	040	VAL	SS	1,761	38.36	n/a	n/a	88.05	5.0
GREEN ARROW DOUG	040	VAL	S	28,239	38.37	n/a	n/a	1,411.95	5.0
PIONEER OAKRIDGE	031	V	S	705	71.95	n/a	7-Mar	14.10	2.0
ISLE RIDGE PARTNERS	041	WAG	SS	3,879	41.59	n/a	n/a	155.16	4.0
ISLE RIDGE PARTNERS	041	WAG	S	41,121	41.59	n/a	n/a	1,644.84	4.0
TROUBH PART	070	WFC	S	25,000	31.57	n/a	14-Mar	1,250.00	5.0
GREEN ARROW DOUG	040	WLK	B	15,000	52.04	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	266	WRB	B	16,800	30.46	n/a	n/a	672.00	4.0
TOTAL (Trade Date) :								74,486.03	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/18	TALPION LLC (TALPMSPB)	040	CCE	B	5,000	25.73	n/a	n/a	150.00 3.0
AO,CRT	03/18	TALPION LLC (TALPMSPB)	040	CCE	B	5,000	25.73	n/a	n/a	200.00 4.0
AO,CXL	03/16	DSG CAPITAL (DSGCJEFF)	012	CPKI	B	15,000	15.76	n/a	15-Mar	750.00 5.0
AO,CRT	03/16	DSG CAPITAL (DSGCJEFF)	012	CPKI	B	15,000	15.76	n/a	15-Mar	450.00 3.0
AO,	03/18	SCOUT/UMB (SUMBSMALL)	047	FINL	S	102,300	17.23	n/a	18-Mar	3069.00 3.0
AO,	03/18	SCOUT/UMB (SUMBMAIN)	047	FINL	S	1,900	17.23	n/a	18-Mar	57.00 3.0
AO,	03/18	SCOUT/UMB (SUMBM&INV)	047	FINL	S	5,725	17.23	n/a	18-Mar	171.75 3.0
AO,CXL	03/18	TALPION LLC (TALPMSPB)	040	LOW	B	5,000	26.19	n/a	23-Feb	150.00 3.0
AO,CRT	03/18	TALPION LLC (TALPMSPB)	040	LOW	B	5,000	26.19	n/a	23-Feb	200.00 4.0
AO,CXL	03/18	SCOPUS FUND (SCOPGS)	041	SEE	SS	4,500	25.77	n/a	n/a	180.00 4.0
AO,CRT	03/18	SCOPUS FUND (SCOPGS)	041	SEE	SS	2,638	25.77	n/a	n/a	105.52 4.0
AO,CXL	03/18	SCOPUS FUND (SCOPUBS)	041	SEE	SS	45,500	25.77	n/a	n/a	1820.00 4.0
AO,CRT	03/18	SCOPUS FUND (SCOPUBS)	041	SEE	SS	47,362	25.77	n/a	n/a	1894.48 4.0
AO,CXL	03/18	NEWLAND CAPITAL MGT (NEWLGS)	025	USU	S	55,626	4.48	n/a	n/a	1668.78 3.0
AO,CRT	03/18	NEWLAND CAPITAL MGT (NEWLGS)	025	USU	S	55,626	4.48	n/a	n/a	1112.52 2.0

TOTAL (AO, CXL, CRT) :**2,541.49**

TOTAL (Trade Date) :

74,486.03

TOTAL (AO, CXL, CRT) :

2,541.49

TOTAL (RUN DATE) / NFS:

77,027.52

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