



## Daily Compliance Activity Report

Trade Date: 07/19/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	450	240.94	n/a	n/a	9.00	2.0
PIONEER OAKRIDGE	031	ABT	S	1,430	47.38	n/a	n/a	28.60	2.0
PIONEER OAKRIDGE	031	ADBE	S	1,490	27.36	n/a	n/a	29.80	2.0
PIONEER OAKRIDGE	031	AGN	S	895	63.56	n/a	19-Jul	17.90	2.0
PIONEER OAKRIDGE	031	ALTR	S	1,110	28.14	n/a	n/a	22.20	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>60,000</b>	<b>33.74</b>	<b>n/a</b>	<b>9-Jul</b>	<b>2,400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>30,000</b>	<b>15.56</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	ANN	S	25,000	15.78	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	APH	S	690	41.39	n/a	n/a	13.80	2.0
MTB INV ADV	034	ARM	S	22,800	13.95	n/a	n/a	1,140.00	5.0
EXIS CAPITAL	044	ARO	SS	15,000	28.42	n/a	9-Jul	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ARO	SS	25,000	28.55	n/a	9-Jul	875.00	3.5
WHITE PINE CAPITAL	030	ARTG	S	23,650	3.70	n/a	n/a	709.50	3.0
OZ MGMT	040	AXL	S	50,000	7.55	n/a	15-Jul	1,500.00	3.0
TRELLUS PARTNERS LP	028	AXL	B	6,100	7.55	n/a	15-Jul	183.00	3.0
TPG-AXON	040	BAC	S	500,000	13.59	n/a	19-Jul	25,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	BAX	S	925	42.52	n/a	n/a	18.50	2.0
PIONEER OAKRIDGE	031	BBY	S	1,380	34.25	n/a	n/a	27.60	2.0
NEUBERGER BERMAN	036	BUCY	S	20,900	52.48	n/a	30-Apr	836.00	4.0
GREEN ARROW DOUG	040	BZ	SS	42,600	5.53	n/a	n/a	2,130.00	5.0
PIONEER OAKRIDGE	031	CELG	S	850	52.55	n/a	n/a	17.00	2.0
1798 CAP/LOMBARD ASSET	040	CLF	B	20,000	46.67	n/a	n/a	1,000.00	5.0
WHITE PINE CAPITAL	030	COGO	S	23,695	6.49	n/a	n/a	1,184.75	5.0
CASTLEROCK	040	COH	SS	38,955	34.51	n/a	19-Jul	1,558.20	4.0
PIONEER OAKRIDGE	031	CSCO	S	3,040	22.73	n/a	n/a	60.80	2.0
PIONEER OAKRIDGE	031	CTSH	S	1,185	53.38	n/a	n/a	23.70	2.0
PIONEER OAKRIDGE	031	CTXS	S	1,465	46.14	n/a	n/a	29.30	2.0
TRELLUS PARTNERS LP	028	DAN	B	10,000	10.13	n/a	15-Jul	500.00	5.0
MTB INV ADV	034	DGIT	S	7,250	35.36	n/a	n/a	362.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DG</b>	<b>SS</b>	<b>20,000</b>	<b>29.07</b>	<b>n/a</b>	<b>8-Jun</b>	<b>800.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	DHR	S	1,650	37.46	n/a	n/a	33.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	DPZ	B	9,270	12.00	n/a	8-Jul	370.80	4.0
PIONEER OAKRIDGE	031	ECL	S	1,105	47.95	n/a	26-May	22.10	2.0
NEW JERSEY DIV OF INV.	030	EMR	S	30,000	45.36	n/a	n/a	1,200.00	4.0
1798 CAP/LOMBARD ASSET	040	EP	B	10,000	12.00	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	ESRX	S	1,265	46.81	n/a	n/a	25.30	2.0
CATAPULT	040	FITB	B	10,000	11.89	n/a	n/a	500.00	5.0
1798 CAP/LOMBARD ASSET	040	FLR	B	13,000	43.29	n/a	n/a	650.00	5.0
SAC CRIB	044	FWLT	S	25,000	21.65	n/a	n/a	875.00	3.5
OZ MGMT	040	F	B	71,802	11.29	n/a	15-Jul	2,154.06	3.0
EXIS CAPITAL	044	GES	SS	15,000	32.67	n/a	19-Jul	750.00	5.0
PIONEER OAKRIDGE	031	GILD	S	1,565	32.91	n/a	n/a	31.30	2.0
PIONEER OAKRIDGE	031	GOOG	S	195	463.81	n/a	n/a	3.90	2.0
ROSEDALE CAPITAL	046	HCBK	B	25,000	12.39	n/a	29-Jun	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	HON	SS	10,000	40.14	n/a	31-Mar	500.00	5.0
PIONEER OAKRIDGE	031	HPQ	S	1,760	46.24	n/a	n/a	35.20	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	IBM	S	830	129.25	n/a	n/a	16.60	2.0
PIONEER OAKRIDGE	031	ICE	S	395	102.36	n/a	n/a	7.90	2.0
PIONEER OAKRIDGE	031	INTC	S	3,280	21.33	n/a	n/a	65.60	2.0
TRUSTCO/SUNTRUST	040	IP	B	25,000	22.77	n/a	19-Jul	975.00	3.9
PIONEER OAKRIDGE	031	ITW	S	1,180	42.79	n/a	30-Apr	23.60	2.0
SANDLER CAPITAL	226	ITW	C	69,500	42.70	n/a	30-Apr	4,170.00	6.0
PIONEER OAKRIDGE	031	IVZ	S	2,350	17.97	n/a	2-Mar	47.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JAH</b>	<b>S</b>	<b>20,000</b>	<b>28.06</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
MTB INV ADV	034	JCG	S	20,750	32.47	n/a	n/a	1,037.50	5.0
PIONEER OAKRIDGE	031	JCI	S	1,580	28.37	n/a	16-Jun	31.60	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>40,000</b>	<b>14.08</b>	<b>n/a</b>	<b>19-Jul</b>	<b>1,600.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JNY	B	10,000	14.09	n/a	19-Jul	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>10,000</b>	<b>31.15</b>	<b>n/a</b>	<b>9-Jul</b>	<b>400.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	JWN	S	1,380	31.33	n/a	9-Jul	27.60	2.0
CONIFER/ISF	025	KOP	B	5,000	22.43	n/a	n/a	250.00	5.0
MTB INV ADV	034	KSU	S	20,750	34.26	n/a	n/a	1,037.50	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>KSU</b>	<b>B</b>	<b>2,000</b>	<b>34.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	KSU	S	2,000	34.26	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	K	S	1,010	51.24	n/a	n/a	20.20	2.0
CATAPULT	040	LM	B	5,000	27.75	n/a	2-Mar	250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	100,000	6.70	n/a	19-Jul	5,000.00	5.0
T. ROWE PRICE	033	LPX	B	705,873	6.67	n/a	19-Jul	14,117.46	2.0
NEUBERGER BERMAN	036	MD	B	11,300	51.29	n/a	n/a	452.00	4.0
DENVER INST. ADV	046	MFB	B	53,000	21.11	n/a	n/a	2,120.00	4.0
1798 CAP/LOMBARD ASSET	040	MHK	B	25,000	43.77	n/a	n/a	1,250.00	5.0
WHITE PINE CAPITAL	030	MSCC	S	16,675	15.28	n/a	n/a	833.75	5.0
MERU CAP PART LLC	036	MSFT	S	20,000	25.08	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	1,310	25.04	n/a	n/a	26.20	2.0
MTB INV ADV	034	MSM	S	7,250	47.89	n/a	n/a	362.50	5.0
PECONIC PARTNERS	036	MU	S	170,000	8.33	n/a	n/a	6,800.00	4.0
SAC CAPITAL/M GRONET	030	M	B	15,000	17.29	n/a	9-Jul	525.00	3.5
PIONEER OAKRIDGE	031	NTAP	S	970	40.59	n/a	n/a	19.40	2.0
SONTERRA CAP	041	NTY	S	109,932	53.42	n/a	n/a	4,397.28	4.0
JP MORGAN VENTURES	046	NWY	S	50,000	2.10	n/a	n/a	1,000.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	NYX	B	5,000	27.05	n/a	n/a	250.00	5.0
1798 CAP/LOMBARD ASSET	040	OC	SS	2,800	29.03	n/a	n/a	140.00	5.0
PIONEER OAKRIDGE	031	ORLY	S	1,310	47.71	n/a	n/a	26.20	2.0
LISTED ERR	099	ORLY	B	10	47.76	n/a	n/a	0.00	0.0
LISTED ERR	099	ORLY	S	10	47.71	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	PCP	S	415	107.80	n/a	15-Jun	8.30	2.0
PIONEER OAKRIDGE	031	PEP	S	1,025	62.08	n/a	n/a	20.50	2.0
PIONEER OAKRIDGE	031	PG	S	1,225	61.73	n/a	28-Jun	24.50	2.0
BACKBAY	041	PKG	B	25,000	22.74	n/a	19-Jul	1,250.00	5.0
ISLE RIDGE PARTNERS	041	PNK	S	62,500	9.39	n/a	n/a	2,500.00	4.0
CATAPULT	040	POT	B	15,000	95.09	n/a	n/a	750.00	5.0
PIONEER OAKRIDGE	031	PX	S	620	80.51	n/a	9-Jul	12.40	2.0
WHITE PINE CAPITAL	030	RFMD	S	62,125	3.97	n/a	n/a	1,863.75	3.0
EXIS CAPITAL	044	RL	B	12,500	73.27	n/a	19-Jul	625.00	5.0
EXIS CAPITAL	044	ROST	SS	5,000	53.46	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	RTN	S	965	48.01	n/a	23-Apr	19.30	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	SCHW	S	1,790	15.26	n/a	n/a	35.80	2.0
JP MORGAN VENTURES	046	SFE	S	6,000	11.18	n/a	n/a	300.00	5.0
PIONEER OAKRIDGE	031	SLB	S	660	58.71	n/a	n/a	13.20	2.0
WHITE PINE CAPITAL	030	SONC	S	31,525	8.16	n/a	n/a	1,576.25	5.0
PIONEER OAKRIDGE	031	SPLS	S	2,610	19.57	n/a	n/a	52.20	2.0
CATAPULT	040	STT	S	5,000	37.29	n/a	19-Jul	250.00	5.0
1798 CAP/LOMBARD ASSET	040	SWC	B	5,000	12.39	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	SWN	S	1,000	36.33	n/a	19-Jul	20.00	2.0
PIONEER OAKRIDGE	031	SYK	S	1,105	51.54	n/a	n/a	22.10	2.0
PIONEER OAKRIDGE	031	TGT	S	1,400	50.09	n/a	9-Jul	28.00	2.0
BACKBAY	041	TIN	B	25,000	20.97	n/a	19-Jul	1,250.00	5.0
EXIS CAPITAL	044	TJX	SS	5,000	41.36	n/a	9-Jul	250.00	5.0
1798 CAP/LOMBARD ASSET	040	TKR	B	5,000	27.21	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	TMO	S	1,220	49.08	n/a	n/a	24.40	2.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	30.94	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	UTX	S	845	66.26	n/a	n/a	16.90	2.0
PIONEER OAKRIDGE	031	V	S	860	71.07	n/a	28-Jun	17.20	2.0
NEUBERGER BERMAN	036	WHR	S	20,700	88.56	n/a	n/a	828.00	4.0
1798 CAP/LOMBARD ASSET	040	XRX	B	20,000	8.35	n/a	n/a	800.00	4.0
<b>TOTAL (Trade Date):</b>							<b>116,765.50</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/16	NEW JERSEY DIV OF INV. (NEWJ4340)	030	BAC	B	2,000	14.03	n/a	19-Jul	60.00 3.0
AO,CRT	07/16	NEW JERSEY DIV OF INV. (NEWJ4340)	030	BAC	B	2,000	14.03	n/a	19-Jul	80.00 4.0
AO,CXL	07/16	NEW JERSEY DIV OF INV. (NEWJ5140)	030	BLL	B	40,000	54.69	n/a	n/a	1600.00 4.0
AO,CXL	07/16	NEW JERSEY DIV OF INV. (NEWJ5140)	030	BLL	B	5,000	54.49	n/a	n/a	200.00 4.0
AO,CXL	07/16	NEW JERSEY DIV OF INV. (NEWJ5140)	030	BLL	B	5,000	54.47	n/a	n/a	200.00 4.0
AO,CRT	07/16	NEW JERSEY DIV OF INV. (NEWJ5140)	030	BLL	B	50,000	54.65	n/a	n/a	2000.00 4.0
AO,CXL	07/16	CONIFER/ISF (CONIISFRIP)	025	GOOG	B	2,000	463.81	n/a	n/a	80.00 4.0
AO,CRT	07/16	CONIFER/ISF (CONIISFRIP)	025	GOOG	B	2,000	463.81	n/a	n/a	100.00 5.0
AO,CXL	07/16	NEW JERSEY DIV OF INV. (NEWJ5162)	030	PRI	B	16,000	21.30	n/a	n/a	640.00 4.0
AO,CRT	07/16	NEW JERSEY DIV OF INV. (NEWJ5162)	030	PRI	B	20,000	21.30	n/a	n/a	800.00 4.0
AO,CXL	07/16	NEW JERSEY DIV OF INV. (NEWJ5140)	030	PRI	B	4,000	21.31	n/a	n/a	160.00 4.0
AO,	07/16	ELM RIDGE ADVISORS (ELMRCIT)	044	PTV	SS	3,500	29.79	n/a	n/a	140.00 4.0
AO,	07/16	SCOUT/UMB (SUMBRAYTHE)	047	WRC	B	1,250	36.49	n/a	19-Jul	62.50 5.0
AO,CXL	07/16	SCOUT/UMB (SUMBMAIN)	047	WRC	B	20,100	36.49	n/a	19-Jul	1005.00 5.0
AO,CRT	07/16	SCOUT/UMB (SUMBMAIN)	047	WRC	B	18,475	36.49	n/a	19-Jul	923.75 5.0
AO,	07/16	SCOUT/UMB (SUMBMAIN)	047	WRC	B	375	36.49	n/a	19-Jul	18.75 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>180.00</b>

TOTAL (Trade Date):

116,765.50

TOTAL (AO, CXL, CRT):

180.00

---

**TOTAL (RUN DATE) / NFS:**

**116,945.50**

---

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