

Daily Compliance Activity Report Trade Date: 11/19/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					101		MALLIGI	TREEDE VIO	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PIONEER OAKRIDGE	031	AAPL	S	575	201.47	n/a	n/a	11.50	2.0
PIONEER OAKRIDGE	031	ABT	S	1,825	52.63	n/a	n/a	36.50	2.0
PATTEN & PATTEN	067	ACL	В	200	145.99	n/a	18-Nov	10.00	5.0
PIONEER OAKRIDGE	031	ADBE	S	1,895	35.56	n/a	n/a	37.90	2.0
WEINTRAUB CAPITAL MGT.	040	AEO	В	50,000	14.80	n/a	6-Nov	2,000.00	4.0
PATTEN & PATTEN	067	AGN	S	800	58.62	n/a	19-Nov	40.00	5.0
PIONEER OAKRIDGE	031	AGN	S	1,135	58.29	n/a	19-Nov	22.70	2.0
ROTHSCHILD ASSET	040	AIR	В	11,560	19.56	n/a	n/a	520.20	4.5
M&I FUNDS	047	AMG	S	31,923	67.26	n/a	19-Nov	1,276.92	4.0
ROTHSCHILD ASSET	040	APA	S	10,466	97.40	n/a	2-Nov	470.98	4.5
PIONEER OAKRIDGE	031	APH	S	880	42.17	n/a	n/a	17.60	2.0
COOPER CREEK PART	028	AXL	SS	25,000	6.64	n/a	2-Nov	750.00	3.0
CHILTON CAPITAL MGMT.	036	BAC	SS	100,000	16.17	n/a	18-Nov	3,000.00	3.0
GEORGE WEISS	034	BA	SS	20,000	51.28	n/a	30-Oct	800.00	4.0
PATTEN & PATTEN	067	BBT	S	1,500	24.73	n/a	n/a	75.00	5.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	
EXIS CAPITAL	044	BBY	S	10,000	42.65	n/a	n/a	500.00	5.0	
PIONEER OAKRIDGE	031	BBY	S	1,370	42.35	n/a	n/a	27.40	2.0	
PIONEER OAKRIDGE	031	BDX	S	850	72.98	n/a	n/a	17.00	2.0	
STELLIAM INV ADV	034	BEAV	S	25 , 000	19.94	n/a	n/a	1,250.00	5.0	
BUCK CAPITAL MGMT	001	BIG	S	50,000	24.82	n/a	6-Nov	2,000.00	4.0	
PATTEN & PATTEN	067	BP	В	200	58.02	n/a	n/a	10.00	5.0	
TROOB CAPITAL	067	BZ	В	30,000	4.85	n/a	n/a	900.00	3.0	
BENCHMARK	025	CAT	SS	2,500	57.80	n/a	21-0ct	125.00	5.0	
PIONEER OAKRIDGE	031	CELG	S	1,080	54.38	n/a	n/a	21.60	2.0	
HUTCHIN HILL CAPITAL LP	233	CHS	В	10,000	14.41	n/a	n/a	300.00	3.0	
PIONEER OAKRIDGE	031	CME	S	75	318.88	n/a	18-Nov	1.50	2.0	
IRIDIAN ASSET MGMT.	036	CRM	SS	7 , 950	62.04	n/a	n/a	397.50	5.0	
PIONEER OAKRIDGE	031	CSCO	S	4,525	23.46	n/a	n/a	90.50	2.0	
STELLIAM INV ADV	034	CSCO	S	25,000	23.58	n/a	n/a	1,250.00	5.0	
PIONEER OAKRIDGE	031	CTSH	S	805	44.05	n/a	n/a	16.10	2.0	
DIAMONDBACK CAP MGMT	232	CVS	В	15,000	30.88	n/a	n/a	750.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
GREEN ARROW DOUG	040	CVS	В	9,196	31.12	n/a	n/a	367.84	4.0
PIONEER OAKRIDGE	031	DHR	S	1,050	71.09	n/a	n/a	21.00	2.0
ADAGE CAPITAL MGMT	030	DKS	В	100,000	22.20	n/a	19-Nov	4,000.00	4.0
PIONEER OAKRIDGE	031	ECL	S	1,405	45.16	n/a	27-Oct	28.10	2.0
PROSPECTOR PARTNERS LLC	036	EP	В	10,000	9.65	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	ESRX	S	1,075	84.53	n/a	n/a	21.50	2.0
FIRST NEW YORK LEDDY	035	ETFC	В	20,000	1.66	n/a	n/a	1,200.00	6.0
PATTEN & PATTEN	067	EXC	В	300	46.48	n/a	n/a	15.00	5.0
CUMBERLAND	239	EXH	В	10,000	21.03	n/a	2-Nov	400.00	4.0
WOOSTER CAPITAL	035	F	В	250 , 000	8.65	n/a	4-Nov	7,500.00	3.0
LISTED ERR	099	F	В	58	8.65	n/a	4-Nov	0.00	0.0
LISTED ERR	099	F	s	58	8.65	n/a	4-Nov	0.00	0.0
PROSPECTOR PARTNERS LLC	036	GFI	В	20,000	14.24	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	GILD	S	1,435	46.01	n/a	n/a	28.70	2.0
PIONEER OAKRIDGE	031	GOOG	S	225	570.85	n/a	n/a	4.50	2.0
PIONEER OAKRIDGE	031	НК	S	1 , 395	20.99	n/a	n/a	27.90	2.0
PIONEER OAKRIDGE	031	HPQ	S	1,675	49.46	n/a	n/a	33.50	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
PIONEER OAKRIDGE	031	HSIC	S	1,260	51.25	n/a	n/a	25.20	2.0
GREEN ARROW DOUG	040	HZO	S	35,000	6.81	n/a	n/a	1,750.00	5.0
PIONEER OAKRIDGE	031	IBM	S	810	126.78	n/a	n/a	16.20	2.0
PIONEER OAKRIDGE	031	ICE	S	510	106.11	n/a	n/a	10.20	2.0
PIONEER OAKRIDGE	031	INTC	S	3,410	19.01	n/a	n/a	68.20	2.0
PIONEER OAKRIDGE	031	IRM	S	1,415	23.95	n/a	n/a	28.30	2.0
PIONEER OAKRIDGE	031	IVZ	S	1,635	22.29	n/a	19-Nov	32.70	2.0
SYSTEMATIC FINANCIAL MGT	035	IVZ	S	197,500	22.39	n/a	19-Nov	6,912.50	3.5
BUCK CAPITAL MGMT	001	JCG	В	5,000	41.02	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	JCI	S	2,010	27.07	n/a	28-Oct	40.20	2.0
HOTCHKIS & WILEY	035	JCP	В	499,000	29.37	n/a	16-Nov	24,950.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JCP	В	25,000	29.20	n/a	16-Nov	1,000.00	4.0
PATTEN & PATTEN	067	KMB	В	200	64.61	n/a	26-Oct	10.00	5.0
PIONEER OAKRIDGE	031	KR	S	1,855	22.67	n/a	n/a	37.10	2.0
PIONEER OAKRIDGE	031	K	S	1,285	52.58	n/a	n/a	25.70	2.0
UBS OCONNOR	031	LM	С	100,000	29.69	n/a	17-Nov	3,000.00	3.0
	PIONEER OAKRIDGE GREEN ARROW DOUG PIONEER OAKRIDGE PIONEER OAKRIDGE PIONEER OAKRIDGE PIONEER OAKRIDGE PIONEER OAKRIDGE SYSTEMATIC FINANCIAL MGT BUCK CAPITAL MGMT PIONEER OAKRIDGE HOTCHKIS & WILEY SIGMA CAPITAL ASSOCIATES PATTEN & PATTEN PIONEER OAKRIDGE PIONEER OAKRIDGE	PIONEER OAKRIDGE 031 GREEN ARROW DOUG 040 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 SYSTEMATIC FINANCIAL MGT 035 BUCK CAPITAL MGMT 001 PIONEER OAKRIDGE 031 HOTCHKIS & WILEY 035 SIGMA CAPITAL ASSOCIATES 041 PATTEN & PATTEN 067 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031	PIONEER OAKRIDGE 031 HSIC GREEN ARROW DOUG 040 HZO PIONEER OAKRIDGE 031 IBM PIONEER OAKRIDGE 031 INTC PIONEER OAKRIDGE 031 INTC PIONEER OAKRIDGE 031 IVZ PIONEER OAKRIDGE 031 IVZ SYSTEMATIC FINANCIAL MGT 035 IVZ BUCK CAPITAL MGMT 001 JCG PIONEER OAKRIDGE 031 JCI HOTCHKIS & WILEY 035 JCP SIGMA CAPITAL ASSOCIATES 041 JCP PATTEN & PATTEN 067 KMB PIONEER OAKRIDGE 031 KR PIONEER OAKRIDGE 031 KR	PIONEER OAKRIDGE 031 HSIC S GREEN ARROW DOUG 040 HZO S PIONEER OAKRIDGE 031 IBM S PIONEER OAKRIDGE 031 ICE S PIONEER OAKRIDGE 031 INTC S PIONEER OAKRIDGE 031 IRM S PIONEER OAKRIDGE 031 IVZ S SYSTEMATIC FINANCIAL MGT 035 IVZ S BUCK CAPITAL MGMT 001 JCG B PIONEER OAKRIDGE 031 JCI S HOTCHKIS & WILEY 035 JCP B SIGMA CAPITAL ASSOCIATES 041 JCP B PATTEN & PATTEN 067 KMB B PIONEER OAKRIDGE 031 KR S PIONEER OAKRIDGE 031 KR S	PIONEER OAKRIDGE 031 HSIC S 1,260 GREEN ARROW DOUG 040 HZO S 35,000 PIONEER OAKRIDGE 031 IBM S 810 PIONEER OAKRIDGE 031 ICE S 510 PIONEER OAKRIDGE 031 INTC S 3,410 PIONEER OAKRIDGE 031 INTC S 1,415 PIONEER OAKRIDGE 031 IVZ S 1,635 SYSTEMATIC FINANCIAL MGT 035 IVZ S 197,500 BUCK CAPITAL MGMT 001 JCG B 5,000 PIONEER OAKRIDGE 031 JCI S 2,010 HOTCHKIS & WILEY 035 JCP B 499,000 SIGMA CAPITAL ASSOCIATES 041 JCP B 25,000 PATTEN & PATTEN 067 KMB B 200 PIONEER OAKRIDGE 031 KR S 1,855 PIONEER OAKRIDGE 031 KR S 1,855	PIONEER OAKRIDGE 031 HSIC S 1,260 51.25 GREEN ARROW DOUG 040 HZO S 35,000 6.81 PIONEER OAKRIDGE 031 IBM S 810 126.78 PIONEER OAKRIDGE 031 ICE S 510 106.11 PIONEER OAKRIDGE 031 INTC S 3,410 19.01 PIONEER OAKRIDGE 031 IRM S 1,415 23.95 PIONEER OAKRIDGE 031 IVZ S 1,635 22.29 SYSTEMATIC FINANCIAL MGT 035 IVZ S 197,500 22.39 BUCK CAPITAL MGMT 001 JCG B 5,000 41.02 PIONEER OAKRIDGE 031 JCI S 2,010 27.07 HOTCHKIS & WILEY 035 JCP B 499,000 29.37 SIGMA CAPITAL ASSOCIATES 041 JCP B 25,000 29.20 PATTEN & PATTEN 067 KMB B 200 64.61 PIONEER OAKRIDGE 031 KR S 1,855 22.67 PIONEER OAKRIDGE 031 KR S 1,855 52.58	PIONEER OAKRIDGE 031 HSIC S 1,260 51.25 n/a GREEN ARROW DOUG 040 HZO S 35,000 6.81 n/a PIONEER OAKRIDGE 031 IBM S 810 126.78 n/a PIONEER OAKRIDGE 031 ICE S 510 106.11 n/a PIONEER OAKRIDGE 031 INTC S 3,410 19.01 n/a PIONEER OAKRIDGE 031 IVC S 1,415 23.95 n/a PIONEER OAKRIDGE 031 IVZ S 1,635 22.29 n/a SYSTEMATIC FINANCIAL MGT 035 IVZ S 197,500 22.39 n/a BUCK CAPITAL MGMT 001 JCG B 5,000 41.02 n/a PIONEER OAKRIDGE 031 JCI S 2,010 27.07 n/a HOTCHKIS & WILEY 035 JCP B 499,000 29.37 n/a SIGMA CAPITAL ASSOCIATES 041 JCP B 25,000 29.20 n/a PATTEN & PATTEN 067 KMB B 200 64.61 n/a PIONEER OAKRIDGE 031 KR S 1,855 22.67 n/a PIONEER OAKRIDGE 031 KR S 1,855 22.67 n/a	PIONEER OAKRIDGE 031 HSIC S 1,260 51.25 n/a n/a GREEN ARROW DOUG 040 HZO S 35,000 6.81 n/a n/a PIONEER OAKRIDGE 031 IBM S 810 126.78 n/a n/a PIONEER OAKRIDGE 031 ICE S 510 106.11 n/a n/a PIONEER OAKRIDGE 031 INTC S 3,410 19.01 n/a n/a PIONEER OAKRIDGE 031 IRM S 1,415 23.95 n/a n/a PIONEER OAKRIDGE 031 IVZ S 1,635 22.29 n/a 19-Nov SYSTEMATIC FINANCIAL MGT 035 IVZ S 197,500 22.39 n/a 19-Nov BUCK CAPITAL MGMT 001 JCG B 5,000 41.02 n/a n/a PIONEER OAKRIDGE 031 JCI S 2,010 27.07 n/a 28-Oct HOTCHKIS & WILEY 035 JCP B 499,000 29.37 n/a 16-Nov SIGMA CAPITAL ASSOCIATES 041 JCP B 25,000 29.20 n/a 16-Nov PATTEN & PATTEN 067 KMB B 200 64.61 n/a 26-Oct PIONEER OAKRIDGE 031 KR S 1,855 22.67 n/a n/a PIONEER OAKRIDGE 031 KR S 1,855 22.67 n/a n/a	PIONEER OAKRIDGE 031 HSIC S 1,260 51.25

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.	
STELLIAM INV ADV	034	LSI	SS	15,000	5.50	n/a	n/a	750.00	5.0	
CHILTON CAPITAL MGMT.	036	LTD	SS	50,000	17.69	n/a	n/a	1,500.00	3.0	
LOOMIS SALES/BOSTON	036	LTD	S	133,291	17.69	n/a	n/a	5,331.64	4.0	
CHILTON CAPITAL MGMT.	036	MLM	SS	20,000	85.73	n/a	n/a	600.00	3.0	
PIONEER OAKRIDGE	031	MON	S	305	78.11	n/a	11-Nov	6.10	2.0	
AVESTA CAP	229	MSFT	В	100,000	29.89	n/a	n/a	4,000.00	4.0	
PIONEER OAKRIDGE	031	MSFT	S	2,890	29.75	n/a	n/a	57.80	2.0	
PATTEN & PATTEN	067	MS	В	500	32.54	n/a	18-Nov	25.00	5.0	
BASIX	033	MTW	S	67,000	10.88	n/a	3-Nov	2,010.00	3.0	
WHITE PINE CAPITAL	030	MWV	S	19,300	26.26	n/a	16-Nov	965.00	5.0	
LEVIN CAPITAL STRATEGIES	012	NTAP	S	30,000	30.73	n/a	n/a	900.00	3.0	
CHILTON CAPITAL MGMT.	036	NYB	SS	100,000	11.46	n/a	28-Oct	3,000.00	3.0	
PIONEER OAKRIDGE	031	ORLY	S	1,665	38.78	n/a	n/a	33.30	2.0	
CHILTON CAPITAL MGMT.	036	OZRK	SS	50,000	26.58	n/a	n/a	1,500.00	3.0	
PIONEER OAKRIDGE	031	PCP	S	530	102.28	n/a	n/a	10.60	2.0	
PIONEER OAKRIDGE	031	PEP	S	1,305	61.52	n/a	n/a	26.10	2.0	

Ac	count	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
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AD	DAGE CAPITAL MGMT	030	PETM	В	50,000	25.73	n/a	n/a	2,000.00	4.0
PI	ONEER OAKRIDGE	031	PG	S	1,555	61.78	n/a	13-Nov	31.10	2.0
PI	ONEER OAKRIDGE	031	PX	S	785	82.04	n/a	28-Oct	15.70	2.0
PI	ONEER OAKRIDGE	031	QCOM	S	2,600	44.63	n/a	n/a	52.00	2.0
TR	ROOB CAPITAL	067	RAD	В	250,000	1.35	n/a	n/a	7,500.00	3.0
CR	RAMER ROSENTHAL/SCOTT	012	RAH	В	900	54.55	n/a	n/a	36.00	4.0
PR	RINCIPLE CAPITAL	040	RHI	SS	100,000	23.29	n/a	n/a	3,000.00	3.0
ΡI	ONEER OAKRIDGE	031	RIG	S	570	85.40	n/a	n/a	11.40	2.0
LC	OOMIS SALES/BOSTON	036	ROST	S	10,000	44.78	n/a	n/a	400.00	4.0
UB	SS OCONNOR	031	ROST	С	100,000	44.81	n/a	n/a	3,000.00	3.0
ΡI	ONEER OAKRIDGE	031	RTN	S	1,515	49.60	n/a	22-Oct	30.30	2.0
PI	ONEER OAKRIDGE	031	SAP	S	1,305	47.76	n/a	n/a	26.10	2.0
СН	HILTON CAPITAL MGMT.	036	SCBT	SS	25,000	26.63	n/a	n/a	750.00	3.0
ΡI	ONEER OAKRIDGE	031	SCHW	S	2,250	18.27	n/a	n/a	45.00	2.0
GA	ALT INVESTMENT	041	SCSS	S	50,000	5.51	n/a	n/a	1,500.00	3.0
CR	RAMER ROSENTHAL/SCOTT	012	SJM	S	255 , 500	53.19	n/a	n/a	10,220.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
SAXON WOODS ADVISORS	242	SJM	S	10,200	52.77	n/a	n/a	408.00	4.0
HUTCHIN HILL CAPITAL LP	233	SKS	В	20,000	6.56	n/a	n/a	600.00	3.0
PIONEER OAKRIDGE	031	SLB	S	1,140	64.35	n/a	n/a	22.80	2.0
PIONEER OAKRIDGE	031	SPLS	S	3,320	22.49	n/a	n/a	66.40	2.0
PIONEER OAKRIDGE	031	SWN	S	1,275	41.40	n/a	2-Nov	25.50	2.0
KARSCH CAPITAL	034	SWY	С	54,000	22.58	n/a	n/a	1,620.00	3.0
PIONEER OAKRIDGE	031	SYK	S	1,125	48.48	n/a	n/a	22.50	2.0
KARSCH CAPITAL	034	SYY	С	46,000	26.96	n/a	n/a	1,380.00	3.0
EXIS CAPITAL	044	TEN	В	10,000	16.18	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	TGT	S	1,320	47.57	n/a	18-Nov	26.40	2.0
BARON ASSET MGMT*	012	TIF	S	55,000	41.26	n/a	n/a	2,750.00	5.0
SLS CAPITAL LLC	224	TIF	S	34,500	41.05	n/a	n/a	1,380.00	4.0
ASCEND PARTNERS	033	TMO	S	50,000	46.32	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	TMO	S	1,550	46.26	n/a	n/a	31.00	2.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	9.68	n/a	n/a	300.00	3.0
PIONEER OAKRIDGE	031	TXN	S	2,565	24.64	n/a	n/a	51.30	2.0
RBC CAPITAL MARKETS	040	TXT	S	5,000	19.44	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
PIONEER OAKRIDGE	031	UTX	S	1,075	67.44	n/a	n/a	21.50	2.0
CHILTON CAPITAL MGMT.	036	VMC	SS	20,000	49.41	n/a	n/a	600.00	3.0
HUNTER GLOBAL INVESTOR	067	VMC	SS	20,000	49.46	n/a	n/a	1,000.00	5.0
WHITE PINE CAPITAL	030	VZ	В	16,325	30.42	n/a	n/a	816.25	5.0
PIONEER OAKRIDGE	031	V	S	1,095	80.01	n/a	19-Nov	21.90	2.0
ADAGE CAPITAL MGMT	030	WSM	SS	50,000	21.56	n/a	n/a	2,000.00	4.0
GREEN ARROW DOUG	040	WSM	SS	15,000	21.75	n/a	n/a	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	XRT	С	34,786	35.08	n/a	n/a	1,391.44	4.0
PIONEER OAKRIDGE	031	XTO	S	1,230	41.24	n/a	n/a	24.60	2.0

TOTAL (Trade Date): 137,522.97

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
AO,	11/18	S.A.C. CAP/ORENSTEIN (SACCMSCO)	044	PCAR	В	25,000	39.26	n/a	18-Nov	1000.00	4.0
TOTAL	(AO, (CXL, CRT):							1,	000.00	
IOTAL	(Trade	e Date):							137,	522.97	
ΓΟΤΑL	(AO,	CXL, CRT):							1,	000.00	
	/DIM I	DATE) / NFS:							120	522.97	

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