



Daily Compliance Activity Report

Trade Date: 06/23/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	S	19,288	134.38	n/a	n/a	964.40	5.0
PIONEER OAKRIDGE	031	AAPL	S	30	133.80	n/a	n/a	0.60	2.0
PIONEER OAKRIDGE	031	ABT	S	90	46.76	n/a	22-Apr	1.80	2.0
MELLON/BANK OF NEW YORK	046	ACN	S	11,105	31.23	n/a	n/a	555.25	5.0
PIONEER OAKRIDGE	031	ACV	B	500	25.20	n/a	29-May	10.00	2.0
PIONEER OAKRIDGE	031	ADBE	S	115	27.74	n/a	n/a	2.30	2.0
PIONEER OAKRIDGE	031	ADS	S	65	40.53	n/a	n/a	1.30	2.0
COUGAR TRADING	044	AEO	B	5,000	13.67	20-Apr	5-Jun	250.00	5.0
DIAMONDBACK CAP MGMT	232	AEO	B	50,000	13.17	20-Apr	5-Jun	2,500.00	5.0
PIONEER OAKRIDGE	031	AGN	S	80	45.00	24-Mar	23-Jun	1.60	2.0
PIONEER OAKRIDGE	031	AIR	B	1,000	16.68	n/a	n/a	20.00	2.0
PIONEER OAKRIDGE	031	AMG	S	30	53.70	5-Jun	17-Jun	0.60	2.0
CHILTON CAPITAL MGMT.	036	ANR	S	71,125	24.39	n/a	n/a	2,133.75	3.0
PIONEER OAKRIDGE	031	ANSS	S	115	30.41	n/a	n/a	2.30	2.0
MORGAN BANK /JPM	070	APD	S	4,720	62.16	n/a	22-Apr	141.60	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ARG	S	90	39.85	23-Mar	6-May	1.80	2.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	33.00	n/a	5-Jun	1,600.00	4.0
DIAMONDBACK CAP MGMT	232	ARO	B	50,000	32.79	n/a	5-Jun	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AVP	SS	25,000	25.10	2-Jun	2-Jun	1,000.00	4.0
CENTURION GLOBAL MGMT LL	041	AXL	B	45,000	2.63	n/a	10-Jun	1,350.00	3.0
FIRST NY SEC/CHRIS	041	AXL	B	25,000	2.73	n/a	10-Jun	1,250.00	5.0
TRELLUS PARTNERS LP	028	AXL	B	50,000	2.72	n/a	10-Jun	1,500.00	3.0
SCHOTTENFELD ASSOC	041	BAC	B	50,000	12.22	11-May	17-Jun	1,500.00	3.0
TRUSTCO/SUNTRUST	040	BID	S	21,700	12.81	n/a	n/a	846.29	3.9
COUGAR TRADING	044	BIG	B	10,000	20.40	28-May	9-Jun	500.00	5.0
CAMBIAR CAP	046	BTU	B	250,000	28.95	n/a	n/a	10,000.00	4.0
CHILTON CAPITAL MGMT.	036	BWA	SS	50,000	30.50	10-Jun	10-Jun	1,500.00	3.0
LISTED ERR	099	CASH	B	100	21.36	n/a	n/a	0.00	0.0
LISTED ERR	099	CASH	S	100	21.25	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	033	CDNS	S	100,000	5.67	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	CELG	S	65	46.69	n/a	n/a	1.30	2.0
SENATOR INVESTMENT GROUP	036	CF	B	20,000	72.57	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	CHD	B	3,000	53.66	27-Apr	14-May	60.00	2.0
PIONEER OAKRIDGE	031	CHD	S	90	53.76	27-Apr	14-May	1.80	2.0
PIONEER OAKRIDGE	031	CHSI	B	13,500	22.24	n/a	n/a	270.00	2.0
PIONEER OAKRIDGE	031	CHSI	S	95	22.26	n/a	n/a	1.90	2.0
GRANAHAN INV	039	CHTT	B	17,800	64.71	23-Jun	23-Jun	712.00	4.0
PIONEER OAKRIDGE	031	CHTT	B	6,000	64.74	23-Jun	23-Jun	120.00	2.0
MORGAN BANK /JPM	070	CL	S	13,780	69.96	8-Jun	8-Jun	413.40	3.0
MORGAN BANK /JPM	070	CMCSA	B	26,185	13.84	n/a	4-Jan	785.55	3.0
DIAMONDBACK CAP MGMT	232	CNS	C	8,200	14.69	n/a	n/a	410.00	5.0
CHILTON CAPITAL MGMT.	036	CNX	S	50,600	34.40	n/a	n/a	1,518.00	3.0
HOLDEN CAPITAL MGMT	035	COCO	SS	25,000	15.60	n/a	n/a	1,000.00	4.0
CHILTON CAPITAL MGMT.	036	COG	S	85,608	29.13	n/a	n/a	2,568.24	3.0
MILLRACE FUND LP	028	CPKI	B	12,000	12.75	29-May	12-Jun	480.00	4.0
PIONEER OAKRIDGE	031	CSCO	S	265	18.54	n/a	22-Mar	5.30	2.0
GRANAHAN INV	039	CSH	B	1,200	21.79	n/a	n/a	48.00	4.0
CHILTON CAPITAL MGMT.	036	CXG	S	49,320	25.36	n/a	n/a	1,479.60	3.0
PIONEER OAKRIDGE	031	CXO	B	2,500	26.09	n/a	n/a	50.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAVU CAP ADV	028	DAN	S	21,421	1.18	n/a	n/a	1,071.05	5.0
HUNTER GLOBAL INVESTOR	067	DEI	B	60,000	8.26	n/a	n/a	1,500.00	2.5
PIONEER OAKRIDGE	031	DHR	S	70	59.19	n/a	n/a	1.40	2.0
PIONEER OAKRIDGE	031	DIOD	B	6,500	14.74	n/a	n/a	130.00	2.0
DC CAPITAL	044	DIS	B	50,000	22.92	n/a	n/a	2,000.00	4.0
PIONEER OAKRIDGE	031	DNR	S	110	13.76	n/a	n/a	2.20	2.0
PIONEER OAKRIDGE	031	ECL	S	75	37.38	28-Apr	22-May	1.50	2.0
DIAMONDBACK CAP MGMT	232	EL	SS	10,000	31.51	5-May	5-May	500.00	5.0
WILLOW CREEK	025	EMC	S	5,000	12.54	n/a	n/a	250.00	5.0
CHILTON CAPITAL MGMT.	036	EOG	S	28,808	67.01	n/a	n/a	864.24	3.0
KLEINHEINZ CAP PART	031	EXH	B	250,000	15.64	27-May	22-Jun	12,500.00	5.0
FRONTPOINT/COPIA-ANDREW	031	FCL	SS	42,800	25.09	n/a	n/a	1,498.00	3.5
MORGAN BANK /JPM	070	FCX	B	8,470	47.35	n/a	n/a	254.10	3.0
MAIRS AND POWER INV	030	FISV	B	10,000	44.33	n/a	n/a	500.00	5.0
MOORE CAPITAL	036	FNF	S	50,000	13.33	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	40,000	18.82	n/a	10-Jan	1,600.00	4.0
CHILTON CAPITAL MGMT.	036	GG	S	76,525	34.00	n/a	n/a	2,295.75	3.0
MELLON/BANK OF NEW YORK	046	GILD	B	12,675	46.67	n/a	n/a	633.75	5.0
PIONEER OAKRIDGE	031	GILD	S	90	46.40	n/a	n/a	1.80	2.0
COUGAR TRADING	044	GIL	B	5,000	14.34	n/a	15-Jun	250.00	5.0
BAIRD INVESTMENT	256	GLW	B	11,950	15.28	28-May	28-May	597.50	5.0
PIONEER OAKRIDGE	031	GME	S	80	21.30	n/a	n/a	1.60	2.0
PIONEER OAKRIDGE	031	GOOG	S	15	404.80	n/a	n/a	0.30	2.0
DIAMONDBACK CAP MGMT	232	GPS	B	50,000	15.46	n/a	30-Jan	2,500.00	5.0
TETON ADV	040	GPX	B	3,200	5.36	n/a	n/a	160.00	5.0
PIONEER OAKRIDGE	031	HAE	B	500	55.99	n/a	n/a	10.00	2.0
1798 CAPITAL MGMT	040	HIBB	C	5,000	17.55	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	HITT	B	4,000	34.38	n/a	n/a	80.00	2.0
PIONEER OAKRIDGE	031	HITT	S	70	34.28	n/a	n/a	1.40	2.0
PIONEER OAKRIDGE	031	HK	B	3,500	20.25	n/a	n/a	70.00	2.0
PIONEER OAKRIDGE	031	HK	S	90	20.38	n/a	n/a	1.80	2.0
PIONEER OAKRIDGE	031	HMSY	B	6,500	38.60	n/a	n/a	130.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHILTON CAPITAL MGMT.	036	HOG	SS	50,000	15.29	n/a	n/a	1,500.00	3.0
PIONEER OAKRIDGE	031	HPQ	S	95	37.57	n/a	n/a	1.90	2.0
PIONEER OAKRIDGE	031	HSIC	S	70	44.49	n/a	n/a	1.40	2.0
PIONEER OAKRIDGE	031	IART	B	2,000	25.63	n/a	22-Apr	40.00	2.0
PIONEER OAKRIDGE	031	IBM	S	45	104.66	n/a	n/a	0.90	2.0
PIONEER OAKRIDGE	031	ICE	S	25	106.08	n/a	n/a	0.50	2.0
PIONEER OAKRIDGE	031	ICON	B	3,000	12.93	n/a	n/a	60.00	2.0
PIONEER OAKRIDGE	031	IDXX	B	9,000	43.50	n/a	22-Apr	180.00	2.0
PIONEER OAKRIDGE	031	IEX	B	11,500	23.05	n/a	n/a	230.00	2.0
PIONEER OAKRIDGE	031	IEX	S	110	22.91	n/a	n/a	2.20	2.0
PIONEER OAKRIDGE	031	INFA	B	8,500	16.79	n/a	n/a	170.00	2.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	13.18	23-Jun	23-Jun	1,000.00	5.0
FIRST NY SEC/CHRIS	041	IP	S	10,000	13.12	23-Jun	23-Jun	600.00	6.0
NEWLAND CAPITAL MGT	067	IP	B	40,000	12.51	23-Jun	23-Jun	1,600.00	4.0
SCHOTTENFELD ASSOC	041	IP	S	400	13.35	23-Jun	23-Jun	12.00	3.0
NEUBERGER BERMAN	036	ISLE	B	37,206	12.19	n/a	26-Jan	1,674.27	4.5
FORD FDN.	032	ITW	B	30,777	34.52	n/a	22-May	1,538.85	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	JCI	S	120	19.45	2-Jun	2-Jun	2.40	2.0
FARALLON CAP MGMT	040	KBE	SS	295,000	17.26	n/a	n/a	11,800.00	4.0
MORGAN BANK /JPM	070	KFT	B	45,190	25.48	n/a	n/a	1,355.70	3.0
PIONEER OAKRIDGE	031	KNX	B	11,000	16.30	n/a	n/a	220.00	2.0
JP MORGAN VENTURES	046	KR	B	50,000	21.54	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	KR	S	115	21.71	n/a	n/a	2.30	2.0
BALYASNY ASSET MGMT	044	LAZ	C	15,100	25.65	n/a	17-Jun	755.00	5.0
PIONEER OAKRIDGE	031	LKQX	B	10,000	15.33	n/a	n/a	200.00	2.0
FIRST NEW YORK LEDDY	035	LVLTT	S	20,000	1.38	n/a	4-Jan	1,200.00	6.0
PIONEER OAKRIDGE	031	MCRS	B	1,500	24.91	n/a	n/a	30.00	2.0
PIONEER OAKRIDGE	031	MOGA	B	5,000	24.67	n/a	n/a	100.00	2.0
CHILTON CAPITAL MGMT.	036	MON	S	30,375	78.80	n/a	16-Jun	911.25	3.0
PIONEER OAKRIDGE	031	MON	S	20	78.28	n/a	16-Jun	0.40	2.0
CHILTON CAPITAL MGMT.	036	MOS	S	64,900	43.76	n/a	n/a	1,947.00	3.0
MELLON/BANK OF NEW YORK	046	MSFT	B	44,190	23.63	n/a	3-Apr	2,209.50	5.0
MORGAN BANK /JPM	070	MSFT	S	16,810	23.35	n/a	3-Apr	504.30	3.0
PIONEER OAKRIDGE	031	MSFT	S	155	23.54	n/a	3-Apr	3.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	MWIV	B	5,500	33.30	n/a	n/a	110.00	2.0
CHILTON CAPITAL MGMT.	036	NEM	S	50,780	41.13	n/a	n/a	1,523.40	3.0
SUN AMERICA ASSET MGMT	030	NNI	B	9,000	10.90	n/a	n/a	360.00	4.0
PIONEER OAKRIDGE	031	NUVA	B	4,000	41.78	n/a	n/a	80.00	2.0
PIONEER OAKRIDGE	031	ORB	B	8,500	15.88	n/a	n/a	170.00	2.0
AVESTA CAP	229	ORCL	S	50,000	19.91	n/a	n/a	2,000.00	4.0
PIONEER OAKRIDGE	031	ORLY	S	90	36.91	n/a	n/a	1.80	2.0
SONTERRA CAP	041	PBI	SS	40,000	20.78	n/a	n/a	1,600.00	4.0
PIONEER OAKRIDGE	031	PCP	S	30	74.89	n/a	n/a	0.60	2.0
PIONEER OAKRIDGE	031	PEP	S	70	53.02	n/a	n/a	1.40	2.0
PIONEER OAKRIDGE	031	PG	S	95	50.69	5-Jun	5-Jun	1.90	2.0
NEWCASTLE FUNDS	255	PKG	B	35,000	14.27	8-Apr	23-Jun	1,400.00	4.0
DIAMONDBACK CAP MGMT	232	PLCE	B	15,000	25.57	19-Mar	5-Jun	750.00	5.0
PIONEER OAKRIDGE	031	PRAA	B	9,500	36.51	n/a	n/a	190.00	2.0
FORD FDN.	032	PRU	B	35,000	35.20	n/a	n/a	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	PWR	B	16,500	21.51	n/a	n/a	330.00	2.0
PIONEER OAKRIDGE	031	PWR	S	135	21.46	n/a	n/a	2.70	2.0
MORGAN BANK /JPM	070	QCOM	S	25,960	44.18	n/a	n/a	778.80	3.0
PIONEER OAKRIDGE	031	QCOM	S	145	43.75	n/a	n/a	2.90	2.0
PIONEER OAKRIDGE	031	QGEN	B	8,500	17.49	n/a	n/a	170.00	2.0
KINGDON ASSET MGMT	041	RIMM	SS	75,000	70.13	n/a	n/a	3,000.00	4.0
PIONEER OAKRIDGE	031	RMD	B	9,000	38.29	n/a	n/a	180.00	2.0
PIONEER OAKRIDGE	031	RMD	S	80	38.14	n/a	n/a	1.60	2.0
DIAMONDBACK CAP MGMT	232	ROST	C	15,000	38.43	n/a	n/a	750.00	5.0
PIONEER OAKRIDGE	031	RTN	S	65	44.53	n/a	n/a	1.30	2.0
PIONEER OAKRIDGE	031	SAP	S	80	39.55	n/a	n/a	1.60	2.0
PIONEER OAKRIDGE	031	SCHW	S	195	17.25	n/a	n/a	3.90	2.0
PIONEER OAKRIDGE	031	SF	B	4,500	43.35	n/a	n/a	90.00	2.0
PIONEER OAKRIDGE	031	SLB	S	80	52.91	n/a	n/a	1.60	2.0
PIONEER OAKRIDGE	031	SLH	B	11,500	24.61	n/a	n/a	230.00	2.0
CHILTON CAPITAL MGMT.	036	SLV	S	198,280	13.62	n/a	n/a	0.00	0.0
DC CAPITAL	044	SOA	S	50,000	5.71	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	SPLS	S	200	19.71	n/a	27-Jul	4.00	2.0
PIONEER OAKRIDGE	031	SRCL	S	65	49.21	n/a	n/a	1.30	2.0
PIONEER OAKRIDGE	031	SWN	S	190	38.08	27-Feb	1-Jun	3.80	2.0
PIONEER OAKRIDGE	031	SXE	B	5,000	29.39	n/a	n/a	100.00	2.0
PIONEER OAKRIDGE	031	SYNT	B	9,500	28.37	n/a	n/a	190.00	2.0
PIONEER OAKRIDGE	031	TECH	B	3,500	63.24	n/a	n/a	70.00	2.0
PIONEER OAKRIDGE	031	TGT	S	60	38.30	25-Feb	22-Jun	1.20	2.0
CATAPULT	040	TIN	B	31,000	11.65	5-Jun	5-Jun	1,550.00	5.0
PIONEER OAKRIDGE	031	TMO	S	110	39.33	n/a	n/a	2.20	2.0
PIONEER OAKRIDGE	031	TRLG	B	13,500	19.50	n/a	n/a	270.00	2.0
PHILADELPHIA FINANCIAL	033	TROW	SS	17,269	39.93	n/a	17-Jun	690.76	4.0
HOTCHKIS & WILEY	035	TXN	S	79,800	20.64	n/a	n/a	3,990.00	5.0
PIONEER OAKRIDGE	031	TXN	S	120	20.98	n/a	n/a	2.40	2.0
1798 CAPITAL MGMT	040	UA	C	10,000	21.40	29-Apr	29-Apr	500.00	5.0
TETON ADV	040	UYG	S	10,000	3.60	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	VMI	B	7,000	67.66	n/a	n/a	140.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	033	V	B	75,000	62.45	n/a	22-Jun	3,000.00	4.0
PIONEER OAKRIDGE	031	V	S	35	62.03	n/a	22-Jun	0.70	2.0
PIONEER OAKRIDGE	031	WCN	B	4,500	24.90	n/a	n/a	90.00	2.0
PIONEER OAKRIDGE	031	WCN	S	160	24.90	n/a	n/a	3.20	2.0
PHILADELPHIA FINANCIAL	033	WDR	SS	13,094	24.43	5-Jun	17-Jun	523.76	4.0
PIONEER OAKRIDGE	031	WMS	B	500	30.23	n/a	n/a	10.00	2.0
PIONEER OAKRIDGE	031	WWW	B	20,500	21.53	n/a	13-Mar	410.00	2.0
PIONEER OAKRIDGE	031	WXS	B	4,000	25.15	n/a	n/a	80.00	2.0
CUMBERLAND	038	XLV	SS	25,000	25.55	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	XRT	B	30,000	26.46	n/a	n/a	900.00	3.0
PIONEER OAKRIDGE	031	XTO	S	105	36.89	n/a	n/a	2.10	2.0
TOTAL (Trade Date) :								139,086.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/23	CENTURION GLOBAL MGMT LL (CGLOMSCO)	041	AXL	B	45,000	2.63	n/a	10-Jun	1350.00 3.0
AO,	06/22	MORGAN BANK /JPM (JPMB256600)	070	AZO	C	185	155.97	n/a	n/a	5.55 3.0
AO,CXL	06/22	MORGAN BANK /JPM (JPMB260073)	070	AZO	C	185	155.97	n/a	n/a	5.55 3.0
AO,CXL	06/22	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	LXK	B	25,000	15.23	n/a	n/a	1000.00 4.0
AO,CRT	06/22	HIGHBRIDGE/MS OLDS (HIBCCSFB)	038	LXK	B	25,000	15.23	n/a	n/a	1000.00 4.0

TOTAL (AO, CXL, CRT) :	1,350.00
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TOTAL (Trade Date) :	139,086.96
TOTAL (AO, CXL, CRT) :	1,350.00

TOTAL (RUN DATE) / NFS :	140,436.96
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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