



## Daily Compliance Activity Report

Trade Date: 04/05/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	185	631.47	n/a	n/a	3.70	2.0
PIONEER OAKRIDGE	031	ABT	S	275	61.29	n/a	n/a	5.50	2.0
PIONEER OAKRIDGE	031	AGN	S	240	94.76	n/a	5-Apr	4.80	2.0
BESSEMER INVESTMENT	085	AIG	S	409	32.53	n/a	n/a	16.36	4.0
PIONEER OAKRIDGE	031	ALTR	S	290	38.27	n/a	n/a	5.80	2.0
PIONEER OAKRIDGE	031	AME	S	375	48.26	n/a	n/a	7.50	2.0
PIONEER OAKRIDGE	031	AMG	S	145	113.02	n/a	2-Mar	2.90	2.0
EPOCH INV MGMT	030	ARCO	B	50,000	18.50	n/a	6-Mar	1,500.00	3.0
DAVIDSON INV ADV	035	ARG	S	13,435	89.54	n/a	23-Mar	537.40	4.0
GEORGE WEISS	034	AVP	B	43,000	23.27	n/a	20-Mar	1,720.00	4.0
PIONEER OAKRIDGE	031	BAX	S	250	59.39	n/a	n/a	5.00	2.0
CATAPULT	040	BBBY	B	6,331	69.82	n/a	n/a	253.24	4.0
PIONEER OAKRIDGE	031	BBBY	S	135	72.20	n/a	n/a	2.70	2.0
BESSEMER INVESTMENT	085	BIP	S	675	31.03	n/a	n/a	27.00	4.0
SIMMONS VENTURES	041	BONT	SS	5,261	8.35	n/a	n/a	210.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	BUD	S	200	70.35	n/a	4-Apr	8.00	4.0
PIONEER OAKRIDGE	031	CELG	S	230	78.77	n/a	n/a	4.60	2.0
BESSEMER INVESTMENT	085	CFNL	S	826	11.31	n/a	n/a	33.04	4.0
PIONEER OAKRIDGE	031	CHKP	S	125	63.11	n/a	n/a	2.50	2.0
PIONEER OAKRIDGE	031	COH	S	295	75.63	n/a	2-Mar	5.90	2.0
PIONEER OAKRIDGE	031	CTSH	S	125	76.86	n/a	n/a	2.50	2.0
PIONEER OAKRIDGE	031	CTXS	S	140	78.08	n/a	n/a	2.80	2.0
PIONEER OAKRIDGE	031	CXO	S	200	100.09	n/a	n/a	4.00	2.0
ARMATURE CAPITAL	041	DAN	SS	68,000	15.34	n/a	22-Feb	2,720.00	4.0
ARMATURE CAPITAL	041	DAN	S	7,000	15.34	n/a	22-Feb	280.00	4.0
BESSEMER INVESTMENT	085	DENN	S	3,749	3.95	n/a	n/a	149.96	4.0
CATAPULT	040	DFS	B	10,000	32.99	n/a	5-Apr	400.00	4.0
PIONEER OAKRIDGE	031	DHR	S	445	55.20	n/a	n/a	8.90	2.0
CAXTON PART	040	DKS	B	61,200	49.08	n/a	7-Mar	2,142.00	3.5
PIONEER OAKRIDGE	031	DLTR	S	290	95.79	n/a	13-Mar	5.80	2.0
PIONEER OAKRIDGE	031	DNR	S	645	18.65	n/a	n/a	12.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL	070	EMC	S	17,180	28.97	n/a	n/a	687.20	4.0
PIONEER OAKRIDGE	031	EMC	S	1,050	29.14	n/a	n/a	21.00	2.0
PIONEER OAKRIDGE	031	ESRX	S	295	57.18	n/a	n/a	5.90	2.0
SCOPUS FUND	041	FDO	B	5,908	64.91	n/a	3-Apr	236.32	4.0
ROARING BLUE LION MGMT	031	FL	S	9,000	31.60	n/a	7-Mar	360.00	4.0
ROSEDALE CAPITAL	046	F	SS	30,000	12.41	n/a	4-Apr	1,200.00	4.0
PIONEER OAKRIDGE	031	GILD	S	420	47.47	n/a	n/a	8.40	2.0
OZ MGMT	040	GM	SS	512,465	25.00	n/a	4-Apr	15,373.95	3.0
RAINIER INV MGMT	035	GPI	B	30,000	58.33	n/a	3-Apr	1,200.00	4.0
PIONEER OAKRIDGE	031	GS	S	100	118.64	n/a	4-Apr	2.00	2.0
ARMATURE CAPITAL	041	HAR	B	30,000	47.30	n/a	3-Feb	1,200.00	4.0
PIONEER OAKRIDGE	031	IBM	S	225	205.53	n/a	n/a	4.50	2.0
PIONEER OAKRIDGE	031	ICE	S	110	136.35	n/a	n/a	2.20	2.0
NEW JERSEY DIV OF INV.	030	IP	B	124,000	35.07	n/a	4-Apr	4,960.00	4.0
BESSEMER INVESTMENT	085	IRDM	S	675	8.54	n/a	n/a	27.00	4.0
PIONEER OAKRIDGE	031	ISRG	S	25	543.16	n/a	n/a	0.50	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	ITW	S	390	56.25	n/a	1-Feb	7.80	2.0
PIONEER OAKRIDGE	031	JCI	S	560	31.80	n/a	4-Apr	11.20	2.0
BALTHAZAR CAPITAL PARTNERS LTD085		JCP	B	15,000	35.41		n/a 27-Mar	900.00	6.0
MFP INVESTORS	085	JNS	B	15,782	8.47	n/a	n/a	631.28	4.0
NWQ INVESTMENT MGMT CO	084	JPM	S	7,200	44.50	n/a	4-Apr	216.00	3.0
DALTON GREINER	070	KSS	B	20,530	50.37	n/a	30-Mar	1,026.50	5.0
MA CAPITAL MGMT/MELLON ADV041		KSS	B	4,000	51.06	n/a	30-Mar	200.00	5.0
THE JAY GOLDMAN	028	KSS	S	16,000	50.98	n/a	30-Mar	640.00	4.0
VERITION	028	LVS	S	15,000	58.07	n/a	13-Jun	450.00	3.0
DONALD SMITH	088	MDY	S	15,650	179.17	n/a	n/a	469.50	3.0
PZENA INV ADV	044	MET	B	1,400	36.50	n/a	n/a	49.00	3.5
PIONEER OAKRIDGE	031	MJN	S	220	83.68	n/a	n/a	4.40	2.0
SIMMONS VENTURES	041	M	B	200	40.70	n/a	30-Mar	8.00	4.0
PIONEER OAKRIDGE	031	ORCL	S	655	29.53	n/a	n/a	13.10	2.0
PIONEER OAKRIDGE	031	ORLY	S	225	92.96	n/a	n/a	4.50	2.0
PIONEER OAKRIDGE	031	OXY	S	210	94.25	n/a	n/a	4.20	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	PCLN	S	30	755.50	n/a	n/a	0.60	2.0
PIONEER OAKRIDGE	031	PCP	S	110	171.03	n/a	21-Mar	2.20	2.0
COPIA CAPITAL	031	PDS	B	19,227	9.65	n/a	n/a	672.95	3.5
MASTERS CAPITAL MANAGE	025	PDS	S	100,000	9.60	n/a	n/a	4,000.00	4.0
PIONEER OAKRIDGE	031	PEP	S	275	66.00	n/a	n/a	5.50	2.0
TRELLUS PARTNERS LP	028	PFCB	B	13,185	39.75	n/a	2-Apr	395.55	3.0
CATAPULT	040	PIR	SS	28,075	18.18	n/a	n/a	1,123.00	4.0
PIONEER OAKRIDGE	031	PX	S	165	113.90	n/a	23-Mar	3.30	2.0
PIONEER OAKRIDGE	031	QCOM	S	430	67.45	n/a	n/a	8.60	2.0
RAINIER INV MGMT	035	RBN	B	25,000	52.06	n/a	n/a	1,000.00	4.0
CAERUS GLOBAL	041	RCL	B	10,000	27.85	n/a	n/a	400.00	4.0
NWQ INVESTMENT MGMT CO	084	RTN	S	6,100	52.38	n/a	14-Feb	183.00	3.0
PIONEER OAKRIDGE	031	RVBD	S	485	27.32	n/a	n/a	9.70	2.0
FARBER/WEISS PECK	085	SBUX	B	8,300	58.06	n/a	9-Mar	332.00	4.0
BESSEMER INVESTMENT	085	SIX	S	469	45.55	n/a	n/a	18.76	4.0
SIMMONS VENTURES	041	SKS	SS	10,000	11.57	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	SLB	S	165	69.14	n/a	n/a	3.30	2.0
SYSTEMATIC FINANCIAL MGT	035	SLM	S	229,075	15.37	n/a	4-Apr	6,872.25	3.0
GEORGE WEISS	034	SMG	S	37,500	53.26	n/a	20-Mar	1,500.00	4.0
PIONEER OAKRIDGE	031	SWN	S	270	29.87	n/a	23-Mar	5.40	2.0
PZENA INV ADV	044	TEL	B	850	35.24	n/a	n/a	29.75	3.5
CAERUS GLOBAL	041	TGT	B	43,384	57.81	n/a	1-Mar	1,735.36	4.0
PIONEER OAKRIDGE	031	TJX	S	645	40.42	n/a	30-Mar	12.90	2.0
PECONIC PARTNERS	036	UAL	S	75,000	21.36	n/a	n/a	3,750.00	5.0
PIONEER OAKRIDGE	031	UTX	S	230	81.94	n/a	n/a	4.60	2.0
PIONEER OAKRIDGE	031	VFC	S	65	150.91	n/a	17-Feb	1.30	2.0
RAINIER INV MGMT	035	VRSK	B	8,600	46.99	n/a	n/a	344.00	4.0
PIONEER OAKRIDGE	031	V	S	155	119.54	n/a	2-Apr	3.10	2.0
PIONEER OAKRIDGE	031	WAG	S	380	32.90	n/a	n/a	7.60	2.0
NWQ INVESTMENT MGMT CO	084	WFC	S	5,000	33.75	n/a	4-Apr	150.00	3.0
DONALD SMITH	088	WPX	B	25,032	17.56	n/a	n/a	750.96	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BOW STREET LLC	044	WSM	B	31,435	38.06	n/a	n/a	1,257.40	4.0
RIDGECREST INV MGMT LLC	028	WSM	B	15,000	38.17	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	WU	B	300	18.14	n/a	n/a	12.00	4.0
NEW JERSEY DIV OF INV.	030	WY	S	200,000	21.51	n/a	3-Feb	8,000.00	4.0
NEWLAND CAPITAL MGT	025	XLE	SS	50,000	70.45	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	YUM	S	310	69.92	n/a	8-Feb	12.40	4.0
<b>TOTAL (Trade Date):</b>								<b>75,617.17</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/05	MASTERS CAPITAL MANAGE (MASTCS)	025	PDS	S	100,000	9.60	n/a	n/a	4000.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>4,000.00</b>
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TOTAL (Trade Date) :	75,617.17
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TOTAL (AO, CXL, CRT) :	4,000.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>79,617.17</b>
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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