



## Daily Compliance Activity Report

Trade Date: 07/09/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	80	137.28	n/a	n/a	1.60	2.0
KAYNE ANDERSON ADV	048	ABAX	B	7,800	18.99	n/a	n/a	312.00	4.0
CR INTRINIC INVESTMENT	044	ABT	B	40,000	45.72	n/a	22-Apr	1,600.00	4.0
PIONEER OAKRIDGE	031	ABT	S	210	45.70	n/a	22-Apr	4.20	2.0
PIONEER OAKRIDGE	031	ADBE	S	260	27.41	n/a	n/a	5.20	2.0
PIONEER OAKRIDGE	031	ADS	S	150	37.48	n/a	n/a	3.00	2.0
PIONEER OAKRIDGE	031	AGN	S	190	45.64	24-Mar	7-Jul	3.80	2.0
PIONEER OAKRIDGE	031	AMG	S	75	53.29	5-Jun	9-Jul	1.50	2.0
PIONEER OAKRIDGE	031	ANSS	S	275	29.27	n/a	n/a	5.50	2.0
HOLLIS CAPITAL	033	AN	B	7,000	16.66	10-Jun	10-Jun	350.00	5.0
PIONEER OAKRIDGE	031	ARG	S	205	38.10	23-Mar	9-Jul	4.10	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>30,000</b>	<b>33.15</b>	<b>n/a</b>	<b>6-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	AXL	B	100,000	2.12	n/a	9-Jul	3,000.00	3.0
SYSTEMATIC FINANCIAL MGT	035	AXP	B	592,800	22.94	n/a	8-Jul	20,748.00	3.5
SYSTEMATIC FINANCIAL MGT	035	BBY	B	196,250	32.54	n/a	27-Jul	6,868.75	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BEN	C	33,000	66.08	5-Jun	9-Jul	1,650.00	5.0
BNP PARIBAS SEC	040	BWA	B	22,500	30.17	10-Jun	10-Jun	900.00	4.0
PRINCIPLE CAPITAL	040	CCL	B	38,100	25.27	n/a	26-Jan	1,143.00	3.0
PIONEER OAKRIDGE	031	CELG	S	155	46.56	n/a	n/a	3.10	2.0
PIONEER OAKRIDGE	031	CHD	S	210	53.18	27-Apr	14-May	4.20	2.0
PIONEER OAKRIDGE	031	CHSI	S	215	24.00	n/a	n/a	4.30	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>23.80</b>	<b>n/a</b>	<b>22-Apr</b>	<b>400.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	CSCO	S	620	18.24	n/a	22-Mar	12.40	2.0
OZ MGMT	040	C	SS	125,000	2.64	n/a	30-Jun	3,750.00	3.0
PIONEER OAKRIDGE	031	DHR	S	165	58.19	n/a	n/a	3.30	2.0
PIONEER OAKRIDGE	031	DNR	S	255	13.25	n/a	n/a	5.10	2.0
PIONEER OAKRIDGE	031	ECL	S	180	37.36	28-Apr	2-Jul	3.60	2.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.19	n/a	n/a	1,200.00	6.0
CUMBERLAND	038	FLEX	B	50,000	4.15	n/a	n/a	1,500.00	3.0
OZ MGMT	040	F	B	175,000	5.48	n/a	2-Jul	5,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	GILD	S	210	44.79	n/a	n/a	4.20	2.0
PIONEER OAKRIDGE	031	GME	S	200	20.47	n/a	n/a	4.00	2.0
BALYASNY ASSET MGMT	044	GNTX	B	25,000	10.29	10-Jun	10-Jun	1,250.00	5.0
BNP PARIBAS SEC	040	GNTX	B	25,000	10.32	10-Jun	10-Jun	1,000.00	4.0
PIONEER OAKRIDGE	031	GOOG	S	30	412.07	n/a	n/a	0.60	2.0
PIONEER OAKRIDGE	031	HITT	S	170	34.61	n/a	n/a	3.40	2.0
PIONEER OAKRIDGE	031	HK	S	205	19.56	n/a	n/a	4.10	2.0
PIONEER OAKRIDGE	031	HPQ	S	215	37.24	n/a	n/a	4.30	2.0
PIONEER OAKRIDGE	031	HSIC	S	160	44.23	n/a	n/a	3.20	2.0
PIONEER OAKRIDGE	031	IBM	S	120	101.42	n/a	n/a	2.40	2.0
PIONEER OAKRIDGE	031	ICE	S	70	86.89	n/a	n/a	1.40	2.0
PIONEER OAKRIDGE	031	IEX	S	255	22.71	n/a	n/a	5.10	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>IGT</b>	<b>B</b>	<b>40,000</b>	<b>14.19</b>	<b>n/a</b>	<b>27-Apr</b>	<b>1,600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>10,000</b>	<b>24.46</b>	<b>n/a</b>	<b>30-Jan</b>	<b>400.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	JCI	S	290	20.04	2-Jun	2-Jun	5.80	2.0
NEWCASTLE FUNDS	255	JCP	B	25,000	26.81	13-Apr	6-Jul	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	JWN	B	5,000	19.72	20-Feb	6-Jul	250.00	5.0
PIONEER OAKRIDGE	031	KR	S	275	21.59	n/a	n/a	5.50	2.0
CAXTON PART	040	KSS	B	5,000	43.16	8-May	6-Jul	175.01	3.5
PIONEER OAKRIDGE	031	MON	S	50	72.55	n/a	26-Jun	1.00	2.0
PIONEER OAKRIDGE	031	MSFT	S	365	22.55	n/a	3-Apr	7.30	2.0
BNP PARIBAS SEC	040	OIH	B	10,000	91.62	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	ORLY	S	210	39.74	n/a	n/a	4.20	2.0
PIONEER OAKRIDGE	031	PCP	S	75	70.48	n/a	n/a	1.50	2.0
PIONEER OAKRIDGE	031	PEP	S	170	54.63	n/a	n/a	3.40	2.0
PIONEER OAKRIDGE	031	PG	S	215	52.41	5-Jun	5-Jun	4.30	2.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	40,000	15.43	8-Apr	23-Jun	2,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>20,000</b>	<b>13.37</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	PWR	S	320	20.21	n/a	n/a	6.40	2.0
PIONEER OAKRIDGE	031	QCOM	S	340	43.45	n/a	n/a	6.80	2.0
FIRST NEW YORK NICK	029	Q	B	10,000	3.82	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASEY CAPITAL	067	RKT	B	10,000	36.75	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	RMD	S	185	39.45	n/a	n/a	3.70	2.0
PIONEER OAKRIDGE	031	RTN	S	150	42.09	n/a	n/a	3.00	2.0
PIONEER OAKRIDGE	031	SAP	S	200	40.39	n/a	n/a	4.00	2.0
MILLENIUM PARTNERS	028	SBUX	SS	71,750	13.76	20-Apr	30-Apr	2,870.00	4.0
PIONEER OAKRIDGE	031	SCHW	S	455	16.57	n/a	n/a	9.10	2.0
PIONEER OAKRIDGE	031	SLB	S	190	50.75	n/a	n/a	3.80	2.0
NEWCASTLE FUNDS	255	SMG	S	100,000	35.20	10-Jun	9-Jul	4,000.00	4.0
PIONEER OAKRIDGE	031	SPLS	S	470	19.38	n/a	27-Jul	9.40	2.0
PIONEER OAKRIDGE	031	SRCL	S	150	48.79	n/a	n/a	3.00	2.0
PIONEER OAKRIDGE	031	SWN	S	445	37.28	27-Feb	1-Jul	8.90	2.0
PIONEER OAKRIDGE	031	TGT	S	140	38.61	25-Feb	6-Jul	2.80	2.0
COLONIAL FUND LLC	036	TIN	S	10,000	11.94	9-Jul	9-Jul	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	50,000	11.85	9-Jul	9-Jul	2,500.00	5.0
FIRST NY SEC/CHRIS	041	TIN	B	12,900	12.27	9-Jul	9-Jul	774.00	6.0
JETSTREAM GLOBAL FUND LP	065	TIN	B	75,200	11.76	9-Jul	9-Jul	3,760.00	5.0
OZ MGMT	040	TIN	S	83,000	11.87	9-Jul	9-Jul	2,490.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHOTTENFELD ASSOC	041	TIN	S	45,000	11.94	9-Jul	9-Jul	1,350.00	3.0
TRELLUS PARTNERS LP	028	TIN	B	30,000	11.66	9-Jul	9-Jul	1,500.00	5.0
PIONEER OAKRIDGE	031	TMO	S	250	37.95	n/a	n/a	5.00	2.0
CAXTON PART	040	TROW	C	39,200	37.89	n/a	9-Jul	1,960.00	5.0
PIONEER OAKRIDGE	031	TXN	S	280	20.55	n/a	n/a	5.60	2.0
PIONEER OAKRIDGE	031	V	S	90	60.16	n/a	8-Jul	1.80	2.0
PIONEER OAKRIDGE	031	WCN	S	390	24.61	n/a	n/a	7.80	2.0
TROUBH PART	067	WEN	S	100,000	4.00	n/a	23-Jun	5,000.00	5.0
BUCK CAPITAL MGMT	001	WWW	SS	50,000	21.32	n/a	13-Mar	2,000.00	4.0
PIONEER OAKRIDGE	031	XTO	S	245	35.08	n/a	n/a	4.90	2.0
<b>TOTAL (Trade Date) :</b>								<b>88,467.36</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/08	LAGRANGE CAP ADV (LAGRJEFF)	048	AXL	B	40,000	1.91	n/a	9-Jul	2000.00 5.0
AO,CXL	07/08	LAGRANGE CAP ADV (LAGRUBSPB)	048	AXL	B	40,000	1.91	n/a	9-Jul	2000.00 5.0
AO,	07/08	BALYASNY ASSET MGMT (BALY)	044	LM	C	8,500	22.41	25-Jun	9-Jul	425.00 5.0
AO,	07/08	BALYASNY ASSET MGMT (BALY)	044	LM	C	1,700	22.41	25-Jun	9-Jul	85.00 5.0
AO,	07/08	BALYASNY ASSET MGMT (BALY)	044	LM	C	900	22.41	25-Jun	9-Jul	45.00 5.0
AO,	07/08	BALYASNY ASSET MGMT (BALY)	044	LM	C	8,500	22.41	25-Jun	9-Jul	425.00 5.0
AO,	07/08	BALYASNY ASSET MGMT (BALY)	044	LM	C	1,300	22.41	25-Jun	9-Jul	65.00 5.0
AO,	07/08	BALYASNY ASSET MGMT (BALY)	044	LM	C	4,100	22.41	25-Jun	9-Jul	205.00 5.0
AO,CRT	07/08	FIRST NEW YORK LEDDY (FNYS)	035	Q	B	10,000	3.68	n/a	n/a	500.00 5.0
AO,CXL	07/08	FIRST NEW YORK NICK (FNYNGS)	029	Q	B	10,000	3.68	n/a	n/a	500.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINNS)	035	SMG	B	980	34.26	10-Jun	9-Jul	49.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINWHITM)	035	SMG	B	110	34.26	10-Jun	9-Jul	5.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINUNPAC)	035	SMG	B	320	34.26	10-Jun	9-Jul	16.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINRIMMID)	035	SMG	B	37,230	34.26	10-Jun	9-Jul	1861.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINUFCWNC)	035	SMG	B	770	34.26	10-Jun	9-Jul	38.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINAINDMI)	035	SMG	B	1,000	34.26	10-Jun	9-Jul	50.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINDUKE)	035	SMG	B	540	34.26	10-Jun	9-Jul	27.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINBCBSKS)	035	SMG	B	280	34.26	10-Jun	9-Jul	14.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINBHSI)	035	SMG	B	480	34.26	10-Jun	9-Jul	24.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINSFARM)	035	SMG	B	1,320	34.26	10-Jun	9-Jul	66.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINSFARMV)	035	SMG	B	320	34.26	10-Jun	9-Jul	16.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINSCW401)	035	SMG	B	930	34.26	10-Jun	9-Jul	46.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINDTENDT)	035	SMG	B	720	34.26	10-Jun	9-Jul	36.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINORSHSM)	035	SMG	B	160	34.26	10-Jun	9-Jul	8.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINAMEX)	035	SMG	B	930	34.26	10-Jun	9-Jul	46.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINRESFLO)	035	SMG	B	120	34.26	10-Jun	9-Jul	6.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/08	RAINIER INV MGMT (RAINCSMP)	035	SMG	B	290	34.26	10-Jun	9-Jul	14.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINMCCLAT)	035	SMG	B	260	34.26	10-Jun	9-Jul	13.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINNORDY)	035	SMG	B	410	34.26	10-Jun	9-Jul	20.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINRIMIDC)	035	SMG	B	12,980	34.26	10-Jun	9-Jul	649.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINSFLITH)	035	SMG	B	110	34.26	10-Jun	9-Jul	5.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINLEHIGH)	035	SMG	B	660	34.26	10-Jun	9-Jul	33.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINSTJOE)	035	SMG	B	410	34.26	10-Jun	9-Jul	20.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINNRR)	035	SMG	B	2,950	34.26	10-Jun	9-Jul	147.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINAAA2)	035	SMG	B	100	34.26	10-Jun	9-Jul	5.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINAAAARET)	035	SMG	B	130	34.26	10-Jun	9-Jul	6.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINOP3SM)	035	SMG	B	2,850	34.26	10-Jun	9-Jul	142.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINWMETAL)	035	SMG	B	310	34.26	10-Jun	9-Jul	15.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINWIMMID)	035	SMG	B	70	34.26	10-Jun	9-Jul	3.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINMCAREP)	035	SMG	B	160	34.26	10-Jun	9-Jul	8.00 5.0
AO,	07/08	RAINIER INV MGMT (RAINAUTOMI)	035	SMG	B	410	34.26	10-Jun	9-Jul	20.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN CIT)	035	SMG	B	150	34.26	10-Jun	9-Jul	7.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN CHEPEN)	035	SMG	B	310	34.26	10-Jun	9-Jul	15.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN CHECON)	035	SMG	B	310	34.26	10-Jun	9-Jul	15.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN ENTERG)	035	SMG	B	1,810	34.26	10-Jun	9-Jul	90.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN UW)	035	SMG	B	210	34.26	10-Jun	9-Jul	10.50 5.0
AO,	07/08	RAINIER INV MGMT (RAINcairon)	035	SMG	B	590	34.26	10-Jun	9-Jul	29.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN ENERGY)	035	SMG	B	220	34.26	10-Jun	9-Jul	11.00 5.0
AO,	07/08	RAINIER INV MGMT (RAIN ABXAIR)	035	SMG	B	630	34.26	10-Jun	9-Jul	31.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN UILL)	035	SMG	B	970	34.26	10-Jun	9-Jul	48.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN DTC)	035	SMG	B	950	34.26	10-Jun	9-Jul	47.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN OCEAN)	035	SMG	B	180	34.26	10-Jun	9-Jul	9.00 5.0
AO,	07/08	RAINIER INV MGMT (RAIN UNEB)	035	SMG	B	230	34.26	10-Jun	9-Jul	11.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN MICH)	035	SMG	B	1,370	34.26	10-Jun	9-Jul	68.50 5.0
AO,	07/08	RAINIER INV MGMT (RAIN SIC)	035	SMG	B	150	34.26	10-Jun	9-Jul	7.50 5.0
AO,CRT	07/08	MILLENIU M PARTNERS (MILPINTREG)	028	XLE	B	25,000	44.29	n/a	n/a	1000.00 4.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	07/08	MILLENIU	028	XLE	B	25,000	44.29	n/a	4.0

<b>TOTAL (AO, CXL, CRT) :</b>								<b>5,069.50</b>	
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TOTAL (Trade Date) :								88,467.36	
TOTAL (AO, CXL, CRT) :								5,069.50	

<b>TOTAL (RUN DATE) / NFS :</b>								<b>93,536.86</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