



Daily Compliance Activity Report

Trade Date: 07/14/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	30	141.92	n/a	n/a	0.60	2.0
PIONEER OAKRIDGE	031	ABT	S	85	46.35	n/a	22-Apr	1.70	2.0
PIONEER OAKRIDGE	031	ADBE	S	105	28.04	n/a	n/a	2.10	2.0
CAMBIAR CAP	046	ADM	S	193,325	27.08	1-Jun	1-Jun	7,733.00	4.0
PIONEER OAKRIDGE	031	ADS	S	55	37.90	n/a	n/a	1.10	2.0
PIONEER OAKRIDGE	031	AGN	S	75	45.89	24-Mar	14-Jul	1.50	2.0
PIONEER OAKRIDGE	031	AMG	S	30	55.86	5-Jun	13-Jul	0.60	2.0
PIONEER OAKRIDGE	031	ANSS	S	110	29.52	n/a	n/a	2.20	2.0
MILLRACE FUND LP	028	ARGN	S	10,100	6.01	n/a	30-Apr	404.00	4.0
PIONEER OAKRIDGE	031	ARG	S	85	38.32	23-Mar	9-Jul	1.70	2.0
LAGRANGE CAP ADV	048	AXL	B	10,000	1.38	n/a	9-Jul	500.00	5.0
TROUBH PART	067	BA	S	25,000	40.67	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	040	BHP	SS	15,000	53.20	n/a	n/a	600.00	4.0
CHILTON CAPITAL MGMT.	036	BID	B	26,600	11.78	n/a	n/a	798.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	BKC	S	15,000	15.88	16-Apr	10-Jul	750.00	5.0
PIONEER OAKRIDGE	031	CELG	S	60	46.20	n/a	n/a	1.20	2.0
PIONEER OAKRIDGE	031	CHD	S	85	54.30	27-Apr	14-May	1.70	2.0
PIONEER OAKRIDGE	031	CHSI	S	90	24.54	n/a	n/a	1.80	2.0
JP MORGAN VENTURES	046	COP	B	10,000	40.63	n/a	n/a	500.00	5.0
STADIA CAPITAL	035	COST	SS	13,800	44.94	n/a	27-Jul	552.00	4.0
RBC CAPITAL MARKETS	040	CPO	B	10,000	25.41	n/a	n/a	400.00	4.0
KAYNE ANDERSON ADV	048	CRR	B	12,060	36.70	1-May	1-Jul	482.40	4.0
PIONEER OAKRIDGE	031	CSCO	S	250	18.74	n/a	22-Mar	5.00	2.0
PIONEER OAKRIDGE	031	DHR	S	65	59.28	n/a	n/a	1.30	2.0
1798 CAPITAL MGMT	040	EBAY	B	25,000	16.86	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	ECL	S	70	37.81	28-Apr	2-Jul	1.40	2.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.20	n/a	n/a	1,000.00	5.0
PHILADELPHIA FINANCIAL	033	EV	SS	35,300	24.65	19-May	14-Jul	1,412.00	4.0
1798 CAPITAL MGMT	040	EXPE	B	15,000	15.55	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	GILD	S	85	44.93	n/a	n/a	1.70	2.0
KLEINHEINZ CAP PART	031	GIL	B	45,000	14.61	25-Jun	25-Jun	2,250.00	5.0
PIONEER OAKRIDGE	031	GME	S	75	21.44	n/a	n/a	1.50	2.0
PIONEER OAKRIDGE	031	GOOG	S	15	425.01	n/a	n/a	0.30	2.0
SCOPIA CAPITAL	048	HE	SS	47,479	17.77	n/a	n/a	1,899.16	4.0
PIONEER OAKRIDGE	031	HITT	S	65	35.33	n/a	n/a	1.30	2.0
PIONEER OAKRIDGE	031	HK	S	85	20.23	n/a	n/a	1.70	2.0
CHILTON CAPITAL MGMT.	036	HPQ	SS	100,000	37.06	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	HPQ	S	90	37.17	n/a	n/a	1.80	2.0
PIONEER OAKRIDGE	031	HSIC	S	65	45.40	n/a	n/a	1.30	2.0
AVESTA CAP	229	IBM	B	25,000	103.25	n/a	n/a	1,000.00	4.0
PIONEER OAKRIDGE	031	IBM	S	45	103.07	n/a	n/a	0.90	2.0
PIONEER OAKRIDGE	031	ICE	S	25	84.42	n/a	n/a	0.50	2.0
PIONEER OAKRIDGE	031	IEX	S	105	23.56	n/a	n/a	2.10	2.0
CASTLEROCK	040	IP	B	607,240	15.21	23-Jun	23-Jun	24,289.60	4.0
RBC CAPITAL MARKETS	040	IP	B	15,000	15.07	23-Jun	23-Jun	600.00	4.0
MATRIX ASSET ADV.	036	JCI	S	3,000	20.25	2-Jun	2-Jun	120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	JCI	S	115	20.12	2-Jun	2-Jun	2.30	2.0
CHILTON CAPITAL MGMT.	036	JPM	S	200,000	34.77	n/a	10-Jul	6,000.00	3.0
1798 CAPITAL MGMT	040	JWN	B	10,000	20.11	20-Feb	10-Jul	500.00	5.0
PIONEER OAKRIDGE	031	KR	S	110	21.67	n/a	n/a	2.20	2.0
DECADE CAPITAL PARTNERS	040	K	B	23,800	47.79	n/a	n/a	952.00	4.0
RBC CAPITAL MARKETS	040	K	B	20,000	47.79	n/a	n/a	800.00	4.0
1798 CAPITAL MGMT	040	MCD	SS	15,000	57.05	n/a	10-Jul	750.00	5.0
MERRILL ASSET/BLACKROCK	214	MKSI	B	16,200	16.01	n/a	n/a	729.00	4.5
HIGHBRIDGE CAPITAL	038	MOH	SS	6,780	22.82	n/a	n/a	271.20	4.0
PIONEER OAKRIDGE	031	MON	S	20	73.83	n/a	26-Jun	0.40	2.0
RBC CAPITAL MARKETS	040	MON	S	10,000	73.83	n/a	26-Jun	400.00	4.0
RBC CAPITAL MARKETS	040	MOS	S	10,000	42.97	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	145	23.13	n/a	3-Apr	2.90	2.0
RBC CAPITAL MARKETS	040	MTL	B	40,000	7.75	n/a	n/a	1,600.00	4.0
MERRILL ASSET/BLACKROCK	214	NICE	S	6,700	22.42	n/a	n/a	301.50	4.5
STELLIAM INV ADV	034	NVLS	SS	20,000	19.05	n/a	n/a	1,000.00	5.0
PIONEER OAKRIDGE	031	ORLY	S	85	39.92	n/a	n/a	1.70	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	PCP	S	30	73.22	n/a	n/a	0.60	2.0
PIONEER OAKRIDGE	031	PEP	S	65	55.80	n/a	n/a	1.30	2.0
PIONEER OAKRIDGE	031	PG	S	90	53.39	5-Jun	5-Jun	1.80	2.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	15,000	16.13	8-Apr	23-Jun	750.00	5.0
PIONEER OAKRIDGE	031	PWR	S	130	20.37	n/a	n/a	2.60	2.0
PIONEER OAKRIDGE	031	QCOM	S	140	44.34	n/a	n/a	2.80	2.0
ROTHSCHILD ASSET	040	RAH	S	16,485	61.42	n/a	n/a	741.86	4.5
PIONEER OAKRIDGE	031	RMD	S	70	39.59	n/a	n/a	1.40	2.0
PIONEER OAKRIDGE	031	RTN	S	60	43.98	n/a	n/a	1.20	2.0
PIONEER OAKRIDGE	031	SAP	S	75	40.55	n/a	n/a	1.50	2.0
1798 CAPITAL MGMT	040	SBUX	B	50,000	14.10	20-Apr	14-Jul	2,500.00	5.0
PIONEER OAKRIDGE	031	SCHW	S	180	17.33	n/a	n/a	3.60	2.0
GRANITE CAPITAL	045	SHPGY	S	25,000	40.63	20-Feb	14-Jul	1,250.00	5.0
DECADE CAPITAL PARTNERS	040	SJM	S	23,400	48.77	n/a	n/a	936.00	4.0
PIONEER OAKRIDGE	031	SLB	S	75	51.51	n/a	n/a	1.50	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	SPLS	S	185	19.93	n/a	27-Jul	3.70	2.0
PIONEER OAKRIDGE	031	SRCL	S	60	49.73	n/a	n/a	1.20	2.0
CATAPULT	040	STLD	B	50,000	14.65	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	SWN	S	180	38.33	27-Feb	1-Jul	3.60	2.0
PIONEER OAKRIDGE	031	TGT	S	55	38.45	10-Jul	10-Jul	1.10	2.0
JP MORGAN VENTURES	046	TIF	SS	10,000	26.18	n/a	30-Jan	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	15,000	12.77	9-Jul	9-Jul	750.00	5.0
RBC CAPITAL MARKETS	040	TIN	B	20,000	12.84	9-Jul	9-Jul	800.00	4.0
PIONEER OAKRIDGE	031	TMO	S	105	38.81	n/a	n/a	2.10	2.0
PIONEER OAKRIDGE	031	TXN	S	110	21.01	n/a	n/a	2.20	2.0
PIONEER OAKRIDGE	031	V	S	35	59.91	n/a	14-Jul	0.70	2.0
PIONEER OAKRIDGE	031	WCN	S	155	25.61	n/a	n/a	3.10	2.0
PIONEER OAKRIDGE	031	XTO	S	100	35.52	n/a	n/a	2.00	2.0
CHILTON CAPITAL MGMT.	036	YUM	C	50,000	36.45	n/a	14-Jul	1,500.00	3.0
LISTED ERR	099	YUM	S	40	36.45	n/a	14-Jul	0.00	0.0

TOTAL (Trade Date):

77,556.22

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/13	OZ MGMT (OZFFUBS)	040	PKG	B	79,586	16.02	8-Apr	23-Jun	2387.58 3.0
AO,	07/13	OZ MGMT (OZFFCSFB)	040	PKG	B	3,799	16.02	8-Apr	23-Jun	113.97 3.0
AO,	07/13	OZ MGMT (OZFFMS)	040	PKG	B	2,638	16.02	8-Apr	23-Jun	79.14 3.0
AO,	07/13	OZ MGMT (OZFFGS)	040	PKG	B	12,090	16.02	8-Apr	23-Jun	362.70 3.0
AO,	07/13	OZ MGMT (OZFFGS)	040	PKG	B	1,887	16.02	8-Apr	23-Jun	56.61 3.0
AO,CXL	07/13	JP MORGAN VENTURES (JPMVJPM)	046	USO	B	6,600	31.66	n/a	n/a	330.00 5.0
AO,CRT	07/13	JP MORGAN VENTURES (JPMVJPM)	046	USO	B	6,600	31.66	n/a	n/a	198.00 3.0

TOTAL (AO, CXL, CRT) :	2,868.00
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TOTAL (Trade Date) :	77,556.22
TOTAL (AO, CXL, CRT) :	2,868.00

TOTAL (RUN DATE) / NFS :	80,424.22
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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