



Daily Compliance Activity Report

Trade Date: 01/23/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	820	87.22	n/a	n/a	16.40	2.0
PIONEER OAKRIDGE	031	ABT	S	1,390	53.50	n/a	22-Apr	27.80	2.0
BESSIMER TRUST	044	ACI	B	50,000	29.82	n/a	n/a	2,250.00	4.5
GLENHILL CAPITAL	038	AEOS	B	47,499	33.05	4-Jan	12-Jan	2,374.95	5.0
PIONEER OAKRIDGE	031	AFL	S	1,470	47.63	n/a	n/a	29.40	2.0
PIONEER OAKRIDGE	031	AGN	S	505	116.09	n/a	22-Jan	10.10	2.0
ROYCE TRADING	216	AGO	B	20,000	27.30	n/a	n/a	1,000.00	5.0
IRIDIAN ASSET MGMT.	036	ALU	B	43,700	13.03	n/a	n/a	2,185.00	5.0
PIONEER OAKRIDGE	031	AMGN	S	1,060	74.93	n/a	26-Jan	21.20	2.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	79.26	3-Nov	5-Jan	400.00	4.0
COUGAR TRADING	044	ANN	S	5,000	32.79	5-Jan	5-Jan	250.00	5.0
SINCLAIR	031	AVX	B	300	14.47	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	031	AVZ	S	53,008	24.49	29-Dec	12-Jan	2,650.40	5.0
PIONEER OAKRIDGE	031	AXP	S	1,120	57.56	n/a	n/a	22.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KEEFE BRUYETTE WOODS A	031	BAC	S	47,600	53.02	11-Jan	23-Jan	2,380.00	5.0
SAC TRADING HOWARD	038	BARE	B	5,000	35.40	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	BBY	S	1,240	49.16	13-Dec	10-Jan	24.80	2.0
COLONIAL FUND LLC	036	BJS	B	25,000	27.42	n/a	n/a	1,250.00	5.0
LUCHANSKY	036	BJS	B	500	27.73	n/a	n/a	0.00	0.0
SINCLAIR	031	BKHM	S	2,000	2.78	n/a	n/a	0.00	0.0
EFSTATHIOU	044	BKHM	S	1,000	2.78	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	BLK	S	21,400	170.91	16-Oct	23-Jan	1,070.00	5.0
SUNOVA CAPITAL	031	BLK	S	20,000	170.92	16-Oct	23-Jan	1,000.00	5.0
WHITE PINE CAPITAL	030	BONT	S	200	36.40	23-Oct	5-Jan	10.00	5.0
COLONIAL FUND LLC	036	CAKE	B	25,000	27.09	n/a	17-Jan	1,250.00	5.0
DSG CAPITAL	225	CAKE	B	6,400	27.69	n/a	17-Jan	320.00	5.0
SCUDDER HEDGE	034	CAKE	B	25,000	27.09	n/a	17-Jan	1,000.00	4.0
VISIUM/BALY HOWARD	038	CAO	B	3,600	16.67	n/a	n/a	180.00	5.0
SEQUENCE CAPITAL	028	CBK	S	4,654	19.08	11-Dec	5-Jan	232.70	5.0
SINCLAIR	031	CBK	C	500	19.31	11-Dec	5-Jan	0.00	0.0
MAGUIRE	090	CEVA	S	901	7.61	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CHS	SS	5,000	20.66	5-Jan	5-Jan	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	CHS	B	25,000	20.64	5-Jan	5-Jan	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	B	50,000	80.30	6-Dec	22-Jan	2,500.00	5.0
KORMAN	003	CLUB	B	300	18.39	n/a	n/a	0.00	0.0
SINCLAIR	031	CLZR	B	700	12.02	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	CMCSA	S	1,750	44.82	11-Jan	23-Jan	35.00	2.0
BUCK CAPITAL MGMT	001	COH	S	10,000	43.41	7-Dec	19-Jan	400.00	4.0
CENTURION PARTNERS	249	COH	S	35,000	43.79	7-Dec	19-Jan	1,750.00	5.0
PIONEER OAKRIDGE	031	COH	S	2,095	43.96	7-Dec	19-Jan	41.90	2.0
SEQUENCE CAPITAL	028	COH	B	2,472	43.77	7-Dec	19-Jan	123.60	5.0
SEQUENCE CAPITAL	028	COH	S	1,701	43.31	7-Dec	19-Jan	85.05	5.0
MATRIX ASSET ADV.	036	COP	B	10,400	65.05	n/a	n/a	416.00	4.0
PIONEER OAKRIDGE	031	CSCO	S	3,255	26.69	n/a	22-Mar	65.10	2.0
PIONEER OAKRIDGE	031	CTSH	S	1,705	82.68	n/a	n/a	34.10	2.0
AAD CAPITAL	048	CVS	S	60,000	33.27	n/a	n/a	2,400.00	4.0
BEAR STEARNS ASSET MGMT.	033	CWTR	S	165,600	19.96	n/a	n/a	6,624.00	4.0
DEMARTINI	065	CWTR	S	1,000	20.13	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	DHR	S	1,105	75.69	n/a	n/a	22.10	2.0
S.A.C. CAPITAL MGMT.	044	DIS	SS	24,200	35.46	n/a	n/a	1,210.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	DNA	S	1,145	87.97	n/a	n/a	22.90	2.0
PIONEER OAKRIDGE	031	ECL	S	1,260	44.15	n/a	22-Jan	25.20	2.0
BUCK CAPITAL MGMT	001	EDA	B	10,000	10.44	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	ERTS	S	1,335	50.20	n/a	n/a	26.70	2.0
AVESTA CAP	229	FCX	B	20,000	53.91	n/a	n/a	1,000.00	5.0
PIONEER OAKRIDGE	031	FDX	S	605	110.29	n/a	n/a	12.10	2.0
COUGAR TRADING	044	FD	S	10,000	39.39	9-Nov	5-Jan	500.00	5.0
TPG-AXON	040	FD	B	162,000	39.76	9-Nov	5-Jan	8,100.00	5.0
PIONEER OAKRIDGE	031	GE	S	3,410	36.52	n/a	n/a	68.20	2.0
IMPALA ASSET MMT	012	GLW	S	400,000	18.88	n/a	22-Jan	12,000.00	3.0
PIONEER OAKRIDGE	031	GLW	S	2,520	18.89	n/a	22-Jan	50.40	2.0
PIONEER OAKRIDGE	031	GOOG	S	210	483.35	n/a	n/a	4.20	2.0
BUCK CAPITAL MGMT	001	GPS	SS	40,000	19.52	n/a	5-Jan	1,600.00	4.0
IRIDIAN ASSET MGMT.	036	GPS	B	70,300	19.55	n/a	5-Jan	3,515.00	5.0
BACKUS	005	GRT	B	1,000	27.32	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	HET	S	880	83.17	8-Jan	8-Jan	17.60	2.0
STRAUSS ASSET MGMT	040	HP	B	15,000	25.78	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	ICON	B	500	19.57	n/a	n/a	0.00	0.0
MAGUIRE	090	IOM	S	15,000	3.63	n/a	n/a	0.00	0.0
MAGUIRE	090	IOWNC	B	100	3.30	n/a	n/a	0.00	0.0
MERRILL ASSET	032	IO	B	100,000	13.41	n/a	n/a	5,000.00	5.0
PIONEER OAKRIDGE	031	IRM	S	1,270	26.38	n/a	n/a	25.40	2.0
SINCLAIR	031	ITCD	B	400	2.40	n/a	n/a	0.00	0.0
VANDER MOOLEN	040	JPM	B	5,000	49.32	n/a	18-Jan	250.00	5.0
GAULT	063	KOG	B	5,000	3.89	n/a	n/a	0.00	0.0
MAGUIRE	090	KOG	B	10,000	3.89	n/a	n/a	0.00	0.0
BACKUS	005	KSS	S	1,000	68.83	27-Dec	5-Jan	0.00	0.0
CLOVIS CAPITAL	012	LIZ	SS	20,000	44.20	n/a	27-Oct	1,000.00	5.0
GENERAL ELECTIC CO	033	LLY	S	36,372	52.63	n/a	n/a	1,636.80	4.5
MAGUIRE	039	LNCR	S	200	40.64	21-Dec	16-Jan	0.00	0.0
SAILFISH	037	LSI	B	15,000	9.99	n/a	n/a	750.00	5.0
CENTURION PARTNERS	249	LTD	B	25,000	28.54	5-Jan	5-Jan	1,250.00	5.0
COUGAR TRADING	044	LTD	S	10,000	28.25	5-Jan	5-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	LTD	S	44,574	28.43	5-Jan	5-Jan	2,005.85	4.5
BUCK CAPITAL MGMT	001	LTM	B	5,000	52.24	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	MAR	S	2,045	47.23	n/a	n/a	40.90	2.0
SCOPUS FUND	039	MCD	S	50,000	44.98	12-Oct	17-Jan	2,500.00	5.0
PIONEER OAKRIDGE	031	MCHP	S	1,895	35.14	n/a	n/a	37.90	2.0
PIONEER OAKRIDGE	031	MDT	S	1,180	52.95	n/a	22-Apr	23.60	2.0
SAILFISH	037	MDT	S	40,000	53.00	n/a	22-Apr	2,000.00	5.0
PIONEER OAKRIDGE	031	MSFT	S	4,260	30.76	n/a	3-Apr	85.20	2.0
BARR	096	MTIC	B	8,000	0.88	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	B	17,700	42.78	n/a	n/a	708.00	4.0
MAGUIRE	090	MZZ	B	2,500	60.85	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	NCI	S	79,500	19.49	n/a	n/a	3,180.00	4.0
BACKUS	005	NLS	B	3,000	15.59	n/a	n/a	0.00	0.0
KAZMI	010	NRWS	B	15,000	0.90	n/a	n/a	0.00	0.0
HASAN	010	NRWS	B	2,500	0.90	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	NVS	S	1,180	58.10	n/a	n/a	23.60	2.0
PIONEER OAKRIDGE	031	NWSA	S	3,295	23.20	n/a	n/a	65.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	NWY	S	5,000	14.58	1-Dec	10-Jan	250.00	5.0
GALLEON MGMT LP	033	OIH	C	10,000	134.85	n/a	n/a	500.00	5.0
RIVER RUN MGMT	031	OII	S	25,000	40.00	n/a	n/a	1,250.00	5.0
JACOB	068	OII	B	500	40.34	n/a	n/a	0.00	0.0
KAICHER	064	ONNN	S	400	8.11	n/a	n/a	0.00	0.0
MAGUIRE	090	OPY	S	2,000	36.56	n/a	n/a	0.00	0.0
DAVIDSON TRUST CO	033	ORCL	S	4,200	17.14	n/a	n/a	252.00	6.0
FRIESS MGMT	042	ORCL	B	243,400	17.12	n/a	n/a	10,953.00	4.5
PIONEER OAKRIDGE	031	ORCL	S	5,045	17.14	n/a	n/a	100.90	2.0
PIONEER OAKRIDGE	031	PAYX	S	1,790	39.78	n/a	n/a	35.80	2.0
PIONEER OAKRIDGE	031	PCP	S	970	86.95	n/a	n/a	19.40	2.0
SANDLER CAPITAL	038	PCP	B	60,000	86.38	n/a	n/a	3,600.00	6.0
PIONEER OAKRIDGE	031	PEP	S	1,175	65.08	n/a	n/a	23.50	2.0
PIONEER OAKRIDGE	031	PG	S	1,395	65.67	15-Dec	9-Jan	27.90	2.0
WASHINGTON ASSET	048	PTMK	B	10,000	10.95	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	QCOM	S	2,335	38.62	n/a	n/a	46.70	2.0
MAGUIRE	090	QID	B	3,100	53.71	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAICHER	064	RIG	S	600	76.94	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	SCHW	S	3,885	18.89	n/a	n/a	77.70	2.0
HIGHBRIDGE CAPITAL	038	SIAL	B	44,000	38.33	3-Jan	22-Jan	2,200.00	5.0
BACKUS	005	SKS	S	4,000	18.49	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	SLB	S	1,025	63.25	n/a	n/a	20.50	2.0
PIONEER OAKRIDGE	031	SPLS	S	4,130	26.60	n/a	10-Jan	82.60	2.0
BUCK CAPITAL MGMT	001	SSI	B	20,000	32.36	9-Jan	9-Jan	800.00	4.0
APEX CAPITAL MGMT.	002	STX	S	50,000	26.26	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	TGT	S	1,190	62.00	n/a	5-Jan	23.80	2.0
LATEFF MGMT	040	TIN	S	1,500	49.91	n/a	23-Jan	375.00	25.0
RAMIUS CAP	040	TIN	B	50,000	49.82	n/a	23-Jan	2,500.00	5.0
RIVER RUN MGMT	031	TRMP	SS	50,000	17.50	n/a	n/a	2,500.00	5.0
CHART WELL ADV	243	TWB	S	95,670	34.55	9-Jan	23-Jan	4,305.27	4.5
COUGAR TRADING	044	TWB	SS	5,000	34.60	9-Jan	23-Jan	250.00	5.0
MAZAMA CAPITAL MGMT.	035	TWB	S	61,800	34.41	9-Jan	23-Jan	2,472.00	4.0
SAILFISH	037	TWGP	S	1,000	33.15	n/a	n/a	50.00	5.0
PIONEER OAKRIDGE	031	TXN	S	2,300	29.93	n/a	n/a	46.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	TXRH	B	834	13.21	n/a	n/a	0.00	0.0
SAC TRADING HOWARD	038	URBN	S	20,000	24.39	7-Dec	5-Jan	1,000.00	5.0
PIONEER OAKRIDGE	031	USB	S	2,485	35.36	n/a	n/a	49.70	2.0
PIONEER OAKRIDGE	031	UTX	S	1,240	66.25	n/a	n/a	24.80	2.0
HASAN	010	VSL	B	650	21.87	n/a	n/a	0.00	0.0
EFSTATHIOU	044	VSL	B	200	21.63	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	WAG	S	1,515	45.88	n/a	n/a	30.30	2.0
CAXTON PART	040	WB	SS	90,000	56.28	n/a	n/a	3,600.00	4.0
CAXTON PART	040	WB	S	90,000	56.28	n/a	n/a	3,600.00	4.0
BALYASNY ASSET MGMT	044	WDR	B	40,000	26.14	12-Jan	12-Jan	2,000.00	5.0
WHITE PINE CAPITAL	030	WDR	B	400	26.11	12-Jan	12-Jan	20.00	5.0
JP MORGAN VENTURES	046	WFMI	B	5,000	43.88	n/a	n/a	250.00	5.0
COUGAR TRADING	044	WMT	SS	5,000	47.52	5-Oct	5-Jan	250.00	5.0
MATRIX ASSET ADV.	036	XOM	S	9,500	74.76	n/a	n/a	380.00	4.0
PIONEER OAKRIDGE	031	XTO	S	1,625	48.90	n/a	n/a	32.50	2.0
PIONEER OAKRIDGE	031	ZMH	S	865	78.97	n/a	n/a	17.30	2.0

TOTAL (Trade Date):

133,804.12

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/18	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	AGP	SS	50,000	36.67	n/a	n/a	2500.00 5.0
AO,CRT	01/18	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	AGP	SS	50,000	36.67	n/a	n/a	1500.00 3.0
AO,CXL	01/22	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CBK	B	20,000	19.63	11-Dec	5-Jan	800.00 4.0
AO,CRT	01/22	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CBK	B	30,000	19.63	11-Dec	5-Jan	1200.00 4.0
AO,CXL	01/19	OTC ERROR (OTC ERROR)	099	ILSE	B	15,000	24.53	n/a	n/a	0.00 0.0
AO,CRT	01/19	OTC ERROR (OTC ERROR)	099	ILSE	B	15,000	24.53	n/a	n/a	0.00 0.0
AO,CXL	01/19	MILLENIUUM PARTNERS (MILP-ROB)	028	ILSE	S	15,000	24.53	n/a	n/a	0.00 0.0
AO,CRT	01/19	MILLENIUUM PARTNERS (MILP-ROB)	028	ILSE	S	15,000	24.53	n/a	n/a	750.00 5.0
AO,	01/22	MKT MAKER (MKT MAKER)	040	INTC	B	100	20.82	n/a	n/a	4.00 4.0
AO,	01/22	OTC ERROR (OTC ERROR)	097	ISLE	B	15,000	25.34	n/a	26-Jan	0.00 0.0
AO,CXL	01/18	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	MWV	B	44,500	29.19	8-Jan	23-Jan	2225.00 5.0
AO,CRT	01/18	AVENUE CAPITAL MGMT (AVENGOLDMA)	036	MWV	B	44,500	29.19	8-Jan	23-Jan	1335.00 3.0
AO,CXL	01/19	MKT MAKER (MKT MAKER)	034	SCHW	S	10	19.17	n/a	n/a	0.00 0.0
AO,CXL	01/19	MKT MAKER (MKT MAKER)	034	SCHW	S	50	19.08	n/a	n/a	0.00 0.0
AO,CXL	01/19	KARSCH CAPITAL (KARSGOLDMA)	034	SCHW	S	40,920	19.17	n/a	n/a	1227.60 3.0
AO,CXL	01/19	KARSCH CAPITAL (KARSGOLDMA)	034	SCHW	S	133,570	19.08	n/a	n/a	4007.10 3.0
AO,	01/19	KARSCH CAPITAL (KARSGOLDMA)	034	SCHW	S	40,930	19.17	n/a	n/a	1227.90 3.0
AO,	01/19	KARSCH CAPITAL (KARSGOLDMA)	034	SCHW	S	133,620	19.08	n/a	n/a	4008.60 3.0
TOTAL (AO, CXL, CRT) :										-734.20

TOTAL (Trade Date):	133,804.12
TOTAL (AO, CXL, CRT):	-734.20

TOTAL (RUN DATE) / NFS:	133,069.92
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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