



## Daily Compliance Activity Report

Trade Date: 06/07/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	330	333.30	n/a	n/a	6.60	2.0
CATAPULT	040	ABH	SS	5,000	23.35	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	ABT	S	1,135	51.50	n/a	n/a	22.70	2.0
PZENA INV ADV	044	ABT	B	475	51.55	n/a	n/a	16.63	3.5
PIONEER OAKRIDGE	031	AGN	S	985	80.87	n/a	6-Jun	19.70	2.0
PIONEER OAKRIDGE	031	ALTR	S	1,165	46.26	n/a	n/a	23.30	2.0
ARMATURE CAPITAL	041	ALV	SS	30,000	73.08	n/a	21-Apr	1,200.00	4.0
PIONEER OAKRIDGE	031	AMG	S	580	94.93	n/a	2-Mar	11.60	2.0
PIONEER OAKRIDGE	031	APH	S	760	52.05	n/a	n/a	15.20	2.0
CATAPULT	040	ASH	S	5,000	62.55	n/a	1-Jun	200.00	4.0
PIONEER OAKRIDGE	031	BAX	S	1,010	58.52	n/a	n/a	20.20	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>20,000</b>	<b>29.33</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
MOORE CAPITAL	041	BJ	B	25,000	47.71	n/a	n/a	1,000.00	4.0
JET CAPITAL/CHRIS	041	BP	B	25,000	44.42	n/a	n/a	750.00	3.0
BMO NESBITT BURNS	041	BZ	B	7,000	7.98	n/a	n/a	700.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	CAKE	B	13,000	30.08	n/a	21-Apr	390.00	3.0
PROSPECTOR PARTNERS LLC	036	CBRL	B	11,400	44.95	n/a	n/a	456.00	4.0
PIONEER OAKRIDGE	031	CELG	S	940	59.51	n/a	n/a	18.80	2.0
GRANAHAN INV	029	COG	S	53,100	55.89	n/a	26-May	2,124.00	4.0
PIONEER OAKRIDGE	031	COH	S	630	60.35	n/a	3-Jun	12.60	2.0
PIONEER OAKRIDGE	031	CTSH	S	510	74.50	n/a	n/a	10.20	2.0
PIONEER OAKRIDGE	031	CTXS	S	560	80.91	n/a	n/a	11.20	2.0
PIONEER OAKRIDGE	031	CXO	S	820	88.30	n/a	n/a	16.40	2.0
PIONEER OAKRIDGE	031	DHR	S	1,820	52.12	n/a	n/a	36.40	2.0
PIONEER OAKRIDGE	031	DLTR	S	1,185	63.00	n/a	20-May	23.70	2.0
PIONEER OAKRIDGE	031	DNR	S	2,615	20.21	n/a	n/a	52.30	2.0
MAIRS AND POWER INV	030	ECL	S	10,000	53.96	n/a	2-Jun	500.00	5.0
PIONEER OAKRIDGE	031	EMC	S	4,255	26.98	n/a	n/a	85.10	2.0
PIONEER OAKRIDGE	031	ESRX	S	1,380	56.74	n/a	n/a	27.60	2.0
ARMATURE CAPITAL	041	ETN	S	30,000	47.75	n/a	17-May	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ETN	S	10,000	48.44	n/a	17-May	500.00	5.0
PIONEER OAKRIDGE	031	GILD	S	1,705	41.06	n/a	n/a	34.10	2.0
SAC CRIB	044	GM	SS	25,000	28.62	n/a	2-Jun	875.00	3.5
HIGHFIELDS CAP MGMT	030	GNW	B	110,000	10.48	n/a	n/a	4,400.00	4.0
PIONEER OAKRIDGE	031	GOOG	S	210	521.33	n/a	n/a	4.20	2.0
PIONEER OAKRIDGE	031	GS	S	395	133.61	n/a	2-Jun	7.90	2.0
PZENA INV ADV	044	HII	S	96	36.13	n/a	n/a	3.36	3.5
PIONEER OAKRIDGE	031	IBM	S	905	164.66	n/a	n/a	18.10	2.0
PIONEER OAKRIDGE	031	ICE	S	440	114.16	n/a	n/a	8.80	2.0
CSFB GLOBAL PROPRIETARY	041	IP	S	30,000	31.17	n/a	28-Apr	1,500.00	5.0
SENATOR INVESTMENT GROUP	036	IP	B	200,000	29.92	n/a	28-Apr	6,000.00	3.0
BALLAST CAP	040	ITT	B	10,500	55.80	n/a	4-May	315.00	3.0
PIONEER OAKRIDGE	031	ITW	S	1,585	55.91	n/a	27-Apr	31.70	2.0
PIONEER OAKRIDGE	031	IVZ	S	2,555	22.77	n/a	2-Mar	51.10	2.0
JET CAPITAL/CHRIS	041	IYR	C	75,000	60.90	n/a	n/a	2,250.00	3.0
PIONEER OAKRIDGE	031	JCI	S	2,275	37.17	n/a	26-Apr	45.50	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	JWN	S	1,515	43.24	n/a	3-Jun	30.30	2.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	7.57	n/a	19-May	1,500.00	5.0
DC CAPITAL	044	LPX	B	50,000	7.60	n/a	19-May	2,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	30,000	32.54	n/a	27-Apr	1,500.00	5.0
RIDGECREST INV MGMT LLC	028	MWV	B	7,500	32.91	n/a	27-Apr	375.00	5.0
SCOPUS FUND	041	MWW	S	25,000	13.31	n/a	n/a	1,000.00	4.0
BASIX	033	NAV	B	6,800	59.06	n/a	10-Mar	204.00	3.0
SMITH MGMT LLC	029	NDN	B	245,000	20.49	n/a	27-May	7,350.00	3.0
TRUSTCO/SUNTRUST	040	NLY	S	195,700	18.32	n/a	n/a	6,849.50	3.5
PIONEER OAKRIDGE	031	NTAP	S	1,305	50.60	n/a	n/a	26.10	2.0
CATAPULT	040	OLN	B	15,000	21.97	n/a	n/a	600.00	4.0
ROTHSCHILD ASSET	040	OMG	B	28,886	35.64	n/a	n/a	1,155.44	4.0
AVESTA CAP	229	ORCL	C	100,000	32.01	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	ORCL	S	2,670	31.94	n/a	n/a	53.40	2.0
PIONEER OAKRIDGE	031	ORLY	S	920	59.37	n/a	n/a	18.40	2.0
PIONEER OAKRIDGE	031	OXY	S	855	101.70	n/a	n/a	17.10	2.0
PIONEER OAKRIDGE	031	PCAR	S	1,595	47.91	n/a	20-Apr	31.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	PCLN	S	110	504.36	n/a	n/a	2.20	2.0
PIONEER OAKRIDGE	031	PCP	S	455	153.85	n/a	16-May	9.10	2.0
PIONEER OAKRIDGE	031	PEP	S	1,135	69.09	n/a	n/a	22.70	2.0
PIONEER OAKRIDGE	031	PG	S	1,355	65.31	n/a	26-May	27.10	2.0
BMO NESBITT BURNS	041	PKG	B	31,500	28.63	n/a	19-Apr	2,125.00	7.5
PIONEER OAKRIDGE	031	PX	S	675	100.57	n/a	20-May	13.50	2.0
PIONEER OAKRIDGE	031	QCOM	S	1,205	56.66	n/a	n/a	24.10	2.0
PIONEER OAKRIDGE	031	QGEN	S	1,540	19.37	n/a	n/a	30.80	2.0
CYRUS CAPITAL	025	RGC	B	11,000	12.08	n/a	n/a	330.00	3.0
SAC CRIB	044	SEE	B	25,000	22.78	n/a	2-Jun	875.00	3.5
PIONEER OAKRIDGE	031	SLB	S	885	83.77	n/a	n/a	17.70	2.0
CATAPULT	040	SLGN	SS	5,000	44.37	n/a	n/a	200.00	4.0
ETON PARK CAPITAL	041	SPY	SS	500,000	129.76	n/a	n/a	15,000.00	3.0
JET CAPITAL/CHRIS	041	SPY	C	95,000	129.67	n/a	n/a	2,850.00	3.0
PIONEER OAKRIDGE	031	SWKS	S	1,050	24.97	n/a	n/a	21.00	2.0
PIONEER OAKRIDGE	031	SWN	S	1,100	43.49	n/a	29-Apr	22.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	S	S	20,000	5.34	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	TGT	S	1,155	47.48	n/a	2-Jun	23.10	2.0
BNP PARIBAS SEC	040	TIN	B	50,000	29.75	n/a	7-Jun	2,500.00	5.0
BUTTE CAPITAL MGMT LLC	084	TIN	B	10,000	29.60	n/a	7-Jun	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	SS	6,196	29.91	n/a	7-Jun	309.80	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	8,804	29.87	n/a	7-Jun	440.20	5.0
EPOCH INV MGMT	030	TIN	S	51,850	29.72	n/a	7-Jun	1,555.50	3.0
IVORY CAPITAL	034	TIN	B	150,000	29.68	n/a	7-Jun	7,500.00	5.0
SCOPUS FUND	041	TIN	B	48,500	29.73	n/a	7-Jun	1,940.00	4.0
GEORGE WEISS	034	TISI	B	10,000	21.30	n/a	n/a	300.00	3.0
PIONEER PATH	028	TXN	B	131,169	33.45	n/a	n/a	3,935.07	3.0
PIONEER OAKRIDGE	031	UTX	S	935	83.67	n/a	n/a	18.70	2.0
TRUST CO/COWEN/CALF.	040	VLO	B	137,000	25.71	n/a	n/a	6,850.00	5.0
PIONEER OAKRIDGE	031	V	S	640	79.72	n/a	11-May	12.80	2.0
KACELA CAPITAL	034	XRT	B	30,000	51.11	n/a	n/a	900.00	3.0
<b>TOTAL (Trade Date):</b>								<b>100,661.50</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/06	BALLAST CAP (BALLJPMPB)	040	MOS	S	6,300	67.36	n/a	n/a	189.00 3.0
AO,CRT	06/06	BALLAST CAP (BALLJPMPB)	040	MOS	S	6,300	67.36	n/a	n/a	315.00 5.0
AO,CXL	06/06	DAWSON CAPITAL MGMT. (DAWC2RGN67)	085	SBUX	S	9,430	36.10	n/a	28-Apr	471.50 5.0
AO,	06/06	DAWSON CAPITAL MGMT. (DAWC2RGN76)	085	SBUX	S	9,430	36.10	n/a	28-Apr	471.50 5.0
AO,CXL	06/06	DAWSON CAPITAL MGMT. (DAWC2RGN67)	085	TEVA	S	8,100	50.00	n/a	6-Jun	405.00 5.0
AO,	06/06	DAWSON CAPITAL MGMT. (DAWC2RGN76)	085	TEVA	S	8,100	50.00	n/a	6-Jun	405.00 5.0
CRT	06/07	BNP PARIBAS SEC (BNPPMAIN)	040	TIN	B	50,000	29.75	n/a	7-Jun	2500.00 5.0
AO,CXL	06/06	HALCYON LLC (HALCGSPB)	041	XCO	S	1,309	19.08	n/a	n/a	0.00 0.0
AO,	06/06	HALCYON LLC (HALCGSPB)	041	XCO	S	1,309	19.08	n/a	n/a	39.27 3.0
AO,CXL	06/06	HALCYON LLC (HALCSBSHPB)	041	XCO	S	6,530	19.08	n/a	n/a	0.00 0.0
AO,	06/06	HALCYON LLC (HALCSBSHPB)	041	XCO	S	6,530	19.08	n/a	n/a	195.90 3.0
AO,CXL	06/06	HALCYON LLC (HALCDBSI)	041	XCO	S	13,444	19.08	n/a	n/a	0.00 0.0
AO,	06/06	HALCYON LLC (HALCDBSI)	041	XCO	S	13,444	19.08	n/a	n/a	403.32 3.0
AO,CXL	06/06	HALCYON LLC (HALCMERR)	041	XCO	S	78,717	19.08	n/a	n/a	0.00 0.0
AO,	06/06	HALCYON LLC (HALCMERR)	041	XCO	S	78,717	19.08	n/a	n/a	2361.51 3.0

**TOTAL (AO, CXL, CRT) :****5,626.00**

TOTAL (Trade Date) :

100,661.50

TOTAL (AO, CXL, CRT) :

5,626.00

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TOTAL (RUN DATE) / NFS:

106,287.50

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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