

## **Daily Compliance Activity Report** Trade Date: 12/31/2008

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
	PIONEER OAKRIDGE	031	AAPL	S	1,515	86.73	n/a	n/a	30.30	2.0
	PIONEER OAKRIDGE	031	ABT	S	4,075	53.29	n/a	22-Apr	81.50	2.0
	PIONEER OAKRIDGE	031	ADBE	S	4,930	21.38	n/a	n/a	98.60	2.0
	PIONEER OAKRIDGE	031	AFL	S	4,305	45.74	n/a	n/a	86.10	2.0
	PIONEER OAKRIDGE	031	AGN	S	3,035	39.85	24-Oct	30-Dec	60.70	2.0
õ	Steven Maguire		AG	s	7500	23.7000	15-Dec	19-Dec	0.00	0.0
	PIONEER OAKRIDGE	031	АРН	S	1,475	24.15	n/a	n/a	29.50	2.0
	MERRILL ASSET	032	ARE	В	20,000	57.87	n/a	n/a	1,000.00	5.0
	PIONEER OAKRIDGE	031	ВВУ	S	3,645	28.24	n/a	27-Jul	72.90	2.0
	PIONEER OAKRIDGE	031	BDX	S	3,445	68.53	n/a	22-Apr	68.90	2.0
	LEDDY	035	BONT	S	300	1.00	n/a	5-Dec	0.00	0.0
	MERRILL ASSET	032	BXS	S	50,000	22.64	n/a	n/a	2,250.00	4.5
	PIONEER OAKRIDGE	031	CELG	S	2,805	54.96	n/a	n/a	56.10	2.0
	PIONEER OAKRIDGE	031	CME	S	195	205.50	n/a	12-Dec	3.90	2.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. (	Shr.
	PIONEER OAKRIDGE	031	CSCO	S	11,910	16.40	n/a	22-Mar	238.20	2.0
	MERRILL ASSET	032	CTX	S	96,300	10.56	n/a	n/a	4,333.50	4.5
	MERRILL ASSET	032	DAL	В	9,000	10.97	n/a	n/a	405.00	4.5
õ	Steven Maguire		DE	В	5000	38.5400	8-Dec	8-Dec	0.00	0.0
	PIONEER OAKRIDGE	031	DHR	S	2,705	56.37	n/a	n/a	54.10	2.0
	ASCEND PARTNERS	033	DKS	SS	25,000	13.80	7-0ct	12-Dec	1,250.00	5.0
	PIONEER OAKRIDGE	031	DNA	S	2,275	82.53	n/a	n/a	45.50	2.0
	PIONEER OAKRIDGE	031	ECL	S	3 <b>,</b> 685	35.37	10-Nov	13-Nov	73.70	2.0
	CUMBERLAND	038	EXH	В	50,000	21.31	n/a	16-Dec	2,000.00	4.0
	MERRILL ASSET	032	GES	В	2,500	15.42	n/a	n/a	112.50	4.5
	PIONEER OAKRIDGE	031	GILD	S	3 <b>,</b> 720	51.35	n/a	n/a	74.40	2.0
	WEISS PECK	040	GIL	S	5,200	11.43	11-Dec	12-Dec	260.00	5.0
	PIONEER OAKRIDGE	031	GOOG	S	585	309.68	n/a	n/a	11.70	2.0
	MERRILL ASSET	032	HBI	В	34,100	12.72	n/a	n/a	1,534.50	4.5
	PIONEER OAKRIDGE	031	НК	S	1,120	15.33	n/a	n/a	22.40	2.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Chm
	Account	KK #	Symbol	Б/ 5	Shares	Price	MKI	Research	Conun . Y	/SHE.
	PIONEER OAKRIDGE	031	HOLX	S	5,500	12.96	n/a	n/a	110.00	2.0
	PIONEER OAKRIDGE	031	HPQ	S	4,145	36.53	n/a	n/a	82.90	2.0
	PIONEER OAKRIDGE	031	HSIC	S	3,210	36.59	n/a	n/a	64.20	2.0
	PIONEER OAKRIDGE	031	ICE	S	1,375	80.60	n/a	n/a	27.50	2.0
	PIONEER OAKRIDGE	031	INTC	S	8,775	14.79	n/a	n/a	175.50	2.0
	PIONEER OAKRIDGE	031	IRM	S	3,765	23.61	n/a	n/a	75.30	2.0
	PIONEER OAKRIDGE	031	IVZ	S	8,250	14.20	13-Nov	19-Dec	165.00	2.0
	PIONEER OAKRIDGE	031	JCI	S	5,100	18.27	11-Dec	11-Dec	102.00	2.0
	MERRILL ASSET	032	КВН	S	70,000	13.21	n/a	n/a	3,150.00	4.5
	PIONEER OAKRIDGE	031	KR	S	2,620	25.81	n/a	n/a	52.40	2.0
	MERRILL ASSET	032	LEN	S	50,000	8.52	n/a	n/a	2,250.00	4.5
	DISIPLINED GROWTH INV.	030	LF	В	13,600	3.48	n/a	n/a	272.00	2.0
õ	Steven Maguire		LM	s	2500 2	1.6000	29-Oct	19-Dec	0.00	0.0
	PIONEER OAKRIDGE	031	MON	S	710	69.95	n/a	5-Nov	14.20	2.0
	PIONEER OAKRIDGE	031	MSFT	S	7,590	19.52	n/a	3-Apr	151.80	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
SCOPUS FUND	041	MW	SS	5,000	13.35	n/a	n/a	250.00	5.0
SCOPUS FUND	041	NKE	S	13,500	49.80	n/a	n/a	675.00	5.0
CENTURION GLOBAL MGMT LL	041	NTAP	В	23,100	14.07	n/a	n/a	693.00	3.0
BMO NESBITT BURNS	041	OI	SS	23,000	27.33	n/a	n/a	690.00	3.0
PIONEER OAKRIDGE	031	PCP	S	1,340	59.99	n/a	n/a	26.80	2.0
PIONEER OAKRIDGE	031	PEP	S	3,500	55.04	n/a	n/a	70.00	2.0
PIONEER OAKRIDGE	031	PG	S	4,020	61.32	10-Oct	12-Dec	80.40	2.0
PIONEER OAKRIDGE	031	PX	S	750	59.23	n/a	10-Dec	15.00	2.0
PIONEER OAKRIDGE	031	QCOM	S	6,890	35.97	n/a	n/a	137.80	2.0
CENTURION GLOBAL MGMT LL	041	QLD	S	86,000	27.21	n/a	n/a	2,580.00	3.0
PIONEER OAKRIDGE	031	RIG	S	1,505	47.22	n/a	n/a	30.10	2.0
PIONEER OAKRIDGE	031	RTN	S	3,930	50.96	n/a	n/a	78.60	2.0
PIONEER OAKRIDGE	031	SAP	S	3,460	36.21	n/a	n/a	69.20	2.0
PIONEER OAKRIDGE	031	SCHW	S	8,485	15.66	n/a	n/a	169.70	2.0
BULL PATH CAPITAL	044	SLB	S	25,000	42.26	n/a	n/a	1,250.00	5.0
	SCOPUS FUND  SCOPUS FUND  CENTURION GLOBAL MGMT LL  BMO NESBITT BURNS  PIONEER OAKRIDGE  PIONEER OAKRIDGE  PIONEER OAKRIDGE  PIONEER OAKRIDGE  CENTURION GLOBAL MGMT LL  PIONEER OAKRIDGE  PIONEER OAKRIDGE  PIONEER OAKRIDGE  PIONEER OAKRIDGE  PIONEER OAKRIDGE  PIONEER OAKRIDGE	SCOPUS FUND 041  SCOPUS FUND 041  CENTURION GLOBAL MGMT LL 041  BMO NESBITT BURNS 041  PIONEER OAKRIDGE 031  PIONEER OAKRIDGE 031  PIONEER OAKRIDGE 031  PIONEER OAKRIDGE 031  CENTURION GLOBAL MGMT LL 041  PIONEER OAKRIDGE 031  PIONEER OAKRIDGE 031	SCOPUS FUND  SCOPUS FUND  O41  NKE  CENTURION GLOBAL MGMT LL  BMO NESBITT BURNS  O41  PIONEER OAKRIDGE  PIONEER OAKRIDGE  PIONEER OAKRIDGE  PIONEER OAKRIDGE  O31  PEP  PIONEER OAKRIDGE  O31  PX  PIONEER OAKRIDGE  O31  PX  PIONEER OAKRIDGE  O31  PX  PIONEER OAKRIDGE  O31  RIG  PIONEER OAKRIDGE  O31  RIG  PIONEER OAKRIDGE  O31  RIG  PIONEER OAKRIDGE  O31  SAP  PIONEER OAKRIDGE  O31  SCHW	SCOPUS FUND  SCOPUS FUND  O41  MW  SS  CENTURION GLOBAL MGMT LL  BMO NESBITT BURNS  O41  O1  SS  PIONEER OAKRIDGE  O31  PEP  S  PIONEER OAKRIDGE  O31  PG  S  PIONEER OAKRIDGE  O31  PG  S  PIONEER OAKRIDGE  O31  PX  S  PIONEER OAKRIDGE  O31  PX  S  CENTURION GLOBAL MGMT LL  O41  QLD  S  PIONEER OAKRIDGE  O31  RIG  S  PIONEER OAKRIDGE  O31  RIN  S  PIONEER OAKRIDGE  O31  SAP  S  PIONEER OAKRIDGE  O31  SCHW  S	SCOPUS FUND         041         MW         SS         5,000           SCOPUS FUND         041         NKE         S         13,500           CENTURION GLOBAL MGMT LL         041         NTAP         B         23,100           BMO NESBITT BURNS         041         OI         SS         23,000           PIONEER OAKRIDGE         031         PCP         S         1,340           PIONEER OAKRIDGE         031         PEP         S         3,500           PIONEER OAKRIDGE         031         PG         S         4,020           PIONEER OAKRIDGE         031         PX         S         750           PIONEER OAKRIDGE         031         QCOM         S         6,890           CENTURION GLOBAL MGMT LL         041         QLD         S         86,000           PIONEER OAKRIDGE         031         RIG         S         1,505           PIONEER OAKRIDGE         031         RTN         S         3,930           PIONEER OAKRIDGE         031         SAP         S         3,460           PIONEER OAKRIDGE         031         SCHW         S         8,485	SCOPUS FUND         041         MW         SS         5,000         13.35           SCOPUS FUND         041         NKE         S         13,500         49.80           CENTURION GLOBAL MGMT LL         041         NTAP         B         23,100         14.07           BMO NESBITT BURNS         041         OI         SS         23,000         27.33           PIONEER OAKRIDGE         031         PCP         S         1,340         59.99           PIONEER OAKRIDGE         031         PEP         S         3,500         55.04           PIONEER OAKRIDGE         031         PG         S         4,020         61.32           PIONEER OAKRIDGE         031         PX         S         750         59.23           PIONEER OAKRIDGE         031         QCOM         S         6,890         35.97           CENTURION GLOBAL MGMT LL         041         QLD         S         86,000         27.21           PIONEER OAKRIDGE         031         RIG         S         1,505         47.22           PIONEER OAKRIDGE         031         RIN         S         3,930         50.96           PIONEER OAKRIDGE         031         SAP         S <td< td=""><td>SCOPUS FUND         041         MW         SS         5,000         13.35         n/a           SCOPUS FUND         041         NKE         S         13,500         49.80         n/a           CENTURION GLOBAL MGMT LL         041         NTAP         B         23,100         14.07         n/a           BMO NESBITT BURNS         041         OI         SS         23,000         27.33         n/a           PIONEER OAKRIDGE         031         PCP         S         1,340         59.99         n/a           PIONEER OAKRIDGE         031         PEP         S         3,500         55.04         n/a           PIONEER OAKRIDGE         031         PG         S         4,020         61.32         10-Oct           PIONEER OAKRIDGE         031         PX         S         750         59.23         n/a           PIONEER OAKRIDGE         031         QCOM         S         6,890         35.97         n/a           PIONEER OAKRIDGE         031         RIG         S         86,000         27.21         n/a           PIONEER OAKRIDGE         031         RIG         S         3,930         50.96         n/a           PIONEER OAKRIDGE</td><td>SCOPUS FUND         041         MW         SS         5,000         13.35         n/a         n/a           SCOPUS FUND         041         NKE         S         13,500         49.80         n/a         n/a           CENTURION GLOBAL MGMT LL         041         NTAP         B         23,100         14.07         n/a         n/a           BMO NESBITT BURNS         041         OI         SS         23,000         27.33         n/a         n/a           PIONEER OAKRIDGE         031         PCP         S         1,340         59.99         n/a         n/a           PIONEER OAKRIDGE         031         PEP         S         3,500         55.04         n/a         n/a           PIONEER OAKRIDGE         031         PX         S         750         59.23         n/a         10-Dec           PIONEER OAKRIDGE         031         PX         S         6,890         35.97         n/a         n/a           CENTURION GLOBAL MGMT LL         041         QLD         S         86,000         27.21         n/a         n/a           PIONEER OAKRIDGE         031         RIG         S         1,505         47.22         n/a         n/a</td><td>SCOPUS FUND         041         MW         SS         5,000         13.35         n/a         n/a         250.00           SCOPUS FUND         041         NKE         S         13,500         49.80         n/a         n/a         675.00           CENTURION GLOBAL MGMT LL         041         NTAP         B         23,100         14.07         n/a         n/a         699.00           BMO NESBITT BURNS         041         OI         SS         23,000         27.33         n/a         n/a         699.00           PIONEER OAKRIDGE         031         PCP         S         1,340         59.99         n/a         n/a         26.80           PIONEER OAKRIDGE         031         PEF         S         3,500         55.04         n/a         n/a         70.00           PIONEER OAKRIDGE         031         PX         S         750         59.23         n/a         10-bec         15.00           PIONEER OAKRIDGE         031         PX         S         6,890         35.97         n/a         n/a         137.80           CENTURION GLOBAL MGMT LL         041         QLD         S         86,000         27.21         n/a         n/a         30.10</td></td<>	SCOPUS FUND         041         MW         SS         5,000         13.35         n/a           SCOPUS FUND         041         NKE         S         13,500         49.80         n/a           CENTURION GLOBAL MGMT LL         041         NTAP         B         23,100         14.07         n/a           BMO NESBITT BURNS         041         OI         SS         23,000         27.33         n/a           PIONEER OAKRIDGE         031         PCP         S         1,340         59.99         n/a           PIONEER OAKRIDGE         031         PEP         S         3,500         55.04         n/a           PIONEER OAKRIDGE         031         PG         S         4,020         61.32         10-Oct           PIONEER OAKRIDGE         031         PX         S         750         59.23         n/a           PIONEER OAKRIDGE         031         QCOM         S         6,890         35.97         n/a           PIONEER OAKRIDGE         031         RIG         S         86,000         27.21         n/a           PIONEER OAKRIDGE         031         RIG         S         3,930         50.96         n/a           PIONEER OAKRIDGE	SCOPUS FUND         041         MW         SS         5,000         13.35         n/a         n/a           SCOPUS FUND         041         NKE         S         13,500         49.80         n/a         n/a           CENTURION GLOBAL MGMT LL         041         NTAP         B         23,100         14.07         n/a         n/a           BMO NESBITT BURNS         041         OI         SS         23,000         27.33         n/a         n/a           PIONEER OAKRIDGE         031         PCP         S         1,340         59.99         n/a         n/a           PIONEER OAKRIDGE         031         PEP         S         3,500         55.04         n/a         n/a           PIONEER OAKRIDGE         031         PX         S         750         59.23         n/a         10-Dec           PIONEER OAKRIDGE         031         PX         S         6,890         35.97         n/a         n/a           CENTURION GLOBAL MGMT LL         041         QLD         S         86,000         27.21         n/a         n/a           PIONEER OAKRIDGE         031         RIG         S         1,505         47.22         n/a         n/a	SCOPUS FUND         041         MW         SS         5,000         13.35         n/a         n/a         250.00           SCOPUS FUND         041         NKE         S         13,500         49.80         n/a         n/a         675.00           CENTURION GLOBAL MGMT LL         041         NTAP         B         23,100         14.07         n/a         n/a         699.00           BMO NESBITT BURNS         041         OI         SS         23,000         27.33         n/a         n/a         699.00           PIONEER OAKRIDGE         031         PCP         S         1,340         59.99         n/a         n/a         26.80           PIONEER OAKRIDGE         031         PEF         S         3,500         55.04         n/a         n/a         70.00           PIONEER OAKRIDGE         031         PX         S         750         59.23         n/a         10-bec         15.00           PIONEER OAKRIDGE         031         PX         S         6,890         35.97         n/a         n/a         137.80           CENTURION GLOBAL MGMT LL         041         QLD         S         86,000         27.21         n/a         n/a         30.10

Account PIONEER OAKRIDGE	<b>RR #</b> 031	Symbol SLB	<b>B/S</b>	<b>Shares</b> 2,985	<b>Price</b> 42.05	<b>MRI</b> n/a	<b>Research</b> n/a	<b>Comm.</b> 59.70	
PIONEER OAKRIDGE	031	SPLS	S	,	18.11		27-Jul		
PIONEER OAKRIDGE	031	SWN	S		28.82		19-Dec	63.10	2.0
PIONEER OAKRIDGE	031	SYK	S	2,880	40.09	n/a	n/a	57.60	2.0
LEVIN CAPITAL STRATEGIES	012	TGT	В	49,870	34.60	17-Nov	22-Dec	1,994.80	4.0
PIONEER OAKRIDGE	031	TGT	S	3,455	34.61	17-Nov	22-Dec	69.10	2.0
PIONEER OAKRIDGE	031	TMO	S	4,015	33.95	n/a	n/a	80.30	2.0
PIONEER OAKRIDGE	031	TXN	S	6,800	15.46	n/a	n/a	136.00	2.0
LEVIN CAPITAL STRATEGIES	012	UA	S	45,000	23.89	n/a	29-Oct	1,800.00	4.0
PIONEER OAKRIDGE	031	UTX	S	2 <b>,</b> 875	53.62	n/a	n/a	57.50	2.0
PIONEER OAKRIDGE	031	V	S	1 <b>,</b> 525	51.91	n/a	30-Oct	30.50	2.0
PIONEER OAKRIDGE	031	XTO	S	5 <b>,</b> 870	34.81	n/a	n/a	117.40	2.0

TOTAL (Trade Date): 32,400.30

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
CRT	12/31	CUMBERLAND (CUMBMS04)	038	EXH	В	50,000	21.31	n/a	16-Dec	2000.00	4.0
AO, CRT	•	OTC ERROR (OTC ERROR) OTC ERROR (OTC ERROR)	099 099	PLCE	В	2,205			12-Dec 12-Dec	0.00	0.0

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	32,400.30 2,000.00
TOTAL (RUN DATE) / NFS:	34,400.30

## 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