



## Daily Compliance Activity Report

Trade Date: 11/15/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	115	385.82	n/a	n/a	3.45	3.0
PATTEN & PATTEN	025	AA	S	500	10.34	n/a	n/a	25.00	5.0
NEWLAND CAPITAL MGT	025	ABD	S	15,000	7.25	n/a	n/a	450.00	3.0
PIONEER OAKRIDGE	031	ABT	S	385	54.43	n/a	n/a	11.55	3.0
PIONEER OAKRIDGE	031	AGN	S	335	83.52	n/a	14-Nov	10.05	3.0
PIONEER OAKRIDGE	031	ALTR	S	395	37.34	n/a	n/a	11.85	3.0
PIONEER OAKRIDGE	031	AME	S	515	41.44	n/a	n/a	15.45	3.0
MACQUARIE INVESTMENT MGMT.	040	AMGN	SS	2,500	56.80	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	AMG	S	195	91.23	n/a	2-Mar	5.85	3.0
SENATOR INVESTMENT GROUP	036	APC	S	50,000	80.40	n/a	10-Nov	1,500.00	3.0
DAVIDSON KEMPNER ADVISOR	040	AVY	SS	30,000	26.76	n/a	26-Oct	1,500.00	5.0
BALYASNY ASSET MGMT	044	AXL	SS	25,000	9.10	n/a	31-Oct	1,000.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	30,000	9.05	n/a	31-Oct	900.00	3.0
KACELA CAPITAL	034	AXP	B	42,000	49.99	n/a	15-Nov	1,680.00	4.0
PIONEER OAKRIDGE	031	BAX	S	340	54.06	n/a	n/a	10.20	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
KLEINHEINZ CAP PART	031	BIG	S	50,000	40.88	n/a	3-Nov	2,500.00	5.0	
MERCHANTS GATE CAP LP	036	BKS	SS	90,000	15.53	n/a	n/a	3,600.00	4.0	
KACELA CAPITAL	034	BRCM	B	40,000	35.47	n/a	n/a	1,600.00	4.0	
SENATOR INVESTMENT GROUP	036	BWA	SS	60,000	66.98	n/a	9-Nov	1,800.00	3.0	
NUVEEN – US BANCORP		030	CBZ	S	60,760	5.75	n/a	n/a	2,734.20	4.5
CARDINAL CAPITAL	044	CBZ	S	86,339	5.78	n/a	n/a	2,590.17	3.0	
LOMBARDIA CAP MGMT	084	CBZ	B	104,853	5.77	n/a	n/a	4,194.12	4.0	
TOURMALINE PARTNERS LLC	063	CBZ	S	9,986	5.91	n/a	n/a	299.58	3.0	
PIONEER OAKRIDGE	031	CELG	S	315	65.05	n/a	n/a	9.45	3.0	
PIONEER OAKRIDGE	031	CHKP	S	175	58.12	n/a	n/a	5.25	3.0	
MACQUARIE INVESTMENT MGMT.	040	COV	SS	5,000	48.31	n/a	n/a	0.00	0.0	
HAMILTON CAP PART FIN	031	CRBC	S	8,200	10.04	n/a	n/a	328.00	4.0	
PIONEER OAKRIDGE	031	CTSH	S	175	68.61	n/a	n/a	5.25	3.0	
PIONEER OAKRIDGE	031	CTXS	S	190	75.50	n/a	n/a	5.70	3.0	
PATTEN & PATTEN	025	CVX	S	200	107.22	n/a	n/a	10.00	5.0	
PIONEER OAKRIDGE	031	CXO	S	280	96.47	n/a	n/a	8.40	3.0	
PATTEN & PATTEN	025	DBC	S	600	28.04	n/a	n/a	30.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	DHR	S	615	49.01	n/a	n/a	18.45	3.0
BESSEMER INVESTMENT	085	DIS	S	700	36.20	n/a	n/a	28.00	4.0
BNP PARIBAS SEC	040	DKS	S	45,000	41.27	n/a	14-Nov	2,250.00	5.0
KACELA CAPITAL	034	DKS	B	56,828	40.73	n/a	14-Nov	2,273.12	4.0
PIONEER OAKRIDGE	031	DLTR	S	400	77.93	n/a	19-Oct	12.00	3.0
PIONEER OAKRIDGE	031	DNR	S	885	16.77	n/a	n/a	26.55	3.0
PATTEN & PATTEN	025	DOW	S	500	27.79	n/a	1-Nov	25.00	5.0
SUFFOLK CAPITAL MGMT	040	DSW	S	69,600	49.12	n/a	11-Feb	2,784.00	4.0
PIONEER OAKRIDGE	031	EMC	S	1,440	24.42	n/a	n/a	43.20	3.0
PATTEN & PATTEN	025	EMR	S	200	51.23	n/a	n/a	10.00	5.0
PIONEER OAKRIDGE	031	ESRX	S	465	46.49	n/a	n/a	13.95	3.0
SUFFOLK CAPITAL MGMT	040	FCS	B	204,100	14.29	n/a	n/a	6,123.00	3.0
BASIX	033	FL	S	21,000	22.74	n/a	10-Nov	630.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>30,000</b>	<b>22.68</b>	<b>n/a</b>	<b>10-Nov</b>	<b>900.00</b>	<b>3.0</b>
FIRST NY SEC/CHRIS	041	F	B	50,000	10.87	n/a	2-Nov	2,500.00	5.0
OZ MGMT	040	F	SS	100,000	10.94	n/a	2-Nov	3,000.00	3.0
PIONEER OAKRIDGE	031	GILD	S	575	40.49	n/a	n/a	17.25	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	GM	B	176,085	23.42	n/a	10-Nov	5,282.55	3.0
OZ MGMT	040	GM	SS	50,000	22.91	n/a	10-Nov	1,500.00	3.0
COLUMBUS CIRCLE	036	GNC	B	3,300	26.95	n/a	n/a	132.00	4.0
PIONEER OAKRIDGE	031	GOOG	S	40	613.85	n/a	n/a	1.20	3.0
PIONEER OAKRIDGE	031	GS	S	135	98.50	n/a	8-Nov	4.05	3.0
PIONEER OAKRIDGE	031	HAL	S	390	38.39	n/a	n/a	11.70	3.0
PATTEN & PATTEN	025	IBM	S	50	188.87	n/a	n/a	2.50	5.0
PIONEER OAKRIDGE	031	IBM	S	305	187.15	n/a	n/a	9.15	3.0
PIONEER OAKRIDGE	031	ICE	S	150	126.64	n/a	n/a	4.50	3.0
TALPION LLC	040	IFF	SS	10,000	54.02	n/a	8-Nov	400.00	4.0
PATTEN & PATTEN	025	IJJ	S	250	75.95	n/a	n/a	12.50	5.0
PIONEER OAKRIDGE	031	ISRG	S	30	443.09	n/a	n/a	0.90	3.0
PIONEER OAKRIDGE	031	ITW	S	535	46.19	n/a	26-Oct	16.05	3.0
SANDLER O'NEILL ASSET	031	IYR	SS	40,000	55.53	n/a	n/a	2,000.00	5.0
CHESAPEAKE PARTNERS	028	JAKK	B	9,200	19.00	n/a	n/a	276.00	3.0
PATTEN & PATTEN	025	JCI	S	200	31.61	n/a	27-Oct	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	JCI	S	770	31.25	n/a	27-Oct	23.10	3.0
BESSEMER INVESTMENT	085	JPM	S	250	32.37	n/a	8-Nov	10.00	4.0
PATTEN & PATTEN	025	JPM	S	175	32.71	n/a	8-Nov	8.75	5.0
PIONEER OAKRIDGE	031	JWN	S	515	48.89	n/a	11-Nov	15.45	3.0
BESSEMER INVESTMENT	085	KFT	S	100	35.44	n/a	n/a	4.00	4.0
PLATTE RIVER CAPITAL	240	KFT	B	34,100	35.52	n/a	n/a	1,364.00	4.0
SMITH MGMT LLC	029	LNKD	SS	125,000	74.69	n/a	n/a	3,750.00	3.0
KACELA CAPITAL	034	LRCX	B	55,000	45.37	n/a	n/a	2,200.00	4.0
DISIPLINED GROWTH INV.	030	LTD	B	1,700	43.79	n/a	n/a	85.00	5.0
PATTEN & PATTEN	025	MGU	S	150	16.13	n/a	n/a	7.50	5.0
SANDLER O'NEILL ASSET	031	MS	S	25,000	15.75	n/a	8-Nov	1,250.00	5.0
FORTRESS INVESTMENT (US)	036	MTW	B	40,000	11.69	n/a	26-Oct	1,200.00	3.0
RIDGECREST INV MGMT LLC	028	MTW	B	20,000	11.81	n/a	26-Oct	1,000.00	5.0
PIONEER OAKRIDGE	031	NTAP	S	440	41.92	n/a	n/a	13.20	3.0
BALLAST CAP	040	OI	B	12,300	20.51	n/a	n/a	615.00	5.0
PIONEER OAKRIDGE	031	ORCL	S	905	32.49	n/a	n/a	27.15	3.0
PIONEER OAKRIDGE	031	ORLY	S	310	78.03	n/a	n/a	9.30	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	OXY	S	290	97.03	n/a	n/a	8.70	3.0
COLUMBUS CIRCLE	036	PAY	S	2,400	43.70	n/a	n/a	96.00	4.0
PIONEER OAKRIDGE	031	PCLN	S	40	533.50	n/a	n/a	1.20	3.0
PIONEER OAKRIDGE	031	PCP	S	155	164.20	n/a	28-Oct	4.65	3.0
PIONEER OAKRIDGE	031	PEP	S	385	64.19	n/a	n/a	11.55	3.0
SURVEYOR CAPITAL	041	PFE	SS	25,135	19.87	n/a	n/a	754.05	3.0
LOMBARDIA CAP MGMT	084	PGI	S	13,000	8.55	n/a	n/a	520.00	4.0
BESSEMER INVESTMENT	085	PG	S	200	63.33	n/a	7-Nov	8.00	4.0
PIONEER OAKRIDGE	031	PG	S	350	63.31	n/a	7-Nov	10.50	3.0
PATTEN & PATTEN	025	PHO	S	500	17.07	n/a	n/a	25.00	5.0
PIONEER OAKRIDGE	031	PX	S	230	100.37	n/a	26-Oct	6.90	3.0
DISIPLINED GROWTH INV.	030	RCL	B	1,200	26.51	n/a	n/a	60.00	5.0
DISIPLINED GROWTH INV.	030	RL	B	400	155.24	n/a	11-Nov	20.00	5.0
RIDGECREST INV MGMT LLC	028	RRR	B	5,000	11.26	n/a	21-Oct	250.00	5.0
PIONEER OAKRIDGE	031	RVBD	S	355	29.22	n/a	n/a	10.65	3.0
PIONEER OAKRIDGE	031	SLB	S	230	75.08	n/a	n/a	6.90	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	SWN	S	370	41.31	n/a	10-Nov	11.10	3.0
FIRST NEW YORK LEDDY	035	S	B	30,000	2.92	n/a	n/a	1,200.00	4.0
COLUMBUS CIRCLE	036	TDG	S	1,400	97.84	n/a	n/a	56.00	4.0
PIONEER OAKRIDGE	031	TGT	S	390	52.73	n/a	11-Nov	11.70	3.0
DISIPLINED GROWTH INV.	030	TJX	B	1,800	60.42	n/a	4-Nov	90.00	5.0
PIONEER OAKRIDGE	031	TJX	S	445	60.36	n/a	4-Nov	13.35	3.0
PATTEN & PATTEN	025	TSCO	S	150	74.77	n/a	n/a	7.50	5.0
FORTRESS INVESTMENT (US)	036	TYC	S	16,000	45.92	n/a	19-Sep	640.00	4.0
KACELA CAPITAL	034	URBN	B	80,098	26.91	n/a	n/a	3,203.92	4.0
SUFFOLK CAPITAL MGMT	040	URI	S	12,700	26.59	n/a	n/a	508.00	4.0
PIONEER OAKRIDGE	031	UTX	S	315	78.46	n/a	n/a	9.45	3.0
SURVEYOR CAPITAL	041	UTX	SS	6,323	78.67	n/a	n/a	189.69	3.0
PIONEER OAKRIDGE	031	VFC	S	85	135.35	n/a	25-Oct	2.55	3.0
GALT INVESTMENT	041	VVTV	B	50,000	1.94	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	025	V	S	150	94.96	n/a	27-Oct	7.50	5.0
PIONEER OAKRIDGE	031	V	S	215	94.67	n/a	27-Oct	6.45	3.0
PIONEER OAKRIDGE	031	WAG	S	525	32.59	n/a	n/a	15.75	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	WCC	S	21,000	49.52	n/a	n/a	840.00	4.0
STANDARD PACIFIC CAPITAL	084	WFC	S	100,000	25.32	n/a	8-Nov	5,000.00	5.0
PATTEN & PATTEN	025	WY	S	1,000	16.65	n/a	28-Oct	50.00	5.0
YORK CAPITAL	036	YHOO	B	50,000	15.94	n/a	n/a	1,500.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>86,400.65</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/08	PATTEN & PATTEN (PATTBERSHI)	025	PGN	S	50	53.30	n/a	n/a	2.50	5.0
AO,CXL	11/08	PATTEN & PATTEN (PATTSCWAB)	025	PGN	S	50	53.30	n/a	n/a	2.50	5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	86,400.65
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>86,400.65</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