

Daily Compliance Activity Report Trade Date: 07/14/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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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	В	10,000	1.38	n/a	9-Jul	500.00	5.0
TROUBH PART	067	ВА	S	25,000	40.67	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	040	ВНР	SS	15,000	53.20	n/a	n/a	600.00	4.0
CHILTON CAPITAL MGMT.	036	BID	В	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	В	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	В	10,000	25.41	n/a	n/a	400.00	4.0
KAYNE ANDERSON ADV	048	CRR	В	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	В	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	В	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	В	15,000	15.55	n/a	n/a	750.00	5.0
	COUGAR TRADING PIONEER OAKRIDGE PIONEER OAKRIDGE PIONEER OAKRIDGE JP MORGAN VENTURES STADIA CAPITAL RBC CAPITAL MARKETS KAYNE ANDERSON ADV PIONEER OAKRIDGE PIONEER OAKRIDGE 1798 CAPITAL MGMT PIONEER OAKRIDGE FIRST NEW YORK LEDDY PHILADELPHIA FINANCIAL	COUGAR TRADING 044 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 JP MORGAN VENTURES 046 STADIA CAPITAL 035 RBC CAPITAL MARKETS 040 KAYNE ANDERSON ADV 048 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 1798 CAPITAL MGMT 040 PIONEER OAKRIDGE 031 FIRST NEW YORK LEDDY 035 PHILADELPHIA FINANCIAL 033	COUGAR TRADING 044 BKC PIONEER OAKRIDGE 031 CELG PIONEER OAKRIDGE 031 CHD PIONEER OAKRIDGE 031 CHSI JP MORGAN VENTURES 046 COP STADIA CAPITAL 035 COST RBC CAPITAL MARKETS 040 CPO KAYNE ANDERSON ADV 048 CRR PIONEER OAKRIDGE 031 CSCO PIONEER OAKRIDGE 031 DHR 1798 CAPITAL MGMT 040 EBAY PIONEER OAKRIDGE 031 ECL FIRST NEW YORK LEDDY 035 ETFC PHILADELPHIA FINANCIAL 033 EV	COUGAR TRADING 044 BKC S PIONEER OAKRIDGE 031 CELG S PIONEER OAKRIDGE 031 CHD S PIONEER OAKRIDGE 031 CHSI S JP MORGAN VENTURES 046 COP B STADIA CAPITAL 035 COST SS RBC CAPITAL MARKETS 040 CPO B KAYNE ANDERSON ADV 048 CRR B PIONEER OAKRIDGE 031 CSCO S PIONEER OAKRIDGE 031 DHR S 1798 CAPITAL MGMT 040 EBAY B PIONEER OAKRIDGE 031 ECL S FIRST NEW YORK LEDDY 035 ETFC B PHILADELPHIA FINANCIAL 033 EV SS	COUGAR TRADING 044 BKC S 15,000 PIONEER OAKRIDGE 031 CELG S 60 PIONEER OAKRIDGE 031 CHD S 85 PIONEER OAKRIDGE 031 CHSI S 90 JP MORGAN VENTURES 046 COP B 10,000 STADIA CAPITAL 035 COST SS 13,800 RBC CAPITAL MARKETS 040 CPO B 10,000 KAYNE ANDERSON ADV 048 CRR B 12,060 PIONEER OAKRIDGE 031 CSCO S 250 PIONEER OAKRIDGE 031 DHR S 65 1798 CAPITAL MGMT 040 EBAY B 25,000 PIONEER OAKRIDGE 031 ECL S 70 FIRST NEW YORK LEDDY 035 ETFC B 20,000 PHILADELPHIA FINANCIAL 033 EV SS 35,300	COUGAR TRADING 044 BKC S 15,000 15.88 PIONEER OAKRIDGE 031 CELG S 60 46.20 PIONEER OAKRIDGE 031 CHD S 85 54.30 PIONEER OAKRIDGE 031 CHSI S 90 24.54 JP MORGAN VENTURES 046 COP B 10,000 40.63 STADIA CAPITAL 035 COST SS 13,800 44.94 RBC CAPITAL MARKETS 040 CPO B 10,000 25.41 KAYNE ANDERSON ADV 048 CRR B 12,060 36.70 PIONEER OAKRIDGE 031 CSCO S 250 18.74 PIONEER OAKRIDGE 031 DHR S 65 59.28 1798 CAPITAL MGMT 040 EBAY B 25,000 16.86 PIONEER OAKRIDGE 031 ECL S 70 37.81 FIRST NEW YORK LEDDY 035 ETFC B 20,000 1.20 PHILADELPHIA FINANCIAL 033 EV SS 35,300 24.65	COUGAR TRADING 044 BKC S 15,000 15.88 16-Apr PIONEER OAKRIDGE 031 CELG S 60 46.20 n/a PIONEER OAKRIDGE 031 CHD S 85 54.30 27-Apr PIONEER OAKRIDGE 031 CHSI S 90 24.54 n/a JP MORGAN VENTURES 046 COP B 10,000 40.63 n/a STADIA CAPITAL 035 COST SS 13,800 44.94 n/a REC CAPITAL MARKETS 040 CPO B 10,000 25.41 n/a KAYNE ANDERSON ADV 048 CRR B 12,060 36.70 1-May PIONEER OAKRIDGE 031 CSCO S 250 18.74 n/a PIONEER OAKRIDGE 031 DHR S 65 59.28 n/a 1798 CAPITAL MGMT 040 EBAY B 25,000 16.86 n/a PIONEER OAKRIDGE 031 ECL S 70 37.81 28-Apr FIRST NEW YORK LEDDY 035 ETFC B 20,000 1.20 n/a PHILADELPHIA FINANCIAL 033 EV SS 35,300 24.65 19-May	COUGAR TRADING 044 BKC S 15,000 15.88 16-Apr 10-Jul PIONEER OAKRIDGE 031 CELG S 60 46.20 n/a n/a PIONEER OAKRIDGE 031 CHD S 85 54.30 27-Apr 14-May PIONEER OAKRIDGE 031 CHSI S 90 24.54 n/a n/a JP MORGAN VENTURES 046 COP B 10,000 40.63 n/a n/a STADIA CAPITAL 035 COST SS 13,800 44.94 n/a 27-Jul REC CAPITAL MARKETS 040 CPO B 10,000 25.41 n/a n/a KAYNE ANDERSON ADV 048 CRR B 12,060 36.70 1-May 1-Jul PIONEER OAKRIDGE 031 CSCO S 250 18.74 n/a 22-Mar PIONEER OAKRIDGE 031 DHR S 65 59.28 n/a n/a 1798 CAPITAL MGMT 040 EBAY B 25,000 16.86 n/a n/a PIONEER OAKRIDGE 031 ECL S 70 37.81 28-Apr 2-Jul FIRST NEW YORK LEDDY 035 ETFC B 20,000 1.20 n/a n/a PHILADELPHIA FINANCIAL 033 EV SS 35,300 24.65 19-May 14-Jul	COUGAR TRADING 044 BKC S 15,000 15.88 16-Apr 10-Jul 750.00 PIONEER OAKRIDGE 031 CELG S 60 46.20 n/a n/a 1.20 PIONEER OAKRIDGE 031 CHD S 85 54.30 27-Apr 14-May 1.70 PIONEER OAKRIDGE 031 CHSI S 90 24.54 n/a n/a 1.80 JP MORGAN VENTURES 046 COP B 10,000 40.63 n/a n/a 500.00 STADIA CAPITAL 035 COST SS 13,800 44.94 n/a 27-Jul 552.00 RBC CAPITAL MARKETS 040 CPO B 10,000 25.41 n/a n/a 400.00 KAYNE ANDERSON ADV 048 CRR B 12,060 36.70 1-May 1-Jul 482.40 PIONEER OAKRIDGE 031 CSCO S 250 18.74 n/a 22-Mar 5.00 PIONEER OAKRIDGE 031 DHR S 65 59.28 n/a n/a 1.30 1798 CAPITAL MGMT 040 EBAY B 25,000 16.86 n/a n/a 1,250.00 PIONEER OAKRIDGE 031 ECL S 70 37.81 28-Apr 2-Jul 1.40 FIRST NEW YORK LEDDY 035 ETFC B 20,000 1.20 n/a n/a 1,000.00 PHILADELPHIA FINANCIAL 033 EV SS 35,300 24.65 19-May 14-Jul 1,412.00

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	В	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	НК	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	В	25 , 000	103.25	n/a	n/a	1,000.00	4.0
PIONEER OAKRIDGE	031	IBM	S		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	В	607,240	15.21	23-Jun	23-Jun	24,289.60	4.0
RBC CAPITAL MARKETS	040	IP	В	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	В	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	В	23,800	47.79	n/a	n/a	952.00	4.0
RBC CAPITAL MARKETS	040	K	В	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	В	16,200	16.01	n/a	n/a	729.00	4.5
HIGHBRIDGE CAPITAL	038	МОН	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	В	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	В	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	В	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
	PIONEER OAKRIDGE PIONEER OAKRIDGE PIONEER OAKRIDGE CSFB GLOBAL PROPRIETARY PIONEER OAKRIDGE PIONEER OAKRIDGE ROTHSCHILD ASSET PIONEER OAKRIDGE PIONEER OAKRIDGE PIONEER OAKRIDGE PIONEER OAKRIDGE GRANITE CAPITAL DECADE CAPITAL PARTNERS	PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 CSFB GLOBAL PROPRIETARY 041 PIONEER OAKRIDGE 031 PIONEER OAKRIDGE 031 ROTHSCHILD ASSET 040 PIONEER OAKRIDGE 031 GRANITE CAPITAL MGMT 040 DECADE CAPITAL PARTNERS 040	PIONEER OAKRIDGE 031 PCP PIONEER OAKRIDGE 031 PEP PIONEER OAKRIDGE 031 PG CSFB GLOBAL PROPRIETARY 041 PKG PIONEER OAKRIDGE 031 PWR PIONEER OAKRIDGE 031 QCOM ROTHSCHILD ASSET 040 RAH PIONEER OAKRIDGE 031 RMD PIONEER OAKRIDGE 031 RTN PIONEER OAKRIDGE 031 SAP 1798 CAPITAL MGMT 040 SBUX PIONEER OAKRIDGE 031 SCHW GRANITE CAPITAL 045 SHPGY	PIONEER OAKRIDGE 031 PCP S PIONEER OAKRIDGE 031 PEP S PIONEER OAKRIDGE 031 PG S CSFB GLOBAL PROPRIETARY 041 PKG B PIONEER OAKRIDGE 031 PWR S PIONEER OAKRIDGE 031 QCOM S ROTHSCHILD ASSET 040 RAH S PIONEER OAKRIDGE 031 RMD S PIONEER OAKRIDGE 031 RMD S PIONEER OAKRIDGE 031 RTN S PIONEER OAKRIDGE 031 SAP S 1798 CAPITAL MGMT 040 SBUX B PIONEER OAKRIDGE 031 SCHW S GRANITE CAPITAL 045 SHPGY S	PIONEER OAKRIDGE 031 PCP S 30 PIONEER OAKRIDGE 031 PEP S 65 PIONEER OAKRIDGE 031 PG S 90 CSFB GLOBAL PROPRIETARY 041 PKG B 15,000 PIONEER OAKRIDGE 031 PWR S 130 PIONEER OAKRIDGE 031 QCOM S 140 ROTHSCHILD ASSET 040 RAH S 16,485 PIONEER OAKRIDGE 031 RMD S 70 PIONEER OAKRIDGE 031 RTN S 60 PIONEER OAKRIDGE 031 SAP S 75 1798 CAPITAL MGMT 040 SBUX B 50,000 PIONEER OAKRIDGE 031 SCHW S 180 GRANITE CAPITAL 045 SHPGY S 25,000 DECADE CAPITAL PARTNERS 040 SJM S 23,400	PIONEER OAKRIDGE 031 PCP S 30 73.22 PIONEER OAKRIDGE 031 PEP S 65 55.80 PIONEER OAKRIDGE 031 PG S 90 53.39 CSFB GLOBAL PROPRIETARY 041 PKG B 15,000 16.13 PIONEER OAKRIDGE 031 PWR S 130 20.37 PIONEER OAKRIDGE 031 QCOM S 140 44.34 ROTHSCHILD ASSET 040 RAH S 16,485 61.42 PIONEER OAKRIDGE 031 RMD S 70 39.59 PIONEER OAKRIDGE 031 RTN S 60 43.98 PIONEER OAKRIDGE 031 SAP S 75 40.55 1798 CAPITAL MGMT 040 SBUX B 50,000 14.10 PIONEER OAKRIDGE 031 SCHW S 180 17.33 GRANITE CAPITAL 045 SHPGY S 25,000	PIONEER OAKRIDGE 031 PCP S 30 73.22 n/a PIONEER OAKRIDGE 031 PEP S 65 55.80 n/a PIONEER OAKRIDGE 031 PG S 90 53.39 5-Jun CSFB GLOBAL PROPRIETARY 041 PKG B 15,000 16.13 8-Apr PIONEER OAKRIDGE 031 PWR S 130 20.37 n/a PIONEER OAKRIDGE 031 QCOM S 140 44.34 n/a ROTHSCHILD ASSET 040 RAH S 16,485 61.42 n/a PIONEER OAKRIDGE 031 RMD S 70 39.59 n/a PIONEER OAKRIDGE 031 RTN S 60 43.98 n/a PIONEER OAKRIDGE 031 SAP S 75 40.55 n/a 1798 CAPITAL MGMT 040 SBUX B 50,000 14.10 20-Apr PIONEER OAKRIDGE 031 SCHW S 180 17.33 n/a GRANITE CAPITAL 045 SHPGY S 25,000 40.63 20-Feb DECADE CAPITAL PARTNERS 040 SJM S 23,400 48.77 n/a	PIONEER OAKRIDGE 031 PCP S 30 73.22 n/a n/a PIONEER OAKRIDGE 031 PEP S 65 55.80 n/a n/a PIONEER OAKRIDGE 031 PG S 90 53.39 5-Jun 5-Jun CSFB GLOBAL PROPRIETARY 041 PKG B 15,000 16.13 8-Apr 23-Jun PIONEER OAKRIDGE 031 PWR S 130 20.37 n/a n/a ROTHSCHILD ASSET 040 RAH S 16,485 61.42 n/a n/a PIONEER OAKRIDGE 031 RMD S 70 39.59 n/a n/a PIONEER OAKRIDGE 031 RTN S 60 43.98 n/a n/a PIONEER OAKRIDGE 031 SAP S 75 40.55 n/a n/a PIONEER OAKRIDGE 031 SCHW S 180 17.33 n/a n/a PIONEER	PIONEER OAKRIDGE 031 PEP S 30 73.22 n/a n/a 0.60 PIONEER OAKRIDGE 031 PEP S 65 55.80 n/a n/a 1.30 PIONEER OAKRIDGE 031 PEP S 90 53.39 5-Jun 5-Jun 1.80 CSFB GLOBAL PROPRIETARY 041 PKG B 15,000 16.13 8-Apx 23-Jun 750.00 PIONEER OAKRIDGE 031 PWR S 130 20.37 n/a n/a 2.60 PIONEER OAKRIDGE 031 CCOM S 140 44.34 n/a n/a 2.60 ROTHSCHILD ASSET 040 RAH S 16,485 61.42 n/a n/a 741.86 PIONEER OAKRIDGE 031 RMD S 70 39.59 n/a n/a n/a 1.40 PIONEER OAKRIDGE 031 RTN S 60 43.98 n/a n/a 1.20 PIONEER OAKRIDGE 031 SAP S 75 40.55 n/a n/a 1.50 1798 CAPITAL MCMT 040 SBUX B 50,000 14.10 20-Apr 14-Jul 2,500.00 PIONEER OAKRIDGE 031 SCHW S 180 17.33 n/a n/a 3.60 GRANITE CAPITAL DASS SHPGY S 25,000 40.63 20-Feb 14-Jul 1,250.00 DECADE CAPITAL PARTNERS 040 SJM S 23,400 48.77 n/a n/a 936.00

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	В	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	В	15,000	12.77	9-Jul	9-Jul	750.00	5.0
RBC CAPITAL MARKETS	040	TIN	В	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	С	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	В	79 , 586	16.02	8-Apr	23-Jun	2387.58	3.0
AO,	07/13	OZ MGMT (OZFFCSFB)	040	PKG	В	3 , 799	16.02	8-Apr	23-Jun	113.97	3.0
AO,	07/13	OZ MGMT (OZFFMS)	040	PKG	В	2,638	16.02	8-Apr	23-Jun	79.14	3.0
AO,	07/13	OZ MGMT (OZFFGS)	040	PKG	В	12,090	16.02	8-Apr	23-Jun	362.70	3.0
AO,	07/13	OZ MGMT (OZFFGS)	040	PKG	В	1,887	16.02	8-Apr	23-Jun	56.61	3.0
AO,CXL	07/13	JP MORGAN VENTURES (JPMVJPM)	046	USO	В	6,600	31.66	n/a	n/a	330.00	5.0
O, CRT	07/13	JP MORGAN VENTURES (JPMVJPM)	046	USO	В	6,600	31.66	n/a	n/a	198.00	3.0

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

Legend:

O: 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