



Daily Compliance Activity Report

Trade Date: 06/23/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|-----|--------|-----|--------|--------|--------|----------|--------------|-----|
| MELLON/BANK OF NEW YORK | 046 | AAPL | S | 19,288 | 134.38 | n/a | n/a | 964.40 | 5.0 |
| PIONEER OAKRIDGE | 031 | AAPL | S | 30 | 133.80 | n/a | n/a | 0.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | ABT | S | 90 | 46.76 | n/a | 22-Apr | 1.80 | 2.0 |
| MELLON/BANK OF NEW YORK | 046 | ACN | S | 11,105 | 31.23 | n/a | n/a | 555.25 | 5.0 |
| PIONEER OAKRIDGE | 031 | ACV | B | 500 | 25.20 | 29-May | 29-May | 10.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | ADBE | S | 115 | 27.74 | n/a | n/a | 2.30 | 2.0 |
| PIONEER OAKRIDGE | 031 | ADS | S | 65 | 40.53 | n/a | n/a | 1.30 | 2.0 |
| COUGAR TRADING | 044 | AEO | B | 5,000 | 13.67 | 20-Apr | 5-Jun | 250.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | AEO | B | 50,000 | 13.17 | 20-Apr | 5-Jun | 2,500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | AGN | S | 80 | 45.00 | 24-Mar | 23-Jun | 1.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | AIR | B | 1,000 | 16.68 | n/a | n/a | 20.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | AMG | S | 30 | 53.70 | 5-Jun | 17-Jun | 0.60 | 2.0 |
| CHILTON CAPITAL MGMT. | 036 | ANR | S | 71,125 | 24.39 | n/a | n/a | 2,133.75 | 3.0 |
| PIONEER OAKRIDGE | 031 | ANSS | S | 115 | 30.41 | n/a | n/a | 2.30 | 2.0 |
| MORGAN BANK /JPM | 070 | APD | S | 4,720 | 62.16 | n/a | 22-Apr | 141.60 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| PIONEER OAKRIDGE | 031 | ARG | S | 90 | 39.85 | 23-Mar | 6-May | 1.80 | 2.0 |
| BUCK CAPITAL MGMT | 001 | ARO | B | 40,000 | 33.00 | n/a | 5-Jun | 1,600.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ARO | B | 10,000 | 32.62 | n/a | 5-Jun | non-brg | 1.0 |
| DIAMONDBACK CAP MGMT | 232 | ARO | B | 50,000 | 32.79 | n/a | 5-Jun | 2,500.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | AVP | SS | 25,000 | 25.10 | 2-Jun | 2-Jun | 1,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AXL | B | 150,000 | 2.58 | 10-Jun | 10-Jun | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | AXL | B | 50,000 | 2.54 | 10-Jun | 10-Jun | non-brg | 2.0 |
| CENTURION GLOBAL MGMT LL | 041 | AXL | B | 45,000 | 2.63 | 10-Jun | 10-Jun | 1,350.00 | 3.0 |
| FIRST NY SEC/CHRIS | 041 | AXL | B | 25,000 | 2.73 | 10-Jun | 10-Jun | 1,250.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | AXL | B | 50,000 | 2.72 | 10-Jun | 10-Jun | 1,500.00 | 3.0 |
| SCHOTTENFELD ASSOC | 041 | BAC | B | 50,000 | 12.22 | 11-May | 17-Jun | 1,500.00 | 3.0 |
| f JOHN PATRICK DAVEY | FID | BA | B | 300 | 44.05 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BBY | B | 10,000 | 32.94 | n/a | 27-Jul | non-brg | 1.0 |
| TRUSTCO/SUNTRUST | 040 | BID | S | 21,700 | 12.81 | n/a | n/a | 846.29 | 3.9 |
| f ALEX JOSEPH DEFILIPP | FID | BIG | B | 100 | 20.21 | 28-May | 9-Jun | 0.00 | 0.0 |
| COUGAR TRADING | 044 | BIG | B | 10,000 | 20.40 | 28-May | 9-Jun | 500.00 | 5.0 |
| f JILL ROSENBERG | FID | BIG | B | 100 | 20.20 | 28-May | 9-Jun | 0.00 | 0.0 |
| f VICTORIA JEAN DEFILI | FID | BIG | B | 100 | 20.21 | 28-May | 9-Jun | 0.00 | 0.0 |
| CAMBIAR CAP | 046 | BTU | B | 250,000 | 28.95 | n/a | n/a | 10,000.00 | 4.0 |
| CHILTON CAPITAL MGMT. | 036 | BWA | SS | 50,000 | 30.50 | 10-Jun | 10-Jun | 1,500.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|--------------|-----|
| LISTED ERR | 099 | CASH | B | 100 | 21.36 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | CASH | S | 100 | 21.25 | n/a | n/a | 0.00 | 0.0 |
| APEX CAPITAL MGMT. | 033 | CDNS | S | 100,000 | 5.67 | n/a | n/a | 3,000.00 | 3.0 |
| PIONEER OAKRIDGE | 031 | CELG | S | 65 | 46.69 | n/a | n/a | 1.30 | 2.0 |
| SENATOR INVESTMENT GROUP | 036 | CF | B | 20,000 | 72.57 | n/a | n/a | 1,000.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | CHD | B | 3,000 | 53.66 | 27-Apr | 14-May | 60.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | CHD | S | 90 | 53.76 | 27-Apr | 14-May | 1.80 | 2.0 |
| PIONEER OAKRIDGE | 031 | CHSI | B | 13,500 | 22.24 | n/a | n/a | 270.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | CHSI | S | 95 | 22.26 | n/a | n/a | 1.90 | 2.0 |
| GRANAHAH INV | 039 | CHTT | B | 17,800 | 64.71 | 23-Jun | 23-Jun | 712.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | CHTT | B | 6,000 | 64.74 | 23-Jun | 23-Jun | 120.00 | 2.0 |
| MORGAN BANK /JPM | 070 | CL | S | 13,780 | 69.96 | 8-Jun | 8-Jun | 413.40 | 3.0 |
| MORGAN BANK /JPM | 070 | CMCSA | B | 26,185 | 13.84 | n/a | 4-Jan | 785.55 | 3.0 |
| DIAMONDBACK CAP MGMT | 232 | CNS | C | 8,200 | 14.69 | n/a | n/a | 410.00 | 5.0 |
| CHILTON CAPITAL MGMT. | 036 | CNX | S | 50,600 | 34.40 | n/a | n/a | 1,518.00 | 3.0 |
| HOLDEN CAPITAL MGMT | 035 | COCO | SS | 25,000 | 15.60 | n/a | n/a | 1,000.00 | 4.0 |
| CHILTON CAPITAL MGMT. | 036 | COG | S | 85,608 | 29.13 | n/a | n/a | 2,568.24 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|-------------|-----------|----------------|--------------|------------|------------|----------------|------------|
| MILLRACE FUND LP | 028 | CPKI | B | 12,000 | 12.75 | 29-May | 12-Jun | 480.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | CSCO | S | 265 | 18.54 | n/a | 22-Mar | 5.30 | 2.0 |
| GRANAHAN INV | 039 | CSH | B | 1,200 | 21.79 | n/a | n/a | 48.00 | 4.0 |
| B BUCK CAPITAL MGMT | | CSTR | C | 30,000 | 25.52 | n/a | n/a | non-brg | 4.0 |
| CHILTON CAPITAL MGMT. | 036 | CXG | S | 49,320 | 25.36 | n/a | n/a | 1,479.60 | 3.0 |
| PIONEER OAKRIDGE | 031 | CXO | B | 2,500 | 26.09 | n/a | n/a | 50.00 | 2.0 |
| B BUCK CAPITAL MGMT | | DAI | SS | 50,000 | 35.46 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DAL | B | 100,000 | 5.48 | n/a | n/a | non-brg | 3.0 |
| CAVU CAP ADV | 028 | DAN | S | 21,421 | 1.18 | n/a | n/a | 1,071.05 | 5.0 |
| HUNTER GLOBAL INVESTOR | 067 | DEI | B | 60,000 | 8.26 | n/a | n/a | 1,500.00 | 2.5 |
| PIONEER OAKRIDGE | 031 | DHR | S | 70 | 59.19 | n/a | n/a | 1.40 | 2.0 |
| PIONEER OAKRIDGE | 031 | DIOD | B | 6,500 | 14.74 | n/a | n/a | 130.00 | 2.0 |
| DC CAPITAL | 044 | DIS | B | 50,000 | 22.92 | n/a | n/a | 2,000.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | DNR | S | 110 | 13.76 | n/a | n/a | 2.20 | 2.0 |
| PIONEER OAKRIDGE | 031 | ECL | S | 75 | 37.38 | 28-Apr | 22-May | 1.50 | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| DIAMONDBACK CAP MGMT | 232 | EL | SS | 10,000 | 31.51 | 5-May | 5-May | 500.00 | 5.0 |
| WILLOW CREEK | 025 | EMC | S | 5,000 | 12.54 | n/a | n/a | 250.00 | 5.0 |
| CHILTON CAPITAL MGMT. | 036 | EOG | S | 28,808 | 67.01 | n/a | n/a | 864.24 | 3.0 |
| KLEINHEINZ CAP PART | 031 | EXH | B | 250,000 | 15.64 | 27-May | 22-Jun | 12,500.00 | 5.0 |
| FRONTPOINT/COPIA-ANDREW | 031 | FCL | SS | 42,800 | 25.09 | n/a | n/a | 1,498.00 | 3.5 |
| MORGAN BANK /JPM | 070 | FCX | B | 8,470 | 47.35 | n/a | n/a | 254.10 | 3.0 |
| B BUCK CAPITAL MGMT | | FINL | S | 20,000 | 7.71 | n/a | 28-Mar | non-brg | 3.0 |
| MAIRS AND POWER INV | 030 | FISV | B | 10,000 | 44.33 | n/a | n/a | 500.00 | 5.0 |
| MOORE CAPITAL | 036 | FNF | S | 50,000 | 13.33 | n/a | n/a | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 40,000 | 18.82 | n/a | 10-Jan | 1,600.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GCO | B | 20,000 | 19.04 | n/a | 10-Jan | non-brg | 1.0 |
| f ROBERT M DANIELS | FID | GE | B | 85 | 11.59 | n/a | n/a | 0.00 | 0.0 |
| CHILTON CAPITAL MGMT. | 036 | GG | S | 76,525 | 34.00 | n/a | n/a | 2,295.75 | 3.0 |
| MELLON/BANK OF NEW YORK | 046 | GILD | B | 12,675 | 46.67 | n/a | n/a | 633.75 | 5.0 |
| PIONEER OAKRIDGE | 031 | GILD | S | 90 | 46.40 | n/a | n/a | 1.80 | 2.0 |
| B BUCK CAPITAL MGMT | | GIL | B | 10,000 | 14.73 | n/a | 15-Jun | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|--------|-----|--------|--------|--------|----------|-------------|-----|
| COUGAR TRADING | 044 | GIL | B | 5,000 | 14.34 | n/a | 15-Jun | 250.00 | 5.0 |
| BAIRD INVESTMENT | 256 | GLW | B | 11,950 | 15.28 | 28-May | 28-May | 597.50 | 5.0 |
| PIONEER OAKRIDGE | 031 | GME | S | 80 | 21.30 | n/a | n/a | 1.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | GOOG | S | 15 | 404.80 | n/a | n/a | 0.30 | 2.0 |
| DIAMONDBACK CAP MGMT | 232 | GPS | B | 50,000 | 15.46 | n/a | 30-Jan | 2,500.00 | 5.0 |
| TETON ADV | 040 | GPX | B | 3,200 | 5.36 | n/a | n/a | 160.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | GYMB | B | 10,000 | 32.29 | 21-May | 5-Jun | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | GYMB | S | 20,000 | 32.18 | 21-May | 5-Jun | non-brg | 4.0 |
| PIONEER OAKRIDGE | 031 | HAE | B | 500 | 55.99 | n/a | n/a | 10.00 | 2.0 |
| 1798 CAPITAL MGMT | 040 | HIBB | C | 5,000 | 17.55 | n/a | n/a | 250.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | HITT | B | 4,000 | 34.38 | n/a | n/a | 80.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | HITT | S | 70 | 34.28 | n/a | n/a | 1.40 | 2.0 |
| PIONEER OAKRIDGE | 031 | HK | B | 3,500 | 20.25 | n/a | n/a | 70.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | HK | S | 90 | 20.38 | n/a | n/a | 1.80 | 2.0 |
| PIONEER OAKRIDGE | 031 | HMSY | B | 6,500 | 38.60 | n/a | n/a | 130.00 | 2.0 |
| CHILTON CAPITAL MGMT. | 036 | HOG | SS | 50,000 | 15.29 | n/a | n/a | 1,500.00 | 3.0 |
| PIONEER OAKRIDGE | 031 | HPQ | S | 95 | 37.57 | n/a | n/a | 1.90 | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|------------|----------|---------------|--------------|---------------|---------------|----------------|------------|
| PIONEER OAKRIDGE | 031 | HSIC | S | 70 | 44.49 | n/a | n/a | 1.40 | 2.0 |
| PIONEER OAKRIDGE | 031 | IART | B | 2,000 | 25.63 | n/a | 22-Apr | 40.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | IBM | S | 45 | 104.66 | n/a | n/a | 0.90 | 2.0 |
| PIONEER OAKRIDGE | 031 | ICE | S | 25 | 106.08 | n/a | n/a | 0.50 | 2.0 |
| PIONEER OAKRIDGE | 031 | ICON | B | 3,000 | 12.93 | n/a | n/a | 60.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | IDXX | B | 9,000 | 43.50 | n/a | 22-Apr | 180.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | IEX | B | 11,500 | 23.05 | n/a | n/a | 230.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | IEX | S | 110 | 22.91 | n/a | n/a | 2.20 | 2.0 |
| PIONEER OAKRIDGE | 031 | INFA | B | 8,500 | 16.79 | n/a | n/a | 170.00 | 2.0 |
| B BUCK CAPITAL MGMT | | IP | B | 50,000 | 13.24 | 23-Jun | 23-Jun | non-brg | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 20,000 | 13.18 | 23-Jun | 23-Jun | 1,000.00 | 5.0 |
| FIRST NY SEC/CHRIS | 041 | IP | S | 10,000 | 13.12 | 23-Jun | 23-Jun | 600.00 | 6.0 |
| NEWLAND CAPITAL MGT | 067 | IP | B | 40,000 | 12.51 | 23-Jun | 23-Jun | 1,600.00 | 4.0 |
| SCHOTTENFELD ASSOC | 041 | IP | S | 400 | 13.35 | 23-Jun | 23-Jun | 12.00 | 3.0 |
| NEUBERGER BERMAN | 036 | ISLE | B | 37,206 | 12.19 | n/a | 26-Jan | 1,674.27 | 4.5 |
| FORD FDN. | 032 | ITW | B | 30,777 | 34.52 | n/a | 22-May | 1,538.85 | 5.0 |
| B BUCK CAPITAL MGMT | | JCG | B | 10,000 | 23.48 | n/a | 30-Jan | non-brg | 4.0 |
| PIONEER OAKRIDGE | 031 | JCI | S | 120 | 19.45 | 2-Jun | 2-Jun | 2.40 | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|--------------|----------|---------------|--------------|------------|------------|----------------|------------|
| FARALLON CAP MGMT | 040 | KBE | SS | 295,000 | 17.26 | n/a | n/a | 11,800.00 | 4.0 |
| MORGAN BANK /JPM | 070 | KFT | B | 45,190 | 25.48 | n/a | n/a | 1,355.70 | 3.0 |
| PIONEER OAKRIDGE | 031 | KNX | B | 11,000 | 16.30 | n/a | n/a | 220.00 | 2.0 |
| f MARK MEGALLI | FID | KPPC | S | 1300 | 4.63 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | KR | B | 50,000 | 21.54 | n/a | n/a | 2,500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | KR | S | 115 | 21.71 | n/a | n/a | 2.30 | 2.0 |
| BALYASNY ASSET MGMT | 044 | LAZ | C | 15,100 | 25.65 | n/a | 17-Jun | 755.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | LKQX | B | 10,000 | 15.33 | n/a | n/a | 200.00 | 2.0 |
| FIRST NEW YORK LEDDY | 035 | LVL | S | 20,000 | 1.38 | n/a | 4-Jan | 1,200.00 | 6.0 |
| f NEIL M STRATTON | FID | LWTSX | B | 2 | 0.10 | n/a | n/a | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | MCRS | B | 1,500 | 24.91 | n/a | n/a | 30.00 | 2.0 |
| B BUCK CAPITAL MGMT | | MNRO | B | 10,000 | 23.13 | n/a | n/a | non-brg | 4.0 |
| PIONEER OAKRIDGE | 031 | MOGA | B | 5,000 | 24.67 | n/a | n/a | 100.00 | 2.0 |
| CHILTON CAPITAL MGMT. | 036 | MON | S | 30,375 | 78.80 | n/a | 16-Jun | 911.25 | 3.0 |
| PIONEER OAKRIDGE | 031 | MON | S | 20 | 78.28 | n/a | 16-Jun | 0.40 | 2.0 |
| CHILTON CAPITAL MGMT. | 036 | MOS | S | 64,900 | 43.76 | n/a | n/a | 1,947.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|---------|-------|-----------|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | MPEL | S | 100,000 | 4.68 | 23-Jun[i] | 23-Jun | non-brg | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | MPEL | S | 100,000 | 4.68 | 23-Jun[i] | 23-Jun | non-brg | 2.0 |
| MELLON/BANK OF NEW YORK | 046 | MSFT | B | 44,190 | 23.63 | n/a | 3-Apr | 2,209.50 | 5.0 |
| MORGAN BANK /JPM | 070 | MSFT | S | 16,810 | 23.35 | n/a | 3-Apr | 504.30 | 3.0 |
| PIONEER OAKRIDGE | 031 | MSFT | S | 155 | 23.54 | n/a | 3-Apr | 3.10 | 2.0 |
| PIONEER OAKRIDGE | 031 | MWIV | B | 5,500 | 33.30 | n/a | n/a | 110.00 | 2.0 |
| CHILTON CAPITAL MGMT. | 036 | NEM | S | 50,780 | 41.13 | n/a | n/a | 1,523.40 | 3.0 |
| SUN AMERICA ASSET MGMT | 030 | NNI | B | 9,000 | 10.90 | n/a | n/a | 360.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | NUVA | B | 4,000 | 41.78 | n/a | n/a | 80.00 | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | OC | SS | 30,000 | 11.71 | n/a | n/a | non-brg | 4.0 |
| PIONEER OAKRIDGE | 031 | ORB | B | 8,500 | 15.88 | n/a | n/a | 170.00 | 2.0 |
| AVESTA CAP | 229 | ORCL | S | 50,000 | 19.91 | n/a | n/a | 2,000.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | ORLY | S | 90 | 36.91 | n/a | n/a | 1.80 | 2.0 |
| SONTERRA CAP | 041 | PBI | SS | 40,000 | 20.78 | n/a | n/a | 1,600.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | PCP | S | 30 | 74.89 | n/a | n/a | 0.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | PEP | S | 70 | 53.02 | n/a | n/a | 1.40 | 2.0 |
| PIONEER OAKRIDGE | 031 | PG | S | 95 | 50.69 | 5-Jun | 5-Jun | 1.90 | 2.0 |

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|-----------------------|-----|--------|-----|--------|-------|--------|----------|-------------|-----|
| Ⓐ BUCK CAPITAL MGMT | | PKG | B | 10,000 | 14.24 | 8-Apr | 23-Jun | non-brg | 4.0 |
| Ⓐ BUCK CAPITAL MGMT | | PKG | B | 15,000 | 14.23 | 8-Apr | 23-Jun | non-brg | 2.0 |
| NEWCASTLE FUNDS | 255 | PKG | B | 35,000 | 14.27 | 8-Apr | 23-Jun | 1,400.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | PLCE | B | 15,000 | 25.57 | 19-Mar | 5-Jun | 750.00 | 5.0 |
| Ⓕ MARC PAUL LUCHANSKY | FID | POT | B | 100 | 89.69 | n/a | n/a | 0.00 | 0.0 |
| PIONEER OAKRIDGE | 031 | PRAA | B | 9,500 | 36.51 | n/a | n/a | 190.00 | 2.0 |
| FORD FDN. | 032 | PRU | B | 35,000 | 35.20 | n/a | n/a | 1,750.00 | 5.0 |
| Ⓐ BUCK CAPITAL MGMT | | PSS | B | 20,000 | 13.43 | n/a | n/a | non-brg | 4.0 |
| Ⓐ BUCK CAPITAL MGMT | | PVH | B | 10,000 | 26.86 | 20-Apr | 21-May | non-brg | 4.0 |
| PIONEER OAKRIDGE | 031 | PWR | B | 16,500 | 21.51 | n/a | n/a | 330.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | PWR | S | 135 | 21.46 | n/a | n/a | 2.70 | 2.0 |
| MORGAN BANK /JPM | 070 | QCOM | S | 25,960 | 44.18 | n/a | n/a | 778.80 | 3.0 |
| PIONEER OAKRIDGE | 031 | QCOM | S | 145 | 43.75 | n/a | n/a | 2.90 | 2.0 |
| PIONEER OAKRIDGE | 031 | QGEN | B | 8,500 | 17.49 | n/a | n/a | 170.00 | 2.0 |
| KINGDON ASSET MGMT | 041 | RIMM | SS | 75,000 | 70.13 | n/a | n/a | 3,000.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | RMD | B | 9,000 | 38.29 | n/a | n/a | 180.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | RMD | S | 80 | 38.14 | n/a | n/a | 1.60 | 2.0 |
| DIAMONDBACK CAP MGMT | 232 | ROST | C | 15,000 | 38.43 | n/a | n/a | 750.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|------------|----------|---------------|--------------|------------|------------|----------------|------------|
| PIONEER OAKRIDGE | 031 | RTN | S | 65 | 44.53 | n/a | n/a | 1.30 | 2.0 |
| PIONEER OAKRIDGE | 031 | SAP | S | 80 | 39.55 | n/a | n/a | 1.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | SCHW | S | 195 | 17.25 | n/a | n/a | 3.90 | 2.0 |
| PIONEER OAKRIDGE | 031 | SF | B | 4,500 | 43.35 | n/a | n/a | 90.00 | 2.0 |
| B BUCK CAPITAL MGMT | | SKF | S | 46,271 | 45.75 | n/a | n/a | non-brg | 1.0 |
| PIONEER OAKRIDGE | 031 | SLB | S | 80 | 52.91 | n/a | n/a | 1.60 | 2.0 |
| PIONEER OAKRIDGE | 031 | SLH | B | 11,500 | 24.61 | n/a | n/a | 230.00 | 2.0 |
| CHILTON CAPITAL MGMT. | 036 | SLV | S | 198,280 | 13.62 | n/a | n/a | 0.00 | 0.0 |
| DC CAPITAL | 044 | SOA | S | 50,000 | 5.71 | n/a | n/a | 1,500.00 | 3.0 |
| PIONEER OAKRIDGE | 031 | SPLS | S | 200 | 19.71 | n/a | 27-Jul | 4.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | SRCL | S | 65 | 49.21 | n/a | n/a | 1.30 | 2.0 |
| PIONEER OAKRIDGE | 031 | SWN | S | 190 | 38.08 | 27-Feb | 1-Jun | 3.80 | 2.0 |
| PIONEER OAKRIDGE | 031 | SXE | B | 5,000 | 29.39 | n/a | n/a | 100.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | SYNT | B | 9,500 | 28.37 | n/a | n/a | 190.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | TECH | B | 3,500 | 63.24 | n/a | n/a | 70.00 | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|-------|--------|----------|--------------|-----|
| PIONEER OAKRIDGE | 031 | TGT | S | 60 | 38.30 | 25-Feb | 22-Jun | 1.20 | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | THI | SS | 10,000 | 25.09 | n/a | 24-Apr | non-brg | 0.8 |
| ⌘ BUCK CAPITAL MGMT | | THI | SS | 20,000 | 25.06 | n/a | 24-Apr | non-brg | 4.0 |
| CATAPULT | 040 | TIN | B | 31,000 | 11.65 | 5-Jun | 5-Jun | 1,550.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | TMO | S | 110 | 39.33 | n/a | n/a | 2.20 | 2.0 |
| PIONEER OAKRIDGE | 031 | TRLG | B | 13,500 | 19.50 | n/a | n/a | 270.00 | 2.0 |
| PHILADELPHIA FINANCIAL | 033 | TROW | SS | 17,269 | 39.93 | n/a | 17-Jun | 690.76 | 4.0 |
| HOTCHKIS & WILEY | 035 | TXN | S | 79,800 | 20.64 | n/a | n/a | 3,990.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | TXN | S | 120 | 20.98 | n/a | n/a | 2.40 | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | UAUA | B | 50,000 | 3.31 | n/a | n/a | non-brg | 2.0 |
| 1798 CAPITAL MGMT | 040 | UA | C | 10,000 | 21.40 | 29-Apr | 29-Apr | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | URBN | S | 20,000 | 20.19 | n/a | 30-Jan | non-brg | 4.0 |
| TETON ADV | 040 | UYG | S | 10,000 | 3.60 | n/a | n/a | 500.00 | 5.0 |
| PIONEER OAKRIDGE | 031 | VMI | B | 7,000 | 67.66 | n/a | n/a | 140.00 | 2.0 |
| APEX CAPITAL MGMT. | 033 | V | B | 75,000 | 62.45 | n/a | 22-Jun | 3,000.00 | 4.0 |
| PIONEER OAKRIDGE | 031 | V | S | 35 | 62.03 | n/a | 22-Jun | 0.70 | 2.0 |
| PIONEER OAKRIDGE | 031 | WCN | B | 4,500 | 24.90 | n/a | n/a | 90.00 | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|--------|------------|-------------|-----|
| PIONEER OAKRIDGE | 031 | WCN | S | 160 | 24.90 | n/a | n/a | 3.20 | 2.0 |
| PHILADELPHIA FINANCIAL | 033 | WDR | SS | 13,094 | 24.43 | 5-Jun | 17-Jun | 523.76 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | WFT | B | 10,000 | 18.27 | n/a | n/a | non-brg | 4.0 |
| PIONEER OAKRIDGE | 031 | WMS | B | 500 | 30.23 | n/a | n/a | 10.00 | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | WRC | S | 20,000 | 30.83 | 13-May | 13-May | non-brg | 4.0 |
| PIONEER OAKRIDGE | 031 | WWW | B | 20,500 | 21.53 | n/a | 13-Mar | 410.00 | 2.0 |
| PIONEER OAKRIDGE | 031 | WXS | B | 4,000 | 25.15 | n/a | n/a | 80.00 | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | WYNN | C | 20,000 | 33.72 | n/a | n/a | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | XLFX | SS | 310,600 | 11.33 | n/a | n/a | non-brg | 1.0 |
| CUMBERLAND | 038 | XLV | SS | 25,000 | 25.55 | n/a | n/a | 1,000.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | XRT | SS | 130,000 | 26.30 | n/a | n/a | non-brg | 2.0 |
| JP MORGAN VENTURES | 046 | XRT | B | 30,000 | 26.46 | n/a | n/a | 900.00 | 3.0 |
| PIONEER OAKRIDGE | 031 | XTO | S | 105 | 36.89 | n/a | n/a | 2.10 | 2.0 |
| TOTAL (Trade Date): | | | | | | | 139,086.96 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|-------|--------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| AO,CRT | 06/22 | MORGAN BANK /JPM | 070 | AZO | C | 185 | 155.97 | n/a | n/a | 5.55 | 3.0 |
| AO,CXL | 06/22 | MORGAN BANK /JPM | 070 | AZO | C | 185 | 155.97 | n/a | n/a | 5.55 | 3.0 |
| AO,CXL | 06/22 | HIGHBRIDGE CAPITAL | 038 | LXK | B | 25,000 | 15.23 | n/a | n/a | 1000.00 | 4.0 |
| AO,CRT | 06/22 | HIGHBRIDGE/MS OLDS | 038 | LXK | B | 25,000 | 15.23 | n/a | n/a | 1000.00 | 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 0.00 | |

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 139,086.96 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 139,086.96 |
|--------------------------------|-------------------|

MRI Securities with Trade Activity on 23-Jun.
CHTT, IP, MPEL

MRI Securities without Trade Activity on 23-Jun.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 9%
YTD = 20%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)