



Daily Compliance Activity Report

Trade Date: 03/24/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	275	343.26	n/a	n/a	5.50	2.0
PIONEER OAKRIDGE	031	ABT	S	955	47.91	n/a	n/a	19.10	2.0
SENVEST PART	085	ADM	S	11,365	36.23	n/a	14-Mar	568.25	5.0
PIONEER OAKRIDGE	031	AGN	S	835	69.93	n/a	21-Mar	16.70	2.0
PIONEER OAKRIDGE	031	ALTR	S	980	42.17	n/a	n/a	19.60	2.0
PIONEER OAKRIDGE	031	AMG	S	490	105.11	n/a	2-Mar	9.80	2.0
OZ MGMT	040	APC	B	35,000	82.75	n/a	25-Feb	1,050.00	3.0
PIONEER OAKRIDGE	031	APH	S	640	54.33	n/a	n/a	12.80	2.0
APEX CAPITAL MGMT.	261	ATVI	SS	94,500	10.88	n/a	n/a	3,780.00	4.0
CAISSE DEPOT PLACEMENT Q	031	BAC	S	6,300	13.60	n/a	21-Mar	315.00	5.0
OSKIE CAPITAL MGMT	224	BAC	S	20,000	13.47	n/a	21-Mar	1,000.00	5.0
PIONEER OAKRIDGE	031	BAX	S	850	52.70	n/a	n/a	17.00	2.0
DELTEC ASSET MGMT.	040	BEAV	B	10,000	34.60	n/a	4-Mar	500.00	5.0
CAISSE DEPOT PLACEMENT Q	031	BRCD	B	25,000	6.16	n/a	n/a	1,000.00	4.0
SAC TRADIN/BINDER	044	BYD	SS	35,000	9.34	n/a	n/a	1,225.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	CAT	S	325,000	107.97	n/a	28-Jan	9,750.00	3.0
PIONEER OAKRIDGE	031	CELG	S	790	54.61	n/a	n/a	15.80	2.0
ENTRUST CAPITAL	040	CFN	B	15,700	27.26	n/a	n/a	785.00	5.0
APEX CAPITAL MGMT.	261	COH	B	100,000	51.77	n/a	26-Jan	4,000.00	4.0
PIONEER OAKRIDGE	031	COH	S	515	51.84	n/a	26-Jan	10.30	2.0
PIONEER OAKRIDGE	031	CSCO	S	2,340	17.43	n/a	n/a	46.80	2.0
CAISSE DEPOT PLACEMENT Q	031	CSC	B	5,662	49.07	n/a	n/a	283.10	5.0
PIONEER OAKRIDGE	031	CTSH	S	430	79.27	n/a	n/a	8.60	2.0
PIONEER OAKRIDGE	031	CTXS	S	470	69.96	n/a	n/a	9.40	2.0
LOCUS WOOD CAPITAL MGMT	044	CVC	B	25,000	34.99	n/a	n/a	1,000.00	4.0
PIONEER OAKRIDGE	031	CXO	S	690	104.54	n/a	n/a	13.80	2.0
CAISSE DEPOT PLACEMENT Q	031	CY	SS	25,000	20.01	n/a	n/a	1,250.00	5.0
CAISSE DEPOT PLACEMENT Q	031	DELL	B	72,900	15.24	n/a	n/a	3,645.00	5.0
PIONEER OAKRIDGE	031	DHR	S	1,530	51.64	n/a	n/a	30.60	2.0
PIONEER OAKRIDGE	031	DNR	S	2,215	23.70	n/a	n/a	44.30	2.0
GREEN ARROW DOUG	040	EAT	SS	25,000	24.70	n/a	26-Jan	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	EMC	S	3,580	27.04	n/a	n/a	71.60	2.0
PIONEER OAKRIDGE	031	ESRX	S	1,165	54.00	n/a	n/a	23.30	2.0
SCOPUS FUND	041	ETH	B	20,000	22.01	n/a	n/a	800.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	FBR	SS	4,000	15.57	n/a	n/a	120.00	3.0
LAGRANGE CAP ADV	048	FII	B	5,300	26.36	n/a	2-Mar	265.00	5.0
ROYCE TRADING	012	FINL	B	10,000	18.03	n/a	18-Mar	500.00	5.0
SUN AMERICA ASSET MGMT	030	FNSR	B	2,900	22.68	n/a	n/a	116.00	4.0
CAISSE DEPOT PLACEMENT Q	031	FORM	B	45,200	10.67	n/a	n/a	2,260.00	5.0
PIONEER PATH	028	FWLT	B	24,243	35.62	n/a	n/a	727.29	3.0
OZ MGMT	040	F	SS	484,758	14.72	n/a	2-Mar	14,542.74	3.0
ROSEDALE CAPITAL	046	F	S	25,000	15.09	n/a	2-Mar	1,000.00	4.0
PIONEER OAKRIDGE	031	GILD	S	1,435	42.07	n/a	n/a	28.70	2.0
PHILADELPHIA FINANCIAL	033	GM	SS	35,000	31.35	n/a	2-Mar	1,400.00	4.0
PIONEER OAKRIDGE	031	GOOG	S	180	585.11	n/a	n/a	3.60	2.0
PIONEER OAKRIDGE	031	GS	S	330	159.63	n/a	21-Mar	6.60	2.0
AVESTA CAP	229	HD	B	200,000	37.54	n/a	22-Feb	6,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OSKIE CAPITAL MGMT	224	HEES	S	10,000	17.00	n/a	n/a	500.00	5.0
SAC TRADIN/BINDER	044	HOT	SS	10,000	57.28	n/a	23-Feb	350.00	3.5
SUN AMERICA ASSET MGMT	030	HOT	S	10,300	57.43	n/a	23-Feb	412.00	4.0
SAC TRADIN/BINDER	044	HST	B	40,000	17.52	n/a	23-Feb	1,400.00	3.5
PIONEER OAKRIDGE	031	IBM	S	760	160.06	n/a	n/a	15.20	2.0
PIONEER OAKRIDGE	031	ICE	S	370	127.23	n/a	n/a	7.40	2.0
SAC TRADIN/BINDER	044	IGT	SS	40,000	16.44	n/a	21-Mar	1,400.00	3.5
SUN AMERICA ASSET MGMT	030	INTC	S	65,800	20.44	n/a	n/a	2,632.00	4.0
ENTRUST CAPITAL	040	IR	B	8,200	47.66	n/a	4-Mar	410.00	5.0
PIONEER OAKRIDGE	031	ITW	S	1,335	54.93	n/a	1-Feb	26.70	2.0
PIONEER OAKRIDGE	031	IVZ	S	2,155	25.90	n/a	2-Mar	43.10	2.0
PIONEER OAKRIDGE	031	JCI	S	1,885	40.98	n/a	20-Jan	37.70	2.0
APEX CAPITAL MGMT.	261	JPM	S	25,500	45.67	n/a	21-Mar	1,020.00	4.0
APEX CAPITAL MGMT.	261	JWN	S	75,000	43.44	n/a	3-Mar	3,000.00	4.0
PIONEER OAKRIDGE	031	JWN	S	1,275	42.79	n/a	3-Mar	25.50	2.0
GRANAHAN INV	048	KEG	B	40,000	14.96	n/a	24-Feb	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOCQUEVILLE	035	KMT	B	25,000	38.85	n/a	28-Jan	1,250.00	5.0
KLEINHEINZ CAP PART	031	KO	B	50,000	64.98	n/a	18-Feb	2,500.00	5.0
APEX CAPITAL MGMT.	261	KSS	S	50,000	52.66	n/a	3-Mar	2,000.00	4.0
WHITE PINE CAPITAL	030	LOW	S	2,000	27.11	n/a	23-Feb	100.00	5.0
SENVEST PART	085	LVS	S	2,600	41.04	n/a	21-Mar	130.00	5.0
BMO NESBITT BURNS	041	MERC	S	10,000	13.38	n/a	n/a	400.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	MERC	SS	4,000	13.37	n/a	n/a	120.00	3.0
OSKIE CAPITAL MGMT	224	MET	B	13,000	44.65	n/a	n/a	650.00	5.0
DENVER INST. ADV	046	MFB	B	17,000	27.30	n/a	n/a	680.00	4.0
SAC TRADIN/BINDER	044	MGM	SS	33,700	13.06	n/a	21-Mar	1,179.50	3.5
SAC TRADIN/BINDER	044	MHS	B	25,000	52.28	n/a	n/a	875.00	3.5
ROSEDALE CAPITAL	046	NAV	S	10,000	67.24	n/a	10-Mar	500.00	5.0
SMITH MGMT LLC	029	NDN	B	25,000	19.71	n/a	11-Mar	1,250.00	5.0
PIONEER OAKRIDGE	031	NTAP	S	1,100	48.55	n/a	n/a	22.00	2.0
SUN AMERICA ASSET MGMT	030	NTGR	B	100	32.60	n/a	n/a	4.00	4.0
SUN AMERICA ASSET MGMT	030	OCLR	B	6,300	10.78	n/a	n/a	252.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	OMX	S	2,500	12.62	n/a	n/a	125.00	5.0
PIONEER OAKRIDGE	031	ORCL	S	2,245	31.85	n/a	n/a	44.90	2.0
PIONEER OAKRIDGE	031	ORLY	S	1,200	57.90	n/a	n/a	24.00	2.0
PIONEER OAKRIDGE	031	OXY	S	720	100.04	n/a	n/a	14.40	2.0
PIONEER OAKRIDGE	031	PCAR	S	1,345	49.78	n/a	2-Feb	26.90	2.0
RBC CAPITAL MARKETS	040	PCAR	B	15,000	49.82	n/a	2-Feb	600.00	4.0
TRELLUS PARTNERS LP	028	PCAR	B	50,000	49.78	n/a	2-Feb	2,500.00	5.0
PIONEER OAKRIDGE	031	PCLN	S	95	475.41	n/a	n/a	1.90	2.0
PIONEER OAKRIDGE	031	PCP	S	385	144.39	n/a	31-Jan	7.70	2.0
PIONEER OAKRIDGE	031	PEP	S	955	64.43	n/a	n/a	19.10	2.0
PIONEER OAKRIDGE	031	PG	S	1,140	60.97	n/a	21-Mar	22.80	2.0
SCOPUS FUND	041	PVH	B	25,000	58.99	n/a	1-Feb	1,000.00	4.0
PIONEER OAKRIDGE	031	PX	S	570	99.48	n/a	23-Feb	11.40	2.0
PIONEER OAKRIDGE	031	QCOM	S	1,015	53.60	n/a	n/a	20.30	2.0
SUN AMERICA ASSET MGMT	030	QCOM	B	2,100	52.57	n/a	n/a	84.00	4.0
BARON ASSET MGMT*	012	ROC	B	25,000	48.98	n/a	n/a	1,250.00	5.0
OSKIE CAPITAL MGMT	224	RRR	S	20,000	14.00	n/a	12-Jan	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MFP INVESTORS	085	RURL	B	10,000	12.23	n/a	n/a	500.00	5.0
CAISSE DEPOT PLACEMENT Q	031	SFSF	SS	15,000	38.16	n/a	n/a	750.00	5.0
BASSWOOD PARTNERS	267	SKX	B	27,900	19.03	n/a	n/a	1,116.00	4.0
PIONEER OAKRIDGE	031	SLB	S	745	87.85	n/a	n/a	14.90	2.0
PIONEER OAKRIDGE	031	SPLS	S	2,430	19.78	n/a	n/a	48.60	2.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	100,000	19.80	n/a	n/a	3,500.00	3.5
BERMAN CAPITAL MGMT	046	SPY	B	10,000	130.34	n/a	n/a	300.00	3.0
OSKIE CAPITAL MGMT	224	SWFT	B	15,000	14.74	n/a	n/a	750.00	5.0
PIONEER OAKRIDGE	031	SWKS	S	885	31.66	n/a	n/a	17.70	2.0
PIONEER OAKRIDGE	031	SWN	S	930	43.17	n/a	25-Feb	18.60	2.0
PIONEER OAKRIDGE	031	TGT	S	19,300	50.31	n/a	24-Feb	579.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	TIN	S	2,500	22.44	n/a	17-Mar	125.00	5.0
RBC CAPITAL MARKETS	040	USG	B	10,000	16.38	n/a	27-Jan	400.00	4.0
PIONEER OAKRIDGE	031	UTX	S	790	82.61	n/a	n/a	15.80	2.0
ETON PARK CAPITAL	041	VIAB	S	250,000	45.12	n/a	n/a	10,000.00	4.0
PIONEER OAKRIDGE	031	V	S	540	72.33	n/a	7-Mar	10.80	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	WFC	S	10,600	31.24	n/a	14-Mar	0.00	0.0
RBC CAPITAL MARKETS	040	WLK	B	25,000	53.16	n/a	n/a	1,000.00	4.0
WHITE PINE CAPITAL	030	WY	S	1,500	24.49	n/a	4-Feb	75.00	5.0
WHITE PINE CAPITAL	030	X	S	500	53.86	n/a	n/a	25.00	5.0
TOTAL (Trade Date):							110,337.18		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/24	OSKIE CAPITAL MGMT (OSKIGSPB)	224	MET	B	13,000	44.65	n/a	n/a	650.00 5.0
AO,CXL	03/23	TALPION LLC (TALPMSPB)	040	PLXS	SS	4,000	31.67	n/a	n/a	120.00 3.0
AO,CRT	03/23	TALPION LLC (TALPMSPB)	040	PLXS	SS	4,000	31.67	n/a	n/a	160.00 4.0
AO,	03/23	SONTERRA CAP (SONTMSBULK)	041	RGC	SS	75,000	13.47	n/a	n/a	3000.00 4.0
AO,CXL	03/23	SONTERRA CAP (SONTGSRUCK)	041	RGC	SS	75,000	13.47	n/a	n/a	3000.00 4.0
CRT	03/24	OSKIE CAPITAL MGMT (OSKIGSPB)	224	SWFT	B	15,000	14.74	n/a	n/a	750.00 5.0
TOTAL (AO, CXL, CRT) :										1,440.00

TOTAL (Trade Date) :	110,337.18
TOTAL (AO, CXL, CRT) :	1,440.00

TOTAL (RUN DATE) / NFS :	111,777.18
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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