



Daily Compliance Activity Report

Trade Date: 12/31/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/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
B BUCK CAPITAL MGMT		AEO	B	30,000	9.35	n/a	12-Dec	non-brg	3.0
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
B BUCK CAPITAL MGMT		AG	S	7,500	23.93	15-Dec	19-Dec	non-brg	1.0
Õ Steven Maguire		AG	S	7500	23.70	15-Dec	19-Dec	0.00	0.0
PIONEER OAKRIDGE	031	APH	S	1,475	24.15	n/a	n/a	29.50	2.0
MERRILL ASSET	032	ARE	B	20,000	57.87	n/a	n/a	1,000.00	5.0
f MARC PAUL LUCHANSKY	FID	AXE	B	300	29.59	22-Dec	22-Dec	0.00	0.0
B BUCK CAPITAL MGMT		BARE	B	50,000	5.12	n/a	n/a	non-brg	3.0
PIONEER OAKRIDGE	031	BBY	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
f JOSEPH CIRO AMATURO	FID	BGZ	B	1000	59.10	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BHI	S	50,000	32.15	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BHI	S	67,700	32.11	n/a	n/a	non-brg	1.0
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
B BUCK CAPITAL MGMT		COH	SS	10,000	20.62	18-Dec	18-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		COST	SS	10,000	51.75	n/a	27-Jul	non-brg	4.0
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	B	9,000	10.97	n/a	n/a	405.00	4.5
f KEVIN MICHAEL O'GORM	FID	DDM	B	200	31.59	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DE	B	4,700	38.62	8-Dec	8-Dec	non-brg	1.0
Õ Steven Maguire		DE	B	5000	38.54	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-Oct	12-Dec	1,250.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
	PIONEER OAKRIDGE	031	DNA	S	2,275	82.53	n/a	n/a	45.50	2.0
f	KEVIN MICHAEL O'GORM	FID	DXD	S	100	53.92	n/a	n/a	0.00	0.0
	PIONEER OAKRIDGE	031	ECL	S	3,685	35.37	10-Nov	13-Nov	73.70	2.0
ß	BUCK CAPITAL MGMT		EXH	S	50,000	21.38	n/a	16-Dec	non-brg	4.0
ß	BUCK CAPITAL MGMT		EXH	S	77,450	21.30	n/a	16-Dec	non-brg	1.0
	CUMBERLAND	038	EXH	B	50,000	21.31	n/a	16-Dec	2,000.00	4.0
f	JOEL GIFFORD TISS	FID	FDIVX	S	697	21.51	n/a	n/a	0.00	0.0
f	JOEL GIFFORD TISS	FID	FLPSX	S	649	23.12	n/a	n/a	0.00	0.0
f	DANIEL R SCHWARZWALD	FID	FNKXX	B	1400000	1.00	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FOSL	B	100,000	16.52	10-Nov	12-Dec	non-brg	4.0
ß	BUCK CAPITAL MGMT		FOSL	B	12,300	16.44	10-Nov	12-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		FOSL	B	19,700	16.48	10-Nov	12-Dec	non-brg	1.5
ß	BUCK CAPITAL MGMT		GES	B	10,000	15.41	n/a	n/a	non-brg	4.0
	MERRILL ASSET	032	GES	B	2,500	15.42	n/a	n/a	112.50	4.5
	PIONEER OAKRIDGE	031	GILD	S	3,720	51.35	n/a	n/a	74.40	2.0
ß	BUCK CAPITAL MGMT		GIL	B	10,000	11.70	11-Dec	12-Dec	non-brg	4.0
	WEISS PECK	040	GIL	S	5,200	11.43	11-Dec	12-Dec	260.00	5.0
f	KAREN F LEDDY	FID	GM	B	1200	3.58	10-Nov	22-Dec	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
	PIIONEER OAKRIDGE	031	GOOG	S	585	309.68	n/a	n/a	11.70	2.0
f	JOEL GIFFORD TISS	FID	GS	S	200	84.17	15-Sep	16-Dec	0.00	0.0
f	PEARL LUCHANSKY	FID	GS	B	100	84.98	15-Sep	16-Dec	0.00	0.0
	MERRILL ASSET	032	HBI	B	34,100	12.72	n/a	n/a	1,534.50	4.5
	PIIONEER OAKRIDGE	031	HK	S	1,120	15.33	n/a	n/a	22.40	2.0
	PIIONEER OAKRIDGE	031	HOLX	S	5,500	12.96	n/a	n/a	110.00	2.0
	PIIONEER OAKRIDGE	031	HPQ	S	4,145	36.53	n/a	n/a	82.90	2.0
	PIIONEER OAKRIDGE	031	HSIC	S	3,210	36.59	n/a	n/a	64.20	2.0
	PIIONEER OAKRIDGE	031	ICE	S	1,375	80.60	n/a	n/a	27.50	2.0
	PIIONEER OAKRIDGE	031	INTC	S	8,775	14.79	n/a	n/a	175.50	2.0
	PIIONEER OAKRIDGE	031	IRM	S	3,765	23.61	n/a	n/a	75.30	2.0
f	KAREN F LEDDY	FID	IVZ	S	300	14.15	13-Nov	19-Dec	0.00	0.0
	PIIONEER OAKRIDGE	031	IVZ	S	8,250	14.20	13-Nov	19-Dec	165.00	2.0
	PIIONEER OAKRIDGE	031	JCI	S	5,100	18.27	11-Dec	11-Dec	102.00	2.0
	MERRILL ASSET	032	KBH	S	70,000	13.21	n/a	n/a	3,150.00	4.5
	PIIONEER OAKRIDGE	031	KR	S	2,620	25.81	n/a	n/a	52.40	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	LEN	S	50,000	8.52	n/a	n/a	2,250.00	4.5
DISCIPLINED GROWTH INV.	030	LF	B	13,600	3.48	n/a	n/a	272.00	2.0
B BUCK CAPITAL MGMT		LM	S	2,500	21.80	29-Oct	19-Dec	non-brg	1.0
Õ Steven Maguire		LM	S	2500	21.60	29-Oct	19-Dec	0.00	0.0
B BUCK CAPITAL MGMT		MDTL	C	150,000	0.41	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	MON	S	710	69.95	n/a	5-Nov	14.20	2.0
f DAVID GEORGE BUCK	FID	MRKBZ	S	25	0.90	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	MSFT	S	7,590	19.52	n/a	3-Apr	151.80	2.0
f KAREN F LEDDY	FID	MWO	S	300	13.84	n/a	n/a	0.00	0.0
SCOPUS FUND	041	MW	SS	5,000	13.35	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		NKE	B	30,000	50.39	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	NKE	S	13,500	49.80	n/a	n/a	675.00	5.0
CENTURION GLOBAL MGMT LL	041	NTAP	B	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
f JOHN GRASSANO	FID	PENN	S	100	21.71	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
	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
f	NEIL M STRATTON	FID	PRXI	S	550	1.15	n/a	n/a	0.00	0.0
	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
f	JOEL GIFFORD TISS	FID	SCS	B	3000	5.50	n/a	n/a	0.00	0.0
f	KEVIN MICHAEL O'GORM	FID	SDS	S	100	71.78	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SKF	B	30,000	104.72	n/a	n/a	non-brg	1.0
	BULL PATH CAPITAL	044	SLB	S	25,000	42.26	n/a	n/a	1,250.00	5.0
	PIONEER OAKRIDGE	031	SLB	S	2,985	42.05	n/a	n/a	59.70	2.0
f	JOSEPH CIRO AMATURO	FID	SLV	B	2000	10.72	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	SPHIX	B	16556	6.04	n/a	n/a	0.00	0.0
	PIONEER OAKRIDGE	031	SPLS	S	8,595	18.11	n/a	27-Jul	171.90	2.0
f	WILLIAM J GAULT	FID	SRS	B	500	52.79	n/a	n/a	0.00	0.0
	PIONEER OAKRIDGE	031	SWN	S	3,155	28.82	19-Dec	19-Dec	63.10	2.0
	PIONEER OAKRIDGE	031	SYK	S	2,880	40.09	n/a	n/a	57.60	2.0
f	ANDREW SINCLAIR	FID	SZCOF	B	20	4.75	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	012	TGT	B	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
B	BUCK CAPITAL MGMT		TPX	B	30,000	7.23	n/a	n/a	non-brg	3.0
	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	2,875	53.62	n/a	n/a	57.50	2.0
	PIONEER OAKRIDGE	031	V	S	1,525	51.91	n/a	30-Oct	30.50	2.0
	PIONEER OAKRIDGE	031	XTO	S	5,870	34.81	n/a	n/a	117.40	2.0

TOTAL (Trade Date):

32,400.30

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/29	OTC ERROR	099	PLCE	B	2,205	19.91	21-Nov	12-Dec	0.00 0.0
AO,CXL	12/29	OTC ERROR	099	PLCE	B	2,205	19.91	21-Nov	12-Dec	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	32,400.30
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	32,400.30
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MRI Securities with Trade Activity on 31-Dec.
NONE

MRI Securities without Trade Activity on 31-Dec.
FOR

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
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

BCM Watch List Trades

f: Employee Trades (Fidelity)