



## Daily Compliance Activity Report

Trade Date: 03/29/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
PIONEER OAKRIDGE	031	AAPL	S	305	613.71	n/a	n/a	6.10 2.0
IMPALA ASSET MMT	040	ABFS	SS	100	19.00	n/a	n/a	4.00 4.0
PIONEER OAKRIDGE	031	ABT	S	330	60.64	n/a	n/a	6.60 2.0
PIONEER OAKRIDGE	031	AGN	S	285	94.76	n/a	29-Mar	5.70 2.0
PIONEER OAKRIDGE	031	ALTR	S	335	38.61	n/a	n/a	6.70 2.0
PIONEER OAKRIDGE	031	AME	S	440	47.18	n/a	n/a	8.80 2.0
PIONEER OAKRIDGE	031	AMG	S	165	110.40	n/a	2-Mar	3.30 2.0
EPOCH INV MGMT	030	ARCO	B	1,050	17.93	n/a	6-Mar	31.50 3.0
ROSEDALE CAPITAL	046	BAC	B	25,000	9.49	n/a	26-Mar	1,000.00 4.0
PIONEER OAKRIDGE	031	BAX	S	290	59.07	n/a	n/a	5.80 2.0
PIONEER OAKRIDGE	031	BBBY	S	155	66.11	n/a	n/a	3.10 2.0
CAERUS GLOBAL	041	BC	B	7,000	25.62	n/a	n/a	280.00 4.0
TUDOR INVESTORS	028	BGC	B	5,000	28.24	n/a	n/a	150.00 3.0
PIONEER OAKRIDGE	031	CELG	S	270	77.70	n/a	n/a	5.40 2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	CE	SS	5,000	44.27	n/a	20-May	200.00	4.0
PIONEER OAKRIDGE	031	CHKP	S	150	63.42	n/a	n/a	3.00	2.0
NOMURA CAPITAL	029	CMLS	S	345	3.58	n/a	n/a	10.35	3.0
PIONEER OAKRIDGE	031	COH	S	345	76.37	n/a	2-Mar	6.90	2.0
PIONEER OAKRIDGE	031	CTSH	S	150	75.93	n/a	n/a	3.00	2.0
PIONEER OAKRIDGE	031	CTXS	S	160	77.94	n/a	n/a	3.20	2.0
PIONEER OAKRIDGE	031	CXO	S	240	98.78	n/a	n/a	4.80	2.0
NOMURA CAPITAL	029	DAL	S	1,671	9.98	n/a	n/a	50.13	3.0
CATAPULT	040	DD	B	8,729	52.52	n/a	23-Mar	349.16	4.0
RBC CAPITAL MARKETS	040	DG	B	10,000	46.15	n/a	23-Mar	400.00	4.0
PIONEER OAKRIDGE	031	DHR	S	520	54.42	n/a	n/a	10.40	2.0
PIONEER OAKRIDGE	031	DLTR	S	340	94.01	n/a	13-Mar	6.80	2.0
PIONEER OAKRIDGE	031	DNR	S	755	17.67	n/a	n/a	15.10	2.0
ARMATURE CAPITAL	041	DVN	B	20,000	69.76	n/a	1-Mar	800.00	4.0
PIONEER OAKRIDGE	031	EMC	S	1,230	29.20	n/a	n/a	24.60	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	ESRX	S	395	53.86	n/a	n/a	7.90	2.0
ADAGE CAPITAL MGMT	030	FDO	B	195,156	58.48	n/a	29-Mar	5,854.68	3.0
PERSHING SQUARE	029	FDO	S	196,000	58.89	n/a	29-Mar	7,840.00	4.0
RBC CAPITAL MARKETS	040	FDO	SS	5,000	58.33	n/a	29-Mar	200.00	4.0
SENATOR INVESTMENT GROUP	036	FDO	B	50,000	59.89	n/a	29-Mar	1,500.00	3.0
WEINTRAUB CAPITAL MGT.	269	FDO	B	100,000	58.68	n/a	29-Mar	4,000.00	4.0
NEWLAND CAPITAL MGT	025	FXI	B	50,800	36.28	n/a	n/a	2,032.00	4.0
BALYASNY ASSET MGMT	044	F	SS	100,000	12.31	n/a	12-Mar	5,000.00	5.0
OZ MGMT	040	F	SS	250,000	12.31	n/a	12-Mar	7,500.00	3.0
MTB INV ADV	034	GBX	S	33,875	19.87	n/a	n/a	1,100.94	3.3
PIONEER OAKRIDGE	031	GILD	S	490	47.78	n/a	n/a	9.80	2.0
CAERUS GLOBAL	041	GME	B	10,065	22.76	n/a	n/a	402.60	4.0
PIONEER OAKRIDGE	031	GOOG	S	15	653.03	n/a	n/a	0.30	2.0
BRANDWINE	028	GPS	S	136,400	26.11	n/a	n/a	5,456.00	4.0
PIONEER OAKRIDGE	031	GS	S	110	124.00	n/a	26-Mar	2.20	2.0
IMPALA ASSET MMT	040	HP	B	40,000	52.46	n/a	n/a	2,000.00	5.0
SCOPUS FUND	041	HSNI	B	30,355	37.77	n/a	n/a	1,214.20	4.0
PIONEER OAKRIDGE	031	IBM	S	260	207.03	n/a	n/a	5.20	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ICE	S	130	135.48	n/a	n/a	2.60	2.0
PIONEER OAKRIDGE	031	ISRG	S	20	543.01	n/a	n/a	0.40	2.0
PIONEER OAKRIDGE	031	ITW	S	455	56.12	n/a	1-Feb	9.10	2.0
IMPALA ASSET MMT	040	IYT	B	12,300	93.78	n/a	n/a	615.00	5.0
JP MORGAN VENTURES	046	JACK	B	15,000	23.91	n/a	n/a	600.00	4.0
PIONEER OAKRIDGE	031	JCI	S	655	31.76	n/a	23-Mar	13.10	2.0
CENTURION PARTNERS	041	JNY	B	20,000	11.57	n/a	9-Feb	800.00	4.0
SIMMONS VENTURES	041	JNY	B	5,200	11.10	n/a	9-Feb	208.00	4.0
PIONEER OAKRIDGE	031	JWN	S	310	54.78	n/a	2-Mar	6.20	2.0
VERITION	028	LVS	B	15,000	57.32	n/a	13-Jun	450.00	3.0
PIONEER OAKRIDGE	031	MJN	S	255	82.46	n/a	n/a	5.10	2.0
MERRILL ASSET/BLACKROCK	297	MKL	B	2,251	448.97	n/a	n/a	90.04	4.0
SCOPUS FUND	041	MOS	S	10,000	54.84	n/a	n/a	400.00	4.0
CYRUS CAPITAL	025	MWV	B	20,000	31.21	n/a	21-Mar	800.00	4.0
ARSENAL ASSET MANAGEMENT	028	NAV	B	15,000	40.39	n/a	9-Mar	600.00	4.0
KENNEDY CAPITAL	046	NP	S	20,000	30.03	n/a	21-Feb	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ORCL	S	765	29.29	n/a	n/a	15.30	2.0
PIONEER OAKRIDGE	031	ORLY	S	265	90.12	n/a	n/a	5.30	2.0
IMPALA ASSET MMT	040	OXY	B	25,000	94.42	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	OXY	S	245	92.29	n/a	n/a	4.90	2.0
PIONEER OAKRIDGE	031	PCLN	S	35	716.33	n/a	n/a	0.70	2.0
PIONEER OAKRIDGE	031	PCP	S	135	170.95	n/a	21-Mar	2.70	2.0
PIONEER OAKRIDGE	031	PEP	S	330	65.60	n/a	n/a	6.60	2.0
IMPALA ASSET MMT	040	PHM	B	63,000	9.26	n/a	n/a	1,260.00	2.0
TUDOR INVESTORS	028	PNR	SS	5,000	46.79	n/a	n/a	150.00	3.0
ADAGE CAPITAL MGMT	030	PSS	S	450,000	20.08	n/a	n/a	13,500.00	3.0
PIONEER OAKRIDGE	031	PX	S	195	113.34	n/a	23-Mar	3.90	2.0
PIONEER OAKRIDGE	031	QCOM	S	505	67.64	n/a	n/a	10.10	2.0
NOMURA CAPITAL	029	QUAD	S	1,303	14.10	n/a	n/a	39.09	3.0
PIONEER OAKRIDGE	031	RAX	S	210	57.15	n/a	n/a	4.20	2.0
DISCIPLINED GROWTH INV.	030	RCL	B	18,700	29.00	n/a	n/a	935.00	5.0
IRIDIAN ASSET MGMT.	036	ROC	S	35,400	51.59	n/a	n/a	1,770.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	RVBD	S	565	27.42	n/a	n/a	11.30	2.0
PIONEER OAKRIDGE	031	SLB	S	195	69.21	n/a	n/a	3.90	2.0
MERRILL ASSET/BLACKROCK	297	SM	B	19,100	69.93	n/a	n/a	764.00	4.0
COLUMBUS CIRCLE	036	SNCR	S	10,046	32.03	n/a	n/a	401.84	4.0
PIONEER OAKRIDGE	031	SWN	S	315	30.13	n/a	23-Mar	6.30	2.0
ELM RIDGE ADVISORS	044	SWY	B	14,398	20.17	n/a	n/a	575.92	4.0
PIONEER OAKRIDGE	031	TJX	S	755	39.10	n/a	2-Mar	15.10	2.0
IMPALA ASSET MMT	040	TK	B	33,000	34.80	n/a	n/a	1,320.00	4.0
CATAPULT	040	UNP	B	3,046	106.76	n/a	n/a	121.84	4.0
SCOPUS FUND	041	URBN	S	50,005	28.95	n/a	n/a	2,000.20	4.0
MERCHANTS GATE CAP LP	036	USO	C	100,000	39.02	n/a	n/a	4,000.00	4.0
PIONEER OAKRIDGE	031	UTX	S	265	81.41	n/a	n/a	5.30	2.0
PIONEER OAKRIDGE	031	VFC	S	70	147.77	n/a	17-Feb	1.40	2.0
PIONEER OAKRIDGE	031	V	S	185	118.34	n/a	13-Mar	3.70	2.0
CAERUS GLOBAL	041	WAG	B	11,500	33.86	n/a	n/a	460.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	WAG	S	450	33.68	n/a	n/a	9.00	2.0
IMPALA ASSET MMT	040	WLL	S	25,000	53.38	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	040	WLT	B	50,000	60.29	n/a	n/a	2,500.00	5.0
CAERUS GLOBAL	041	WSM	SS	15,000	37.73	n/a	n/a	600.00	4.0
<b>TOTAL (Trade Date):</b>								<b>85,937.39</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/28	CHANNING CAPITAL (CHANCALGCP)	031	EMN	B	3,262	50.92	n/a	n/a	130.48 4.0
AO,CXL	03/28	CHANNING CAPITAL (CHANALIASN)	031	EMN	B	3,648	50.92	n/a	n/a	145.92 4.0
AO,CXL	03/28	CHANNING CAPITAL (CHANCALSLG)	031	EMN	B	3,262	50.92	n/a	n/a	130.48 4.0
AO,CRT	03/28	CHANNING CAPITAL (CHANTCHALL)	031	EMN	B	3,648	50.92	n/a	n/a	145.92 4.0
CRT	03/29	PERSHING SQUARE (PERSUBS)	029	FDO	S	196,000	58.89	n/a	29-Mar	7840.00 4.0
CRT	03/29	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	269	FDO	B	100,000	58.68	n/a	29-Mar	4000.00 4.0
CRT	03/29	VERITION (VERTBAMLAC)	028	LVS	B	15,000	57.32	n/a	13-Jun	450.00 3.0
AO,CRT	03/28	CHANNING CAPITAL (CHANCALGCP)	031	MSFT	B	3,542	32.20	n/a	n/a	141.68 4.0
AO,CXL	03/28	CHANNING CAPITAL (CHANCALSLG)	031	MSFT	B	3,542	32.20	n/a	n/a	141.68 4.0
AO,CRT	03/28	CHANNING CAPITAL (CHANCALGCP)	031	PXP	B	3,233	42.84	n/a	n/a	129.32 4.0
AO,CXL	03/28	CHANNING CAPITAL (CHANALIASN)	031	PXP	B	4,965	42.84	n/a	n/a	198.60 4.0
AO,CXL	03/28	CHANNING CAPITAL (CHANCALSLG)	031	PXP	B	3,233	42.84	n/a	n/a	129.32 4.0
AO,CRT	03/28	CHANNING CAPITAL (CHANTCHALL)	031	PXP	B	4,965	42.84	n/a	n/a	198.60 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>12,290.00</b>
TOTAL (Trade Date):										85,937.39
TOTAL (AO, CXL, CRT):										12,290.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>98,227.39</b>





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