



Daily Compliance Activity Report

Trade Date: 06/29/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	1,750	123.55	n/a	n/a	35.00	2.0
PROSPECTOR PARTNERS LLC	036	AA	S	15,000	40.51	n/a	n/a	600.00	4.0
PIONEER OAKRIDGE	031	ABCO	B	455	56.56	n/a	n/a	9.10	2.0
PIONEER OAKRIDGE	031	ABT	S	2,940	53.83	n/a	22-Apr	58.80	2.0
ARTISAN PARTNERS LP	031	ACLS	S	99,800	6.60	n/a	n/a	3,992.00	4.0
PIONEER OAKRIDGE	031	ADBE	S	6,640	40.35	n/a	n/a	132.80	2.0
IVORY CAPITAL	034	AES	B	100,000	22.21	n/a	n/a	5,000.00	5.0
PIONEER OAKRIDGE	031	AFL	S	3,120	52.06	n/a	n/a	62.40	2.0
PIONEER OAKRIDGE	031	AGN	S	8,585	57.88	25-Jun	25-Jun	171.70	2.0
PIONEER OAKRIDGE	031	AIR	B	5,580	33.33	n/a	n/a	111.60	2.0
PRINCIPLE CAPITAL	040	ANN	B	65,000	35.48	25-May	8-Jun	1,950.00	3.0
PIONEER OAKRIDGE	031	ANST	B	5,715	29.34	n/a	n/a	114.30	2.0
CROWLEY	061	APNS	B	10,000	0.20	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	ARG	B	5,720	48.12	3-May	22-Jun	114.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	ASD	B	10,000	59.05	31-May	25-Jun	500.00	5.0
ARTISAN PARTNERS LP	031	AVCT	S	20,600	29.27	n/a	22-Mar	1,030.00	5.0
PIONEER OAKRIDGE	031	AXP	S	2,350	61.31	n/a	n/a	47.00	2.0
PIONEER OAKRIDGE	031	BA	S	990	96.15	n/a	n/a	19.80	2.0
PIONEER OAKRIDGE	031	BBY	S	2,615	46.91	1-May	27-Jun	52.30	2.0
PIONEER OAKRIDGE	031	BUCY	B	4,635	70.65	n/a	n/a	92.70	2.0
TROUBH PART	067	BX	B	400	29.75	n/a	n/a	20.00	5.0
TROUBH PART	067	BX	S	50,400	29.56	n/a	n/a	2,520.00	5.0
COUGAR TRADING	044	CHCG	B	30,000	5.99	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	CHS	SS	50,000	24.62	31-May	8-Jun	2,000.00	4.0
PIONEER OAKRIDGE	031	CMCSA	S	5,635	28.39	5-Apr	22-Jun	112.70	2.0
BARR	096	CNXT	B	8,000	1.41	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	5,000	47.70	23-Feb	25-Apr	200.00	4.0
PIONEER OAKRIDGE	031	COH	S	5,265	47.77	23-Feb	25-Apr	105.30	2.0
WEINTRAUB CAPITAL MGT.	040	COH	SS	50,000	47.39	23-Feb	25-Apr	2,500.00	5.0
PIONEER OAKRIDGE	031	CSCO	S	8,590	27.99	n/a	22-Mar	171.80	2.0
PIONEER OAKRIDGE	031	CTSH	S	755	76.14	n/a	n/a	15.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	DD	S	20,000	51.36	n/a	25-May	800.00	4.0
PIONEER OAKRIDGE	031	DHR	S	2,325	76.00	n/a	n/a	46.50	2.0
PIONEER OAKRIDGE	031	DNA	S	450	75.50	n/a	n/a	9.00	2.0
BUCK CAPITAL MGMT	001	DSW	B	88,000	34.73	7-May	7-Jun	3,520.00	4.0
PIONEER OAKRIDGE	031	ECL	S	2,675	43.14	n/a	22-May	53.50	2.0
WASHINGTON ASSET	048	EIG	S	9,900	21.00	n/a	n/a	495.00	5.0
PIONEER OAKRIDGE	031	ERTS	S	2,825	47.80	n/a	n/a	56.50	2.0
LED DY	035	EVST	S	2,000	30.30	n/a	n/a	0.00	0.0
MKT MAKER	099	EVST	SS	100	30.00	n/a	n/a	0.00	0.0
EIDELMAN, FINGER & CO	046	FDP	S	8,900	25.56	n/a	n/a	445.00	5.0
METROPOLITAN CAPITAL	044	FL	B	49,700	21.82	24-May	21-Jun	101.09	2.5
BINDER	007	F	SS	400	9.41	n/a	14-Jun	0.00	0.0
DAWSON SANBERG & CO	036	GCI	SS	5,000	54.89	n/a	n/a	250.00	5.0
US BANCORP	030	GCI	S	54,735	55.07	n/a	n/a	2,736.75	5.0
PIONEER OAKRIDGE	031	GE	S	7,210	38.49	n/a	n/a	144.20	2.0
PIONEER OAKRIDGE	031	GLW	S	5,325	25.74	n/a	15-May	106.50	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BINDER	007	GM	SS	100	37.77	4-May	29-Jun	0.00	0.0
PIONEER OAKRIDGE	031	GOOG	S	430	524.38	n/a	n/a	8.60	2.0
BULL PATH CAPITAL	044	GS	B	18,000	219.50	15-Jun	15-Jun	900.00	5.0
MATTHES CAPITAL MGMT	033	HBI	B	26,000	27.05	n/a	n/a	1,040.00	4.0
PIONEER OAKRIDGE	031	HK	B	3,425	16.13	n/a	n/a	68.50	2.0
BUCK	015	HOLX	C	1,040	55.81	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	HST	S	20,000	23.27	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	ICON	B	15,570	22.44	n/a	n/a	311.40	2.0
WHITE PINE CAPITAL	030	IFF	S	10,100	52.32	3-May	21-Jun	505.00	5.0
PROSPECTOR PARTNERS LLC	036	IOSP	S	7,100	60.87	n/a	n/a	284.00	4.0
IRONBOUND CAPITAL	012	IP	SS	10,000	39.01	4-May	14-Jun	500.00	5.0
PIONEER OAKRIDGE	031	IRM	S	2,685	26.15	n/a	n/a	53.70	2.0
CASEY CAPITAL	067	IVZ	S	12,000	26.13	14-Jun	25-Jun	600.00	5.0
KEEFE BRUYETTE WOODS A	031	IVZ	S	8,200	26.05	14-Jun	25-Jun	410.00	5.0
PIONEER OAKRIDGE	031	IVZ	S	5,980	26.12	14-Jun	25-Jun	119.60	2.0
SIGMA CAPITAL ASSOCIATES	044	JCP	SS	25,000	72.46	21-Jun	21-Jun	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARRIS ASSOCIATES	031	JPM	B	51,200	49.12	n/a	28-Jun	2,048.00	4.0
PROSPECTOR PARTNERS LLC	036	KO	S	20,000	52.67	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	KYPH	B	4,625	47.80	n/a	n/a	92.50	2.0
PIONEER OAKRIDGE	031	LKQX	B	5,530	25.23	n/a	n/a	110.60	2.0
DAWSON SANBERG & CO	036	LOW	SS	26,000	30.77	n/a	21-May	1,300.00	5.0
SCOPUS FUND	039	LPX	B	150,000	18.90	14-Jun	14-Jun	7,500.00	5.0
MS PRINCIPAL STRATEGIES	040	MAR	B	25,000	43.03	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	MAR	S	3,215	43.70	n/a	n/a	64.30	2.0
WEINTRAUB CAPITAL MGT.	040	MAT	B	50,000	25.28	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	MBI	S	1,100	63.44	n/a	n/a	22.00	2.0
HARRIS ASSOCIATES	031	MCD	B	15,400	51.08	24-Apr	24-Apr	616.00	4.0
PIONEER OAKRIDGE	031	MCHP	S	4,000	37.29	n/a	n/a	80.00	2.0
PIONEER OAKRIDGE	031	MCRS	B	1,850	54.48	n/a	n/a	37.00	2.0
HARRIS ASSOCIATES	031	MEL	B	70,100	44.70	n/a	14-Jun	2,804.00	4.0
GAULT	063	MERGQ	B	100	1.65	n/a	n/a	0.00	0.0
KERN	050	MERHR	B	20	1.15	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	MINI	B	1,905	29.54	n/a	n/a	38.10	2.0
PIONEER OAKRIDGE	031	MSFT	S	9,025	29.67	n/a	3-Apr	180.50	2.0
PIONEER OAKRIDGE	031	MWIV	B	10,645	39.28	n/a	n/a	212.90	2.0
PRINCIPLE CAPITAL	040	NCI	B	100,000	18.56	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	NLS	S	40,000	12.18	n/a	n/a	1,600.00	4.0
SCOPUS FUND	039	NP	S	2,600	41.31	14-Jun	14-Jun	130.00	5.0
PIONEER OAKRIDGE	031	NVS	S	2,515	56.31	n/a	n/a	50.30	2.0
PIONEER OAKRIDGE	031	NWSA	S	6,960	21.44	n/a	n/a	139.20	2.0
PROSPECTOR PARTNERS LLC	036	NYT	S	10,000	25.66	n/a	n/a	400.00	4.0
BUCK	015	ONXX	B	1,000	27.08	n/a	n/a	0.00	0.0
LUCHANSKY	036	OPY	B	200	51.00	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	PAYX	S	3,800	39.15	n/a	n/a	76.00	2.0
PIONEER OAKRIDGE	031	PCP	S	440	121.66	n/a	n/a	8.80	2.0
PIONEER OAKRIDGE	031	PCS	S	320	33.89	n/a	n/a	6.40	2.0
PIONEER OAKRIDGE	031	PEP	S	2,470	65.27	n/a	n/a	49.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	PFE	B	1,000	25.50	n/a	31-Mar	0.00	0.0
PIONEER OAKRIDGE	031	PG	S	2,957	61.48	n/a	25-Jun	59.14	2.0
COUGAR TRADING	044	PSUN	B	5,000	22.07	n/a	8-Jun	250.00	5.0
BUCK CAPITAL MGMT	001	PTT	B	20,000	7.91	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	QCOM	S	4,940	43.70	n/a	n/a	98.80	2.0
KENNEDY CAPITAL	046	RDEN	B	57,000	24.16	4-May	4-May	2,280.00	4.0
MKT MAKER	099	RDEN	B	84	24.16	4-May	4-May	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	50,000	98.49	21-Jun	27-Jun	2,000.00	4.0
COUGAR TRADING	044	RL	SS	5,000	98.41	21-Jun	27-Jun	250.00	5.0
PIONEER OAKRIDGE	031	RNT	B	6,015	29.47	n/a	n/a	120.30	2.0
PIONEER OAKRIDGE	031	SCHW	S	8,205	20.79	n/a	n/a	164.10	2.0
PIONEER OAKRIDGE	031	SCRX	B	1,885	23.74	27-Apr	25-Jun	37.70	2.0
PIONEER OAKRIDGE	031	SLB	S	2,165	86.88	n/a	n/a	43.30	2.0
KERN	050	SMG	S	200	42.83	20-Feb	15-Jun	0.00	0.0
PIONEER OAKRIDGE	031	SPLS	S	5,970	23.87	n/a	23-May	119.40	2.0
PIONEER OAKRIDGE	031	SWSI	B	7,200	25.66	n/a	n/a	144.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	TGT	S	2,480	63.80	n/a	7-Jun	49.60	2.0
MORGAN STANLEY ASSET MGT	031	THC	S	175,000	6.51	n/a	29-Jun	7,000.00	4.0
XYLEM GLOBAL	091	TIN	B	25,000	61.63	14-Jun	14-Jun	1,250.00	5.0
BUCK CAPITAL MGMT	001	TLB	SS	70,000	24.92	n/a	29-Jun	2,800.00	4.0
PIONEER OAKRIDGE	031	TMO	S	4,325	52.01	n/a	n/a	86.50	2.0
PROSPECTOR PARTNERS LLC	036	TR	S	10,000	27.92	n/a	n/a	400.00	4.0
COUGAR TRADING	044	TWB	S	5,000	44.68	23-May	23-May	250.00	5.0
CUMBERLAND	038	TWB	SS	25,000	44.77	23-May	23-May	1,000.00	4.0
PIONEER OAKRIDGE	031	TXN	S	4,885	38.02	n/a	n/a	97.70	2.0
HARRIS ASSOCIATES	031	UNP	B	16,500	116.44	n/a	n/a	660.00	4.0
MSD CAPITAL	036	USTR	S	100	68.00	23-May	23-May	5.00	5.0
PIONEER OAKRIDGE	031	UTX	S	2,620	71.28	n/a	n/a	52.40	2.0
HARRIS ASSOCIATES	031	VIAB	B	62,500	41.68	n/a	n/a	2,500.00	4.0
PIONEER OAKRIDGE	031	WAG	S	3,195	43.75	n/a	n/a	63.90	2.0
PIONEER OAKRIDGE	031	WCN	B	3,530	30.49	n/a	n/a	70.60	2.0
SANDLER O'NEILL ASSET	031	WDR	B	1,600	26.27	5-Mar	25-Jun	80.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAWSON SANBERG & CO	036	WFC	SS	19,300	35.11	n/a	n/a	965.00	5.0
PIONEER OAKRIDGE	031	WLP	S	380	79.96	n/a	n/a	7.60	2.0
XYLEM GLOBAL	091	WY	B	10,000	79.28	7-May	14-Jun	500.00	5.0
PIONEER OAKRIDGE	031	XTO	S	3,435	60.58	n/a	n/a	68.70	2.0
DAWSON SANBERG & CO	036	YUM	SS	18,700	32.86	24-Apr	24-Apr	935.00	5.0
PATTEN & PATTEN	067	ZMH	B	845	85.31	n/a	n/a	42.25	5.0
PIONEER OAKRIDGE	031	ZMH	S	1,830	85.52	n/a	n/a	36.60	2.0
COUGAR TRADING	044	ZQK	B	20,000	13.88	9-Mar	27-Jun	1,000.00	5.0
TOTAL (Trade Date):								90,257.23	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/28	FARALLON CAP MGMT (FARABULK F)	040	BSX	B	190,000	15.50	n/a	22-Apr	7600.00 4.0
AO,CRT	06/28	FARALLON CAP MGMT (FARABULK F)	040	BSX	B	190,000	15.50	n/a	22-Apr	5700.00 3.0
AO,	06/28	MATTHES CAPITAL MGMT (MATTMSPB)	033	HBI	B	9,310	27.65	n/a	n/a	372.40 4.0
AO,	06/28	MATTHES CAPITAL MGMT (MATTGSPB)	033	HBI	B	14,190	27.65	n/a	n/a	567.60 4.0
AO,CXL	06/28	BLUE HARBOR (BLUHOLDMA)	036	IVZ	S	4,000	26.21	14-Jun	25-Jun	200.00 5.0
AO,CRT	06/28	ROARING BLUE LION MGMT (ROAR4CENTS)	012	IVZ	S	4,000	26.21	14-Jun	25-Jun	160.00 4.0
AO,CRT	06/22	AMATURO (AMATURO)	018	MPEL	B	1,000	11.55	n/a	n/a	0.00 0.0
AO,CXL	06/22	AMATURO (AMATURO)	018	MPEL	B	1,000	11.55	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										-1,000.00
TOTAL (Trade Date) :										90,257.23
TOTAL (AO, CXL, CRT) :										-1,000.00
TOTAL (RUN DATE) / NFS :										89,257.23

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