



Daily Compliance Activity Report

Trade Date: 08/20/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	185	650.02	n/a	n/a	3.70	0.0
LATEEF MGMT	035	AA	B	350	8.78	n/a	n/a	35.00	10.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		ABCO	S		18,479	40.91	n/a	n/a	554.37 0.0
PIONEER OAKRIDGE	031	ABT	S	930	66.00	n/a	n/a	18.60	0.0
VISIUM/BALY BOBBY	044	ACI	C	40,000	7.04	n/a	n/a	1,600.00	0.0
LATEEF MGMT	035	ALL	S	250	38.03	n/a	n/a	32.50	13.0
PIONEER OAKRIDGE	031	ALTR	S	955	36.20	n/a	n/a	19.10	0.0
PIONEER OAKRIDGE	031	AME	S	1,885	33.95	n/a	n/a	37.70	0.0
PIONEER OAKRIDGE	031	AMG	S	490	118.60	n/a	2-Mar	9.80	0.0
LATEEF MGMT	035	ATI	B	150	32.48	n/a	7-Aug	30.00	20.0
CAISSE DEPOT PLACEMENT Q	295	AXP	S	35,000	56.80	n/a	15-Aug	1,750.00	5.0
PIONEER OAKRIDGE	031	BAX	S	835	58.89	n/a	n/a	16.70	0.0
PIONEER OAKRIDGE	031	BBBY	S	760	66.35	n/a	n/a	15.20	0.0
PIONEER OAKRIDGE	031	CELG	S	775	69.20	n/a	n/a	15.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	CHD	S	1,005	52.76	n/a	7-Aug	20.10	0.0
PIONEER OAKRIDGE	031	CHKP	S	995	50.88	n/a	n/a	19.90	0.0
LATEEF MGMT	035	CMCSK	S	125	33.00	n/a	n/a	31.25	25.0
PIONEER OAKRIDGE	031	COH	S	980	57.48	n/a	1-Aug	19.60	0.0
CASTLE ARK	031	CRM	B	144,640	146.33	n/a	n/a	7,232.00	0.0
PIONEER OAKRIDGE	031	CTSH	S	415	64.24	n/a	n/a	8.30	0.0
PIONEER OAKRIDGE	031	CTXS	S	470	77.55	n/a	n/a	9.40	0.0
PIONEER OAKRIDGE	031	CXO	S	330	96.14	n/a	n/a	6.60	0.0
BESSEMER INVESTMENT	085	C	B	950,000	29.79	n/a	15-Aug	38,000.00	0.0
CENTURION PARTNERS	041	DELL	S	22,000	12.48	n/a	n/a	880.00	4.0
PIONEER OAKRIDGE	031	DHR	S	1,495	53.77	n/a	n/a	29.90	0.0
PIONEER OAKRIDGE	031	DLTR	S	1,005	48.76	n/a	16-Aug	20.10	0.0
RIVERPARK CAPITAL	025	DLTR	B	1,900	48.43	n/a	16-Aug	95.00	5.0
PIONEER OAKRIDGE	031	DNR	S	2,140	15.85	n/a	n/a	42.80	0.0
LATEEF MGMT	035	DOW	B	625	30.03	n/a	10-Aug	62.50	10.0
LATEEF MGMT	035	DVN	B	150	58.95	n/a	23-Jul	30.00	20.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	EMC	S	1,715	26.74	n/a	n/a	34.30	0.0
PIONEER OAKRIDGE	031	ESRX	S	1,125	60.31	n/a	n/a	22.50	0.0
LATEEF MGMT	035	FMER	B	1,000	15.68	n/a	n/a	80.00	8.0
AMBER CAPITAL	046	FST	B	100,000	7.75	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	GILD	S	1,405	56.70	n/a	n/a	28.10	0.0
HARVEST MGMT (JMP)	029	GMCR	S	10,000	24.36	n/a	n/a	400.00	4.0
BRONSON POINT	036	GM	B	100,000	21.85	n/a	3-Aug	3,000.00	0.0
TALPION LLC	040	GNC	B	4,000	35.89	n/a	n/a	160.00	0.0
PIONEER OAKRIDGE	031	GOOG	S	45	673.32	n/a	n/a	0.90	0.0
PIONEER OAKRIDGE	031	GS	S	325	103.32	n/a	2-Aug	6.50	0.0
PIONEER OAKRIDGE	031	IBM	S	725	200.70	n/a	n/a	14.50	0.0
PIONEER OAKRIDGE	031	ICE	S	360	134.71	n/a	n/a	7.20	0.0
TOURMALINE PARTNERS LLC	086	INXN	B	15,000	19.24	n/a	n/a	450.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	35,000	34.40	n/a	20-Aug	1,750.00	5.0
DELTEC ASSET MGMT.	040	IP	B	10,000	33.84	n/a	20-Aug	500.00	5.0
TOCQUEVILLE	035	IR	S	25,000	46.29	n/a	20-Jul	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ISRG	S	70	511.01	n/a	n/a	1.40	0.0
PIONEER OAKRIDGE	031	ITW	S	1,300	59.51	n/a	n/a	26.00	0.0
PIONEER OAKRIDGE	031	JNJ	S	990	67.80	n/a	n/a	19.80	0.0
PIONEER OAKRIDGE	031	JWN	S	895	57.12	n/a	10-Aug	17.90	0.0
ASCEND PARTNERS	033	LOW	C	25,000	26.18	n/a	20-Aug	750.00	0.0
ROSEDALE CAPITAL	046	LOW	B	15,000	25.89	n/a	20-Aug	750.00	5.0
NEUBERGER BERMAN	036	MATW	S	4,394	30.60	n/a	n/a	175.76	0.0
PIONEER OAKRIDGE	031	MJN	S	720	72.81	n/a	n/a	14.40	0.0
PIONEER OAKRIDGE	031	ORCL	S	2,200	32.08	n/a	n/a	44.00	0.0
PIONEER OAKRIDGE	031	ORLY	S	590	87.59	n/a	n/a	11.80	0.0
PIONEER OAKRIDGE	031	PCLN	S	55	584.40	n/a	n/a	1.10	0.0
PIONEER OAKRIDGE	031	PCP	S	375	164.13	n/a	1-Aug	7.50	0.0
PIONEER OAKRIDGE	031	PEP	S	930	73.35	n/a	n/a	18.60	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	40,000	31.75	n/a	20-Aug	2,000.00	5.0
BASIX	033	PVH	S	5,500	87.07	n/a	18-Jul	165.00	3.0
PIONEER OAKRIDGE	031	PX	S	550	107.57	n/a	8-Aug	11.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	QCOM	S	1,435	63.09	n/a	n/a	28.70	0.0
COOPER CREEK PART	028	RKT	B	3,506	64.05	n/a	20-Aug	140.24	4.0
SASCO	033	RTN	S	157,210	56.48	n/a	30-Jul	5,502.35	0.0
PIONEER OAKRIDGE	031	SBH	S	2,015	27.45	n/a	n/a	40.30	0.0
LATEEF MGMT	035	SFG	B	500	30.52	n/a	n/a	50.00	10.0
PIONEER OAKRIDGE	031	SLB	S	565	74.49	n/a	n/a	11.30	0.0
CENTURION PARTNERS	041	STWD	B	5,000	23.05	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	SWN	S	905	32.10	n/a	3-Aug	18.10	0.0
LATEEF MGMT	035	SYI	S	325	30.46	n/a	n/a	32.50	10.0
TOCQUEVILLE	035	TER	S	50,000	15.62	n/a	n/a	2,500.00	0.0
PIONEER OAKRIDGE	031	TJX	S	2,160	45.91	n/a	15-Aug	43.20	0.0
INVESCO	031	TYC	S	156,202	57.17	n/a	3-Aug	6,248.08	0.0
SENATOR INVESTMENT GROUP	036	TYC	B	50,000	57.18	n/a	3-Aug	1,500.00	0.0
TOCQUEVILLE	035	TYC	S	25,000	57.11	n/a	3-Aug	1,250.00	0.0
LATEEF MGMT	035	UAL	B	250	19.40	n/a	n/a	30.00	12.0
TALPION LLC	040	ULTA	S	3,000	91.45	n/a	n/a	120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	UTX	S	765	80.38	n/a	n/a	15.30	0.0
PIONEER OAKRIDGE	031	VFC	S	210	153.25	n/a	25-Jul	4.20	0.0
PIONEER OAKRIDGE	031	V	S	530	128.61	n/a	26-Jul	10.60	0.0
ARSENAL ASSET MANAGEMENT	028	WBC	S	10,000	57.75	n/a	27-Jul	400.00	0.0
CYRUS CAPITAL	025	WLP	S	30,000	57.06	n/a	n/a	900.00	3.0
TOTAL (Trade Date) :								84,408.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/17	CYRUS CAPITAL (CYRUGS)	025	ATR	B	20,000	50.81	n/a	n/a	800.00 0.0
AO,	08/17	CYRUS CAPITAL (CYRUGS)	025	ATR	B	20,000	50.81	n/a	n/a	600.00 0.0
AO,CXL	08/17	CYRUS CAPITAL (CYRUGS)	025	AWI	B	10,000	43.64	n/a	n/a	400.00 0.0
AO,	08/17	CYRUS CAPITAL (CYRUGS)	025	AWI	B	10,000	43.64	n/a	n/a	300.00 0.0
AO,	08/16	ROYCE TRADING (ROYC28)	031	ELY	B	16,600	6.06	n/a	n/a	830.00 0.0
AO,	08/16	ROYCE TRADING (ROYC28)	031	ELY	B	900	6.05	n/a	n/a	45.00 0.0
AO,	08/16	ROYCE TRADING (ROYC28)	031	ELY	B	2,500	6.03	n/a	n/a	125.00 0.0
AO,CXL	08/16	ROYCE TRADING (ROYC283)	031	ELY	B	16,600	6.06	n/a	n/a	830.00 0.0
AO,CXL	08/16	ROYCE TRADING (ROYC283)	031	ELY	B	900	6.05	n/a	n/a	45.00 0.0
AO,CXL	08/16	ROYCE TRADING (ROYC283)	031	ELY	B	2,500	6.03	n/a	n/a	125.00 0.0
AO,CXL	08/17	CYRUS CAPITAL (CYRUGS)	025	SPY	B	14,230	142.02	n/a	n/a	569.20 0.0
AO,	08/17	CYRUS CAPITAL (CYRUGS)	025	SPY	B	14,230	142.02	n/a	n/a	426.90 0.0

TOTAL (AO, CXL, CRT) :**-442.30**

TOTAL (Trade Date) :

84,408.75

TOTAL (AO, CXL, CRT) :

-442.30

TOTAL (RUN DATE) / NFS:**83,966.45**

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