



Daily Compliance Activity Report

Trade Date: 11/19/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	575	201.47	n/a	n/a	11.50	2.0
PIONEER OAKRIDGE	031	ABT	S	1,825	52.63	n/a	n/a	36.50	2.0
PATTEN & PATTEN	067	ACL	B	200	145.99	n/a	18-Nov	10.00	5.0
PIONEER OAKRIDGE	031	ADBE	S	1,895	35.56	n/a	n/a	37.90	2.0
WEINTRAUB CAPITAL MGT.	040	AEO	B	50,000	14.80	n/a	6-Nov	2,000.00	4.0
PATTEN & PATTEN	067	AGN	S	800	58.62	n/a	19-Nov	40.00	5.0
PIONEER OAKRIDGE	031	AGN	S	1,135	58.29	n/a	19-Nov	22.70	2.0
ROTHSCHILD ASSET	040	AIR	B	11,560	19.56	n/a	n/a	520.20	4.5
M&I FUNDS	047	AMG	S	31,923	67.26	n/a	19-Nov	1,276.92	4.0
ROTHSCHILD ASSET	040	APA	S	10,466	97.40	n/a	2-Nov	470.98	4.5
PIONEER OAKRIDGE	031	APH	S	880	42.17	n/a	n/a	17.60	2.0
COOPER CREEK PART	028	AXL	SS	25,000	6.64	n/a	2-Nov	750.00	3.0
CHILTON CAPITAL MGMT.	036	BAC	SS	100,000	16.17	n/a	18-Nov	3,000.00	3.0
GEORGE WEISS	034	BA	SS	20,000	51.28	n/a	30-Oct	800.00	4.0
PATTEN & PATTEN	067	BBT	S	1,500	24.73	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	BBY	S	10,000	42.65	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	BBY	S	1,370	42.35	n/a	n/a	27.40	2.0
PIONEER OAKRIDGE	031	BDX	S	850	72.98	n/a	n/a	17.00	2.0
STELLIAM INV ADV	034	BEAV	S	25,000	19.94	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	BIG	S	50,000	24.82	n/a	6-Nov	2,000.00	4.0
PATTEN & PATTEN	067	BP	B	200	58.02	n/a	n/a	10.00	5.0
TROOB CAPITAL	067	BZ	B	30,000	4.85	n/a	n/a	900.00	3.0
BENCHMARK	025	CAT	SS	2,500	57.80	n/a	21-Oct	125.00	5.0
PIONEER OAKRIDGE	031	CELG	S	1,080	54.38	n/a	n/a	21.60	2.0
HUTCHIN HILL CAPITAL LP	233	CHS	B	10,000	14.41	n/a	n/a	300.00	3.0
PIONEER OAKRIDGE	031	CME	S	75	318.88	n/a	18-Nov	1.50	2.0
IRIDIAN ASSET MGMT.	036	CRM	SS	7,950	62.04	n/a	n/a	397.50	5.0
PIONEER OAKRIDGE	031	CSCO	S	4,525	23.46	n/a	n/a	90.50	2.0
STELLIAM INV ADV	034	CSCO	S	25,000	23.58	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	CTSH	S	805	44.05	n/a	n/a	16.10	2.0
DIAMONDBACK CAP MGMT	232	CVS	B	15,000	30.88	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	CVS	B	9,196	31.12	n/a	n/a	367.84	4.0
PIONEER OAKRIDGE	031	DHR	S	1,050	71.09	n/a	n/a	21.00	2.0
ADAGE CAPITAL MGMT	030	DKS	B	100,000	22.20	n/a	19-Nov	4,000.00	4.0
PIONEER OAKRIDGE	031	ECL	S	1,405	45.16	n/a	27-Oct	28.10	2.0
PROSPECTOR PARTNERS LLC	036	EP	B	10,000	9.65	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	ESRX	S	1,075	84.53	n/a	n/a	21.50	2.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.66	n/a	n/a	1,200.00	6.0
PATTEN & PATTEN	067	EXC	B	300	46.48	n/a	n/a	15.00	5.0
CUMBERLAND	239	EXH	B	10,000	21.03	n/a	2-Nov	400.00	4.0
WOOSTER CAPITAL	035	F	B	250,000	8.65	n/a	4-Nov	7,500.00	3.0
LISTED ERR	099	F	B	58	8.65	n/a	4-Nov	0.00	0.0
LISTED ERR	099	F	S	58	8.65	n/a	4-Nov	0.00	0.0
PROSPECTOR PARTNERS LLC	036	GFI	B	20,000	14.24	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	GILD	S	1,435	46.01	n/a	n/a	28.70	2.0
PIONEER OAKRIDGE	031	GOOG	S	225	570.85	n/a	n/a	4.50	2.0
PIONEER OAKRIDGE	031	HK	S	1,395	20.99	n/a	n/a	27.90	2.0
PIONEER OAKRIDGE	031	HPQ	S	1,675	49.46	n/a	n/a	33.50	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	HSIC	S	1,260	51.25	n/a	n/a	25.20	2.0
GREEN ARROW DOUG	040	HZO	S	35,000	6.81	n/a	n/a	1,750.00	5.0
PIONEER OAKRIDGE	031	IBM	S	810	126.78	n/a	n/a	16.20	2.0
PIONEER OAKRIDGE	031	ICE	S	510	106.11	n/a	n/a	10.20	2.0
PIONEER OAKRIDGE	031	INTC	S	3,410	19.01	n/a	n/a	68.20	2.0
PIONEER OAKRIDGE	031	IRM	S	1,415	23.95	n/a	n/a	28.30	2.0
PIONEER OAKRIDGE	031	IVZ	S	1,635	22.29	n/a	19-Nov	32.70	2.0
SYSTEMATIC FINANCIAL MGT	035	IVZ	S	197,500	22.39	n/a	19-Nov	6,912.50	3.5
BUCK CAPITAL MGMT	001	JCG	B	5,000	41.02	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	JCI	S	2,010	27.07	n/a	28-Oct	40.20	2.0
HOTCHKIS & WILEY	035	JCP	B	499,000	29.37	n/a	16-Nov	24,950.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	25,000	29.20	n/a	16-Nov	1,000.00	4.0
PATTEN & PATTEN	067	KMB	B	200	64.61	n/a	26-Oct	10.00	5.0
PIONEER OAKRIDGE	031	KR	S	1,855	22.67	n/a	n/a	37.10	2.0
PIONEER OAKRIDGE	031	K	S	1,285	52.58	n/a	n/a	25.70	2.0
UBS OCONNOR	031	LM	C	100,000	29.69	n/a	17-Nov	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	034	LSI	SS	15,000	5.50	n/a	n/a	750.00	5.0
CHILTON CAPITAL MGMT.	036	LTD	SS	50,000	17.69	n/a	n/a	1,500.00	3.0
LOOMIS SALES/BOSTON	036	LTD	S	133,291	17.69	n/a	n/a	5,331.64	4.0
CHILTON CAPITAL MGMT.	036	MLM	SS	20,000	85.73	n/a	n/a	600.00	3.0
PIONEER OAKRIDGE	031	MON	S	305	78.11	n/a	11-Nov	6.10	2.0
AVESTA CAP	229	MSFT	B	100,000	29.89	n/a	n/a	4,000.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	2,890	29.75	n/a	n/a	57.80	2.0
PATTEN & PATTEN	067	MS	B	500	32.54	n/a	18-Nov	25.00	5.0
BASIX	033	MTW	S	67,000	10.88	n/a	3-Nov	2,010.00	3.0
WHITE PINE CAPITAL	030	MWV	S	19,300	26.26	n/a	16-Nov	965.00	5.0
LEVIN CAPITAL STRATEGIES	012	NTAP	S	30,000	30.73	n/a	n/a	900.00	3.0
CHILTON CAPITAL MGMT.	036	NYB	SS	100,000	11.46	n/a	28-Oct	3,000.00	3.0
PIONEER OAKRIDGE	031	ORLY	S	1,665	38.78	n/a	n/a	33.30	2.0
CHILTON CAPITAL MGMT.	036	OZRK	SS	50,000	26.58	n/a	n/a	1,500.00	3.0
PIONEER OAKRIDGE	031	PCP	S	530	102.28	n/a	n/a	10.60	2.0
PIONEER OAKRIDGE	031	PEP	S	1,305	61.52	n/a	n/a	26.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	PETM	B	50,000	25.73	n/a	n/a	2,000.00	4.0
PIONEER OAKRIDGE	031	PG	S	1,555	61.78	n/a	13-Nov	31.10	2.0
PIONEER OAKRIDGE	031	PX	S	785	82.04	n/a	28-Oct	15.70	2.0
PIONEER OAKRIDGE	031	QCOM	S	2,600	44.63	n/a	n/a	52.00	2.0
TROOB CAPITAL	067	RAD	B	250,000	1.35	n/a	n/a	7,500.00	3.0
CRAMER ROSENTHAL/SCOTT	012	RAH	B	900	54.55	n/a	n/a	36.00	4.0
PRINCIPLE CAPITAL	040	RHI	SS	100,000	23.29	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	RIG	S	570	85.40	n/a	n/a	11.40	2.0
LOOMIS SALES/BOSTON	036	ROST	S	10,000	44.78	n/a	n/a	400.00	4.0
UBS OCONNOR	031	ROST	C	100,000	44.81	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	RTN	S	1,515	49.60	n/a	22-Oct	30.30	2.0
PIONEER OAKRIDGE	031	SAP	S	1,305	47.76	n/a	n/a	26.10	2.0
CHILTON CAPITAL MGMT.	036	SCBT	SS	25,000	26.63	n/a	n/a	750.00	3.0
PIONEER OAKRIDGE	031	SCHW	S	2,250	18.27	n/a	n/a	45.00	2.0
GALT INVESTMENT	041	SCSS	S	50,000	5.51	n/a	n/a	1,500.00	3.0
CRAMER ROSENTHAL/SCOTT	012	SJM	S	255,500	53.19	n/a	n/a	10,220.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAXON WOODS ADVISORS	242	SJM	S	10,200	52.77	n/a	n/a	408.00	4.0
HUTCHIN HILL CAPITAL LP	233	SKS	B	20,000	6.56	n/a	n/a	600.00	3.0
PIONEER OAKRIDGE	031	SLB	S	1,140	64.35	n/a	n/a	22.80	2.0
PIONEER OAKRIDGE	031	SPLS	S	3,320	22.49	n/a	n/a	66.40	2.0
PIONEER OAKRIDGE	031	SWN	S	1,275	41.40	n/a	2-Nov	25.50	2.0
KARSCH CAPITAL	034	SWY	C	54,000	22.58	n/a	n/a	1,620.00	3.0
PIONEER OAKRIDGE	031	SYK	S	1,125	48.48	n/a	n/a	22.50	2.0
KARSCH CAPITAL	034	SYU	C	46,000	26.96	n/a	n/a	1,380.00	3.0
EXIS CAPITAL	044	TEN	B	10,000	16.18	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	TGT	S	1,320	47.57	n/a	18-Nov	26.40	2.0
BARON ASSET MGMT*	012	TIF	S	55,000	41.26	n/a	n/a	2,750.00	5.0
SLS CAPITAL LLC	224	TIF	S	34,500	41.05	n/a	n/a	1,380.00	4.0
ASCEND PARTNERS	033	TMO	S	50,000	46.32	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	TMO	S	1,550	46.26	n/a	n/a	31.00	2.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	9.68	n/a	n/a	300.00	3.0
PIONEER OAKRIDGE	031	TXN	S	2,565	24.64	n/a	n/a	51.30	2.0
RBC CAPITAL MARKETS	040	TXT	S	5,000	19.44	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	UTX	S	1,075	67.44	n/a	n/a	21.50	2.0
CHILTON CAPITAL MGMT.	036	VMC	SS	20,000	49.41	n/a	n/a	600.00	3.0
HUNTER GLOBAL INVESTOR	067	VMC	SS	20,000	49.46	n/a	n/a	1,000.00	5.0
WHITE PINE CAPITAL	030	VZ	B	16,325	30.42	n/a	n/a	816.25	5.0
PIONEER OAKRIDGE	031	V	S	1,095	80.01	n/a	19-Nov	21.90	2.0
ADAGE CAPITAL MGMT	030	WSM	SS	50,000	21.56	n/a	n/a	2,000.00	4.0
GREEN ARROW DOUG	040	WSM	SS	15,000	21.75	n/a	n/a	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	XRT	C	34,786	35.08	n/a	n/a	1,391.44	4.0
PIONEER OAKRIDGE	031	XTO	S	1,230	41.24	n/a	n/a	24.60	2.0
TOTAL (Trade Date) :								137,522.97	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	11/18	S.A.C. CAP/ORENSTEIN (SACCMSCO)	044	PCAR	B	25,000	39.26	n/a 18-Nov 1000.00	4.0
TOTAL (AO, CXL, CRT) :									1,000.00

TOTAL (Trade Date):	137,522.97
TOTAL (AO, CXL, CRT):	1,000.00

TOTAL (RUN DATE) / NFS:	138,522.97
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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