



Daily Compliance Activity Report

Trade Date: 03/04/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIIONEER OAKRIDGE	031	AAPL	S	1,215	91.70	n/a	n/a	24.30	2.0
PIIONEER OAKRIDGE	031	ABT	S	3,275	46.50	n/a	22-Apr	65.50	2.0
PIIONEER OAKRIDGE	031	ACV	S	9,000	22.95	n/a	n/a	180.00	2.0
PIIONEER OAKRIDGE	031	ADBE	S	4,005	16.34	n/a	n/a	80.10	2.0
MATRIX ASSET ADV.	036	ADI	S	5,000	18.60	n/a	n/a	150.00	3.0
PIIONEER OAKRIDGE	031	ADS	S	45	25.71	n/a	n/a	0.90	2.0
BUCK CAPITAL MGMT	001	AEO	B	50,000	9.86	n/a	2-Mar	1,500.00	3.0
PIIONEER OAKRIDGE	031	AGN	S	2,415	36.79	5-Jan	3-Mar	48.30	2.0
PIIONEER OAKRIDGE	031	AIR	S	5,000	11.68	n/a	n/a	100.00	2.0
FIRST NEW YORK LEDDY	035	AKS	B	10,000	6.96	n/a	n/a	600.00	6.0
COUGAR TRADING	044	ALV	B	20,000	14.07	30-Jan	4-Feb	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	ALV	SS	10,000	13.90	30-Jan	4-Feb	400.00	4.0
PORTER-ORLIN-FELDMAN	044	AMAT	B	200,000	9.33	n/a	n/a	10,000.00	5.0
PIIONEER OAKRIDGE	031	AMG	S	8,525	34.65	13-Nov	3-Mar	170.50	2.0
PIIONEER OAKRIDGE	031	ANSS	S	10,580	19.29	n/a	n/a	211.60	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	APH	S	1,815	25.27	n/a	n/a	36.30	2.0
PIONEER OAKRIDGE	031	ARG	S	6,560	29.15	9-Jan	6-Feb	131.20	2.0
THE JAY GOLDMAN	034	ARO	S	10,000	23.18	n/a	2-Mar	400.00	4.0
PIONEER OAKRIDGE	031	BBY	S	2,840	27.22	n/a	27-Jul	56.80	2.0
RBC CAPITAL MARKETS	034	BBY	S	10,000	27.86	n/a	27-Jul	400.00	4.0
PIONEER OAKRIDGE	031	BDX	S	1,760	64.81	n/a	22-Apr	35.20	2.0
BUCK CAPITAL MGMT	001	BIG	S	20,000	16.75	4-Mar	4-Mar	800.00	4.0
CATAPULT	040	BIG	S	41,500	16.80	4-Mar	4-Mar	1,660.00	4.0
COUGAR TRADING	044	BIG	SS	15,000	17.51	4-Mar	4-Mar	750.00	5.0
COUGAR TRADING	044	BIG	S	10,000	16.91	4-Mar	4-Mar	500.00	5.0
RBC CAPITAL MARKETS	034	BJ	S	10,000	29.80	n/a	27-Jul	400.00	4.0
BUCK CAPITAL MGMT	001	BKE	S	30,000	21.78	n/a	n/a	1,200.00	4.0
PIONEER OAKRIDGE	031	BLUD	S	3,500	21.14	n/a	n/a	70.00	2.0
COUGAR TRADING	044	BWA	B	15,000	16.68	27-Jan	13-Feb	750.00	5.0
HUNTER GLOBAL INVESTOR	067	BWA	SS	50,000	17.00	27-Jan	13-Feb	2,000.00	4.0
LITESPEED	028	BWA	B	40,000	16.64	27-Jan	13-Feb	1,200.00	3.0
NEWCASTLE FUNDS	033	BWA	C	8,600	16.62	27-Jan	13-Feb	344.00	4.0
WASHINGTON ASSET	048	CCC	B	8,000	15.00	n/a	n/a	400.00	5.0
MATRIX ASSET ADV.	036	CCL	S	4,000	19.25	n/a	26-Jan	120.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	CELG	S	2,290	42.09	n/a	n/a	45.80	2.0
PIONEER OAKRIDGE	031	CHD	S	5,560	47.75	n/a	23-Feb	111.20	2.0
PIONEER OAKRIDGE	031	CHSI	S	8,065	18.60	n/a	n/a	161.30	2.0
PIONEER OAKRIDGE	031	CHTT	S	9,000	58.41	16-Oct	23-Feb	180.00	2.0
PIONEER OAKRIDGE	031	CME	S	150	185.05	n/a	26-Feb	3.00	2.0
BUCK CAPITAL MGMT	001	COH	B	70,000	13.40	9-Jan	22-Jan	2,800.00	4.0
AVESTA CAP	229	COST	SS	25,000	41.47	n/a	27-Jul	1,250.00	5.0
PIONEER OAKRIDGE	031	CSCO	S	9,540	15.25	n/a	22-Mar	190.80	2.0
PIONEER OAKRIDGE	031	CVD	S	1,500	36.44	n/a	n/a	30.00	2.0
PIONEER OAKRIDGE	031	CXO	S	14,500	19.86	n/a	n/a	290.00	2.0
HILLTOP PARK ASSOC	041	DELL	B	100,000	8.92	n/a	n/a	4,000.00	4.0
PIONEER OAKRIDGE	031	DHR	S	2,225	51.82	n/a	n/a	44.50	2.0
PIONEER OAKRIDGE	031	DNA	S	1,805	82.08	n/a	n/a	36.10	2.0
PIONEER OAKRIDGE	031	DNR	S	75	13.31	n/a	n/a	1.50	2.0
PIONEER OAKRIDGE	031	ECL	S	2,965	30.68	10-Nov	12-Feb	59.30	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWCASTLE FUNDS	033	ETN	B	30,000	34.50	2-Mar	2-Mar	1,200.00	4.0
BALYASNY ASSET MGMT	044	FII	B	20,000	18.01	13-Nov	3-Mar	1,000.00	5.0
COUGAR TRADING	044	FINL	B	25,000	4.60	n/a	28-Mar	1,000.00	4.0
PIONEER OAKRIDGE	031	GILD	S	3,035	45.47	n/a	n/a	60.70	2.0
PIONEER OAKRIDGE	031	GME	S	55	27.28	n/a	n/a	1.10	2.0
PIONEER OAKRIDGE	031	GOOG	S	480	321.73	n/a	n/a	9.60	2.0
COUGAR TRADING	044	GPI	B	10,000	9.53	n/a	20-Feb	400.00	4.0
BMO NESBITT BURNS	041	GT	B	100,000	3.94	n/a	n/a	5,000.00	5.0
FIRST NY SEC/CHRIS	041	GYMB	B	5,000	22.21	n/a	2-Mar	250.00	5.0
GALT INVESTMENT	041	GYMB	B	20,000	22.50	n/a	2-Mar	1,000.00	5.0
PHILADELPHIA FINANCIAL	033	GYMB	B	30,000	22.30	n/a	2-Mar	1,200.00	4.0
ROARING BLUE LION MGMT	012	GYMB	B	14,500	22.39	n/a	2-Mar	580.00	4.0
PIONEER OAKRIDGE	031	HAE	S	5,000	53.28	n/a	n/a	100.00	2.0
CASTLEROCK	040	HD	B	48,979	18.76	n/a	25-Feb	1,959.16	4.0
PIONEER OAKRIDGE	031	HITT	S	50	28.02	n/a	n/a	1.00	2.0
PIONEER OAKRIDGE	031	HK	S	2,900	16.76	n/a	n/a	58.00	2.0
PIONEER OAKRIDGE	031	HMSY	S	30,500	30.87	n/a	n/a	610.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	HOLX	S	4,420	10.41	n/a	n/a	88.40	2.0
PIONEER OAKRIDGE	031	HPQ	S	3,530	28.73	n/a	n/a	70.60	2.0
PIONEER OAKRIDGE	031	HSIC	S	2,645	35.09	n/a	n/a	52.90	2.0
PIONEER OAKRIDGE	031	IBM	S	875	89.63	n/a	n/a	17.50	2.0
PIONEER OAKRIDGE	031	ICE	S	1,055	56.68	n/a	n/a	21.10	2.0
PIONEER OAKRIDGE	031	ICON	S	19,000	7.50	n/a	n/a	380.00	2.0
PIONEER OAKRIDGE	031	IDXX	S	9,500	29.32	n/a	22-Apr	190.00	2.0
PIONEER OAKRIDGE	031	IEX	S	75	18.39	n/a	n/a	1.50	2.0
PIONEER OAKRIDGE	031	INFA	S	57,000	12.19	n/a	n/a	1,140.00	2.0
PIONEER OAKRIDGE	031	INTC	S	7,055	12.94	n/a	n/a	141.10	2.0
PIONEER OAKRIDGE	031	IRM	S	2,930	17.86	n/a	n/a	58.60	2.0
PIONEER OAKRIDGE	031	IVZ	S	6,505	10.37	9-Jan	3-Mar	130.10	2.0
PIONEER OAKRIDGE	031	JCI	S	4,245	11.23	26-Jan	20-Feb	84.90	2.0
BUCK CAPITAL MGMT	001	JCP	B	300,000	15.06	6-Feb	2-Mar	12,000.00	4.0
COUGAR TRADING	044	JCP	B	17,500	15.17	6-Feb	2-Mar	875.00	5.0
COUGAR TRADING	044	JCP	SS	5,000	15.19	6-Feb	2-Mar	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	JNJ	B	1,000	48.80	n/a	22-Apr	250.00	25.0
EIDELMAN, FINGER & CO	045	JSM	B	2,000	7.65	n/a	n/a	100.00	5.0
RBC CAPITAL MARKETS	034	JWN	B	20,000	13.69	20-Feb	2-Mar	800.00	4.0
PIONEER OAKRIDGE	031	KNX	S	9,000	12.81	n/a	n/a	180.00	2.0
PIONEER OAKRIDGE	031	KR	S	3,925	20.36	n/a	n/a	78.50	2.0
BALYASNY ASSET MGMT	044	KSS	S	70,000	35.78	n/a	2-Mar	3,500.00	5.0
PIONEER OAKRIDGE	031	KSU	S	50	14.96	n/a	n/a	1.00	2.0
PIONEER OAKRIDGE	031	LKQX	S	18,500	13.35	n/a	n/a	370.00	2.0
THE JAY GOLDMAN	034	LTD	S	25,000	7.12	8-Jan	30-Jan	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	MAT	B	50,000	11.04	n/a	n/a	2,500.00	5.0
WAGONHOUND/NIC	048	MHGC	C	10,000	2.50	n/a	n/a	300.00	3.0
CAPITAL GROWTH MGMT.	241	MHS	B	100,000	39.77	n/a	n/a	5,000.00	5.0
NOMURA CAPITAL	045	MIR	S	2,500	10.55	n/a	n/a	125.00	5.0
PIONEER OAKRIDGE	031	MOGA	S	8,500	20.25	n/a	n/a	170.00	2.0
PIONEER OAKRIDGE	031	MON	S	655	73.39	n/a	22-Jan	13.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	MSFT	S	6,090	16.25	n/a	3-Apr	121.80	2.0
NEWCASTLE FUNDS	033	M	C	156,200	7.39	n/a	2-Mar	6,248.00	4.0
THE JAY GOLDMAN	034	M	B	40,000	7.30	n/a	2-Mar	1,600.00	4.0
PIONEER OAKRIDGE	031	ORB	S	11,000	12.87	n/a	n/a	220.00	2.0
PIONEER OAKRIDGE	031	PCP	S	1,120	51.94	n/a	n/a	22.40	2.0
PIONEER OAKRIDGE	031	PEP	S	2,745	47.62	n/a	n/a	54.90	2.0
NEWCASTLE FUNDS	033	PG	S	100,000	47.53	3-Feb	23-Feb	4,000.00	4.0
PIONEER OAKRIDGE	031	PG	S	3,295	47.42	3-Feb	23-Feb	65.90	2.0
ROARING BLUE LION MGMT	012	PLCE	B	5,300	17.78	6-Jan	2-Mar	212.00	4.0
WASHINGTON ASSET	048	POT	S	4,000	80.23	n/a	n/a	200.00	5.0
PIONEER OAKRIDGE	031	PRA	S	3,500	42.60	n/a	n/a	70.00	2.0
CASTLE ARK	031	PRE	S	77,520	58.29	n/a	n/a	4,651.20	6.0
PIONEER OAKRIDGE	031	PWR	S	11,595	17.87	n/a	n/a	347.85	3.0
COBALT	041	PXP	SS	100,000	18.68	n/a	n/a	5,000.00	5.0
PIONEER OAKRIDGE	031	PX	S	1,615	56.04	4-Feb	4-Feb	32.30	2.0
PIONEER OAKRIDGE	031	QCOM	S	5,485	34.91	n/a	n/a	109.70	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	RATE	S	6,000	18.86	n/a	n/a	120.00	2.0
PIONEER OAKRIDGE	031	RIG	S	1,175	56.68	n/a	n/a	23.50	2.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	33.73	n/a	5-Feb	400.00	4.0
PIONEER OAKRIDGE	031	RMD	S	55	35.65	n/a	n/a	1.10	2.0
VISIUM/BALY HOWARD	038	ROST	S	10,000	30.68	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	RTN	S	3,185	37.24	n/a	n/a	63.70	2.0
PIONEER OAKRIDGE	031	SAP	S	2,755	33.11	n/a	n/a	55.10	2.0
PIONEER OAKRIDGE	031	SCHW	S	7,090	11.98	n/a	n/a	141.80	2.0
PIONEER OAKRIDGE	031	SF	S	6,000	32.49	n/a	n/a	120.00	2.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	5.76	n/a	13-Mar	900.00	3.0
PIONEER OAKRIDGE	031	SLB	S	2,420	38.31	n/a	n/a	48.40	2.0
PIONEER OAKRIDGE	031	SLH	S	11,500	20.21	n/a	n/a	230.00	2.0
WASHINGTON ASSET	048	SLM	B	20,000	4.00	27-Feb	4-Mar	1,000.00	5.0
PIONEER OAKRIDGE	031	SPLS	S	7,005	15.44	n/a	27-Jul	140.10	2.0
PIONEER OAKRIDGE	031	SRCL	S	45	49.03	n/a	n/a	0.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	SWN	S	2,760	29.47	27-Feb	27-Feb	55.20	2.0
PIONEER OAKRIDGE	031	SXE	S	9,000	28.44	n/a	n/a	180.00	2.0
PIONEER OAKRIDGE	031	SYK	S	2,330	33.61	n/a	n/a	46.60	2.0
LATEFF MGMT	035	TEVA	B	1,000	43.97	18-Feb	3-Mar	250.00	25.0
PIONEER OAKRIDGE	031	TGT	S	2,765	26.84	25-Feb	2-Mar	55.30	2.0
BMO NESBITT BURNS	041	TIN	B	50,000	3.10	5-Dec	28-Jan	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	40,000	3.12	5-Dec	28-Jan	1,200.00	3.0
PIONEER OAKRIDGE	031	TMO	S	3,290	35.49	n/a	n/a	65.80	2.0
MILLRACE FUND LP	028	TNS	B	10,000	6.30	n/a	n/a	300.00	3.0
S.A.C.HABER/BOBBY	044	TROW	B	56,000	21.32	n/a	3-Mar	2,240.00	4.0
PIONEER OAKRIDGE	031	TXN	S	5,385	14.87	n/a	n/a	107.70	2.0
COUGAR TRADING	044	UA	B	10,000	13.00	n/a	13-Feb	500.00	5.0
NEWCASTLE FUNDS	033	UPS	C	20,000	39.04	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	URBN	SS	25,000	16.09	n/a	30-Jan	1,250.00	5.0
HARVEST MGMT	039	URBN	S	25,000	15.92	n/a	30-Jan	1,250.00	5.0
JP MORGAN VENTURES	046	URBN	B	70,000	15.90	n/a	30-Jan	3,500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	URBN	SS	50,000	15.87	n/a	30-Jan	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THIRD COAST CAPITAL	035	URBN	B	10,000	15.81	n/a	30-Jan	500.00	5.0
PIONEER OAKRIDGE	031	UTX	S	2,230	39.33	n/a	n/a	44.60	2.0
HUNTER GLOBAL INVESTOR	067	VNO	S	16,000	31.42	n/a	n/a	800.00	5.0
PIONEER OAKRIDGE	031	V	S	1,285	54.67	n/a	13-Feb	25.70	2.0
PIONEER OAKRIDGE	031	WCN	S	8,615	22.20	n/a	n/a	172.30	2.0
GREEN ARROW CAPITAL	034	WDR	B	50,000	13.32	n/a	3-Mar	2,500.00	5.0
OSS CAPITAL/KEVIN DANN	067	WFC	SS	200,000	9.94	n/a	n/a	6,000.00	3.0
PIONEER OAKRIDGE	031	WMS	S	12,500	16.97	n/a	n/a	250.00	2.0
PIONEER OAKRIDGE	031	WXS	S	13,000	13.82	n/a	n/a	260.00	2.0
PIONEER OAKRIDGE	031	XTO	S	4,745	31.32	n/a	n/a	94.90	2.0
MATRIX ASSET ADV.	036	YHOO	S	15,000	13.31	n/a	n/a	450.00	3.0
TOTAL (Trade Date) :								133,905.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/03	FIRST NY SEC/CHRIS (FNYCHRIS)	041	BIG	S	10,000	14.64	4-Mar	4-Mar	600.00 6.0
AO,CRT	03/03	FIRST NY SEC/CHRIS (FNYCHRIS)	041	BIG	S	10,000	14.64	4-Mar	4-Mar	500.00 5.0
AO,	03/03	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	CIT	S	350,000	2.00	22-Jan	4-Mar	7000.00 2.0
AO,CXL	03/03	DC CAPITAL (DCCAGOLDMA)	044	COST	B	15,000	40.87	n/a	27-Jul	750.00 5.0
AO,CRT	03/03	THE JAY GOLDMAN (GOLDGSBULK)	034	COST	B	15,000	40.87	n/a	27-Jul	750.00 5.0
AO,	03/03	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	MAT	S	100,000	10.97	n/a	n/a	2000.00 2.0
AO,	03/03	NEUBERGER BERMAN (NBER502405)	036	MHS	S	1,500	38.86	n/a	n/a	67.50 4.5
AO,	03/03	NEUBERGER BERMAN (NBER530007)	036	MHS	S	1,000	38.86	n/a	n/a	45.00 4.5
AO,	03/03	NEUBERGER BERMAN (NBER502387)	036	MHS	S	12,500	38.86	n/a	n/a	562.50 4.5
AO,	03/03	NEUBERGER BERMAN (NBER101334)	036	MHS	S	5,000	38.86	n/a	n/a	225.00 4.5
AO,	03/03	NEUBERGER BERMAN (NBER002138)	036	MHS	S	5,750	38.86	n/a	n/a	258.75 4.5
CRT	03/04	VISIUM/BALY HOWARD (VISHJPM)	038	ROST	S	10,000	30.68	n/a	n/a	500.00 5.0

TOTAL (AO, CXL, CRT) :**10,558.75**

TOTAL (Trade Date):

133,905.81

TOTAL (AO, CXL, CRT):

10,558.75

TOTAL (RUN DATE) / NFS:**144,464.56**

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