



Daily Compliance Activity Report

Trade Date: 05/05/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	575	131.79	n/a	n/a	17.25	3.0
THOMAS WEISEL ASSET MGMT	035	AAWW	B	3,921	31.43	n/a	n/a	117.63	3.0
PIONEER OAKRIDGE	031	ABT	S	1,545	43.49	n/a	22-Apr	46.35	3.0
BALYASNY ASSET MGMT	044	AB	S	15,000	19.16	20-Feb	4-May	750.00	5.0
PIONEER OAKRIDGE	031	ADBE	S	1,880	26.46	n/a	n/a	56.40	3.0
PEREGRINE	030	AEO	S	132,290	15.46	20-Apr	4-May	5,291.60	4.0
PIONEER OAKRIDGE	031	AGN	S	1,130	46.90	24-Mar	4-May	33.90	3.0
BUCK CAPITAL MGMT	001	ALV	B	30,000	25.68	12-Mar	22-Apr	1,200.00	4.0
CAVU CAP ADV	028	AMR	B	50,000	5.87	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	APH	S	875	34.06	n/a	n/a	26.25	3.0
HOLLIS CAPITAL	033	AVP	B	5,000	22.97	25-Feb	30-Mar	250.00	5.0
PIONEER OAKRIDGE	031	BBY	S	1,365	40.86	n/a	27-Jul	40.95	3.0
PIONEER OAKRIDGE	031	BDX	S	845	61.53	n/a	22-Apr	25.35	3.0
BUCK CAPITAL MGMT	001	BIG	B	30,000	27.80	4-Mar	5-May	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CAT	B	10,000	38.78	n/a	22-Apr	400.00	4.0
PIONEER OAKRIDGE	031	CELG	S	1,080	39.03	n/a	n/a	32.40	3.0
BUCK CAPITAL MGMT	001	CLX	SS	50,000	53.81	10-Feb	20-Mar	2,000.00	4.0
PIONEER OAKRIDGE	031	CME	S	80	243.00	n/a	24-Apr	2.40	3.0
DIAMONDBACK CAP MGMT	232	COF	B	25,000	19.53	n/a	5-May	1,250.00	5.0
SUN AMERICA ASSET MGMT	030	CRK	S	16,000	39.93	n/a	n/a	640.00	4.0
PIONEER OAKRIDGE	031	CSCO	S	4,505	19.34	n/a	22-Mar	135.15	3.0
AVESTA CAP	229	CVS	B	50,000	33.09	n/a	n/a	2,000.00	4.0
NEWCASTLE FUNDS	255	CVS	SS	75,000	32.17	n/a	n/a	3,000.00	4.0
BUCK CAPITAL MGMT	001	DFS	B	50,000	8.95	n/a	5-May	1,500.00	3.0
PIONEER OAKRIDGE	031	DHR	S	1,040	61.37	n/a	n/a	31.20	3.0
PIONEER OAKRIDGE	031	ECL	S	1,400	39.51	28-Apr	28-Apr	42.00	3.0
PIONEER OAKRIDGE	031	ESRX	S	1,065	62.92	n/a	n/a	31.95	3.0
FRIESS MGMT	033	FCN	B	53,900	53.07	n/a	n/a	2,156.00	4.0
BUCK CAPITAL MGMT	001	GCI	B	9,260	4.47	n/a	n/a	185.20	2.0
PIONEER OAKRIDGE	031	GILD	S	1,435	44.27	n/a	n/a	43.05	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	GOOG	S	225	399.53	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GYMB	B	5,000	36.05	27-Apr	5-May	250.00	5.0
DSG CAPITAL	225	HAR	SS	7,500	21.41	12-Mar	1-May	375.00	5.0
NEUBERGER BERMAN	036	HCN	S	14,700	33.53	n/a	n/a	661.50	4.5
PIONEER OAKRIDGE	031	HK	S	1,370	25.04	n/a	n/a	41.10	3.0
BALYASNY ASSET MGMT	044	HOG	SS	10,000	22.00	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	HOLX	S	2,130	12.10	n/a	n/a	63.90	3.0
PIONEER OAKRIDGE	031	HPQ	S	1,670	36.54	n/a	n/a	50.10	3.0
PIONEER OAKRIDGE	031	HSIC	S	1,255	44.00	n/a	n/a	37.65	3.0
PIONEER OAKRIDGE	031	IBM	S	415	105.72	n/a	n/a	12.45	3.0
PIONEER OAKRIDGE	031	ICE	S	505	101.94	n/a	n/a	15.15	3.0
PIONEER OAKRIDGE	031	INTC	S	3,400	16.01	n/a	n/a	102.00	3.0
NOMURA CAPITAL	045	IPHS	S	11,269	19.51	n/a	n/a	563.45	5.0
PIONEER OAKRIDGE	031	IRM	S	1,415	29.88	n/a	n/a	42.45	3.0
S.A.C. CAP/ORENSTEIN	044	IR	B	50,000	23.16	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MISSOURI VALLEY PART	046	IVZ	S	76,195	15.98	7-Apr	4-May	3,809.75	5.0
PIONEER OAKRIDGE	031	IVZ	S	1,590	16.08	7-Apr	4-May	47.70	3.0
PIONEER OAKRIDGE	031	JCI	S	2,000	18.93	22-Apr	22-Apr	60.00	3.0
WAGONHOUND/NIC	048	JOYG	B	1,040	29.01	26-Jan	5-Mar	41.60	4.0
BUCK CAPITAL MGMT	001	JWN	B	150,000	24.04	20-Feb	4-May	6,000.00	4.0
PIONEER OAKRIDGE	031	KR	S	1,850	22.43	n/a	n/a	55.50	3.0
BUCK CAPITAL MGMT	001	KSS	B	250,000	44.72	30-Mar	4-May	10,000.00	4.0
FIRST NY SEC/CHRIS	041	LPX	B	10,000	4.94	3-Mar	20-Apr	600.00	6.0
JETSTREAM GLOBAL FUND LP	065	LPX	B	199,600	4.88	3-Mar	20-Apr	7,984.00	4.0
PIONEER OAKRIDGE	031	MON	S	310	89.61	n/a	2-Apr	9.30	3.0
PIONEER OAKRIDGE	031	MSFT	S	2,880	19.65	n/a	3-Apr	86.40	3.0
TROUBH PART	067	MSFT	S	25,000	19.74	n/a	3-Apr	1,250.00	5.0
GRISANTI BROWN & PARTNER	048	NAV	B	34,900	41.06	n/a	n/a	1,745.00	5.0
SUN AMERICA ASSET MGMT	030	NDAQ	B	18,900	20.35	n/a	n/a	756.00	4.0
SCOPUS FUND	041	PAG	S	60,000	13.69	n/a	23-Apr	3,000.00	5.0
ACK ASSET	028	PCAR	S	11,600	33.89	25-Mar	4-May	580.00	5.0
PIONEER OAKRIDGE	031	PCP	S	525	75.27	n/a	n/a	15.75	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	PEP	S	1,300	49.56	n/a	n/a	39.00	3.0
AELTUS/ING IVESTMENT MGT	215	PFE	S	679,800	14.30	n/a	31-Mar	23,793.00	3.5
PIONEER OAKRIDGE	031	PG	S	1,550	49.53	12-Mar	4-May	46.50	3.0
PIONEER OAKRIDGE	031	PX	S	780	74.05	29-Apr	29-Apr	23.40	3.0
PIONEER OAKRIDGE	031	QCOM	S	2,595	43.12	n/a	n/a	77.85	3.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.42	n/a	n/a	1,720.00	4.0
PIONEER OAKRIDGE	031	RIG	S	570	72.11	n/a	n/a	17.10	3.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	53.21	n/a	16-Apr	400.00	4.0
WOOSTER CAPITAL	035	RL	SS	40,000	54.23	n/a	16-Apr	2,000.00	5.0
PIONEER OAKRIDGE	031	RTN	S	1,515	47.35	n/a	n/a	45.45	3.0
PIONEER OAKRIDGE	031	SAP	S	1,300	38.09	n/a	n/a	39.00	3.0
PIONEER OAKRIDGE	031	SCHW	S	2,295	18.57	n/a	n/a	68.85	3.0
PIONEER OAKRIDGE	031	SLB	S	1,135	53.46	n/a	n/a	34.05	3.0
PIONEER OAKRIDGE	031	SPLS	S	3,305	20.25	n/a	27-Jul	99.15	3.0
CAVU CAP ADV	028	SPR	B	25,000	13.10	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	SWN	S	1,265	39.11	27-Feb	28-Apr	37.95	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	SYK	S	1,115	39.70	n/a	n/a	33.45	3.0
BUCK CAPITAL MGMT	001	TGT	B	200,000	41.19	25-Feb	5-May	8,000.00	4.0
COUGAR TRADING	044	TGT	B	5,000	40.79	25-Feb	5-May	250.00	5.0
PIONEER OAKRIDGE	031	TGT	S	1,315	41.00	25-Feb	5-May	39.45	3.0
ELM RIDGE ADVISORS	044	TIN	S	1,900	12.50	n/a	22-Apr	76.00	4.0
COBALT	041	TJX	B	50,000	28.91	4-May	4-May	2,500.00	5.0
PIONEER OAKRIDGE	031	TMO	S	1,545	36.40	n/a	n/a	46.35	3.0
PIONEER OAKRIDGE	031	TXN	S	2,545	17.81	n/a	n/a	76.35	3.0
COUGAR TRADING	044	UA	B	5,000	25.30	29-Apr	29-Apr	250.00	5.0
FORD FDN.	032	UHS	S	25,000	50.33	28-Apr	28-Apr	1,250.00	5.0
PIONEER OAKRIDGE	031	UTX	S	1,075	51.45	n/a	n/a	32.25	3.0
PIONEER OAKRIDGE	031	V	S	610	67.07	n/a	30-Apr	18.30	3.0
WAGONHOUND/NIC	048	WAC	B	557	9.07	n/a	n/a	16.71	3.0
WAGONHOUND/NIC	048	WAC	S	557	9.06	n/a	n/a	16.71	3.0
AVESTA CAP	229	WMT	S	25,000	50.01	n/a	5-May	1,000.00	4.0
NEUBERGER BERMAN	036	WOOF	S	33,200	25.53	n/a	n/a	1,494.00	4.5
BUCK CAPITAL MGMT	001	WRC	B	15,000	29.96	20-Apr	20-Apr	600.00	4.0

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WAGONHOUND/NIC	048	WRC	B	11,379	30.48	20-Apr	20-Apr	455.16	4.0
BUCK CAPITAL MGMT	001	WSM	B	50,000	14.13	n/a	n/a	2,000.00	4.0
CAVU CAP ADV	028	WSO	B	11,500	47.74	n/a	n/a	575.00	5.0
PIONEER OAKRIDGE	031	XTO	S	2,245	37.63	n/a	n/a	67.35	3.0
DC CAPITAL	044	ZLC	B	50,000	4.04	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date):								116,749.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/04	CUMBERLAND (CUMBMS04)	038	ADS	B	7,000	41.31	n/a	n/a	280.00 4.0
AO,CRT	05/04	CUMBERLAND (CUMBMS04)	038	ADS	B	12,000	41.31	n/a	n/a	360.00 3.0
AO,CXL	05/04	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	040	SLM	SS	50,000	5.58	23-Apr	29-Apr	2500.00 5.0
AO,	05/04	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	040	SLM	SS	50,000	5.58	23-Apr	29-Apr	2500.00 5.0
AO,	05/04	ELM RIDGE ADVISORS (ELMRGS)	044	TIN	S	20,400	12.48	n/a	22-Apr	612.00 3.0

TOTAL (AO, CXL, CRT) :	692.00
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TOTAL (Trade Date) :	116,749.16
TOTAL (AO, CXL, CRT) :	692.00

TOTAL (RUN DATE) / NFS :	117,441.16
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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