



# Daily Compliance Activity Report

Trade Date: 12/31/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	1,515	86.73	n/a	n/a	30.30	2.0
PIONEER OAKRIDGE	031	ABT	S	4,075	53.29	n/a	22-Apr	81.50	2.0
PIONEER OAKRIDGE	031	ADBE	S	4,930	21.38	n/a	n/a	98.60	2.0
PIONEER OAKRIDGE	031	AFL	S	4,305	45.74	n/a	n/a	86.10	2.0
PIONEER OAKRIDGE	031	AGN	S	3,035	39.85	24-Oct	30-Dec	60.70	2.0
<b>Steven Maguire</b>		<b>AG</b>	<b>S</b>	<b>7500</b>	<b>23.7000</b>	<b>15-Dec</b>	<b>19-Dec</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	APH	S	1,475	24.15	n/a	n/a	29.50	2.0
MERRILL ASSET	032	ARE	B	20,000	57.87	n/a	n/a	1,000.00	5.0
PIONEER OAKRIDGE	031	BBY	S	3,645	28.24	n/a	27-Jul	72.90	2.0
PIONEER OAKRIDGE	031	BDX	S	3,445	68.53	n/a	22-Apr	68.90	2.0
<b>LEDDY</b>	<b>035</b>	<b>BONT</b>	<b>S</b>	<b>300</b>	<b>1.00</b>	<b>n/a</b>	<b>5-Dec</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	BXS	S	50,000	22.64	n/a	n/a	2,250.00	4.5
PIONEER OAKRIDGE	031	CELG	S	2,805	54.96	n/a	n/a	56.10	2.0
PIONEER OAKRIDGE	031	CME	S	195	205.50	n/a	12-Dec	3.90	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	CSCO	S	11,910	16.40	n/a	22-Mar	238.20	2.0
MERRILL ASSET	032	CTX	S	96,300	10.56	n/a	n/a	4,333.50	4.5
MERRILL ASSET	032	DAL	B	9,000	10.97	n/a	n/a	405.00	4.5
<b>Õ Steven Maguire</b>		<b>DE</b>	<b>B</b>	<b>5000</b>	<b>38.5400</b>	<b>8-Dec</b>	<b>8-Dec</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	DHR	S	2,705	56.37	n/a	n/a	54.10	2.0
ASCEND PARTNERS	033	DKS	SS	25,000	13.80	7-Oct	12-Dec	1,250.00	5.0
PIONEER OAKRIDGE	031	DNA	S	2,275	82.53	n/a	n/a	45.50	2.0
PIONEER OAKRIDGE	031	ECL	S	3,685	35.37	10-Nov	13-Nov	73.70	2.0
CUMBERLAND	038	EXH	B	50,000	21.31	n/a	16-Dec	2,000.00	4.0
MERRILL ASSET	032	GES	B	2,500	15.42	n/a	n/a	112.50	4.5
PIONEER OAKRIDGE	031	GILD	S	3,720	51.35	n/a	n/a	74.40	2.0
WEISS PECK	040	GIL	S	5,200	11.43	11-Dec	12-Dec	260.00	5.0
PIONEER OAKRIDGE	031	GOOG	S	585	309.68	n/a	n/a	11.70	2.0
MERRILL ASSET	032	HBI	B	34,100	12.72	n/a	n/a	1,534.50	4.5
PIONEER OAKRIDGE	031	HK	S	1,120	15.33	n/a	n/a	22.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	HOLX	S	5,500	12.96	n/a	n/a	110.00	2.0
PIONEER OAKRIDGE	031	HPQ	S	4,145	36.53	n/a	n/a	82.90	2.0
PIONEER OAKRIDGE	031	HSIC	S	3,210	36.59	n/a	n/a	64.20	2.0
PIONEER OAKRIDGE	031	ICE	S	1,375	80.60	n/a	n/a	27.50	2.0
PIONEER OAKRIDGE	031	INTC	S	8,775	14.79	n/a	n/a	175.50	2.0
PIONEER OAKRIDGE	031	IRM	S	3,765	23.61	n/a	n/a	75.30	2.0
PIONEER OAKRIDGE	031	IVZ	S	8,250	14.20	13-Nov	19-Dec	165.00	2.0
PIONEER OAKRIDGE	031	JCI	S	5,100	18.27	11-Dec	11-Dec	102.00	2.0
MERRILL ASSET	032	KBH	S	70,000	13.21	n/a	n/a	3,150.00	4.5
PIONEER OAKRIDGE	031	KR	S	2,620	25.81	n/a	n/a	52.40	2.0
MERRILL ASSET	032	LEN	S	50,000	8.52	n/a	n/a	2,250.00	4.5
DISCIPLINED GROWTH INV.	030	LF	B	13,600	3.48	n/a	n/a	272.00	2.0
<b>Õ Steven Maguire</b>		<b>LM</b>	<b>S</b>	<b>2500</b>	<b>21.6000</b>	<b>29-Oct</b>	<b>19-Dec</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	MON	S	710	69.95	n/a	5-Nov	14.20	2.0
PIONEER OAKRIDGE	031	MSFT	S	7,590	19.52	n/a	3-Apr	151.80	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	MW	SS	5,000	13.35	n/a	n/a	250.00	5.0
SCOPUS FUND	041	NKE	S	13,500	49.80	n/a	n/a	675.00	5.0
CENTURION GLOBAL MGMT LL	041	NTAP	B	23,100	14.07	n/a	n/a	693.00	3.0
BMO NESBITT BURNS	041	OI	SS	23,000	27.33	n/a	n/a	690.00	3.0
PIONEER OAKRIDGE	031	PCP	S	1,340	59.99	n/a	n/a	26.80	2.0
PIONEER OAKRIDGE	031	PEP	S	3,500	55.04	n/a	n/a	70.00	2.0
PIONEER OAKRIDGE	031	PG	S	4,020	61.32	10-Oct	12-Dec	80.40	2.0
PIONEER OAKRIDGE	031	PX	S	750	59.23	n/a	10-Dec	15.00	2.0
PIONEER OAKRIDGE	031	QCOM	S	6,890	35.97	n/a	n/a	137.80	2.0
CENTURION GLOBAL MGMT LL	041	QLD	S	86,000	27.21	n/a	n/a	2,580.00	3.0
PIONEER OAKRIDGE	031	RIG	S	1,505	47.22	n/a	n/a	30.10	2.0
PIONEER OAKRIDGE	031	RTN	S	3,930	50.96	n/a	n/a	78.60	2.0
PIONEER OAKRIDGE	031	SAP	S	3,460	36.21	n/a	n/a	69.20	2.0
PIONEER OAKRIDGE	031	SCHW	S	8,485	15.66	n/a	n/a	169.70	2.0
BULL PATH CAPITAL	044	SLB	S	25,000	42.26	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	SLB	S	2,985	42.05	n/a	n/a	59.70	2.0
PIONEER OAKRIDGE	031	SPLS	S	8,595	18.11	n/a	27-Jul	171.90	2.0
PIONEER OAKRIDGE	031	SWN	S	3,155	28.82	19-Dec	19-Dec	63.10	2.0
PIONEER OAKRIDGE	031	SYK	S	2,880	40.09	n/a	n/a	57.60	2.0
LEVIN CAPITAL STRATEGIES	012	TGT	B	49,870	34.60	17-Nov	22-Dec	1,994.80	4.0
PIONEER OAKRIDGE	031	TGT	S	3,455	34.61	17-Nov	22-Dec	69.10	2.0
PIONEER OAKRIDGE	031	TMO	S	4,015	33.95	n/a	n/a	80.30	2.0
PIONEER OAKRIDGE	031	TXN	S	6,800	15.46	n/a	n/a	136.00	2.0
LEVIN CAPITAL STRATEGIES	012	UA	S	45,000	23.89	n/a	29-Oct	1,800.00	4.0
PIONEER OAKRIDGE	031	UTX	S	2,875	53.62	n/a	n/a	57.50	2.0
PIONEER OAKRIDGE	031	V	S	1,525	51.91	n/a	30-Oct	30.50	2.0
PIONEER OAKRIDGE	031	XTO	S	5,870	34.81	n/a	n/a	117.40	2.0
<b>TOTAL (Trade Date) :</b>								<b>32,400.30</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/31	CUMBERLAND (CUMBMS04)	038	EXH	B	50,000	21.31	n/a	16-Dec	2000.00 4.0
AO,CRT	12/29	OTC ERROR (OTC ERROR)	099	PLCE	B	2,205	19.91	21-Nov	12-Dec	0.00 0.0
AO,CXL	12/29	OTC ERROR (OTC ERROR)	099	PLCE	B	2,205	19.91	21-Nov	12-Dec	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,000.00</b>
TOTAL (Trade Date) :										32,400.30
TOTAL (AO, CXL, CRT) :										2,000.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>34,400.30</b>

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