



Daily Compliance Activity Report

Trade Date: 07/10/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	255	138.26	n/a	n/a	5.10	2.0
PIONEER OAKRIDGE	031	ABT	S	645	45.50	n/a	22-Apr	12.90	2.0
PIONEER OAKRIDGE	031	ADBE	S	815	27.60	n/a	n/a	16.30	2.0
PIONEER OAKRIDGE	031	ADS	S	455	37.65	n/a	n/a	9.10	2.0
PIONEER OAKRIDGE	031	AGN	S	590	45.34	24-Mar	10-Jul	11.80	2.0
PIONEER OAKRIDGE	031	AMG	S	240	52.76	5-Jun	9-Jul	4.80	2.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	23.14	3-Jun	10-Jul	2,000.00	4.0
PIONEER OAKRIDGE	031	ANSS	S	845	29.48	n/a	n/a	16.90	2.0
PIONEER OAKRIDGE	031	ARG	S	630	37.44	23-Mar	9-Jul	12.60	2.0
&SEN	028	CAR	S	83,000	5.75	n/a	n/a	3,320.00	4.0
PIONEER OAKRIDGE	031	CELG	S	475	46.03	n/a	n/a	9.50	2.0
PIONEER OAKRIDGE	031	CHD	S	650	53.09	27-Apr	14-May	13.00	2.0
PIONEER OAKRIDGE	031	CHSI	S	655	24.10	n/a	n/a	13.10	2.0
BUCK CAPITAL MGMT	001	COH	B	10,000	23.54	n/a	22-Apr	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	CSCO	S	1,910	18.30	n/a	22-Mar	38.20	2.0
PIONEER OAKRIDGE	031	DHR	S	515	58.52	n/a	n/a	10.30	2.0
PIONEER OAKRIDGE	031	ECL	S	565	37.27	28-Apr	2-Jul	11.30	2.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.18	n/a	n/a	500.00	5.0
SENVEST PART	045	FOR	B	10,000	10.58	29-Jun	29-Jun	400.00	4.0
PIONEER OAKRIDGE	031	GILD	S	645	44.58	n/a	n/a	12.90	2.0
PIONEER OAKRIDGE	031	GME	S	605	20.48	n/a	n/a	12.10	2.0
PIONEER OAKRIDGE	031	GOOG	S	105	413.58	n/a	n/a	2.10	2.0
PIONEER OAKRIDGE	031	HITT	S	525	34.51	n/a	n/a	10.50	2.0
PIONEER OAKRIDGE	031	HK	S	620	19.39	n/a	n/a	12.40	2.0
PIONEER OAKRIDGE	031	HPQ	S	655	37.07	n/a	n/a	13.10	2.0
PIONEER OAKRIDGE	031	HSIC	S	505	44.25	n/a	n/a	10.10	2.0
PIONEER OAKRIDGE	031	IBM	S	365	100.44	n/a	n/a	7.30	2.0
PIONEER OAKRIDGE	031	ICE	S	215	84.19	n/a	n/a	4.30	2.0
PIONEER OAKRIDGE	031	IEX	S	800	22.67	n/a	n/a	16.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	JCI	S	880	19.81	2-Jun	2-Jun	17.60	2.0
SIGMA CAPITAL ASSOCIATES	041	JWN	B	25,000	19.94	20-Feb	10-Jul	1,000.00	4.0
PIONEER OAKRIDGE	031	KR	S	845	21.61	n/a	n/a	16.90	2.0
PIONEER OAKRIDGE	031	MON	S	140	71.17	n/a	26-Jun	2.80	2.0
PECONIC PARTNERS	036	MRK	B	45,400	26.88	n/a	n/a	2,270.00	5.0
PIONEER OAKRIDGE	031	MSFT	S	1,120	22.28	n/a	3-Apr	22.40	2.0
ROTHSCHILD ASSET	040	OCR	S	4,090	25.08	30-Apr	30-Apr	184.05	4.5
PIONEER OAKRIDGE	031	ORLY	S	650	39.24	n/a	n/a	13.00	2.0
PIONEER OAKRIDGE	031	PCP	S	240	70.71	n/a	n/a	4.80	2.0
PIONEER OAKRIDGE	031	PEP	S	530	54.82	n/a	n/a	10.60	2.0
PECONIC PARTNERS	036	PFE	S	85,700	14.20	n/a	31-Mar	4,285.00	5.0
PIONEER OAKRIDGE	031	PG	S	660	52.19	5-Jun	5-Jun	13.20	2.0
PIONEER OAKRIDGE	031	PWR	S	985	19.97	n/a	n/a	19.70	2.0
PIONEER OAKRIDGE	031	QCOM	S	1,055	43.21	n/a	n/a	21.10	2.0
PIONEER OAKRIDGE	031	RMD	S	570	40.10	n/a	n/a	11.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	RTN	S	465	42.63	n/a	n/a	9.30	2.0
PIONEER OAKRIDGE	031	SAP	S	600	39.86	n/a	n/a	12.00	2.0
PIONEER OAKRIDGE	031	SCHW	S	1,400	16.49	n/a	n/a	28.00	2.0
PIONEER OAKRIDGE	031	SLB	S	590	50.15	n/a	n/a	11.80	2.0
NEWCASTLE FUNDS	255	SMG	S	50,000	35.53	10-Jun	9-Jul	2,000.00	4.0
PIONEER OAKRIDGE	031	SPLS	S	1,445	19.35	n/a	27-Jul	28.90	2.0
PIONEER OAKRIDGE	031	SRCL	S	470	48.93	n/a	n/a	9.40	2.0
PIONEER OAKRIDGE	031	SWN	S	1,370	36.47	27-Feb	1-Jul	27.40	2.0
ROTHSCHILD ASSET	040	TDW	S	3,970	42.19	n/a	n/a	178.65	4.5
PIONEER OAKRIDGE	031	TGT	S	425	37.80	10-Jul	10-Jul	8.50	2.0
WASHINGTON ASSET	048	TIN	B	15,000	12.20	9-Jul	9-Jul	750.00	5.0
M&I FUNDS	256	TJX	B	26,080	32.13	10-Jul	10-Jul	1,043.20	4.0
PIONEER OAKRIDGE	031	TMO	S	775	38.25	n/a	n/a	15.50	2.0
COLUMBIA PARTNERS	028	TOL	SS	40,553	15.50	n/a	n/a	1,622.12	4.0
PIONEER OAKRIDGE	031	TXN	S	855	20.47	n/a	n/a	17.10	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	V	S	270	60.05	n/a	8-Jul	5.40	2.0
PIONEER OAKRIDGE	031	WCN	S	1,195	25.00	n/a	n/a	23.90	2.0
CENTURION PARTNERS	041	WDR	S	12,500	23.68	5-Jun	9-Jul	625.00	5.0
BUCK CAPITAL MGMT	001	WWW	SS	20,000	21.28	n/a	13-Mar	800.00	4.0
PIONEER OAKRIDGE	031	XTO	S	760	34.80	n/a	n/a	15.20	2.0
TOTAL (Trade Date):								22,029.62	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/09	SYSTEMATIC FINANCIAL MGT (SYST229)	035	AXP	B	1,200	22.94	n/a	8-Jul	42.00 3.5
AO,CXL	07/09	SYSTEMATIC FINANCIAL MGT (&SYST229)	035	AXP	B	1,200	22.94	n/a	8-Jul	42.00 3.5
AO,CRT	07/09	SYSTEMATIC FINANCIAL MGT (SYST229)	035	BBY	B	400	32.54	n/a	27-Jul	14.00 3.5
AO,CXL	07/09	SYSTEMATIC FINANCIAL MGT (&SYST229)	035	BBY	B	400	32.54	n/a	27-Jul	14.00 3.5
AO,CRT	07/09	FIRST NEW YORK LEDDY (FNYS)	035	Q	B	10,000	3.82	n/a	n/a	500.00 5.0
AO,CXL	07/09	FIRST NEW YORK NICK (FNYNGS)	029	Q	B	10,000	3.82	n/a	n/a	500.00 5.0
AO,	07/09	JAT CAPITAL MANAGEMENT (JATCPERSHI)	041	T	SS	175,000	23.43	n/a	4-Jan	7000.00 4.0
AO,CXL	07/09	FIRST NY SEC/CHRIS (FNYCHRIS)	041	TIN	B	12,900	12.27	9-Jul	9-Jul	774.00 6.0
AO,CRT	07/09	FIRST NY SEC/CHRIS (FNYCHRIS)	041	TIN	B	12,900	12.27	9-Jul	9-Jul	645.00 5.0
AO,	07/09	BALYASNY ASSET MGMT (BALY)	040	TROW	C	6,200	37.89	n/a	9-Jul	310.00 5.0
AO,	07/09	BALYASNY ASSET MGMT (BALY)	040	TROW	C	2,300	37.89	n/a	9-Jul	115.00 5.0
AO,	07/09	BALYASNY ASSET MGMT (BALY)	040	TROW	C	14,000	37.89	n/a	9-Jul	700.00 5.0
AO,	07/09	BALYASNY ASSET MGMT (BALY)	040	TROW	C	1,300	37.89	n/a	9-Jul	65.00 5.0
AO,	07/09	BALYASNY ASSET MGMT (BALY)	040	TROW	C	2,500	37.89	n/a	9-Jul	125.00 5.0
AO,	07/09	BALYASNY ASSET MGMT (BALY)	040	TROW	C	12,900	37.89	n/a	9-Jul	645.00 5.0
AO,CXL	07/09	CAXTON PART (CAXTKFCIMS)	040	TROW	C	12,900	37.89	n/a	9-Jul	645.00 5.0
AO,CXL	07/09	CAXTON PART (CAXTKFCIMS)	040	TROW	C	2,500	37.89	n/a	9-Jul	125.00 5.0
AO,CXL	07/09	CAXTON PART (CAXTKFCIMS)	040	TROW	C	1,300	37.89	n/a	9-Jul	65.00 5.0
AO,CXL	07/09	CAXTON PART (CAXTKFCIMS)	040	TROW	C	14,000	37.89	n/a	9-Jul	700.00 5.0
AO,CXL	07/09	CAXTON PART (CAXTKFCIMS)	040	TROW	C	2,300	37.89	n/a	9-Jul	115.00 5.0
AO,CXL	07/09	CAXTON PART (CAXTKFCIMS)	040	TROW	C	6,200	37.89	n/a	9-Jul	310.00 5.0
TOTAL (AO, CXL, CRT) :										6,871.00

TOTAL (Trade Date):	22,029.62
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TOTAL (AO, CXL, CRT):	6,871.00
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TOTAL (RUN DATE) / NFS:	28,900.62
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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