



Daily Compliance Activity Report

Trade Date: 10/04/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	ACC	B	27,217	33.29	n/a	n/a	1,088.68	4.0
BAIRD INVESTMENT	047	ACHC	B	200	40.32	n/a	n/a	10.00	5.0
BAIRD INVESTMENT	047	ADS	B	45	216.94	n/a	n/a	2.25	5.0
PRIMECAP MGMT	084	AFFX	B	17,500	6.50	n/a	n/a	525.00	3.0
BAIRD INVESTMENT	047	ALTR	B	175	37.00	n/a	n/a	8.75	5.0
BAIRD INVESTMENT	047	ALXN	B	75	116.22	n/a	n/a	3.75	5.0
BAIRD INVESTMENT	047	AMG	B	55	188.44	n/a	n/a	2.75	5.0
BAIRD INVESTMENT	047	ANSS	B	115	86.26	n/a	n/a	5.75	5.0
BAIRD INVESTMENT	047	ARG	B	65	109.24	n/a	n/a	3.25	5.0
BAIRD INVESTMENT	047	ATR	B	120	60.32	n/a	n/a	6.00	5.0
BAIRD INVESTMENT	047	ATU	B	225	38.45	n/a	n/a	11.25	5.0
BAIRD INVESTMENT	047	AYI	B	95	96.55	n/a	n/a	4.75	5.0
LATEEF MGMT	033	BBT	B	200	33.67	n/a	n/a	36.00	18.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BID	B	10,000	50.75	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BKW	SS	20,000	19.43	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	070	BRCD	B	419,775	8.33	n/a	n/a	12,593.25	3.0
B BUCK CAPITAL MGMT		BURL	SS	20,000	25.32	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	BWLD	B	70	115.92	n/a	n/a	3.50	5.0
B BUCK CAPITAL MGMT		CAKE	SS	20,000	43.64	n/a	n/a	non-brg	4.0
KAM ADVISORS LLC	041	CAM	S	92,300	61.62	n/a	n/a	2,769.00	3.0
BAIRD INVESTMENT	047	CERN	B	150	54.74	n/a	n/a	7.50	5.0
BAIRD INVESTMENT	047	CHD	B	180	60.00	n/a	11-Sep	9.00	5.0
BAIRD INVESTMENT	047	CLB	B	40	176.67	n/a	n/a	2.00	5.0
f CHRISTOPHER ROBERT C	FID	CMI	B	50	132.87	n/a	3-Oct	0.00	0.0
BAIRD INVESTMENT	047	CNQR	B	90	111.04	n/a	n/a	4.50	5.0
CAMBIAR CAP	046	COF	S	43,044	70.02	n/a	3-Oct	1,721.76	4.0
BAIRD INVESTMENT	047	CTRX	B	160	46.75	n/a	n/a	8.00	5.0
BAIRD INVESTMENT	047	CTXS	B	105	70.59	n/a	n/a	5.25	5.0
LATEEF MGMT	033	CVS	B	600	56.90	n/a	n/a	60.00	10.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	DAL	S	250	25.20	n/a	30-Sep	25.00	10.0
LATEEF MGMT	033	DE	S	125	82.45	n/a	n/a	31.25	25.0
BAIRD INVESTMENT	047	DG	B	110	58.67	5-Sep	17-Sep	5.50	5.0
BAIRD INVESTMENT	047	DKS	B	190	53.94	n/a	2-Oct	9.50	5.0
BAIRD INVESTMENT	047	DLR	B	110	52.27	n/a	n/a	5.50	5.0
B BUCK CAPITAL MGMT		DRI	SS	20,000	46.16	23-Sep	23-Sep	non-brg	4.0
CHARTER OAK	033	DSCO	S	12,500	3.18	n/a	n/a	250.00	2.0
BNP PARIBAS SEC	040	ESRX	B	20,000	62.10	n/a	n/a	600.00	3.0
BAIRD INVESTMENT	047	EWBC	B	275	32.93	n/a	n/a	13.75	5.0
BAIRD INVESTMENT	047	EW	B	45	72.87	n/a	n/a	2.25	5.0
B BUCK CAPITAL MGMT		EXPR 1 C25	SS	1,000	1.40	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		EXPR 10 C22.5C		1,000	1.55	n/a	n/a	non-brg	300.0
BAIRD INVESTMENT	047	FAST	B	150	51.30	n/a	n/a	7.50	5.0
BAIRD INVESTMENT	047	FBHS	B	180	42.64	n/a	n/a	9.00	5.0
LATEEF MGMT	033	FCX	S	250	33.88	n/a	n/a	30.00	12.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANDREW LONGLEY TRUS	FID	FEX	B	40	37.85	n/a	n/a	0.00	0.0
f CLIFFORD LONGLEY TR	FID	FEX	B	40	37.86	n/a	n/a	0.00	0.0
f JONATHAN LONGLEY TR	FID	FEX	B	40	37.85	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	FFIV	B	50	91.58	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	FLR	B	105	72.14	n/a	n/a	5.25	5.0
BRIGADE CAPITAL MGMT	029	FOE	S	25,000	9.76	n/a	n/a	750.00	3.0
BAIRD INVESTMENT	047	FTNT	B	225	21.84	n/a	n/a	11.25	5.0
BAIRD INVESTMENT	047	GHL	B	220	47.51	n/a	n/a	11.00	5.0
LATEEF MGMT	033	GIS	B	225	47.92	n/a	n/a	45.00	20.0
TIDE POINT CAPITAL	028	GM	B	30,000	35.57	n/a	4-Oct	900.00	3.0
LATEEF MGMT	033	GSPRD	B	300	19.55	n/a	n/a	30.00	10.0
CR INTRINIC INVESTMENT	044	GT	S	100,000	22.95	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		HTZ	B	22,000	22.49	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	HTZ	B	25,000	22.98		n/a	n/a	750.00 3.0
BAIRD INVESTMENT	047	ICLR	B	265	41.15	n/a	n/a	13.25	5.0
BAIRD INVESTMENT	047	IHG	B	215	29.13	n/a	n/a	10.75	5.0
BAIRD INVESTMENT	047	ILMN	B	125	81.25	n/a	n/a	6.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		IP	B	11,500	43.48	n/a	18-Sep	non-brg	4.0
LATEEF MGMT	033	IP	B	150	43.45	n/a	18-Sep	30.00	20.0
BAIRD INVESTMENT	047	IVZ	B	190	32.44	n/a	n/a	9.50	5.0
BAIRD INVESTMENT	047	JBHT	B	140	72.80	n/a	n/a	7.00	5.0
f MARC PAUL LUCHANSKY	FID	JCP	S	300	7.98	27-Sep	30-Sep	0.00	0.0
PAR CAPITAL	029	LCC	C	350,000	20.57	n/a	4-Oct	14,000.00	4.0
TIDE POINT CAPITAL	028	LEA	B	20,000	73.76	n/a	18-Sep	600.00	3.0
BAIRD INVESTMENT	047	LKQ	B	315	32.72	n/a	n/a	15.75	5.0
PRIMECAP MGMT	084	LLY	B	200	48.19	n/a	n/a	8.00	4.0
COUGAR TRADING	044	LPX	S	25,000	17.74	n/a	4-Oct	1,250.00	5.0
BAIRD INVESTMENT	047	MAN	B	155	75.71	n/a	n/a	7.75	5.0
BAIRD INVESTMENT	047	MCHP	B	115	39.50	n/a	n/a	5.75	5.0
f GERALD EPHRAM COHEN	FID	MINI	B	150	32.96	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	MKC	B	165	64.73	n/a	n/a	8.25	5.0
SCOGGIN LLC	041	MOS	B	46,000	45.77	n/a	n/a	2,300.00	5.0
B BUCK CAPITAL MGMT		MWV	S	13,500	37.51	n/a	1-Oct	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	MWV	B	10,000	37.49	n/a	1-Oct	500.00	5.0
P.SCHOENFELD ASSET MGMT LLC	041	NAV	C	16,400	38.21	n/a	3-Oct	656.00	4.0
PRIMECAP MGMT	084	NKTR	B	2,400	10.33	n/a	n/a	96.00	4.0
LATEEF MGMT	033	NUE	S	125	48.79	n/a	n/a	31.25	25.0
BAIRD INVESTMENT	047	OII	B	115	82.58	n/a	n/a	5.75	5.0
BAIRD INVESTMENT	047	ORLY	B	65	127.04	n/a	n/a	3.25	5.0
B BUCK CAPITAL MGMT		PBPB	S	15,161	31.72	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PBPB	S	9,839	32.83	n/a	n/a	non-brg	2.5
BAIRD INVESTMENT	047	PII	B	50	134.39	n/a	n/a	2.50	5.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PLCM	S	63,859	11.00		n/a n/a	1,915.77	3.0
f MARC PAUL LUCHANSKY	FID	PNRA	S	50	159.33	n/a	n/a	0.00	0.0
LATEEF MGMT	033	POT	B	150	32.88	n/a	n/a	30.00	20.0
BAIRD INVESTMENT	047	PRGO	B	60	128.70	n/a	3-Oct	3.00	5.0
BAIRD INVESTMENT	047	PVH	B	100	123.96	n/a	3-Oct	5.00	5.0
BAIRD INVESTMENT	047	RBC	B	55	72.69	n/a	n/a	2.75	5.0
BAIRD INVESTMENT	047	ROK	B	95	107.47	n/a	n/a	4.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ROP	B	60	130.12	n/a	n/a	3.00	5.0
f CHRISTOPHER ROBERT C	FID	R	B	100	59.57	n/a	30-Sep	0.00	0.0
f CHRISTOPHER ROBERT C	FID	SLXP	B	50	71.63	n/a	3-Oct	0.00	0.0
AMICI CAPITAL N/C	044	SPF	B	50,000	7.68	n/a	n/a	2,000.00	4.0
BAIRD INVESTMENT	047	SRCL	B	105	116.01	n/a	n/a	5.25	5.0
LEVIN CAPITAL STRATEGIES	041	SSI	C	10,000	20.20	30-Sep	30-Sep	300.00	3.0
f MARC PAUL LUCHANSKY	FID	STZ	B	100	61.66	3-Oct	4-Oct	0.00	0.0
WALL STREET CAPITAL	084	STZ	B	11,350	61.82	3-Oct	4-Oct	510.75	5.0
BAIRD INVESTMENT	047	SWKS	B	250	25.72	n/a	n/a	12.50	5.0
BAIRD INVESTMENT	047	SWN	B	145	36.07	n/a	n/a	7.25	5.0
LATEEF MGMT	033	SWY	S	300	31.68	n/a	n/a	30.00	10.0
BAIRD INVESTMENT	047	TDC	B	140	54.41	n/a	n/a	7.00	5.0
BAIRD INVESTMENT	047	TFM	B	150	49.68	n/a	n/a	7.50	5.0
BAIRD INVESTMENT	047	TIF	B	95	77.46	n/a	n/a	4.75	5.0
SENATOR INVESTMENT GROUP	287	TPX	SS	15,000	45.11	n/a	n/a	450.00	3.0
BAIRD INVESTMENT	047	TRMB	B	305	30.84	n/a	n/a	15.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	TRV	S	500	84.42	n/a	n/a	60.00	12.0
BAIRD INVESTMENT	047	TSCO	B	150	68.69	n/a	n/a	7.50	5.0
BAIRD INVESTMENT	047	UA	B	120	81.26	n/a	2-Oct	6.00	5.0
BAIRD INVESTMENT	047	URBN	B	210	36.99	n/a	n/a	10.50	5.0
MFP INVESTORS	085	VNO	B	52,432	83.90	n/a	n/a	2,621.60	5.0
MERRILL ASSET/BLACKROCK	085	V	S	6,500	189.60	25-Sep	3-Oct	260.00	4.0
BAIRD INVESTMENT	047	WBC	B	110	84.99	17-Sep	27-Sep	5.50	5.0
B BUCK CAPITAL MGMT		WGO	S	18,900	26.56	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	WLL	B	170	64.43	n/a	n/a	8.50	5.0
f JONATHAN RICHARD HAR	FID	WNC	S	1000	11.82	n/a	24-Sep	0.00	0.0
BAIRD INVESTMENT	047	WSO	B	80	94.39	n/a	n/a	4.00	5.0
LIONEYE CAPITAL	040	XRTX	B	60,000	11.25	n/a	n/a	3,000.00	5.0
CASTLEROCK	040	YUM	SS	5,000	71.24	9-Sep	9-Sep	200.00	4.0
BAIRD INVESTMENT	047	ZBRA	B	120	46.72	n/a	n/a	6.00	5.0
f DAVID GEORGE BUCK	FID		B	100000	98.95	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

56,757.31

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	10/03	DC CAPITAL	044	JCP	B	50,000	8.50-2013-09-27-2013-09-30	1500.00	0.0
AO,CXL	10/03	DC CAPITAL	044	JCP	B	50,000	8.50-2013-09-27-2013-09-30	2000.00	0.0
AO,CRT	10/03	HARVEST MGMT (JMP)	029	PVH	SS	10,000	123.65	n/a-2013-10-03	400.00 0.0
AO,CXL	10/03	HARVEST MGMT (JMP)	029	PVH	SS	10,000	123.65	n/a-2013-10-03	500.00 0.0
TOTAL (AO, CXL, CRT) :									-600.00

TOTAL (Trade Date) :	56,757.31
TOTAL (AO, CXL, CRT) :	-600.00

TOTAL (RUN DATE) / NFS :	56,157.31
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	10/03	BUCK CAPITAL MGMT	PBPB	B	25,000	14.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 4-Oct.
NONE

MRI Securities without Trade Activity on 4-Oct.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
Õ: Employee Trades in Outside Accounts
ß: Non-BRG BCM Trades
[i]: Initiation of Coverage
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
Watch List Trades
f: Employee Trades (Fidelity)