



Daily Compliance Activity Report

Trade Date: 11/23/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AA	S	925	8.33	n/a	n/a	46.25	5.0
f PATRICK O'GRADY	FID	ABCP	S	790	2.90	n/a	n/a	0.00	0.0
SCOPUS FUND	041	ABG	B	10,000	30.46	n/a	15-Nov	400.00	4.0
BAIRD INVESTMENT	047	ADS	B	800	140.45	n/a	n/a	40.00	5.0
ROYCE TRADING	031	AEO	B	1,000	19.48	n/a	2-Dec	50.00	0.0
BAIRD INVESTMENT	047	ALTR	B	2,100	31.81	n/a	n/a	105.00	5.0
BAIRD INVESTMENT	047	AMG	B	700	127.79	n/a	2-Mar	35.00	5.0
PATTEN & PATTEN	025	AMLP	B	250	16.22	n/a	n/a	12.50	5.0
B BUCK CAPITAL MGMT		ANF	B	50,000	44.04	n/a	15-Nov	non-brg	4.0
BAIRD INVESTMENT	047	ANSS	B	1,400	67.55	n/a	n/a	70.00	5.0
BAIRD INVESTMENT	047	ARG	B	1,000	89.79	n/a	15-Nov	50.00	5.0
BAIRD INVESTMENT	047	ATR	B	1,500	47.51	n/a	n/a	75.00	5.0
BAIRD INVESTMENT	047	ATU	B	2,800	27.61	n/a	n/a	140.00	5.0
BAIRD INVESTMENT	047	AYI	B	1,100	65.20	n/a	n/a	55.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	BRIAN P CLIFFORD	FID	BBY	S	500	11.61	n/a	n/a	0.00	0.0
	BAIRD INVESTMENT	047	BWLD	B	1,000	72.01	n/a	n/a	50.00	5.0
	BAIRD INVESTMENT	047	CERN	B	900	78.01	n/a	n/a	45.00	5.0
	BAIRD INVESTMENT	047	CHD	B	1,900	53.86	n/a	5-Nov	95.00	5.0
	BAIRD INVESTMENT	047	CLB	B	700	101.90	n/a	21-Nov	35.00	5.0
	BAIRD INVESTMENT	047	COG	B	2,300	49.31	n/a	21-Nov	115.00	5.0
	PZENA INV ADV	044	CSC	S	2,425	37.52	n/a	n/a	84.88	0.0
	BAIRD INVESTMENT	047	CTRX	B	2,100	48.74	n/a	n/a	105.00	5.0
	BAIRD INVESTMENT	047	CTXS	B	1,300	61.69	n/a	n/a	65.00	5.0
	PATTEN & PATTEN	025	CVX	S	345	105.25	n/a	n/a	17.25	5.0
	BAIRD INVESTMENT	047	DG	B	2,400	48.85	n/a	20-Nov	120.00	5.0
	BAIRD INVESTMENT	047	DKS	B	2,300	51.84	n/a	13-Nov	115.00	5.0
	BAIRD INVESTMENT	047	DLR	B	1,700	64.20	n/a	n/a	85.00	5.0
f	JOSEPH CIRO AMATURO	FID	DMND	B	2000	13.15	n/a	n/a	0.00	0.0
	BAIRD INVESTMENT	047	EWBC	B	3,300	21.55	n/a	n/a	165.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	EXC	S	750	28.50	n/a	n/a	37.50	5.0
GALT INVESTMENT	041	EXPR	S	25,000	11.90	n/a	n/a	1,250.00	5.0
BAIRD INVESTMENT	047	FAST	B	1,800	41.17	n/a	n/a	90.00	5.0
BAIRD INVESTMENT	047	FFIV	B	400	92.05	n/a	25-Oct	20.00	5.0
BAIRD INVESTMENT	047	FIRE	B	1,700	47.00	n/a	n/a	85.00	5.0
BAIRD INVESTMENT	047	FLR	B	1,300	53.55	n/a	n/a	65.00	5.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	300	1.00	n/a	n/a	0.00	0.0
PECONIC PARTNERS	036	F	B	300,000	11.02	n/a	15-Nov	15,000.00	0.0
BAIRD INVESTMENT	047	GHL	B	1,400	46.50	n/a	n/a	70.00	5.0
OZ MGMT	040	GM	S	57,511	25.09	n/a	15-Nov	1,725.33	0.0
BAIRD INVESTMENT	047	HMSY	B	2,400	23.10	n/a	n/a	120.00	5.0
BAIRD INVESTMENT	047	ICLR	B	3,200	27.49	n/a	n/a	160.00	5.0
BAIRD INVESTMENT	047	IHG	B	2,700	27.08	n/a	n/a	135.00	5.0
BAIRD INVESTMENT	047	ILMN	B	2,100	52.92	n/a	n/a	105.00	5.0
BAIRD INVESTMENT	047	IVZ	B	3,700	24.67	n/a	2-Mar	185.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	JBHT	B	1,700	59.30	n/a	n/a	85.00	5.0
BAIRD INVESTMENT	047	JOY	B	1,100	56.63	n/a	11-Jul	55.00	5.0
PZENA INV ADV	044	JPM	S	2,775	41.10	n/a	19-Nov	97.13	0.0
BAIRD INVESTMENT	047	LKQ	B	2,300	21.99	n/a	n/a	115.00	5.0
BAIRD INVESTMENT	047	MAN	B	1,900	38.03	n/a	n/a	95.00	5.0
BAIRD INVESTMENT	047	MCHP	B	1,400	29.81	n/a	n/a	70.00	5.0
BAIRD INVESTMENT	047	MKC	B	1,600	65.95	n/a	n/a	80.00	5.0
BAIRD INVESTMENT	047	OII	B	1,800	54.02	n/a	n/a	90.00	5.0
BAIRD INVESTMENT	047	ORLY	B	1,400	92.82	n/a	n/a	70.00	5.0
SCOPUS FUND	041	PAG	B	10,000	28.56	n/a	5-Nov	400.00	4.0
BAIRD INVESTMENT	047	PII	B	600	84.15	n/a	n/a	30.00	5.0
BAIRD INVESTMENT	047	PLT	B	1,300	32.86	n/a	n/a	65.00	5.0
BAIRD INVESTMENT	047	PLXS	B	2,300	22.30	n/a	n/a	115.00	5.0
BAIRD INVESTMENT	047	PRGO	B	1,000	103.05	n/a	19-Nov	50.00	5.0
BAIRD INVESTMENT	047	PVH	B	500	110.47	n/a	1-Nov	25.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ROK	B	1,100	78.07	n/a	n/a	55.00	5.0
BAIRD INVESTMENT	047	ROP	B	700	113.05	n/a	n/a	35.00	5.0
BAIRD INVESTMENT	047	RVBD	B	2,200	17.62	n/a	n/a	110.00	5.0
OZ MGMT	040	SBUX	B	25,022	51.27	n/a	15-Nov	750.66	0.0
COOKBIELER	028	SFG	B	70,500	33.34	n/a	n/a	2,820.00	0.0
BAIRD INVESTMENT	047	SRCL	B	900	92.15	n/a	n/a	45.00	5.0
BAIRD INVESTMENT	047	SWKS	B	3,000	21.71	n/a	n/a	150.00	5.0
BAIRD INVESTMENT	047	TDC	B	1,500	61.57	n/a	n/a	75.00	5.0
BAIRD INVESTMENT	047	TIF	B	1,100	62.18	n/a	n/a	55.00	5.0
CORNERSTONE	030	TIF	S	128,388	62.07	n/a	n/a	3,851.64	0.0
BAIRD INVESTMENT	047	TRMB	B	1,500	54.80	n/a	n/a	75.00	5.0
BAIRD INVESTMENT	047	TSCO	B	800	90.67	n/a	n/a	40.00	5.0
BAIRD INVESTMENT	047	UA	B	1,500	52.36	n/a	26-Oct	75.00	5.0
BAIRD INVESTMENT	047	ULTA	B	1,000	91.84	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	URBN	B	2,600	37.60	n/a	n/a	130.00	5.0
f JOSEPH CIRO AMATURO	FID	VRA	B	2000	28.13	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	WBC	B	1,300	60.65	n/a	8-Nov	65.00	5.0
BAIRD INVESTMENT	047	WLL	B	1,500	44.81	n/a	n/a	75.00	5.0
BAIRD INVESTMENT	047	WSO	B	1,000	72.62	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	XOM	B	250	88.82	n/a	n/a	12.50	5.0
BAIRD INVESTMENT	047	ZBRA	B	1,500	38.91	n/a	n/a	75.00	5.0
TOTAL (Trade Date):								31,260.64	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									31,260.64
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									31,260.64
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 23-Nov.
NONE

MRI Securities without Trade Activity on 23-Nov.
NONE

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

Legend:

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)