

## **Daily Compliance Activity Report** Trade Date: 03/26/2013

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BAIRD INVESTMENT	047	ABT	В	150	34.02	n/a	n/a	7.50	5.0
BAIRD INVESTMENT	047	ACN	В	50	74.61	n/a	n/a	2.50	5.0
CENTURION PARTNERS	041	AGNC	В	5,000	32.14	n/a	n/a	200.00	4.0
BAIRD INVESTMENT	047	AGN	В	50	111.95	n/a	25-Mar	2.50	5.0
BAIRD INVESTMENT	047	AKAM	В	50	34.79	n/a	n/a	2.50	5.0
CENTURION PARTNERS	041	ALK	S	25 <b>,</b> 000	62.50	n/a	n/a	1,000.00	4.0
BAIRD INVESTMENT	047	AMT	В	50	76.60	n/a	n/a	2.50	5.0
RAINIER INV MGMT	033	ANGI	В	36,900	19.90	n/a	n/a	1,476.00	0.0
KAM ADVISORS LLC	041	AXL	S	168,300	12.87	n/a	25-Mar	5,049.00	0.0
ROSEDALE CAPITAL	046	BRCD	S	50,000	5.74	n/a	n/a	1,500.00	3.0
IVORY CAPITAL	084	BSX	S	94,100	7.41	n/a	n/a	3,764.00	0.0
BAIRD INVESTMENT	047	CAT	В	50	87.13	n/a	11-Jul	2.50	5.0
BAIRD INVESTMENT	047	CERN	В	50	93.21	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	CHD	В	100	63.49	n/a	18-Mar	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
FINDLAY PARK PART	085	CHD	S	84,500	63.64	n/a	18-Mar	8,065.77	0.0
BAIRD INVESTMENT	047	CRM	В	50	172.78	n/a	n/a	2.50	5.0
ROYCE TRADING	031	CROX	В	75,000	14.92	n/a	n/a	3,750.00	0.0
BAIRD INVESTMENT	047	CTSH	В	100	75.14	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	CTXS	В	50	70.30	n/a	n/a	2.50	5.0
DAVIDSON KEMPNER ADVISOR	040	DELL	С	114,396	14.55	n/a	n/a	3,431.88	0.0
SANDLER O'NEILL ASSET	031	DFS	S	10,000	45.10	n/a	21-Mar	500.00	5.0
BAIRD INVESTMENT	047	DG	В	50	51.71	n/a	26-Mar	2.50	5.0
BAIRD INVESTMENT	047	DHR	В	100	61.52	n/a	n/a	5.00	5.0
FRED ALGER MGMT	070	DISCA	S	25,000	79.09	n/a	n/a	900.00	0.0
BAIRD INVESTMENT	047	DKS	В	150	47.09	n/a	26-Mar	7.50	5.0
SHEFFIELD ASSET MGMT	031	DLTR	S	110,100	48.05	n/a	1-Mar	4,404.00	4.0
BAIRD INVESTMENT	047	DTV	В	100	56.11	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	EBAY	В	100	51.69	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	EMC	В	300	23.79	n/a	26-Feb	15.00	5.0
LATEEF MGMT	033	ENR	S	350	98.00	n/a	28-Feb	77.00	22.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
BAIRD INVESTMENT	047	ETN	В	100	61.62	n/a	14-Mar	5.00	5.0
BAIRD INVESTMENT	047	EW	В	50	81.92	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	FAST	В	100	50.29	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	FB	В	50	25.34	n/a	n/a	2.50	5.0
KEYGROUP/KGLT	040	FCX	В	25,000	32.75	n/a	n/a	1,000.00	4.0
SUFFOLK CAPITAL MGMT	040	FIVE	S	22,369	40.72	n/a	1-Mar	894.76	0.0
BAIRD INVESTMENT	047	FLR	В	50	64.95	n/a	n/a	2.50	5.0
BRIGADE CAPITAL MGMT	029	FNSR	В	50,000	13.41	n/a	n/a	1,500.00	0.0
WAGONHOUND/NICOLAS	033	FOR	В	50,000	22.29	n/a	26-Mar	2,000.00	0.0
BAIRD INVESTMENT	047	FTNT	В	200	22.83	n/a	n/a	10.00	5.0
BAIRD INVESTMENT	047	GILD	В	150	45.80	n/a	n/a	7.50	5.0
TROUBH PART	070	GM	В	25,000	28.11	n/a	25-Mar	1,250.00	5.0
CENTURION PARTNERS	041	HIG	S	20,000	25.89	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	047	ILMN	В	50	53.59	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	INTC	В	300	21.52	n/a	n/a	15.00	5.0
	BAIRD INVESTMENT  BAIRD INVESTMENT  BAIRD INVESTMENT  BAIRD INVESTMENT  KEYGROUP/KGLT  SUFFOLK CAPITAL MGMT  BAIRD INVESTMENT  BRIGADE CAPITAL MGMT  WAGONHOUND/NICOLAS  BAIRD INVESTMENT  BAIRD INVESTMENT  TROUBH PART  CENTURION PARTNERS  BAIRD INVESTMENT	BAIRD INVESTMENT 047  BAIRD INVESTMENT 047  BAIRD INVESTMENT 047  KEYGROUP/KGLT 040  SUFFOLK CAPITAL MGMT 040  BAIRD INVESTMENT 047  BRIGADE CAPITAL MGMT 029  WAGONHOUND/NICOLAS 033  BAIRD INVESTMENT 047  TROUBH PART 070  CENTURION PARTNERS 041  BAIRD INVESTMENT 047	BAIRD INVESTMENT 047 ETN  BAIRD INVESTMENT 047 FAST  BAIRD INVESTMENT 047 FB  KEYGROUP/KGLT 040 FCX  SUFFOLK CAPITAL MGMT 040 FIVE  BAIRD INVESTMENT 047 FLR  BRIGADE CAPITAL MGMT 029 FNSR  WAGONHOUND/NICOLAS 033 FOR  BAIRD INVESTMENT 047 FINT  BAIRD INVESTMENT 047 GILD  TROUBH PART 070 GM  CENTURION PARTNERS 041 HIG  BAIRD INVESTMENT 047 ILMN	BAIRD INVESTMENT 047 ETN B BAIRD INVESTMENT 047 EW B BAIRD INVESTMENT 047 FAST B BAIRD INVESTMENT 047 FB B KEYGROUP/KGLT 040 FCX B SUFFOLK CAPITAL MGMT 040 FIVE S BAIRD INVESTMENT 047 FLR B BRIGADE CAPITAL MGMT 029 FNSR B WAGONHOUND/NICOLAS 033 FOR B BAIRD INVESTMENT 047 FTNT B BAIRD INVESTMENT 047 FTNT B TROUBH PART 070 GM B CENTURION PARTNERS 041 HIG S BAIRD INVESTMENT 047 ILMN B	BAIRD INVESTMENT         047         ETN         B         100           BAIRD INVESTMENT         047         EW         B         50           BAIRD INVESTMENT         047         FAST         B         100           BAIRD INVESTMENT         047         FB         B         50           KEYGROUP/KGLT         040         FCX         B         25,000           SUFFOLK CAPITAL MGMT         040         FIVE         S         22,369           BAIRD INVESTMENT         047         FLR         B         50           WAGONHOUND/NICOLAS         033         FOR         B         50,000           BAIRD INVESTMENT         047         FINT         B         200           BAIRD INVESTMENT         047         GILD         B         150           TROUBH PART         070         GM         B         25,000           CENTURION PARTNERS         041         HIG         S         20,000           BAIRD INVESTMENT         047         ILMN         B         50	BAIRD INVESTMENT 047 ETN B 100 61.62  BAIRD INVESTMENT 047 EW B 50 81.92  BAIRD INVESTMENT 047 FAST B 100 50.29  BAIRD INVESTMENT 047 FB B 50 25.34  KEYGROUP/KGLT 040 FCX B 25,000 32.75  SUFFOLK CAPITAL MGMT 040 FIVE S 22,369 40.72  BAIRD INVESTMENT 047 FLR B 50 64.95  BRIGADE CAPITAL MGMT 029 FNSR B 50,000 13.41  WAGONHOUND/NICOLAS 033 FOR B 50,000 22.29  BAIRD INVESTMENT 047 FTNT B 200 22.83  BAIRD INVESTMENT 047 GILD B 150 45.80  TROUBH PART 070 GM B 25,000 28.11  CENTURION PARTNERS 041 HIG S 20,000 25.89  BAIRD INVESTMENT 047 ILMN B 50 53.59	BAIRD INVESTMENT 047 ETN B 100 61.62 n/a BAIRD INVESTMENT 047 EW B 50 81.92 n/a BAIRD INVESTMENT 047 FAST B 100 50.29 n/a BAIRD INVESTMENT 047 FB B 50 25.34 n/a  KEYGROUP/KGLT 040 FCX B 25,000 32.75 n/a  SUFFOLK CAPITAL MGMT 040 FIVE S 22,369 40.72 n/a  BAIRD INVESTMENT 047 FLR B 50,000 13.41 n/a  BRIGADE CAPITAL MGMT 029 FNSR B 50,000 13.41 n/a  WAGONHOUND/NICOLAS 033 FOR B 50,000 22.29 n/a  BAIRD INVESTMENT 047 FTNT B 200 22.83 n/a  BAIRD INVESTMENT 047 GILD B 150 45.80 n/a  TROUBH PART 070 GM B 25,000 28.11 n/a  CENTURION PARTNERS 041 HIG S 20,000 25.89 n/a  BAIRD INVESTMENT 047 ILMN B 50 53.59 n/a	BAIRD INVESTMENT 047 ETN B 100 61.62 n/a 14-Mar  BAIRD INVESTMENT 047 EW B 50 81.92 n/a n/a  BAIRD INVESTMENT 047 FAST B 100 50.29 n/a n/a  BAIRD INVESTMENT 047 FB B 50 25.34 n/a n/a  KEYGROUP/KGLT 040 FCX B 25,000 32.75 n/a n/a  SUFFOLK CAPITAL MGMT 040 FIVE S 22,369 40.72 n/a 1-Mar  BAIRD INVESTMENT 047 FLR B 50 64.95 n/a n/a  BRIGADE CAPITAL MGMT 029 FNSR B 50,000 13.41 n/a n/a  WAGONHOUND/NICOLAS 033 FOR B 50,000 13.41 n/a 26-Mar  BAIRD INVESTMENT 047 FINT B 200 22.83 n/a n/a  BAIRD INVESTMENT 047 GILD B 150 45.80 n/a n/a  TROUBH PART 070 GM B 25,000 28.11 n/a 25-Mar  CENTURION PARTNERS 041 HIG S 20,000 25.89 n/a n/a  BAIRD INVESTMENT 047 ILMN B 50 53.59 n/a n/a	BAIRD INVESTMENT 047 EN B 100 61.62

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
BAIRD INVESTMENT	047	JBHT	В	50	73.54	n/a	n/a	2.50	5.0	
SANDLER CAPITAL	028	JBHT	S	200,000	73.40	n/a	n/a	8,000.00	0.0	
ADAGE CAPITAL MGMT	030	JWN	В	3 <b>,</b> 269	53.74	n/a	6-Mar	98.07	3.0	
BAIRD INVESTMENT	047	KO	В	250	40.37	n/a	28-Feb	12.50	5.0	
LATEEF MGMT	033	KR	S	2,150	32.87	n/a	n/a	233.00	11.6	
SCOPUS FUND	041	KSS	SS	25,000	46.40	n/a	6-Mar	1,000.00	4.0	
STRONG/MARK GRONET	030	LCC	S	100,000	16.54	n/a	26-Mar	4,000.00	0.0	
MILLRACE FUND LP	028	LEA	S	5,000	54.81	n/a	22-Mar	200.00	4.0	
SCOPUS FUND	041	LTD	S	15,200	44.48	n/a	n/a	608.00	4.0	
BAIRD INVESTMENT	047	LVS	В	50	55.28	n/a	13-Jun	2.50	5.0	
FRED ALGER MGMT	070	LVS	В	17,900	55.46	n/a	13-Jun	644.40	0.0	
EPOCH INV MGMT	030	MLHR	В	22,500	27.41	n/a	n/a	675.00	0.0	
CASTLE ARK	031	MON	В	105,320	103.12	n/a	n/a	5,266.00	0.0	
BAIRD INVESTMENT	047	MSFT	В	400	28.28	n/a	n/a	20.00	5.0	
CSFB GLOBAL PROPRIETARY	041	MWV	В	24,000	36.00	n/a	26-Mar	1,200.00	5.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	1 NDZ	В	10,	000 6.55		n/a	n/a 20	0.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
BAIRD INVESTMENT	047	NKE	В	100	58.99	n/a	26-Mar	5.00	5.0	
NWQ INVESTMENT MGMT CO	084	NP	В	2,400	30.75	n/a	22-Feb	84.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 NRG	В	15,	,000 25.80		n/a :	n/a 450	.00	3.0
BAIRD INVESTMENT	047	OII	В	50	65.24	n/a	n/a	2.50	5.0	
BAIRD INVESTMENT	047	ORCL	В	150	31.56	n/a	n/a	7.50	5.0	
PRIMECAP MGMT	084	ORCL	S	50,000	31.67	n/a	n/a	2,000.00	0.0	
BAIRD INVESTMENT	047	ORLY	В	100	103.00	n/a	n/a	5.00	5.0	
BAIRD INVESTMENT	047	PCP	В	50	190.94	n/a	11-Mar	2.50	5.0	
COUGAR TRADING	044	PLCE	В	5,000	44.91	n/a	26-Mar	250.00	5.0	
ASCEND PARTNERS	033	PVH	S	20,000	113.91	n/a	1-Mar	1,000.00	0.0	
BAIRD INVESTMENT	047	PVH	В	50	113.43	n/a	1-Mar	2.50	5.0	
BAIRD INVESTMENT	047	PX	В	50	112.37	n/a	n/a	2.50	5.0	
BAIRD INVESTMENT	047	QCOM	В	100	66.29	n/a	n/a	5.00	5.0	
BAIRD INVESTMENT	047	ROK	В	50	84.83	n/a	n/a	2.50	5.0	
WAGONHOUND/NICOLAS	033	SAVE	S	29 <b>,</b> 371	25.65	n/a	n/a	1,174.84	0.0	
BAIRD INVESTMENT	047	SBUX	В	150	56.79	n/a	25-Mar	7.50	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
BAIRD INVESTMENT	047	SLB	В	50	74.00	n/a	n/a	2.50	5.0
FIRST NY SEC/CHRIS	041	SONC	SS	10,000	12.53	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	047	SRCL	В	100	104.55	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	STT	В	50	59.56	n/a	21-Mar	2.50	5.0
FINDLAY PARK PART	085	STT	В	73,000	59.88	n/a	21-Mar	6,556.86	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	В	2,900	47.30	n/a	28-Feb	87.00	0.0
BAIRD INVESTMENT	047	TDC	В	50	56.94	n/a	n/a	2.50	5.0
S.A.C. CAPITAL	044	TGT	SS	20,000	68.14	n/a	13-Mar	600.00	3.0
BAIRD INVESTMENT	047	TIF	В	50	68.01	n/a	n/a	2.50	5.0
COHE & STEERS	041	TOL	В	12,000	35.22	n/a	n/a	480.00	0.0
BAIRD INVESTMENT	047	TROW	В	50	74.29	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	TSCO	В	50	101.39	n/a	n/a	2.50	5.0
M&I FUNDS	047	TWI	В	6,900	21.19	n/a	n/a	276.00	4.0
BAIRD INVESTMENT	047	URBN	В	50	39.07	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	WFM	В	100	86.69	n/a	n/a	5.00	5.0
ROYCE TRADING	031	WOR	S	25,000	30.56	n/a	n/a	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Sh	nr.
ASCEND PARTNERS	033	XLI	SS	101,900	41.45	n/a	n/a	3,057.00 0.	. 0
SUFFOLK CAPITAL MGMT	040	YUM	В	211,400	70.87	n/a	25-Mar	8,456.00 0.	. 0
LISTED ERR	099	YUM	В	6,357	70.84	n/a	25-Mar	0.00 0.	. 0
LISTED ERR	099	YUM	S	6,357	70.82	n/a	25-Mar	0.00 0	. 0

TOTAL (Trade Date): 90,146.08

Туре	Date Account	RR # Symbol B	/S Shares	Price MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):				0.00
	(Trade Date): (AO, CXL, CRT):			90,	146.08
TOTAL	(RUN DATE) / NFS:			90,	146.08

## Legend:

O: 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