



Daily Compliance Activity Report

Trade Date: 07/09/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ABT	S	58,100	35.11	n/a	n/a	581.00	0.0
BAIRD INVESTMENT	047	ACHC	S	350	34.09	n/a	n/a	17.50	0.0
BAIRD INVESTMENT	047	ADS	S	100	184.55	n/a	n/a	5.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	ADT	S	25,000	42.23		n/a n/a	750.00	0.0
BAIRD INVESTMENT	047	ALTR	S	400	33.42	n/a	n/a	20.00	0.0
BAIRD INVESTMENT	047	ALXN	S	250	95.31	n/a	n/a	12.50	0.0
BAIRD INVESTMENT	047	AMG	S	150	166.11	n/a	2-Mar	7.50	0.0
BALYASNY ASSET MGMT	044	ANF	S	20,000	50.27	n/a	n/a	1,000.00	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	50.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	S	64,571	51.03	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	ANSS	S	250	75.72	n/a	n/a	12.50	0.0
BAIRD INVESTMENT	047	ARG	S	150	98.25	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	ATR	S	250	57.48	n/a	n/a	12.50	0.0
BAIRD INVESTMENT	047	ATU	S	500	34.97	n/a	n/a	25.00	0.0
ARDSLEY PARTNERS	280	AXE	B	10,000	78.36	n/a	16-May	500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	AXL	S	500	19.39	n/a	19-Jun	0.00	0.0
WINSLOW CAPITAL	030	AXP	S	24,000	77.28	n/a	19-Jun	240.00	0.0
BAIRD INVESTMENT	047	AYI	S	200	85.22	n/a	n/a	10.00	0.0
FRED ALGER MGMT	070	BBBY	B	46,950	75.90	n/a	n/a	1,690.20	0.0
LATEEF MGMT	033	BBT	S	500	34.99	n/a	n/a	50.00	0.0
LISTED ERR	099	BBT	B	500	34.99	n/a	n/a	0.00	0.0
LISTED ERR	099	BBT	S	500	34.99	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	BBY	S	67,400	29.92	n/a	n/a	674.00	0.0
JET CAPITAL/CHRIS	041	BKH	S	10,000	50.44	n/a	n/a	300.00	0.0
WINSLOW CAPITAL	030	BLK	S	1,900	256.79	n/a	n/a	19.00	0.0
WINSLOW CAPITAL	030	BWA	S	25,900	86.44	n/a	19-Jun	259.00	0.0
BAIRD INVESTMENT	047	BWLD	S	200	103.55	n/a	n/a	10.00	0.0
FRED ALGER MGMT	070	BWLD	S	11,150	103.64	n/a	n/a	401.40	0.0
LONG OAR GLOBAL INV	040	CBI	S	25,000	60.38	n/a	n/a	1,000.00	0.0
f KATHERINE L O'GORMAN	FID	CBNK	B	1250	17.30	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	CBS	S	44,300	51.74	n/a	n/a	443.00	0.0
BAIRD INVESTMENT	047	CERN	S	400	47.50	n/a	n/a	20.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	CHD	S	500	62.39	n/a	17-Jun	25.00	0.0
BAIRD INVESTMENT	047	CLB	S	100	157.01	n/a	13-Jun	5.00	0.0
f JOHN M HICKEY	FID	CLDX	S	1500	19.45	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	CNQR	S	300	84.74	n/a	n/a	15.00	0.0
f KAREN LYNNE FERENZO	FID	COFPRP	B	1000	24.10	n/a	n/a	0.00	0.0
WADDELL AND REED	047	COG	S	176,209	71.75	n/a	13-Jun	7,048.36	0.0
WINSLOW CAPITAL	030	COG	S	23,500	71.67	n/a	13-Jun	235.00	0.0
TROUBH PART	070	COH	B	10,000	58.05	n/a	30-May	500.00	0.0
B BUCK CAPITAL MGMT		COLM	SS	1,784	65.30	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	CRM	S	101,700	38.06	n/a	n/a	1,017.00	0.0
ACK ASSET	028	CSX	B	55,000	24.05	n/a	n/a	1,650.00	0.0
BAIRD INVESTMENT	047	CTRX	S	450	48.37	n/a	n/a	22.50	0.0
BAIRD INVESTMENT	047	CTXS	S	250	63.71	n/a	n/a	12.50	0.0
WINSLOW CAPITAL	030	CVS	S	41,600	59.85	n/a	n/a	416.00	0.0
WINSLOW CAPITAL	030	DAL	S	89,700	19.18	n/a	18-Jun	897.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	DELL	S	149,000	13.41	n/a	n/a	2,980.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		DGX	B	17,000	58.56	n/a	n/a	non-brg 1.0
BAIRD INVESTMENT	047	DG	S	250	52.06	n/a	4-Jun	12.50 0.0
WINSLOW CAPITAL	030	DG	S	50,200	52.39	n/a	4-Jun	502.00 0.0
WINSLOW CAPITAL	030	DHR	S	83,100	65.91	n/a	n/a	831.00 0.0
WINSLOW CAPITAL	030	DIS	S	29,900	64.87	n/a	n/a	299.00 0.0
BAIRD INVESTMENT	047	DKS	S	400	49.28	n/a	19-Jun	20.00 0.0
BAIRD INVESTMENT	047	DLR	S	300	59.89	n/a	n/a	15.00 0.0
LATEEF MGMT	033	DVN	B	250	55.19	n/a	13-Jun	40.00 0.0
WINSLOW CAPITAL	030	ECL	S	21,500	87.80	n/a	18-Jan	215.00 0.0
B BUCK CAPITAL MGMT		EL	B	15,100	66.44	n/a	17-Jun	non-brg 4.0
WINSLOW CAPITAL	030	EL	S	24,600	66.68	n/a	17-Jun	246.00 0.0
PRIMECAP MGMT	084	EOG	S	2,800	140.96	n/a	n/a	112.00 0.0
BAIRD INVESTMENT	047	EWBC	S	650	28.64	n/a	n/a	32.50 0.0
BAIRD INVESTMENT	047	EW	S	100	66.59	n/a	n/a	5.00 0.0
B BUCK CAPITAL MGMT		EXPR	S	10,000	22.65	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		EXPR	S	15,000	22.54	n/a	n/a	non-brg 2.0
B BUCK CAPITAL MGMT		EXPR	S	15,000	22.56	n/a	n/a	non-brg 0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	FAST	S	350	46.73	n/a	n/a	17.50	0.0
BAIRD INVESTMENT	047	FBHS	S	150	39.33	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	FFIV	S	150	69.26	n/a	26-Feb	7.50	0.0
B BUCK CAPITAL MGMT		FINL	S	20,000	22.10	n/a	19-Jun	non-brg	4.0
BAIRD INVESTMENT	047	FIRE	S	300	57.33	n/a	n/a	15.00	0.0
BAIRD INVESTMENT	047	FLR	S	250	58.96	n/a	n/a	12.50	0.0
f LBP ENTERPRISES INC	FID	FOR	S	2000	20.86	n/a	9-May	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	108.66	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	FTI	S	30,800	57.96	n/a	n/a	308.00	0.0
BAIRD INVESTMENT	047	GHL	S	400	46.87	n/a	n/a	20.00	0.0
B BUCK CAPITAL MGMT		GIII	S	4,749	51.33	n/a	n/a	non-brg	2.5
ARDSLEY PARTNERS	280	GM	B	25,000	35.25	n/a	19-Jun	1,250.00	0.0
B BUCK CAPITAL MGMT		GNC 8 C50	SS	1,000	1.12	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		GNC	S	50,000	46.79	n/a	n/a	non-brg	4.0
Õ Jack Chernus		GNRC	S	300	39.50	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Jack Chernus		GNRC	S	300	39.50	n/a	n/a	0.00	0.0
Õ	Jack Chernus		GNRC	S	300	39.50	n/a	n/a	0.00	0.0
	SCOPUS FUND	041	GPI	B	15,000	67.40	n/a	19-Jun	600.00	0.0
	WINSLOW CAPITAL	030	GWW	S	7,100	260.10	n/a	11-Jun	71.00	0.0
	WINSLOW CAPITAL	030	HD	S	34,000	79.43	n/a	n/a	340.00	0.0
	STATE TEACHERS RET SYS	047	HES	S	20,000	68.84	n/a	n/a	1,000.00	0.0
	WINSLOW CAPITAL	030	IBM	S	8,600	191.48	n/a	n/a	86.00	0.0
	BAIRD INVESTMENT	047	ICLR	S	600	37.78	n/a	n/a	30.00	0.0
	BAIRD INVESTMENT	047	IHG	S	700	28.95	n/a	n/a	35.00	0.0
	BAIRD INVESTMENT	047	ILMN	S	400	73.53	n/a	n/a	20.00	0.0
f	CICILY S BACKUS	FID	INTC	S	2000	23.15	n/a	n/a	0.00	0.0
f	CICILY S BACKUS	FID	INTC	S	2000	23.16	n/a	n/a	0.00	0.0
f	LBP ENTERPRISES INC	FID	INTC	S	2000	23.15	n/a	n/a	0.00	0.0
f	LEE F BACKUS	FID	INTC	S	2000	23.16	n/a	n/a	0.00	0.0
	FORTRESS INVESTMENT (US)	036	IR	S	69,000	58.02	n/a	19-Jun	2,760.00	0.0
	BAIRD INVESTMENT	047	IVZ	S	450	31.94	n/a	2-Mar	22.50	0.0
	BAIRD INVESTMENT	047	JBHT	S	300	76.32	n/a	n/a	15.00	0.0
f	CICILY S BACKUS	FID	JCI	B	1000	36.35	n/a	10-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CICILY S BACKUS	FID	JCI	B	1000	36.35	n/a	10-Jun	0.00	0.0
f LBP ENTERPRISES INC	FID	JCI	B	1000	36.35	n/a	10-Jun	0.00	0.0
f LEE F BACKUS	FID	JCI	B	2000	36.35	n/a	10-Jun	0.00	0.0
WINSLOW CAPITAL	030	JPM	S	32,700	54.45	n/a	17-Jun	327.00	0.0
B BUCK CAPITAL MGMT		KORS 11 C65	SS	1,000	5.70	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		KORS 11 C65	SS	430	5.70	n/a	n/a	non-brg	300.0
FRIESS MGMT	033	LEN	S	315,085	34.52	n/a	n/a	12,603.40	0.0
BAIRD INVESTMENT	047	LKQ	S	700	26.46	n/a	n/a	35.00	0.0
PRIMECAP MGMT	084	LLY	B	15,000	51.46	n/a	n/a	600.00	0.0
J. GOLDMAN	028	LPX	B	28,000	15.53	n/a	19-Jun	1,120.00	0.0
WELLSPRING CAPITAL	093	LPX	B	20,000	15.72	n/a	19-Jun	800.00	0.0
FRED ALGER MGMT	070	LTD	S	23,100	50.85	n/a	n/a	831.60	0.0
BAIRD INVESTMENT	047	MAN	S	350	59.33	n/a	n/a	17.50	0.0
WINSLOW CAPITAL	030	MA	S	4,500	593.97	n/a	13-Jun	45.00	0.0
BAIRD INVESTMENT	047	MCHP	S	250	37.77	n/a	n/a	12.50	0.0
CR INTRINIC INVESTMENT	044	MDLZ	B	10,000	28.91	n/a	n/a	300.00	0.0
BAIRD INVESTMENT	047	MKC	S	300	70.19	n/a	n/a	15.00	0.0
WINSLOW CAPITAL	030	MON	S	54,500	100.37	n/a	n/a	545.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	MS	S	103,600	24.89	n/a	6-Jun	1,036.00	0.0
⌘ BUCK CAPITAL MGMT		MTOR	S	100,418	7.07	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		MTOR	S	100,418	7.07	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		MTOR	S	170,000	7.06	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		MTOR	S	170,000	7.06	n/a	n/a	non-brg	0.8
WINSLOW CAPITAL	030	NBL	S	31,500	63.00	n/a	n/a	315.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	NUAN	S	5,000	19.05		n/a	n/a	150.00 0.0
BAIRD INVESTMENT	047	OII	S	300	80.14	n/a	n/a	15.00	0.0
BAIRD INVESTMENT	047	ORLY	S	200	116.52	n/a	n/a	10.00	0.0
STATE TEACHERS RET SYS	047	OXY	B	20,000	90.05	n/a	n/a	1,000.00	0.0
⌘ BUCK CAPITAL MGMT		PCLN 7 P850	B	40	4.80	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		PCLN 7 P870	B	250	2.01	n/a	n/a	non-brg	300.0
WINSLOW CAPITAL	030	PCP	S	14,100	233.29	n/a	11-Jun	141.00	0.0
ROSEDALE CAPITAL	046	PHH	S	10,000	22.16	n/a	n/a	500.00	0.0
WELLSPRING CAPITAL	093	PH	S	5,100	98.08	n/a	n/a	204.00	0.0
BAIRD INVESTMENT	047	PII	S	150	99.50	n/a	n/a	7.50	0.0
⌘ BUCK CAPITAL MGMT		PII	S	18,200	98.71	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		PII	S	30,000	98.84	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	PRGO	S	100	126.42	n/a	18-Jun	5.00	0.0
⌘ BUCK CAPITAL MGMT		PVH 9 C135	SS	300	4.10	n/a	n/a	non-brg	300.0
BAIRD INVESTMENT	047	PVH	S	350	130.30	n/a	14-Jun	17.50	0.0
⌘ BUCK CAPITAL MGMT		PVH	S	10,000	129.06	n/a	14-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	10,000	130.34	n/a	14-Jun	non-brg	4.0
BAIRD INVESTMENT	047	RBC	S	50	66.03	n/a	n/a	2.50	0.0
⌘ BUCK CAPITAL MGMT		RLGY	S	50,000	48.60	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RL	B	10,000	175.23	n/a	24-May	non-brg	4.0
WINSLOW CAPITAL	030	RL	S	12,800	175.49	n/a	24-May	128.00	0.0
BAIRD INVESTMENT	047	ROK	S	200	88.35	n/a	n/a	10.00	0.0
BAIRD INVESTMENT	047	ROP	S	100	128.36	n/a	n/a	5.00	0.0
FRED ALGER MGMT	070	ROST	B	17,950	66.70	n/a	18-Jun	646.20	0.0
⌘ BUCK CAPITAL MGMT		RSH	S	100,000	3.08	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RSH	S	25,600	3.07	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RSH	S	50,000	3.06	n/a	n/a	non-brg	1.0
BAIRD INVESTMENT	047	RVBD	S	400	16.25	n/a	n/a	20.00	0.0
⌘ BUCK CAPITAL MGMT		SCSS	B	60,000	26.14	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SHOO	S	20,000	50.41	n/a	n/a	non-brg	4.0
KEY ASSET MGMT/VICTORY	220	SI	B	95,530	104.03	n/a	n/a	3,821.20	0.0
WINSLOW CAPITAL	030	SNY	S	52,400	51.45	n/a	n/a	524.00	0.0
f DAVID GEORGE BUCK	FID	SPG	B	1000	161.35	n/a	n/a	0.00	0.0
f CLIFFORD A LONGLEY	FID	SPY	B	4	165.25	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	SRCL	S	200	114.42	n/a	n/a	10.00	0.0
f KAREN LYNNE FERENZO	FID	STTPRC	B	1000	23.96	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	STZ	B	1000	51.27	n/a	17-Jun	0.00	0.0
f LBP ENTERPRISES INC	FID	STZ	B	1000	51.19	n/a	17-Jun	0.00	0.0
f LEE F BACKUS	FID	STZ	B	2000	51.21	n/a	17-Jun	0.00	0.0
BAIRD INVESTMENT	047	SWKS	S	550	21.15	n/a	n/a	27.50	0.0
BAIRD INVESTMENT	047	SWN	S	400	38.45	n/a	13-Jun	20.00	0.0
BAIRD INVESTMENT	047	TDC	S	300	51.86	n/a	n/a	15.00	0.0
ARDSLEY PARTNERS	280	TEN	B	10,000	48.71	n/a	n/a	500.00	0.0
BAIRD INVESTMENT	047	TFM	S	550	52.62	n/a	n/a	27.50	0.0
BAIRD INVESTMENT	047	TIF	S	250	75.39	n/a	n/a	12.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISIPLINED GROWTH INV.	030	TJX	S	7,700	51.10	n/a	18-Jun	385.00	0.0
BAIRD INVESTMENT	047	TRMB	S	650	27.26	n/a	n/a	32.50	0.0
BAIRD INVESTMENT	047	TSCO	S	950	120.05	n/a	n/a	47.50	0.0
FRED ALGER MGMT	070	TSCO	S	9,550	120.20	n/a	n/a	343.80	0.0
STATE TEACHERS RET SYS	047	TSCO	B	8,000	120.20	n/a	n/a	400.00	0.0
BAIRD INVESTMENT	047	UA	S	300	61.35	n/a	19-Jun	15.00	0.0
WINSLOW CAPITAL	030	UNH	S	79,800	67.48	n/a	n/a	798.00	0.0
WINSLOW CAPITAL	030	UNP	S	47,700	158.51	n/a	n/a	477.00	0.0
BAIRD INVESTMENT	047	URBN	S	400	41.79	n/a	n/a	20.00	0.0
WINSLOW CAPITAL	030	UTX	S	31,100	97.73	n/a	n/a	311.00	0.0
WINSLOW CAPITAL	030	V	S	36,200	186.91	n/a	11-Jun	362.00	0.0
BAIRD INVESTMENT	047	WBC	S	200	77.71	n/a	31-May	10.00	0.0
WINSLOW CAPITAL	030	WFC	S	44,900	42.32	n/a	6-Jun	449.00	0.0
WINSLOW CAPITAL	030	WFM	S	27,900	54.22	n/a	n/a	279.00	0.0
BAIRD INVESTMENT	047	WLL	S	450	48.74	n/a	n/a	22.50	0.0
BAIRD INVESTMENT	047	WSO	S	150	88.46	n/a	n/a	7.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WELLSPRING CAPITAL	093	WY	B	10,000	28.75	n/a	19-Jun	400.00	0.0
JET CAPITAL/CHRIS	041	XLU	C	10,000	37.67	n/a	n/a	300.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	YHOO	S	25,000	26.59		n/a	n/a	750.00 0.0
WINSLOW CAPITAL	030	YUM	S	19,800	73.04	n/a	17-Jun	198.00	0.0
BAIRD INVESTMENT	047	ZBRA	S	300	44.42	n/a	n/a	15.00	0.0
WINSLOW CAPITAL	030	ZTS	S	73,900	31.11	n/a	n/a	739.00	0.0
TOTAL (Trade Date) :								64,622.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/03	ACK ASSET	028	CSX	SS	50,000	22.98	n/a	n/a	1500.00 0.0
AO,CXL	07/03	ACK ASSET	028	CSX	SS	50,000	22.98	n/a	n/a	1500.00 0.0
AO,CRT	07/08	FARALLON CAP MGMT	040	FOXA	S	165,000	30.31	n/a	n/a	4950.00 0.0
AO,CXL	07/08	FARALLON CAP MGMT	040	FOXA	S	165,000	30.31	n/a	n/a	6600.00 0.0
TOTAL (AO, CXL, CRT) :										-1,650.00

TOTAL (Trade Date) :	64,622.66
TOTAL (AO, CXL, CRT) :	-1,650.00

TOTAL (RUN DATE) / NFS :	62,972.66
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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 9-Jul.
NONE

MRI Securities without Trade Activity on 9-Jul.
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)