



Daily Compliance Activity Report

Trade Date: 04/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ADS	B	150	166.42	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	ALTR	B	400	32.37	n/a	n/a	20.00	0.0
PARAMETER CAPITAL MGMT LLC044		ALV	S	30,000	69.79	n/a	18-Apr	900.00	0.0
BAIRD INVESTMENT	047	ALXN	B	100	97.06	n/a	n/a	5.00	0.0
BAIRD INVESTMENT	047	AMG	B	125	150.06	n/a	2-Mar	6.25	0.0
BAIRD INVESTMENT	047	AMT	S	450	83.85	n/a	n/a	22.50	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	AMZN	S	1,625	275.41	n/a	n/a	52.00	0.0
BAIRD INVESTMENT	047	ANSS	B	275	78.34	n/a	n/a	13.75	0.0
HOLLIS CAPITAL	033	APC	B	5,000	84.66	n/a	25-Apr	250.00	0.0
BAIRD INVESTMENT	047	ARG	B	150	97.62	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	ATR	B	300	56.39	n/a	n/a	15.00	0.0
BAIRD INVESTMENT	047	ATU	B	525	30.70	n/a	n/a	26.25	0.0
ROSEDALE CAPITAL	046	AXL	S	5,000	13.36	n/a	25-Apr	200.00	0.0
BAIRD INVESTMENT	047	AYI	B	225	73.00	n/a	n/a	11.25	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST (CEREDEX)	273	BEAV	B	1,518	62.57	n/a	22-Apr	48.58	0.0
HALCYON LLC	041	BKD	B	2,828	26.60	n/a	n/a	84.84	0.0
RAINIER INV MGMT	033	BLK	B	30,340	263.07	n/a	n/a	1,213.60	0.0
PARAMETER CAPITAL MGMT LLC	044	BWA	S	10,000	76.74	n/a	25-Apr	300.00	0.0
TRELLUS PARTNERS LP	028	BWA	S	5,000	76.06	n/a	25-Apr	250.00	0.0
BAIRD INVESTMENT	047	BWLD	B	200	95.00	n/a	n/a	10.00	0.0
BAIRD INVESTMENT	047	CERN	B	175	92.49	n/a	n/a	8.75	0.0
BAIRD INVESTMENT	047	CHD	B	425	63.75	n/a	25-Apr	21.25	0.0
BAIRD INVESTMENT	047	CHD	S	425	63.60	n/a	25-Apr	21.25	0.0
BAIRD INVESTMENT	047	CLB	B	125	144.11	n/a	18-Apr	6.25	0.0
BAIRD INVESTMENT	047	CNQR	B	150	69.97	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	COG	B	50	69.89	n/a	25-Apr	2.50	0.0
BAIRD INVESTMENT	047	CTRX	B	250	56.25	n/a	n/a	12.50	0.0
BAIRD INVESTMENT	047	CTXS	B	250	64.32	n/a	n/a	12.50	0.0
BAIRD INVESTMENT	047	DG	B	250	52.74	n/a	26-Mar	12.50	0.0
BAIRD INVESTMENT	047	DKS	B	425	47.61	n/a	24-Apr	21.25	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	DLR	B	250	72.73	n/a	n/a	12.50	0.0
NEUBERGER BERMAN	036	DLR	S	58,150	72.49	n/a	n/a	2,326.00	0.0
MERRILL ASSET/BLACKROCK	297	EGP	S	1,373	61.46	n/a	n/a	54.92	0.0
KEY ASSET MGMT/VICTORY	220	ESRX	S	154,760	57.08	n/a	n/a	6,190.40	0.0
BAIRD INVESTMENT	047	EWBC	B	625	23.97	n/a	n/a	31.25	0.0
BAIRD INVESTMENT	047	EW	B	100	65.95	n/a	n/a	5.00	0.0
BAIRD INVESTMENT	047	FAST	B	350	49.58	n/a	n/a	17.50	0.0
BAIRD INVESTMENT	047	FFIV	B	100	75.50	n/a	26-Feb	5.00	0.0
BAIRD INVESTMENT	047	FIRE	B	325	51.64	n/a	n/a	16.25	0.0
BAIRD INVESTMENT	047	FLR	B	250	56.72	n/a	n/a	12.50	0.0
TRELLUS PARTNERS LP	028	F	SS	20,000	13.54	n/a	25-Apr	1,000.00	0.0
WOOSTER CAPITAL	044	F	SS	150,000	13.46	n/a	25-Apr	6,000.00	0.0
BAIRD INVESTMENT	047	GHL	B	350	47.23	n/a	n/a	17.50	0.0
OZ MGMT	040	GM	C	50,000	30.69	n/a	25-Apr	1,500.00	0.0
CR INTRINIC INVESTMENT	044	GT	B	50,000	12.86	n/a	n/a	1,500.00	0.0
DELTEC ASSET MGMT.	040	HAL	B	5,000	41.00	n/a	n/a	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JET CAPITAL/CHRIS	041	HES	S	100,000	71.73	n/a	n/a	3,000.00	0.0
BAIRD INVESTMENT	047	ICLR	B	600	32.00	n/a	n/a	30.00	0.0
BAIRD INVESTMENT	047	IHG	B	650	29.27	n/a	n/a	32.50	0.0
BAIRD INVESTMENT	047	ILMN	B	400	62.68	n/a	n/a	20.00	0.0
TALO	006	INTC	SS	6,500	23.56	n/a	n/a	325.00	0.0
BAIRD INVESTMENT	047	IVZ	B	450	29.75	n/a	2-Mar	22.50	0.0
BAIRD INVESTMENT	047	JBHT	B	325	71.29	n/a	n/a	16.25	0.0
BAIRD INVESTMENT	047	JOY	B	200	57.66	n/a	11-Jul	10.00	0.0
PARAMETER CAPITAL MGMT LLC044		KMT	B	10,000	38.96	n/a	n/a	300.00	0.0
TROUBH PART	070	KO	B	10,000	42.35	n/a	25-Apr	500.00	0.0
TALO	006	LCC	B	13,700	16.46	n/a	24-Apr	685.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		LEA	S	20,000	56.89		n/a 25-Apr	800.00	0.0
HALCYON LLC	041	LIFE	B	51,459	73.67	n/a	n/a	1,543.77	0.0
BAIRD INVESTMENT	047	LKQ	B	900	22.85	n/a	n/a	45.00	0.0
BAIRD INVESTMENT	047	MAN	B	350	52.32	n/a	n/a	17.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	MCHP	B	275	36.21	n/a	n/a	13.75	0.0
DISIPLINED GROWTH INV.	030	MIDD	S	1,300	152.50	n/a	n/a	65.00	0.0
BAIRD INVESTMENT	047	MKC	B	325	71.97	n/a	n/a	16.25	0.0
HALCYON LLC	041	MMR	B	8,267	16.78	n/a	n/a	248.01	0.0
CENTURION PARTNERS	041	MRK	S	15,000	47.61	n/a	n/a	600.00	0.0
TALO	006	MSFT	SS	20,000	31.88	n/a	n/a	1,000.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	M	B	1,570	45.00	n/a	8-Apr	50.24	0.0
JET CAPITAL/CHRIS	041	NRG	S	25,000	28.04	n/a	n/a	750.00	0.0
BAIRD INVESTMENT	047	OII	B	275	66.77	n/a	n/a	13.75	0.0
BAIRD INVESTMENT	047	ORLY	B	200	106.51	n/a	n/a	10.00	0.0
BAIRD INVESTMENT	047	ORLY	S	325	106.25	n/a	n/a	16.25	0.0
BRANDWINE	028	OXY	B	55,400	83.97	n/a	n/a	2,216.00	0.0
BAIRD INVESTMENT	047	PII	B	150	87.02	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	PLXS	B	450	26.97	n/a	n/a	22.50	0.0
BAIRD INVESTMENT	047	PRGO	B	100	118.19	n/a	22-Apr	5.00	0.0
BAIRD INVESTMENT	047	PVH	B	200	110.67	n/a	22-Apr	10.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	PVH	S	5,500	110.97	n/a	22-Apr	275.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	S	30,000	110.73	n/a	22-Apr	900.00	0.0
BAIRD INVESTMENT	047	RBC	B	125	76.99	n/a	n/a	6.25	0.0
BAIRD INVESTMENT	047	ROK	B	200	85.89	n/a	n/a	10.00	0.0
BAIRD INVESTMENT	047	ROP	B	125	124.04	n/a	n/a	6.25	0.0
BAIRD INVESTMENT	047	RVBD	B	425	14.70	n/a	n/a	21.25	0.0
CENTURION PARTNERS	041	SFD	S	15,000	25.74	n/a	n/a	600.00	0.0
LATEEF MGMT	033	SFG	S	2,425	43.13	n/a	n/a	252.50	0.0
KLEINHEINZ CAP PART	031	SLV	B	150,000	22.88	n/a	n/a	7,500.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033		SPF	B	131,827	8.91	n/a	n/a	3,954.81 0.0
BNP PARIBAS SEC	040	SPLS	S	25,000	12.76	n/a	n/a	750.00	0.0
PIMCO	084	SPR	B	100,000	20.17	n/a	19-Mar	2,000.00	0.0
BAIRD INVESTMENT	047	SRCL	B	225	107.33	n/a	n/a	11.25	0.0
FIRST NEW YORK	086	SSI	S	5,000	29.52	n/a	11-Apr	200.00	0.0
MERRILL ASSET/BLACKROCK	297	STAG	S	5,102	22.16	n/a	n/a	204.08	0.0
BAIRD INVESTMENT	047	SWKS	B	575	21.97	n/a	n/a	28.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	SWN	B	200	36.07	n/a	18-Apr	10.00	0.0
BAIRD INVESTMENT	047	TDC	B	225	50.49	n/a	n/a	11.25	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	B	25,000	70.41	n/a	18-Apr	750.00	0.0
BAIRD INVESTMENT	047	TIF	B	200	73.45	n/a	n/a	10.00	0.0
DISIPLINED GROWTH INV.	030	TJX	S	3,000	48.46	n/a	11-Apr	150.00	0.0
VERITION	028	TOL	S	5,000	34.15	n/a	n/a	150.00	0.0
BAIRD INVESTMENT	047	TRMB	B	700	28.62	n/a	n/a	35.00	0.0
BAIRD INVESTMENT	047	TSCO	B	100	110.16	n/a	n/a	5.00	0.0
ADAGE CAPITAL MGMT	030	T	S	225,000	37.34	n/a	n/a	6,750.00	0.0
BAIRD INVESTMENT	047	UA	B	375	56.68	n/a	24-Apr	18.75	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	UA	B	2,922	56.70	n/a	24-Apr	93.50	0.0
BAIRD INVESTMENT	047	URBN	B	500	40.56	n/a	n/a	25.00	0.0
BAIRD INVESTMENT	047	WBC	B	250	72.51	n/a	25-Apr	12.50	0.0
BAIRD INVESTMENT	047	WLL	B	300	46.10	n/a	n/a	15.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	77.97	n/a	22-Feb	750.00	0.0
BAIRD INVESTMENT	047	WSO	B	175	84.08	n/a	n/a	8.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST (CEREDEX)	273	XLNX	B	4,924	37.79	n/a	n/a	157.57	0.0
BAIRD INVESTMENT	047	ZBRA	B	300	46.26	n/a	n/a	15.00	0.0
TOTAL (Trade Date):								60,588.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	04/23	NEUBERGER BERMAN (NBER9W04)	036	FELE	B	700	31.16	n/a	n/a	28.00	0.0
AO,	04/23	NEUBERGER BERMAN (NBER9W16)	036	FELE	B	2,700	31.16	n/a	n/a	108.00	0.0
AO,CXL	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	GM	S	10,000	30.07	n/a	25-Apr	3.00	0.0
AO,CRT	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	GM	S	10,000	30.07	n/a	25-Apr	300.00	3.0
AO,CXL	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	IP	B	5,000	48.40	n/a	23-Apr	1.50	0.0
AO,CRT	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	IP	B	5,000	48.40	n/a	23-Apr	150.00	3.0
AO,CXL	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	JCI	S	10,000	33.94	n/a	23-Apr	3.00	0.0
AO,CRT	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	JCI	S	10,000	33.94	n/a	23-Apr	300.00	3.0
AO,CXL	04/24	COUGAR TRADING (COUGPB MS)	044	JNY	B	10,000	13.72	n/a	25-Apr	500.00	0.0
AO,CRT	04/24	COUGAR TRADING (COUGPB MS)	044	JNY	B	10,000	13.72	n/a	25-Apr	300.00	3.0
AO,CXL	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	MWV	S	4,700	35.02	n/a	17-Apr	1.41	0.0
AO,CRT	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	MWV	S	4,700	35.02	n/a	17-Apr	141.00	3.0
AO,	04/24	CAPITAL WORLD (CWOR00076)	084	NKE	B	26,000	61.52	n/a	24-Apr	910.00	0.0
AO,	04/24	CAPITAL WORLD (CWOR36)	084	NKE	B	99,000	61.52	n/a	24-Apr	3465.00	0.0
AO,CXL	04/24	CRAMER ROSENTHAL (CRSB000036)	070	NKE	B	99,000	61.52	n/a	24-Apr	3465.00	0.0
AO,CXL	04/24	CRAMER ROSENTHAL (CRSB000076)	070	NKE	B	26,000	61.52	n/a	24-Apr	910.00	0.0
AO,CXL	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	RFP	B	5,000	14.24	n/a	n/a	1.50	0.0
AO,CRT	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	RFP	B	5,000	14.24	n/a	n/a	150.00	3.0
AO,CXL	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	UTX	B	5,000	92.06	n/a	n/a	1.50	0.0
AO,CRT	04/24	TUDOR INVESTORS (TUDRJPMMPB)	028	UTX	B	5,000	92.06	n/a	n/a	150.00	3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									1,115.09
TOTAL (Trade Date) :									60,588.32
TOTAL (AO, CXL, CRT) :									1,115.09
TOTAL (RUN DATE) / NFS :									61,703.41

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