



## Daily Compliance Activity Report

Trade Date: 12/17/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AAPL	S	150	89.09	n/a	n/a	7.50	5.0
BAIRD INVESTMENT	031	AAP	S	1,470	33.05	n/a	n/a	73.50	5.0
FORWARD MGMT	033	ABCO	B	4,500	22.54	n/a	n/a	225.00	5.0
BAIRD INVESTMENT	031	ADS	S	215	45.23	n/a	n/a	10.75	5.0
SCOPUS FUND	041	AEO	B	125,000	9.96	n/a	12-Dec	6,250.00	5.0
COUGAR TRADING	044	AG	B	10,000	24.69	15-Dec	15-Dec	500.00	5.0
Ö Steven Maguire		AG	B	5000	24.6500	15-Dec	15-Dec	0.00	0.0
COUGAR TRADING	044	ALV	B	5,000	21.74	26-Nov	16-Dec	250.00	5.0
SCOPUS FUND	041	ANF	B	10,000	22.73	7-Aug	12-Dec	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	AOC	B	5,200	42.34	n/a	n/a	208.00	4.0
PATTEN & PATTEN	067	APC	B	675	39.72	n/a	20-Nov	33.75	5.0
BAIRD INVESTMENT	031	ARG	S	230	37.43	15-Dec	15-Dec	11.50	5.0
BAIRD INVESTMENT	031	ATR	S	290	34.03	n/a	n/a	14.50	5.0
BAIRD INVESTMENT	031	BKC	S	275	20.26	27-Oct	3-Nov	13.75	5.0
BUCK CAPITAL MGMT	001	BKE	S	125,000	20.78	n/a	n/a	5,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	BCY	S	205	21.83	n/a	27-Oct	10.25	5.0
COUGAR TRADING	044	BWA	B	5,000	21.64	16-Dec	16-Dec	250.00	5.0
PORTER-ORLIN-FELDMAN	044	BWA	SS	75,000	20.91	16-Dec	16-Dec	2,250.00	3.0
BAIRD INVESTMENT	031	CAM	S	230	21.19	n/a	n/a	11.50	5.0
BAIRD INVESTMENT	031	CEPH	S	175	77.37	4-Sep	16-Dec	8.75	5.0
STANDARD PACIFIC CAPITAL	040	CE	S	180,000	12.74	n/a	n/a	9,000.00	5.0
SCOPUS FUND	041	CLW	SS	20,000	15.51	n/a	n/a	1,000.00	5.0
MERRILL ASSET	032	CLX	S	7,600	53.40	3-Nov	3-Nov	342.00	4.5
PNC/MERCANTILE	028	CL	S	8,459	62.32	14-Oct	13-Nov	422.95	5.0
PATTEN & PATTEN	067	CMCSK	S	750	15.72	n/a	n/a	37.50	5.0
COUGAR TRADING	044	CMG	B	2,000	61.98	23-Oct	23-Oct	100.00	5.0
CARDINAL CAPITAL	044	CMP	S	33,500	60.01	n/a	n/a	1,620.00	4.9
BAIRD INVESTMENT	031	COGT	B	155	14.09	n/a	n/a	7.75	5.0
PATTEN & PATTEN	067	COST	S	450	54.05	n/a	27-Jul	22.50	5.0
ROBX	302	CRI	S	115,000	19.41	n/a	n/a	4,600.00	4.0
BAIRD INVESTMENT	031	CTXS	S	345	24.65	n/a	n/a	17.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	CVA	S	2,500	22.09	n/a	n/a	112.50	4.5
PATTEN & PATTEN	067	CVS	S	700	27.09	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	CVX	S	350	78.46	n/a	n/a	17.50	5.0
BAIRD INVESTMENT	031	DKS	S	520	14.25	7-Oct	12-Dec	26.00	5.0
BAIRD INVESTMENT	031	DLB	S	280	32.11	n/a	n/a	14.00	5.0
PATTEN & PATTEN	067	D	B	300	34.71	n/a	n/a	15.00	5.0
BAIRD INVESTMENT	031	ECL	S	235	36.09	10-Nov	13-Nov	11.75	5.0
HUNTER GLOBAL INVESTOR	067	EQIX	B	30,000	52.68	n/a	n/a	1,200.00	4.0
BAIRD INVESTMENT	031	EV	S	290	20.78	26-Nov	17-Dec	14.50	5.0
PATTEN & PATTEN	067	EWI	B	300	11.02	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	EWZ	S	325	37.41	n/a	n/a	16.25	5.0
PIONEER MICHAEL NOLAN	067	EXH	B	30,000	21.57	28-Aug	16-Dec	900.00	3.0
BAIRD INVESTMENT	031	EXPD	S	190	33.37	n/a	n/a	9.50	5.0
BAIRD INVESTMENT	031	FAST	S	220	34.13	n/a	n/a	11.00	5.0
MARINER/TRICADIA	041	FDML	S	27,300	3.73	n/a	n/a	1,365.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WASHINGTON ASSET	048	FDX	S	10,000	64.46	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	031	FFIV	S	280	22.53	n/a	n/a	14.00	5.0
BAIRD INVESTMENT	031	FISV	S	270	36.01	n/a	n/a	13.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>S</b>	<b>50,000</b>	<b>7.52</b>	<b>7-Oct</b>	<b>12-Dec</b>	<b>1,500.00</b>	<b>3.0</b>
<b>TYNDALL</b>	<b>091</b>	<b>FOR</b>	<b>B</b>	<b>62,800</b>	<b>5.06</b>	<b>n/a</b>	<b>3-Oct</b>	<b>1,884.00</b>	<b>3.0</b>
BAIRD INVESTMENT	031	FWLT	S	175	27.68	n/a	n/a	8.75	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>GIL</b>	<b>B</b>	<b>3,000</b>	<b>10.08</b>	<b>11-Dec</b>	<b>12-Dec</b>	<b>180.00</b>	<b>6.0</b>
BAIRD INVESTMENT	031	GME	S	245	25.88	n/a	n/a	12.25	5.0
BAIRD INVESTMENT	031	GPN	S	180	32.85	n/a	n/a	9.00	5.0
ROTHSCHILD ASSET	040	GYMB	S	10,930	23.55	7-Nov	16-Dec	491.85	4.5
BAIRD INVESTMENT	031	HAIN	S	640	17.72	n/a	n/a	32.00	5.0
PATTEN & PATTEN	067	HCF	S	1,000	5.35	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	031	HEW	S	180	27.25	n/a	n/a	9.00	5.0
BAIRD INVESTMENT	031	HOLX	S	635	13.56	n/a	n/a	31.75	5.0
BAIRD INVESTMENT	031	HRS	S	250	36.82	30-Oct	9-Dec	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	HSC	S	185	25.50	31-Oct	15-Dec	9.25	5.0
PATTEN & PATTEN	067	HYG	B	150	66.79	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	IAI	B	350	19.91	n/a	n/a	17.50	5.0
MERRILL ASSET	032	ICO	B	167,500	2.79	n/a	n/a	7,537.50	4.5
PATTEN & PATTEN	067	IGM	S	325	34.39	n/a	n/a	16.25	5.0
PATTEN & PATTEN	067	ILF	B	430	27.11	n/a	n/a	21.50	5.0
BAIRD INVESTMENT	031	ILMN	S	125	23.24	n/a	n/a	6.25	5.0
BAIRD INVESTMENT	031	IRM	S	480	19.97	n/a	n/a	24.00	5.0
MERRILL ASSET	032	ITG	B	32,600	20.70	n/a	n/a	1,467.00	4.5
BALYASNY ASSET MGMT	044	IVZ	B	25,000	13.39	13-Nov	17-Dec	1,250.00	5.0
PATTEN & PATTEN	067	IYW	B	325	36.26	n/a	n/a	16.25	5.0
BAIRD INVESTMENT	031	JBHT	S	155	24.94	n/a	n/a	7.75	5.0
UBS OCONNOR	031	JEF	SS	40,000	12.77	n/a	n/a	1,200.00	3.0
BUCK CAPITAL MGMT	001	JNY	S	80,000	5.46	n/a	30-Oct	2,400.00	3.0
PATTEN & PATTEN	067	JPM	S	750	31.89	26-Sep	20-Nov	37.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	KBE	B	1,000	22.54	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	KBE	S	300	22.53	n/a	n/a	15.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>S</b>	<b>20,000</b>	<b>7.66</b>	<b>n/a</b>	<b>28-Sep</b>	<b>600.00</b>	<b>3.0</b>
PATTEN & PATTEN	067	KO	S	500	45.72	n/a	n/a	25.00	5.0
BAIRD INVESTMENT	031	LAMR	S	305	14.17	n/a	n/a	15.25	5.0
UBS OCONNOR	031	LAZ	B	20,000	28.84	n/a	n/a	600.00	3.0
BAIRD INVESTMENT	031	LKQX	S	670	10.16	n/a	n/a	33.50	5.0
SOROS	036	LOW	B	50,233	22.46	n/a	27-Jul	2,009.32	4.0
PATTEN & PATTEN	067	LQD	B	125	97.94	n/a	n/a	6.25	5.0
PNC/MERCANTILE	028	MCD	S	5,533	63.04	13-Oct	8-Dec	276.65	5.0
BAIRD INVESTMENT	031	MCHP	S	360	20.68	n/a	n/a	18.00	5.0
HOLLIS CAPITAL	033	MDVN	B	5,000	15.94	n/a	n/a	250.00	5.0
<b>Õ Steven Maguire</b>		<b>MGM</b>	<b>B</b>	<b>5000</b>	<b>13.8500</b>	<b>n/a</b>	<b>30-Oct</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	MKC	S	250	30.45	n/a	n/a	12.50	5.0
PATTEN & PATTEN	067	MSFT	B	200	19.94	n/a	3-Apr	10.00	5.0
ALGR	035	MSFT	B	145,888	19.73	n/a	3-Apr	5,835.52	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>50,000</b>	<b>8.42</b>	<b>12-Aug</b>	<b>12-Dec</b>	<b>1,500.00</b>	<b>3.0</b>
RBC CAPITAL MARKETS	034	M	B	50,000	9.92	12-Aug	12-Dec	2,000.00	4.0
ROTHSCHILD ASSET	040	NRG	B	17,045	22.19	n/a	n/a	767.04	4.5
BAIRD INVESTMENT	031	NTAP	S	320	14.14	n/a	n/a	16.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>B</b>	<b>75,000</b>	<b>2.10</b>	<b>n/a</b>	<b>12-Dec</b>	<b>2,250.00</b>	<b>3.0</b>
BAIRD INVESTMENT	031	OII	S	175	27.20	n/a	n/a	8.75	5.0
BAIRD INVESTMENT	031	PAYX	S	145	26.38	n/a	n/a	7.25	5.0
PATTEN & PATTEN	067	PEP	B	450	54.58	n/a	n/a	22.50	5.0
BAIRD INVESTMENT	031	PETM	S	530	18.04	n/a	n/a	26.50	5.0
PNC/MERCANTILE	028	PG	S	8,994	60.78	10-Oct	12-Dec	449.70	5.0
PATTEN & PATTEN	067	PTY	B	1,000	8.93	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	031	PVH	S	195	19.68	7-Nov	20-Nov	9.75	5.0
PATTEN & PATTEN	067	QCOM	B	275	35.28	n/a	n/a	13.75	5.0
<b>Ø Steven Maguire</b>		<b>RIG</b>	<b>B</b>	<b>5000</b>	<b>55.0600</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	ROP	S	230	42.01	n/a	n/a	11.50	5.0
PATTEN & PATTEN	067	SE	S	600	15.72	n/a	n/a	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	SF	S	13,500	45.27	n/a	n/a	607.50	4.5
BAIRD INVESTMENT	031	SII	S	120	25.17	n/a	n/a	6.00	5.0
FORWARD MGMT	033	SIVB	B	3,400	28.14	n/a	n/a	170.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>SLV</b>	<b>B</b>	<b>300</b>	<b>11.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	SRCL	S	170	54.48	n/a	n/a	8.50	5.0
PATTEN & PATTEN	067	STI	S	450	29.92	n/a	n/a	22.50	5.0
BAIRD INVESTMENT	031	SWN	B	3,850	28.55	n/a	20-Nov	192.50	5.0
BAIRD INVESTMENT	031	SWN	S	270	27.97	n/a	20-Nov	13.50	5.0
ROTHSCHILD ASSET	040	TDW	B	11,968	41.73	n/a	n/a	538.58	4.5
KINGDON ASSET MGMT	041	TER	S	150,000	4.27	n/a	n/a	6,000.00	4.0
HUNTER GLOBAL INVESTOR	067	TGT	B	50,000	36.00	17-Nov	12-Dec	2,500.00	5.0
PATTEN & PATTEN	067	TJX	B	600	21.02	11-Aug	5-Dec	30.00	5.0
BAIRD INVESTMENT	031	TRMB	S	260	21.18	n/a	n/a	13.00	5.0
BAIRD INVESTMENT	031	TROW	S	115	33.39	19-Sep	17-Dec	5.75	5.0
SYSTEMATIC FINANCIAL MGT	035	TRV	S	181,700	43.93	n/a	n/a	6,359.50	3.5
PATTEN & PATTEN	067	TWX	B	1,000	10.50	n/a	n/a	50.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMSON HORSTMAN BRYANT	040	URBN	B	10,000	15.47	5-Nov	12-Dec	500.00	5.0
FORWARD MGMT	033	VAR	B	3,000	36.00	n/a	n/a	150.00	5.0
BAIRD INVESTMENT	031	VSEA	S	330	20.07	n/a	n/a	16.50	5.0
BAIRD INVESTMENT	031	WAB	S	155	43.41	n/a	n/a	7.75	5.0
MATRIX ASSET ADV.	036	WAG	B	4,000	25.80	n/a	n/a	160.00	4.0
PATTEN & PATTEN	067	WAG	B	800	26.14	n/a	n/a	40.00	5.0
PATTEN & PATTEN	067	WFC	B	275	30.02	n/a	n/a	13.75	5.0
PATTEN & PATTEN	067	WMT	B	225	55.23	10-Oct	12-Dec	11.25	5.0
BAIRD INVESTMENT	031	WOOF	S	435	17.85	n/a	n/a	21.75	5.0
RBC CAPITAL MARKETS	034	WRC	B	25,000	18.79	7-Nov	7-Nov	1,000.00	4.0
BAIRD INVESTMENT	031	ZION	S	225	26.31	n/a	n/a	11.25	5.0
<b>TOTAL (Trade Date) :</b>								<b>90,697.86</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/12	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	38,200	4.11	n/a	n/a	1910.00 5.0
AO,CRT	12/12	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	38,200	4.11	n/a	n/a	764.00 2.0
AO,CXL	12/15	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	8,300	4.17	n/a	n/a	415.00 5.0
AO,CRT	12/15	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	8,300	4.17	n/a	n/a	166.00 2.0
AO,CXL	12/16	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	3,500	3.60	n/a	n/a	175.00 5.0
AO,CRT	12/16	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	3,500	3.60	n/a	n/a	70.00 2.0
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTSEP465)	215	HON	S	4,400	31.57	3-Oct	18-Nov	154.00 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTLUXNA)	215	HON	S	14,000	31.57	3-Oct	18-Nov	490.00 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTSEP588)	215	HON	S	12,650	31.57	3-Oct	18-Nov	442.75 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTSEP596)	215	HON	S	1,120	31.57	3-Oct	18-Nov	39.20 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTIMSCI)	215	HON	S	11,000	31.57	3-Oct	18-Nov	385.00 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTNNA_US)	215	HON	S	80,600	31.57	3-Oct	18-Nov	2821.00 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTSEPCO3)	215	HON	S	31,500	31.57	3-Oct	18-Nov	1102.50 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTAIMCCC)	215	HON	S	34,850	31.57	3-Oct	18-Nov	1219.75 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTGIGAE)	215	HON	S	17,250	31.57	3-Oct	18-Nov	603.75 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTBALPE)	215	HON	S	37,900	31.57	3-Oct	18-Nov	1326.50 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTPTCAD)	215	HON	S	3,450	31.57	3-Oct	18-Nov	120.75 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTBALFE)	215	HON	S	8,550	31.57	3-Oct	18-Nov	299.25 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTBRICK7)	215	HON	S	900	31.57	3-Oct	18-Nov	31.50 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTPLCF)	215	HON	S	49,350	31.57	3-Oct	18-Nov	1727.25 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTPLCP)	215	HON	S	106,850	31.57	3-Oct	18-Nov	3739.75 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTBERMUQ)	215	HON	S	320	31.57	3-Oct	18-Nov	11.20 3.5
AO,	12/16	AELTUS/ING IVESTMENT MGT (AELTLUXECL)	215	HON	S	5,670	31.57	3-Oct	18-Nov	198.45 3.5
AO,CXL	12/11	AELTUS/ING IVESTMENT MGT (AELT31624)	215	URBN	S	141	15.15	5-Nov	12-Dec	4.94 3.5
AO,	12/11	AELTUS/ING IVESTMENT MGT (AELT31623)	215	URBN	S	141	15.15	5-Nov	12-Dec	4.94 3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>13,212.60</b>
TOTAL (Trade Date) :									90,697.86
TOTAL (AO, CXL, CRT) :									13,212.60
<b>TOTAL (RUN DATE) / NFS :</b>									<b>103,910.46</b>

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