

Daily Compliance Activity Report Trade Date: 10/04/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
MERRILL ASSET/BLACKROCK	085	ACC	В	27,217	33.29	n/a	n/a	1,088.68	0.0
BAIRD INVESTMENT	047	ACHC	В	200	40.32	n/a	n/a	10.00	0.0
BAIRD INVESTMENT	047	ADS	В	45	216.94	n/a	n/a	2.25	0.0
PRIMECAP MGMT	084	AFFX	В	17,500	6.50	n/a	n/a	525.00	0.0
BAIRD INVESTMENT	047	ALTR	В	175	37.00	n/a	n/a	8.75	0.0
BAIRD INVESTMENT	047	ALXN	В	75	116.22	n/a	n/a	3.75	0.0
BAIRD INVESTMENT	047	AMG	В	55	188.44	n/a	2-Mar	2.75	0.0
BAIRD INVESTMENT	047	ANSS	В	115	86.26	n/a	n/a	5.75	0.0
BAIRD INVESTMENT	047	ARG	В	65	109.24	n/a	n/a	3.25	0.0
BAIRD INVESTMENT	047	ATR	В	120	60.32	n/a	n/a	6.00	0.0
BAIRD INVESTMENT	047	ATU	В	225	38.45	n/a	n/a	11.25	0.0
BAIRD INVESTMENT	047	AYI	В	95	96.55	n/a	n/a	4.75	0.0
LATEEF MGMT	033	BBT	В	200	33.67	n/a	n/a	36.00	0.0
GUGGENHEIM GLOBAL TRADING	G (GGT)2	51 BII)	В 10	,000 50.75	5	n/a n	/a 300	.00 0.0

BAIRD INVESTMENT 047 BWLD B 70 115.92 n/a n/a 3.50 (KAM ADVISORS LLC 041 CAM S 92,300 61.62 n/a n/a 2,769.00 (BAIRD INVESTMENT 047 CERN B 150 54.74 n/a n/a 7.50 (BAIRD INVESTMENT 047 CHD B 180 60.00 n/a 17-Jun 9.00 (BAIRD INVESTMENT 047 CLB B 40 176.67 n/a 13-Jun 2.00 (BAIRD INVESTMENT 047 CNQR B 90 111.04 n/a n/a 1/a 4.50 (CAMBIAR CAP 046 COF S 43,044 70.02 n/a 19-Jun 1,721.76 (BAIRD INVESTMENT 047 CTRX B 160 46.75 n/a n/a 8.00 (BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 (LATEEF MCMT 033 CVS B 600 56.90 n/a n/a 60.00 (LATEEF MCMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 (BAIRD INVESTMENT 047 DG B 110 58.67 n/a 11-Jul 31.25 (BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 (i
BAIRD INVESTMENT 047 BWLD B 70 115.92 n/a n/a 3.50 (KAM ADVISORS LLC 041 CAM S 92,300 61.62 n/a n/a 2,769.00 (BAIRD INVESTMENT 047 CERN B 150 54.74 n/a n/a 17-Jun 9.00 (BAIRD INVESTMENT 047 CHD B 180 60.00 n/a 17-Jun 9.00 (BAIRD INVESTMENT 047 CLB B 40 176.67 n/a 13-Jun 2.00 (BAIRD INVESTMENT 047 CNQR B 90 111.04 n/a n/a 4.50 (CAMBIAR CAP 046 COF S 43,044 70.02 n/a 19-Jun 1,721.76 (BAIRD INVESTMENT 047 CTXX B 160 46.75 n/a n/a 8.00 (BAIRD INVESTMENT 047 CTXX B 105 70.59 n/a n/a 5.25 (LATEEF MGMT 033 CVS B 600 56.90 n/a 18-Jun 25.00 (LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 (BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 (BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 (Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
KAM ADVISORS LLC 041 CAM S 92,300 61.62 n/a n/a 2,769.00 0 BAIRD INVESTMENT 047 CERN B 150 54.74 n/a n/a 7.50 0 BAIRD INVESTMENT 047 CHD B 180 60.00 n/a 17-Jun 9.00 0 BAIRD INVESTMENT 047 CLB B 40 176.67 n/a 13-Jun 2.00 0 CAMBIAR CAP 046 COF S 43,044 70.02 n/a 19-Jun 1,721.76 0 BAIRD INVESTMENT 047 CTRX B 160 46.75 n/a n/a 8.00 0 BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 0 LATEEF MGMT 033 CVS B 600 56.90 n/a 18-Jun 25.00 0 LATEEF MGMT 033 DE S <td>SYSTEMATIC FINANCIAL MGT</td> <td>070</td> <td>BRCD</td> <td>В</td> <td>419,775</td> <td>8.33</td> <td>n/a</td> <td>n/a</td> <td>12,593.25</td> <td>0.0</td> <td></td>	SYSTEMATIC FINANCIAL MGT	070	BRCD	В	419,775	8.33	n/a	n/a	12,593.25	0.0	
BAIRD INVESTMENT 047 CERN B 150 54.74 n/a n/a 7.50 (BAIRD INVESTMENT 047 CHD B 180 60.00 n/a 17-Jun 9.00 (BAIRD INVESTMENT 047 CLB B 40 176.67 n/a 13-Jun 2.00 (BAIRD INVESTMENT 047 CNQR B 90 111.04 n/a n/a 1/a 4.50 (CAMBIAR CAP 046 COF S 43,044 70.02 n/a 19-Jun 1,721.76 (BAIRD INVESTMENT 047 CTRX B 160 46.75 n/a n/a 8.00 (BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 (LATEEF MGMT 033 CVS B 600 56.90 n/a n/a 60.00 (LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 (LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 (BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 (BAIRD INVESTMENT	047	BWLD	В	70	115.92	n/a	n/a	3.50	0.0	
BAIRD INVESTMENT 047 CHD B 180 60.00 n/a 17-Jun 9.00 0 BAIRD INVESTMENT 047 CLB B 40 176.67 n/a 13-Jun 2.00 0 BAIRD INVESTMENT 047 CNQR B 90 111.04 n/a n/a 19-Jun 1,721.76 0 CAMBIAR CAP 046 COF S 43,044 70.02 n/a 19-Jun 1,721.76 0 BAIRD INVESTMENT 047 CTRX B 160 46.75 n/a n/a 8.00 0 BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 0 LATEEF MGMT 033 CVS B 600 56.90 n/a n/a 60.00 0 LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 0 LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 0 BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 0	KAM ADVISORS LLC	041	CAM	S	92,300	61.62	n/a	n/a	2,769.00	0.0	
BAIRD INVESTMENT 047 CLB B 40 176.67 n/a 13-Jun 2.00 (BAIRD INVESTMENT 047 CNQR B 90 111.04 n/a n/a 19-Jun 1,721.76 (CAMBIAR CAP 046 COF S 43,044 70.02 n/a 19-Jun 1,721.76 (BAIRD INVESTMENT 047 CTRX B 160 46.75 n/a n/a 8.00 (BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 (LATEEF MGMT 033 CVS B 600 56.90 n/a n/a 60.00 (LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 (LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 (BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 (BAIRD INVESTMENT	047	CERN	В	150	54.74	n/a	n/a	7.50	0.0	
BAIRD INVESTMENT 047 CNQR B 90 111.04 n/a n/a 4.50 0 CAMBIAR CAP 046 COF S 43,044 70.02 n/a 19-Jun 1,721.76 0 BAIRD INVESTMENT 047 CTRX B 160 46.75 n/a n/a 8.00 0 BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 0 LATEEF MGMT 033 CVS B 600 56.90 n/a n/a 4-Jun 25.00 0 LATEEF MGMT 033 DAL S 250 25.20 n/a 11-Jul 31.25 0 BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 0	BAIRD INVESTMENT	047	CHD	В	180	60.00	n/a	17-Jun	9.00	0.0	
CAMBIAR CAP 046 COF S 43,044 70.02 n/a 19-Jun 1,721.76 (BAIRD INVESTMENT 047 CTRX B 160 46.75 n/a n/a 8.00 (BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 (LATEEF MGMT 033 CVS B 600 56.90 n/a n/a 60.00 (LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 (LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 (BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 (BAIRD INVESTMENT	047	CLB	В	40	176.67	n/a	13-Jun	2.00	0.0	
BAIRD INVESTMENT 047 CTRX B 160 46.75 n/a n/a 8.00 0 BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 0 LATEEF MGMT 033 CVS B 600 56.90 n/a n/a 60.00 0 LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 0 LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 0 BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 0	BAIRD INVESTMENT	047	CNQR	В	90	111.04	n/a	n/a	4.50	0.0	
BAIRD INVESTMENT 047 CTXS B 105 70.59 n/a n/a 5.25 C LATEEF MGMT 033 CVS B 600 56.90 n/a n/a 60.00 C LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 C LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 C BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 C	CAMBIAR CAP	046	COF	S	43,044	70.02	n/a	19-Jun	1,721.76	0.0	
LATEEF MGMT 033 CVS B 600 56.90 n/a n/a 60.00 C LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 C LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 C BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 C	BAIRD INVESTMENT	047	CTRX	В	160	46.75	n/a	n/a	8.00	0.0	
LATEEF MGMT 033 DAL S 250 25.20 n/a 18-Jun 25.00 (LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 (BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 (BAIRD INVESTMENT	047	CTXS	В	105	70.59	n/a	n/a	5.25	0.0	
LATEEF MGMT 033 DE S 125 82.45 n/a 11-Jul 31.25 0 BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 0	LATEEF MGMT	033	CVS	В	600	56.90	n/a	n/a	60.00	0.0	
BAIRD INVESTMENT 047 DG B 110 58.67 n/a 4-Jun 5.50 0	LATEEF MGMT	033	DAL	S	250	25.20	n/a	18-Jun	25.00	0.0	
	LATEEF MGMT	033	DE	S	125	82.45	n/a	11-Jul	31.25	0.0	
BAIRD INVESTMENT 047 DKS B 190 53.94 n/a 19-Jun 9.50 (BAIRD INVESTMENT	047	DG	В	110	58.67	n/a	4-Jun	5.50	0.0	
	BAIRD INVESTMENT	047	DKS	В	190	53.94	n/a	19-Jun	9.50	0.0	

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BAIRD INVESTMENT	047	DLR	В	110	52.27	n/a	n/a	5.50	0.0
CHARTER OAK	033	DSCO	S	12,500	3.18	n/a	n/a	250.00	0.0
BNP PARIBAS SEC	040	ESRX	В	20,000	62.10	n/a	n/a	600.00	0.0
BAIRD INVESTMENT	047	EWBC	В	275	32.93	n/a	n/a	13.75	0.0
BAIRD INVESTMENT	047	EW	В	45	72.87	n/a	n/a	2.25	0.0
BAIRD INVESTMENT	047	FAST	В	150	51.30	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	FBHS	В	180	42.64	n/a	n/a	9.00	0.0
LATEEF MGMT	033	FCX	S	250	33.88	n/a	n/a	30.00	0.0
BAIRD INVESTMENT	047	FFIV	В	50	91.58	n/a	26-Feb	2.50	0.0
BAIRD INVESTMENT	047	FLR	В	105	72.14	n/a	n/a	5.25	0.0
BRIGADE CAPITAL MGMT	029	FOE	S	25,000	9.76	n/a	n/a	750.00	0.0
BAIRD INVESTMENT	047	FTNT	В	225	21.84	n/a	n/a	11.25	0.0
BAIRD INVESTMENT	047	GHL	В	220	47.51	n/a	n/a	11.00	0.0
LATEEF MGMT	033	GIS	В	225	47.92	n/a	n/a	45.00	0.0
TIDE POINT CAPITAL	028	GM	В	30,000	35.57	n/a	19-Jun	900.00	0.0
	BAIRD INVESTMENT CHARTER OAK BNP PARIBAS SEC BAIRD INVESTMENT BAIRD INVESTMENT BAIRD INVESTMENT LATEEF MGMT BAIRD INVESTMENT LATEEF MGMT	BAIRD INVESTMENT 047 CHARTER OAK 033 BNP PARIBAS SEC 040 BAIRD INVESTMENT 047 BAIRD INVESTMENT 047 BAIRD INVESTMENT 047 LATEEF MGMT 033 BAIRD INVESTMENT 047 LATEEF MGMT 033	BAIRD INVESTMENT 047 DLR CHARTER OAK 033 DSCO BNP PARIBAS SEC 040 ESRX BAIRD INVESTMENT 047 EWBC BAIRD INVESTMENT 047 FAST BAIRD INVESTMENT 047 FBHS LATEEF MGMT 033 FCX BAIRD INVESTMENT 047 FFIV BAIRD INVESTMENT 047 FFIV BAIRD INVESTMENT 047 FLR BRIGADE CAPITAL MGMT 029 FOE BAIRD INVESTMENT 047 FTNT BAIRD INVESTMENT 047 GHL LATEEF MGMT 033 GIS	BAIRD INVESTMENT 047 DLR B CHARTER OAK 033 DSCO S BNP PARIBAS SEC 040 ESRX B BAIRD INVESTMENT 047 EWBC B BAIRD INVESTMENT 047 FAST B BAIRD INVESTMENT 047 FBHS B LATEEF MGMT 033 FCX S BAIRD INVESTMENT 047 FFIV B BAIRD INVESTMENT 047 FFIV B BAIRD INVESTMENT 047 FIR B BAIRD INVESTMENT 047 FIR B BAIRD INVESTMENT 047 FIR B BAIRD INVESTMENT 047 FINT B BAIRD INVESTMENT 047 FINT B BAIRD INVESTMENT 047 GHL B LATEEF MGMT 033 GIS B	BAIRD INVESTMENT 047 DLR B 110 CHARTER OAK 033 DSCO S 12,500 BNP PARIBAS SEC 040 ESRX B 20,000 BAIRD INVESTMENT 047 EWBC B 275 BAIRD INVESTMENT 047 EW B 45 BAIRD INVESTMENT 047 FBHS B 180 LATEEF MGMT 033 FCX S 250 BAIRD INVESTMENT 047 FFIV B 50 BAIRD INVESTMENT 047 FIR B 105 BAIRD INVESTMENT 047 FIR B 25,000 BAIRD INVESTMENT 047 FTNT B 225 BAIRD INVESTMENT 047 FTNT B 225 BAIRD INVESTMENT 047 GHL B 225 BAIRD INVESTMENT 047 GHL B 225	BAIRD INVESTMENT 047 DLR B 110 52.27 CHARTER OAK 033 DSCO S 12,500 3.18 BNF FARIBAS SEC 040 ESRX B 20,000 62.10 BAIRD INVESTMENT 047 EWBC B 275 32.93 BAIRD INVESTMENT 047 FAST B 150 51.30 BAIRD INVESTMENT 047 FBHS B 180 42.64 LATEEF MGMT 033 FCX S 250 33.88 BAIRD INVESTMENT 047 FFIV B 50 91.58 BAIRD INVESTMENT 047 FIR B 105 72.14 BRIGADE CAPITAL MGMT 029 FOE S 25,000 9.76 BAIRD INVESTMENT 047 FTNT B 225 21.84 BAIRD INVESTMENT 047 GHL B 220 47.51 LATEEF MGMT 033 GIS B 225 47.92	BAIRD INVESTMENT 047 DLR B 110 52.27 n/a CHARTER OAK 033 DSCO S 12,500 3.18 n/a BNP PARIBAS SEC 040 ESRX B 20,000 62.10 n/a BAIRD INVESTMENT 047 EWBC B 275 32.93 n/a BAIRD INVESTMENT 047 FAST B 150 51.30 n/a BAIRD INVESTMENT 047 FBHS B 180 42.64 n/a BAIRD INVESTMENT 047 FFIV B 50 91.58 n/a BAIRD INVESTMENT 047 FFIV B 105 72.14 n/a BAIRD INVESTMENT 047 FIR B 105 72.14 n/a BAIRD INVESTMENT 047 FIR B 105 72.14 n/a BAIRD INVESTMENT 047 FIR B 225 21.84 n/a BAIRD INVESTMENT 047 GHL B 220 47.51 n/a LATEEF MGMT 033 GIS B 225 47.92 n/a	BAIRD INVESTMENT 047 DLR B 110 52.27	BAIRD INVESTMENT 047 DLR B 110 52.27 n/a n/a 5.50 CHARTER OAK 033 DSCO S 12,500 3.18 n/a n/a 250.00 BNP PARIBAS SEC 040 ESRX B 20,000 62.10 n/a n/a 600.00 BAIRD INVESTMENT 047 EMBC B 275 32.93 n/a n/a 13.75 BAIRD INVESTMENT 047 FAST B 45 72.87 n/a n/a 7.50 BAIRD INVESTMENT 047 FBHS B 180 42.64 n/a n/a 30.00 BAIRD INVESTMENT 047 FFIN B 50 91.58 n/a n/a 26-Feb 2.50 BAIRD INVESTMENT 047 FIR B 105 72.14 n/a n/a 750.00 BAIRD INVESTMENT 047 FIR B 25,000 9.76 n/a n/a 11.25

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LATEEF MGMT	033	GSPRD	В	300	19.55	n/a	n/a	30.00	0.0	
CR INTRINIC INVESTMENT	044	GT	S	100,000	22.95	n/a	n/a	3,000.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 HTZ	В	25,	000 22.98		n/a	n/a 750	.00 0.0	
BAIRD INVESTMENT	047	ICLR	В	265	41.15	n/a	n/a	13.25	0.0	
BAIRD INVESTMENT	047	IHG	В	215	29.13	n/a	n/a	10.75	0.0	
BAIRD INVESTMENT	047	ILMN	В	125	81.25	n/a	n/a	6.25	0.0	
LATEEF MGMT	033	IP	В	150	43.45	n/a	17-Jun	30.00	0.0	
BAIRD INVESTMENT	047	IVZ	В	190	32.44	n/a	2-Mar	9.50	0.0	
BAIRD INVESTMENT	047	JBHT	В	140	72.80	n/a	n/a	7.00	0.0	
PAR CAPITAL	029	LCC	С	350,000	20.57	n/a	18-Jun	14,000.00	0.0	
TIDE POINT CAPITAL	028	LEA	В	20,000	73.76	n/a	19-Jun	600.00	0.0	
BAIRD INVESTMENT	047	LKQ	В	315	32.72	n/a	n/a	15.75	0.0	
PRIMECAP MGMT	084	LLY	В	200	48.19	n/a	n/a	8.00	0.0	
COUGAR TRADING	044	LPX	S	25,000	17.74	n/a	19-Jun	1,250.00	0.0	
BAIRD INVESTMENT	047	MAN	В	155	75.71	n/a	n/a	7.75	0.0	

	Comm.¢/Shr. 5.75 0.0 8.25 0.0 300.00 0.0
BAIRD INVESTMENT 047 MKC B 165 64.73 n/a n/a SCOGGIN LLC 041 MOS B 46,000 45.77 n/a n/a 18-Jun CSFB GLOBAL PROPRIETARY 041 MWV B 10,000 37.49 n/a 18-Jun P.SCHOENFELD ASSET MGMT LLC041 NAV C 16,400 38.21 n/a 11-Jul PRIMECAP MGMT 084 NKTR B 2,400 10.33 n/a n/a LATEEF MGMT 033 NUE S 125 48.79 n/a n/a BAIRD INVESTMENT 047 ORLY B 65 127.04 n/a n/a BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	8.25 0.0
SCOGGIN LLC 041 MOS B 46,000 45.77 n/a n/a 2,3 CSFB GLOBAL PROPRIETARY 041 MWV B 10,000 37.49 n/a 18-Jun 5 P.SCHOENFELD ASSET MGMT LLC041 NAV C 16,400 38.21 n/a 11-Jul PRIMECAP MGMT 084 NKTR B 2,400 10.33 n/a n/a LATEEF MGMT 033 NUE S 125 48.79 n/a n/a BAIRD INVESTMENT 047 OII B 115 82.58 n/a n/a BAIRD INVESTMENT 047 ORLY B 65 127.04 n/a n/a BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	300.00 0.0
CSFB GLOBAL PROPRIETARY 041 MWV B 10,000 37.49 n/a 18-Jun 5 P.SCHOENFELD ASSET MGMT LLC041 NAV C 16,400 38.21 n/a 11-Jul PRIMECAP MGMT 084 NKTR B 2,400 10.33 n/a n/a LATEEF MGMT 033 NUE S 125 48.79 n/a n/a BAIRD INVESTMENT 047 OII B 115 82.58 n/a n/a BAIRD INVESTMENT 047 ORLY B 65 127.04 n/a n/a BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	
P.SCHOENFELD ASSET MGMT LLC041 NAV C 16,400 38.21 n/a 11-Jul PRIMECAP MGMT 084 NKTR B 2,400 10.33 n/a n/a LATEEF MGMT 033 NUE S 125 48.79 n/a n/a BAIRD INVESTMENT 047 OII B 115 82.58 n/a n/a BAIRD INVESTMENT 047 ORLY B 65 127.04 n/a n/a BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	500.00 0.0
PRIMECAP MGMT 084 NKTR B 2,400 10.33 n/a n/a LATEEF MGMT 033 NUE S 125 48.79 n/a n/a BAIRD INVESTMENT 047 OII B 115 82.58 n/a n/a BAIRD INVESTMENT 047 ORLY B 65 127.04 n/a n/a BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	
LATEEF MGMT 033 NUE S 125 48.79 n/a n/a BAIRD INVESTMENT 047 OII B 115 82.58 n/a n/a BAIRD INVESTMENT 047 ORLY B 65 127.04 n/a n/a BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	656.00 0.0
BAIRD INVESTMENT 047 OII B 115 82.58 n/a n/a BAIRD INVESTMENT 047 ORLY B 65 127.04 n/a n/a BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	96.00 0.0
BAIRD INVESTMENT 047 ORLY B 65 127.04 n/a n/a BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	31.25 0.0
BAIRD INVESTMENT 047 PII B 50 134.39 n/a n/a	5.75 0.0
	3.25 0.0
GUGGENHEIM GLOBAL TRADING (GGT)251 PLCM S 63,859 11.00 n/a n/a	2.50 0.0
	1,915.77 0.0
LATEEF MGMT 033 POT B 150 32.88 n/a n/a	30.00 0.0
BAIRD INVESTMENT 047 PRGO B 60 128.70 n/a 18-Jun	3.00 0.0
BAIRD INVESTMENT 047 PVH B 100 123.96 n/a 14-Jun	5.00 0.0
BAIRD INVESTMENT 047 RBC B 55 72.69 n/a n/a	

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BAIRD INVESTMENT	047	ROK	В	95	107.47	n/a	n/a	4.75	0.0
BAIRD INVESTMENT	047	ROP	В	60	130.12	n/a	n/a	3.00	0.0
AMICI CAPITAL N/C	044	SPF	В	50,000	7.68	n/a	n/a	2,000.00	0.0
BAIRD INVESTMENT	047	SRCL	В	105	116.01	n/a	n/a	5.25	0.0
LEVIN CAPITAL STRATEGIES	041	SSI	С	10,000	20.20	n/a	18-Jun	300.00	0.0
WALL STREET CAPITAL	084	STZ	В	11,350	61.82	n/a	17-Jun	510.75	0.0
BAIRD INVESTMENT	047	SWKS	В	250	25.72	n/a	n/a	12.50	0.0
BAIRD INVESTMENT	047	SWN	В	145	36.07	n/a	13-Jun	7.25	0.0
LATEEF MGMT	033	SWY	S	300	31.68	n/a	n/a	30.00	0.0
BAIRD INVESTMENT	047	TDC	В	140	54.41	n/a	n/a	7.00	0.0
BAIRD INVESTMENT	047	TFM	В	150	49.68	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	TIF	В	95	77.46	n/a	n/a	4.75	0.0
SENATOR INVESTMENT GROUP	287	TPX	SS	15,000	45.11	n/a	n/a	450.00	0.0
BAIRD INVESTMENT	047	TRMB	В	305	30.84	n/a	n/a	15.25	0.0
LATEEF MGMT	033	TRV	S	500	84.42	n/a	n/a	60.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. (:/Shr.
BAIRD INVESTMENT	047	TSCO	В	150	68.69	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	UA	В	120	81.26	n/a	19-Jun	6.00	0.0
BAIRD INVESTMENT	047	URBN	В	210	36.99	n/a	n/a	10.50	0.0
MFP INVESTORS	085	VNO	В	52,432	83.90	n/a	n/a	2,621.60	0.0
MERRILL ASSET/BLACKROCK	085	V	S	6,500	189.60	n/a	11-Jun	260.00	0.0
BAIRD INVESTMENT	047	WBC	В	110	84.99	n/a	31-May	5.50	0.0
BAIRD INVESTMENT	047	WLL	В	170	64.43	n/a	n/a	8.50	0.0
BAIRD INVESTMENT	047	WSO	В	80	94.39	n/a	n/a	4.00	0.0
LIONEYE CAPITAL	040	XRTX	В	60,000	11.25	n/a	n/a	3,000.00	0.0
CASTLEROCK	040	YUM	SS	5,000	71.24	n/a	17-Jun	200.00	0.0
BAIRD INVESTMENT	047	ZBRA	В	120	46.72	n/a	n/a	6.00	0.0

TOTAL (Trade Date): 56,757.31

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CXL	10/03	DC CAPITAL (DCCAGOLDMA)	044	JCP	В	50,000	8.50	n/a	18-Jun	2000.00	0.0
AO, CRT	10/03	DC CAPITAL (DCCAGOLDMA)	044	JCP	В	50,000	8.50	n/a	18-Jun	1500.00	0.0
AO,CXL	10/03	HARVEST MGMT (JMP) (HARVGSCO)	029	PVH	SS	10,000	123.65	n/a	14-Jun	500.00	0.0
AO,	10/03	HARVEST MGMT (JMP) (HARVGSCO)	029	PVH	SS	10,000	123.65	n/a	14-Jun	400.00	0.0

TOTAL (RUN DATE) / NFS:	56,157.31
TOTAL (AO, CXL, CRT):	-600.00
TOTAL (Trade Date):	56,757.31

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