



## Daily Compliance Activity Report

Trade Date: 09/17/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	ANF	B	10,000	38.59	n/a	16-Aug	400.00	4.0
SYMPHONY ASSET	033	AVGO	B	8,820	35.31	n/a	n/a	264.60	0.0
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	3.67		n/a	n/a	7,500.00 3.0
RBC CAPITAL MARKETS	040	CCL	B	1,200	37.67	n/a	n/a	48.00	4.0
RBC CAPITAL MARKETS	040	DE	SS	5,000	80.96	n/a	11-Jul	200.00	4.0
WEINTRAUB CAPITAL MGT.	084	DKS	B	25,000	52.42	n/a	17-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	DRI	SS	5,000	54.42	n/a	13-Jul	200.00	4.0
NEW JERSEY DIV OF INV.	030	EBAY	S	2,000	50.34	n/a	n/a	60.00	0.0
BAIRD INVESTMENT	047	FAST	B	1,600	44.24	n/a	n/a	80.00	5.0
SCOPUS FUND	041	FBHS	B	50,000	27.81	n/a	n/a	2,000.00	4.0
CYRUS CAPITAL	025	FBP	S	50,000	4.36	n/a	n/a	1,500.00	3.0
LATEEF MGMT	035	FDX	S	1,600	89.19	n/a	n/a	247.00	18.0
BAIRD INVESTMENT	047	FFIV	B	300	104.46	n/a	n/a	15.00	5.0
BAIRD INVESTMENT	047	FIRE	B	800	55.22	n/a	n/a	40.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	FLR	B	700	59.74	n/a	n/a	35.00	5.0
RBC CAPITAL MARKETS	040	GIS	SS	10,000	38.98	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	047	GNTX	B	3,000	18.65	n/a	25-Jul	150.00	5.0
BAIRD INVESTMENT	047	HMSY	B	2,100	32.95	n/a	n/a	105.00	5.0
BAIRD INVESTMENT	047	HOG	B	1,600	46.04	n/a	n/a	80.00	5.0
RBC CAPITAL MARKETS	040	HOT	S	5,000	60.42	n/a	13-Jun	200.00	4.0
SYMPHONY ASSET	033	HPQ	SS	19,635	18.19	n/a	n/a	589.05	0.0
RBC CAPITAL MARKETS	040	HST	S	30,000	17.24	n/a	13-Jun	1,200.00	4.0
CRAMER ROSENTHAL	070	ICE	B	64,150	140.43	n/a	n/a	2,566.00	0.0
BAIRD INVESTMENT	047	ICLR	B	2,700	24.00	n/a	n/a	135.00	5.0
BAIRD INVESTMENT	047	IHG	B	2,400	26.70	n/a	n/a	120.00	5.0
BAIRD INVESTMENT	047	ILMN	B	1,800	48.00	n/a	n/a	90.00	5.0
BNP PARIBAS SEC	040	IP	B	20,000	34.20	n/a	20-Aug	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	100,000	34.27	n/a	20-Aug	5,000.00	5.0
BAIRD INVESTMENT	047	JBHT	B	1,400	52.28	n/a	n/a	70.00	5.0
BAIRD INVESTMENT	047	JOY	B	900	61.12	n/a	11-Jul	45.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
ROARING BLUE LION MGMT	031	LOW	SS	21,400	29.39	n/a	20-Aug	856.00	4.0	
BAIRD INVESTMENT	047	MAN	B	1,100	40.91	n/a	n/a	55.00	5.0	
BAIRD INVESTMENT	047	MCHP	B	1,200	34.12	n/a	n/a	60.00	5.0	
BAIRD INVESTMENT	047	MKC	B	1,400	62.99	n/a	n/a	70.00	5.0	
BALYASNY ASSET MGMT	044	M	B	55,000	39.15	n/a	31-Aug	2,750.00	0.0	
SCOPUS FUND	041	M	SS	30,000	38.63	n/a	31-Aug	1,200.00	4.0	
BAIRD INVESTMENT	047	NTAP	B	1,300	35.54	n/a	n/a	65.00	5.0	
BAIRD INVESTMENT	047	OII	B	1,500	57.57	n/a	n/a	75.00	5.0	
BAIRD INVESTMENT	047	ORLY	B	1,200	80.94	n/a	n/a	60.00	5.0	
CAPITAL RESEARCH GROUP		296	PCP	B	35,055	158.25	n/a	1-Aug	1,226.93	0.0
BAIRD INVESTMENT	047	PLT	B	1,100	36.06	n/a	n/a	55.00	5.0	
BAIRD INVESTMENT	047	PLXS	B	1,900	32.91	n/a	n/a	95.00	5.0	
ARSENAL ASSET MANAGEMENT	028	PNR	B	20,000	43.39	n/a	n/a	800.00	0.0	
BAIRD INVESTMENT	047	PRGO	B	800	113.06	n/a	17-Sep	40.00	5.0	
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	10,000	94.06	n/a	29-Aug	300.00	3.0	
NEW JERSEY DIV OF INV.	030	QCOM	S	2,000	64.57	n/a	n/a	60.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	RKT	B	10,000	63.84	n/a	20-Aug	500.00	5.0
BAIRD INVESTMENT	047	ROK	B	1,000	70.97	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	ROP	B	800	104.57	n/a	n/a	40.00	5.0
THE JAY GOLDMAN	028	RSG	B	14,000	28.55	n/a	n/a	560.00	4.0
BAIRD INVESTMENT	047	RVBD	B	1,900	22.73	n/a	n/a	95.00	5.0
EPOCH INV MGMT	030	SJM	B	3,000	87.06	n/a	n/a	90.00	0.0
PZENA INV ADV	044	SPLS	S	32,250	12.12	n/a	n/a	1,128.75	0.0
BAIRD INVESTMENT	047	SRCL	B	1,000	93.70	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	SWKS	B	1,400	29.28	n/a	n/a	70.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.27	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	047	TDC	B	1,300	76.24	n/a	n/a	65.00	5.0
BAIRD INVESTMENT	047	TIF	B	1,000	65.30	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	TRMB	B	1,200	51.78	n/a	n/a	60.00	5.0
BAIRD INVESTMENT	047	TSCO	B	600	97.61	n/a	n/a	30.00	5.0
BAIRD INVESTMENT	047	UA	B	900	58.61	n/a	22-Aug	45.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ULTA	B	600	99.81	n/a	n/a	30.00	5.0
BAIRD INVESTMENT	047	URBN	B	2,200	39.50	n/a	n/a	110.00	5.0
BAIRD INVESTMENT	047	WBC	B	1,100	61.76	n/a	29-Aug	55.00	5.0
THE JAY GOLDMAN	028	WCN	S	18,000	32.66	n/a	n/a	720.00	4.0
BAIRD INVESTMENT	047	WLL	B	900	52.35	n/a	n/a	45.00	5.0
BAIRD INVESTMENT	047	WSO	B	1,100	78.63	n/a	n/a	55.00	5.0
NEW JERSEY DIV OF INV.	030	WSO	S	6,000	78.06	n/a	n/a	180.00	0.0
BAIRD INVESTMENT	047	ZBRA	B	1,300	38.16	n/a	n/a	65.00	5.0
JETSTREAM GLOBAL FUND LP	065	ZLC	B	25,000	5.92	n/a	n/a	1,250.00	0.0
CAERUS GLOBAL	041	ZQK	S	40,000	3.42	n/a	10-May	1,600.00	4.0
<b>TOTAL (Trade Date):</b>								<b>40,851.33</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/14	SIMMONS VENTURES (SIMMJPM)	041	KSS	B	5,000	53.62	n/a	31-Aug	200.00 4.0
AO,CRT	09/14	SIMMONS VENTURES (SIMMJPM)	041	KSS	B	5,000	53.62	n/a	31-Aug	150.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-50.00</b>
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TOTAL (Trade Date) :	40,851.33
TOTAL (AO, CXL, CRT) :	-50.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>40,801.33</b>
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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