



## Daily Compliance Activity Report

Trade Date: 03/12/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	AAP	B	880	38.63	n/a	n/a	44.00	5.0
BAIRD INVESTMENT	031	ADS	B	475	57.83	n/a	n/a	23.75	5.0
THE JAY GOLDMAN	034	AEO	S	20,000	30.73	4-Jan	9-Mar	800.00	4.0
BAIRD INVESTMENT	031	ALV	B	445	58.32	n/a	n/a	22.25	5.0
SCUDDER HEDGE	034	ANF	B	25,000	75.86	2-Feb	9-Mar	1,000.00	4.0
CAPITAL GROWTH MGMT.	241	APH	S	32,000	64.41	n/a	n/a	1,600.00	5.0
MERRILL ASSET	032	ASF	B	10,900	36.45	n/a	n/a	545.00	5.0
BAIRD INVESTMENT	031	ATVI	B	1,575	17.27	n/a	n/a	78.75	5.0
<b>LEDDY</b>	<b>035</b>	<b>AVZ</b>	<b>S</b>	<b>800</b>	<b>23.48</b>	<b>5-Mar</b>	<b>9-Mar</b>	<b>0.00</b>	<b>0.0</b>
1837 PARTNERS/RMB CAP	030	BIG	B	56,800	29.63	9-Mar	12-Mar	2,840.00	5.0
AAD CAPITAL	048	BIG	SS	3,400	29.92	9-Mar	12-Mar	136.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>SS</b>	<b>10,000</b>	<b>29.66</b>	<b>9-Mar</b>	<b>12-Mar</b>	<b>400.00</b>	<b>4.0</b>
BAIRD INVESTMENT	031	BJS	B	705	27.25	n/a	n/a	35.25	5.0
STERLING JOHNSTON	035	BONT	S	25,000	54.80	9-Mar	9-Mar	1,250.00	5.0
BAIRD INVESTMENT	031	BRC	B	650	31.61	n/a	n/a	32.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LEDDY</b>	<b>035</b>	<b>BSC</b>	<b>B</b>	<b>250</b>	<b>149.75</b>	<b>15-Dec</b>	<b>8-Mar</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	CAKE	B	860	26.98	7-Feb	7-Feb	43.00	5.0
BAIRD INVESTMENT	031	CAM	B	445	57.76	n/a	n/a	22.25	5.0
PATTEN & PATTEN	067	CAT	S	1,000	64.65	n/a	n/a	50.00	5.0
<b>LEEDS</b>	<b>002</b>	<b>CBRX</b>	<b>S</b>	<b>3,000</b>	<b>1.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	CC	B	20,000	18.08	20-Dec	23-Feb	1,000.00	5.0
BAIRD INVESTMENT	031	CEPH	B	420	67.19	13-Feb	12-Mar	21.00	5.0
BAIRD INVESTMENT	031	CERN	B	380	53.77	n/a	n/a	19.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>CHCG</b>	<b>B</b>	<b>8,000</b>	<b>6.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	CHS	B	1,285	22.63	5-Jan	9-Mar	64.25	5.0
WAGONHOUND	048	CLMS	B	10,000	23.38	12-Mar	12-Mar	400.00	4.0
CAPITAL GROWTH MGMT.	241	CNH	S	55,000	38.63	n/a	n/a	2,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>15,000</b>	<b>49.87</b>	<b>23-Feb</b>	<b>23-Feb</b>	<b>600.00</b>	<b>4.0</b>
THOMSON HORSTMAN BRYANT	040	CRI	B	22,300	23.69	n/a	n/a	1,115.00	5.0
BAIRD INVESTMENT	031	CTSH	B	240	91.83	n/a	n/a	12.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	CVD	B	355	59.85	n/a	n/a	17.75	5.0
<b>BUCK</b>	<b>015</b>	<b>CVX</b>	<b>B</b>	<b>400</b>	<b>68.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	CYTC	B	1,055	32.41	13-Feb	13-Feb	52.75	5.0
PATTEN & PATTEN	067	DELL	S	1,500	22.35	n/a	n/a	75.00	5.0
DELTEC ASSET MGMT.	040	DHI	S	9,000	23.32	n/a	n/a	450.00	5.0
BAIRD INVESTMENT	031	DKS	B	380	53.51	n/a	n/a	19.00	5.0
COLONIAL FUND LLC	036	DLTR	B	25,000	36.95	8-Feb	12-Mar	1,250.00	5.0
<b>BUCK</b>	<b>015</b>	<b>DVN</b>	<b>B</b>	<b>300</b>	<b>64.37</b>	<b>9-Feb</b>	<b>9-Feb</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	EFA	B	1,000	74.58	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	031	EV	B	815	34.58	2-Nov	5-Mar	40.75	5.0
BARON ASSET MGMT*	012	EV	B	25,600	34.86	2-Nov	5-Mar	1,280.00	5.0
BAIRD INVESTMENT	031	EWBC	B	785	36.83	n/a	n/a	39.25	5.0
BAIRD INVESTMENT	031	FAST	B	530	35.05	n/a	n/a	26.50	5.0
ADAGE CAPITAL MGMT	030	FDO	B	318,000	30.85	3-Nov	12-Mar	12,720.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FDO</b>	<b>SS</b>	<b>20,000</b>	<b>30.61</b>	<b>3-Nov</b>	<b>12-Mar</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	FDO	B	5,000	30.90	3-Nov	12-Mar	250.00	5.0
SOROS	036	FDO	B	125,000	30.69	3-Nov	12-Mar	5,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	FDO	B	7,000	30.49	3-Nov	12-Mar	350.00	5.0
PATTEN & PATTEN	067	FHN	S	1,500	42.16	n/a	n/a	75.00	5.0
CARDINAL CAPITAL	044	GCA	B	10,400	15.00	n/a	n/a	520.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>GCO</b>	<b>B</b>	<b>100</b>	<b>38.18</b>	<b>n/a</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	GNTX	B	1,745	16.83	n/a	n/a	87.25	5.0
BAIRD INVESTMENT	031	GPN	B	805	37.86	n/a	n/a	40.25	5.0
BAIRD INVESTMENT	031	GPRO	B	455	48.80	n/a	n/a	22.75	5.0
WAGONHOUND	048	GYMB	B	5,000	36.04	4-Jan	9-Mar	250.00	5.0
BAIRD INVESTMENT	031	HAR	B	290	98.49	n/a	n/a	14.50	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>HLYS</b>	<b>S</b>	<b>500</b>	<b>30.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	HOLX	B	460	55.71	n/a	n/a	23.00	5.0
BAIRD INVESTMENT	031	HRS	B	490	47.45	31-Jan	31-Jan	24.50	5.0
BAIRD INVESTMENT	031	HSC	B	290	85.96	28-Feb	28-Feb	14.50	5.0
<b>BUCK</b>	<b>015</b>	<b>ICE</b>	<b>S</b>	<b>500</b>	<b>133.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>IFOX</b>	<b>S</b>	<b>6,174</b>	<b>16.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	IJK	B	1,750	83.01	n/a	n/a	87.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	IRM	B	900	27.26	n/a	n/a	45.00	5.0
ASCEND PARTNERS	033	ISE	B	10,000	46.48	26-Oct	5-Mar	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>ISE</b>	<b>B</b>	<b>700</b>	<b>46.36</b>	<b>26-Oct</b>	<b>5-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>ITCD</b>	<b>B</b>	<b>1,800</b>	<b>2.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	IYT	S	500	87.53	n/a	n/a	25.00	5.0
THIRD COAST CAPITAL	035	JCG	B	20,000	37.15	25-Jan	12-Mar	1,000.00	5.0
VICTORIA INVESTORS LP	060	JCG	B	5,000	37.46	25-Jan	12-Mar	250.00	5.0
SUNOVA CAPITAL	031	JNS	SS	100,000	20.20	5-Mar	9-Mar	5,000.00	5.0
BAIRD INVESTMENT	031	JOYG	B	585	43.27	n/a	n/a	29.25	5.0
<b>BINDER</b>	<b>007</b>	<b>KBH</b>	<b>SS</b>	<b>100</b>	<b>46.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMX</b>	<b>B</b>	<b>10,000</b>	<b>52.35</b>	<b>n/a</b>	<b>10-Jan</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KWD</b>	<b>B</b>	<b>40,000</b>	<b>31.12</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
WHITTIER CAP	048	LAMR	S	4,615	64.81	n/a	n/a	184.60	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>LEH</b>	<b>B</b>	<b>200</b>	<b>75.00</b>	<b>n/a</b>	<b>8-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>039</b>	<b>LEH</b>	<b>B</b>	<b>100</b>	<b>76.12</b>	<b>n/a</b>	<b>8-Mar</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	LEN	SS	50,000	45.87	n/a	n/a	2,000.00	4.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>LPX</b>	<b>B</b>	<b>50,000</b>	<b>19.66</b>	<b>n/a</b>	<b>7-Feb</b>	<b>2,500.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	LVS	S	23,500	84.76	n/a	n/a	1,175.00	5.0
BAIRD INVESTMENT	031	MCHP	B	900	37.00	n/a	n/a	45.00	5.0
LOCUS WOOD CAPITAL MGMT	044	MEL	B	50,000	41.60	5-Dec	16-Feb	2,500.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>MIRWSB</b>	<b>S</b>	<b>500</b>	<b>21.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	MON	B	10,000	53.94	n/a	2-Mar	500.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>NEXC</b>	<b>S</b>	<b>2,500</b>	<b>9.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRIBECA/DOUG	040	NITE	B	10,000	15.58	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	031	NVT	B	715	31.86	n/a	n/a	35.75	5.0
PATTEN & PATTEN	067	OEF	B	1,000	64.83	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	031	OSK	B	520	51.81	n/a	n/a	26.00	5.0
LOOMIS SALES/BOSTON	036	PG	B	68,935	62.33	15-Dec	12-Mar	2,757.40	4.0
CAXTON PART	040	PNC	B	10,000	72.00	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	031	PPDI	B	1,115	31.52	n/a	n/a	55.75	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>85.49</b>	<b>2-Feb</b>	<b>16-Feb</b>	<b>400.00</b>	<b>4.0</b>
BAIRD INVESTMENT	031	RMD	B	765	47.67	n/a	n/a	38.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	ROP	B	620	53.11	n/a	n/a	31.00	5.0
NCM CAPITAL MGMT	035	SBH	S	77,950	9.62	n/a	n/a	3,747.50	4.7
GALLEON MGMT LP	033	SFD	B	5,000	29.22	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	SII	B	685	43.44	n/a	n/a	34.25	5.0
PATTEN & PATTEN	067	SPY	B	1,600	141.20	n/a	n/a	80.00	5.0
<b>GASNER</b>	<b>025</b>	<b>SQXCF</b>	<b>S</b>	<b>5</b>	<b>0.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	SRCL	B	405	78.56	n/a	n/a	20.25	5.0
DSG CAPITAL	225	SSI	B	5,400	22.00	26-Feb	9-Mar	270.00	5.0
ARIENCE CAPITAL	036	STX	B	21,500	24.62	n/a	n/a	1,075.00	5.0
DE SHAW	040	SUNW	SS	2,000,000	6.30	n/a	n/a	60,000.00	3.0
BAIRD INVESTMENT	031	SWN	B	655	37.87	1-Mar	6-Mar	32.75	5.0
CAPITAL GROWTH MGMT.	241	SWY	S	60,000	34.25	n/a	n/a	3,000.00	5.0
BAIRD INVESTMENT	031	TRMB	B	570	26.55	n/a	n/a	28.50	5.0
BAIRD INVESTMENT	031	TSCO	B	695	53.41	n/a	n/a	34.75	5.0
ROBX	033	TWC	B	5,000	36.70	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	031	UNFI	B	835	29.30	n/a	n/a	41.75	5.0
ROXBURY CAPITAL MGMT	035	USTR	B	86,700	58.03	16-Feb	16-Feb	3,468.00	4.0
BAIRD INVESTMENT	031	VAR	B	610	46.46	n/a	n/a	30.50	5.0
BAIRD INVESTMENT	031	WFMI	B	560	45.46	n/a	n/a	28.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>WGUAW</b>	<b>S</b>	<b>6</b>	<b>5.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	035	WMT	B	3,500	47.27	n/a	8-Mar	140.00	4.0
BAIRD INVESTMENT	031	WSM	B	690	34.24	n/a	n/a	34.50	5.0
BAIRD INVESTMENT	031	WTFC	B	645	44.87	n/a	n/a	32.25	5.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>WY</b>	<b>S</b>	<b>16,500</b>	<b>81.69</b>	<b>15-Dec</b>	<b>9-Feb</b>	<b>825.00</b>	<b>5.0</b>
BAIRD INVESTMENT	031	ZBRA	B	700	38.49	n/a	n/a	35.00	5.0
BAIRD INVESTMENT	031	ZION	B	395	85.84	n/a	n/a	19.75	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ZQK</b>	<b>S</b>	<b>50,000</b>	<b>11.61</b>	<b>9-Mar</b>	<b>9-Mar</b>	<b>2,000.00</b>	<b>4.0</b>
<b>SCHEINER</b>	<b>037</b>	<b>ZQK</b>	<b>SS</b>	<b>2,000</b>	<b>11.64</b>	<b>9-Mar</b>	<b>9-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>135,860.00</b>	



# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	03/09	MKT MAKER (MKT MAKER)	099	AEO	B	654	30.27	4-Jan	9-Mar	0.00	0.0
AO,CRT	03/09	MKT MAKER (MKT MAKER)	099	AEO	B	654	30.27	4-Jan	9-Mar	0.00	0.0
AO,CXL	03/08	MAIRS AND POWER INV (MAIRGRO.04)	030	AMGN	B	10,000	62.00	n/a	26-Jan	400.00	4.0
AO,CRT	03/08	MAIRS AND POWER INV (MAIRGRO.04)	030	AMGN	B	10,000	62.00	n/a	26-Jan	600.00	6.0
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM3410)	044	AMLN	B	9,620	37.08	n/a	n/a	144.30	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM2917)	044	AMLN	B	8,100	37.08	n/a	n/a	121.50	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM2752)	044	AMLN	B	9,700	37.08	n/a	n/a	145.50	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM2557)	044	AMLN	B	8,310	37.08	n/a	n/a	124.65	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM2454)	044	AMLN	B	6,690	37.08	n/a	n/a	100.35	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM3140)	044	AMLN	B	14,800	37.08	n/a	n/a	222.00	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM3079)	044	AMLN	B	15,020	37.08	n/a	n/a	225.30	1.5
AO,	03/09	REINHART & MAHONEY (REINBLANDF)	031	CNB	S	2,600	25.34	n/a	n/a	130.00	5.0
AO,	03/09	REINHART & MAHONEY (REINBLANDR)	031	CNB	S	5,100	25.34	n/a	n/a	255.00	5.0
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM945)	044	HPQ	B	65,000	39.83	n/a	n/a	2600.00	4.0
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM3410)	044	MHS	S	26,780	68.40	n/a	n/a	401.70	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM2917)	044	MHS	S	22,560	68.40	n/a	n/a	338.40	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM2752)	044	MHS	S	26,900	68.40	n/a	n/a	403.50	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM2557)	044	MHS	S	23,180	68.40	n/a	n/a	347.70	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM2454)	044	MHS	S	18,680	68.40	n/a	n/a	280.20	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM3140)	044	MHS	S	41,164	68.40	n/a	n/a	617.46	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM3079)	044	MHS	S	41,820	68.40	n/a	n/a	627.30	1.5
AO,	03/09	GOLDMAN SACHS ASSET MGMT (GSAM354535)	044	MHS	S	49,324	68.40	n/a	n/a	739.86	1.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/09	REINHART & MAHONEY (REINBLANDF)	031	MI	B	1,500	47.42	n/a	n/a	75.00 5.0
AO,	03/09	REINHART & MAHONEY (REINBLANDR)	031	MI	B	3,000	47.42	n/a	n/a	150.00 5.0
AO,CXL	02/27	MKT MAKER (MKT MAKER)	099	SCRX	S	71	23.38	20-Dec	12-Mar	2.84 4.0
AO,CRT	02/27	MKT MAKER (MKT MAKER)	099	SCRX	S	71	23.38	20-Dec	12-Mar	0.00 0.0
AO,	03/09	MKT MAKER (MKT MAKER)	099	URBN	B	300	25.80	7-Dec	9-Mar	0.00 0.0
AO,	03/09	MKT MAKER (MKT MAKER)	035	USTR	B	238	57.06	16-Feb	16-Feb	0.00 0.0
AO,CRT	03/09	MKT MAKER (MKT MAKER)	099	USTR	B	400	57.30	16-Feb	16-Feb	0.00 0.0
AO,CXL	03/09	MKT MAKER (MKT MAKER)	035	USTR	B	238	57.06	16-Feb	16-Feb	9.52 4.0
AO,CRT	03/09	MKT MAKER (MKT MAKER)	099	USTR	S	400	57.29	16-Feb	16-Feb	0.00 0.0

<b>TOTAL (AO, CXL, CRT) :</b>	<b>8,237.36</b>
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TOTAL (Trade Date) :	135,860.00
TOTAL (AO, CXL, CRT) :	8,237.36

<b>TOTAL (RUN DATE) / NFS:</b>	<b>144,097.36</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