



Daily Compliance Activity Report

Trade Date: 10/31/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	90	600.97	n/a	n/a	4.50	5.0
PATTEN & PATTEN	025	AAPL	S	50	595.57	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	AA	S	1,420	8.66	n/a	n/a	71.00	5.0
BAIRD INVESTMENT	047	ADS	B	800	142.32	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	AGG	B	200	112.23	n/a	n/a	10.00	5.0
OSKIE CAPITAL MGMT	224	ALSN	B	1,025	20.18	n/a	n/a	51.25	5.0
BAIRD INVESTMENT	047	ALTR	B	2,100	30.20	n/a	n/a	105.00	5.0
BAIRD INVESTMENT	047	AMG	B	700	124.76	n/a	2-Mar	35.00	5.0
PATTEN & PATTEN	025	AMLX	B	250	16.60	n/a	n/a	12.50	5.0
BAIRD INVESTMENT	047	ANSS	B	1,400	69.26	n/a	n/a	70.00	5.0
BAIRD INVESTMENT	047	ARG	B	1,100	87.53	n/a	25-Oct	55.00	5.0
BAIRD INVESTMENT	047	ATR	B	1,500	51.04	n/a	n/a	75.00	5.0
BAIRD INVESTMENT	047	ATU	B	2,800	28.09	n/a	n/a	140.00	5.0
DONALD SMITH	088	AUY	S	500,000	19.93	n/a	n/a	20,000.00	0.0
KAM ADVISORS LLC	041	AXL	B	83,500	10.39	n/a	18-Oct	2,505.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	070	AXL	B	57,000	10.26	n/a	18-Oct	2,850.00	5.0
PATTEN & PATTEN	025	AXP	B	300	55.59	n/a	26-Oct	15.00	5.0
BAIRD INVESTMENT	047	AYI	B	1,200	64.19	n/a	n/a	60.00	5.0
BAIRD INVESTMENT	047	BWLD	B	1,000	74.25	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	CERN	B	900	75.72	n/a	n/a	45.00	5.0
BAIRD INVESTMENT	047	CHD	B	2,000	50.34	n/a	22-Oct	100.00	5.0
BAIRD INVESTMENT	047	CLB	B	700	102.40	n/a	18-Oct	35.00	5.0
BAIRD INVESTMENT	047	COG	B	2,300	47.01	n/a	11-Oct	115.00	5.0
BAIRD INVESTMENT	047	CTRX	B	2,100	46.97	n/a	n/a	105.00	5.0
BAIRD INVESTMENT	047	CTXS	B	1,300	62.78	n/a	n/a	65.00	5.0
PATTEN & PATTEN	025	DD	B	100	44.61	n/a	23-Oct	5.00	5.0
BAIRD INVESTMENT	047	DG	B	2,400	48.17	n/a	5-Sep	120.00	5.0
BAIRD INVESTMENT	047	DKS	B	2,300	49.52	n/a	17-Sep	115.00	5.0
BAIRD INVESTMENT	047	DLR	B	1,700	61.49	n/a	n/a	85.00	5.0
KAM ADVISORS LLC	041	DOW	SS	36,400	29.22	n/a	24-Oct	1,092.00	0.0
PATTEN & PATTEN	025	DUK	S	1,026	65.62	n/a	n/a	51.30	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	D	S	800	52.45	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	ECA	S	400	22.86	n/a	n/a	20.00	5.0
BAIRD INVESTMENT	047	EWBC	B	3,400	21.11	n/a	n/a	170.00	5.0
PATTEN & PATTEN	025	EWC	S	115	28.43	n/a	n/a	5.75	5.0
CASTLE ARK	031	EW	S	103,710	86.23	n/a	n/a	5,185.50	0.0
BAIRD INVESTMENT	047	FAST	B	1,900	44.64	n/a	n/a	95.00	5.0
BAIRD INVESTMENT	047	FFIV	B	400	82.54	n/a	25-Oct	20.00	5.0
BAIRD INVESTMENT	047	FIRE	B	1,800	42.06	n/a	n/a	90.00	5.0
BAIRD INVESTMENT	047	FLR	B	1,300	55.90	n/a	n/a	65.00	5.0
PATTEN & PATTEN	025	GE	S	100	21.11	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	GHL	B	1,400	47.50	n/a	n/a	70.00	5.0
PATTEN & PATTEN	025	GIS	B	400	39.87	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	GLD	S	10	166.59	n/a	n/a	0.50	5.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	25.40	n/a	31-Oct	300.00	0.0
OSKIE CAPITAL MGMT	224	GM	B	35,000	24.60	n/a	31-Oct	1,750.00	5.0
OZ MGMT	040	GM	B	775,000	24.93	n/a	31-Oct	23,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	GM	B	156,000	24.17	n/a	31-Oct	6,240.00	0.0
TEMAGAMI CAPITAL	041	GM	B	39,700	24.92	n/a	31-Oct	1,588.00	4.0
BTG PACTUAL	040	GPS	B	15,000	35.45	n/a	n/a	450.00	3.0
BAIRD INVESTMENT	047	HMSY	B	2,500	21.62	n/a	n/a	125.00	5.0
BAIRD INVESTMENT	047	ICLR	B	3,300	23.54	n/a	n/a	165.00	5.0
BAIRD INVESTMENT	047	IHG	B	2,700	24.68	n/a	n/a	135.00	5.0
BAIRD INVESTMENT	047	ILMN	B	2,100	47.12	n/a	n/a	105.00	5.0
HOPLITE MGMT	025	INTC	SS	25,000	21.73	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	INTC	B	200	21.74	n/a	n/a	10.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	20,000	35.46	n/a	25-Oct	1,000.00	5.0
BAIRD INVESTMENT	047	IVZ	B	3,800	24.06	n/a	2-Mar	190.00	5.0
BAIRD INVESTMENT	047	JBHT	B	1,700	58.14	n/a	n/a	85.00	5.0
PATTEN & PATTEN	025	JCI	S	1,400	25.96	n/a	31-Oct	70.00	5.0
SIMMONS VENTURES	041	JNY	SS	10,000	11.95	n/a	25-Oct	400.00	4.0
BAIRD INVESTMENT	047	JOY	B	1,100	62.45	n/a	11-Jul	55.00	5.0
SANDLER O'NEILL ASSET	031	JPM	S	100,000	41.59	n/a	12-Oct	5,000.00	5.0
PATTEN & PATTEN	025	KMB	S	350	82.98	n/a	25-Oct	17.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	KMI	B	302	34.77	n/a	n/a	15.10	5.0
BAIRD INVESTMENT	047	LKQ	B	2,400	20.83	n/a	n/a	120.00	5.0
OSKIE CAPITAL MGMT	224	LORL	B	5,000	78.11	n/a	n/a	250.00	5.0
SYMPHONY ASSET	033	LOW	C	10,760	32.27	n/a	20-Aug	322.80	0.0
BAIRD INVESTMENT	047	MAN	B	1,900	37.61	n/a	n/a	95.00	5.0
WEINTRAUB CAPITAL MGT.	084	MCD	SS	50,000	87.08	n/a	22-Oct	2,000.00	4.0
BAIRD INVESTMENT	047	MCHP	B	1,400	31.49	n/a	n/a	70.00	5.0
BAIRD INVESTMENT	047	MKC	B	1,600	61.32	n/a	n/a	80.00	5.0
PATTEN & PATTEN	025	NEE	B	1,000	69.94	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	NSC	B	100	61.86	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	NVS	S	100	60.57	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	OII	B	1,800	51.62	n/a	n/a	90.00	5.0
BAIRD INVESTMENT	047	ORLY	B	1,400	84.67	n/a	n/a	70.00	5.0
STRONG/MARK GRONET	030	OSUR	S	100,000	8.96	n/a	n/a	3,000.00	0.0
PATTEN & PATTEN	025	OXY	S	20	79.80	n/a	n/a	1.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PCAR	S	400	43.26	n/a	n/a	20.00	0.0
BAIRD INVESTMENT	047	PII	B	600	84.02	n/a	n/a	30.00	5.0
BAIRD INVESTMENT	047	PLT	B	1,400	32.15	n/a	n/a	70.00	5.0
BAIRD INVESTMENT	047	PLXS	B	2,300	26.97	n/a	n/a	115.00	5.0
SYMPHONY ASSET	033	POST	C	4,850	30.74	n/a	n/a	145.50	0.0
BAIRD INVESTMENT	047	PRGO	B	1,000	113.81	n/a	31-Oct	50.00	5.0
ASCEND PARTNERS	033	PVH	S	49,430	109.65	n/a	18-Oct	2,471.50	0.0
BAIRD INVESTMENT	047	PVH	B	500	107.00	n/a	18-Oct	25.00	5.0
PATTEN & PATTEN	025	QCOM	B	800	58.53	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	RDSA	S	20	69.03	n/a	n/a	1.00	0.0
PATTEN & PATTEN	025	RHHBY	S	150	48.60	n/a	n/a	7.50	5.0
COOPER CREEK PART	028	RKT	S	7,500	73.01	n/a	15-Oct	300.00	4.0
BAIRD INVESTMENT	047	ROK	B	1,200	70.40	n/a	n/a	60.00	5.0
BAIRD INVESTMENT	047	ROP	B	700	108.84	n/a	n/a	35.00	5.0
BAIRD INVESTMENT	047	RVBD	B	2,300	18.42	n/a	n/a	115.00	5.0
M&I FUNDS	047	RVBD	B	12,653	18.27	n/a	n/a	506.12	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACELLUM CAPITAL	086	SCSS	SS	20,170	27.75	n/a	n/a	605.10	3.0
BAIRD INVESTMENT	047	SRCL	B	900	94.19	n/a	n/a	45.00	5.0
PATTEN & PATTEN	025	SRZ	S	1,658	14.39	n/a	n/a	82.90	5.0
BAIRD INVESTMENT	047	SWKS	B	1,600	23.15	n/a	n/a	80.00	5.0
BAIRD INVESTMENT	047	TDC	B	1,500	67.63	n/a	n/a	75.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	50,000	63.62	n/a	26-Oct	1,750.00	3.5
BAIRD INVESTMENT	047	TIF	B	1,200	62.59	n/a	n/a	60.00	5.0
BAIRD INVESTMENT	047	TRMB	B	1,500	46.87	n/a	n/a	75.00	5.0
BAIRD INVESTMENT	047	TSCO	B	800	95.77	n/a	n/a	40.00	5.0
BAIRD INVESTMENT	047	UA	B	1,500	52.15	n/a	26-Oct	75.00	5.0
STANDARD PACIFIC CAPITAL	084	UA	S	140,000	52.12	n/a	26-Oct	7,000.00	0.0
BAIRD INVESTMENT	047	ULTA	B	1,000	91.78	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	URBN	B	2,600	35.50	n/a	n/a	130.00	5.0
MACELLUM CAPITAL	086	URBN	B	15,640	35.67	n/a	n/a	469.20	3.0
PATTEN & PATTEN	025	UTX	B	750	78.87	n/a	n/a	37.50	5.0
BAIRD INVESTMENT	047	WBC	B	1,300	58.49	n/a	29-Aug	65.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	WLL	B	1,500	42.05	n/a	n/a	75.00	5.0
FORWARD MGMT	033	WRC	S	15,000	70.47	n/a	18-Oct	600.00	0.0
BAIRD INVESTMENT	047	WSO	B	1,000	68.58	n/a	n/a	50.00	5.0
KAM ADVISORS LLC	041	X	SS	51,800	20.33	n/a	n/a	1,554.00	0.0
BAIRD INVESTMENT	047	ZBRA	B	1,500	35.67	n/a	n/a	75.00	5.0
TOTAL (Trade Date):								98,966.52	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									98,966.52
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									98,966.52
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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