



Daily Compliance Activity Report

Trade Date: 03/26/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ABT	B	150	34.02	n/a	n/a	7.50	5.0
BAIRD INVESTMENT	047	ACN	B	50	74.61	n/a	n/a	2.50	5.0
CENTURION PARTNERS	041	AGNC	B	5,000	32.14	n/a	n/a	200.00	4.0
BAIRD INVESTMENT	047	AGN	B	50	111.95	n/a	25-Mar	2.50	5.0
BAIRD INVESTMENT	047	AKAM	B	50	34.79	n/a	n/a	2.50	5.0
CENTURION PARTNERS	041	ALK	S	25,000	62.50	n/a	n/a	1,000.00	4.0
BAIRD INVESTMENT	047	AMT	B	50	76.60	n/a	n/a	2.50	5.0
RAINIER INV MGMT	033	ANGI	B	36,900	19.90	n/a	n/a	1,476.00	0.0
KAM ADVISORS LLC	041	AXL	S	168,300	12.87	n/a	25-Mar	5,049.00	0.0
ROSEDALE CAPITAL	046	BRC	S	50,000	5.74	n/a	n/a	1,500.00	3.0
IVORY CAPITAL	084	BSX	S	94,100	7.41	n/a	n/a	3,764.00	0.0
BAIRD INVESTMENT	047	CAT	B	50	87.13	n/a	11-Jul	2.50	5.0
BAIRD INVESTMENT	047	CERN	B	50	93.21	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	CHD	B	100	63.49	n/a	18-Mar	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FINDLAY PARK PART	085	CHD	S	84,500	63.64	n/a	18-Mar	8,065.77	0.0
BAIRD INVESTMENT	047	CRM	B	50	172.78	n/a	n/a	2.50	5.0
ROYCE TRADING	031	CROX	B	75,000	14.92	n/a	n/a	3,750.00	0.0
BAIRD INVESTMENT	047	CTSH	B	100	75.14	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	CTXS	B	50	70.30	n/a	n/a	2.50	5.0
DAVIDSON KEMPNER ADVISOR	040	DELL	C	114,396	14.55	n/a	n/a	3,431.88	0.0
SANDLER O'NEILL ASSET	031	DFS	S	10,000	45.10	n/a	21-Mar	500.00	5.0
BAIRD INVESTMENT	047	DG	B	50	51.71	n/a	26-Mar	2.50	5.0
BAIRD INVESTMENT	047	DHR	B	100	61.52	n/a	n/a	5.00	5.0
FRED ALGER MGMT	070	DISCA	S	25,000	79.09	n/a	n/a	900.00	0.0
BAIRD INVESTMENT	047	DKS	B	150	47.09	n/a	26-Mar	7.50	5.0
SHEFFIELD ASSET MGMT	031	DLTR	S	110,100	48.05	n/a	1-Mar	4,404.00	4.0
BAIRD INVESTMENT	047	DTV	B	100	56.11	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	EBAY	B	100	51.69	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	EMC	B	300	23.79	n/a	26-Feb	15.00	5.0
LATEEF MGMT	033	ENR	S	350	98.00	n/a	28-Feb	77.00	22.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ETN	B	100	61.62	n/a	14-Mar	5.00	5.0
BAIRD INVESTMENT	047	EW	B	50	81.92	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	FAST	B	100	50.29	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	FB	B	50	25.34	n/a	n/a	2.50	5.0
KEYGROUP/KGLT	040	FCX	B	25,000	32.75	n/a	n/a	1,000.00	4.0
SUFFOLK CAPITAL MGMT	040	FIVE	S	22,369	40.72	n/a	1-Mar	894.76	0.0
BAIRD INVESTMENT	047	FLR	B	50	64.95	n/a	n/a	2.50	5.0
BRIGADE CAPITAL MGMT	029	FNSR	B	50,000	13.41	n/a	n/a	1,500.00	0.0
WAGONHOUND/NICOLAS	033	FOR	B	50,000	22.29	n/a	26-Mar	2,000.00	0.0
BAIRD INVESTMENT	047	FTNT	B	200	22.83	n/a	n/a	10.00	5.0
BAIRD INVESTMENT	047	GILD	B	150	45.80	n/a	n/a	7.50	5.0
TROUBH PART	070	GM	B	25,000	28.11	n/a	25-Mar	1,250.00	5.0
CENTURION PARTNERS	041	HIG	S	20,000	25.89	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	047	ILMN	B	50	53.59	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	INTC	B	300	21.52	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BAIRD INVESTMENT	047	JBHT	B	50	73.54	n/a	n/a	2.50	5.0	
SANDLER CAPITAL	028	JBHT	S	200,000	73.40	n/a	n/a	8,000.00	0.0	
ADAGE CAPITAL MGMT	030	JWN	B	3,269	53.74	n/a	6-Mar	98.07	3.0	
BAIRD INVESTMENT	047	KO	B	250	40.37	n/a	28-Feb	12.50	5.0	
LATEEF MGMT	033	KR	S	2,150	32.87	n/a	n/a	233.00	11.6	
SCOPUS FUND	041	KSS	SS	25,000	46.40	n/a	6-Mar	1,000.00	4.0	
STRONG/MARK GRONET	030	LCC	S	100,000	16.54	n/a	26-Mar	4,000.00	0.0	
MILLRACE FUND LP	028	LEA	S	5,000	54.81	n/a	22-Mar	200.00	4.0	
SCOPUS FUND	041	LTD	S	15,200	44.48	n/a	n/a	608.00	4.0	
BAIRD INVESTMENT	047	LVS	B	50	55.28	n/a	13-Jun	2.50	5.0	
FRED ALGER MGMT	070	LVS	B	17,900	55.46	n/a	13-Jun	644.40	0.0	
EPOCH INV MGMT	030	MLHR	B	22,500	27.41	n/a	n/a	675.00	0.0	
CASTLE ARK	031	MON	B	105,320	103.12	n/a	n/a	5,266.00	0.0	
BAIRD INVESTMENT	047	MSFT	B	400	28.28	n/a	n/a	20.00	5.0	
CSFB GLOBAL PROPRIETARY	041	MWV	B	24,000	36.00	n/a	26-Mar	1,200.00	5.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ	B	10,000	6.55		n/a	n/a	200.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	NKE	B	100	58.99	n/a	26-Mar	5.00	5.0
NWQ INVESTMENT MGMT CO	084	NP	B	2,400	30.75	n/a	22-Feb	84.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NRG	B	15,000	25.80		n/a n/a	450.00	3.0
BAIRD INVESTMENT	047	OII	B	50	65.24	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	ORCL	B	150	31.56	n/a	n/a	7.50	5.0
PRIMECAP MGMT	084	ORCL	S	50,000	31.67	n/a	n/a	2,000.00	0.0
BAIRD INVESTMENT	047	ORLY	B	100	103.00	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	PCP	B	50	190.94	n/a	11-Mar	2.50	5.0
COUGAR TRADING	044	PLCE	B	5,000	44.91	n/a	26-Mar	250.00	5.0
ASCEND PARTNERS	033	PVH	S	20,000	113.91	n/a	1-Mar	1,000.00	0.0
BAIRD INVESTMENT	047	PVH	B	50	113.43	n/a	1-Mar	2.50	5.0
BAIRD INVESTMENT	047	PX	B	50	112.37	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	QCOM	B	100	66.29	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	ROK	B	50	84.83	n/a	n/a	2.50	5.0
WAGONHOUND/NICOLAS	033	SAVE	S	29,371	25.65	n/a	n/a	1,174.84	0.0
BAIRD INVESTMENT	047	SBUX	B	150	56.79	n/a	25-Mar	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	SLB	B	50	74.00	n/a	n/a	2.50	5.0
FIRST NY SEC/CHRIS	041	SONC	SS	10,000	12.53	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	047	SRCL	B	100	104.55	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	STT	B	50	59.56	n/a	21-Mar	2.50	5.0
FINDLAY PARK PART	085	STT	B	73,000	59.88	n/a	21-Mar	6,556.86	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	B	2,900	47.30	n/a	28-Feb	87.00	0.0
BAIRD INVESTMENT	047	TDC	B	50	56.94	n/a	n/a	2.50	5.0
S.A.C. CAPITAL	044	TGT	SS	20,000	68.14	n/a	13-Mar	600.00	3.0
BAIRD INVESTMENT	047	TIF	B	50	68.01	n/a	n/a	2.50	5.0
COHE & STEERS	041	TOL	B	12,000	35.22	n/a	n/a	480.00	0.0
BAIRD INVESTMENT	047	TROW	B	50	74.29	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	TSCO	B	50	101.39	n/a	n/a	2.50	5.0
M&I FUNDS	047	TWI	B	6,900	21.19	n/a	n/a	276.00	4.0
BAIRD INVESTMENT	047	URBN	B	50	39.07	n/a	n/a	2.50	5.0
BAIRD INVESTMENT	047	WFM	B	100	86.69	n/a	n/a	5.00	5.0
ROYCE TRADING	031	WOR	S	25,000	30.56	n/a	n/a	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	XLI	SS	101,900	41.45	n/a	n/a	3,057.00	0.0
SUFFOLK CAPITAL MGMT	040	YUM	B	211,400	70.87	n/a	25-Mar	8,456.00	0.0
LISTED ERR	099	YUM	B	6,357	70.84	n/a	25-Mar	0.00	0.0
LISTED ERR	099	YUM	S	6,357	70.82	n/a	25-Mar	0.00	0.0
TOTAL (Trade Date):								90,146.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									90,146.08
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									90,146.08

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