



Daily Compliance Activity Report

Trade Date: 11/30/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	ABG	B	10,000	30.29	n/a	30-Nov	400.00	4.0
BAIRD INVESTMENT	047	ADS	B	750	142.94	n/a	n/a	37.50	5.0
BAIRD INVESTMENT	047	ALTR	B	1,950	32.31	n/a	n/a	97.50	5.0
BAIRD INVESTMENT	047	AMG	B	650	129.12	n/a	2-Mar	32.50	5.0
BAIRD INVESTMENT	047	ANSS	B	1,300	66.17	n/a	n/a	65.00	5.0
KLEINHEINZ CAP PART	031	ANW	S	28,418	4.52	n/a	n/a	1,420.90	5.0
BAIRD INVESTMENT	047	ARG	B	1,000	88.42	n/a	15-Nov	50.00	5.0
BAIRD INVESTMENT	047	ATR	B	1,350	47.61	n/a	n/a	67.50	5.0
BAIRD INVESTMENT	047	ATU	B	2,600	28.71	n/a	n/a	130.00	5.0
ROSEDALE CAPITAL	046	AXL	S	40,000	10.40	n/a	2-Nov	1,600.00	4.0
BASSWOOD PARTNERS	267	AXP	SS	11,800	55.88	n/a	29-Nov	472.00	0.0
BAIRD INVESTMENT	047	AYI	B	1,100	66.25	n/a	n/a	55.00	5.0
MACELLUM CAPITAL	086	BBY	B	87,970	12.90	n/a	n/a	2,639.10	3.0
ARMATURE CAPITAL	041	BMS	SS	25,000	33.57	n/a	n/a	1,000.00	0.0

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BAIRD INVESTMENT	047	BWLD	B	950	73.53	n/a	n/a	47.50	5.0
BAIRD INVESTMENT	047	CERN	B	850	76.71	n/a	n/a	42.50	5.0
TOCQUEVILLE	035	CE	S	25,000	41.00	n/a	20-May	1,250.00	0.0
BAIRD INVESTMENT	047	CHD	B	1,850	54.20	n/a	5-Nov	92.50	5.0
TOCQUEVILLE	035	CHMT	S	25,000	20.05	n/a	18-Feb	1,250.00	0.0
BAIRD INVESTMENT	047	CLB	B	650	101.91	n/a	21-Nov	32.50	5.0
BAIRD INVESTMENT	047	COG	B	2,150	47.64	n/a	29-Nov	107.50	5.0
ROSEDALE CAPITAL	046	CSCO	S	20,000	18.97	n/a	29-Nov	800.00	4.0
BAIRD INVESTMENT	047	CTRX	B	1,950	47.64	n/a	n/a	97.50	5.0
BAIRD INVESTMENT	047	CTXS	B	1,200	61.73	n/a	n/a	60.00	5.0
BAIRD INVESTMENT	047	DG	B	2,250	50.64	n/a	20-Nov	112.50	5.0
BNP PARIBAS SEC	040	DG	S	22,706	50.07	n/a	20-Nov	681.18	3.0
BAIRD INVESTMENT	047	DKS	B	2,150	52.73	n/a	13-Nov	107.50	5.0
BAIRD INVESTMENT	047	DLR	B	1,550	64.39	n/a	n/a	77.50	5.0
DSM CAPITAL PARTNERS	085	EBAY	B	80,300	52.47	n/a	n/a	4,015.00	0.0
BAIRD INVESTMENT	047	EWBC	B	3,100	21.41	n/a	n/a	155.00	5.0

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BAIRD INVESTMENT	047	FAST	B	1,750	42.23	n/a	n/a	87.50	5.0
BAIRD INVESTMENT	047	FFIV	B	350	94.00	n/a	25-Oct	17.50	5.0
ROYCE TRADING	031	FINL	B	3,000	20.59	n/a	28-Sep	150.00	0.0
BAIRD INVESTMENT	047	FIRE	B	1,600	48.89	n/a	n/a	80.00	5.0
BAIRD INVESTMENT	047	FLR	B	1,200	53.55	n/a	n/a	60.00	5.0
MACELLUM CAPITAL	086	GCO	SS	26,680	55.48	n/a	n/a	800.40	3.0
BAIRD INVESTMENT	047	GHL	B	1,300	47.36	n/a	n/a	65.00	5.0
KENNEDY CAPITAL	046	GIII	S	9,963	38.01	n/a	n/a	398.52	0.0
ROSEDALE CAPITAL	046	GM	B	20,000	25.70	n/a	30-Nov	1,000.00	5.0
SCOPUS FUND	041	GPI	B	10,000	61.15	n/a	30-Nov	400.00	4.0
PRIMECAP MGMT	084	GVA	S	910	29.75	n/a	n/a	36.40	0.0
BAIRD INVESTMENT	047	HMSY	B	2,300	22.81	n/a	n/a	115.00	5.0
PRIMECAP MGMT	084	HON	S	51,230	61.36	n/a	22-Oct	2,049.20	0.0
BAIRD INVESTMENT	047	ICLR	B	3,000	27.48	n/a	n/a	150.00	5.0
BAIRD INVESTMENT	047	IHG	B	2,500	26.73	n/a	n/a	125.00	5.0

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BAIRD INVESTMENT	047	ILMN	B	1,950	52.49	n/a	n/a	97.50	5.0
ARMATURE CAPITAL	041	IP	S	50,000	37.09	n/a	25-Oct	2,000.00	0.0
CASTLEROCK	040	IP	B	7,500	37.15	n/a	25-Oct	300.00	0.0
BAIRD INVESTMENT	047	IVZ	B	3,500	24.95	n/a	2-Mar	175.00	5.0
NOKOMIS PARTNERS	031	IWM	B	31,865	82.25	n/a	n/a	955.95	3.0
BAIRD INVESTMENT	047	JBHT	B	1,600	59.14	n/a	n/a	80.00	5.0
BAIRD INVESTMENT	047	JOY	B	1,000	56.98	n/a	11-Jul	50.00	5.0
BALYASNY ASSET MGMT	044	JWN	C	25,000	54.13	n/a	30-Nov	1,250.00	0.0
SIMMONS VENTURES	041	KSS	B	10,000	44.46	n/a	30-Nov	400.00	4.0
BAIRD INVESTMENT	047	LKQ	B	2,200	21.53	n/a	n/a	110.00	5.0
BAIRD INVESTMENT	047	MAN	B	1,750	37.89	n/a	n/a	87.50	5.0
M&I FUNDS	047	MAT	S	15,000	37.32	n/a	n/a	600.00	4.0
BAIRD INVESTMENT	047	MCHP	B	1,300	30.40	n/a	n/a	65.00	5.0
BAIRD INVESTMENT	047	MKC	B	1,500	64.35	n/a	n/a	75.00	5.0
UNITED STATES PENSION	085	MKC	S	14,160	64.44	n/a	n/a	708.00	5.0
BRONSON POINT	036	MTW	B	25,000	14.92	n/a	11-Jul	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHLINE ADV	044	NOK	SS	250,000	3.28	n/a	n/a	12,500.00	5.0
PRIMECAP MGMT	084	NOV	S	1,900	68.34	n/a	n/a	76.00	0.0
BRIGADE CAPITAL MGMT	029	NRG	B	200,000	21.14	n/a	n/a	6,000.00	0.0
BASSWOOD PARTNERS	267	NYCB	SS	45,200	12.96	n/a	24-Oct	1,808.00	0.0
BAIRD INVESTMENT	047	OII	B	1,700	52.62	n/a	n/a	85.00	5.0
BAIRD INVESTMENT	047	ORLY	B	1,300	93.48	n/a	n/a	65.00	5.0
SCOPUS FUND	041	PAG	B	10,000	29.06	n/a	5-Nov	400.00	4.0
PRIMECAP MGMT	084	PG	S	12,000	69.61	n/a	16-Nov	480.00	0.0
BAIRD INVESTMENT	047	PII	B	550	85.58	n/a	n/a	27.50	5.0
ROYCE TRADING	031	PLCE	S	600	48.75	n/a	27-Nov	30.00	0.0
BAIRD INVESTMENT	047	PLT	B	1,250	34.07	n/a	n/a	62.50	5.0
BAIRD INVESTMENT	047	PLXS	B	2,150	22.92	n/a	n/a	107.50	5.0
BAIRD INVESTMENT	047	PRGO	B	900	103.04	n/a	26-Nov	45.00	5.0
BAIRD INVESTMENT	047	PVH	B	500	113.76	n/a	29-Nov	25.00	5.0
DEVENNY CAP LLC/MILLENIU	044	RKT	B	5,000	65.03	n/a	5-Nov	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	ROK	B	1,050	79.17	n/a	n/a	52.50	5.0
BAIRD INVESTMENT	047	ROP	B	650	110.30	n/a	n/a	32.50	5.0
BAIRD INVESTMENT	047	RVBD	B	2,100	17.97	n/a	n/a	105.00	5.0
BRIGADE CAPITAL MGMT	029	SAFM	S	18,500	48.09	n/a	n/a	555.00	0.0
WEXFORD CAPITAL	284	SBUX	B	60,000	51.79	n/a	26-Nov	1,800.00	0.0
BRIGADE CAPITAL MGMT	029	SPY	SS	45,000	142.21	n/a	n/a	1,350.00	0.0
BAIRD INVESTMENT	047	SRCL	B	850	93.91	n/a	n/a	42.50	5.0
BAIRD INVESTMENT	047	SWKS	B	2,800	22.65	n/a	n/a	140.00	5.0
BAIRD INVESTMENT	047	TDC	B	1,400	59.19	n/a	n/a	70.00	5.0
FIRST NY SEC/CHRIS	041	TEVA	B	10,000	40.38	n/a	30-Nov	500.00	5.0
WOODWAY FINANCIAL	031	TEVA	S	60,350	40.06	n/a	30-Nov	3,621.00	6.0
BAIRD INVESTMENT	047	TIF	B	1,050	58.71	n/a	n/a	52.50	5.0
BALYASNY ASSET MGMT	044	TPX	C	25,000	26.54	n/a	n/a	1,250.00	0.0
BAIRD INVESTMENT	047	TRMB	B	1,400	55.85	n/a	n/a	70.00	5.0
BAIRD INVESTMENT	047	TSCO	B	700	89.95	n/a	n/a	35.00	5.0
DEVENNY CAP LLC/MILLENIU	044	TX	SS	30,000	22.79	n/a	n/a	900.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	UA	B	1,400	52.63	n/a	26-Oct	70.00	5.0
BAIRD INVESTMENT	047	ULTA	B	900	100.09	n/a	n/a	45.00	5.0
M&I FUNDS	047	UNT	S	2,615	44.73	n/a	21-Nov	104.60	4.0
BAIRD INVESTMENT	047	URBN	B	2,400	37.60	n/a	n/a	120.00	5.0
BAIRD INVESTMENT	047	WBC	B	1,200	61.83	n/a	8-Nov	60.00	5.0
OSKIE CAPITAL MGMT	224	WFC	S	50,000	32.91	n/a	29-Nov	2,500.00	5.0
LOMAS CAPITAL	040	WGO	S	17,600	14.16	n/a	n/a	528.00	3.0
BAIRD INVESTMENT	047	WLL	B	1,450	41.75	n/a	n/a	72.50	5.0
KINGDON ASSET MGMT	041	WMT	B	35,000	71.73	n/a	15-Nov	1,400.00	0.0
BAIRD INVESTMENT	047	WSO	B	900	72.26	n/a	n/a	45.00	5.0
BALYASNY ASSET MGMT	044	WYNN	SS	10,000	112.19	n/a	13-Jun	500.00	0.0
SYMPHONY ASSET	033	XLI	SS	8,170	37.14	n/a	n/a	245.10	0.0
BAIRD INVESTMENT	047	ZBRA	B	1,400	38.96	n/a	n/a	70.00	5.0
TOTAL (Trade Date) :								68,431.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/29	WINSLOW CAPITAL (WINS187)	030	COG	S	300	47.86	n/a	29-Nov	9.00 0.0
AO,CXL	11/29	WINSLOW CAPITAL (WINS87)	030	COG	S	300	47.86	n/a	29-Nov	9.00 0.0
AO,CXL	11/27	PATTEN & PATTEN (PATTREGION)	025	PKB	B	150	16.72	n/a	n/a	7.50 5.0
AO,CRT	11/27	PATTEN & PATTEN (PATTMERR)	025	PKB	B	150	16.72	n/a	n/a	7.50 5.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	68,431.85
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	68,431.85
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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