



Daily Compliance Activity Report

Trade Date: 10/04/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	ACC	B	27,217	33.29	n/a	n/a	1,088.68	0.0
BAIRD INVESTMENT	047	ACHC	B	200	40.32	n/a	n/a	10.00	0.0
BAIRD INVESTMENT	047	ADS	B	45	216.94	n/a	n/a	2.25	0.0
PRIMECAP MGMT	084	AFFX	B	17,500	6.50	n/a	n/a	525.00	0.0
BAIRD INVESTMENT	047	ALTR	B	175	37.00	n/a	n/a	8.75	0.0
BAIRD INVESTMENT	047	ALXN	B	75	116.22	n/a	n/a	3.75	0.0
BAIRD INVESTMENT	047	AMG	B	55	188.44	n/a	2-Mar	2.75	0.0
BAIRD INVESTMENT	047	ANSS	B	115	86.26	n/a	n/a	5.75	0.0
BAIRD INVESTMENT	047	ARG	B	65	109.24	n/a	n/a	3.25	0.0
BAIRD INVESTMENT	047	ATR	B	120	60.32	n/a	n/a	6.00	0.0
BAIRD INVESTMENT	047	ATU	B	225	38.45	n/a	n/a	11.25	0.0
BAIRD INVESTMENT	047	AYI	B	95	96.55	n/a	n/a	4.75	0.0
LATEEF MGMT	033	BBT	B	200	33.67	n/a	n/a	36.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		BID	B	10,000	50.75		n/a	n/a	300.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	070	BRCD	B	419,775	8.33	n/a	n/a	12,593.25	0.0
BAIRD INVESTMENT	047	BWLD	B	70	115.92	n/a	n/a	3.50	0.0
KAM ADVISORS LLC	041	CAM	S	92,300	61.62	n/a	n/a	2,769.00	0.0
BAIRD INVESTMENT	047	CERN	B	150	54.74	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	CHD	B	180	60.00	n/a	17-Jun	9.00	0.0
BAIRD INVESTMENT	047	CLB	B	40	176.67	n/a	13-Jun	2.00	0.0
BAIRD INVESTMENT	047	CNQR	B	90	111.04	n/a	n/a	4.50	0.0
CAMBIAR CAP	046	COF	S	43,044	70.02	n/a	19-Jun	1,721.76	0.0
BAIRD INVESTMENT	047	CTRX	B	160	46.75	n/a	n/a	8.00	0.0
BAIRD INVESTMENT	047	CTXS	B	105	70.59	n/a	n/a	5.25	0.0
LATEEF MGMT	033	CVS	B	600	56.90	n/a	n/a	60.00	0.0
LATEEF MGMT	033	DAL	S	250	25.20	n/a	18-Jun	25.00	0.0
LATEEF MGMT	033	DE	S	125	82.45	n/a	11-Jul	31.25	0.0
BAIRD INVESTMENT	047	DG	B	110	58.67	n/a	4-Jun	5.50	0.0
BAIRD INVESTMENT	047	DKS	B	190	53.94	n/a	19-Jun	9.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	DLR	B	110	52.27	n/a	n/a	5.50	0.0
CHARTER OAK	033	DSCO	S	12,500	3.18	n/a	n/a	250.00	0.0
BNP PARIBAS SEC	040	ESRX	B	20,000	62.10	n/a	n/a	600.00	0.0
BAIRD INVESTMENT	047	EWBC	B	275	32.93	n/a	n/a	13.75	0.0
BAIRD INVESTMENT	047	EW	B	45	72.87	n/a	n/a	2.25	0.0
BAIRD INVESTMENT	047	FAST	B	150	51.30	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	FBHS	B	180	42.64	n/a	n/a	9.00	0.0
LATEEF MGMT	033	FCX	S	250	33.88	n/a	n/a	30.00	0.0
BAIRD INVESTMENT	047	FFIV	B	50	91.58	n/a	26-Feb	2.50	0.0
BAIRD INVESTMENT	047	FLR	B	105	72.14	n/a	n/a	5.25	0.0
BRIGADE CAPITAL MGMT	029	FOE	S	25,000	9.76	n/a	n/a	750.00	0.0
BAIRD INVESTMENT	047	FTNT	B	225	21.84	n/a	n/a	11.25	0.0
BAIRD INVESTMENT	047	GHL	B	220	47.51	n/a	n/a	11.00	0.0
LATEEF MGMT	033	GIS	B	225	47.92	n/a	n/a	45.00	0.0
TIDE POINT CAPITAL	028	GM	B	30,000	35.57	n/a	19-Jun	900.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	GSPRD	B	300	19.55	n/a	n/a	30.00	0.0
CR INTRINIC INVESTMENT	044	GT	S	100,000	22.95	n/a	n/a	3,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HTZ	B	25,000	22.98		n/a	n/a	750.00 0.0
BAIRD INVESTMENT	047	ICLR	B	265	41.15	n/a	n/a	13.25	0.0
BAIRD INVESTMENT	047	IHG	B	215	29.13	n/a	n/a	10.75	0.0
BAIRD INVESTMENT	047	ILMN	B	125	81.25	n/a	n/a	6.25	0.0
LATEEF MGMT	033	IP	B	150	43.45	n/a	17-Jun	30.00	0.0
BAIRD INVESTMENT	047	IVZ	B	190	32.44	n/a	2-Mar	9.50	0.0
BAIRD INVESTMENT	047	JBHT	B	140	72.80	n/a	n/a	7.00	0.0
PAR CAPITAL	029	LCC	C	350,000	20.57	n/a	18-Jun	14,000.00	0.0
TIDE POINT CAPITAL	028	LEA	B	20,000	73.76	n/a	19-Jun	600.00	0.0
BAIRD INVESTMENT	047	LKQ	B	315	32.72	n/a	n/a	15.75	0.0
PRIMECAP MGMT	084	LLY	B	200	48.19	n/a	n/a	8.00	0.0
COUGAR TRADING	044	LPX	S	25,000	17.74	n/a	19-Jun	1,250.00	0.0
BAIRD INVESTMENT	047	MAN	B	155	75.71	n/a	n/a	7.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	MCHP	B	115	39.50	n/a	n/a	5.75	0.0
BAIRD INVESTMENT	047	MKC	B	165	64.73	n/a	n/a	8.25	0.0
SCOGGIN LLC	041	MOS	B	46,000	45.77	n/a	n/a	2,300.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	10,000	37.49	n/a	18-Jun	500.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	NAV	C	16,400	38.21	n/a	11-Jul	656.00	0.0
PRIMECAP MGMT	084	NKTR	B	2,400	10.33	n/a	n/a	96.00	0.0
LATEEF MGMT	033	NUE	S	125	48.79	n/a	n/a	31.25	0.0
BAIRD INVESTMENT	047	OII	B	115	82.58	n/a	n/a	5.75	0.0
BAIRD INVESTMENT	047	ORLY	B	65	127.04	n/a	n/a	3.25	0.0
BAIRD INVESTMENT	047	PII	B	50	134.39	n/a	n/a	2.50	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PLCM	S	63,859	11.00		n/a n/a	1,915.77	0.0
LATEEF MGMT	033	POT	B	150	32.88	n/a	n/a	30.00	0.0
BAIRD INVESTMENT	047	PRGO	B	60	128.70	n/a	18-Jun	3.00	0.0
BAIRD INVESTMENT	047	PVH	B	100	123.96	n/a	14-Jun	5.00	0.0
BAIRD INVESTMENT	047	RBC	B	55	72.69	n/a	n/a	2.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ROK	B	95	107.47	n/a	n/a	4.75	0.0
BAIRD INVESTMENT	047	ROP	B	60	130.12	n/a	n/a	3.00	0.0
AMICI CAPITAL N/C	044	SPF	B	50,000	7.68	n/a	n/a	2,000.00	0.0
BAIRD INVESTMENT	047	SRCL	B	105	116.01	n/a	n/a	5.25	0.0
LEVIN CAPITAL STRATEGIES	041	SSI	C	10,000	20.20	n/a	18-Jun	300.00	0.0
WALL STREET CAPITAL	084	STZ	B	11,350	61.82	n/a	17-Jun	510.75	0.0
BAIRD INVESTMENT	047	SWKS	B	250	25.72	n/a	n/a	12.50	0.0
BAIRD INVESTMENT	047	SWN	B	145	36.07	n/a	13-Jun	7.25	0.0
LATEEF MGMT	033	SWY	S	300	31.68	n/a	n/a	30.00	0.0
BAIRD INVESTMENT	047	TDC	B	140	54.41	n/a	n/a	7.00	0.0
BAIRD INVESTMENT	047	TFM	B	150	49.68	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	TIF	B	95	77.46	n/a	n/a	4.75	0.0
SENATOR INVESTMENT GROUP	287	TPX	SS	15,000	45.11	n/a	n/a	450.00	0.0
BAIRD INVESTMENT	047	TRMB	B	305	30.84	n/a	n/a	15.25	0.0
LATEEF MGMT	033	TRV	S	500	84.42	n/a	n/a	60.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	TSCO	B	150	68.69	n/a	n/a	7.50	0.0
BAIRD INVESTMENT	047	UA	B	120	81.26	n/a	19-Jun	6.00	0.0
BAIRD INVESTMENT	047	URBN	B	210	36.99	n/a	n/a	10.50	0.0
MFP INVESTORS	085	VNO	B	52,432	83.90	n/a	n/a	2,621.60	0.0
MERRILL ASSET/BLACKROCK	085	V	S	6,500	189.60	n/a	11-Jun	260.00	0.0
BAIRD INVESTMENT	047	WBC	B	110	84.99	n/a	31-May	5.50	0.0
BAIRD INVESTMENT	047	WLL	B	170	64.43	n/a	n/a	8.50	0.0
BAIRD INVESTMENT	047	WSO	B	80	94.39	n/a	n/a	4.00	0.0
LIONEYE CAPITAL	040	XRTX	B	60,000	11.25	n/a	n/a	3,000.00	0.0
CASTLEROCK	040	YUM	SS	5,000	71.24	n/a	17-Jun	200.00	0.0
BAIRD INVESTMENT	047	ZBRA	B	120	46.72	n/a	n/a	6.00	0.0
TOTAL (Trade Date) :								56,757.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/03	DC CAPITAL (DCCAGOLDMA)	044	JCP	B	50,000	8.50	n/a	18-Jun	2000.00 0.0
AO,CRT	10/03	DC CAPITAL (DCCAGOLDMA)	044	JCP	B	50,000	8.50	n/a	18-Jun	1500.00 0.0
AO,CXL	10/03	HARVEST MGMT (JMP) (HARVGSCO)	029	PVH	SS	10,000	123.65	n/a	14-Jun	500.00 0.0
AO,	10/03	HARVEST MGMT (JMP) (HARVGSCO)	029	PVH	SS	10,000	123.65	n/a	14-Jun	400.00 0.0

TOTAL (AO, CXL, CRT) :	-600.00
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TOTAL (Trade Date) :	56,757.31
TOTAL (AO, CXL, CRT) :	-600.00

TOTAL (RUN DATE) / NFS:	56,157.31
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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