



## Daily Compliance Activity Report

Trade Date: 01/11/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |      |
|------------------------|------|--------|-----|--------|-------|-----|----------|--------------|------|
| BAIRD INVESTMENT       | 047  | AA     | B   | 400    | 16.27 | n/a | n/a      | 20.00        | 5.0  |
| JP MORGAN VENTURES     | 046  | ANN    | B   | 15,000 | 22.99 | n/a | n/a      | 750.00       | 5.0  |
| TRELLUS PARTNERS LP    | 028  | AXL    | SS  | 50,000 | 15.21 | n/a | 7-Jan    | 2,500.00     | 5.0  |
| BAIRD INVESTMENT       | 047  | BBY    | S   | 300    | 36.04 | n/a | n/a      | 15.00        | 5.0  |
| JP MORGAN VENTURES     | 046  | BKS    | S   | 5,000  | 16.15 | n/a | n/a      | 250.00       | 5.0  |
| RBC CAPITAL MARKETS    | 040  | CACI   | B   | 5,000  | 52.84 | n/a | n/a      | 200.00       | 4.0  |
| BAIRD INVESTMENT       | 047  | COH    | B   | 9,500  | 53.98 | n/a | 11-Jan   | 475.00       | 5.0  |
| METROPOLITAN CAPITAL   | 044  | DAN    | S   | 4,200  | 18.51 | n/a | 7-Jan    | 210.00       | 5.0  |
| BAIRD INVESTMENT       | 047  | DD     | B   | 200    | 49.25 | n/a | 10-Jan   | 10.00        | 5.0  |
| LATEFF MGMT            | 035  | DVN    | S   | 1,500  | 79.63 | n/a | 11-Jan   | 375.00       | 25.0 |
| BAIRD INVESTMENT       | 047  | EXPR   | B   | 300    | 18.51 | n/a | n/a      | 15.00        | 5.0  |
| BAIRD INVESTMENT       | 047  | FLIR   | B   | 100    | 28.94 | n/a | n/a      | 5.00         | 5.0  |
| BAIRD INVESTMENT       | 047  | FTR    | B   | 300    | 9.46  | n/a | n/a      | 15.00        | 5.0  |
| 1798 CAP/LOMBARD ASSET | 040  | F      | S   | 25,000 | 18.27 | n/a | 7-Jan    | 1,250.00     | 5.0  |

| Account                  | RR #       | Symbol     | B/S      | Shares        | Price        | MRI        | Research      | Comm.¢/Shr.   |            |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| SCOPUS FUND              | 041        | F          | SS       | 50,000        | 18.35        | n/a        | 7-Jan         | 2,000.00      | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>GES</b> | <b>S</b> | <b>10,000</b> | <b>42.57</b> | <b>n/a</b> | <b>24-Nov</b> | <b>300.00</b> | <b>3.0</b> |
| M&I FUNDS                | 047        | GLW        | S        | 33,125        | 19.56        | n/a        | 6-Jan         | 1,325.00      | 4.0        |
| AVENUE CAPITAL MGMT      | 070        | HAR        | S        | 100,000       | 45.42        | n/a        | 3-Nov         | 4,000.00      | 4.0        |
| LANE GATE PARTNERS LLC   | 012        | HD         | SS       | 2,000         | 35.15        | n/a        | 13-Dec        | 60.00         | 3.0        |
| SAC CHICAGO ANDREW       | 031        | HD         | B        | 10,000        | 34.85        | n/a        | 13-Dec        | 350.00        | 3.5        |
| RBC CAPITAL MARKETS      | 040        | IGT        | SS       | 50,000        | 18.52        | n/a        | 7-Dec         | 2,000.00      | 4.0        |
| JENNISON                 | 070        | INTC       | B        | 601,082       | 20.94        | n/a        | n/a           | 22,240.03     | 3.7        |
| SCHOTTENFELD ASSOC       | 041        | IP         | SS       | 10,000        | 27.90        | n/a        | 7-Jan         | 300.00        | 3.0        |
| SENATOR INVESTMENT GROUP | 036        | IWM        | SS       | 100,000       | 79.06        | n/a        | n/a           | 3,000.00      | 3.0        |
| SAC COHEN                | 044        | JCP        | SS       | 125,000       | 30.49        | n/a        | 7-Jan         | 4,375.00      | 3.5        |
| CAERUS GLOBAL            | 041        | JNY        | S        | 50,000        | 14.38        | n/a        | 28-Oct        | 2,000.00      | 4.0        |
| BAIRD INVESTMENT         | 047        | KFT        | B        | 300           | 31.44        | n/a        | n/a           | 15.00         | 5.0        |
| BAIRD INVESTMENT         | 047        | KO         | B        | 200           | 63.09        | n/a        | 23-Dec        | 10.00         | 5.0        |
| T. ROWE PRICE            | 033        | LOW        | S        | 68,000        | 24.61        | n/a        | 13-Dec        | 2,720.00      | 4.0        |
| CENTURION PARTNERS       | 041        | LVS        | S        | 20,000        | 50.34        | n/a        | 9-Dec         | 800.00        | 4.0        |

| Account                 | RR # | Symbol | B/S | Shares    | Price | MRI | Research | Comm. ¢/Shr. |     |
|-------------------------|------|--------|-----|-----------|-------|-----|----------|--------------|-----|
| M&I FUNDS               | 047  | MCD    | S   | 16,589    | 74.25 | n/a | 7-Jan    | 663.56       | 4.0 |
| BAIRD INVESTMENT        | 047  | MI     | S   | 1,500     | 7.04  | n/a | n/a      | 75.00        | 5.0 |
| BAIRD INVESTMENT        | 047  | MMI    | B   | 300       | 32.04 | n/a | n/a      | 15.00        | 5.0 |
| CAPITAL GROWTH MGMT.    | 241  | MTL    | B   | 100,000   | 33.49 | n/a | n/a      | 5,000.00     | 5.0 |
| BAIRD INVESTMENT        | 047  | NAT    | B   | 200       | 26.44 | n/a | n/a      | 10.00        | 5.0 |
| BAIRD INVESTMENT        | 047  | NUE    | B   | 200       | 44.11 | n/a | n/a      | 10.00        | 5.0 |
| MELLON/BANK OF NEW YORK | 046  | PVH    | B   | 53,400    | 60.47 | n/a | 10-Jan   | 2,136.00     | 4.0 |
| BAIRD INVESTMENT        | 047  | ROK    | B   | 7,500     | 72.24 | n/a | n/a      | 375.00       | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041  | RYN    | B   | 25,000    | 55.26 | n/a | 27-Oct   | 1,250.00     | 5.0 |
| BAIRD INVESTMENT        | 047  | SBUX   | B   | 200       | 32.68 | n/a | 7-Jan    | 10.00        | 5.0 |
| MANNING & NAPIER        | 034  | SHW    | S   | 221,000   | 83.34 | n/a | 5-Jan    | 6,630.00     | 3.0 |
| BAIRD INVESTMENT        | 047  | SID    | B   | 400       | 17.71 | n/a | n/a      | 20.00        | 5.0 |
| OMEGA ADVISORS          | 041  | SIRI   | S   | 1,250,000 | 1.58  | n/a | n/a      | 12,500.00    | 1.0 |
| CARDINAL CAPITAL        | 044  | SSI    | S   | 7,400     | 16.00 | n/a | n/a      | 370.00       | 5.0 |
| BAIRD INVESTMENT        | 047  | TEVA   | B   | 200       | 53.97 | n/a | 10-Jan   | 10.00        | 5.0 |

| Account                     | RR #       | Symbol     | B/S      | Shares        | Price        | MRI        | Research      | Comm. ¢/Shr.     |            |
|-----------------------------|------------|------------|----------|---------------|--------------|------------|---------------|------------------|------------|
| ELM RIDGE ADVISORS          | 044        | TIN        | S        | 80,000        | 22.92        | n/a        | 7-Jan         | 3,200.00         | 4.0        |
| LEVEL GLOBAL SHARED ACCT    | 257        | TPX        | S        | 50,000        | 41.01        | n/a        | n/a           | 1,500.00         | 3.0        |
| BAIRD INVESTMENT            | 047        | T          | B        | 100           | 28.02        | n/a        | n/a           | 5.00             | 5.0        |
| JP MORGAN VENTURES          | 046        | USTR       | B        | 4,600         | 62.75        | n/a        | n/a           | 230.00           | 5.0        |
| CATAPULT                    | 040        | UTX        | SS       | 22,764        | 78.67        | n/a        | n/a           | 910.56           | 4.0        |
| JP MORGAN VENTURES          | 046        | VFC        | SS       | 5,000         | 82.46        | n/a        | 22-Oct        | 250.00           | 5.0        |
| BAIRD INVESTMENT            | 047        | VZ         | B        | 100           | 35.46        | n/a        | n/a           | 5.00             | 5.0        |
| BAIRD INVESTMENT            | 047        | WIN        | B        | 200           | 13.22        | n/a        | n/a           | 10.00            | 5.0        |
| <b>BUCK CAPITAL MGMT</b>    | <b>001</b> | <b>WRC</b> | <b>S</b> | <b>10,000</b> | <b>51.22</b> | <b>n/a</b> | <b>10-Jan</b> | <b>300.00</b>    | <b>3.0</b> |
| SIGMA CAPITAL ASSOCIATES    | 041        | WRC        | SS       | 10,000        | 51.11        | n/a        | 10-Jan        | 350.00           | 3.5        |
| BAIRD INVESTMENT            | 047        | YUM        | B        | 200           | 49.61        | n/a        | 7-Jan         | 10.00            | 5.0        |
| <b>TOTAL (Trade Date) :</b> |            |            |          |               |              |            |               | <b>87,430.15</b> |            |

**Cancel/Corrects and As-Of Trades**

| Type                          | Date  | Account                   | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr.   |
|-------------------------------|-------|---------------------------|------|--------|-----|--------|-------|-----|----------|---------------|
| AO,                           | 01/10 | NOMURA CAPITAL (NOMUSW7Y) | 029  | ACW    | S   | 5,000  | 15.99 | n/a | n/a      | 150.00 3.0    |
| AO,CXL                        | 01/10 | SCOPUS FUND (SCOPGS)      | 041  | JCI    | SS  | 6,500  | 40.84 | n/a | 5-Jan    | 260.00 4.0    |
| AO,CRT                        | 01/10 | SCOPUS FUND (SCOPGS)      | 041  | JCI    | SS  | 7,500  | 40.84 | n/a | 5-Jan    | 300.00 4.0    |
| AO,CXL                        | 01/10 | SCOPUS FUND (SCOPUBS)     | 041  | JCI    | SS  | 43,500 | 40.84 | n/a | 5-Jan    | 1740.00 4.0   |
| AO,CRT                        | 01/10 | SCOPUS FUND (SCOPUBS)     | 041  | JCI    | SS  | 42,500 | 40.84 | n/a | 5-Jan    | 1700.00 4.0   |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                           |      |        |     |        |       |     |          | <b>150.00</b> |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 87,430.15 |
| TOTAL (AO, CXL, CRT) : | 150.00    |

|                                |                  |
|--------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS:</b> | <b>87,580.15</b> |
|--------------------------------|------------------|

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