



## Daily Compliance Activity Report

Trade Date: 01/08/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ABB	B	4,760	20.43	n/a	n/a	238.00	5.0
BAIRD INVESTMENT	047	ADBE	B	3,110	36.95	n/a	n/a	155.50	5.0
KAILIX INV ADV	048	AGCO	S	10,000	35.30	n/a	4-Jan	500.00	5.0
BAIRD INVESTMENT	047	AGN	B	2,005	60.39	n/a	8-Jan	100.25	5.0
KAILIX INV ADV	048	AKS	S	10,000	25.27	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	047	ALTR	B	4,115	22.74	n/a	n/a	205.75	5.0
LAGRANGE CAP ADV	048	ALV	SS	5,000	45.10	n/a	4-Jan	250.00	5.0
BAIRD INVESTMENT	047	AMAT	B	2,460	14.18	n/a	n/a	123.00	5.0
BAIRD INVESTMENT	047	AMZN	B	355	131.62	n/a	n/a	17.75	5.0
COBALT	041	ANF	B	20,000	32.26	n/a	8-Jan	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	ANF	B	30,000	33.36	n/a	8-Jan	1,500.00	5.0
RBC CAPITAL MARKETS	040	ANF	B	5,000	33.41	n/a	8-Jan	200.00	4.0
OZ MGMT	040	AN	S	75,000	20.60	n/a	4-Jan	2,250.00	3.0
BAIRD INVESTMENT	047	APC	B	1,085	66.57	n/a	4-Jan	54.25	5.0
BAIRD INVESTMENT	047	A	B	2,425	30.73	n/a	n/a	121.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	BAX	B	2,885	59.14	n/a	n/a	144.25	5.0
MERRILL ASSET/BLACKROCK	214	BKC	S	42,550	18.75	n/a	4-Jan	1,702.00	4.0
BAIRD INVESTMENT	047	BRCM	B	1,690	30.81	n/a	n/a	84.50	5.0
BAIRD INVESTMENT	047	BSX	B	7,820	9.12	n/a	n/a	391.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CAKE	S	50,000	21.28	n/a	4-Jan	1,500.00	3.0
CATAPULT	040	CAT	SS	10,000	59.70	n/a	21-Oct	400.00	4.0
EXIS CAPITAL	044	CAT	B	25,000	59.99	n/a	21-Oct	1,250.00	5.0
NEW JERSEY DIV OF INV.	030	CCI	S	100,000	38.87	n/a	n/a	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHA</b>	<b>B</b>	<b>5,000</b>	<b>44.39</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
BAIRD INVESTMENT	047	CHRW	B	2,100	57.37	n/a	n/a	105.00	5.0
RBC CAPITAL MARKETS	040	CHS	B	10,000	14.43	n/a	n/a	400.00	4.0
DIAMONDBACK CAP MGMT	232	CMI	SS	20,000	53.68	n/a	4-Jan	1,000.00	5.0
WEISS PECK	040	CMI	C	4,900	52.83	n/a	4-Jan	245.00	5.0
BAIRD INVESTMENT	047	COST	B	965	59.30	n/a	n/a	48.25	5.0
NEUBERGER BERMAN	036	COV	B	127,365	48.83	n/a	n/a	5,094.60	4.0
COBALT	041	CVS	S	50,000	34.25	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEFIANCE ASSET	028	CXO	B	8,500	47.02	n/a	n/a	340.00	4.0
BENCHMARK	025	DAN	B	25,000	11.91	n/a	6-Jan	1,000.00	4.0
GLOBAL 56 LLC	060	DAN	B	2,500	11.82	n/a	6-Jan	125.00	5.0
MILLENIUM PARTNERS	028	DAN	B	50,000	11.81	n/a	6-Jan	2,000.00	4.0
THIRD COAST CAPITAL	035	DAN	B	15,000	11.80	n/a	6-Jan	750.00	5.0
BAIRD INVESTMENT	047	DHR	B	1,885	76.61	n/a	n/a	94.25	5.0
BAIRD INVESTMENT	047	DIS	B	2,290	31.71	n/a	n/a	114.50	5.0
BAIRD INVESTMENT	047	ECL	B	4,940	45.04	n/a	7-Jan	247.00	5.0
CATAPULT	040	ECL	SS	36,648	44.97	n/a	7-Jan	1,465.92	4.0
BAIRD INVESTMENT	047	EL	B	1,905	48.85	n/a	4-Jan	95.25	5.0
BAIRD INVESTMENT	047	EMC	B	7,060	17.67	n/a	n/a	353.00	5.0
BMO NESBITT BURNS	041	ENDP	B	7,000	20.42	n/a	8-Jan	350.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.80	n/a	n/a	600.00	6.0
CATAPULT	040	ETN	B	30,000	65.76	n/a	4-Jan	1,200.00	4.0
BAIRD INVESTMENT	047	FAST	B	4,310	46.66	n/a	n/a	215.50	5.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	29.21	n/a	n/a	800.00	4.0
CATAPULT	040	GGC	B	12,500	18.11	n/a	n/a	500.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRANITE CAPITAL	045	HAS	SS	25,000	31.51	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	HMSY	S	26,600	49.52	n/a	n/a	1,064.00	4.0
KAILIX INV ADV	048	HON	B	10,000	41.95	n/a	16-Dec	500.00	5.0
HIGHBRIDGE CAP	041	IP	SS	30,000	27.00	n/a	7-Jan	1,200.00	4.0
BAIRD INVESTMENT	047	IRM	B	5,080	24.04	n/a	n/a	254.00	5.0
KAILIX INV ADV	048	IR	B	10,000	36.40	n/a	4-Jan	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>26,300</b>	<b>37.99</b>	<b>n/a</b>	<b>8-Jan</b>	<b>1,052.00</b>	<b>4.0</b>
BMO NESBITT BURNS	041	KG	S	12,000	12.61	n/a	8-Jan	600.00	5.0
BNP PARIBAS SEC	040	LEA	B	5,000	73.01	n/a	8-Jan	200.00	4.0
CHARTER OAK	033	LEA	B	50,000	72.88	n/a	8-Jan	2,500.00	5.0
ISLE RIDGE PARTNERS	041	LEA	B	10,000	72.79	n/a	8-Jan	400.00	4.0
PORTER-ORLIN-FELDMAN	044	LEA	B	20,000	72.99	n/a	8-Jan	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LL</b>	<b>S</b>	<b>10,000</b>	<b>26.85</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
GRUBER MACBAINE	033	LOW	B	25,000	23.50	n/a	16-Nov	1,000.00	4.0
SASCO	239	LTD	S	93,050	19.50	n/a	n/a	3,722.00	4.0
RBC CAPITAL MARKETS	040	MCD	B	5,000	61.84	n/a	4-Jan	200.00	4.0
WEINTRAUB CAPITAL MGT.	040	MDR	B	50,000	26.01	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	MGM	SS	20,000	10.62	n/a	6-Nov	800.00	4.0
MAIRS AND POWER INV	030	MMM	S	10,000	83.81	n/a	7-Jan	500.00	5.0
KINGDON ASSET MGMT	041	MOT	B	200,000	7.77	n/a	n/a	6,000.00	3.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	21.82	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	NVLS	B	50,000	23.60	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	047	ORLY	B	5,985	38.28	n/a	n/a	299.25	5.0
HOLDEN CAPITAL MGMT	035	OZM	B	20,000	14.79	n/a	8-Jan	1,000.00	5.0
FRIESS MGMT	033	PAG	B	240,100	16.61	n/a	4-Jan	9,604.00	4.0
BMO NESBITT BURNS	041	PKG	SS	25,000	24.55	n/a	7-Jan	1,250.00	5.0
SCOPUS FUND	041	PKG	SS	62,500	24.31	n/a	7-Jan	3,125.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	PKG	S	19,600	24.19	n/a	7-Jan	392.00	2.0
METROPOLITAN CAPITAL	044	PLCE	B	5,500	33.69	n/a	8-Jan	275.00	5.0
SONTERRA CAP	041	SAI	SS	25,000	19.05	n/a	n/a	1,000.00	4.0
RAINIER INV MGMT	035	SF	B	11,000	56.29	n/a	n/a	550.00	5.0
BUCK CAPITAL MGMT	001	SIG	B	100,000	27.61	n/a	n/a	4,000.00	4.0
BMO NESBITT BURNS	041	TIN	B	50,000	20.93	n/a	7-Jan	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALT INVESTMENT	041	TITN	B	25,000	12.99	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	13,100	38.20	n/a	8-Jan	524.00	4.0
CATAPULT	040	UTX	SS	40,000	70.61	n/a	n/a	1,600.00	4.0
ROSEDALE CAPITAL	046	VOD	B	10,000	21.93	n/a	n/a	500.00	5.0
BMO NESBITT BURNS	041	WCRX	SS	6,000	28.46	n/a	8-Jan	300.00	5.0
KAILIX INV ADV	048	WLT	S	10,000	80.98	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>93,242.02</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/06	DSG CAPITAL (DSGCJEFF)	225	DAN	B	25,000	11.96	n/a	6-Jan	1250.00 5.0
AO,CRT	01/06	DSG CAPITAL (DSGCJEFF)	225	DAN	B	25,000	11.96	n/a	6-Jan	750.00 3.0
AO,CRT	01/07	HIGHBRIDGE CAP (HIBCCSFB)	041	IP	SS	44,714	26.76	n/a	7-Jan	1788.56 4.0
AO,CXL	01/07	HIGHBRIDGE CAP (HIBCUBSNEW)	041	IP	SS	44,714	26.76	n/a	7-Jan	1788.56 4.0
AO,	01/07	OZ MGMT (OZFFCSFB)	040	MTW	S	5,800	12.44	n/a	4-Jan	174.00 3.0
AO,	01/07	OZ MGMT (OZFFMS)	040	MTW	S	4,200	12.44	n/a	4-Jan	126.00 3.0
AO,	01/07	OZ MGMT (OZFFGS)	040	MTW	S	3,600	12.44	n/a	4-Jan	108.00 3.0
AO,	01/07	OZ MGMT (OZFFGS)	040	MTW	S	6,600	12.44	n/a	4-Jan	198.00 3.0
AO,	01/07	OZ MGMT (OZFFGS)	040	MTW	S	129,800	12.44	n/a	4-Jan	3894.00 3.0
AO,	01/07	FRIESS MGMT (FRISUCC)	033	PAG	B	7,200	16.47	n/a	4-Jan	288.00 4.0
AO,CXL	01/07	FRIESS MGMT (&FRISUCC)	033	PAG	B	7,200	16.47	n/a	4-Jan	288.00 4.0

---

**TOTAL (AO, CXL, CRT) :****4,000.00**

---

---

**TOTAL (Trade Date) :****93,242.02****TOTAL (AO, CXL, CRT) :****4,000.00**

---

**TOTAL (RUN DATE) / NFS :****97,242.02**

---

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