



## Daily Compliance Activity Report

Trade Date: 11/23/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account          | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm. ¢/Shr. |
|------------------|------|--------|-----|--------|--------|-----|----------|--------------|
| PATTEN & PATTEN  | 025  | AA     | S   | 925    | 8.33   | n/a | n/a      | 46.25 5.0    |
| SCOPUS FUND      | 041  | ABG    | B   | 10,000 | 30.46  | n/a | 15-Nov   | 400.00 4.0   |
| BAIRD INVESTMENT | 047  | ADS    | B   | 800    | 140.45 | n/a | n/a      | 40.00 5.0    |
| ROYCE TRADING    | 031  | AEO    | B   | 1,000  | 19.48  | n/a | 2-Dec    | 50.00 0.0    |
| BAIRD INVESTMENT | 047  | ALTR   | B   | 2,100  | 31.81  | n/a | n/a      | 105.00 5.0   |
| BAIRD INVESTMENT | 047  | AMG    | B   | 700    | 127.79 | n/a | 2-Mar    | 35.00 5.0    |
| PATTEN & PATTEN  | 025  | AMLX   | B   | 250    | 16.22  | n/a | n/a      | 12.50 5.0    |
| BAIRD INVESTMENT | 047  | ANSS   | B   | 1,400  | 67.55  | n/a | n/a      | 70.00 5.0    |
| BAIRD INVESTMENT | 047  | ARG    | B   | 1,000  | 89.79  | n/a | 15-Nov   | 50.00 5.0    |
| BAIRD INVESTMENT | 047  | ATR    | B   | 1,500  | 47.51  | n/a | n/a      | 75.00 5.0    |
| BAIRD INVESTMENT | 047  | ATU    | B   | 2,800  | 27.61  | n/a | n/a      | 140.00 5.0   |
| BAIRD INVESTMENT | 047  | AYI    | B   | 1,100  | 65.20  | n/a | n/a      | 55.00 5.0    |
| BAIRD INVESTMENT | 047  | BWLD   | B   | 1,000  | 72.01  | n/a | n/a      | 50.00 5.0    |
| BAIRD INVESTMENT | 047  | CERN   | B   | 900    | 78.01  | n/a | n/a      | 45.00 5.0    |

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|------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| BAIRD INVESTMENT | 047  | CHD    | B   | 1,900  | 53.86  | n/a | 5-Nov    | 95.00        | 5.0 |
| BAIRD INVESTMENT | 047  | CLB    | B   | 700    | 101.90 | n/a | 21-Nov   | 35.00        | 5.0 |
| BAIRD INVESTMENT | 047  | COG    | B   | 2,300  | 49.31  | n/a | 21-Nov   | 115.00       | 5.0 |
| PZENA INV ADV    | 044  | CSC    | S   | 2,425  | 37.52  | n/a | n/a      | 84.88        | 0.0 |
| BAIRD INVESTMENT | 047  | CTRX   | B   | 2,100  | 48.74  | n/a | n/a      | 105.00       | 5.0 |
| BAIRD INVESTMENT | 047  | CTXS   | B   | 1,300  | 61.69  | n/a | n/a      | 65.00        | 5.0 |
| PATTEN & PATTEN  | 025  | CVX    | S   | 345    | 105.25 | n/a | n/a      | 17.25        | 5.0 |
| BAIRD INVESTMENT | 047  | DG     | B   | 2,400  | 48.85  | n/a | 20-Nov   | 120.00       | 5.0 |
| BAIRD INVESTMENT | 047  | DKS    | B   | 2,300  | 51.84  | n/a | 13-Nov   | 115.00       | 5.0 |
| BAIRD INVESTMENT | 047  | DLR    | B   | 1,700  | 64.20  | n/a | n/a      | 85.00        | 5.0 |
| BAIRD INVESTMENT | 047  | EWBC   | B   | 3,300  | 21.55  | n/a | n/a      | 165.00       | 5.0 |
| PATTEN & PATTEN  | 025  | EXC    | S   | 750    | 28.50  | n/a | n/a      | 37.50        | 5.0 |
| GALT INVESTMENT  | 041  | EXPR   | S   | 25,000 | 11.90  | n/a | n/a      | 1,250.00     | 5.0 |
| BAIRD INVESTMENT | 047  | FAST   | B   | 1,800  | 41.17  | n/a | n/a      | 90.00        | 5.0 |
| BAIRD INVESTMENT | 047  | FFIV   | B   | 400    | 92.05  | n/a | 25-Oct   | 20.00        | 5.0 |

| Account          | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |     |
|------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| BAIRD INVESTMENT | 047  | FIRE   | B   | 1,700   | 47.00 | n/a | n/a      | 85.00       | 5.0 |
| BAIRD INVESTMENT | 047  | FLR    | B   | 1,300   | 53.55 | n/a | n/a      | 65.00       | 5.0 |
| PECONIC PARTNERS | 036  | F      | B   | 300,000 | 11.02 | n/a | 15-Nov   | 15,000.00   | 0.0 |
| BAIRD INVESTMENT | 047  | GHL    | B   | 1,400   | 46.50 | n/a | n/a      | 70.00       | 5.0 |
| OZ MGMT          | 040  | GM     | S   | 57,511  | 25.09 | n/a | 15-Nov   | 1,725.33    | 0.0 |
| BAIRD INVESTMENT | 047  | HMSY   | B   | 2,400   | 23.10 | n/a | n/a      | 120.00      | 5.0 |
| BAIRD INVESTMENT | 047  | ICLR   | B   | 3,200   | 27.49 | n/a | n/a      | 160.00      | 5.0 |
| BAIRD INVESTMENT | 047  | IHG    | B   | 2,700   | 27.08 | n/a | n/a      | 135.00      | 5.0 |
| BAIRD INVESTMENT | 047  | ILMN   | B   | 2,100   | 52.92 | n/a | n/a      | 105.00      | 5.0 |
| BAIRD INVESTMENT | 047  | IVZ    | B   | 3,700   | 24.67 | n/a | 2-Mar    | 185.00      | 5.0 |
| BAIRD INVESTMENT | 047  | JBHT   | B   | 1,700   | 59.30 | n/a | n/a      | 85.00       | 5.0 |
| BAIRD INVESTMENT | 047  | JOY    | B   | 1,100   | 56.63 | n/a | 11-Jul   | 55.00       | 5.0 |
| PZENA INV ADV    | 044  | JPM    | S   | 2,775   | 41.10 | n/a | 19-Nov   | 97.13       | 0.0 |
| BAIRD INVESTMENT | 047  | LKQ    | B   | 2,300   | 21.99 | n/a | n/a      | 115.00      | 5.0 |
| BAIRD INVESTMENT | 047  | MAN    | B   | 1,900   | 38.03 | n/a | n/a      | 95.00       | 5.0 |

| Account          | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |     |
|------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| BAIRD INVESTMENT | 047  | MCHP   | B   | 1,400  | 29.81  | n/a | n/a      | 70.00       | 5.0 |
| BAIRD INVESTMENT | 047  | MKC    | B   | 1,600  | 65.95  | n/a | n/a      | 80.00       | 5.0 |
| BAIRD INVESTMENT | 047  | OII    | B   | 1,800  | 54.02  | n/a | n/a      | 90.00       | 5.0 |
| BAIRD INVESTMENT | 047  | ORLY   | B   | 1,400  | 92.82  | n/a | n/a      | 70.00       | 5.0 |
| SCOPUS FUND      | 041  | PAG    | B   | 10,000 | 28.56  | n/a | 5-Nov    | 400.00      | 4.0 |
| BAIRD INVESTMENT | 047  | PII    | B   | 600    | 84.15  | n/a | n/a      | 30.00       | 5.0 |
| BAIRD INVESTMENT | 047  | PLT    | B   | 1,300  | 32.86  | n/a | n/a      | 65.00       | 5.0 |
| BAIRD INVESTMENT | 047  | PLXS   | B   | 2,300  | 22.30  | n/a | n/a      | 115.00      | 5.0 |
| BAIRD INVESTMENT | 047  | PRGO   | B   | 1,000  | 103.05 | n/a | 19-Nov   | 50.00       | 5.0 |
| BAIRD INVESTMENT | 047  | PVH    | B   | 500    | 110.47 | n/a | 1-Nov    | 25.00       | 5.0 |
| BAIRD INVESTMENT | 047  | ROK    | B   | 1,100  | 78.07  | n/a | n/a      | 55.00       | 5.0 |
| BAIRD INVESTMENT | 047  | ROP    | B   | 700    | 113.05 | n/a | n/a      | 35.00       | 5.0 |
| BAIRD INVESTMENT | 047  | RVBD   | B   | 2,200  | 17.62  | n/a | n/a      | 110.00      | 5.0 |
| OZ MGMT          | 040  | SBUX   | B   | 25,022 | 51.27  | n/a | 15-Nov   | 750.66      | 0.0 |
| COOKBIELER       | 028  | SFG    | B   | 70,500 | 33.34  | n/a | n/a      | 2,820.00    | 0.0 |

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|------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| BAIRD INVESTMENT | 047  | SRCL   | B   | 900     | 92.15 | n/a | n/a      | 45.00        | 5.0 |
| BAIRD INVESTMENT | 047  | SWKS   | B   | 3,000   | 21.71 | n/a | n/a      | 150.00       | 5.0 |
| BAIRD INVESTMENT | 047  | TDC    | B   | 1,500   | 61.57 | n/a | n/a      | 75.00        | 5.0 |
| BAIRD INVESTMENT | 047  | TIF    | B   | 1,100   | 62.18 | n/a | n/a      | 55.00        | 5.0 |
| CORNERSTONE      | 030  | TIF    | S   | 128,388 | 62.07 | n/a | n/a      | 3,851.64     | 0.0 |
| BAIRD INVESTMENT | 047  | TRMB   | B   | 1,500   | 54.80 | n/a | n/a      | 75.00        | 5.0 |
| BAIRD INVESTMENT | 047  | TSCO   | B   | 800     | 90.67 | n/a | n/a      | 40.00        | 5.0 |
| BAIRD INVESTMENT | 047  | UA     | B   | 1,500   | 52.36 | n/a | 26-Oct   | 75.00        | 5.0 |
| BAIRD INVESTMENT | 047  | ULTA   | B   | 1,000   | 91.84 | n/a | n/a      | 50.00        | 5.0 |
| BAIRD INVESTMENT | 047  | URBN   | B   | 2,600   | 37.60 | n/a | n/a      | 130.00       | 5.0 |
| BAIRD INVESTMENT | 047  | WBC    | B   | 1,300   | 60.65 | n/a | 8-Nov    | 65.00        | 5.0 |
| BAIRD INVESTMENT | 047  | WLL    | B   | 1,500   | 44.81 | n/a | n/a      | 75.00        | 5.0 |
| BAIRD INVESTMENT | 047  | WSO    | B   | 1,000   | 72.62 | n/a | n/a      | 50.00        | 5.0 |
| PATTEN & PATTEN  | 025  | XOM    | B   | 250     | 88.82 | n/a | n/a      | 12.50        | 5.0 |
| BAIRD INVESTMENT | 047  | ZBRA   | B   | 1,500   | 38.91 | n/a | n/a      | 75.00        | 5.0 |

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**TOTAL (Trade Date):**

**31,260.64**

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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): |  |  |  |  |  |  |  |  | 31,260.64 |
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|                       |  |  |  |  |  |  |  |  |      |
|-----------------------|--|--|--|--|--|--|--|--|------|
| TOTAL (AO, CXL, CRT): |  |  |  |  |  |  |  |  | 0.00 |
|-----------------------|--|--|--|--|--|--|--|--|------|

|                         |  |  |  |  |  |  |  |  |           |
|-------------------------|--|--|--|--|--|--|--|--|-----------|
| TOTAL (RUN DATE) / NFS: |  |  |  |  |  |  |  |  | 31,260.64 |
|-------------------------|--|--|--|--|--|--|--|--|-----------|

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