



Daily Compliance Activity Report

Trade Date: 10/17/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	ACMR	S	25,000	20.84	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	ADBE	B	2,050	37.99	n/a	n/a	102.50	5.0
SUNOVA CAPITAL	031	AMG	S	35,660	94.93	13-Oct	16-Oct	1,783.00	5.0
IVORY CAPITAL	034	AMR	S	150,000	23.79	n/a	n/a	7,500.00	5.0
APEX CAPITAL MGMT.	002	ANF	S	85,000	75.64	31-Aug	6-Oct	4,250.00	5.0
COUGAR TRADING	044	ANF	B	10,000	75.63	31-Aug	6-Oct	500.00	5.0
W.D.WITTER	040	ANF	S	3,800	75.06	31-Aug	6-Oct	190.00	5.0
J L F ASSET MGMT	039	ANN	B	2,700	41.82	6-Jul	6-Oct	108.00	4.0
LISTED ERR	099	ARO	S	100	30.22	6-Jul	6-Oct	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	24,300	29.92	6-Jul	6-Oct	972.00	4.0
PATTEN & PATTEN	067	ASD	S	225	43.52	2-Oct	17-Oct	11.25	5.0
PATTEN & PATTEN	067	ASO	S	500	30.55	n/a	n/a	25.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AVZ	B	102,900	22.45	6-Sep	18-Oct	4,116.00	4.0
HARRIS ASSOCIATES	031	AXP	S	600	57.55	n/a	n/a	24.00	4.0
HARVEST MGMT	039	BBW	S	5,000	27.48	n/a	n/a	250.00	5.0
THIRD COAST CAPITAL	035	BBW	S	20,000	27.38	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BEN	B	10,000	105.57	6-Oct	16-Oct	500.00	5.0
LEDDY	035	BLK	S	350	149.29	13-Oct	18-Oct	0.00	0.0
PATTEN & PATTEN	067	BTU	B	1,100	41.73	n/a	n/a	55.00	5.0
HARRIS ASSOCIATES	031	C	S	1,500	49.81	n/a	12-Oct	60.00	4.0
BEAR STEARNS ASSET MGMT.	033	CAKE	B	30,000	27.65	28-Jun	4-Oct	1,200.00	4.0
J L F ASSET MGMT	039	CCE	S	21,400	20.91	n/a	n/a	856.00	4.0
FRIESS MGMT	042	CCK	B	314,500	18.74	n/a	n/a	14,152.50	4.5
HARRIS ASSOCIATES	031	CCL	S	400	47.27	n/a	26-Jan	16.00	4.0
PROVIDENT INV COUNSEL	048	CCOI	B	39,061	13.48	n/a	n/a	1,953.05	5.0
APEX CAPITAL MGMT.	002	CHS	B	40,000	23.91	11-Oct	13-Oct	2,000.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	S	20,000	66.03	7-Aug	17-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	COH	S	45,000	35.83	n/a	25-Sep	1,800.00	4.0
LATEFF MGMT	040	CVS	B	7,500	31.15	n/a	n/a	825.00	11.0
MCCARTAN	029	DBD	S	100	42.90	n/a	15-Sep	0.00	0.0
CENTURION PARTNERS	244	DBRN	B	30,000	21.40	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	DG	B	1,800	13.57	21-Aug	13-Oct	90.00	5.0
APEX CAPITAL MGMT.	002	EMC	B	115,000	12.31	n/a	n/a	5,750.00	5.0
BARR	096	EMKR	S	2,500	5.93	n/a	n/a	0.00	0.0
MKT MAKER	099	ENDP	B	800	33.96	16-Oct	16-Oct	0.00	0.0
J L F ASSET MGMT	039	ENR	B	11,700	76.42	n/a	n/a	468.00	4.0
PATTEN & PATTEN	067	FHN	B	3,850	38.87	n/a	n/a	192.50	5.0
MKT MAKER	099	FINL	S	2,000	13.58	n/a	22-Sep	0.00	0.0
FIRST INV MGMT CORP	036	FL	B	30,600	23.50	n/a	18-Aug	1,530.00	5.0
HIGHFIELDS CAP MGMT	039	FLE	S	134,357	7.85	n/a	n/a	4,030.71	3.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	37.10	n/a	10-Jan	400.00	4.0
J L F ASSET MGMT	039	GCO	S	45,300	36.96	n/a	10-Jan	1,812.00	4.0
MILLENIUM PARTNERS	028	GLBC	B	28,100	23.30	n/a	n/a	1,405.00	5.0
GALLEON MGMT LP	033	GW	S	75,000	6.80	n/a	n/a	3,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	HET	S	90,771	74.00	3-Oct	3-Oct	4,538.55	5.0
ENTRUST CAPITAL	040	HET	B	20,000	74.00	3-Oct	3-Oct	1,000.00	5.0
TRIBECA	038	IFIN	S	400	43.25	n/a	n/a	16.00	4.0

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BINDER	007	INTC	S	300	20.85	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ITT	B	2,300	54.32	2-Oct	2-Oct	115.00	5.0
MORGAN LEWIS/MLH	046	ITW	S	20,000	49.11	n/a	n/a	1,000.00	5.0
GABELLI FUNDS	037	JLG	B	20,000	27.55	n/a	n/a	1,000.00	5.0
HARRIS ASSOCIATES	031	JPM	S	2,000	47.68	n/a	12-Oct	80.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	45,000	46.24	5-Oct	6-Oct	1,800.00	4.0
PATTEN & PATTEN	067	KO	B	600	43.79	n/a	n/a	30.00	5.0
CUMBERLAND	038	KSS	B	25,000	69.83	2-Oct	6-Oct	1,000.00	4.0
SAC TRADING HOWARD	038	KWD	B	12,000	30.71	n/a	n/a	600.00	5.0
BUCK	015	LGND	S	3,000	11.37	n/a	n/a	0.00	0.0
CANT	040	LRCX	B	435,000	50.52	n/a	n/a	13,050.00	3.0
IRON HORSE CAPITAL MGMT	038	LVLTT	B	25,000	5.61	17-Oct	18-Sep	750.00	3.0
SIGMA CAPITAL ASSOCIATES	034	LVLTT	B	450,000	5.51	17-Oct	18-Sep	15,750.00	3.5
BARR	096	MAG	S	3,500	4.24	n/a	n/a	0.00	0.0
HARRIS ASSOCIATES	031	MCD	S	600	41.76	12-Oct	12-Oct	24.00	4.0
APEX CAPITAL MGMT.	002	MOT	B	60,000	24.86	n/a	n/a	3,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARRIS ASSOCIATES	031	MS	S	500	75.99	20-Sep	12-Oct	20.00	4.0
BALYASNY ASSET MGMT	044	MU	B	50,000	14.54	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	25,000	50.57	n/a	n/a	1,000.00	4.0
LISTED ERR	099	PDCO	B	5,000	33.25	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	PH	S	39,300	83.08	n/a	n/a	1,572.00	4.0
PATTEN & PATTEN	067	PHO	B	2,200	17.84	n/a	n/a	110.00	5.0
LEEDS	002	PPCO	S	5,000	18.62	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	PRU	S	600	77.54	n/a	n/a	30.00	5.0
COUGAR TRADING	044	PSUN	S	5,000	17.03	3-Aug	6-Oct	250.00	5.0
BROOKSIDE CAPITAL PART	039	Q	B	500,000	8.23	n/a	n/a	20,000.00	4.0
WHITE PINE CAPITAL	030	RCKY	B	7,000	13.79	n/a	n/a	350.00	5.0
SEMINOLE CAP	036	RIO	B	200,000	23.88	n/a	n/a	10,000.00	5.0
APEX CAPITAL MGMT.	002	RL	S	16,200	69.18	18-Sep	19-Sep	810.00	5.0
BUCK CAPITAL MGMT	001	RL	S	40,000	69.20	18-Sep	19-Sep	1,600.00	4.0
SNYDER CAPITAL	038	SCHL	B	50,300	31.14	n/a	n/a	2,515.00	5.0
JENNISON	032	SCHW	B	38,200	16.71	n/a	n/a	1,604.40	4.2

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BINDER	007	SKS	S	500	18.31	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	SLB	S	134,300	60.91	n/a	n/a	5,372.00	4.0
ROTHSCHILD ASSET	040	SNA	B	2,200	45.07	n/a	n/a	99.00	4.5
PATTEN & PATTEN	067	SNE	B	100	39.86	n/a	n/a	5.00	5.0
U.S.TRUST COMPANY	012	SOV	S	25,000	23.42	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	SRZ	B	900	31.53	n/a	n/a	45.00	5.0
BUCK CAPITAL MGMT	001	TBL	S	5,000	29.40	19-Jul	5-Oct	200.00	4.0
APEX CAPITAL MGMT.	002	TGT	S	8,000	58.01	n/a	6-Oct	400.00	5.0
LEVIN CAPITAL STRATEGIES	012	TJX	B	10,000	29.03	5-Oct	6-Oct	400.00	4.0
BULL PATH CAPITAL	044	TROW	S	30,500	47.10	13-Oct	16-Oct	1,525.00	5.0
MAZAMA CAPITAL MGMT.	035	TWB	S	58,600	39.89	5-Sep	3-Oct	2,344.00	4.0
BINDER	007	TWX	S	200	19.29	n/a	n/a	0.00	0.0
HARRIS ASSOCIATES	031	TWX	S	1,100	19.26	n/a	n/a	44.00	4.0
MILLENIUUM PARTNERS	028	UCO	B	10,000	56.35	10-Oct	17-Oct	400.00	4.0
SINCLAIR	031	UFPI	B	300	48.00	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	UNH	S	250	46.70	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	URBN	S	40,000	19.22	5-Oct	6-Oct	2,000.00	5.0
CARLSON CAPITAL	031	USB	S	200,000	33.24	n/a	n/a	10,000.00	5.0
CARLSON CAPITAL	031	WFC	B	180,000	36.45	n/a	n/a	9,000.00	5.0
MUHLENKAMP FUND	046	WHR	S	100,000	86.95	n/a	n/a	5,000.00	5.0
APEX CAPITAL MGMT.	002	WMT	S	7,000	47.96	5-Oct	6-Oct	350.00	5.0
COUGAR TRADING	044	WMT	S	5,000	47.74	5-Oct	6-Oct	250.00	5.0
MKT MAKER	099	WRNC	S	273	20.62	5-Sep	15-Sep	0.00	0.0
APEX CAPITAL MGMT.	002	WRNC	S	25,000	20.55	5-Sep	15-Sep	1,250.00	5.0
SNYDER CAPITAL	038	WSM	B	13,400	32.75	n/a	n/a	670.00	5.0
PATTEN & PATTEN	067	WWY	S	400	45.93	n/a	n/a	20.00	5.0
BUCK	015	WY	S	400	64.47	20-Sep	17-Oct	0.00	0.0
GOLD SACHS SPECIAL SIT	037	WY	S	18,000	64.25	20-Sep	17-Oct	900.00	5.0
DAVIDSON KEMPNER ADVISOR	217	XHB	B	170,000	34.33	n/a	n/a	8,500.00	5.0
EFSTATHIOU	044	XOHO	B	1,000	3.80	n/a	n/a	0.00	0.0
SINCLAIR	031	XOHO	B	3,000	3.94	n/a	n/a	0.00	0.0
LEDDY	035	XOHO	B	2,500	3.94	n/a	n/a	0.00	0.0
MCCARTAN	028	XOHO	B	1,000	3.92	n/a	n/a	0.00	0.0
HARRIS ASSOCIATES	031	XRX	S	600	16.07	n/a	n/a	24.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHFIELDS CAP MGMT	039	YHOO	S	50,000	24.25	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	ZQK	S	5,000	13.85	8-Sep	8-Sep	250.00	5.0
TOTAL:								204,852.96	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	LISTED ERR (LISTED ERR)	099	ARO	B	100	30.53	6-Jul	6-Oct	0.00	0.0
AO,CXL	J L F ASSET MGMT (JLFAMAIN)	039	ARO	B	68,200	30.53	6-Jul	6-Oct	2,728.00	4.0
AO,	J L F ASSET MGMT (JLFAMAIN)	039	ARO	B	68,100	30.53	6-Jul	6-Oct	2,724.00	4.0
AO,CXL	CAPITAL GROWTH MGMT. (CAPG4892)	241	CLB	S	20,000	64.75	7-Aug	17-Oct	1,000.00	5.0
AO,	CAPITAL GROWTH MGMT. (CAPG4810)	241	CLB	S	20,000	64.75	7-Aug	17-Oct	1,000.00	5.0
AO,	TRIVIUM CAP MGMT (TRIVDEUTSC)	028	FINL	S	50,000	13.60	n/a	22-Sep	2,000.00	4.0
AO,CXL	TRIBECA (TRIBMS MAI)	038	IMH	S	2,600	9.95	n/a	n/a	130.00	5.0
AO,	TRIBECA/DOUG (TRIDMS)	040	IMH	S	2,600	9.95	n/a	n/a	104.00	4.0
AO,	LISTED ERR (LISTED ERR)	099	PDCO	S	5,000	33.77	n/a	n/a	0.00	0.0
AO,CXL	LEEDS (LEEDS)	002	PDCO	S	5,000	33.77	n/a	n/a	0.00	0.0
AO,	SENECA CAPITAL LP NY (SENEMORGAN)	028	SAI	S	42,000	18.52	n/a	n/a	2,100.00	5.0
AO,CXL	HIGHBRIDGE CAPITAL (HIGBNEW)	038	SPY	B	11,500	136.88	n/a	n/a	575.00	5.0
AO,	HIGHBRIDGE CAPITAL (HIGBNEW)	038	SPY	B	11,500	136.88	n/a	n/a	345.00	3.0

Legend:

Blue: Employee and Proprietary Trades.

Red: Trades in stocks with same day Research/MRI.

Type: AO = As Of, CXL = Cancel, CRT = Corrected.