



Daily Compliance Activity Report

Trade Date: 12/04/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	AEM	SS	100,000	44.84	n/a	n/a	3,000.00	3.0
BALYASNY ASSET MGMT	044	AMG	B	5,000	102.99	25-Oct	28-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	ANF	SS	30,000	67.68	26-Oct	1-Dec	1,200.00	4.0
COUGAR TRADING	044	ANF	S	10,000	67.86	26-Oct	1-Dec	500.00	5.0
VISIUM/BALY HOWARD	038	ANN	S	20,000	34.41	6-Jul	1-Dec	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	45,000	30.19	23-Oct	1-Dec	1,800.00	4.0
DEMARTINI	065	AVNX	S	5,000	1.82	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	BAC	B	50,600	52.58	19-Jul	20-Nov	2,024.00	4.0
ROBERTSON STEVENS BC	033	BBW	S	14,200	30.17	n/a	n/a	568.00	4.0
JP MORGAN VENTURES	046	BIG	C	15,000	22.96	16-Nov	1-Dec	750.00	5.0
THE JAY GOLDMAN	034	BJ	B	15,000	32.13	n/a	1-Dec	600.00	4.0
PATTEN & PATTEN	067	BK	S	1,600	38.90	5-Dec	5-Dec	80.00	5.0
IMPALA ASSET MMT	012	BNI	B	40,000	76.71	n/a	n/a	1,200.00	3.0
CENTURION PARTNERS	249	BONT	B	7,000	38.05	23-Oct	1-Dec	350.00	5.0
PEREGRINE	030	BONT	S	49,000	39.24	23-Oct	1-Dec	2,450.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECRST PARTNERS	035	BONT	B	10,000	38.43	23-Oct	1-Dec	500.00	5.0
WHALE ROCK CAP	030	BONT	B	110,000	38.54	23-Oct	1-Dec	4,400.00	4.0
WHITE PINE CAPITAL	030	BONT	B	500	38.81	23-Oct	1-Dec	25.00	5.0
BUCK CAPITAL MGMT	001	BWS	SS	20,000	46.88	n/a	n/a	800.00	4.0
WHITE PINE CAPITAL	030	C	B	500	50.01	n/a	13-Nov	25.00	5.0
IMPALA ASSET MMT	012	CAL	S	135,200	40.58	n/a	n/a	4,056.00	3.0
LEDDY	035	CBK	S	800	18.51	2-Nov	1-Dec	0.00	0.0
ADAGE CAPITAL MGMT	030	CC	SS	200,000	25.33	n/a	16-Nov	8,000.00	4.0
IMPALA ASSET MMT	012	CENX	B	117,700	44.66	n/a	n/a	3,531.00	3.0
CARDINAL CAPITAL	044	CHE	B	700	37.09	n/a	n/a	35.00	5.0
HOOVER INV. MGMT	033	CHIC	B	87,500	31.36	n/a	n/a	4,375.00	5.0
IMPALA ASSET MMT	012	CHRW	S	63,958	43.04	n/a	n/a	1,918.74	3.0
BALYASNY ASSET MGMT	044	CIT	B	15,000	51.86	n/a	n/a	750.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	B	15,000	88.36	8-Nov	22-Nov	750.00	5.0
CASTLE ARK	031	CME	S	6,700	529.69	n/a	13-Nov	402.00	6.0
CAPITAL GROWTH MGMT.	241	CMI	B	25,000	121.72	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	034	COST	S	10,000	53.10	n/a	1-Dec	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	217	CVTX	SS	63,000	12.98	n/a	n/a	3,150.00	5.0
WHITE PINE CAPITAL	030	CVX	B	400	73.32	n/a	n/a	20.00	5.0
HIGHBRIDGE CAPITAL	038	CZN	B	39,000	14.19	n/a	n/a	1,950.00	5.0
BUCK CAPITAL MGMT	001	DKS	SS	10,000	55.05	n/a	n/a	400.00	4.0
KACELA CAPITAL	034	DLIA	S	22,200	10.46	n/a	n/a	888.00	4.0
BACKUS	005	DSW	S	500	39.27	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	ET	S	25,000	23.12	n/a	n/a	1,250.00	5.0
DAVIS ADV	040	EXPE	S	50,000	18.52	n/a	n/a	1,500.00	3.0
MAGNETAR FINANCIAL	247	F	SS	600,000	7.94	n/a	n/a	18,000.00	3.0
LOCUS WOOD CAPITAL MGMT	044	FD	S	26,830	41.07	9-Nov	5-Dec	1,341.50	5.0
BALYASNY ASSET MGMT	044	FII	S	20,000	33.11	n/a	28-Nov	1,000.00	5.0
WHITE PINE CAPITAL	030	GE	B	500	35.46	n/a	n/a	25.00	5.0
MKT MAKER	099	GHCI	B	3	48.34	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	GMT	S	40,600	49.79	n/a	n/a	1,218.00	3.0
FRIESS MGMT	042	GRP	B	195,400	44.41	n/a	n/a	8,793.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	GS	S	1,500	196.07	6-Nov	13-Nov	75.00	5.0
IMPALA ASSET MMT	012	GS	SS	50,000	79.82	6-Nov	13-Nov	1,500.00	3.0
IMPALA ASSET MMT	012	GT	B	75,000	16.68	n/a	n/a	2,250.00	3.0
COUGAR TRADING	044	GYMB	SS	5,000	40.12	30-Nov	1-Dec	250.00	5.0
BACKUS	005	ICON	S	3,900	18.37	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	8,500	2.48	n/a	n/a	255.00	3.0
IMPALA ASSET MMT	012	JBHT	B	221,300	21.32	n/a	n/a	6,639.00	3.0
IMPALA ASSET MMT	012	JBLU	B	123,000	13.78	n/a	n/a	3,690.00	3.0
BELAY CAPITAL	039	KSS	B	9,800	70.67	9-Nov	1-Dec	490.00	5.0
IMPALA ASSET MMT	012	KWK	B	205,000	42.13	n/a	n/a	6,150.00	3.0
IMPALA ASSET MMT	012	LSTR	SS	46,000	42.45	n/a	n/a	1,380.00	3.0
IMPALA ASSET MMT	012	MAR	B	179,000	46.38	n/a	n/a	5,370.00	3.0
BACKUS	005	MIR	S	1,000	31.04	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	MRK	S	50,000	44.97	n/a	n/a	2,500.00	5.0
WHITE PINE CAPITAL	030	MSFT	B	1,000	29.42	n/a	3-Apr	50.00	5.0
REICH AND TANG	037	NAV	S	8,000	32.93	n/a	n/a	400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NKE	B	9,100	96.79	n/a	n/a	364.00	4.0
BUCK CAPITAL MGMT	001	NKE	SS	20,000	97.24	n/a	n/a	800.00	4.0
RH CAPITAL ASSOCIATES	060	NKTR	B	25,000	16.74	n/a	n/a	1,000.00	4.0
IMPALA ASSET MMT	012	NOV	B	130,000	66.90	n/a	n/a	3,900.00	3.0
MS PRINCIPAL STRATEGIES	040	NUE	SS	12,200	63.65	n/a	n/a	610.00	5.0
BACKUS	005	NWY	S	1,000	13.06	30-Nov	1-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	OXM	S	15,000	51.33	n/a	n/a	600.00	4.0
WHEELER	008	PFE	B	5,000	24.67	n/a	31-Mar	0.00	0.0
WHITE PINE CAPITAL	030	PFE	B	2,000	24.63	n/a	31-Mar	100.00	5.0
WHITE PINE CAPITAL	030	PG	B	500	63.47	31-Oct	5-Dec	25.00	5.0
MKT MAKER	099	PLCE	S	100	66.53	n/a	30-Nov	0.00	0.0
LOOMIS SALES/BOSTON	036	PFC	C	129,900	27.87	n/a	n/a	6,495.00	5.0
IMPALA ASSET MMT	012	PPP	B	85,000	53.27	n/a	n/a	2,550.00	3.0
BACKUS	005	PSUN	S	2,250	19.64	3-Aug	1-Dec	0.00	0.0
WHEELER	008	PTNX	S	4,551	12.49	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	Q	B	60,000	7.81	n/a	n/a	3,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	Q	B	1,000	7.87	n/a	n/a	50.00	5.0
IMPALA ASSET MMT	012	R	S	25,000	52.24	n/a	n/a	750.00	3.0
IMPALA ASSET MMT	012	RCL	S	95,000	41.54	n/a	1-Nov	2,850.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	13,900	79.62	9-Nov	9-Nov	556.00	4.0
IMPALA ASSET MMT	012	RS	B	225,000	39.06	n/a	n/a	6,750.00	3.0
BACKUS	005	RVI	S	3,000	19.34	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	S	B	1,500	19.71	n/a	n/a	75.00	5.0
IMPALA ASSET MMT	012	SAIA	SS	27,366	24.96	n/a	n/a	820.98	3.0
LEDDY	035	SCSS	B	600	18.21	n/a	n/a	0.00	0.0
BARR	096	SFUN	B	1,000	16.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	35,000	30.61	n/a	26-Oct	1,400.00	4.0
PATTEN & PATTEN	067	SLB	B	150	68.81	n/a	n/a	7.50	5.0
OPPENHEIMER MGMT.	036	SLM	B	100,000	46.36	n/a	n/a	4,000.00	4.0
AMBER CAPITAL	046	SMF	B	29,700	18.69	n/a	n/a	1,188.00	4.0
MKT MAKER	099	SPAR	B	702	21.90	n/a	n/a	0.00	0.0
HIGHLINE ADV	044	SPY	B	90,000	140.54	n/a	n/a	4,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BACKUS	005	SWN	S	1,000	41.49	17-Nov	22-Nov	0.00	0.0
BACKUS	005	TBL	S	3,000	32.22	14-Nov	15-Nov	0.00	0.0
FRIESS MGMT	042	TJX	S	165,400	27.72	5-Oct	1-Dec	7,443.00	4.5
GAULT	063	TRLG	B	1,500	15.19	n/a	n/a	0.00	0.0
DEMARTINI	065	TRLG	B	2,000	15.19	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	SS	20,000	42.71	5-Sep	16-Nov	800.00	4.0
MAGNETAR FINANCIAL	247	TWTC	SS	13,000	19.66	25-Aug	1-Dec	520.00	4.0
TROUBH PART	067	TWTC	B	20,000	19.50	25-Aug	1-Dec	1,000.00	5.0
IMPALA ASSET MMT	012	UAUA	B	46,800	40.55	n/a	n/a	1,404.00	3.0
BARR	096	VDSI	B	200	11.99	n/a	n/a	0.00	0.0
SAILFISH	037	WAG	SS	10,000	41.27	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	WIN	B	44,000	13.81	n/a	n/a	2,200.00	5.0
DC CAPITAL	044	WMT	S	50,000	46.30	5-Oct	1-Dec	2,500.00	5.0
FARBER/WEISS PECK	012	YUM	SS	18,000	60.95	n/a	12-Oct	900.00	5.0
TOTAL (Trade Date):							177,082.72		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/01	ROBERTSON STEVENS BC (RSBC60)	033	AES	B	104,900	23.41	n/a	n/a	4196.00 4.0
AO,	12/01	ROBERTSON STEVENS BC (RSBC61)	033	AES	B	129,700	23.41	n/a	n/a	5188.00 4.0
AO,	12/01	ROBERTSON STEVENS BC (RSBC300)	033	AES	B	37,300	23.41	n/a	n/a	1492.00 4.0
AO,	12/01	ROBERTSON STEVENS BC (RSBC304)	033	AES	B	16,300	23.41	n/a	n/a	652.00 4.0
AO,	12/01	ROBERTSON STEVENS BC (RSBC60)	033	AES	B	11,800	23.41	n/a	n/a	472.00 4.0
AO,CRT	12/01	MKT MAKER (MKT MAKER)	099	AMRN	S	25	2.40	n/a	n/a	0.00 0.0
AO,CXL	12/01	COUGAR TRADING (COUGPB MS)	031	ANF	B	5,000	67.57	26-Oct	1-Dec	250.00 5.0
AO,	12/01	COUGAR TRADING (COUGPB MS)	044	ANF	B	5,000	67.57	26-Oct	1-Dec	250.00 5.0
AO,	12/01	GLG PARTNERS (GLGPMAIN L)	034	ANN	S	50,000	34.20	6-Jul	1-Dec	2500.00 5.0
AO,CXL	12/01	COUGAR TRADING (COUGPB MS)	031	BIG	SS	5,000	21.82	16-Nov	1-Dec	250.00 5.0
AO,	12/01	COUGAR TRADING (COUGPB MS)	044	BIG	SS	5,000	21.82	16-Nov	1-Dec	250.00 5.0
AO,	12/01	BECK MACK & OLIVER LLC (BMOL2030)	044	BMD	B	1,000	2.74	n/a	n/a	30.00 3.0
AO,CXL	12/01	BECK MACK & OLIVER LLC (BMOL2034)	044	BMD	B	1,000	2.74	n/a	n/a	30.00 3.0
AO,CXL	12/01	SUN AMERICA ASSET MGMT (SUNAJUBG)	030	BSC	B	22,300	151.09	n/a	13-Nov	1115.00 5.0
AO,	12/01	SUN AMERICA ASSET MGMT (SUNAJUBG)	030	BSC	B	22,900	151.09	n/a	13-Nov	1145.00 5.0
AO,	12/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	CRI	B	10,000	27.05	n/a	n/a	400.00 4.0
AO,CXL	12/01	SAILFISH (SAILG2)	037	CSX	SS	10,000	36.14	n/a	n/a	500.00 5.0
AO,CXL	12/01	SAILFISH (SAILG2)	037	CSX	SS	15,000	35.82	n/a	n/a	750.00 5.0
AO,	12/01	SAILFISH (SAILG2)	037	CSX	SS	10,000	36.14	n/a	n/a	400.00 4.0
AO,	12/01	SAILFISH (SAILG2)	037	CSX	SS	15,000	35.82	n/a	n/a	600.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/01	SAILFISH (SAILG2)	037	DISH	SS	15,000	36.16	7-Nov	28-Nov	750.00 5.0
AO,	12/01	SAILFISH (SAILG2)	037	DISH	SS	15,000	36.16	7-Nov	28-Nov	600.00 4.0
AO,CXL	12/01	WEISS PECK (PECKOPPVAL)	040	JNS	SS	19,800	20.12	30-Nov	1-Dec	990.00 5.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM997)	036	MHS	B	3,900	49.08	n/a	n/a	156.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM997)	036	MHS	B	3,900	49.98	n/a	n/a	156.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM225)	036	MHS	B	8,400	49.08	n/a	n/a	336.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM225)	036	MHS	B	8,400	49.98	n/a	n/a	336.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM998)	036	MHS	B	8,100	49.08	n/a	n/a	324.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM600)	036	MHS	B	2,100	49.08	n/a	n/a	84.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM998)	036	MHS	B	8,100	49.98	n/a	n/a	324.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM600)	036	MHS	B	2,100	49.98	n/a	n/a	84.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM130)	036	MHS	B	23,200	49.08	n/a	n/a	928.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM642)	036	MHS	B	100	49.08	n/a	n/a	4.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM130)	036	MHS	B	23,200	49.98	n/a	n/a	928.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM642)	036	MHS	B	100	49.98	n/a	n/a	4.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM34)	036	MHS	B	13,000	49.08	n/a	n/a	520.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM950)	036	MHS	B	200	49.08	n/a	n/a	8.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM34)	036	MHS	B	13,000	49.98	n/a	n/a	520.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM950)	036	MHS	B	200	49.98	n/a	n/a	8.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM66)	036	MHS	B	2,100	49.08	n/a	n/a	84.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM92)	036	MHS	B	200	49.08	n/a	n/a	8.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM66)	036	MHS	B	2,100	49.98	n/a	n/a	84.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM92)	036	MHS	B	200	49.98	n/a	n/a	8.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM672)	036	MHS	B	300	49.08	n/a	n/a	12.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM672)	036	MHS	B	300	49.98	n/a	n/a	12.00 4.0
AO,CXL	12/01	OPPENHEIMER MGMT. (OPPM9000)	036	MHS	B	300	49.08	n/a	n/a	12.00 4.0
AO,	12/01	OPPENHEIMER MGMT. (OPPM9000)	036	MHS	B	300	49.98	n/a	n/a	12.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	OMX	SS	20,000	46.60	n/a	15-Apr	800.00 4.0
AO,	12/01	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	OMX	SS	30,000	46.68	n/a	15-Apr	1200.00 4.0
AO,	12/01	SUSQUEHANNA CAPITAL (SUSQNO NAM)	033	PKG	S	25,000	22.31	26-Oct	27-Oct	1250.00 5.0
AO,CXL	12/01	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	56,000	7.59	n/a	n/a	2800.00 5.0
AO,	12/01	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	56,000	7.59	n/a	n/a	1680.00 3.0
AO,CXL	12/01	BECK MACK & OLIVER LLC (BMOL2044)	044	ROP	B	100	51.16	n/a	n/a	5.00 5.0
AO,	12/01	BECK MACK & OLIVER LLC (BMOL2043)	044	ROP	B	100	51.16	n/a	n/a	5.00 5.0
AO,CXL	11/21	REICH AND TANG (RICHMICROS)	037	SPAR	S	15,000	23.23	n/a	n/a	750.00 5.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW100)	036	TVL	SS	10	9.03	n/a	n/a	0.20 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW200)	036	TVL	SS	5	9.03	n/a	n/a	0.10 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW001)	036	TVL	SS	70	9.03	n/a	n/a	1.40 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW002)	036	TVL	SS	30	9.03	n/a	n/a	0.60 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW003)	036	TVL	SS	65	9.03	n/a	n/a	1.30 2.0
AO,	12/01	LOOMIS SALES/BOSTON (LOOMTBW004)	036	TVL	SS	20	9.03	n/a	n/a	0.40 2.0
AO,CXL	11/30	BARROW HANLEY MEWHINNEY (BARR)	096	UNFY	B	9,999	0.03	n/a	n/a	0.00 0.0
AO,	11/30	BARROW HANLEY MEWHINNEY (BARR)	096	UNFY	B	9,999	0.33	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										13,324.00

TOTAL (Trade Date) :

177,082.72

TOTAL (AO, CXL, CRT):

13,324.00

TOTAL (RUN DATE) / NFS:

190,406.72

Legend:

Blue: Employee and Proprietary Trades.

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

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