



Daily Compliance Activity Report

Trade Date: 10/23/2006

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| AMBER CAPITAL | 046 | ACXM | B | 32,563 | 25.33 | n/a | n/a | 1,302.52 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | AEOS | B | 25,000 | 45.94 | 23-Oct | 23-Oct | 1,250.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | AGE | S | 30,000 | 56.38 | n/a | n/a | 1,500.00 | 5.0 |
| AELTUS/ING IVESTMENT MGT | 237 | AMG | S | 29,975 | 94.11 | 13-Oct | 23-Oct | 1,199.00 | 4.0 |
| COUGAR TRADING | 044 | ANF | S | 10,000 | 77.66 | 31-Aug | 6-Oct | 500.00 | 5.0 |
| JP MORGAN VENTURES | 046 | ANF | B | 6,600 | 77.32 | 31-Aug | 6-Oct | 330.00 | 5.0 |
| COLONIAL FUND LLC | 036 | ARO | S | 25,000 | 28.87 | 23-Oct | 23-Oct | 1,250.00 | 5.0 |
| COUGAR TRADING | 044 | ARO | S | 15,000 | 29.02 | 23-Oct | 23-Oct | 750.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | ARO | B | 10,000 | 28.87 | 23-Oct | 23-Oct | 500.00 | 5.0 |
| LEVIN CAPITAL STRATEGIES | 012 | ARO | S | 25,000 | 29.18 | 23-Oct | 23-Oct | 1,000.00 | 4.0 |
| APEX CAPITAL MGMT. | 002 | AV | S | 50,000 | 11.87 | n/a | 22-Mar | 2,500.00 | 5.0 |
| TRUST CO/COWEN/CALF. | 040 | AVP | B | 280,600 | 30.30 | n/a | 17-Oct | 14,030.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | AVZ | B | 150,000 | 23.33 | 19-Oct | 23-Oct | 6,000.00 | 4.0 |
| HARRIS ASSOCIATES | 031 | BAX | S | 4,500 | 46.98 | n/a | 22-Apr | 180.00 | 4.0 |
| HIGHBRIDGE CAPITAL | 038 | BDK | B | 7,300 | 83.69 | n/a | n/a | 365.00 | 5.0 |
| FRIESS MGMT | 042 | BEAS | B | 926,400 | 16.11 | n/a | 3-Apr | 41,688.00 | 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|--------------|--------------|---------------|--------------|-------------|------------|
| BUCK CAPITAL MGMT | 001 | BKS | B | 30,000 | 40.87 | n/a | n/a | 1,200.00 | 4.0 |
| SINCLAIR | 031 | BLDP | S | 500 | 6.48 | n/a | n/a | 0.00 | 0.0 |
| MORGAN LEWIS/MLH | 046 | BTU | B | 10,000 | 41.55 | n/a | n/a | 500.00 | 5.0 |
| REINHART & MAHONEY | 031 | CAKE | S | 37,160 | 26.46 | 28-Jun | 4-Oct | 1,858.00 | 5.0 |
| LISTED ERR | 099 | CBK | B | 3,000 | 28.69 | 18-Sep | 2-Oct | 0.00 | 0.0 |
| LEDDY | 035 | CBK | S | 500 | 29.07 | 18-Sep | 2-Oct | 0.00 | 0.0 |
| LISTED ERR | 099 | CBK | S | 3,000 | 28.86 | 18-Sep | 2-Oct | 0.00 | 0.0 |
| BELMONT GLOBAL ADV | 248 | CBK | B | 12,000 | 29.11 | 18-Sep | 2-Oct | 600.00 | 5.0 |
| BRIGHTPOINT CAP | 067 | CBK | S | 3,000 | 28.85 | 18-Sep | 2-Oct | 150.00 | 5.0 |
| AELTUS/ING IVESTMENT MGT | 237 | CMC | B | 118,600 | 24.94 | n/a | n/a | 4,744.00 | 4.0 |
| MERRILL ASSET | 032 | CME | B | 47,700 | 492.42 | n/a | 18-Oct | 2,385.00 | 5.0 |
| AMBER CAPITAL | 046 | CPS | B | 16,712 | 35.52 | n/a | n/a | 668.48 | 4.0 |
| RBC CAPITAL MARKETS | 034 | DG | B | 50,000 | 13.87 | 21-Aug | 13-Oct | 2,500.00 | 5.0 |
| AMBER CAPITAL | 046 | DNB | B | 8,000 | 76.06 | n/a | n/a | 320.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | DSW | B | 10,000 | 34.06 | n/a | n/a | 400.00 | 4.0 |
| HIGHBRIDGE CAPITAL | 038 | ECL | B | 3,700 | 44.85 | n/a | 20-Oct | 185.00 | 5.0 |
| AMBER CAPITAL | 046 | EFX | B | 165,800 | 37.09 | n/a | n/a | 6,632.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| DG CAPITAL | 039 | EMC | B | 193,200 | 12.32 | n/a | n/a | 9,660.00 | 5.0 |
| EGS ASSOCIATES LP | 059 | FD | S | 3,500 | 43.94 | 23-Oct | 23-Oct | 210.00 | 6.0 |
| FIRST NEW YORK LEDDY | 035 | FD | B | 10,000 | 43.78 | 23-Oct | 23-Oct | 500.00 | 5.0 |
| LEVIN CAPITAL STRATEGIES | 012 | FD | S | 4,000 | 43.91 | 23-Oct | 23-Oct | 160.00 | 4.0 |
| AMBER CAPITAL | 046 | FIC | B | 21,825 | 36.70 | n/a | n/a | 873.00 | 4.0 |
| ASCEND PARTNERS | 033 | FII | S | 30,000 | 33.98 | 2-May | 23-Oct | 1,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | FL | S | 50,000 | 23.34 | n/a | 18-Aug | 2,000.00 | 4.0 |
| VANDER MOOLEN | 040 | HD | B | 5,000 | 36.24 | n/a | 16-Aug | 250.00 | 5.0 |
| AMBER CAPITAL | 046 | HHS | B | 22,360 | 27.26 | n/a | n/a | 894.40 | 4.0 |
| HARRIS ASSOCIATES | 031 | HOG | S | 5,400 | 67.83 | n/a | n/a | 216.00 | 4.0 |
| HARRIS ASSOCIATES | 031 | HPQ | S | 5,000 | 39.87 | n/a | n/a | 200.00 | 4.0 |
| LISTED ERR | 099 | HS | B | 2,000 | 20.07 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | HS | S | 2,000 | 20.07 | n/a | n/a | 0.00 | 0.0 |
| AMBER CAPITAL | 046 | IACI | B | 20,100 | 40.03 | n/a | n/a | 804.00 | 4.0 |
| MAGUIRE | 090 | IINT | S | 1,460 | 3.69 | n/a | n/a | 0.00 | 0.0 |
| MAGUIRE | 090 | IOM | B | 10,000 | 3.25 | n/a | n/a | 0.00 | 0.0 |
| AELTUS/ING INVESTMENT MGT | 237 | ITG | B | 15,900 | 48.03 | n/a | n/a | 636.00 | 4.0 |

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|--------------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|---------------|------------|
| AMBER CAPITAL | 046 | IUSA | B | 67,600 | 10.35 | n/a | n/a | 2,704.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | JAH | B | 17,500 | 35.58 | n/a | n/a | 875.00 | 5.0 |
| SINCLAIR | 031 | JBLU | B | 500 | 10.99 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | JCP | B | 10,000 | 75.91 | 23-Oct | 23-Oct | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JNY | B | 60,000 | 33.36 | n/a | 19-Oct | 2,400.00 | 4.0 |
| ROARING BLUE LION MGMT | 012 | JWN | S | 3,900 | 48.07 | 5-Oct | 6-Oct | 195.00 | 5.0 |
| CUMBERLAND | 038 | KSS | S | 25,000 | 71.51 | 2-Oct | 6-Oct | 1,000.00 | 4.0 |
| IRON HORSE CAPITAL MGMT | 038 | LM | S | 10,000 | 86.39 | 28-Jul | 23-Oct | 500.00 | 5.0 |
| BULL PATH CAPITAL | 044 | LTD | S | 29,500 | 28.99 | 5-Oct | 6-Oct | 1,475.00 | 5.0 |
| IRON HORSE CAPITAL MGMT | 038 | LVL | S | 100,000 | 5.89 | 17-Oct | 18-Oct | 3,000.00 | 3.0 |
| HARRIS ASSOCIATES | 031 | MCD | S | 5,200 | 41.95 | 12-Oct | 19-Oct | 208.00 | 4.0 |
| HIGHBRIDGE CAPITAL | 038 | MHK | B | 5,500 | 75.81 | n/a | n/a | 275.00 | 5.0 |
| HARRIS ASSOCIATES | 031 | MS | S | 5,000 | 77.45 | 20-Sep | 12-Oct | 200.00 | 4.0 |
| HARVEST MGMT | 039 | MW | B | 17,900 | 40.77 | n/a | n/a | 895.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | NDN | B | 70,000 | 12.72 | 11-Aug | 13-Oct | 2,800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|------------------|------------|
| BUCK CAPITAL MGMT | 001 | NWY | B | 60,000 | 13.07 | n/a | 5-Oct | 2,400.00 | 4.0 |
| MENCKE | 055 | OHI | B | 50 | 16.06 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | OXM | S | 5,000 | 53.05 | n/a | n/a | 200.00 | 4.0 |
| COUGAR TRADING | 044 | PLCE | B | 10,000 | 69.67 | 1-May | 6-Oct | 500.00 | 5.0 |
| SINCLAIR | 031 | PNRA | S | 100 | 66.39 | n/a | n/a | 0.00 | 0.0 |
| HIGHBRIDGE CAPITAL | 038 | ROH | B | 3,700 | 51.70 | 13-Oct | 19-Oct | 185.00 | 5.0 |
| PRIME CAPITAL | 048 | S | B | 150,000 | 17.09 | n/a | n/a | 7,500.00 | 5.0 |
| MENCKE | 055 | SGA | S | 100 | 8.10 | n/a | n/a | 0.00 | 0.0 |
| APEX CAPITAL MGMT. | 002 | SLAB | B | 43,000 | 32.94 | n/a | n/a | 2,150.00 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | SWK | B | 9,800 | 51.25 | n/a | n/a | 490.00 | 5.0 |
| SINCLAIR | 031 | SWN | S | 200 | 35.75 | 7-Aug | 23-Oct | 0.00 | 0.0 |
| CAXTON PART | 040 | T | S | 596,470 | 34.32 | 20-Sep | 23-Oct | 23,858.80 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TBL | S | 40,000 | 28.79 | 19-Jul | 23-Oct | 1,600.00 | 4.0 |
| CENTURION PARTNERS | 244 | TGT | B | 30,000 | 59.51 | n/a | 6-Oct | 1,500.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | TJX | B | 10,000 | 29.19 | 5-Oct | 6-Oct | 400.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| FRIESS MGMT | 042 | TLB | B | 250,000 | 28.83 | 2-Oct | 18-Oct | 11,250.00 | 4.5 |
| EQUINOX | 032 | TRI | S | 50,000 | 38.07 | 17-Oct | 17-Oct | 2,500.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | TS | S | 100,000 | 36.99 | n/a | n/a | 5,000.00 | 5.0 |
| SUN AMERICA ASSET MGMT | 030 | TWX | S | 46,400 | 19.64 | n/a | n/a | 2,320.00 | 5.0 |
| LEDDY | 035 | URBN | S | 800 | 18.61 | 5-Oct | 23-Oct | 0.00 | 0.0 |
| COUGAR TRADING | 044 | URBN | B | 5,000 | 18.44 | 5-Oct | 23-Oct | 250.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | WDR | B | 20,000 | 25.76 | 13-Oct | 23-Oct | 1,000.00 | 5.0 |
| SANDLER CAPITAL | 038 | WDR | S | 150,000 | 25.46 | 13-Oct | 23-Oct | 9,000.00 | 6.0 |
| COUGAR TRADING | 044 | WMT | B | 15,000 | 51.37 | 5-Oct | 24-Oct | 750.00 | 5.0 |
| HARRIS ASSOCIATES | 031 | WMT | S | 10,000 | 50.82 | 5-Oct | 24-Oct | 400.00 | 4.0 |
| SARAS CAPITAL | 038 | WMT | B | 10,000 | 50.41 | 5-Oct | 24-Oct | 500.00 | 5.0 |
| VICTORIA INVESTORS LP | 060 | WMT | B | 5,000 | 51.37 | 5-Oct | 24-Oct | 250.00 | 5.0 |
| LEDDY | 035 | WY | S | 500 | 64.14 | 20-Sep | 17-Oct | 0.00 | 0.0 |
| LEDDY | 035 | XOHO | B | 2,500 | 3.50 | n/a | n/a | 0.00 | 0.0 |
| PHILADELPHIA FINANCIAL | 031 | XPL | S | 95,377 | 13.48 | n/a | n/a | 4,768.85 | 5.0 |
| HARRIS ASSOCIATES | 031 | XRX | S | 5,000 | 16.37 | n/a | n/a | 200.00 | 4.0 |
| COUGAR TRADING | 044 | ZQK | S | 5,000 | 13.92 | 8-Sep | 8-Sep | 250.00 | 5.0 |

TOTAL :

210,540.05

Cancel/Corrects and As-Of Trades

| Type | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | | Comm.¢/Shr. | |
|--------|---------------------------------------|------|--------|-----|--------|-------|--------------|--------|-------------|-----|
| AO, | MKT MAKER (MKT MAKER) | 099 | ABFS | S | 100 | 44.93 | n/a | n/a | 0.00 | 0.0 |
| AO,CXL | UBS OCONNOR (UBSOWARBUR) | 031 | COST | S | 20,000 | 52.04 | n/a | 13-Oct | 1,000.00 | 5.0 |
| AO, | UBS OCONNOR (UBSOWARBUR) | 031 | COST | S | 20,000 | 52.04 | n/a | 13-Oct | 800.00 | 4.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBFLSTU) | 040 | NWY | B | 1,300 | 13.02 | n/a | 5-Oct | 65.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBPRUEMO) | 040 | NWY | B | 400 | 13.02 | n/a | 5-Oct | 20.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBFIRE &) | 040 | NWY | B | 2,500 | 13.02 | n/a | 5-Oct | 125.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBPRUEGR) | 040 | NWY | B | 400 | 13.02 | n/a | 5-Oct | 20.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBNYIRON) | 040 | NWY | B | 400 | 13.02 | n/a | 5-Oct | 20.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBLOCAL5) | 040 | NWY | B | 300 | 13.02 | n/a | 5-Oct | 15.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBLOCAL) | 040 | NWY | B | 400 | 13.02 | n/a | 5-Oct | 20.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBALPWFED) | 040 | NWY | B | 300 | 13.02 | n/a | 5-Oct | 15.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBENSIGN) | 040 | NWY | B | 28,200 | 13.02 | n/a | 5-Oct | 1,410.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBNONTEA) | 040 | NWY | B | 1,500 | 13.02 | n/a | 5-Oct | 75.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBEIB EN) | 040 | NWY | B | 1,000 | 13.02 | n/a | 5-Oct | 50.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBLA STA) | 040 | NWY | B | 6,000 | 13.02 | n/a | 5-Oct | 300.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBDESERE) | 040 | NWY | B | 3,900 | 13.02 | n/a | 5-Oct | 195.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBCITY) | 040 | NWY | B | 16,100 | 13.02 | n/a | 5-Oct | 805.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBASHLAN) | 040 | NWY | B | 2,500 | 13.02 | n/a | 5-Oct | 125.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBSHELBY) | 040 | NWY | B | 3,700 | 13.02 | n/a | 5-Oct | 185.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBARINC) | 040 | NWY | B | 1,800 | 13.02 | n/a | 5-Oct | 90.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBTEXAS) | 040 | NWY | B | 1,700 | 13.02 | n/a | 5-Oct | 85.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBNEWSPA) | 040 | NWY | B | 700 | 13.02 | n/a | 5-Oct | 35.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBANIXTE) | 040 | NWY | B | 1,200 | 13.02 | n/a | 5-Oct | 60.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNB SMALL) | 040 | NWY | B | 2,600 | 13.02 | n/a | 5-Oct | 130.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBCOMMON) | 040 | NWY | B | 1,500 | 13.02 | n/a | 5-Oct | 75.00 | 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBMISSOU) | 040 | NWY | B | 14,400 | 13.02 | n/a | 5-Oct | 720.00 | 5.0 |

| Type | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|--------------------------------------|------|--------|-----|--------|-------|-----|----------|--------------|
| AO, | THOMSON HORSTMAN BRYANT (THNBSCHNUC) | 040 | NWY | B | 300 | 13.02 | n/a | 5-Oct | 15.00 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBCBANK) | 040 | NWY | B | 200 | 13.02 | n/a | 5-Oct | 10.00 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBSCHNUC) | 040 | NWY | B | 200 | 13.02 | n/a | 5-Oct | 10.00 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBONEOK) | 040 | NWY | B | 100 | 13.02 | n/a | 5-Oct | 5.00 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBHCA MO) | 040 | NWY | B | 9,000 | 13.02 | n/a | 5-Oct | 450.00 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBBMW) | 040 | NWY | B | 1,100 | 13.02 | n/a | 5-Oct | 55.00 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBGERALD) | 040 | NWY | B | 100 | 13.02 | n/a | 5-Oct | 5.00 5.0 |
| AO, | THOMSON HORSTMAN BRYANT (THNBPUREBA) | 040 | NWY | B | 200 | 13.02 | n/a | 5-Oct | 10.00 5.0 |
| AO, | DURANGO INVESTMENTS (DURAMORGAN) | 031 | PFE | S | 45,000 | 27.65 | n/a | 31-Mar | 1,350.00 3.0 |
| AO,CXL | TRIBECA/DOUG (TRIDMS) | 040 | WM | B | 35,000 | 44.30 | n/a | n/a | 1,400.00 4.0 |
| AO, | TRIBECA/DOUG (TRIDMS) | 040 | WM | B | 35,000 | 42.14 | n/a | n/a | 1,400.00 4.0 |

Legend:

Blue: Employee and Proprietary Trades.

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

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