



Daily Compliance Activity Report

Trade Date: 11/28/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BULL PATH CAPITAL	044	AB	B	22,500	74.98	25-Oct	28-Nov	1,125.00	5.0
WASHINGTON ASSET	048	ALGN	B	10,000	12.90	n/a	n/a	500.00	5.0
COUGAR TRADING	044	ARO	S	10,000	28.90	23-Oct	28-Nov	500.00	5.0
FIRST NEW YORK LEDDY	035	ARO	B	10,000	29.03	23-Oct	28-Nov	600.00	6.0
BUCK	015	BAY	S	1,000	51.85	n/a	n/a	0.00	0.0
ROBERTSON STEVENS BC	033	BBW	S	4,300	31.20	n/a	n/a	172.00	4.0
COUGAR TRADING	044	BIG	S	5,000	22.20	16-Nov	27-Nov	250.00	5.0
BALYASNY ASSET MGMT	044	BLK	B	5,000	145.51	13-Oct	28-Nov	250.00	5.0
BUCK	015	BMET	S	700	36.99	n/a	n/a	0.00	0.0
BUCK	015	BMR	B	400	29.29	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	BSX	S	100,000	15.98	n/a	22-Apr	5,000.00	5.0
LOOMIS SALES/BOSTON	036	CAB	B	20,200	23.81	n/a	n/a	1,010.00	5.0
FORTRESS CAPITAL	040	CAR	B	95,000	20.06	n/a	n/a	4,750.00	5.0
WANG	192	CBK	S	100	21.31	2-Nov	28-Nov	0.00	0.0
COUGAR TRADING	044	CBK	B	10,000	20.78	2-Nov	28-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECRST PARTNERS	035	CBRL	S	15,000	42.58	n/a	n/a	750.00	5.0
UBS O'CONNOR/TOM LEDDY	035	CC	B	50,000	24.06	n/a	16-Nov	2,500.00	5.0
MAGUIRE	090	CCC	B	5,000	5.62	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	CHS	B	120,535	23.16	20-Nov	28-Nov	6,026.75	5.0
J L F ASSET MGMT	039	CHS	S	99,400	23.15	20-Nov	28-Nov	3,976.00	4.0
OGORMAN	146	CHSXE	B	3	2.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CLE	S	70,000	30.73	2-Nov	28-Nov	2,800.00	4.0
GALLEON MGMT LP	033	CMX	S	15,000	45.04	n/a	n/a	750.00	5.0
BUCK	015	CMXMJ	B	10	5.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	20,000	41.48	25-Oct	25-Oct	800.00	4.0
SAXON WOODS ADVISORS	038	COH	S	10,000	41.75	25-Oct	25-Oct	500.00	5.0
ROTHSCHILD ASSET	040	CT	B	14,190	45.12	n/a	n/a	638.55	4.5
CAXTON PART	040	CVH	B	50,000	47.47	n/a	n/a	2,000.00	4.0
CAXTON PART	040	DVA	B	20,000	52.57	n/a	n/a	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	FD	S	208,300	41.53	9-Nov	28-Nov	8,332.00	4.0
COLUMBIA PARTNERS	028	FDO	S	32,000	27.43	3-Nov	27-Nov	1,280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	FRX	S	20,000	49.11	17-Oct	27-Nov	1,000.00	5.0
TRELLUS PARTNERS LP	028	GHCI	S	23,400	46.48	n/a	n/a	1,170.00	5.0
EFSTATHIOU	044	GYMB	S	200	41.07	28-Nov	28-Nov	0.00	0.0
COUGAR TRADING	044	GYMB	S	10,000	41.15	28-Nov	28-Nov	500.00	5.0
FIRST NEW YORK LEDDY	035	GYMB	S	10,000	41.06	28-Nov	28-Nov	600.00	6.0
MORGAN LEWIS/MLH	046	GYMB	S	10,000	41.29	28-Nov	28-Nov	500.00	5.0
RH CAPITAL ASSOCIATES	060	HSP	S	20,000	32.35	n/a	22-Apr	1,000.00	5.0
JANUS CAPITAL CORP	046	HSY	S	50,000	52.72	n/a	n/a	2,000.00	4.0
T. ROWE PRICE	033	HTZ	B	76,000	14.74	n/a	n/a	3,040.00	4.0
FIRST INV MGMT CORP	036	HVT	B	14,800	13.95	n/a	n/a	740.00	5.0
SANDLER CAPITAL	038	HXL	S	100,000	17.61	n/a	n/a	6,000.00	6.0
RIVER RUN MGMT	031	ITCD	B	10,500	2.45	n/a	n/a	315.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	40.63	25-Aug	22-Nov	400.00	4.0
SUNOVA CAPITAL	031	JNS	S	200,000	20.15	30-Oct	28-Nov	10,000.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	10,000	48.98	2-Nov	28-Nov	400.00	4.0
CUMBERLAND	038	JWN	S	25,000	49.73	2-Nov	28-Nov	1,000.00	4.0
SPEARS GRISANTI & BROWN	048	KBR	S	14,000	21.50	n/a	n/a	700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	KBW	B	4,100	26.88	n/a	n/a	205.00	5.0
BUCK CAPITAL MGMT	001	KMX	B	5,000	45.19	n/a	10-Jan	200.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	30,000	69.13	9-Nov	28-Nov	1,200.00	4.0
MAZAMA CAPITAL MGMT.	035	LAZ	S	20,000	43.00	n/a	n/a	800.00	4.0
XYLEM GLOBAL	024	LPX	S	50,000	21.54	12-Sep	25-Oct	2,500.00	5.0
CENTURION PARTNERS	249	LTD	B	10,000	30.72	2-Nov	28-Nov	500.00	5.0
CAPITAL GROWTH MGMT.	241	MO	S	20,000	83.36	n/a	n/a	1,000.00	5.0
MAZAMA CAPITAL MGMT.	035	MTZ	S	36,900	10.93	n/a	n/a	1,476.00	4.0
BUCK CAPITAL MGMT	001	NDN	S	20,000	11.00	11-Aug	27-Nov	800.00	4.0
BARR	096	NEXT	S	1,000	10.58	n/a	n/a	0.00	0.0
A.I.M. ADVISORS INC	031	NILE	B	10,000	34.73	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	60,000	13.30	n/a	28-Nov	2,400.00	4.0
RIVER RUN MGMT	031	OCAI	S	38,000	0.03	n/a	n/a	100.00	0.0
BUCK CAPITAL MGMT	001	OXM	S	5,000	50.04	n/a	n/a	200.00	4.0
XYLEM GLOBAL	024	PCL	B	28,500	36.86	10-Oct	24-Oct	1,425.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	PFE	B	800	26.92	n/a	31-Mar	0.00	0.0
GALLEON MGMT LP	033	PFE	B	200,000	27.02	n/a	31-Mar	10,000.00	5.0
CENTURION PARTNERS	249	PLCE	B	20,000	64.99	n/a	28-Nov	1,000.00	5.0
EGS ASSOCIATES LP	059	PLCE	B	4,000	63.92	n/a	28-Nov	240.00	6.0
KACELA CAPITAL	034	PLCE	B	6,000	65.03	n/a	28-Nov	240.00	4.0
CAXTON PART	040	PRU	B	56,246	79.84	n/a	n/a	2,249.84	4.0
COUGAR TRADING	044	PSUN	B	10,000	19.15	3-Aug	28-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	48.45	22-Nov	22-Nov	400.00	4.0
HIGHBRIDGE CAPITAL	038	QCOM	B	250,000	36.37	n/a	n/a	12,500.00	5.0
BUCK CAPITAL MGMT	001	RL	B	45,000	77.41	9-Nov	9-Nov	1,800.00	4.0
FORTRESS CAPITAL	040	RSH	B	25,000	17.40	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	SSI	B	5,000	33.21	n/a	n/a	250.00	5.0
CAXTON PART	040	STI	B	20,000	82.50	n/a	n/a	800.00	4.0
FRANKLIN FUND OF CALIFOR	033	SWN	S	55,000	38.68	17-Nov	22-Nov	2,750.00	5.0
TUDOR INVESTORS	030	T	S	250,000	32.82	20-Sep	28-Nov	12,500.00	5.0
RIVER RUN MGMT	031	TAG	S	10,000	1.25	n/a	n/a	300.00	3.0
KACELA CAPITAL	034	TBL	S	15,000	30.87	14-Nov	15-Nov	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIVER RUN MGMT	031	TDFXQ	B	93,000	0.43	n/a	n/a	2,790.00	3.0
BUCK CAPITAL MGMT	001	TWB	S	20,000	40.28	5-Sep	16-Nov	800.00	4.0
CAPITAL GROWTH MGMT.	241	TXT	B	26,000	93.25	n/a	n/a	1,300.00	5.0
PATTEN & PATTEN	067	TYC	S	470	30.02	2-Oct	15-Nov	23.50	5.0
CAXTON PART	040	URBN	B	115,576	22.20	5-Oct	10-Nov	4,623.04	4.0
SUNOVA CAPITAL	031	WDR	S	125,000	24.61	1-Nov	28-Nov	6,250.00	5.0
BALYASNY ASSET MGMT	044	WL	S	10,000	41.27	n/a	n/a	500.00	5.0
COUGAR TRADING	044	WMT	B	5,000	46.62	5-Oct	28-Nov	250.00	5.0
TOTAL (Trade Date):							152,297.68		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/27	MKT MAKER (MKT MAKER)	099	ASCA	B	100	30.49	n/a	26-Oct	0.00	0.0
AO,CRT	11/27	MKT MAKER (MKT MAKER)	099	BONT	B	325	33.10	23-Oct	28-Nov	0.00	0.0
AO,CXL	11/27	WHITE PINE CAPITAL (WPIN4394)	030	BONT	S	325	33.10	23-Oct	28-Nov	16.25	5.0
AO,	11/27	WHITE PINE CAPITAL (WPIN4394)	030	BONT	S	325	33.10	23-Oct	28-Nov	16.25	5.0
AO,	11/27	STANDARD PACIFIC CAPITAL (SPACML-A-K)	040	CHS	S	95,000	23.00	20-Nov	28-Nov	4750.00	5.0
AO,	11/27	WEISS PECK (PECKOPVAL)	040	CHS	S	17,000	23.22	20-Nov	28-Nov	850.00	5.0
AO,	11/22	HIGHFIELDS CAP MGMT (HIGFCREDIT)	039	DTV	S	200,000	22.81	n/a	28-Nov	8000.00	4.0
AO,CXL	11/22	HIGHFIELDS CAP MGMT (HIGFCREDIT)	039	DTV	S	200,000	22.81	n/a	28-Nov	10000.00	5.0
AO,CXL	11/27	RIVER RUN MGMT (RIVEGSPB)	031	EBHI	B	40,950	9.06	n/a	n/a	2047.50	5.0
AO,CRT	11/27	MKT MAKER (MKT MAKER)	099	FBTX	S	64	19.26	n/a	n/a	0.00	0.0
AO,	11/22	PROSPECTOR PARTNERS LLC (PROSWMIG)	036	FCL	B	400	35.49	n/a	n/a	20.00	5.0
AO,CXL	11/22	PROSPECTOR PARTNERS LLC (PROSBYRNE)	036	FCL	B	400	35.49	n/a	n/a	20.00	5.0
AO,	11/27	ANTEUS ASSOC.BAEL (ANTAELIZAB)	065	INTU	S	150	32.03	n/a	n/a	9.00	6.0
AO,	11/27	ANTEUS ASSOC.BAEL (ANTAELIZAB)	065	INTV	B	150	6.59	n/a	n/a	9.00	6.0
AO,CRT	11/27	MKT MAKER (MKT MAKER)	099	JOSB	S	70	30.08	n/a	n/a	0.00	0.0
AO,CRT	11/27	MKT MAKER (MKT MAKER)	099	KSWS	S	100	33.51	n/a	27-Oct	0.00	0.0
AO,CRT	11/27	MKT MAKER (MKT MAKER)	099	KSWS	S	93	33.50	n/a	27-Oct	0.00	0.0
AO,CRT	11/27	MKT MAKER (MKT MAKER)	099	KSWS	S	207	33.54	n/a	27-Oct	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CRT	11/27	MKT MAKER (MKT MAKER)	099	LNCR	S	147	36.02	2-Nov	27-Nov	0.00 0.0
AO,	11/27	IRON HORSE CAPITAL MGMT (IHCMBUSE)	038	LVLTT	B	15,000	5.02	17-Oct	28-Nov	450.00 3.0
AO, CXL	11/27	IRON HORSE CAPITAL MGMT (IHCMSDONT)	038	LVLTT	B	15,000	5.02	17-Oct	28-Nov	750.00 5.0
AO,	11/27	GOLDMAN SACHS ASSET MGMT (GSAM26)	044	MAR	S	60,000	45.60	n/a	n/a	1200.00 2.0
AO,	11/21	MKT MAKER (MKT MAKER)	099	SPAR	S	2	23.23	n/a	n/a	0.00 0.0
AO, CRT	11/21	MKT MAKER (MKT MAKER)	099	SPAR	S	700	23.02	n/a	n/a	0.00 0.0
AO,	11/21	REICH AND TANG (RICHMICROS)	037	SPAR	S	15,000	23.23	n/a	n/a	750.00 5.0
AO, CXL	11/27	RIVER RUN MGMT (RIVEGSPB)	031	TDFXQ	B	320,600	0.04	n/a	n/a	500.00 0.0
AO,	11/27	RIVER RUN MGMT (RIVEGSPB)	031	TDFXQ	B	320,600	0.42	n/a	n/a	500.00 0.0

TOTAL (AO, CXL, CRT) :	3,220.50
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TOTAL (Trade Date) :	152,297.68
TOTAL (AO, CXL, CRT) :	3,220.50

TOTAL (RUN DATE) / NFS :	155,518.18
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Legend:

Blue: Employee and Proprietary Trades.

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

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