



Daily Compliance Activity Report

Trade Date: 10/26/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SSI INVESTORS	048	AGN	S	14,900	115.12	n/a	24-Oct	596.00	4.0
TRIBECA	038	AHM	S	2,000	34.25	n/a	n/a	80.00	4.0
SUNOVA CAPITAL	031	AMG	B	80,000	100.10	25-Oct	26-Oct	4,000.00	5.0
GLENHILL CAPITAL	038	APOL	S	50,000	36.15	n/a	n/a	2,500.00	5.0
WYCKOFF	013	ARHNP	S	2,200	6.30	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARO	B	5,000	29.82	23-Oct	23-Oct	250.00	5.0
BALYASNY ASSET MGMT	044	ASD	B	5,000	43.61	2-Oct	23-Oct	250.00	5.0
CHART WELL ADV	243	ASH	B	50,000	58.34	13-Jul	18-Sep	2,250.00	4.5
LEDDY	035	AVZ	B	800	22.98	19-Oct	26-Oct	0.00	0.0
BINDER	007	AVZ	B	200	22.84	19-Oct	26-Oct	0.00	0.0
HARVEST MGMT	039	BBY	B	10,000	53.97	13-Jun	13-Sep	500.00	5.0
SUNOVA CAPITAL	031	BEN	S	10,000	111.37	26-Oct	26-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	BIG	B	140,000	20.71	16-Aug	13-Oct	5,600.00	4.0
CRAMER ROSENTHAL/SCOTT	012	BYD	B	8,400	39.51	n/a	27-Jul	420.00	5.0
SUFFOLK CAPITAL MGMT	040	C	B	250,000	50.79	n/a	20-Oct	10,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BELMONT GLOBAL ADV	248	CBK	B	5,000	28.35	18-Sep	2-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	CBK	S	97,700	28.25	18-Sep	2-Oct	3,908.00	4.0
HARVEST MGMT	039	CC	S	60,000	26.68	n/a	18-Oct	3,000.00	5.0
HAYGROUND COE	039	CC	S	125,000	26.79	n/a	18-Oct	6,250.00	5.0
DELTEC ASSET MGMT.	040	CHS	S	15,100	24.40	11-Oct	13-Oct	755.00	5.0
J L F ASSET MGMT	039	CHS	B	55,300	24.46	11-Oct	13-Oct	2,212.00	4.0
LEVIN CAPITAL STRATEGIES	012	CHS	S	15,000	24.06	11-Oct	13-Oct	600.00	4.0
BUCK CAPITAL MGMT	001	COH	S	20,000	39.63	25-Oct	25-Oct	800.00	4.0
THE JAY GOLDMAN	034	COST	S	10,000	53.75	n/a	13-Oct	400.00	4.0
BALYASNY ASSET MGMT	044	CPB	B	10,000	36.62	n/a	n/a	500.00	5.0
ZOLIDIS	011	CRMT	S	1,000	15.86	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	220	CVC	S	100,000	27.70	9-Oct	26-Oct	5,000.00	5.0
OGORMAN	146	DENN	B	2,000	4.15	n/a	n/a	0.00	0.0
LEDDY	035	DENN	B	2,500	4.17	n/a	n/a	0.00	0.0
HIGHFIELDS CAP MGMT	039	DG	B	100,000	13.74	21-Aug	13-Oct	5,000.00	5.0
BUCK	015	DIS	B	300	31.87	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	DJ	B	44,000	35.66	n/a	n/a	1,760.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	34.87	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	EWJ	B	149,113	14.08	n/a	n/a	4,473.39	3.0
BLACKROCK/BOSTON	037	EYE	S	41,800	39.30	n/a	n/a	836.00	2.0
BUCK CAPITAL MGMT	001	FD	S	100,000	44.49	23-Oct	23-Oct	5,000.00	5.0
ESTABROOK	032	FD	S	24,000	44.83	23-Oct	23-Oct	1,200.00	5.0
BALYASNY ASSET MGMT	044	FII	S	10,000	33.65	n/a	26-Oct	500.00	5.0
MAZAMA CAPITAL MGMT.	035	FII	S	85,000	33.58	n/a	26-Oct	3,400.00	4.0
SSI INVESTORS	048	FII	S	36,800	33.47	n/a	26-Oct	1,472.00	4.0
BUCK CAPITAL MGMT	001	FL	S	40,000	24.00	n/a	18-Aug	1,600.00	4.0
FARALLON CAP MGMT	040	FNT	S	135,000	22.26	n/a	n/a	5,400.00	4.0
OWL CREEK INV	032	FNT	B	340,000	22.26	n/a	n/a	13,600.00	4.0
HOFFMAN	014	FPLPRC	B	1,000	23.90	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	FRE	S	16,000	69.06	n/a	n/a	480.00	3.0
S.A.C. CAPITAL MGMT.	044	FRX	S	15,000	47.88	17-Oct	25-Oct	750.00	5.0
LEDDY	035	GLW	B	800	21.25	n/a	25-Oct	0.00	0.0
BUCK	015	GLW	B	400	21.24	n/a	25-Oct	0.00	0.0
BALYASNY ASSET MGMT	044	GLW	B	10,000	21.27	n/a	25-Oct	500.00	5.0
MAIRS AND POWER INV	030	GLW	B	10,000	21.15	n/a	25-Oct	500.00	5.0
BUCK	015	GQRAL	S	5	1.85	n/a	n/a	0.00	0.0
SUTERA	060	HMA	B	1,000	19.93	23-Jun	25-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	HMA	B	5,000	19.82	23-Jun	25-Oct	250.00	5.0
MAGUIRE	039	HRSKH	S	10	4.00	n/a	n/a	0.00	0.0
CHARTER OAK	037	IDIX	B	50,000	9.93	n/a	n/a	1,500.00	3.0
MAZAMA CAPITAL MGMT.	035	INT	B	43,100	43.41	n/a	n/a	1,724.00	4.0
GENERAL ELECTIC CO	033	INTU	S	30,000	34.33	n/a	n/a	600.00	2.0
MAGUIRE	090	IOM	B	10,000	3.45	n/a	n/a	0.00	0.0
BARR	096	IOM	B	6,000	3.44	n/a	n/a	0.00	0.0
WHEELER	008	IOM	B	15,000	3.40	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	IP	B	55,900	33.93	n/a	17-Oct	2,795.00	5.0
TANG	058	ITCD	S	4,000	2.25	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	IVV	B	930	138.91	n/a	n/a	27.90	3.0
MORGAN BANK /JPM	012	IWF	B	73,468	54.27	n/a	n/a	2,204.04	3.0
DOWNTOWN ASSOC	033	IWM	S	100,000	76.32	n/a	n/a	3,500.00	3.5
THE JAY GOLDMAN	034	JCP	B	10,000	76.80	23-Oct	23-Oct	400.00	4.0
MISSOURI VALLEY PART	046	JOSB	S	3,700	30.30	n/a	n/a	185.00	5.0
ROARING BLUE LION MGMT	012	JWN	S	8,350	47.97	5-Oct	6-Oct	417.50	5.0
THE JAY GOLDMAN	034	K	B	10,000	50.15	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	KSS	S	75,000	72.54	2-Oct	6-Oct	3,000.00	4.0
THE JAY GOLDMAN	034	KSS	B	10,000	72.71	2-Oct	6-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	KWD	S	5,000	30.81	n/a	n/a	200.00	4.0
FARBER/WEISS PECK	012	LIZ	B	25,000	41.18	n/a	19-Oct	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	MCK	S	40,000	50.14	n/a	n/a	2,000.00	5.0
IRIDIAN ASSET MGMT.	036	MEDI	S	65,500	30.30	n/a	n/a	3,275.00	5.0
SUTERA	060	MLIN	S	5,000	2.63	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	MLNM	S	273,700	11.04	n/a	n/a	13,685.00	5.0
BWAM	028	MRK	S	31,000	46.08	n/a	n/a	1,550.00	5.0
WEINTRAUB CAPITAL MGT.	040	MRK	S	60,000	46.03	n/a	n/a	3,000.00	5.0
BUCK	015	MSFT	S	300	28.19	n/a	3-Apr	0.00	0.0
CAPITAL GROWTH MGMT.	241	MT	B	150,000	42.67	n/a	n/a	7,500.00	5.0
MAZAMA CAPITAL MGMT.	035	MTH	S	222,600	48.18	n/a	n/a	8,904.00	4.0
CHARTER OAK	037	MUR	S	50,000	48.92	n/a	n/a	2,500.00	5.0
TRIBECA	038	NCC	S	10,000	37.00	n/a	n/a	400.00	4.0
MAZAMA CAPITAL MGMT.	035	NCI	S	77,800	17.41	n/a	n/a	3,112.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUTERA	060	NDN	B	1,000	12.53	11-Aug	13-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	NDN	B	20,000	12.54	11-Aug	13-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	40,000	13.36	n/a	5-Oct	1,600.00	4.0
BUCK CAPITAL MGMT	001	OMX	B	80,000	45.84	n/a	15-Apr	3,200.00	4.0
FARBER/WEISS PECK	012	OSI	B	19,000	33.04	12-Sep	4-Oct	950.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	5,000	53.77	n/a	n/a	200.00	4.0
CAPITAL GROWTH MGMT.	241	PCU	S	20,000	52.83	n/a	n/a	1,000.00	5.0
AVESTA CAP	229	PEP	B	50,000	63.74	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	PKG	B	82,000	22.05	26-Oct	18-Oct	4,100.00	5.0
ENTRUST CAPITAL	040	POS	B	20,000	26.81	n/a	n/a	1,000.00	5.0
SUTERA	060	PXLW	S	6,000	2.15	n/a	n/a	0.00	0.0
PALMYRA CAPITAL	048	QCOM	S	45,000	37.48	n/a	n/a	2,250.00	5.0
ZOLIDIS	011	RCKY	S	1,000	13.01	n/a	n/a	0.00	0.0
EMP ERROR	099	RHAT	B	2,000	14.56	n/a	n/a	0.00	0.0
EMP ERROR	099	RHAT	S	2,000	14.42	n/a	n/a	0.00	0.0
BENCHMARK	028	RHAT	B	12,500	14.51	n/a	n/a	625.00	5.0
SOROS	036	RIO	B	357,500	25.52	n/a	n/a	14,300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	30,000	71.65	23-Oct	23-Oct	1,200.00	4.0
EFSTATHIOU	044	RNVS	S	300	3.79	n/a	n/a	0.00	0.0
MAGUIRE	039	RNVS	S	300	3.77	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RVI	B	10,000	17.06	n/a	n/a	400.00	4.0
KINGD POINT PARTNERS	067	SAI	S	20,000	19.27	n/a	n/a	1,000.00	5.0
EGS ASSOCIATES LP	059	SKX	S	5,000	30.54	n/a	26-Oct	300.00	6.0
EMP ERROR	099	SMG	B	100	50.20	26-Oct	25-Oct	0.00	0.0
EMP ERROR	099	SMG	S	100	50.29	26-Oct	25-Oct	0.00	0.0
BINDER	007	SWK	B	100	47.97	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	SWY	S	50,000	28.91	n/a	n/a	2,500.00	5.0
THE JAY GOLDMAN	034	TGT	S	15,000	59.22	n/a	6-Oct	600.00	4.0
CLOVIS CAPITAL	012	TIF	B	20,000	36.44	n/a	6-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	20,000	28.83	2-Oct	18-Oct	800.00	4.0
XYLEM GLOBAL	024	TWP	S	5,000	25.14	n/a	n/a	250.00	5.0
ZOLIDIS	011	UARM	B	400	47.21	n/a	n/a	0.00	0.0
CADMUS CAP	035	UNH	S	100,000	49.09	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	WB	B	30,000	55.54	n/a	n/a	1,500.00	5.0
STADIA CAPITAL	035	WHR	S	22,000	86.63	n/a	n/a	880.00	4.0
SPRINGBOC	039	WLT	B	40,000	48.18	n/a	n/a	2,000.00	5.0
PARTNER FUND MGMT LP	040	WMT	S	57,600	51.45	5-Oct	25-Oct	2,880.00	5.0
MORRISON & FRASIER	040	WPL	S	14,700	13.55	20-Oct	26-Oct	735.00	5.0
PHILADELPHIA FINANCIAL	031	WPL	B	35,100	13.51	20-Oct	26-Oct	1,755.00	5.0
THIRD COAST CAPITAL	035	WTSLA	S	36,500	6.19	n/a	n/a	1,825.00	5.0
BUCK	015	XMSR	S	300	10.12	n/a	n/a	0.00	0.0
LEDDY	035	XOHO	B	2,700	4.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	B	40,000	14.15	8-Sep	8-Sep	1,600.00	4.0
TOTAL:								220,021.83	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	HIGHBRIDGE CAPITAL (HIGBNEW)	038	BDK	B	3,600	81.99	n/a	n/a	180.00	5.0
AO,	SIGMA CAPITAL ASSOCIATES (SIGMAINMS)	034	CASY	S	25,000	23.87	n/a	n/a	1,250.00	5.0
AO,	STRONG/MARK GRONET (SCMGST11)	030	CHB	B	665	8.20	n/a	n/a	19.95	3.0
AO,	STRONG/MARK GRONET (SCMG203063)	030	CHB	B	300	8.20	n/a	n/a	9.00	3.0
AO,	STRONG/WELL HOWARD (SCMGST901)	030	CHB	B	325	8.20	n/a	n/a	9.75	3.0
AO,	STRONG/WELL HOWARD (SCHTST9919)	030	CHB	B	13,655	8.20	n/a	n/a	409.65	3.0
AO,	STRONG/WELL HOWARD (SCMGST878)	030	CHB	B	330	8.20	n/a	n/a	9.90	3.0
AO,	STRONG/WELL HOWARD (SCMGST545)	030	CHB	B	650	8.20	n/a	n/a	19.50	3.0
AO,	STRONG/WELL HOWARD (SCMGST870)	030	CHB	B	540	8.20	n/a	n/a	16.20	3.0
AO,	STRONG/WELL HOWARD (SCMGST503)	030	CHB	B	385	8.20	n/a	n/a	11.55	3.0
AO,	STRONG/WELL HOWARD (SCMGST589)	030	CHB	B	870	8.20	n/a	n/a	26.10	3.0
AO,	STRONG/WELL HOWARD (SCMGST13)	030	CHB	B	1,090	8.20	n/a	n/a	32.70	3.0
AO,	STRONG/WELL HOWARD (SCMGST588)	030	CHB	B	230	8.20	n/a	n/a	6.90	3.0
AO,	STRONG/WELL HOWARD (SCMGST569)	030	CHB	B	900	8.20	n/a	n/a	27.00	3.0
AO,	STRONG/WELL HOWARD (SCMGST9966)	030	CHB	B	1,430	8.20	n/a	n/a	42.90	3.0
AO,	STRONG/WELL HOWARD (SCMGST574)	030	CHB	B	2,175	8.20	n/a	n/a	65.25	3.0
AO,	STRONG/WELL HOWARD (SCMGST8023)	030	CHB	B	6,300	8.20	n/a	n/a	189.00	3.0
AO,	STRONG/WELL HOWARD (SCMGST821)	030	CHB	B	1,510	8.20	n/a	n/a	45.30	3.0
AO,	STRONG/WELL HOWARD (SCMGST364)	030	CHB	B	570	8.20	n/a	n/a	17.10	3.0
AO,	STRONG/WELL HOWARD (SCMGST368)	030	CHB	B	335	8.20	n/a	n/a	10.05	3.0
AO,	STRONG/WELL HOWARD (SCHT200722)	030	CHB	B	2,925	8.20	n/a	n/a	87.75	3.0
AO,	STRONG/WELL HOWARD (SCMGST268)	030	CHB	B	6,280	8.20	n/a	n/a	188.40	3.0
AO,	STRONG/WELL HOWARD (SCMG200725)	030	CHB	B	1,630	8.20	n/a	n/a	48.90	3.0
AO,	STRONG/WELL HOWARD (SCMGST554)	030	CHB	B	600	8.20	n/a	n/a	18.00	3.0
AO,	STRONG/WELL HOWARD (SCMG202363)	030	CHB	B	1,770	8.20	n/a	n/a	53.10	3.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	STRONG/WELL HOWARD (SCHT187746)	030	CHB	B	5,025	8.20	n/a	n/a	150.75	3.0
AO,	STRONG/WELL HOWARD (SCMGST555)	030	CHB	B	585	8.20	n/a	n/a	17.55	3.0
AO,	STRONG/WELL HOWARD (SCMG9969)	030	CHB	B	45,590	8.20	n/a	n/a	1,367.70	3.0
AO,	STRONG/WELL HOWARD (SCMGST606)	030	CHB	B	1,440	8.20	n/a	n/a	43.20	3.0
AO,	STRONG/WELL HOWARD (SCMGST1758)	030	CHB	B	345	8.20	n/a	n/a	10.35	3.0
AO,	STRONG/WELL HOWARD (SCMG39111)	030	CHB	B	355	8.20	n/a	n/a	10.65	3.0
AO,	STRONG/WELL HOWARD (SCMGST1832)	030	CHB	B	780	8.20	n/a	n/a	23.40	3.0
AO,	STRONG/WELL HOWARD (SCMGST161)	030	CHB	B	415	8.20	n/a	n/a	12.45	3.0
AO,	BAIRD INVESTMENT (BAIRVB187-)	031	DHR	B	300	70.85	n/a	n/a	15.00	5.0
AO,	BAIRD INVESTMENT (BAIRVB177-)	031	DHR	B	500	70.85	n/a	n/a	25.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRDD680-)	031	DHR	B	700	70.85	n/a	n/a	0.00	0.0
AO,CXL	BAIRD INVESTMENT (BAIRRH251L)	031	DHR	B	1,200	70.85	n/a	n/a	0.00	0.0
AO,	BAIRD INVESTMENT (BAIRDD680-)	031	DHR	B	700	70.85	n/a	n/a	35.00	5.0
AO,	BAIRD INVESTMENT (BAIRRH251L)	031	DHR	B	1,200	70.85	n/a	n/a	60.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRJR510-)	031	DHR	B	200	70.85	n/a	n/a	0.00	0.0
AO,	BAIRD INVESTMENT (BAIRJR510-)	031	DHR	B	200	70.85	n/a	n/a	10.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRRB945-)	031	DHR	B	9,500	70.85	n/a	n/a	0.00	0.0
AO,	BAIRD INVESTMENT (BAIRRB945-)	031	DHR	B	9,500	70.85	n/a	n/a	475.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRRB939-)	031	DHR	B	5,100	70.85	n/a	n/a	0.00	0.0
AO,CXL	BAIRD INVESTMENT (BAIRRB253)	031	DHR	B	900	70.85	n/a	n/a	0.00	0.0
AO,	BAIRD INVESTMENT (BAIRRB939-)	031	DHR	B	5,100	70.85	n/a	n/a	255.00	5.0
AO,	BAIRD INVESTMENT (BAIRRB253)	031	DHR	B	900	70.85	n/a	n/a	45.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRBLCF/B)	031	DHR	B	4,700	70.85	n/a	n/a	0.00	0.0
AO,CXL	BAIRD INVESTMENT (BAIRVB222-)	031	DHR	B	3,400	70.85	n/a	n/a	0.00	0.0
AO,	BAIRD INVESTMENT (BAIRBLCF/B)	031	DHR	B	4,700	70.85	n/a	n/a	235.00	5.0
AO,	BAIRD INVESTMENT (BAIRVB222-)	031	DHR	B	3,400	70.85	n/a	n/a	170.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRVB515-)	031	DHR	B	4,300	70.85	n/a	n/a	0.00	0.0
AO,CXL	BAIRD INVESTMENT (BAIRRH250-)	031	DHR	B	1,200	70.85	n/a	n/a	0.00	0.0
AO,	BAIRD INVESTMENT (BAIRVB515-)	031	DHR	B	4,300	70.85	n/a	n/a	215.00	5.0

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AO,	BAIRD INVESTMENT (BAIRRH250-)	031	DHR	B	1,200	70.85	n/a	n/a	60.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRVB188-)	031	DHR	B	300	70.85	n/a	n/a	0.00	0.0
AO,CXL	BAIRD INVESTMENT (BAIRRH530-)	031	DHR	B	1,000	70.85	n/a	n/a	0.00	0.0
AO,	BAIRD INVESTMENT (BAIRVB188-)	031	DHR	B	300	70.85	n/a	n/a	15.00	5.0
AO,	BAIRD INVESTMENT (BAIRRH530-)	031	DHR	B	1,000	70.85	n/a	n/a	50.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRVB187-)	031	DHR	B	300	70.85	n/a	n/a	0.00	0.0
AO,CXL	BAIRD INVESTMENT (BAIRVB177-)	031	DHR	B	500	70.85	n/a	n/a	0.00	0.0
AO,	BLACKROCK/BOSTON (BLRSUSGM)	037	EXLS	B	421	17.64	n/a	n/a	16.84	4.0
AO,	BLACKROCK/BOSTON (BLRSMLAOSG)	037	EXLS	B	895	17.64	n/a	n/a	35.80	4.0
AO,	BLACKROCK/BOSTON (BLRSMLIFSG)	037	EXLS	B	2,484	17.64	n/a	n/a	99.36	4.0
AO,	BLACKROCK/BOSTON (BLRSMFSCG)	037	EXLS	B	7,471	17.64	n/a	n/a	298.84	4.0
AO,	BLACKROCK/BOSTON (BLRSEJPM)	037	EXLS	B	1,194	17.64	n/a	n/a	47.76	4.0
AO,CXL	AMBER CAPITAL (AMBRLEH)	046	IACI	B	20,100	40.03	n/a	n/a	804.00	4.0
AO,	AMBER CAPITAL (AMBRLEH)	046	IACI	B	20,100	30.03	n/a	n/a	804.00	4.0
AO,	CLOVER CAPITAL (CLORMAINUB)	031	JNS	S	57,900	20.72	26-Oct	26-Oct	2,895.00	5.0
AO,CXL	FORCE CAPITAL MGMT (FORCGSPB)	030	JNS	S	57,900	20.72	26-Oct	26-Oct	2,895.00	5.0
AO,	COUGAR TRADING (COUGPB MS)	044	PLCE	B	5,000	69.03	n/a	6-Oct	250.00	5.0
CRT	EMP ERROR (EMP ERROR)	099	RHAT	B	1,000	14.56	n/a	n/a	0.00	0.0
CRT	EMP ERROR (EMP ERROR)	099	RHAT	B	1,000	14.56	n/a	n/a	0.00	0.0
CRT	EMP ERROR (EMP ERROR)	099	SMG	S	100	50.29	26-Oct	25-Oct	0.00	0.0

Legend:

Blue: Employee and Proprietary Trades.

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

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