



Daily Compliance Activity Report

Trade Date: 11/02/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	AAPL	S	1,100	79.08	n/a	n/a	44.00	4.0
COLUMBUS CIRCLE	036	ABI	S	900	36.58	n/a	n/a	36.00	4.0
BENCHMARK	028	ABX	B	15,000	31.44	n/a	n/a	750.00	5.0
COLUMBUS CIRCLE	036	ADBE	S	2,300	37.39	n/a	n/a	92.00	4.0
CSFB GLOBAL PROPRIETARY	035	ADM	S	14,000	35.59	n/a	n/a	700.00	5.0
COLUMBUS CIRCLE	036	ADS	S	800	59.54	n/a	n/a	32.00	4.0
MCCARTAN	028	AIQ	B	700	7.73	n/a	n/a	0.00	0.0
BUCK	015	AIS	S	7,000	1.24	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	AKAM	S	300	45.80	n/a	n/a	12.00	4.0
COLUMBUS CIRCLE	036	AMAT	S	3,300	17.06	n/a	n/a	132.00	4.0
COLUMBUS CIRCLE	036	AMT	S	1,500	36.23	n/a	n/a	60.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	602,000	72.28	31-Aug	30-Oct	24,080.00	4.0
COUGAR TRADING	044	ANF	B	5,000	71.39	31-Aug	30-Oct	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ANF	S	35,100	73.24	31-Aug	30-Oct	1,404.00	4.0
PILOT ADV	038	ANN	B	15,000	40.58	6-Jul	30-Oct	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUTERA	060	ARO	S	1,000	29.41	23-Oct	30-Oct	0.00	0.0
COLUMBUS CIRCLE	036	ASML	S	900	22.88	n/a	n/a	36.00	4.0
MCCARTAN	028	AVZ	S	250	22.56	19-Oct	2-Nov	0.00	0.0
LUCHANSKY2	036	BBT	S	100	42.83	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	028	BBY	B	30,000	53.03	13-Jun	13-Sep	1,200.00	4.0
COLUMBUS CIRCLE	036	BEAS	S	4,200	15.27	n/a	3-Apr	168.00	4.0
FRIESS MGMT	042	BEAS	B	949,800	15.30	n/a	3-Apr	42,741.00	4.5
LEVIN CAPITAL STRATEGIES	012	BEBE	B	10,000	23.94	n/a	n/a	300.00	3.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	110.03	1-Nov	2-Nov	500.00	5.0
SSI INVESTORS	048	BEN	S	29,900	110.18	1-Nov	2-Nov	1,196.00	4.0
BUCK	015	BMET	B	700	38.64	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	BONT	B	5,000	33.38	23-Oct	30-Oct	250.00	5.0
COLUMBUS CIRCLE	036	BRCM	S	2,400	29.60	n/a	n/a	96.00	4.0
LUCHANSKY2	036	CACB	S	100	34.77	n/a	n/a	0.00	0.0
VISIUM/BALY HOWARD	038	CAO	B	25,000	15.35	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	CBK	B	5,000	21.07	2-Nov	30-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLENHILL CAPITAL	038	CBK	B	50,000	21.03	2-Nov	30-Oct	2,500.00	5.0
PILOT ADV	038	CBK	B	30,000	21.18	2-Nov	30-Oct	1,200.00	4.0
STERLING JOHNSTON	035	CBK	S	85,000	21.34	2-Nov	30-Oct	4,250.00	5.0
VISIUM/BALY HOWARD	038	CBK	B	38,500	22.09	2-Nov	30-Oct	1,925.00	5.0
GAULT	063	CCUR	S	9,750	1.84	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	CELG	S	900	50.40	n/a	n/a	36.00	4.0
CSFB GLOBAL PROPRIETARY	035	CHB	B	85,000	8.85	n/a	n/a	4,250.00	5.0
SUTERA	060	CHS	B	1,000	21.39	11-Oct	30-Oct	0.00	0.0
GALLEON MGMT LP	033	CHS	B	25,000	20.95	11-Oct	30-Oct	1,250.00	5.0
RBC CAPITAL MARKETS	034	CHS	B	30,000	20.77	11-Oct	30-Oct	1,500.00	5.0
VISIUM/BALY HOWARD	038	CHS	B	10,000	20.95	11-Oct	30-Oct	500.00	5.0
MKT MAKER	099	CLMS	S	300	27.79	1-Nov	2-Nov	0.00	0.0
RBC CAPITAL MARKETS	034	CMX	B	20,000	47.95	n/a	n/a	1,000.00	5.0
VISIUM/BALY HOWARD	038	COST	B	10,000	53.04	n/a	30-Oct	500.00	5.0
GAULT	063	CPNLQ	S	200,000	0.45	n/a	22-Sep	0.00	0.0
COLUMBUS CIRCLE	036	CSCO	S	3,600	23.97	n/a	22-Mar	144.00	4.0
COLUMBUS CIRCLE	036	CTSH	S	100	75.61	n/a	n/a	4.00	4.0
BALYASNY ASSET MGMT	044	CYN	B	10,000	65.53	n/a	n/a	500.00	5.0
MERRILL ASSET	032	DCP	S	20,000	10.69	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	DGX	B	20,000	49.67	n/a	n/a	800.00	4.0
COLUMBUS CIRCLE	036	DIGE	S	600	45.87	n/a	n/a	24.00	4.0
COLUMBUS CIRCLE	036	DIVX	S	900	23.06	n/a	n/a	36.00	4.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	48.72	n/a	n/a	400.00	4.0
PILOT ADV	038	DLTR	B	25,000	30.32	27-Sep	1-Nov	1,000.00	4.0
COLUMBUS CIRCLE	036	DNA	S	200	81.38	n/a	n/a	8.00	4.0
LUCHANSKY2	036	FD	B	100	41.50	23-Oct	30-Oct	0.00	0.0
PILOT ADV	038	FDO	S	34,800	27.98	n/a	1-Nov	1,392.00	4.0
EGS ASSOCIATES LP	059	FL	B	5,000	23.01	n/a	30-Oct	300.00	6.0
COLUMBIA PARTNERS	028	FLE	S	26,400	6.86	n/a	n/a	1,056.00	4.0
SAXON WOODS ADVISORS	038	FNM	B	15,000	58.39	n/a	n/a	750.00	5.0
PILOT ADV	038	FRED	B	50,000	11.71	21-Aug	1-Nov	2,000.00	4.0
UBS O'CONNOR/TOM LEDDY	035	FRED	B	6,200	11.53	21-Aug	1-Nov	310.00	5.0
SYSTEMATIC FINANCIAL MGT	035	GES	S	167,510	64.19	n/a	n/a	6,700.40	4.0
COLUMBUS CIRCLE	036	GOOG	S	200	469.65	n/a	n/a	8.00	4.0
COUGAR TRADING	044	GPS	S	10,000	19.41	31-Jul	30-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	034	GPS	B	25,000	19.30	31-Jul	30-Oct	1,250.00	5.0
LUCHANSKY2	036	HBHC	S	100	51.75	n/a	n/a	0.00	0.0
FULLER & THALER ASSET	040	HC	S	100,000	17.89	27-Jul	26-Oct	3,000.00	3.0
BUCK	015	HMA	S	1,000	19.88	23-Jun	25-Oct	0.00	0.0
COLUMBUS CIRCLE	036	HOLX	S	1,000	47.23	n/a	n/a	40.00	4.0
COLUMBUS CIRCLE	036	HPQ	S	1,800	38.69	n/a	n/a	72.00	4.0
COLUMBUS CIRCLE	036	HRS	S	1,100	40.61	2-Oct	26-Oct	44.00	4.0
BUCK	015	HSP	B	700	36.43	n/a	22-Apr	0.00	0.0
COLUMBUS CIRCLE	036	IGT	S	1,100	41.73	n/a	1-Nov	44.00	4.0
COLUMBUS CIRCLE	036	INAP	S	2,000	15.87	n/a	n/a	80.00	4.0
CAXTON PART	040	IRF	S	50,000	36.05	n/a	n/a	2,000.00	4.0
MISSOURI VALLEY PART	046	ISE	B	5,400	48.45	25-Oct	1-Nov	270.00	5.0
COLUMBUS CIRCLE	036	ISRG	S	300	97.06	n/a	n/a	12.00	4.0
PATTEN & PATTEN	067	ITT	B	700	53.70	30-Oct	30-Oct	35.00	5.0
COLUMBUS CIRCLE	036	IWOV	S	1,800	12.55	n/a	n/a	72.00	4.0
BANK OF NEW YORK	040	JCG	S	6,580	30.84	25-Aug	23-Oct	296.10	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRIVIUM CAP MGMT	028	JCP	S	50,000	76.96	23-Oct	30-Oct	2,000.00	4.0
WHALE ROCK CAP	030	JWN	B	75,000	47.45	5-Oct	30-Oct	3,000.00	4.0
MATTHES CAPITAL MGMT	033	KCP	B	30,000	24.83	n/a	31-Oct	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	KEY	B	20,000	36.96	n/a	n/a	1,000.00	5.0
HOTCHKIS & WILEY	035	KEY	S	103,900	37.04	n/a	n/a	5,195.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	350,000	69.84	2-Oct	30-Oct	14,000.00	4.0
UBS OCONNOR	031	KSS	S	60,000	69.80	2-Oct	30-Oct	3,000.00	5.0
COLUMBUS CIRCLE	036	LAMR	S	500	56.97	n/a	n/a	20.00	4.0
LUCHANSKY3	036	LEH	S	600	76.25	n/a	12-Oct	0.00	0.0
LISTED ERR	099	LH	B	100	67.67	n/a	n/a	0.00	0.0
LISTED ERR	099	LH	S	100	67.67	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	LH	S	14,000	67.67	n/a	n/a	560.00	4.0
BRENCOURT	028	LNCR	B	50,000	35.03	2-Nov	2-Nov	2,500.00	5.0
MILLRACE FUND LP	033	LNCR	B	2,200	34.89	2-Nov	2-Nov	110.00	5.0
IRON HORSE CAPITAL MGMT	038	LVLTT	B	25,000	5.32	17-Oct	1-Nov	750.00	3.0
ROYA	039	LZB	B	4,500	12.00	n/a	n/a	225.00	5.0
COLUMBUS CIRCLE	036	MOT	S	1,200	22.56	n/a	n/a	48.00	4.0
COLUMBUS CIRCLE	036	MRVL	S	1,900	18.08	n/a	n/a	76.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	MSFT	S	1,700	28.75	n/a	3-Apr	68.00	4.0
LAKEWAY CAPITAL MGMT	048	MWA	B	38,950	15.83	n/a	n/a	1,947.50	5.0
COLUMBUS CIRCLE	036	NIHD	S	700	62.69	n/a	n/a	28.00	4.0
COLUMBUS CIRCLE	036	NTAP	S	1,000	35.54	n/a	n/a	40.00	4.0
COLUMBUS CIRCLE	036	NVDA	S	1,600	32.60	n/a	n/a	64.00	4.0
THOMSON HORSTMAN BRYANT	040	NWY	B	28,200	13.00	n/a	30-Oct	1,410.00	5.0
COLUMBUS CIRCLE	036	OPSW	S	4,600	8.79	n/a	n/a	184.00	4.0
COLUMBUS CIRCLE	036	ORCL	S	4,000	18.31	n/a	n/a	160.00	4.0
PATTEN & PATTEN	067	OXY	B	700	46.55	n/a	n/a	35.00	5.0
CAPITAL GROWTH MGMT.	241	PCU	S	20,000	51.02	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	PHO	B	2,000	17.62	n/a	n/a	100.00	5.0
XYLEM GLOBAL	024	PKG	B	15,000	22.72	26-Oct	27-Oct	750.00	5.0
HARVEST MGMT	039	PLCE	B	5,000	67.18	n/a	2-Nov	250.00	5.0
HARVEST MGMT	039	PLCE	S	10,000	69.10	n/a	2-Nov	500.00	5.0
J L F ASSET MGMT	039	PLCE	B	12,600	69.14	n/a	2-Nov	504.00	4.0
LEVIN CAPITAL STRATEGIES	012	PLCE	B	5,000	67.18	n/a	2-Nov	150.00	3.0
PILOT ADV	038	PLCE	B	11,000	66.50	n/a	2-Nov	440.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAWSON SANBERG & CO	036	PPC	S	61,200	24.27	n/a	n/a	3,060.00	5.0
BUCK	015	PPCO	S	1,000	16.84	n/a	n/a	0.00	0.0
DEMARTINI	065	PTEN	S	2,000	23.25	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	QCOM	S	1,800	35.68	n/a	n/a	72.00	4.0
COLUMBUS CIRCLE	036	QLGC	S	1,200	20.15	n/a	n/a	48.00	4.0
HIGHBRIDGE CAPITAL	038	RF	B	18,000	37.33	n/a	n/a	900.00	5.0
COLUMBUS CIRCLE	036	RIMM	S	100	116.49	n/a	n/a	4.00	4.0
STADIA CAPITAL	035	RL	S	8,700	68.05	23-Oct	31-Oct	348.00	4.0
SECOND CURVE	031	RNR	S	25,000	54.98	n/a	n/a	1,250.00	5.0
COLUMBUS CIRCLE	036	RVBD	S	1,200	23.90	n/a	n/a	48.00	4.0
BUCK CAPITAL MGMT	001	RVI	B	10,000	16.04	n/a	n/a	400.00	4.0
MATRIX ASSET ADV.	036	SBL	S	25,000	14.84	19-Sep	31-Oct	500.00	2.0
COLUMBUS CIRCLE	036	SHPGY	S	1,500	55.66	8-Oct	30-Oct	60.00	4.0
COLUMBUS CIRCLE	036	SNDK	S	400	47.08	n/a	n/a	16.00	4.0
PEQUOT CAPITAL MGMT	028	STX	B	18,000	22.39	n/a	n/a	810.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	SU	B	800	74.69	n/a	n/a	40.00	5.0
COLUMBUS CIRCLE	036	SY	S	800	24.11	n/a	n/a	32.00	4.0
COLUMBUS CIRCLE	036	SYNA	S	1,000	27.52	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	TBL	B	70,000	28.73	19-Jul	27-Oct	2,800.00	4.0
CLOVIS CAPITAL	012	TIF	B	150,000	35.30	n/a	6-Oct	7,500.00	5.0
COLUMBUS CIRCLE	036	TMO	S	1,000	42.69	n/a	n/a	40.00	4.0
COLUMBUS CIRCLE	036	TRMB	S	700	44.80	n/a	n/a	28.00	4.0
CLOVER CAPITAL	031	TWI	B	38,750	17.87	n/a	n/a	1,937.50	5.0
LAKEWAY CAPITAL MGMT	048	TXI	B	30,100	61.70	n/a	n/a	1,505.00	5.0
DOWNTOWN ASSOC	033	URBN	B	5,300	17.10	5-Oct	23-Oct	185.50	3.5
LUCHANSKY1	036	USG	B	200	47.70	n/a	n/a	0.00	0.0
OGORMAN	146	UWOKW	B	5	0.65	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	VLTR	S	1,500	16.20	n/a	n/a	60.00	4.0
DIAMONDBACK CAP MGMT	232	WB	B	25,000	54.96	n/a	n/a	1,250.00	5.0
LAKEWAY CAPITAL MGMT	048	WLT	S	45,450	45.44	n/a	n/a	2,272.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	WMT	S	5,000	48.28	5-Oct	30-Oct	250.00	5.0
PRINCIPLE CAPITAL	040	WRNC	B	100,000	23.57	2-Nov	2-Nov	4,000.00	4.0
RBC CAPITAL MARKETS	034	WRNC	B	15,000	23.37	2-Nov	2-Nov	750.00	5.0
VISIUM/BALY HOWARD	038	WU	B	3,000	21.50	n/a	n/a	150.00	5.0
LEDDY	035	XOHO	B	2,800	4.00	n/a	n/a	0.00	0.0
PEQUOT CAPITAL MGMT	028	YHOO	B	23,000	26.41	n/a	n/a	920.00	4.0
TOTAL:							191,828.50		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	PILOT ADV (PILOOMNI)	038	CBK	S	17,800	25.63	2-Nov	30-Oct	712.00	4.0
AO,	PILOT ADV (PILOPARADI)	038	CBK	S	17,800	25.63	2-Nov	30-Oct	712.00	4.0
AO,	MAGNETAR FINANCIAL (MAGNGSCO)	247	MHS	B	60,000	53.81	n/a	n/a	2,400.00	4.0
AO,	MKT MAKER (MKT MAKER)	099	URBN	B	40	17.30	5-Oct	23-Oct	0.00	0.0
AO,CXL	DOWNTOWN ASSOC (DOWNGS)	033	URBN	B	2,440	17.30	5-Oct	23-Oct	85.40	3.5
AO,	DOWNTOWN ASSOC (DOWNGS)	033	URBN	B	2,400	17.30	5-Oct	23-Oct	84.00	3.5

Legend:

Blue: Employee and Proprietary Trades.

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

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