



# Daily Compliance Activity Report

Trade Date: 11/03/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	ALB	B	11,000	64.10	n/a	n/a	550.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>ANDE</b>	<b>S</b>	<b>300</b>	<b>34.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>THE JAY GOLDMAN</b>	<b>034</b>	<b>ARO</b>	<b>S</b>	<b>18,000</b>	<b>29.57</b>	<b>23-Oct</b>	<b>3-Nov</b>	<b>720.00</b>	<b>4.0</b>
DSG CAPITAL	225	AVZ	S	19,700	22.65	19-Oct	2-Nov	985.00	5.0
BALYASNY ASSET MGMT	044	BEN	S	5,000	109.50	1-Nov	2-Nov	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>S</b>	<b>5,000</b>	<b>20.37</b>	<b>16-Aug</b>	<b>3-Nov</b>	<b>200.00</b>	<b>4.0</b>
VISIUM/BALY HOWARD	038	BKS	B	30,000	40.69	n/a	n/a	1,500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>BONT</b>	<b>B</b>	<b>300</b>	<b>34.37</b>	<b>23-Oct</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY2</b>	<b>036</b>	<b>BONT</b>	<b>S</b>	<b>500</b>	<b>34.26</b>	<b>23-Oct</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	CBE	B	25,000	89.57	25-Oct	25-Oct	1,250.00	5.0
<b>COUGAR TRADING</b>	<b>044</b>	<b>CBK</b>	<b>B</b>	<b>5,000</b>	<b>21.82</b>	<b>2-Nov</b>	<b>3-Nov</b>	<b>250.00</b>	<b>5.0</b>
<b>FRIESS MGMT</b>	<b>042</b>	<b>CBK</b>	<b>S</b>	<b>315,300</b>	<b>21.92</b>	<b>2-Nov</b>	<b>3-Nov</b>	<b>14,188.50</b>	<b>4.5</b>
<b>JEFFRIES MIKE</b>	<b>067</b>	<b>CBK</b>	<b>B</b>	<b>40,000</b>	<b>21.95</b>	<b>2-Nov</b>	<b>3-Nov</b>	<b>2,000.00</b>	<b>5.0</b>
SANDELL ADV	040	CEG	B	50,000	63.00	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CLE</b>	<b>B</b>	<b>30,000</b>	<b>27.69</b>	<b>2-Nov</b>	<b>3-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
<b>COUGAR TRADING</b>	<b>044</b>	<b>CLE</b>	<b>S</b>	<b>10,000</b>	<b>27.42</b>	<b>2-Nov</b>	<b>3-Nov</b>	<b>500.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	CLE	S	10,000	27.42	2-Nov	3-Nov	400.00	4.0
WEISS PECK	040	CMX	S	10,000	47.65	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	38.81	25-Oct	25-Oct	400.00	4.0
DIAMONDBACK CAP MGMT	232	COP	B	25,000	61.41	n/a	n/a	1,250.00	5.0
BEAR STEARNS ASSET MGMT.	033	COST	B	36,700	52.21	n/a	3-Nov	1,468.00	4.0
ZOLIDIS	011	CRMT	B	500	14.55	n/a	n/a	0.00	0.0
WEISS PECK	040	CVS	B	16,700	29.00	n/a	n/a	668.00	4.0
MERRILL ASSET	032	DCP	S	20,000	10.58	n/a	n/a	1,000.00	5.0
SAGE ASSET MGMT	012	DE	B	78,700	86.24	n/a	n/a	3,935.00	5.0
FARALLON CAP MGMT	040	DGX	B	60,000	49.68	n/a	n/a	2,400.00	4.0
CIRCLE T PART	035	DLTR	S	10,000	30.37	27-Sep	3-Nov	400.00	4.0
DIAMONDBACK CAP MGMT	232	DLTR	S	4,000	30.40	27-Sep	3-Nov	200.00	5.0
HIGHBRIDGE CAPITAL	038	DOW	B	9,000	40.59	n/a	26-Oct	450.00	5.0
MERRILL ASSET	032	DRC	B	26,200	22.07	n/a	n/a	1,310.00	5.0
BUCK CAPITAL MGMT	001	DSW	B	100,000	30.24	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	EAT	S	15,000	45.07	12-Sep	31-Oct	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SEAROCK CAPITAL MANAGE	012	EAT	S	30,000	44.82	12-Sep	31-Oct	1,200.00	4.0
LEDDY	035	EFT	B	600	18.27	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	EVR	B	36,000	35.08	n/a	n/a	1,440.00	4.0
BINDER	007	FD	B	200	40.34	23-Oct	3-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	FD	S	150,000	40.21	23-Oct	3-Nov	6,000.00	4.0
EGS ASSOCIATES LP	059	FD	B	3,000	39.98	23-Oct	3-Nov	180.00	6.0
GLG PARTNERS	034	FD	S	15,000	41.04	23-Oct	3-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	FDO	S	30,000	27.66	3-Nov	3-Nov	1,200.00	4.0
FIRST NEW YORK LEDDY	035	FDO	S	15,000	27.63	3-Nov	3-Nov	900.00	6.0
GALLEON MGMT LP	033	FDO	S	15,000	27.68	3-Nov	3-Nov	750.00	5.0
GRUBER MACBAINE	033	FDO	S	20,000	27.64	3-Nov	3-Nov	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	FDO	S	15,000	27.58	3-Nov	3-Nov	600.00	4.0
MATTHES CAPITAL MGMT	033	FDO	S	25,000	27.63	3-Nov	3-Nov	1,000.00	4.0
PRINCIPLE CAPITAL	040	FDO	S	50,000	27.59	3-Nov	3-Nov	2,000.00	4.0
BALYASNY ASSET MGMT	044	FII	B	20,000	33.57	n/a	2-Nov	1,000.00	5.0
MAZAMA CAPITAL MGMT.	035	FIX	S	29,600	12.76	n/a	n/a	1,184.00	4.0
TROUBH PART	067	FOSL	S	2,318	21.60	12-Aug	14-Sep	115.90	5.0
WEISS PECK	040	FSLB	B	15,000	39.52	n/a	n/a	600.00	4.0
VANDER MOOLEN	040	GE	B	10,000	34.96	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	10,000	63.03	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GPS	S	15,000	19.65	31-Jul	3-Nov	750.00	5.0
SAC TRADING HOWARD	038	GPS	S	50,000	19.64	31-Jul	3-Nov	2,500.00	5.0
SCHEINER	037	GYMB	S	1,000	44.79	21-Sep	3-Nov	0.00	0.0
DIAMONDBACK CAP MGMT	232	HAL	B	2,000	31.70	n/a	n/a	100.00	5.0
OGORMAN	146	HOTT	S	1,000	10.49	n/a	3-Nov	0.00	0.0
SAGE ASSET MGMT	012	HTV	B	25,000	25.35	n/a	n/a	1,250.00	5.0
GALLEON MGMT LP	033	INTC	B	50,000	20.62	n/a	n/a	2,500.00	5.0
WHEELER	008	IOM	B	20,000	4.11	n/a	n/a	0.00	0.0
DAWSON SANBERG & CO	036	JBX	S	75,900	53.66	n/a	9-Aug	3,795.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	20,000	76.06	3-Nov	3-Nov	800.00	4.0
BENCHMARK	028	JNS	S	20,000	19.19	30-Oct	2-Nov	1,000.00	5.0
BALYASNY ASSET MGMT	044	JPM	S	20,000	46.70	n/a	19-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	KCP	S	50,000	23.25	n/a	3-Nov	2,000.00	4.0
BALYASNY ASSET MGMT	044	KEY	S	15,000	36.72	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	KEY	B	5,000	36.94	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	5,000	29.63	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	LH	S	39,700	67.31	n/a	n/a	1,985.00	5.0
XYLEM GLOBAL	024	LPX	B	50,000	19.11	12-Sep	25-Oct	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	LUV	B	200,000	14.64	n/a	n/a	10,000.00	5.0
ROYAL CAPITAL	039	LZB	B	8,400	12.00	n/a	n/a	420.00	5.0
SUN AMERICA ASSET MGMT	030	MO	S	28,000	81.17	n/a	n/a	1,400.00	5.0
<b>ROTHSCHILD ASSET</b>	<b>097</b>	<b>MSM</b>	<b>S</b>	<b>45,200</b>	<b>38.33</b>	<b>n/a</b>	<b>n/a</b>	<b>2,034.00</b>	<b>4.5</b>
PILOT ADV	038	MWV	B	65,000	27.80	n/a	2-Nov	2,600.00	4.0
GRACIE CAPITAL	028	NRG	B	125,000	51.85	n/a	n/a	6,250.00	5.0
BALYASNY ASSET MGMT	044	NTRS	S	20,000	58.20	n/a	19-Oct	1,000.00	5.0
<b>THOMSON HORSTMAN BRYANT</b>	<b>040</b>	<b>NWY</b>	<b>B</b>	<b>60,000</b>	<b>12.83</b>	<b>n/a</b>	<b>3-Nov</b>	<b>3,000.00</b>	<b>5.0</b>
BALYASNY ASSET MGMT	044	NYB	S	30,000	15.74	n/a	n/a	1,500.00	5.0
DIAMONDBACK CAP MGMT	232	OXY	B	60,000	47.44	n/a	n/a	3,000.00	5.0
CAPITAL GROWTH MGMT.	241	PCU	S	20,000	52.59	n/a	n/a	1,000.00	5.0
TRUST CO/COWEN/CALF.	040	PIR	B	29,830	6.07	n/a	n/a	1,193.20	4.0
HIGHBRIDGE CAPITAL	038	PPG	B	7,000	67.40	n/a	19-Oct	350.00	5.0

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<b>SINCLAIR</b>	<b>031</b>	<b>PTEN</b>	<b>S</b>	<b>600</b>	<b>23.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	RF	B	4,000	37.41	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	69.72	23-Oct	31-Oct	400.00	4.0
AMBER CAPITAL	046	ROH	S	11,100	51.34	13-Oct	19-Oct	444.00	4.0
M. KRAUS & CO.	037	SBL	S	14,575	14.85	19-Sep	31-Oct	728.75	5.0
BUCK CAPITAL MGMT	001	TBL	B	45,000	28.57	19-Jul	27-Oct	1,800.00	4.0
<b>CAXTON PART</b>	<b>040</b>	<b>TGT</b>	<b>S</b>	<b>97,771</b>	<b>56.50</b>	<b>n/a</b>	<b>3-Nov</b>	<b>3,910.84</b>	<b>4.0</b>
SUN AMERICA ASSET MGMT	030	TLAB	B	58,000	10.77	n/a	22-Mar	2,900.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>B</b>	<b>10,000</b>	<b>25.90</b>	<b>2-Oct</b>	<b>3-Nov</b>	<b>400.00</b>	<b>4.0</b>
<b>SANDLER CAPITAL</b>	<b>038</b>	<b>TLB</b>	<b>B</b>	<b>70,000</b>	<b>26.15</b>	<b>2-Oct</b>	<b>3-Nov</b>	<b>4,200.00</b>	<b>6.0</b>
DALTON GREINER	012	TROW	S	95,990	45.37	13-Oct	2-Nov	4,799.50	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>TUTS</b>	<b>B</b>	<b>2,000</b>	<b>1.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DIAMONDBACK CAP MGMT	232	TWB	B	62,000	41.29	5-Sep	3-Oct	3,100.00	5.0
S.A.C. CAPITAL MGMT.	044	VPHM	B	10,384	12.70	n/a	n/a	519.20	5.0
VIKING GLOBAL	030	WAG	B	340,000	42.92	n/a	n/a	17,000.00	5.0
BALYASNY ASSET MGMT	044	WFC	S	20,000	36.14	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>ZOLIDIS</b>	<b>011</b>	<b>WFMI</b>	<b>B</b>	<b>100</b>	<b>47.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JANUS CAPITAL CORP	046	WFMI	S	200,000	47.18	n/a	n/a	7,000.00	3.5
GALLEON MGMT LP	033	WRNC	S	15,000	24.03	2-Nov	2-Nov	750.00	5.0
SUN AMERICA ASSET MGMT	030	WTW	S	48,300	46.57	n/a	n/a	2,415.00	5.0
FARALLON CAP MGMT	040	XLU	B	400,000	35.49	n/a	n/a	12,000.00	3.0
SEAROCK CAPITAL MANAGE	012	YUM	S	30,000	57.94	n/a	12-Oct	1,200.00	4.0
BALYASNY ASSET MGMT	044	ZION	B	15,000	77.95	n/a	n/a	750.00	5.0
PEREGRINE	030	ZQK	S	80,000	13.56	8-Sep	8-Sep	4,000.00	5.0
<b>TOTAL :</b>								<b>190,388.89</b>	

# Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	GAULT (GAULT)	063	CPNLQ	S	100,000	0.45	n/a	22-Sep	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	099	FRED	B	169	11.50	21-Aug	3-Nov	0.00	0.0
AO,	UBS O'CONNOR/TOM LEDDY (UBSTGSPB)	035	FRED	B	6,200	11.53	21-Aug	3-Nov	310.00	5.0
AO,CXL	UBS O'CONNOR/TOM LEDDY (UBSTWAR)	035	FRED	B	6,200	11.53	21-Aug	3-Nov	310.00	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	LNCR	S	3	34.89	2-Nov	2-Nov	0.00	0.0
AO,	HARVEST MGMT (HARVNEUBER)	039	PLCE	B	6,168	67.25	n/a	3-Nov	308.40	5.0
AO,CXL	HARVEST MGMT (HARVGSCO)	039	PLCE	B	5,000	67.18	n/a	3-Nov	250.00	5.0
AO,	HARVEST MGMT (HARVGSCO)	039	PLCE	B	3,832	67.25	n/a	3-Nov	191.60	5.0
AO,	HARVEST MGMT (HARVNEUBER)	039	PLCE	S	6,168	69.10	n/a	3-Nov	308.40	5.0
AO,CXL	HARVEST MGMT (HARVGSCO)	039	PLCE	S	10,000	69.10	n/a	3-Nov	500.00	5.0
AO,	HARVEST MGMT (HARVGSCO)	039	PLCE	S	3,832	69.10	n/a	3-Nov	191.60	5.0
AO,	BLACKROCK/BOSTON (BLRSE_PNCS)	037	SKIL	B	38,000	6.36	n/a	n/a	760.00	2.0
AO,	MKT MAKER (MKT MAKER)	099	URBN	B	50	17.10	5-Oct	23-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.