



Daily Compliance Activity Report

Trade Date: 10/16/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	AB	B	125	75.32	6-Sep	16-Oct	6.25	5.0
SUNOVA CAPITAL	031	AMG	S	38,000	96.99	13-Oct	16-Oct	1,900.00	5.0
COUGAR TRADING	044	ANF	S	5,000	76.88	31-Aug	6-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	13,900	29.90	6-Jul	6-Oct	556.00	4.0
J L F ASSET MGMT	039	ARO	B	68,200	30.53	6-Jul	6-Oct	2,728.00	4.0
MAZAMA CAPITAL MGMT.	035	ATW	B	49,500	45.03	n/a	n/a	1,980.00	4.0
J L F ASSET MGMT	039	AVZ	B	19,400	23.14	6-Sep	16-Oct	776.00	4.0
SYSTEMATIC FINANCIAL MGT	035	AVZ	B	173,250	23.16	6-Sep	16-Oct	6,930.00	4.0
LUCHANSKY2	036	BDK	B	200	85.73	n/a	n/a	0.00	0.0
1837 PARTNERS/RMB CAP	030	BIG	S	51,000	21.06	16-Aug	13-Oct	2,550.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	B	5,000	79.67	n/a	n/a	250.00	5.0
J L F ASSET MGMT	039	BNI	B	28,300	79.22	n/a	n/a	1,132.00	4.0
PATTEN & PATTEN	067	BNI	B	100	79.53	n/a	n/a	5.00	5.0
WHITE PINE CAPITAL	030	BONT	B	500	36.93	5-Oct	6-Oct	25.00	5.0
BUCK CAPITAL MGMT	001	CBK	S	20,000	29.04	18-Sep	2-Oct	800.00	4.0
KORMAN	003	CHS	B	2,000	24.35	11-Oct	13-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	039	CHS	S	25,000	24.28	11-Oct	13-Oct	1,250.00	5.0
SENTINAL CAPITAL	067	CHS	B	58,800	24.45	11-Oct	13-Oct	2,940.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	S	20,000	64.75	7-Aug	7-Aug	1,000.00	5.0
GRONET	030	CMOS	B	1,000	3.12	n/a	n/a	0.00	0.0
MATTHES CAPITAL MGMT	033	COST	B	15,000	52.97	n/a	13-Oct	600.00	4.0
SIGMA CAPITAL ASSOCIATES	034	COST	S	15,000	53.05	n/a	13-Oct	750.00	5.0
MAZAMA CAPITAL MGMT.	035	CPX	B	62,400	17.74	n/a	n/a	2,496.00	4.0
HIGHBRIDGE CAPITAL	038	CSX	B	3,000	35.36	n/a	n/a	150.00	5.0
PATTEN & PATTEN	067	CVS	B	175	31.09	n/a	n/a	8.75	5.0
MKT MAKER	099	CWTR	S	400	30.27	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	DG	S	113,800	13.64	21-Aug	13-Oct	4,552.00	4.0
BUCK CAPITAL MGMT	001	DKS	S	15,000	49.44	n/a	n/a	600.00	4.0
WHEELER	008	DWSN	S	2,276	29.92	n/a	n/a	0.00	0.0
HASAN	010	EBHI	S	1,500	9.47	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	ECL	B	37,000	44.66	n/a	25-Jul	1,850.00	5.0
HIGHBRIDGE CAPITAL	038	EMN	B	6,500	57.24	n/a	n/a	325.00	5.0
J L F ASSET MGMT	039	ETN	B	12,100	74.53	16-Oct	16-Oct	484.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	10,000	37.34	n/a	10-Jan	400.00	4.0
WHITE PINE CAPITAL	030	GGG	B	350	43.52	n/a	n/a	17.50	5.0
WHITE PINE CAPITAL	030	IFF	B	600	40.95	16-Oct	16-Oct	30.00	5.0
MAGUIRE	090	IINT	S	13,540	2.71	n/a	n/a	0.00	0.0
TRIBECA	038	IMH	S	2,600	9.95	n/a	n/a	130.00	5.0
BARR	096	IOM	B	4,000	3.34	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	ISE	B	20,000	48.71	2-Oct	12-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	40,000	70.25	2-Oct	6-Oct	1,600.00	4.0
BUCK CAPITAL MGMT	001	KWD	S	5,000	31.12	n/a	n/a	200.00	4.0
SINCLAIR	031	LAB	B	500	9.64	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	MPW	B	30,500	14.79	n/a	n/a	1,372.50	4.5
BELAY CAPITAL	039	MSM	S	6,200	42.35	n/a	n/a	248.00	4.0
BUCK CAPITAL MGMT	001	NDN	B	10,000	12.27	11-Aug	13-Oct	400.00	4.0
MAZAMA CAPITAL MGMT.	035	NGS	B	16,200	14.04	n/a	n/a	648.00	4.0
HIGHBRIDGE CAPITAL	038	NSC	B	7,000	47.67	n/a	n/a	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	OLN	B	800	17.39	n/a	28-Jul	40.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	15,000	50.01	n/a	n/a	600.00	4.0
COHE & STEERS	024	PCL	B	300,000	35.08	3-May	25-Jul	15,000.00	5.0
BLACKROCK/BOSTON	037	PDC	S	53,800	13.06	n/a	n/a	2,152.00	4.0
LEEDS	002	PDCO	S	5,000	33.77	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	PERY	B	400	34.82	n/a	n/a	20.00	5.0
GALLEON MGMT LP	033	PFE	B	50,000	27.65	n/a	31-Mar	2,500.00	5.0
EFSTATHIOU	044	PPCO	B	300	18.57	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	PPG	B	3,000	69.31	n/a	22-Aug	150.00	5.0
NCM CAPITAL MGMT	035	PTI	S	10,900	19.66	n/a	n/a	545.00	5.0
WHITE PINE CAPITAL	030	RCKY	B	5,000	13.28	n/a	n/a	250.00	5.0
WILLIAM BLAIR	031	RHI	B	48,600	35.93	n/a	n/a	1,944.00	4.0
BUCK CAPITAL MGMT	001	RL	S	45,000	69.90	18-Sep	19-Sep	1,800.00	4.0
HIGHBRIDGE CAPITAL	038	ROH	B	37,000	52.60	13-Oct	13-Oct	1,850.00	5.0
WHITE PINE CAPITAL	030	RVI	B	1,500	17.18	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MKT MAKER	099	SCHL	B	2,740	31.30	n/a	n/a	0.00	0.0
MKT MAKER	099	SCHL	S	600	31.30	n/a	n/a	0.00	0.0
SNYDER CAPITAL	099	SCHL	B	71,800	31.24	n/a	n/a	3,590.00	5.0
CLOVIS CAPITAL	012	SJM	S	15,000	48.17	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	SNE	B	225	40.86	n/a	n/a	11.25	5.0
CROWLEY	061	SOLUQ	B	10,000	0.47	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	SPC	B	17,100	10.07	n/a	18-Sep	684.00	4.0
HIGHBRIDGE CAPITAL	038	SPY	B	11,500	136.88	n/a	n/a	575.00	5.0
BALYASNY ASSET MGMT	044	STI	S	15,000	78.91	n/a	n/a	750.00	5.0
MAIRS AND POWER INV	030	SVU	S	20,000	32.77	n/a	n/a	1,200.00	6.0
BUCK CAPITAL MGMT	001	TBL	S	20,000	29.73	19-Jul	5-Oct	800.00	4.0
EGS ASSOCIATES LP	059	TLB	B	4,000	29.60	n/a	17-Aug	240.00	6.0
LISTED ERR	099	TWB	S	700	40.42	5-Sep	3-Oct	0.00	0.0
SAC TRADING HOWARD	038	TWB	S	15,000	40.51	5-Sep	3-Oct	750.00	5.0
STERLING JOHNSTON	035	TWB	B	24,500	40.47	5-Sep	3-Oct	1,225.00	5.0
SINCLAIR	031	UFPI	S	100	52.00	n/a	n/a	0.00	0.0
CADMUS CAP	035	UNH	B	50,000	47.96	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MUHLENKAMP FUND	046	UNH	S	15,400	48.04	n/a	n/a	770.00	5.0
HIGHBRIDGE CAPITAL	038	UNP	B	500	92.12	n/a	n/a	25.00	5.0
BELAY CAPITAL	039	USG	B	10,000	51.80	n/a	n/a	400.00	4.0
BULL PATH CAPITAL	044	WDR	B	20,000	26.00	13-Oct	16-Oct	1,000.00	5.0
SLS CAPITAL LLC	224	WEN	S	126,700	34.86	12-Oct	13-Oct	6,335.00	5.0
COUGAR TRADING	044	WRNC	B	5,000	20.81	5-Sep	15-Sep	250.00	5.0
J L F ASSET MGMT	039	WSM	S	70,600	32.99	n/a	n/a	2,824.00	4.0
GOLD SACHS SPECIAL SIT	037	WY	S	182,000	65.15	20-Sep	11-Oct	9,100.00	5.0
TOTAL:								103,495.25	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	BIG	S	10,000	20.86	16-Aug	13-Oct	400.00 4.0
AO,CXL	THE JAY GOLDMAN (GOLDWOODMA)	034	BIG	S	5,000	20.86	16-Aug	13-Oct	200.00 4.0
AO,CXL	THE JAY GOLDMAN (GOLDMASTER)	034	BIG	S	5,000	20.86	16-Aug	13-Oct	200.00 4.0
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	GES	B	42,040	56.33	n/a	n/a	1,681.60 4.0
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	GES	B	42,040	56.36	n/a	n/a	1,681.60 4.0
AO,	TROUBH PART (TROUGOLD)	067	LVLIT	S	100,700	5.26	4-Aug	18-Sep	6,042.00 6.0
AO,CXL	COLUMBUS CIRCLE (COLCCALL03)	036	ORCL	B	210	18.55	n/a	n/a	8.40 4.0
AO,	COLUMBUS CIRCLE (COLCCALL05)	036	ORCL	B	210	18.55	n/a	n/a	8.40 4.0
AO,	MKT MAKER (MKT MAKER)	099	PSUN	S	20	17.47	3-Aug	6-Oct	0.00 0.0
AO,CXL	LISTED ERR (LISTED ERR)	099	TWB	S	700	40.31	5-Sep	3-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.