



Daily Compliance Activity Report

Trade Date: 11/10/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EAGLE ASSET MGMT	044	AB	B	41,885	76.07	25-Oct	9-Nov	1,675.40	4.0
S.A.C. CAPITAL MGMT.	044	AEOS	S	25,000	46.81	23-Oct	9-Nov	1,250.00	5.0
ROYCE TRADING	216	AIN	B	10,000	32.01	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	ALB	B	18,000	66.29	n/a	n/a	900.00	5.0
RBC CAPITAL MARKETS	034	ARO	S	25,000	28.58	23-Oct	3-Nov	1,250.00	5.0
BRIGHTPOINT CAP	067	BIG	S	5,000	21.34	16-Aug	3-Nov	250.00	5.0
LEDDY	035	CAT	S	250	59.42	n/a	n/a	0.00	0.0
SUTERA	060	CHS	S	1,000	23.46	2-Nov	3-Nov	0.00	0.0
SAC TRADING HOWARD	038	CHS	S	10,000	23.19	2-Nov	3-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	COH	B	10,000	38.81	25-Oct	25-Oct	400.00	4.0
SAXON WOODS ADVISORS	038	COH	S	10,000	38.72	25-Oct	25-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	CRI	B	50,000	26.16	n/a	n/a	2,000.00	4.0
PHILADELPHIA FINANCIAL	031	CS	B	10,000	64.75	n/a	n/a	500.00	5.0
S.A.C. CAPITAL MGMT.	044	CSCO	S	275,000	26.63	n/a	22-Mar	13,750.00	5.0
SEAROCK CAPITAL MANAGE	012	CVS	B	10,000	28.94	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	DOW	B	16,000	40.77	n/a	26-Oct	800.00	5.0
BACKUS	005	END	B	10,000	2.22	n/a	n/a	0.00	0.0
BACKUS	005	EV	S	3,000	30.15	30-Oct	3-Nov	0.00	0.0
MERRILL ASSET	032	FBR	S	86,400	7.09	n/a	n/a	4,320.00	5.0
BUCK CAPITAL MGMT	001	FD	B	30,000	40.21	9-Nov	9-Nov	1,200.00	4.0
MATTHES CAPITAL MGMT	033	FDO	S	5,000	27.36	3-Nov	3-Nov	200.00	4.0
COLUMBIA PARTNERS	028	FLE	S	6,300	6.85	n/a	n/a	252.00	4.0
LUCHANSKY2	036	GQUWI	B	5	0.40	n/a	n/a	0.00	0.0
ROYCE TRADING	216	GY	B	10,000	13.01	n/a	n/a	500.00	5.0
ROYCE TRADING	216	HBI	B	10,000	22.29	n/a	n/a	500.00	5.0
THIRD POINT MGMT	044	HUM	B	50,000	51.93	n/a	n/a	2,000.00	4.0
T. ROWE PRICE	033	JNS	B	25,000	19.57	30-Oct	2-Nov	1,000.00	4.0
ROYCE TRADING	216	KND	B	5,000	25.50	n/a	n/a	250.00	5.0
VIKING GLOBAL	030	KSS	S	65,000	72.12	9-Nov	10-Nov	3,250.00	5.0
WEISS PECK	040	KSS	B	2,800	71.99	9-Nov	10-Nov	140.00	5.0
BACKUS	005	LBTYA	B	2,000	27.31	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KARSCH CAPITAL	034	LEH	B	90,000	71.82	n/a	12-Oct	2,700.00	3.0
T. ROWE PRICE	033	MAT	S	50,000	23.43	n/a	n/a	2,000.00	4.0
FORCE CAPITAL MGMT	030	MCD	S	50,000	42.11	12-Oct	31-Oct	1,500.00	3.0
ROYCE TRADING	216	MDC	B	10,000	49.39	n/a	n/a	500.00	5.0
MORRISON & FRASIER	040	MDG	B	50,000	27.83	n/a	n/a	2,500.00	5.0
ROBERTSON STEVENS BC	033	MOT	B	5,000	21.37	n/a	n/a	200.00	4.0
BACKUS	005	NDN	B	3,000	11.69	11-Aug	3-Nov	0.00	0.0
CIRCLE T PART	035	NDN	B	20,000	11.88	11-Aug	3-Nov	1,000.00	5.0
RAINIER INV MGMT	035	NOV	B	70,300	61.15	n/a	n/a	3,515.00	5.0
CAPITAL GROWTH MGMT.	241	PCU	S	400,000	54.95	n/a	n/a	16,000.00	4.0
LATEFF MGMT	040	PTV	S	5,000	32.80	n/a	n/a	700.00	14.0
ROBERTSON STEVENS BC	033	QCOM	B	6,250	34.40	n/a	n/a	250.00	4.0
LEDDY	035	RCKY	S	700	13.88	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	SKS	B	20,000	19.99	n/a	n/a	800.00	4.0
DG CAPITAL	039	T	S	245,100	32.81	20-Sep	9-Nov	12,255.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	20,000	26.41	2-Oct	3-Nov	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOMERSET ADV	044	TWI	B	9,500	17.70	n/a	n/a	475.00	5.0
ROYCE TRADING	216	TWP	B	10,000	21.15	n/a	n/a	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	WFMI	B	50,000	49.07	n/a	n/a	2,000.00	4.0
FARBER/WEISS PECK	012	WSM	S	32,500	33.23	n/a	n/a	1,625.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	14.36	8-Sep	8-Sep	2,000.00	4.0
TOTAL:								89,507.40	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	SEAROCK CAPITAL MANAGE (SEARMS)	012	CC	B	100,000	25.38	n/a	18-Oct	5,000.00	5.0
AO,	SEAROCK CAPITAL MANAGE (SEARMS)	012	CC	B	100,000	25.38	n/a	18-Oct	4,000.00	4.0
AO,CXL	MS PRINCIPAL STRATEGIES (MSPSMS)	040	CENX	S	33,900	38.74	n/a	n/a	1,356.00	4.0
AO,	MS PRINCIPAL STRATEGIES (MSPSMS)	040	CENX	S	33,900	38.74	n/a	n/a	1,695.00	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	DLTR	S	2	30.91	27-Sep	3-Nov	0.00	0.0
AO,	MKT MAKER (MKT MAKER)	099	FBTX	B	64	18.95	n/a	n/a	0.00	0.0
AO,	AMBER CAPITAL (AMBRLEH)	046	FBTX	B	4,300	18.95	n/a	n/a	172.00	4.0
AO,CXL	PILOT ROCK (PILRPBX)	028	JWN	S	25,000	46.17	2-Nov	3-Nov	1,250.00	5.0
AO,	PILOT ROCK (PILRPBX)	028	JWN	S	25,000	46.17	2-Nov	3-Nov	1,000.00	4.0
AO,	THOMSON HORSTMAN BRYANT (THNBPRUEMO)	040	NWY	B	200	13.18	n/a	3-Nov	10.00	5.0
AO,CXL	THOMSON HORSTMAN BRYANT (THNBPRUEGR)	040	NWY	B	200	13.18	n/a	3-Nov	10.00	5.0
AO,	SEAROCK CAPITAL MANAGE (SEARMS)	012	PSS	S	150,000	27.72	n/a	n/a	6,000.00	4.0
AO,CXL	SEAROCK CAPITAL MANAGE (SEARMS)	012	PSS	S	150,000	27.72	n/a	n/a	7,500.00	5.0
AO,	DOWNTOWN ASSOC (DOWNGS)	033	URBN	S	154,333	21.13	5-Oct	10-Nov	5,401.66	3.5
AO,CXL	SEAROCK CAPITAL MANAGE (SEARMS)	012	WMT	S	50,000	46.94	5-Oct	9-Nov	2,500.00	5.0
AO,	SEAROCK CAPITAL MANAGE (SEARMS)	012	WMT	S	50,000	46.94	5-Oct	9-Nov	2,000.00	4.0

Legend:

Blue: Employee and Proprietary Trades.

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

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