



Daily Compliance Activity Report

Trade Date: 11/21/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	044	AA	B	347,904	29.27	n/a	n/a	13,916.16	4.0
STANDARD PACIFIC CAPITAL	040	AAPL	B	63,000	87.96	n/a	n/a	3,150.00	5.0
WEISS PECK	040	AEOS	B	8,500	47.50	15-Nov	15-Nov	425.00	5.0
ROYCE TRADING	216	AG	S	5,000	32.09	n/a	n/a	250.00	5.0
BELAY CAPITAL	039	ANN	B	5,000	35.46	6-Jul	17-Nov	200.00	4.0
XYLEM GLOBAL	024	ARA	S	20,000	60.00	n/a	n/a	1,000.00	5.0
BELAY CAPITAL	039	ARO	B	10,000	29.45	23-Oct	3-Nov	400.00	4.0
THE JAY GOLDMAN	034	ARO	B	40,000	29.36	23-Oct	3-Nov	1,600.00	4.0
BARR	096	AVNX	B	4,900	2.01	n/a	n/a	0.00	0.0
GENERAL ELECTIC CO	033	BAC	S	24,423	54.57	19-Jul	20-Nov	1,099.04	4.5
DELTEC ASSET MGMT.	040	BONT	B	16,200	33.50	23-Oct	21-Nov	810.00	5.0
CR INTRINIC INVESTMENT	044	BRCD	B	500,000	8.47	n/a	n/a	25,000.00	5.0
BUCK CAPITAL MGMT	001	CBK	S	35,000	22.16	2-Nov	3-Nov	1,400.00	4.0
PATTEN & PATTEN	067	CBS	B	600	29.44	n/a	n/a	30.00	5.0
ASCEND PARTNERS	033	CC	B	100,000	23.95	n/a	16-Nov	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARIENCE CAPITAL	036	CHS	B	40,560	23.30	20-Nov	21-Nov	2,028.00	5.0
BELMONT GLOBAL ADV	248	CHS	S	13,000	23.47	20-Nov	21-Nov	650.00	5.0
COLONIAL FUND LLC	036	CHS	S	50,000	23.35	20-Nov	21-Nov	2,500.00	5.0
COUGAR TRADING	044	CHS	S	7,500	23.31	20-Nov	21-Nov	375.00	5.0
FIRST NEW YORK LEDDY	035	CHS	B	15,000	23.52	20-Nov	21-Nov	900.00	6.0
THE JAY GOLDMAN	034	CHS	B	30,000	23.39	20-Nov	21-Nov	1,200.00	4.0
BELAY CAPITAL	039	CLE	B	10,000	31.29	2-Nov	16-Nov	400.00	4.0
EOS PARTNERS	040	CMG	B	7,300	61.60	n/a	1-Nov	365.00	5.0
PATTEN & PATTEN	067	COP	B	300	63.57	n/a	n/a	15.00	5.0
MORGAN LEWIS/MLH	046	COT	S	10,000	13.96	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	CRI	B	30,000	28.59	n/a	n/a	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	CZN	B	4,000	13.96	n/a	n/a	200.00	5.0
HIGHBRIDGE CAPITAL	038	DTV	S	447,000	22.33	n/a	9-Nov	22,350.00	5.0
STRAUSS ASSET MGMT	040	EAR	B	36,400	1.57	n/a	n/a	1,092.00	3.0
SANDELL ADV	040	EXC	B	25,000	58.70	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	EZU	B	100	100.76	n/a	n/a	5.00	5.0
GALLEON MGMT LP	033	F	S	40,000	8.51	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	FD	B	170,000	42.45	9-Nov	17-Nov	6,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	035	FD	S	35,000	42.52	9-Nov	17-Nov	1,400.00	4.0
ROARING BLUE LION MGMT	012	FDO	S	16,200	28.63	3-Nov	3-Nov	648.00	4.0
SAC TRADING HOWARD	038	GCO	B	20,000	37.84	n/a	10-Jan	1,000.00	5.0
LUCHANSKY1	036	GENZ	S	100	65.98	n/a	n/a	0.00	0.0
FORCE CAPITAL MGMT	030	GM	S	50,000	32.96	n/a	n/a	1,500.00	3.0
MS PRINCIPAL STRATEGIES	040	GOL	S	200,000	27.63	n/a	n/a	10,000.00	5.0
STANDARD PACIFIC CAPITAL	040	GOOG	B	87,700	506.27	n/a	n/a	4,385.00	5.0
MATRIX ASSET ADV.	036	GPS	B	35,000	19.24	31-Jul	17-Nov	1,050.00	3.0
HAYGROUND COE	039	HD	S	55,750	38.17	n/a	15-Nov	2,787.50	5.0
MISSOURI VALLEY PART	046	ISE	S	6,270	54.69	25-Oct	13-Nov	313.50	5.0
RIVER RUN MGMT	031	ITCD	B	45,000	2.37	n/a	n/a	1,350.00	3.0
PATTEN & PATTEN	067	ITT	B	200	55.37	30-Oct	30-Oct	10.00	5.0
SYSTEMATIC FINANCIAL MGT	035	JBX	S	10,000	61.86	n/a	21-Nov	400.00	4.0
LUCHANSKY1	036	JPM	S	100	47.63	n/a	13-Nov	0.00	0.0
GAULT	063	JWN	S	500	49.25	2-Nov	21-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	JWN	B	5,000	49.20	2-Nov	21-Nov	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	JWN	S	25,000	48.34	2-Nov	21-Nov	1,000.00	4.0
BUCK CAPITAL MGMT	001	KMX	B	5,000	46.21	n/a	10-Jan	200.00	4.0
HAYGROUND COE	039	KR	S	100,000	21.79	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	72.52	9-Nov	10-Nov	800.00	4.0
CUMBERLAND	038	KSS	S	25,000	72.14	9-Nov	10-Nov	1,000.00	4.0
MAZAMA CAPITAL MGMT.	035	LAZ	S	22,100	44.42	n/a	n/a	884.00	4.0
LUCHANSKY3	036	LEH	B	600	76.45	n/a	13-Nov	0.00	0.0
BRUNNER	012	MESA	B	1,000	8.50	n/a	n/a	0.00	0.0
MTB INV ADV	034	MLI	B	24,000	34.74	24-Oct	24-Oct	1,200.00	5.0
WASHINGTON ASSET	048	NEWP	S	15,000	22.40	n/a	n/a	750.00	5.0
AAD CAPITAL	099	NKE	B	23,900	96.79	n/a	n/a	478.00	2.0
ROYCE TRADING	216	OMG	S	5,000	47.89	n/a	n/a	250.00	5.0
ROYCE TRADING	216	OSG	B	10,000	60.38	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	PEP	S	15,000	62.43	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	Q	B	6,000	7.75	n/a	n/a	300.00	5.0
BUCK CAPITAL MGMT	001	RL	S	15,000	76.80	9-Nov	9-Nov	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	SHPGY	S	200	60.09	16-Nov	20-Nov	0.00	0.0
CAXTON PART	040	SLG	S	10,000	140.48	n/a	n/a	400.00	4.0
REICH AND TANG	037	SPAR	S	15,000	23.23	n/a	n/a	750.00	5.0
CAXTON PART	040	STJ	B	100,000	37.65	n/a	n/a	4,000.00	4.0
WHITE PINE CAPITAL	030	STJ	B	6,050	37.84	n/a	n/a	302.50	5.0
TRELLUS PARTNERS LP	028	SVVS	B	50,000	31.45	n/a	n/a	2,500.00	5.0
FIRST INV MGMT CORP	036	SYMC	S	42,600	20.65	n/a	3-Apr	2,130.00	5.0
BUCK CAPITAL MGMT	001	TBL	S	70,000	31.72	14-Nov	15-Nov	2,800.00	4.0
BELMONT GLOBAL ADV	248	TEX	B	1,000	57.91	n/a	n/a	50.00	5.0
SHAREVEST CAPITAL MGMT.	038	THO	B	9,100	43.52	n/a	n/a	455.00	5.0
BELAY CAPITAL	039	TIF	B	5,000	37.10	n/a	6-Oct	200.00	4.0
THE JAY GOLDMAN	034	TIN	S	20,000	38.85	8-Nov	27-Oct	800.00	4.0
ZANDER CAPITAL MGMT	035	TIN	B	1,000	39.00	8-Nov	27-Oct	40.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	30,000	41.84	5-Sep	16-Nov	1,200.00	4.0
BRENCOURT	028	TWX	B	50,000	20.68	n/a	n/a	2,500.00	5.0
M. KRAUS & CO.	037	TYC	B	17,075	30.33	2-Oct	15-Nov	1,024.50	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	UB	S	20,000	58.38	n/a	n/a	800.00	4.0
CAXTON PART	040	VIAB	B	20,000	38.97	n/a	n/a	800.00	4.0
HIGHBRIDGE CAPITAL	038	WCI	S	27,500	19.17	n/a	n/a	1,375.00	5.0
HIGHFIELDS CAP MGMT	039	WEN	B	270,000	33.30	12-Oct	27-Oct	10,800.00	4.0
BARROW HANLEY MEWHINNEY	031	WHR	S	46,500	86.19	n/a	n/a	1,860.00	4.0
HIGHBRIDGE CAPITAL	038	WIN	B	4,000	13.94	n/a	n/a	200.00	5.0
ROYCE TRADING	216	WLT	B	10,000	43.75	n/a	n/a	500.00	5.0
LISTED ERR	099	WMB	B	750	26.75	n/a	n/a	0.00	0.0
LISTED ERR	099	WMB	S	750	26.68	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WMB	S	750	26.68	n/a	n/a	37.50	5.0
BALYASNY ASSET MGMT	044	WMT	S	15,000	47.62	5-Oct	15-Nov	750.00	5.0
TOTAL (Trade Date) :								173,140.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	11/17	BUCK CAPITAL MGMT (BUCK)	015		B	80,000	81.50	n/a	n/a	0.00	0.0
AO,CRT	11/20	MKT MAKER (MKT MAKER)	099	ASCA	S	100	31.00	n/a	26-Oct	0.00	0.0
AO,	11/20	DIAMONDBACK CAP MGMT (DIAMMORGAN)	232	BYD	B	15,000	41.69	n/a	27-Oct	750.00	5.0
AO,	11/20	BELMONT GLOBAL ADV (BELMJFFPB)	248	CHS	S	10,000	24.07	20-Nov	21-Nov	500.00	5.0
AO,CXL	11/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DG	B	250,000	15.04	21-Aug	3-Nov	10000.00	4.0
AO,CXL	11/20	THIRD COAST CAPITAL (3CAPP B @)	035	GYMB	S	10,000	43.41	21-Sep	16-Nov	500.00	5.0
AO,	11/20	THIRD COAST CAPITAL (3CAPP B @)	035	GYMB	S	10,000	43.41	21-Sep	16-Nov	500.00	5.0
AO,	11/20	REINHART & MAHONEY (REINSTRATT)	031	HCC	S	2,720	30.06	n/a	n/a	136.00	5.0
AO,	11/20	REINHART & MAHONEY (REINTURERB)	031	HCC	S	120	30.06	n/a	n/a	6.00	5.0
AO,	11/20	REINHART & MAHONEY (REINSCHOOW)	031	HCC	S	525	30.06	n/a	n/a	26.25	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINPETTIT)	031	HCC	S	4,255	30.06	n/a	n/a	212.75	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINBLAKEM)	031	HCC	S	185	30.06	n/a	n/a	9.25	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINWILLTR)	031	HCC	S	900	30.06	n/a	n/a	45.00	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINKANTMR)	031	HCC	S	500	30.06	n/a	n/a	25.00	5.0
AO,	11/20	REINHART & MAHONEY (REINPETTIT)	031	HCC	S	4,255	30.06	n/a	n/a	212.75	5.0
AO,	11/20	REINHART & MAHONEY (REINBLAKEM)	031	HCC	S	185	30.06	n/a	n/a	9.25	5.0
AO,	11/20	REINHART & MAHONEY (REINWILLTR)	031	HCC	S	900	30.06	n/a	n/a	45.00	5.0
AO,	11/20	REINHART & MAHONEY (REINKANTMR)	031	HCC	S	500	30.06	n/a	n/a	25.00	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINCHESTE)	031	HCC	S	965	30.06	n/a	n/a	48.25	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINBLAKEB)	031	HCC	S	185	30.06	n/a	n/a	9.25	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINMILWCO)	031	HCC	S	6,230	30.06	n/a	n/a	311.50	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINTICE4)	031	HCC	S	1,800	30.06	n/a	n/a	90.00	5.0
AO,	11/20	REINHART & MAHONEY (REINCHESTE)	031	HCC	S	965	30.06	n/a	n/a	48.25	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/20	REINHART & MAHONEY (REINBLAKEB)	031	HCC	S	185	30.06	n/a	n/a	9.25 5.0
AO,	11/20	REINHART & MAHONEY (REINMILWCO)	031	HCC	S	6,230	30.06	n/a	n/a	311.50 5.0
AO,	11/20	REINHART & MAHONEY (REINTICE4)	031	HCC	S	1,800	30.06	n/a	n/a	90.00 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINMILLER)	031	HCC	S	2,800	30.06	n/a	n/a	140.00 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINKIPP)	031	HCC	S	630	30.06	n/a	n/a	31.50 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINKANTJM)	031	HCC	S	1,905	30.06	n/a	n/a	95.25 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINAMHMFLL)	031	HCC	S	5,330	30.06	n/a	n/a	266.50 5.0
AO,	11/20	REINHART & MAHONEY (REINMILLER)	031	HCC	S	2,800	30.06	n/a	n/a	140.00 5.0
AO,	11/20	REINHART & MAHONEY (REINKIPP)	031	HCC	S	630	30.06	n/a	n/a	31.50 5.0
AO,	11/20	REINHART & MAHONEY (REINKANTJM)	031	HCC	S	1,905	30.06	n/a	n/a	95.25 5.0
AO,	11/20	REINHART & MAHONEY (REINAMHMFLL)	031	HCC	S	5,330	30.06	n/a	n/a	266.50 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINMKETRA)	031	HCC	S	12,735	30.06	n/a	n/a	636.75 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINCST197)	031	HCC	S	565	30.06	n/a	n/a	28.25 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINAMERHO)	031	HCC	S	3,150	30.06	n/a	n/a	157.50 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINKANTJE)	031	HCC	S	3,400	30.06	n/a	n/a	170.00 5.0
AO,	11/20	REINHART & MAHONEY (REINMKETRA)	031	HCC	S	12,735	30.06	n/a	n/a	636.75 5.0
AO,	11/20	REINHART & MAHONEY (REINCST197)	031	HCC	S	565	30.06	n/a	n/a	28.25 5.0
AO,	11/20	REINHART & MAHONEY (REINAMERHO)	031	HCC	S	3,150	30.06	n/a	n/a	157.50 5.0
AO,	11/20	REINHART & MAHONEY (REINKANTJE)	031	HCC	S	3,400	30.06	n/a	n/a	170.00 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINSECHAR)	031	HCC	S	350	30.06	n/a	n/a	17.50 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINCST 19)	031	HCC	S	1,950	30.06	n/a	n/a	97.50 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINCST64W)	031	HCC	S	9,600	30.06	n/a	n/a	480.00 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINKANTGS)	031	HCC	S	750	30.06	n/a	n/a	37.50 5.0
AO,	11/20	REINHART & MAHONEY (REINSECHAR)	031	HCC	S	350	30.06	n/a	n/a	17.50 5.0
AO,	11/20	REINHART & MAHONEY (REINCST 19)	031	HCC	S	1,950	30.06	n/a	n/a	97.50 5.0
AO,	11/20	REINHART & MAHONEY (REINCST64W)	031	HCC	S	9,600	30.06	n/a	n/a	480.00 5.0
AO,	11/20	REINHART & MAHONEY (REINKANTGS)	031	HCC	S	750	30.06	n/a	n/a	37.50 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINCST64M)	031	HCC	S	2,895	30.06	n/a	n/a	144.75 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINWILLIR)	031	HCC	S	645	30.06	n/a	n/a	32.25 5.0
AO,CXL	11/20	REINHART & MAHONEY (REINBLAKEM)	031	HCC	S	185	30.06	n/a	n/a	9.25 5.0

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AO,CXL	11/20	REINHART & MAHONEY (REINSCHOO0)	031	HCC	S	240	30.06	n/a	n/a	12.00	5.0
AO,	11/20	REINHART & MAHONEY (REINCST64M)	031	HCC	S	2,895	30.06	n/a	n/a	144.75	5.0
AO,	11/20	REINHART & MAHONEY (REINWILLIR)	031	HCC	S	645	30.06	n/a	n/a	32.25	5.0
AO,	11/20	REINHART & MAHONEY (REINBLAKEM)	031	HCC	S	185	30.06	n/a	n/a	9.25	5.0
AO,	11/20	REINHART & MAHONEY (REINSCHOO0)	031	HCC	S	240	30.06	n/a	n/a	12.00	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINGILBER)	031	HCC	S	295	30.06	n/a	n/a	14.75	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINONGWRT)	031	HCC	S	190	30.06	n/a	n/a	9.50	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINTURERQ)	031	HCC	S	70	30.06	n/a	n/a	3.50	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINSCHOO9)	031	HCC	S	235	30.06	n/a	n/a	11.75	5.0
AO,	11/20	REINHART & MAHONEY (REINGILBER)	031	HCC	S	295	30.06	n/a	n/a	14.75	5.0
AO,	11/20	REINHART & MAHONEY (REINONGWRT)	031	HCC	S	190	30.06	n/a	n/a	9.50	5.0
AO,	11/20	REINHART & MAHONEY (REINTURERQ)	031	HCC	S	70	30.06	n/a	n/a	3.50	5.0
AO,	11/20	REINHART & MAHONEY (REINSCHOO9)	031	HCC	S	235	30.06	n/a	n/a	11.75	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINSTRATT)	031	HCC	S	2,720	30.06	n/a	n/a	136.00	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINTURERB)	031	HCC	S	120	30.06	n/a	n/a	6.00	5.0
AO,CXL	11/20	REINHART & MAHONEY (REINSCHOOOW)	031	HCC	S	525	30.06	n/a	n/a	26.25	5.0
AO,	11/20	WILLIAM BLAIR (WBLA54KERF)	031	KSS	B	8,080	71.73	9-Nov	10-Nov	323.20	4.0
AO,	11/20	WILLIAM BLAIR (WBLA54KERR)	031	KSS	B	14,510	71.73	9-Nov	10-Nov	580.40	4.0
AO,CXL	11/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	S	30,000	76.21	9-Nov	9-Nov	1500.00	5.0
AO,	11/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	S	30,000	76.21	9-Nov	9-Nov	1200.00	4.0
AO,CXL	11/17	LISTED ERR (LISTED ERR)	099	XOM	B	9	72.88	n/a	n/a	0.00	0.0
AO,CRT	11/17	LISTED ERR (LISTED ERR)	099	XOM	B	9	72.88	n/a	n/a	0.00	0.0
AO,CXL	11/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	S	80,000	14.27	8-Sep	8-Sep	3200.00	4.0
AO,	11/17	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	S	79,900	14.27	8-Sep	8-Sep	3196.00	4.0
AO,	11/17	BUCK CAPITAL MGMT (BUCKGIL)	001	ZQK	S	100	14.27	8-Sep	8-Sep	4.00	4.0
TOTAL (AO, CXL, CRT) :									-8,146.40		

TOTAL (Trade Date):	173,140.70
TOTAL (AO, CXL, CRT):	-8,146.40

TOTAL (RUN DATE) / NFS:	164,994.30
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Legend:

Blue: Employee and Proprietary Trades.

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

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