



Daily Compliance Activity Report

Trade Date: 10/18/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HAYGROUND COE	039	AAPL	B	30,000	74.92	n/a	n/a	1,500.00	5.0
INDEPENDENCE INV	039	AET	S	17,800	39.77	n/a	n/a	712.00	4.0
SCHEINER	037	AG	B	1,000	27.05	n/a	n/a	0.00	0.0
TRIBECA/DOUG	040	AGE	S	15,000	56.09	n/a	n/a	600.00	4.0
SUN AMERICA ASSET MGMT	030	AMAT	S	204,900	17.98	n/a	n/a	10,245.00	5.0
SCHEINER	037	AMG	S	230	95.11	13-Oct	16-Oct	0.00	0.0
CENTURION PARTNERS	244	ANF	B	15,000	75.25	31-Aug	6-Oct	750.00	5.0
UBS OCONNOR	031	ANF	S	13,900	76.05	31-Aug	6-Oct	695.00	5.0
KENNEDY CAPITAL	046	APOL	B	48,150	40.29	n/a	n/a	1,926.00	4.0
PHILADELPHIA FINANCIAL	031	AVZ	S	11,890	22.85	6-Sep	18-Oct	594.50	5.0
HARVEST MGMT	039	BBW	S	5,000	26.90	n/a	n/a	250.00	5.0
J L F ASSET MGMT	039	BBY	S	47,900	55.86	13-Jun	13-Sep	1,916.00	4.0
DELTEC ASSET MGMT.	040	BONT	S	4,000	37.39	5-Oct	6-Oct	200.00	5.0
APEX CAPITAL MGMT.	002	BRCM	S	20,000	28.50	n/a	n/a	1,000.00	5.0
EOS PARTNERS	040	BUCY	B	2,000	50.34	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	C	B	10,000	50.10	n/a	12-Oct	500.00	5.0
VISIUM/BALY HOWARD	038	CBK	S	7,500	28.58	18-Sep	2-Oct	375.00	5.0
FORTRESS CAPITAL	040	CC	S	75,000	28.03	n/a	18-Oct	3,750.00	5.0
ASCEND PARTNERS	033	CCK	B	65,000	18.99	n/a	n/a	3,250.00	5.0
FRIESS MGMT	042	CCK	B	88,500	18.97	n/a	n/a	3,982.50	4.5
PROVIDENT INV COUNSEL	048	CCOI	B	24,391	13.91	n/a	n/a	1,219.55	5.0
CAPITAL GROWTH MGMT.	241	CLB	S	40,000	66.72	7-Aug	17-Oct	2,000.00	5.0
PHILADELPHIA FINANCIAL	031	CLMS	S	45,500	30.86	n/a	16-Oct	2,275.00	5.0
LINCOLN FUNDS	031	CMG	B	3,000	56.40	n/a	11-Sep	120.00	4.0
BEAR STEARNS ASSET MGMT.	033	COST	B	50,000	52.38	n/a	13-Oct	2,000.00	4.0
INDEPENDENCE INV	039	CSX	S	84,400	35.85	n/a	n/a	3,376.00	4.0
HIGHBRIDGE CAPITAL	038	CZN	B	9,000	14.47	n/a	n/a	450.00	5.0
INVISTA CAP/PRINCIPAL	046	CZN	S	16,555	14.34	n/a	n/a	827.75	5.0
LEVIN CAPITAL STRATEGIES	012	DD	B	15,000	45.19	n/a	27-Sep	600.00	4.0
STRAUSS ASSET MGMT	040	EHTH	B	10,000	21.95	n/a	n/a	500.00	5.0
DSG CAPITAL	225	EV	S	1,700	30.00	6-Oct	16-Oct	85.00	5.0

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EFSTATHIOU	044	EZM	S	1,000	2.95	n/a	n/a	0.00	0.0
SAC TRADING HOWARD	038	FL	S	30,000	23.43	n/a	18-Aug	1,500.00	5.0
PROVIDENT INV COUNSEL	048	FLOW	S	32,680	13.04	n/a	n/a	1,634.00	5.0
LUCHANSKY1	036	FNM	B	200	59.55	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	FNM	S	19,800	59.12	n/a	n/a	792.00	4.0
DENVER INST. ADV	046	FRX	S	100,000	52.02	17-Oct	18-Oct	5,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	25,000	37.41	n/a	10-Jan	1,000.00	4.0
KERN	050	GLW	B	100	24.85	n/a	3-Oct	0.00	0.0
APEX CAPITAL MGMT.	002	GYI	S	100,000	50.30	n/a	n/a	5,000.00	5.0
TRI SUN CAPITAL	012	HC	B	10,000	19.29	27-Jul	17-Oct	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	HET	S	286,100	74.41	3-Oct	3-Oct	14,305.00	5.0
STRAUSS ASSET MGMT	040	HOG	B	5,000	68.17	n/a	n/a	250.00	5.0
RIVER RUN MGMT	031	HRZ	S	8,600	18.75	n/a	n/a	344.00	4.0
LISTED ERR	099	IBM	B	5,000	90.63	n/a	n/a	0.00	0.0
LISTED ERR	099	IBM	S	5,000	90.62	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	IBM	S	38,800	90.62	n/a	n/a	1,552.00	4.0
KAZMI	010	ITCD	B	2,000	2.45	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HASAN	010	ITCD	B	6,900	2.50	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	220	JBL	B	50,000	29.90	n/a	n/a	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	034	JCP	S	10,000	73.15	5-Oct	6-Oct	500.00	5.0
BELMONT GLOBAL ADV	248	JEF	S	10,000	29.20	n/a	n/a	500.00	5.0
BARON ASSET MGMT*	012	JNC	B	25,000	50.03	n/a	18-Oct	1,250.00	5.0
DENVER INST. ADV	046	JNC	B	14,280	49.95	n/a	18-Oct	714.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	125,000	33.14	n/a	6-Oct	5,000.00	4.0
BELMONT GLOBAL ADV	248	JOYG	S	1,000	41.41	n/a	n/a	50.00	5.0
EOS PARTNERS	040	JOYG	B	2,000	41.98	n/a	n/a	100.00	5.0
CENTURION PARTNERS	244	JWN	B	50,000	47.66	5-Oct	6-Oct	2,500.00	5.0
SCHEINER	037	LVLTT	B	3,200	5.84	17-Oct	18-Oct	0.00	0.0
DSG CAPITAL	225	LVLTT	B	2,000	5.84	17-Oct	18-Oct	60.00	3.0
SIGMA CAPITAL ASSOCIATES	034	LVLTT	B	100,000	5.79	17-Oct	18-Oct	3,500.00	3.5
HIGHBRIDGE CAPITAL	038	MBT	B	30,000	40.06	n/a	n/a	1,500.00	5.0
SCHEINER	037	MCCC	S	2,400	7.72	n/a	18-Oct	0.00	0.0
INVISTA CAP/PRINCIPAL	046	MCHP	B	28,014	32.02	n/a	n/a	1,400.70	5.0
LINCOLN FUNDS	031	MEU	B	3,000	30.47	n/a	n/a	120.00	4.0
APEX CAPITAL MGMT.	002	MOT	B	30,000	23.64	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INDEPENDENCE INV	039	MSFT	S	106,600	28.43	n/a	3-Apr	4,264.00	4.0
INDEPENDENCE INV	039	NOK	S	99,700	19.93	n/a	n/a	3,988.00	4.0
MATRIX ASSET ADV.	036	NVLS	B	28,000	26.65	n/a	n/a	1,120.00	4.0
LEDDY	035	NWY	B	700	13.33	n/a	5-Oct	0.00	0.0
COUGAR TRADING	044	NWY	B	5,000	13.39	n/a	5-Oct	250.00	5.0
BELMONT GLOBAL ADV	248	OMN	B	10,000	4.77	n/a	n/a	500.00	5.0
INDEPENDENCE INV	039	PEP	S	69,500	62.68	n/a	n/a	2,780.00	4.0
KENNEDY CAPITAL	046	PH	B	19,850	87.19	n/a	n/a	794.00	4.0
LEVIN CAPITAL STRATEGIES	012	PKG	B	12,500	22.14	10-Oct	18-Oct	500.00	4.0
COUGAR TRADING	044	PLCE	S	15,000	67.82	1-May	6-Oct	750.00	5.0
PIEDRA CAPITAL	031	PLCE	B	23,010	67.79	1-May	6-Oct	1,150.50	5.0
STRAUSS ASSET MGMT	040	PLCE	B	5,000	68.30	1-May	6-Oct	250.00	5.0
HIGHBRIDGE CAPITAL	038	Q	B	15,000	8.22	n/a	n/a	750.00	5.0
EFSTATHIOU	044	RCKY	B	100	13.60	n/a	n/a	0.00	0.0
LEDDY	035	RCKY	B	700	13.62	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	RCKY	B	32,325	13.65	n/a	n/a	1,616.25	5.0
AMBER CAPITAL	046	SOV	S	500,000	22.94	n/a	n/a	20,000.00	4.0
CARLSON CAPITAL	031	SOV	B	90,800	22.95	n/a	n/a	4,540.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BELMONT GLOBAL ADV	248	TIE	S	2,000	29.28	n/a	n/a	100.00	5.0
SANDLER O'NEILL ASSET	031	TROW	S	15,000	48.00	13-Oct	16-Oct	750.00	5.0
BELMONT GLOBAL ADV	248	UARM	S	2,000	46.57	n/a	n/a	100.00	5.0
KERN	050	URBN	B	200	19.03	5-Oct	6-Oct	0.00	0.0
CROWLEY	061	WEDX	B	1,500	2.12	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	WIN	B	9,000	13.68	n/a	n/a	450.00	5.0
CAPITAL GROWTH MGMT.	241	WYE	S	70,000	52.52	n/a	31-Mar	3,500.00	5.0
CSFB GLOBAL PROPRIETARY	035	XLB	B	40,000	32.98	n/a	n/a	2,000.00	5.0
CSFB GLOBAL PROPRIETARY	035	XLI	B	15,000	34.84	n/a	n/a	750.00	5.0
TOTAL:							149,773.75		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	IVORY CAPITAL (IVORUBS)	034	AMR	S	125,746	23.79	n/a	n/a	6,287.30	5.0
AO,	IVORY CAPITAL (IVORUBS)	034	AMR	S	125,744	23.79	n/a	n/a	6,287.20	5.0
AO,CXL	IVORY CAPITAL (IVORGSPB)	034	AMR	S	24,254	23.79	n/a	n/a	1,212.70	5.0
AO,	IVORY CAPITAL (IVORGSPB)	034	AMR	S	24,256	23.79	n/a	n/a	1,212.80	5.0
AO,CXL	APEX CAPITAL MGMT. (APEXSTATE)	002	ANF	S	25,000	75.64	31-Aug	6-Oct	1,250.00	5.0
AO,	APEX CAPITAL MGMT. (APEXSTATE)	002	ANF	S	21,300	75.64	31-Aug	6-Oct	1,065.00	5.0
AO,CXL	APEX CAPITAL MGMT. (APEXMORGAN)	002	ANF	S	60,000	75.64	31-Aug	6-Oct	3,000.00	5.0
AO,	APEX CAPITAL MGMT. (APEXMORGAN)	002	ANF	S	63,700	75.64	31-Aug	6-Oct	3,185.00	5.0
AO,	W.D.WITTER (WDWI9320)	040	ANF	S	1,400	75.06	31-Aug	6-Oct	70.00	5.0
AO,CXL	W.D.WITTER (WDWIWDW920)	040	ANF	S	1,400	75.06	31-Aug	6-Oct	70.00	5.0
AO,	APEX CAPITAL MGMT. (APEXMORGAN)	002	CHS	B	33,300	23.91	11-Oct	13-Oct	1,665.00	5.0
AO,	APEX CAPITAL MGMT. (APEXSTATE)	002	CHS	B	6,700	23.91	11-Oct	13-Oct	335.00	5.0
AO,CXL	APEX CAPITAL MGMT. (APEXMORGAN)	002	CHS	B	40,000	23.91	11-Oct	13-Oct	2,000.00	5.0
AO,	MKT MAKER (MKT MAKER)	099	FINL	B	1,822	13.60	n/a	22-Sep	0.00	0.0
AO,	SOROS (SOROGOLDMA)	036	HD	S	135,000	35.98	n/a	16-Aug	6,750.00	5.0
AO,	GABELLI FUNDS (GABEENTMER)	037	JLG	B	20,000	27.55	n/a	n/a	1,000.00	5.0
AO,CXL	GABELLI FUNDS (GABEENTPS1)	037	JLG	B	20,000	27.55	n/a	n/a	1,000.00	5.0
AO,CXL	SIGMA CAPITAL ASSOCIATES (SIGMAINMS)	034	LVL	B	450,000	5.51	17-Oct	18-Oct	15,750.00	3.5
AO,	SIGMA CAPITAL ASSOCIATES (SIGMGOLDMA)	034	LVL	B	450,000	5.51	17-Oct	18-Oct	15,750.00	3.5
AO,	MKT MAKER (MKT MAKER)	099	SCHL	S	1,937	31.24	n/a	n/a	0.00	0.0
AO,CXL	APEX CAPITAL MGMT. (APEXSTATE)	002	WRNC	S	25,000	20.55	5-Sep	15-Sep	1,250.00	5.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	APEX CAPITAL MGMT. (APEXSTATE)	002	WRNC	S	12,300	20.55	5-Sep	15-Sep	615.00 5.0
AO,	APEX CAPITAL MGMT. (APEXMORGAN)	002	WRNC	S	12,700	20.55	5-Sep	15-Sep	635.00 5.0

Legend:

Blue: Employee and Proprietary Trades.

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

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