



Daily Compliance Activity Report

Trade Date: 11/22/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GAULT	063	AMCC	B	6,000	3.28	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	AMG	B	10,000	103.68	25-Oct	22-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	90,000	70.80	26-Oct	15-Nov	3,600.00	4.0
ELM RIDGE ADVISORS	044	ATHR	S	63,500	23.26	n/a	n/a	2,540.00	4.0
GAULT	063	AVNX	B	11,000	2.04	n/a	n/a	0.00	0.0
DEMARTINI	065	AVNX	B	5,000	2.11	n/a	n/a	0.00	0.0
GAULT	063	AVRX	B	2,000	3.25	n/a	n/a	0.00	0.0
MKT MAKER	099	BEAS	S	2,100	13.71	n/a	3-Apr	0.00	0.0
FRIESS MGMT	042	BEAS	B	954,700	13.96	n/a	3-Apr	42,961.50	4.5
FORTRESS CAPITAL	040	BJ	B	100,000	32.07	n/a	22-Nov	5,000.00	5.0
LATEFF MGMT	040	BJ	S	1,250	32.67	n/a	22-Nov	287.50	23.0
BUCK	015	BMR	B	1,000	30.18	n/a	n/a	0.00	0.0
BUCK	015	BYD	B	1,100	43.34	n/a	27-Oct	0.00	0.0
NEUBERGER BERMAN	238	BZH	S	15,000	44.21	n/a	n/a	750.00	5.0
GALLEON MGMT LP	033	CAH	S	20,000	62.23	n/a	n/a	1,000.00	5.0
MAGUIRE	090	CAMH	B	10,000	3.27	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CBK	S	20,000	21.64	2-Nov	3-Nov	800.00	4.0
ASCEND PARTNERS	033	CC	B	97,000	24.17	n/a	16-Nov	4,850.00	5.0
ELM RIDGE ADVISORS	044	CEM	B	44,600	9.51	n/a	n/a	1,338.00	3.0
MKT MAKER	099	CEPH	B	100	73.50	9-Aug	21-Nov	0.00	0.0
KORMAN	003	CHS	S	5,000	23.65	20-Nov	21-Nov	0.00	0.0
ARIENCE CAPITAL	036	CHS	B	20,070	23.62	20-Nov	21-Nov	1,003.50	5.0
VARDON PARTNERS	035	CHS	S	25,000	23.59	20-Nov	21-Nov	1,250.00	5.0
EGS ASSOCIATES LP	059	CLE	B	3,800	31.36	2-Nov	16-Nov	228.00	6.0
STRONG/MARK GRONET	030	CMOS	S	50,000	3.81	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	COH	S	50,000	42.72	25-Oct	25-Oct	2,000.00	4.0
LATEFF MGMT	040	COP	S	500	64.44	n/a	n/a	250.00	50.0
MORGAN LEWIS/MLH	046	COT	S	5,000	13.87	n/a	n/a	250.00	5.0
STRONG/MARK GRONET	030	CRAY	S	25,000	11.70	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	10,000	28.52	n/a	n/a	400.00	4.0
KORMAN	003	DSW	S	3,000	34.64	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	DTV	B	95,700	22.67	n/a	9-Nov	4,785.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHFIELDS CAP MGMT	039	DTV	S	200,000	22.81	n/a	9-Nov	10,000.00	5.0
PROSPECTOR PARTNERS LLC	036	FCL	B	79,400	35.49	n/a	n/a	3,970.00	5.0
FARBER/WEISS PECK	012	FDO	S	15,000	28.74	3-Nov	3-Nov	750.00	5.0
KAZMI	010	FTGX	S	1,000	5.68	n/a	n/a	0.00	0.0
TILLDALE MGMT.	048	GNW	S	5,000	33.17	n/a	n/a	250.00	5.0
DEMARTINI	065	GR	B	500	45.32	22-Nov	22-Nov	0.00	0.0
HOLL	040	GYMB	S	7,000	43.09	21-Sep	16-Nov	350.00	5.0
TRUST CO/COWEN/CALF.	040	HBI	B	54,000	24.25	n/a	n/a	2,160.00	4.0
DEMARTINI	065	HC	B	1,000	19.14	27-Jul	22-Nov	0.00	0.0
GAULT	063	HC	B	1,500	19.19	27-Jul	22-Nov	0.00	0.0
BUCK	015	HSP	S	300	31.84	n/a	22-Apr	0.00	0.0
BUCK	015	ILE	S	2,000	3.09	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	S	5,000	39.57	25-Aug	22-Nov	250.00	5.0
FRANKLIN FUND OF CALIFOR	035	JCG	S	35,100	40.48	25-Aug	22-Nov	1,755.00	5.0
BARON ASSET MGMT*	012	JNC	B	25,000	52.03	n/a	22-Nov	1,250.00	5.0
DENVER INST. ADV	046	JNC	S	28,450	52.03	n/a	22-Nov	1,422.50	5.0
BALYASNY ASSET MGMT	044	JNS	S	20,000	20.76	30-Oct	22-Nov	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TILDALE MGMT.	048	JNS	S	10,000	20.75	30-Oct	22-Nov	500.00	5.0
LATEFF MGMT	040	KR	B	1,250	21.87	n/a	n/a	250.00	20.0
BUCK CAPITAL MGMT	001	KSS	S	130,000	72.24	9-Nov	10-Nov	5,200.00	4.0
HARVEST MGMT	039	KSS	S	20,000	71.61	9-Nov	10-Nov	1,000.00	5.0
BALYASNY ASSET MGMT	044	LM	B	10,000	96.53	28-Jul	22-Nov	500.00	5.0
PROSPECTOR PARTNERS LLC	036	MEE	S	112,300	25.24	n/a	n/a	5,615.00	5.0
MTB INV ADV	034	MLI	B	12,315	34.84	24-Oct	24-Oct	615.75	5.0
BUCK	015	NQN	S	2,000	14.01	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	ORGN	B	100,000	5.37	n/a	n/a	3,000.00	3.0
FARALLON CAP MGMT	040	PD	S	100,000	118.29	n/a	n/a	4,000.00	4.0
NEUBERGER BERMAN	238	PD	S	66,300	120.30	n/a	n/a	3,315.00	5.0
GALLEON MGMT LP	033	RDY	B	25,000	16.20	n/a	n/a	1,250.00	5.0
XYLEM GLOBAL	024	RKT	S	10,000	24.95	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	S	20,000	76.46	9-Nov	9-Nov	800.00	4.0
GALLEON MGMT LP	033	SNY	S	30,000	43.27	n/a	n/a	1,500.00	5.0
HIGHLINE ADV	044	SPY	S	66,000	140.82	n/a	n/a	3,300.00	5.0
BUCK CAPITAL MGMT	001	TBL	S	30,000	32.15	14-Nov	15-Nov	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VARDON PARTNERS	035	TBL	B	20,000	32.19	14-Nov	15-Nov	1,000.00	5.0
NEUBERGER BERMAN	238	TOL	S	97,500	30.16	n/a	n/a	4,875.00	5.0
BALYASNY ASSET MGMT	044	TROW	S	15,000	44.61	13-Oct	22-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	20,000	41.54	5-Sep	16-Nov	800.00	4.0
WD PARTNERS ILP	067	TWTC	B	5,000	17.75	25-Aug	20-Nov	200.00	4.0
CAXTON PART	040	UCO	S	25,000	60.50	10-Oct	22-Nov	1,000.00	4.0
CAXTON PART	040	VIAB	B	15,000	38.94	n/a	n/a	600.00	4.0
STANDARD PACIFIC CAPITAL	040	WHR	B	145,100	85.88	n/a	n/a	7,255.00	5.0
FARALLON CAP MGMT	040	WLP	B	40,000	71.59	n/a	n/a	1,600.00	4.0
HARVEST MGMT	039	WMT	S	40,000	48.03	5-Oct	15-Nov	2,000.00	5.0
COUGAR TRADING	044	WRNC	B	15,000	25.56	2-Nov	2-Nov	750.00	5.0
EGS ASSOCIATES LP	059	WRNC	B	3,200	25.59	2-Nov	2-Nov	192.00	6.0
BUCK	015	WY	S	200	63.75	20-Sep	27-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	40,000	14.45	8-Sep	8-Sep	1,600.00	4.0
TOTAL (Trade Date):								154,618.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/21	GALLEON MGMT LP (GALLMAIN05)	033	AMGN	B	50,000	72.84	n/a	26-Jan	2500.00 5.0
AO,	11/21	DIAMONDBACK CAP MGMT (DIAMMS-PUT)	232	DLTR	S	5,000	31.26	21-Nov	21-Nov	250.00 5.0
AO,	11/21	WEISS PECK (PECKMS)	040	HTZ	B	15,250	16.00	n/a	n/a	762.50 5.0
AO,	11/21	WEISS PECK (PECKARBBS)	040	HTZ	B	9,750	16.00	n/a	n/a	487.50 5.0
AO,CXL	11/21	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	6,000	7.75	n/a	n/a	300.00 5.0
AO,	11/21	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	6,000	7.75	n/a	n/a	180.00 3.0
AO,	11/21	WANGER ASS (WANGOSCAP)	031	SBL	S	1,400	14.82	19-Sep	31-Oct	70.00 5.0
AO,	11/21	WANGER ASS (WANGPEN)	031	SBL	S	500	14.82	19-Sep	31-Oct	25.00 5.0
AO,	11/21	WANGER ASS (WANGOREGON)	031	SBL	S	13,000	14.82	19-Sep	31-Oct	650.00 5.0
AO,	11/21	WANGER ASS (WANGFAIR)	031	SBL	S	1,900	14.82	19-Sep	31-Oct	95.00 5.0
AO,	11/21	WANGER ASS (WANGUCORN)	031	SBL	S	10,200	14.82	19-Sep	31-Oct	510.00 5.0
AO,	11/21	WANGER ASS (WANGWATUS)	031	SBL	S	20,000	14.82	19-Sep	31-Oct	1000.00 5.0
AO,	11/21	WANGER ASS (WANGACORN)	031	SBL	S	92,900	14.82	19-Sep	31-Oct	4645.00 5.0
AO,	11/21	WANGER ASS (WANGBDL-MS)	031	SBL	S	100	14.82	19-Sep	31-Oct	5.00 5.0
TOTAL (AO, CXL, CRT) :										10,880.00

TOTAL (Trade Date):	154,618.75
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TOTAL (RUN DATE) / NFS:

165,498.75

Legend:

Blue: Employee and Proprietary Trades.

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

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