

## **Daily Compliance Activity Report** Trade Date: 11/15/2006

Account	RR #	Symbol	в/\$	5	Shares	Price	MRI	Research	Comm.	¢/Shr.
PIONEER OAKRIDGE	031	AAPL		S	2 <b>,</b> 575	84.84	n/a	n/a	51.50	2.0
BALYASNY ASSET MGMT	044	AB		S	11,000	76.53	25-Oct	14-Nov	550.00	5.0
COLUMBUS CIRCLE	036	ABI	В		230	37.57	n/a	n/a	9.20	4.0
PIONEER OAKRIDGE	031	ABT		S	7,650	46.96	n/a	22-Apr	153.00	2.0
PIONEER OAKRIDGE	031	AFL		S	8,035	44.29	n/a	n/a	160.70	2.0
COLUMBUS CIRCLE	036	AKAM	В		150	49.47	n/a	n/a	6.00	4.0
COLUMBUS CIRCLE	036	ALB	В		130	67.80	n/a	n/a	5.20	4.0
PIONEER OAKRIDGE	031	AMGN		S	4,265	73.27	n/a	26-Jan	85.30	2.0
BUCK CAPITAL MGMT CENTURION PARTNERS COUGAR TRADING	001 249 044	ANF ANF	B B	S	90,000 10,000 5,000	73.77 74.41 73.50	26-Oct 26-Oct 26-Oct	15-Nov 15-Nov 15-Nov	3,600.00 500.00 250.00	4.0 5.0 5.0
BUCK CAPITAL MGMT	001	ANN		S	20,000	39.88	6-Jul	13-Nov	800.00	4.0
CAPITAL GROWTH MGMT.	241	АРН	В		20,000	68.99	n/a	n/a	1,000.00	5.0
COLUMBUS CIRCLE	036	ATVI	В		500	16.66	n/a	n/a	20.00	4.0
PIONEER OAKRIDGE	031	AXP		S	6,105	59.49	n/a	n/a	122.10	2.0

Account	RR #	Symbol	B/S	3	Shares	Price	MRI	Research	Comm.	\$/Shr.	
PIONEER OAKRIDGE	031	BBY		S	6,685	53.80	13-Jun	13-Sep	133.70	2.0	
BUCK CAPITAL MGMT	001	BIG		S	5,000	22.13	16-Nov	16-Nov	200.00	4.0	
SASCO	038	BLL	В		6,700	42.13	n/a	n/a	335.00	5.0	
WOOSTER CAPITAL	035	BONT	В		15,500	34.97	23-0ct	3-Nov	775.00	5.0	
PIONEER OAKRIDGE	031	С		S	5 <b>,</b> 575	50.30	n/a	13-Nov	111.50	2.0	
COLUMBUS CIRCLE	036	CAM	В		167	54.28	n/a	n/a	6.68	4.0	
COLUMBUS CIRCLE	036	CBG	В		275	31.81	n/a	n/a	11.00	4.0	
SUTERA	060	СС	В		1,000	24.00	n/a	16-Nov	0.00	0.0	
COLUMBUS CIRCLE	036	CELG	В		150	55.89	n/a	n/a	6.00	4.0	
BRIGHTPOINT CAP	067	CHS	В		7,500	24.45	2-Nov	3-Nov	375.00	5.0	
BUCK CAPITAL MGMT	001	CLE	В		10,000	29.42	2-Nov	13-Nov	400.00	4.0	
COUGAR TRADING	044	CLE	В		10,000	29.66	2-Nov	13-Nov	500.00	5.0	
FARBER/WEISS PECK	012	CLE		S	18,000	29.65	2-Nov	13-Nov	900.00	5.0	
CASTLE ARK	031	CME	В		8,400	528.48	n/a	13-Nov	504.00	6.0	
PIONEER OAKRIDGE	031	CMX		S	7,705	48.56	n/a	n/a	154.10	2.0	
RAINIER INV MGMT	035	CMX		S	133,300	48.13	n/a	n/a	5,332.00	4.0	
GLG PARTNERS	034	СОН	В		78 <b>,</b> 000	41.76	25-0ct	25-0ct	3,900.00	5.0	

Account	RR #	Symbol	B/S	;	Shares	Price	MRI	Research	Comm.	¢/Shr.
PIONEER OAKRIDGE	031	СОН		S	11,395	42.21	25-0ct	25-Oct	227.90	2.0
VIKING GLOBAL	030	СОН	В		159 <b>,</b> 000	41.82	25-Oct	25-Oct	7,950.00	5.0
PIONEER OAKRIDGE	031	CSCO		S	17,760	26.59	n/a	22-Mar	355.20	2.0
PIONEER OAKRIDGE	031	CTSH		S	9,290	79.69	n/a	n/a	185.80	2.0
COLUMBUS CIRCLE	036	CWTR	В		318	30.00	n/a	n/a	12.72	4.0
COLUMBUS CIRCLE	036	CXW	В		170	46.50	n/a	n/a	6.80	4.0
FIRST NEW YORK LEDDY	035	CY	В		25 <b>,</b> 000	17.28	n/a	n/a	1,500.00	6.0
HIGHBRIDGE CAPITAL	038	CZN	В		12,000	13.80	n/a	n/a	600.00	5.0
BUCK CAPITAL MGMT	001	DDS		S	15,000	36.24	n/a	n/a	600.00	4.0
PIONEER OAKRIDGE	031	DHR		S	6,010	73.20	n/a	n/a	120.20	2.0
PIONEER OAKRIDGE	031	DNA		S	6,220	80.65	n/a	n/a	124.40	2.0
LISTED ERR	099	DRI	В		1,000	40.80	28-Jun	31-0ct	0.00	0.0
LISTED ERR	099	DRI		S	2,000	40.81	28-Jun	31-0ct	0.00	0.0
PERRY PARTNERS	035	DRI		S	180,000	40.81	28-Jun	31-Oct	9,000.00	5.0
COLUMBUS CIRCLE	036	DRIV	В		175	59.17	n/a	n/a	7.00	4.0
SASCO	038	DUK	В		108,400	31.36	n/a	n/a	5,420.00	5.0
PIONEER OAKRIDGE	031	ECL		S	6 <b>,</b> 870	45.76	n/a	20-Oct	137.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
PERRY PARTNERS	035	ETH	В	200,000	36.80	n/a	n/a	10,000.00	5.0	
MAZAMA CAPITAL MGMT.	035	EVR	В	29,200	35.02	n/a	n/a	1,168.00	4.0	
BUCK CAPITAL MGMT	001	FD	В	30,000	41.97	9-Nov	9-Nov	1,200.00	4.0	
COLUMBUS CIRCLE	036	FDS	В	175	52.54	n/a	n/a	7.00	4.0	
PIONEER OAKRIDGE	031	FDX	S	3,260	117.52	n/a	n/a	65.20	2.0	
COLUMBUS CIRCLE	036	FFIV	В	150	72.19	n/a	n/a	6.00	4.0	
COLUMBUS CIRCLE	036	FISV	В	162	52.44	n/a	n/a	6.48	4.0	
STRONG/MARK GRONET	030	FLE	В	50,000	7.60	n/a	n/a	1,500.00	3.0	
COLUMBUS CIRCLE	036	FLR	В	117	84.10	n/a	n/a	4.68	4.0	
SASCO	038	FO	В	25,600	79.90	n/a	n/a	1,280.00	5.0	
RBC CAPITAL MARKETS	034	GAP	В	25,000	27.74	n/a	n/a	1,250.00	5.0	
BUCK CAPITAL MGMT	001	GCO	В	15,000	37.42	n/a	10-Jan	600.00	4.0	
PIONEER OAKRIDGE	031	GE	S	18,620	35.82	n/a	n/a	372.40	2.0	
MAZAMA CAPITAL MGMT.	035	GHS	S	50,900	20.57	n/a	n/a	2,036.00	4.0	
PIONEER OAKRIDGE	031	GLW	S	13,740	21.43	n/a	25-0ct	274.80	2.0	

Account	RR #	Symbol	в/s	3	Shares	Price	MRI	Research	Comm.	¢/Shr.
COLUMBUS CIRCLE	036	GME	В		250	53.65	n/a	n/a	10.00	4.0
MS PRINCIPAL STRATEGIES	040	GOL		S	50,000	30.14	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	GOOG		S	1,105	497.26	n/a	n/a	22.10	2.0
COUGAR TRADING	044	GPS	В		10,000	20.12	31-Jul	13-Nov	500.00	5.0
COLUMBUS CIRCLE	036	HAS	В		350	26.95	n/a	n/a	14.00	4.0
PIONEER OAKRIDGE	031	HET		S	4,825	75.10	3-0ct	26-0ct	96.50	2.0
COLUMBUS CIRCLE	036	HLT	В		323	30.94	n/a	n/a	12.92	4.0
DSG CAPITAL	225	НМА	В		10,000	19.71	23-Jun	8-Nov	500.00	5.0
SUN AMERICA ASSET MGMT	030	IBM		S	15,600	92.72	n/a	n/a	780.00	5.0
WHITE PINE CAPITAL	030	IFF	В		150	46.45	10-Nov	10-Nov	7.50	5.0
EFSTATHIOU	044	INTC		s	400	22.19	n/a	n/a	0.00	0.0
TURETSKY	038	IOC		s	1,000	25.59	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	ISIL	В		200	25.11	n/a	n/a	8.00	4.0
COLUMBUS CIRCLE	036	ITC	В		225	36.34	n/a	n/a	9.00	4.0
HIGHLINE ADV	044	IWM	В		100,000	78.49	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
PIONEER OAKRIDGE	031	JBL	S	8,825	29.31	n/a	n/a	176.50	2.0	
ROTHSCHILD ASSET	040	JBL	,	54,890	29.17	n/a	n/a	2,470.05	4.5	
BAIRD INVESTMENT	031	JCI	В	14,585	85.66	26-0ct	26-Oct	729.25	5.0	
SSI INVESTORS	048	JNS	Č	5 111,680	20.17	30-0ct	2-Nov	4,467.20	4.0	
OGORMAN	146	KEGS	В	500	14.95	7-Aug	14-Nov	0.00	0.0	
BUCK CAPITAL MGMT	001	KWD	C	5,000	30.49	n/a	n/a	200.00	4.0	
COLUMBUS CIRCLE	036	LAMR	В	159	58.74	n/a	n/a	6.36	4.0	
SSI INVESTORS	048	LNCR	В	27,205	35.99	2-Nov	8-Nov	1,088.20	4.0	
VIKING GLOBAL	030	LOW	C	80,000	30.98	n/a	8-Nov	4,000.00	5.0	
BUCK CAPITAL MGMT	001	LTD	В	25,000	31.99	2-Nov	16-Nov	1,000.00	4.0	
SANDLER CAPITAL	038	LTD	В	50,000	32.20	2-Nov	16-Nov	3,000.00	6.0	
THE JAY GOLDMAN	034	LYO	Š	40,000	25.26	n/a	26-Oct	1,600.00	4.0	
PIONEER OAKRIDGE	031	MAR	S	11,150	44.95	n/a	n/a	223.00	2.0	
AVESTA CAP	229	MCD	S	50,000	41.01	12-Oct	31-Oct	2,500.00	5.0	
PIONEER OAKRIDGE	031	МСНР	S	10,340	34.86	n/a	n/a	206.80	2.0	
PIONEER OAKRIDGE	031	MDT	Ç	6,460	48.61	n/a	22-Apr	129.20	2.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
IRONBOUND CAPITAL	012	MEL	В	94,000	39.30	13-Nov	14-Nov	4,700.00	5.0	
COLUMBUS CIRCLE	036	MOS	В	400	21.38	n/a	n/a	16.00	4.0	
EFSTATHIOU	044	MOT	В	300	22.45	n/a	n/a	0.00	0.0	
PIONEER OAKRIDGE	031	MSFT	S	16,615	29.23	n/a	3-Apr	332.30	2.0	
COLUMBUS CIRCLE	036	MTD	В	150	77.65	n/a	n/a	6.00	4.0	
BULL PATH CAPITAL	044	MW	В	35,200	40.39	n/a	n/a	1,760.00	5.0	
COLUMBUS CIRCLE	036	NIHD	В	100	64.35	n/a	n/a	4.00	4.0	
PIONEER OAKRIDGE	031	NWSA	S	17,950	21.48	n/a	n/a	359.00	2.0	
GULF STREAM EQUITY MGMT	039	NYB	В	5,000	16.22	n/a	n/a	250.00	5.0	
WHITE PINE CAPITAL	030	OLN	В	450	17.66	n/a	27-Oct	22.50	5.0	
PIONEER OAKRIDGE	031	ORCL	S	27,550	19.12	n/a	n/a	551.00	2.0	
BUCK CAPITAL MGMT	001	OXM	S	15,000	52.76	n/a	n/a	600.00	4.0	
PIONEER OAKRIDGE	031	PAYX	S	9,795	39.45	n/a	n/a	195.90	2.0	
COLUMBUS CIRCLE	036	PCP	В	105	72.99	n/a	n/a	4.20	4.0	
PIONEER OAKRIDGE	031	PEP	S	6,385	61.58	n/a	n/a	127.70	2.0	

Account	RR #	Symbol	B/S	1	Shares	Price	MRI	Research	Comm.	¢/Shr.	
CAPITAL GROWTH MGMT.	241	PFE		S	113,900	26.40	n/a	31-Mar	5,695.00	5.0	
PIONEER OAKRIDGE	031	PG		S	7,620	63.26	31-Oct	1-Nov	152.40	2.0	
COLUMBUS CIRCLE	036	PLCE	В		91	69.06	n/a	13-Nov	3.64	4.0	
AMBER CAPITAL	046	PNX		S	700	16.50	n/a	n/a	28.00	4.0	
COLUMBUS CIRCLE	036	PPDI	В		239	32.00	n/a	n/a	9.56	4.0	
STRONG/MARK GRONET	030	PWER	В		35,000	7.55	n/a	n/a	1,050.00	3.0	
HIGHBRIDGE CAPITAL	038	Q	В		24,000	8.06	n/a	n/a	1,200.00	5.0	
PIONEER OAKRIDGE	031	QCOM		S	12 <b>,</b> 760	37.87	n/a	n/a	255.20	2.0	
WHITE PINE CAPITAL	030	RCKY	В		550	14.02	n/a	n/a	27.50	5.0	
INVISTA CAP/PRINCIPAL	046	RESP		S	123 <b>,</b> 700	35.75	n/a	n/a	6,185.00	5.0	
BUCK CAPITAL MGMT	001	RL		S	80,000	76.31	9-Nov	9-Nov	3,200.00	4.0	
COLUMBUS CIRCLE	036	ROP	В		150	49.68	n/a	n/a	6.00	4.0	
PIONEER OAKRIDGE	031	SCHW		S	21,210	18.41	n/a	n/a	424.20	2.0	
BUCK CAPITAL MGMT	001	SKX		S	60,000	29.08	n/a	26-Oct	2,400.00	4.0	
PIONEER OAKRIDGE	031	SLB		S	5 <b>,</b> 595	65.97	n/a	n/a	111.90	2.0	

Account	RR #	Symbol	в/8	S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PIONEER OAKRIDGE	031	SLM		S	6 <b>,</b> 780	47.44	n/a	n/a	135.60	2.0
PIONEER OAKRIDGE	031	SPLS		s	22,560	26.15	n/a	15-Nov	451.20	2.0
CSFB GLOBAL PROPRIETARY	035	SSCC		S	40,000	10.74	20-0ct	27-0ct	2,000.00	5.0
SPEARS GRISANTI & BROWN	048	SSCC		S	68,000	10.80	20-Oct	27-Oct	3,400.00	5.0
STRAUSS ASSET MGMT	040	STXN	В		50,000	4.40	n/a	n/a	2,000.00	4.0
COLUMBUS CIRCLE	036	SWN	В		200	37.72	7-Aug	16-Nov	8.00	4.0
FRONTPOINT	044	TDW		S	75,000	53.26	n/a	n/a	3,750.00	5.0
PIONEER OAKRIDGE	031	TGT		S	6,480	59.10	n/a	15-Nov	129.60	2.0
COLUMBUS CIRCLE	036	TJX	В		279	29.31	5-0ct	15-Nov	11.16	4.0
COLUMBUS CIRCLE	036	TMO	В		200	43.95	n/a	n/a	8.00	4.0
MERRILL LYNCH STRATEGICI	034	TSO	В		20,000	67.61	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	TWB		S	220,000	41.87	5-Sep	16-Nov	8,800.00	4.0
PIONEER OAKRIDGE	031	TXN		S	12,565	30.18	n/a	n/a	251.30	2.0
TRUST CO/COWEN/CALF.	040	TYC	В		357,215	29.89	2-0ct	15-Nov	17,860.75	5.0
COUGAR TRADING	044	URBN	В		5,000	22.90	5-0ct	10-Nov	250.00	5.0
PIONEER OAKRIDGE	031	USB		S	13,580	33.75	n/a	n/a	271.60	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
PIONEER OAKRIDGE	031	UTX	S	6,800	65.63	n/a	n/a	136.00	2.0
PIONEER OAKRIDGE	031	VAR	S	6,620	51.55	n/a	n/a	132.40	2.0
RIDGECRST PARTNERS	035	VARI	В	5,000	46.56	n/a	n/a	250.00	5.0
LOOMIS SALES/BOSTON	036	WAG	S	60,000	42.68	n/a	n/a	3,000.00	5.0
PIONEER OAKRIDGE	031	WAG	S	8,245	42.69	n/a	n/a	164.90	2.0
HIGHBRIDGE CAPITAL	038	WIN	В	10,000	13.68	n/a	n/a	500.00	5.0
COLUMBUS CIRCLE	036	WOOF	В	294	31.39	n/a	n/a	11.76	4.0
IRON HORSE CAPITAL MGMT	038	WSM	S	25 <b>,</b> 000	35.13	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	WTI	В	28,000	35.31	n/a	n/a	1,400.00	5.0
OSS CAPITAL/KEVIN DANN	067	WU	S	12,000	23.68	n/a	n/a	600.00	5.0
PIONEER OAKRIDGE	031	XTO	S	8,865	47.02	n/a	n/a	177.30	2.0
PIONEER OAKRIDGE	031	ZMH	S	4 <b>,</b> 735	74.62	n/a	n/a	94.70	2.0
DEMARTINI	065	ZVUE	В	10,000	4.75	n/a	n/a	0.00	0.0
DEMARTINI	065	ZVUE	S	10,000	4.93	n/a	n/a	0.00	0.0

TOTAL (Trade Date): 175,952.81

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	11/14	STANDARD PACIFIC CAPITAL (SPACMERRIL)	040	ACF	S	159,000	24.52	n/a	n/a	7950.00	5.0
AO,	11/14	WASHINGTON ASSET (WASHCSFB)	048	BONT	В	400	35.25	23-Oct	3-Nov	20.00	5.0
AO,CXL	11/14	OWL CREEK INV (OWLCGOLDMA)	032	CAL	В	100,000	38.38	n/a	n/a	4000.00	4.0
AO,	11/14	OWL CREEK INV (OWLCMORGAN)	032	CAL	В	100,000	38.38	n/a	n/a	4000.00	4.0
AO,	11/14	ROTHSCHILD ASSET (ROTH306)	040	KFY	В	100	22.83	n/a	n/a	4.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH396)	040	KFY	В	1,600	22.83	n/a	n/a	72.00	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH304)	040	KFY	В	400	22.83	n/a	n/a	18.00	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH360-2)	040	KFY	В	200	22.83	n/a	n/a	9.00	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH471-2)	040	KFY	В	100	22.83	n/a	n/a	4.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH471-1)	040	KFY	В	200	22.83	n/a	n/a	9.00	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH471)	040	KFY	В	400	22.83	n/a	n/a	18.00	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH470)	040	KFY	В	300	22.83	n/a	n/a	13.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH450)	040	KFY	В	1,000	22.83	n/a	n/a	45.00	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH386)	040	KFY	В	100	22.83	n/a	n/a	4.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH340)	040	KFY	В	1,300	22.83	n/a	n/a	58.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH348)	040	KFY	В	100	22.83	n/a	n/a	4.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH346)	040	KFY	В	100	22.83	n/a	n/a	4.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH344)	040	KFY	В	100	22.83	n/a	n/a	4.50	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH333)	040	KFY	В	200	22.83	n/a	n/a	9.00	4.5
AO,	11/14	ROTHSCHILD ASSET (ROTH309)	040	KFY	В	1,500	22.83	n/a	n/a	67.50	4.5
AO,	11/14	HIGHFIELDS CAP MGMT (HIGFMORGAN)	039	NOVL	В	100,000	6.65	n/a	n/a	3000.00	3.0
AO,	11/13	THOMSON HORSTMAN BRYANT (THNBCBANK)	040	NWY	В	200	13.76	n/a	16-Nov	10.00	5.0

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	11/13	THOMSON HORSTMAN BRYANT (THNBCOLUMB)	040	NWY	В	200	13.76	n/a	16-Nov	10.00	5.0
AO,	11/14	HIGHFIELDS CAP MGMT (HIGFMORGAN)	039	SMH	В	50,000	34.78	n/a	n/a	2000.00	4.0
TOTAL	(AO, (	CXL, CRT):							13,	316.50	

TOTAL (RUN DATE) / NFS:	189,269.31
TOTAL (AO, CXL, CRT):	13,316.50
TOTAL (Trade Date):	175,952.81

## <u>Legend:</u>

Blue: Employee and Proprietary Trades.

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

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