



Daily Compliance Activity Report

Trade Date: 11/14/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	AEOS	S	30,000	47.67	23-Oct	9-Nov	1,200.00	4.0
HIGHBRIDGE CAPITAL	038	ALB	B	9,300	67.09	n/a	n/a	465.00	5.0
OWL CREEK INV	032	AMR	B	125,000	30.49	n/a	n/a	5,000.00	4.0
BALYASNY ASSET MGMT	044	AMTD	B	25,000	16.48	n/a	n/a	1,250.00	5.0
COLONIAL FUND LLC	036	ANF	B	17,500	75.53	26-Oct	13-Nov	875.00	5.0
SAC TRADING HOWARD	038	ANN	S	25,000	40.29	6-Jul	13-Nov	1,250.00	5.0
MAGUIRE	090	AVNX	B	45,000	1.98	n/a	n/a	0.00	0.0
KAICHER	064	AVNX	B	5,000	1.97	n/a	n/a	0.00	0.0
BARR	096	AVNX	B	11,000	1.96	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	044	AXS	B	500	32.92	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	BBW	B	10,000	29.20	n/a	n/a	400.00	4.0
PECONIC PARTNERS	036	BBY	S	245,300	51.48	13-Jun	13-Sep	12,265.00	5.0
FRIESS MGMT	042	BEAS	B	480,800	15.33	n/a	3-Apr	21,636.00	4.5
GULF STREAM EQUITY MGMT	039	BEAS	S	2,500	15.60	n/a	3-Apr	125.00	5.0
IVORY CAPITAL	034	BEAS	S	50,000	15.23	n/a	3-Apr	2,500.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	5,000	107.27	8-Nov	14-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BULL PATH CAPITAL	044	BEN	B	15,000	107.85	8-Nov	14-Nov	750.00	5.0
SANDLER O'NEILL ASSET	031	BEN	B	10,000	107.75	8-Nov	14-Nov	500.00	5.0
BRIGHTPOINT CAP	067	BIG	S	5,000	21.45	16-Aug	14-Nov	250.00	5.0
BECK MACK & OLIVER LLC	044	BMD	B	1,000	3.63	n/a	n/a	40.00	4.0
STRAUSS ASSET MGMT	040	BMD	S	60,000	3.56	n/a	n/a	2,400.00	4.0
LUCHANSKY2	036	BONT	B	500	35.14	23-Oct	3-Nov	0.00	0.0
WHEELER	008	BTN	B	5,000	4.34	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	CAL	S	70,900	38.41	n/a	n/a	3,545.00	5.0
OWL CREEK INV	032	CAL	B	100,000	38.38	n/a	n/a	4,000.00	4.0
KAICHER	064	CAMH	B	3,000	3.45	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	CC	S	18,000	23.53	n/a	18-Oct	720.00	4.0
LEVIN CAPITAL STRATEGIES	012	CHS	S	20,000	24.12	2-Nov	3-Nov	800.00	4.0
VICTORIA INVESTORS LP	060	CMG	B	2,500	57.90	n/a	1-Nov	125.00	5.0
LEEDS	002	CNVR	S	11,000	4.49	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	CTSH	S	85,000	78.71	n/a	n/a	1,700.00	2.0
HIGHBRIDGE CAPITAL	038	CZN	B	25,000	13.81	n/a	n/a	1,250.00	5.0
LUCHANSKY2	036	DDS	B	100	34.08	n/a	n/a	0.00	0.0

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BUCK CAPITAL MGMT	001	DDS	S	20,000	34.49	n/a	n/a	800.00	4.0
SAC TRADING HOWARD	038	DDS	S	10,000	35.67	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	DOW	B	5,000	40.98	n/a	26-Oct	250.00	5.0
SAILFISH	037	ETN	B	25,884	75.05	16-Oct	16-Oct	1,294.20	5.0
SANDELL ADV	040	ETR	B	25,000	87.84	n/a	n/a	1,250.00	5.0
BARON ASSET MGMT*	012	EV	B	31,200	29.97	30-Oct	14-Nov	1,560.00	5.0
MAZAMA CAPITAL MGMT.	035	EVR	B	20,300	34.10	n/a	n/a	812.00	4.0
AMBER CAPITAL	046	FBR	S	140,000	7.25	n/a	n/a	5,600.00	4.0
MERRILL ASSET	032	FBR	S	10,600	7.26	n/a	n/a	530.00	5.0
BUCK CAPITAL MGMT	001	FD	B	40,000	41.81	9-Nov	9-Nov	1,600.00	4.0
SENTINAL CAPITAL	067	FD	S	3,000	41.54	9-Nov	9-Nov	150.00	5.0
BECK MACK & OLIVER LLC	044	FLEX	S	11,000	11.52	n/a	n/a	550.00	5.0
MAZAMA CAPITAL MGMT.	035	FMR	B	26,000	20.93	n/a	n/a	1,040.00	4.0
HARVEST MGMT	039	FOSL	S	20,000	21.45	13-Nov	9-Nov	1,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	37.27	n/a	10-Jan	400.00	4.0
M. KRAUS & CO.	037	GLD	B	6,225	61.75	n/a	n/a	373.50	6.0
MS PRINCIPAL STRATEGIES	040	GOL	S	32,300	29.30	n/a	n/a	1,615.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRONET	030	ICON	B	1,000	16.12	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	S	20,000	80.87	9-Nov	10-Nov	800.00	4.0
ROTHSCHILD ASSET	040	KFY	B	2,600	22.80	n/a	n/a	117.00	4.5
SSI INVESTORS	048	LNCR	B	53,311	35.17	2-Nov	8-Nov	2,132.44	4.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	31.83	2-Nov	13-Nov	800.00	4.0
BARR	096	LTXX	S	2,000	5.05	n/a	n/a	0.00	0.0
GULF STREAM EQUITY MGMT	039	LU	S	5,000	2.50	n/a	22-Mar	300.00	6.0
BECK MACK & OLIVER LLC	044	LUK	B	500	25.76	n/a	n/a	25.00	5.0
LUCHANSKY1	036	MA	B	100	94.84	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	MEL	S	10,000	38.95	13-Nov	14-Nov	500.00	5.0
IRONBOUND CAPITAL	012	MEL	B	170,000	38.88	13-Nov	14-Nov	8,500.00	5.0
BECK MACK & OLIVER LLC	044	MRK	S	1,500	43.79	n/a	n/a	75.00	5.0
PERRY PARTNERS	035	MSFT	S	200,000	29.16	n/a	3-Apr	10,000.00	5.0
ROTHSCHILD ASSET	040	MTD	S	700	77.82	n/a	n/a	31.50	4.5
ENDEAVOUR CAPITAL	035	OB	S	5,000	26.40	n/a	n/a	250.00	5.0
EFSTATHIOU	044	OVTI	B	200	17.34	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	OXM	S	23,400	52.46	n/a	n/a	936.00	4.0
DSM CAPITAL PARTNERS	032	PACR	S	9,775	28.45	n/a	n/a	586.50	6.0
BECK MACK & OLIVER LLC	044	PFE	S	2,000	26.06	n/a	31-Mar	100.00	5.0
HIGHBRIDGE CAPITAL	038	PPG	B	5,500	67.56	n/a	19-Oct	275.00	5.0
RAINIER INV MGMT	035	PPL	S	12,750	34.07	n/a	n/a	637.50	5.0
HIGHBRIDGE CAPITAL	038	Q	B	46,000	8.15	n/a	n/a	2,300.00	5.0
BECK MACK & OLIVER LLC	044	QCOM	B	2,500	36.78	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	RL	S	120,000	76.15	9-Nov	9-Nov	4,800.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	25,000	28.68	n/a	26-Oct	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	035	SSCC	S	20,000	11.01	20-Oct	27-Oct	1,000.00	5.0
GOLDMAN SACHS ASSET MGMT	044	TCB	S	45,000	25.92	n/a	n/a	900.00	2.0
WHITE PINE CAPITAL	030	TCB	B	1,250	25.77	n/a	n/a	62.50	5.0
KACELA CAPITAL	034	TIF	B	15,000	35.87	n/a	6-Oct	600.00	4.0
SUN AMERICA ASSET MGMT	030	TIF	S	45,300	35.41	n/a	6-Oct	2,265.00	5.0
SCOPUS FUND	039	TIN	B	25,000	39.49	8-Nov	27-Oct	1,250.00	5.0
ADAGE CAPITAL MGMT	030	TJX	S	100,000	28.44	5-Oct	9-Nov	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	TJX	S	15,000	28.24	5-Oct	9-Nov	600.00	4.0
APEX CAPITAL MGMT.	002	TLB	S	5,700	26.13	2-Oct	3-Nov	285.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	5,000	26.03	2-Oct	3-Nov	200.00	4.0
ZOLIDIS	011	UARM	B	100	44.95	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	UCO	B	150	61.13	10-Oct	7-Nov	7.50	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	24,000	13.69	n/a	n/a	1,200.00	5.0
LATEFF MGMT	040	WLK	S	2,000	34.16	n/a	n/a	420.00	21.0
APEX CAPITAL MGMT.	002	WMT	B	100,000	47.27	5-Oct	9-Nov	5,000.00	5.0
COUGAR TRADING	044	WMT	S	5,000	48.08	5-Oct	9-Nov	250.00	5.0
SUN AMERICA ASSET MGMT	030	WMT	B	96,200	47.69	5-Oct	9-Nov	4,810.00	5.0
COUGAR TRADING	044	WRNC	S	10,000	24.98	2-Nov	2-Nov	500.00	5.0
OSS CAPITAL/KEVIN DANN	067	WU	S	25,000	23.50	n/a	n/a	1,250.00	5.0
SINCLAIR	031	XOHO	S	1,000	4.50	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	044	XOM	S	390	73.89	n/a	n/a	19.50	5.0
NEUBERGER BERMAN	238	XTO	S	115,800	45.91	n/a	n/a	5,790.00	5.0
SCUDDER HEDGE	034	YRCW	S	25,000	40.60	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	100,000	14.68	8-Sep	8-Sep	4,000.00	4.0

TOTAL :

152,596.14

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	PRINCIPLE CAPITAL (PRINUBSPB)	040	FD	B	65,300	41.13	9-Nov	9-Nov	3,265.00 5.0
AO,	PRINCIPLE CAPITAL (PRINUBSPB)	040	FD	B	65,300	41.13	9-Nov	9-Nov	2,612.00 4.0
AO,	THOMSON HORSTMAN BRYANT (THNBASHLAN)	040	NWY	B	2,000	13.76	n/a	13-Nov	100.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBLOC338)	040	NWY	B	400	13.76	n/a	13-Nov	20.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBARINC)	040	NWY	B	1,000	13.76	n/a	13-Nov	50.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBALPWFD)	040	NWY	B	300	13.76	n/a	13-Nov	15.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBANIXTE)	040	NWY	B	1,000	13.76	n/a	13-Nov	50.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBNONTEA)	040	NWY	B	1,300	13.76	n/a	13-Nov	65.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBCOLUMB)	040	NWY	B	200	13.76	n/a	13-Nov	10.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBLA STA)	040	NWY	B	4,700	13.76	n/a	13-Nov	235.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBMISSOU)	040	NWY	B	11,600	13.76	n/a	13-Nov	580.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBSHELBY)	040	NWY	B	2,900	13.76	n/a	13-Nov	145.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBTEXAS)	040	NWY	B	1,400	13.76	n/a	13-Nov	70.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBSMALL)	040	NWY	B	2,100	13.76	n/a	13-Nov	105.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBSCHMKT)	040	NWY	B	300	13.76	n/a	13-Nov	15.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBPUREMO)	040	NWY	B	400	13.76	n/a	13-Nov	20.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBSCHNUC)	040	NWY	B	300	13.76	n/a	13-Nov	15.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBNEWSPA)	040	NWY	B	700	13.76	n/a	13-Nov	35.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBHCA MO)	040	NWY	B	7,300	13.76	n/a	13-Nov	365.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBCOMMON)	040	NWY	B	1,300	13.76	n/a	13-Nov	65.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBGERALD)	040	NWY	B	200	13.76	n/a	13-Nov	10.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBONEOK)	040	NWY	B	200	13.76	n/a	13-Nov	10.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBFLLSTU)	040	NWY	B	1,100	13.76	n/a	13-Nov	55.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBBMW)	040	NWY	B	900	13.76	n/a	13-Nov	45.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBFIRE &)	040	NWY	B	2,000	13.76	n/a	13-Nov	100.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBPUREBA)	040	NWY	B	200	13.76	n/a	13-Nov	10.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBENSIGN)	040	NWY	B	22,800	13.76	n/a	13-Nov	1,140.00 5.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	THOMSON HORSTMAN BRYANT (THNBPUREGR)	040	NWY	B	400	13.76	n/a	13-Nov	20.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBEIB EN)	040	NWY	B	800	13.76	n/a	13-Nov	40.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBNYIRON)	040	NWY	B	500	13.76	n/a	13-Nov	25.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBDESERE)	040	NWY	B	3,100	13.76	n/a	13-Nov	155.00 5.0
AO,	THOMSON HORSTMAN BRYANT (THNBLOCAL5)	040	NWY	B	400	13.76	n/a	13-Nov	20.00 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.