



Daily Compliance Activity Report

Trade Date: 10/31/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OPPENHEIMER MGMT.	036	AFR	B	150,000	11.56	n/a	n/a	6,000.00	4.0
BECK MACK & OLIVER LLC	044	AIG	S	600	67.11	n/a	n/a	30.00	5.0
DAWSON SANBERG & CO	036	AL	B	12,400	47.04	n/a	n/a	620.00	5.0
SINCLAIR	031	ANDE	B	300	36.22	n/a	n/a	0.00	0.0
SINCLAIR	031	ANDW	S	1,000	9.25	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	034	ANF	S	20,000	76.96	31-Aug	30-Oct	800.00	4.0
SLS CAPITAL LLC	224	ASH	B	400	58.48	31-Oct	31-Oct	20.00	5.0
PATTEN & PATTEN	067	ASO	S	515	30.16	n/a	n/a	25.75	5.0
PHILADELPHIA FINANCIAL	031	AVZ	S	25,393	23.01	19-Oct	30-Oct	1,269.65	5.0
BUCK	015	BACAJ	B	8	4.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BGP	B	20,000	20.56	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	BKS	B	30,000	41.73	n/a	n/a	1,200.00	4.0
BECK MACK & OLIVER LLC	044	CAH	S	400	65.41	n/a	n/a	20.00	5.0
NEUBERGER BERMAN	238	CAI	S	17,400	58.07	n/a	n/a	870.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHEELER	008	CASM	S	1,876	8.76	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	CHIC	B	10,000	28.13	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	CMG	B	10,000	59.11	n/a	11-Sep	500.00	5.0
NEUBERGER BERMAN	238	CRL	S	12,400	43.11	n/a	n/a	620.00	5.0
REINHART & MAHONEY	031	CYTC	B	26,110	26.53	31-Oct	31-Oct	1,305.50	5.0
PATTEN & PATTEN	067	DELL	B	600	23.43	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	DG	B	9,400	13.80	21-Aug	13-Oct	470.00	5.0
NEUBERGER BERMAN	238	DRS	S	11,800	44.01	n/a	n/a	590.00	5.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	35.03	n/a	n/a	400.00	4.0
FARBER/WEISS PECK	012	EAT	S	34,000	46.50	12-Sep	31-Oct	1,700.00	5.0
JANUS CAPITAL CORP	046	EMC	S	700,000	12.23	n/a	n/a	24,500.00	3.5
AMBER CAPITAL	046	EMR	S	12,000	84.75	n/a	n/a	480.00	4.0
MORGAN BANK /JPM	012	EWJ	B	110,728	13.82	n/a	n/a	3,321.84	3.0
BEAR STEARNS ASSET MGMT.	033	FD	S	50,000	44.13	23-Oct	30-Oct	2,000.00	4.0
PATTEN & PATTEN	067	FHN	B	500	39.35	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAZAMA CAPITAL MGMT.	035	FII	S	65,300	34.31	n/a	30-Oct	2,612.00	4.0
THIRD COAST CAPITAL	035	FRED	S	20,000	13.11	21-Aug	13-Oct	1,000.00	5.0
AVESTA CAP	229	GE	B	25,000	35.07	n/a	n/a	1,250.00	5.0
NICOLAS APPLEGATE	048	GIII	B	2,530	15.09	n/a	n/a	101.20	4.0
COUGAR TRADING	044	GPS	S	5,000	20.90	31-Jul	30-Oct	250.00	5.0
SOROS	036	GPS	B	150,000	20.98	31-Jul	30-Oct	6,000.00	4.0
BECK MACK & OLIVER LLC	044	GSK	S	4,792	53.05	n/a	n/a	239.60	5.0
BUCK CAPITAL MGMT	001	HBI	S	25,000	23.39	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	HD	S	2,400	37.15	n/a	16-Aug	120.00	5.0
DAWSON SANBERG & CO	036	HLT	S	16,800	29.20	n/a	n/a	840.00	5.0
LOCUS WOOD CAPITAL MGMT	044	ICON	B	15,000	18.70	n/a	n/a	750.00	5.0
WHEELER	008	IOM	S	15,000	4.14	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	IWF	B	49,200	54.04	n/a	n/a	1,476.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	40,000	48.52	5-Oct	30-Oct	1,600.00	4.0
VARDON PARTNERS	035	K	S	25,000	50.24	n/a	n/a	1,250.00	5.0
AMBER CAPITAL	046	KBH	S	11,000	45.44	n/a	n/a	440.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOTCHKIS & WILEY	035	KEY	S	199,900	37.24	n/a	n/a	9,995.00	5.0
CUMBERLAND	038	KSS	S	50,000	73.27	2-Oct	30-Oct	2,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	KTO	S	184,700	13.69	n/a	n/a	9,235.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	5,000	30.61	n/a	n/a	200.00	4.0
VARDON PARTNERS	035	LF	B	50,000	9.60	n/a	n/a	2,500.00	5.0
NICOLAS APPLGATE	048	LMNX	B	8,100	15.86	n/a	n/a	324.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	29.51	5-Oct	30-Oct	800.00	4.0
CENTURION PARTNERS	249	LTD	B	25,000	29.51	5-Oct	30-Oct	1,250.00	5.0
EGS ASSOCIATES LP	059	LTD	B	3,500	29.30	5-Oct	30-Oct	210.00	6.0
IRON HORSE CAPITAL MGMT	038	LVLTT	B	25,000	5.28	17-Oct	31-Oct	750.00	3.0
ARIENCE CAPITAL	036	MHS	S	25,080	53.58	n/a	n/a	1,254.00	5.0
NEUBERGER BERMAN	238	MNT	S	8,100	46.89	n/a	n/a	405.00	5.0
BECK MACK & OLIVER LLC	044	MS	S	200	76.37	20-Sep	12-Oct	10.00	5.0
ROTHSCHILD ASSET	040	MSM	S	5,300	41.16	n/a	n/a	238.50	4.5
BUCK CAPITAL MGMT	001	NWY	B	30,000	13.13	n/a	30-Oct	1,200.00	4.0
COUGAR TRADING	044	NWY	S	10,000	13.00	n/a	30-Oct	500.00	5.0
SAC TRADING HOWARD	038	NWY	S	25,000	13.00	n/a	30-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	OXM	S	10,000	52.72	n/a	n/a	400.00	4.0
AVESTA CAP	229	PEP	B	25,000	63.21	n/a	n/a	1,250.00	5.0
BECK MACK & OLIVER LLC	044	PG	S	200	63.25	31-Oct	17-Oct	10.00	5.0
WHEELER	008	PRST	S	10,000	6.17	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	PRU	S	400	77.69	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	60,000	27.02	n/a	n/a	2,400.00	4.0
SINCLAIR	031	PTEN	B	600	22.55	n/a	n/a	0.00	0.0
DEMARTINI	065	PTEN	B	2,000	23.01	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	002	QCOM	B	44,000	36.96	n/a	n/a	2,200.00	5.0
BECK MACK & OLIVER LLC	044	RA	S	400	43.97	n/a	n/a	20.00	5.0
LOCUS WOOD CAPITAL MGMT	044	RVI	B	18,000	17.09	n/a	n/a	900.00	5.0
LOCUS WOOD CAPITAL MGMT	044	SAI	B	17,000	20.02	n/a	n/a	850.00	5.0
GALLEON MGMT LP	033	SGP	S	40,000	22.20	n/a	n/a	2,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	SKX	S	54,600	29.95	n/a	26-Oct	2,184.00	4.0
PATTEN & PATTEN	067	SNE	S	750	41.19	n/a	n/a	37.50	5.0
PATTEN & PATTEN	067	SRE	S	1,200	52.97	n/a	n/a	60.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	SSCC	B	100,000	10.67	20-Oct	27-Oct	4,000.00	4.0
SCHEINER	037	SWN	S	500	34.78	7-Aug	24-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	TBL	B	40,000	28.73	19-Jul	27-Oct	1,600.00	4.0
SOROS	036	TGT	B	83,800	60.06	n/a	30-Oct	3,352.00	4.0
CLOVIS CAPITAL	012	TIF	B	80,000	35.54	n/a	6-Oct	4,000.00	5.0
LISTED ERR	099	TJX	B	2,200	29.00	5-Oct	30-Oct	0.00	0.0
LISTED ERR	099	TJX	S	2,200	28.96	5-Oct	30-Oct	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	TJX	S	10,000	28.90	5-Oct	30-Oct	400.00	4.0
NEUBERGER BERMAN	238	TJX	S	98,800	28.98	5-Oct	30-Oct	4,940.00	5.0
PATTEN & PATTEN	067	TJX	S	2,200	29.00	5-Oct	30-Oct	110.00	5.0
XYLEM GLOBAL	024	TWP	S	20,000	26.11	n/a	n/a	1,000.00	5.0
CENTURION PARTNERS	249	TWX	B	100,000	20.05	n/a	n/a	5,000.00	5.0
MCCARTAN	028	UARM	S	100	45.81	n/a	n/a	0.00	0.0
ZOLIDIS	011	UARM	S	100	45.81	n/a	n/a	0.00	0.0
ZOLIDIS	011	UWGKJ	S	7	0.45	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	VIAB	B	40,000	39.04	n/a	n/a	2,000.00	5.0
SENTINAL CAPITAL	067	VZ	B	10,000	36.63	19-Sep	31-Oct	500.00	5.0
BECK MACK & OLIVER LLC	044	WAG	S	300	43.33	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRUNNER	012	WLV	B	4,000	2.90	n/a	n/a	0.00	0.0
GAULT	063	WLV	B	5,000	2.89	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	031	WPL	B	36,645	13.57	20-Oct	26-Oct	1,832.25	5.0
EGS ASSOCIATES LP	059	WRNC	B	5,000	21.25	5-Sep	30-Oct	300.00	6.0
BECK MACK & OLIVER LLC	044	WYE	S	1,160	51.15	n/a	31-Mar	58.00	5.0
AMBER CAPITAL	046	X	B	66,366	67.51	n/a	n/a	2,654.64	4.0
PATTEN & PATTEN	067	XOM	S	209	70.65	n/a	n/a	10.45	5.0
GALLEON MGMT LP	033	ZION	B	15,000	80.73	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	30,000	13.83	8-Sep	8-Sep	1,200.00	4.0
CENTURION PARTNERS	249	ZQK	S	30,000	13.75	8-Sep	8-Sep	1,500.00	5.0
TOTAL:							146,701.88		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ALB	B	5,000	65.22	n/a	n/a	250.00	5.0
AO,CXL	THE JAY GOLDMAN (GOLDWOODMA)	034	COST	S	5,000	53.75	n/a	30-Oct	200.00	4.0
AO,CXL	THE JAY GOLDMAN (GOLDMASTER)	034	COST	S	5,000	53.75	n/a	30-Oct	200.00	4.0
AO,	THE JAY GOLDMAN (GOLDMASTER)	034	COST	S	10,000	53.75	n/a	30-Oct	400.00	4.0
AO,	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ECL	B	10,500	45.34	n/a	20-Oct	525.00	5.0
AO,CRT	SINCLAIR (SINCLAIR)	031	EICU	B	1,000	9.42	n/a	n/a	0.00	0.0
AO,CXL	SINCLAIR (SINCLAIR)	031	EICU	B	1,000	9.42	n/a	n/a	0.00	0.0
AO,CRT	SINCLAIR (SINCLAIR)	031	EICU	S	1,000	8.92	n/a	n/a	0.00	0.0
AO,CXL	SINCLAIR (SINCLAIR)	031	EICU	S	1,000	8.92	n/a	n/a	0.00	0.0
AO,	TRIVIUM CAP MGMT (TRIVDEUTSC)	028	JWN	S	30,000	47.86	5-Oct	30-Oct	1,200.00	4.0
AO,	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ROH	B	6,000	52.28	13-Oct	19-Oct	300.00	5.0
AO,	HIGHBRIDGE CAPITAL (HIGBNEW)	038	SIAL	B	8,500	74.55	29-Sep	27-Oct	425.00	5.0
AO,	RAMIUS CAP (RAMIM S EX)	040	TIN	B	19,800	40.07	n/a	27-Oct	990.00	5.0
AO,	RAMIUS CAP (RAMISLK/GS)	040	TIN	B	5,200	40.07	n/a	27-Oct	260.00	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.