



Daily Compliance Activity Report

Trade Date: 10/27/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	AAPL	S	1,300	82.28	n/a	n/a	52.00	4.0
COLUMBUS CIRCLE	036	ABI	S	100	38.18	n/a	n/a	4.00	4.0
COLUMBUS CIRCLE	036	ADBE	S	2,000	38.99	n/a	n/a	80.00	4.0
COLUMBUS CIRCLE	036	ADS	S	700	60.40	n/a	n/a	28.00	4.0
WEINTRAUB CAPITAL MGT.	040	AGP	B	25,000	35.70	n/a	n/a	1,250.00	5.0
COLUMBUS CIRCLE	036	AKAM	S	500	47.40	n/a	n/a	20.00	4.0
HIGHBRIDGE CAPITAL	038	ALB	B	3,500	63.84	n/a	n/a	175.00	5.0
ZOLIDIS	011	ALDA	S	600	15.62	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	ALK	B	20,000	40.65	n/a	n/a	1,000.00	5.0
COLUMBUS CIRCLE	036	AMAT	S	3,000	17.57	n/a	n/a	120.00	4.0
HIGHBRIDGE CAPITAL	038	AMR	B	88,400	28.25	n/a	n/a	4,420.00	5.0
COLUMBUS CIRCLE	036	AMT	S	1,300	37.06	n/a	n/a	52.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	25,000	78.63	31-Aug	6-Oct	1,000.00	4.0
COUGAR TRADING	044	ANF	S	5,000	77.72	31-Aug	6-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	S	10,000	43.71	6-Jul	6-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	ASD	S	4,600	43.62	2-Oct	23-Oct	230.00	5.0
COLUMBUS CIRCLE	036	ASML	S	1,000	23.14	n/a	n/a	40.00	4.0
BINDER	007	AUO	B	650	13.51	n/a	n/a	0.00	0.0
BINDER	007	AVZ	B	300	22.73	19-Oct	26-Oct	0.00	0.0
DC CAPITAL	044	AXL	B	19,500	19.55	n/a	n/a	975.00	5.0
COLUMBUS CIRCLE	036	BEAS	S	3,900	16.61	n/a	3-Apr	156.00	4.0
COLUMBUS CIRCLE	036	BRCM	S	1,800	29.40	n/a	n/a	72.00	4.0
PATTEN & PATTEN	067	CAT	B	300	61.43	n/a	n/a	15.00	5.0
ROBERTSON STEVENS BC	033	CB	S	44,900	52.51	n/a	n/a	1,796.00	4.0
BELMONT GLOBAL ADV	248	CBK	S	10,000	27.96	18-Sep	2-Oct	500.00	5.0
SEQUENCE CAPITAL	028	CBK	S	3,338	28.03	18-Sep	2-Oct	166.90	5.0
MAGUIRE	090	CCOI	S	3,000	14.82	n/a	n/a	0.00	0.0
MAGUIRE	090	CEVA	S	2,599	6.26	n/a	n/a	0.00	0.0
TROUBH PART	067	CMCSA	S	60,000	39.85	27-Jul	27-Oct	3,000.00	5.0
BUCK CAPITAL MGMT	001	COH	S	40,000	39.16	25-Oct	25-Oct	1,600.00	4.0
COLUMBUS CIRCLE	036	CSCO	S	3,400	24.03	n/a	22-Mar	136.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	CVX	S	100	67.46	n/a	n/a	5.00	5.0
OGORMAN	146	DENN	S	2,000	4.40	n/a	n/a	0.00	0.0
LEDDY	035	DENN	S	2,500	4.33	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	DIGE	S	500	47.60	n/a	n/a	20.00	4.0
COLUMBUS CIRCLE	036	DIVX	S	800	25.70	n/a	n/a	32.00	4.0
COLUMBUS CIRCLE	036	DNA	S	300	84.54	n/a	n/a	12.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	34.89	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	ECL	B	6,500	45.29	n/a	20-Oct	325.00	5.0
LEDDY	035	EICU	B	1,000	9.93	n/a	n/a	0.00	0.0
SINCLAIR	031	EICU	B	1,000	9.42	n/a	n/a	0.00	0.0
SINCLAIR	031	EICU	S	1,000	8.92	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	EVR	B	5,000	39.24	n/a	n/a	200.00	4.0
BACKUS	005	EVST	S	1,000	16.86	n/a	n/a	0.00	0.0
BACKUS	005	FBR	S	1,000	7.73	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	FD	S	50,000	44.01	23-Oct	23-Oct	2,000.00	4.0
MAZAMA CAPITAL MGMT.	035	FMR	B	40,000	20.91	n/a	n/a	1,600.00	4.0
COLUMBUS CIRCLE	036	FORM	S	500	38.54	n/a	n/a	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	FPL	S	200	49.70	n/a	n/a	10.00	5.0
LUCHANSKY1	036	GE	S	200	35.25	n/a	n/a	0.00	0.0
BACKUS	005	GLW	B	2,000	20.99	n/a	25-Oct	0.00	0.0
COLUMBUS CIRCLE	036	GLW	S	200	20.99	n/a	25-Oct	8.00	4.0
MAIRS AND POWER INV	030	GLW	B	10,000	20.95	n/a	25-Oct	500.00	5.0
TILLDALE MGMT.	048	GNW	S	5,000	33.87	n/a	n/a	250.00	5.0
COLUMBUS CIRCLE	036	GOOG	S	400	481.50	n/a	n/a	16.00	4.0
COLUMBUS CIRCLE	036	GRMN	S	1,200	55.12	n/a	n/a	48.00	4.0
BACKUS	005	GS	S	500	191.52	17-May	12-Oct	0.00	0.0
ROBERTSON STEVENS BC	033	GS	S	800	189.06	17-May	12-Oct	32.00	4.0
MILLENIUUM PARTNERS	028	HC	B	15,000	19.12	27-Jul	26-Oct	600.00	4.0
WEINTRAUB CAPITAL MGT.	040	HES	B	150,000	43.80	n/a	n/a	7,500.00	5.0
PATTEN & PATTEN	067	HHH	S	400	52.78	n/a	n/a	20.00	5.0
DIAMONDBACK CAP MGMT	232	HIG	S	30,000	87.36	n/a	n/a	1,500.00	5.0
COLUMBUS CIRCLE	036	HOLX	S	1,000	48.99	n/a	n/a	40.00	4.0
COLUMBUS CIRCLE	036	HPQ	S	1,800	38.95	n/a	n/a	72.00	4.0
COLUMBUS CIRCLE	036	HRS	S	400	43.91	2-Oct	26-Oct	16.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRONET	030	ICON	S	1,000	18.58	n/a	n/a	0.00	0.0
BACKUS	005	ICON	S	3,000	18.62	n/a	n/a	0.00	0.0
CHARTER OAK	037	IDIX	B	50,000	9.70	n/a	n/a	1,500.00	3.0
COLUMBUS CIRCLE	036	IGT	S	1,000	42.48	n/a	24-Jul	40.00	4.0
COLUMBUS CIRCLE	036	INAP	S	1,900	16.06	n/a	n/a	76.00	4.0
HIGHBRIDGE CAPITAL	038	IP	B	59,100	33.94	n/a	27-Oct	2,955.00	5.0
COLUMBUS CIRCLE	036	ISRG	S	300	99.71	n/a	n/a	12.00	4.0
MCCARTAN	028	ITCD	S	1,500	2.20	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ITT	B	500	55.30	2-Oct	2-Oct	25.00	5.0
WHEELER	008	IVGN	B	3,000	56.99	n/a	n/a	0.00	0.0
IRON HORSE CAPITAL MGMT	038	JNS	S	20,000	20.95	30-Oct	30-Oct	1,000.00	5.0
TILLDALE MGMT.	048	JNS	S	10,000	21.35	30-Oct	30-Oct	500.00	5.0
STERLING JOHNSTON	035	JUPM	B	85,000	8.87	n/a	n/a	3,400.00	4.0
WHALE ROCK CAP	030	JWN	S	50,000	47.73	5-Oct	6-Oct	2,000.00	4.0
BACKUS	005	KSS	S	500	72.54	2-Oct	6-Oct	0.00	0.0
COLUMBUS CIRCLE	036	LAMR	S	500	56.70	n/a	n/a	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	LMT	S	500	84.38	n/a	n/a	20.00	4.0
LUCHANSKY1	036	LPNT	S	200	35.97	n/a	27-Oct	0.00	0.0
PATTEN & PATTEN	067	MCD	B	1,500	41.55	12-Oct	19-Oct	75.00	5.0
COLUMBUS CIRCLE	036	MOT	S	1,100	23.19	n/a	n/a	44.00	4.0
COLUMBUS CIRCLE	036	MRVL	S	1,400	17.61	n/a	n/a	56.00	4.0
COLUMBUS CIRCLE	036	MSFT	S	1,600	28.55	n/a	3-Apr	64.00	4.0
MAZAMA CAPITAL MGMT.	035	MTH	S	2,250	47.88	n/a	n/a	90.00	4.0
RAINIER INV MGMT	035	NBL	S	57,550	48.95	n/a	n/a	2,877.50	5.0
BUCK CAPITAL MGMT	001	NDN	B	10,000	12.45	11-Aug	13-Oct	400.00	4.0
COLUMBUS CIRCLE	036	NETL	S	1,000	20.12	n/a	n/a	40.00	4.0
COLUMBUS CIRCLE	036	NIHD	S	600	68.46	n/a	n/a	24.00	4.0
BINDER	007	NOK	B	150	19.90	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	NTAP	S	1,100	36.80	n/a	n/a	44.00	4.0
COLUMBUS CIRCLE	036	NVDA	S	1,000	33.52	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	20,000	13.53	n/a	5-Oct	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	NWY	S	20,000	13.58	n/a	5-Oct	1,000.00	5.0
COLUMBUS CIRCLE	036	OPSW	S	4,500	9.29	n/a	n/a	180.00	4.0
COLUMBUS CIRCLE	036	ORCL	S	3,800	18.24	n/a	n/a	152.00	4.0
EOS PARTNERS	040	ORCL	S	14,000	18.19	n/a	n/a	700.00	5.0
BACKUS	005	OXM	S	1,500	53.75	n/a	n/a	0.00	0.0
LUCHANSKY1	036	PBG	S	150	31.83	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	PCU	S	20,000	52.20	n/a	n/a	1,000.00	5.0
BACKUS	005	PERY	S	2,000	36.67	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	PHO	B	1,500	18.03	n/a	n/a	75.00	5.0
HIGHBRIDGE CAPITAL	038	PKG	B	104,500	22.49	26-Oct	27-Oct	5,225.00	5.0
BONANZA PARTNERS	031	PLAY	B	75,000	10.89	n/a	n/a	3,750.00	5.0
BACKUS	005	PLCE	S	500	70.58	n/a	6-Oct	0.00	0.0
SINCLAIR	031	PNRA	B	100	63.50	n/a	n/a	0.00	0.0
GASNER	025	POP	S	1,250	5.26	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	QCOM	S	1,800	37.62	n/a	n/a	72.00	4.0
COLUMBUS CIRCLE	036	QLGC	S	400	20.68	n/a	n/a	16.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	S	35,000	71.47	23-Oct	23-Oct	1,400.00	4.0
MAGUIRE	090	RNVS	S	2,000	3.54	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	ROH	B	3,000	52.02	13-Oct	19-Oct	150.00	5.0
MKT MAKER	099	RRGB	S	73	49.00	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	RRGB	S	5,300	49.00	n/a	n/a	265.00	5.0
COLUMBUS CIRCLE	036	RVBD	S	1,200	25.22	n/a	n/a	48.00	4.0
BUCK CAPITAL MGMT	001	RVI	B	10,000	16.97	n/a	n/a	400.00	4.0
ZOLIDIS	011	SHOE	S	500	7.56	n/a	n/a	0.00	0.0
BELMONT GLOBAL ADV	248	SHOO	B	5,000	44.12	n/a	n/a	250.00	5.0
HIGHBRIDGE CAPITAL	038	SIAL	B	4,500	74.64	29-Sep	27-Oct	225.00	5.0
BINDER	007	SKS	S	275	19.27	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SMG	S	100	49.39	26-Oct	27-Oct	0.00	0.0
COLUMBUS CIRCLE	036	SNDK	S	400	49.37	n/a	n/a	16.00	4.0
STERLING JOHNSTON	035	SWHC	B	113,750	14.05	n/a	n/a	5,687.50	5.0
COLUMBUS CIRCLE	036	SY	S	900	24.61	n/a	n/a	36.00	4.0
COLUMBUS CIRCLE	036	SYNA	S	1,100	28.85	n/a	n/a	44.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EOS PARTNERS	040	SYT	B	17,200	32.02	n/a	n/a	860.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TBL	B	16,200	29.09	19-Jul	27-Oct	648.00	4.0
RAMIUS CAP	040	TIN	B	25,000	40.11	n/a	27-Oct	1,250.00	5.0
COLUMBUS CIRCLE	036	TMO	S	700	43.69	n/a	n/a	28.00	4.0
BACKUS	005	TRI	B	1,000	37.68	17-Oct	17-Oct	0.00	0.0
COLUMBUS CIRCLE	036	TRID	S	900	21.68	n/a	n/a	36.00	4.0
FULLER & THALER ASSET	040	UHS	S	100,000	54.52	n/a	27-Oct	5,000.00	5.0
GENERAL ELECTIC CO	033	UNH	B	23,657	49.61	n/a	n/a	1,064.59	4.5
MAGUIRE	090	VLRX	S	5,000	6.43	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	VLTR	S	1,100	16.77	n/a	n/a	44.00	4.0
CASTLEROCK	040	VMC	B	21,386	82.08	n/a	n/a	855.44	4.0
SCOUT CAPITAL	044	WAG	S	335,000	43.04	n/a	n/a	13,400.00	4.0
KINGD POINT PARTNERS	067	WFT	B	1,400	43.44	n/a	n/a	70.00	5.0
PHILADELPHIA FINANCIAL	031	WPL	B	30,573	13.46	20-Oct	26-Oct	1,528.65	5.0
PATTEN & PATTEN	067	WWY	S	600	52.11	n/a	n/a	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUTERA	060	ZFPI	S	5,000	0.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	B	50,000	13.95	8-Sep	8-Sep	2,000.00	4.0
COUGAR TRADING	044	ZQK	S	10,000	13.90	8-Sep	8-Sep	500.00	5.0
TOTAL:							96,872.58		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	HARVEST MGMT (HARVNEUBER)	039	CC	S	20,337	26.68	n/a	18-Oct	1,016.85	5.0
AO,	HARVEST MGMT (HARVGSCO)	039	CC	S	20,337	26.68	n/a	18-Oct	1,016.85	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	CLMS	B	100	28.81	n/a	24-Oct	0.00	0.0
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	FD	S	100,000	44.49	23-Oct	23-Oct	5,000.00	5.0
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	FD	S	100,000	44.49	23-Oct	23-Oct	4,000.00	4.0
AO,CXL	MAIRS AND POWER INV (MAIRGROWTH)	030	GLW	B	10,000	21.15	n/a	25-Oct	500.00	5.0
AO,	MAIRS AND POWER INV (MAIRGROWTH)	030	GLW	B	10,000	21.15	n/a	25-Oct	600.00	6.0

Legend:

Blue: Employee and Proprietary Trades.

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

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