



Daily Compliance Activity Report

Trade Date: 10/11/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AELTUS/ING INVESTMENT MGT	237	ABB	B	25,800	13.70	n/a	n/a	1,032.00	4.0
PLATTE RIVER CAPITAL	035	ADP	B	1,500	46.59	n/a	n/a	60.00	4.0
DIAMONDBACK CAP MGMT	232	AG	S	100,000	24.88	n/a	n/a	5,000.00	5.0
TRIBECA	038	AHM	B	7,700	34.75	n/a	n/a	308.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	60,000	74.67	31-Aug	6-Oct	2,400.00	4.0
LUCHANSKY1	036	ARRS	B	300	12.37	n/a	n/a	0.00	0.0
DEMARTINI	065	AVZ	S	1,000	23.33	6-Sep	11-Oct	0.00	0.0
PLATTE RIVER CAPITAL	035	AW	B	12,000	11.53	n/a	n/a	480.00	4.0
DC CAPITAL	044	AXL	B	500	17.50	n/a	n/a	25.00	5.0
PLATTE RIVER CAPITAL	035	BEC	S	7,000	57.86	n/a	n/a	280.00	4.0
LISTED ERR	099	BID	B	100	35.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BID	B	15,000	35.68	n/a	n/a	600.00	4.0
CRAMER ROSENTHAL/SCOTT	012	BLL	B	2,500	41.88	n/a	n/a	125.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	B	4,000	76.27	n/a	n/a	200.00	5.0
SUSQUEHANNA CAPITAL	033	BOW	S	20,500	20.95	11-Sep	14-Sep	1,025.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	034	BOW	S	12,500	20.93	11-Sep	14-Sep	500.00	4.0
J L F ASSET MGMT	039	BUD	S	34,500	47.29	n/a	n/a	1,380.00	4.0
PLATTE RIVER CAPITAL	035	C	S	2,500	50.36	n/a	9-Oct	100.00	4.0
PLATTE RIVER CAPITAL	035	CAM	S	2,300	45.98	n/a	n/a	92.00	4.0
NEEDHAM CAP	067	CAR	B	10,000	18.73	n/a	n/a	400.00	4.0
DIAMONDBACK CAP MGMT	232	CAT	B	15,000	68.68	n/a	n/a	750.00	5.0
ZOLIDIS	011	CBK	B	200	28.50	18-Sep	2-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	S	30,000	28.62	18-Sep	2-Oct	1,200.00	4.0
SCHEINER	037	CLB	S	200	61.00	7-Aug	7-Aug	0.00	0.0
CAPITAL GROWTH MGMT.	241	CLB	S	20,000	61.10	7-Aug	7-Aug	1,000.00	5.0
LUCHANSKY1	036	CMCSK	B	100	37.65	n/a	n/a	0.00	0.0
BUCK	015	CMXMJ	S	10	2.00	n/a	n/a	0.00	0.0
MERRILL ASSET	032	COG	B	29,800	47.81	n/a	n/a	1,490.00	5.0
BUCK CAPITAL MGMT	001	CSE	B	10,000	26.46	n/a	n/a	400.00	4.0
CAXTON PART	040	CVS	B	50,000	31.13	n/a	n/a	2,000.00	4.0
WHALE ROCK CAP	030	DDS	S	50,000	30.10	n/a	n/a	2,000.00	4.0
PLATTE RIVER CAPITAL	035	DELL	S	7,500	23.18	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	DG	B	82,800	13.25	21-Aug	6-Oct	3,312.00	4.0
BUCK CAPITAL MGMT	001	DKS	S	30,000	48.08	n/a	n/a	1,200.00	4.0
CENTURION PARTNERS	244	FD	B	15,000	44.04	13-Sep	6-Oct	750.00	5.0
IRIDIAN ASSET MGMT.	036	FRX	S	32,400	51.30	18-Jul	9-Oct	1,620.00	5.0
MERRILL ASSET	032	GE	S	130,900	36.15	n/a	n/a	6,545.00	5.0
PLATTE RIVER CAPITAL	035	GE	S	5,000	36.18	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	GES	B	43,100	53.87	n/a	n/a	1,724.00	4.0
LEDDY	035	GS	B	75	178.76	17-May	11-Oct	0.00	0.0
DIAMONDBACK CAP MGMT	232	GT	S	50,000	14.28	n/a	n/a	2,500.00	5.0
PLATTE RIVER CAPITAL	035	HMA	S	3,600	20.66	23-Jun	11-Oct	144.00	4.0
COMMISSUM CAPITAL	067	ISE	S	7,500	47.78	2-Oct	3-Oct	375.00	5.0
SYSTEMATIC FINANCIAL MGT	035	JCP	S	127,800	71.46	5-Oct	6-Oct	5,112.00	4.0
MATTHES CAPITAL MGMT	033	KCP	B	7,000	24.85	n/a	31-Aug	280.00	4.0
BUCK CAPITAL MGMT	001	KWD	S	5,000	31.75	n/a	n/a	200.00	4.0
WYPER CAPITAL	044	KWD	B	20,000	31.86	n/a	n/a	800.00	4.0
LUCHANSKY2	036	LNCR	B	100	34.24	25-Jul	4-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLOVIS CAPITAL	012	MAR	B	50,000	39.99	n/a	n/a	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	MMM	S	30,000	75.33	10-Jul	25-Jul	1,500.00	5.0
LEDDY	035	MTRX	S	2,600	14.34	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NDN	B	15,000	11.87	11-Aug	6-Oct	600.00	4.0
HIGHBRIDGE CAPITAL	038	NSC	B	4,000	45.58	n/a	n/a	200.00	5.0
WYPER CAPITAL	044	NTLI	S	100,000	25.10	n/a	n/a	4,000.00	4.0
J L F ASSET MGMT	039	OXM	S	33,600	47.89	n/a	n/a	1,344.00	4.0
MOORE CAPITAL	036	PALM	B	150,000	15.14	n/a	n/a	6,000.00	4.0
PLATTE RIVER CAPITAL	035	PG	S	2,500	62.50	25-Apr	9-Oct	100.00	4.0
LEVIN CAPITAL STRATEGIES	012	PKG	S	15,000	23.22	10-Oct	11-Oct	600.00	4.0
UBS OCONNOR	031	PKG	B	35,000	23.40	10-Oct	11-Oct	1,750.00	5.0
PRINCIPLE CAPITAL	040	PSUN	B	246,100	17.34	3-Aug	6-Oct	7,383.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	3,200	43.70	18-Sep	11-Oct	128.00	4.0
CLOVIS CAPITAL	012	SJM	S	63,100	48.49	n/a	n/a	3,155.00	5.0
PLATTE RIVER CAPITAL	035	SLB	S	2,500	57.65	n/a	n/a	100.00	4.0
PLATTE RIVER CAPITAL	035	SLM	S	2,100	50.57	n/a	n/a	84.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	TLB	B	120,000	29.03	n/a	17-Aug	4,800.00	4.0
DIAMONDBACK CAP MGMT	232	TWI	S	25,000	19.58	n/a	n/a	1,250.00	5.0
SCHEINER	037	UCO	B	250	50.84	10-Oct	11-Oct	0.00	0.0
GALLEON MGMT LP	033	VZ	B	30,000	36.61	19-Sep	9-Oct	1,500.00	5.0
FRIESS MGMT	042	WRNC	S	138,400	19.66	5-Sep	15-Sep	6,228.00	4.5
BUCK CAPITAL MGMT	001	WSM	B	10,000	32.45	n/a	n/a	400.00	4.0
PLATTE RIVER CAPITAL	035	WWY	S	2,500	45.44	n/a	n/a	100.00	4.0
LEDDY	035	WY	S	300	62.33	20-Sep	11-Oct	0.00	0.0
PLATTE RIVER CAPITAL	035	XOM	S	2,500	66.43	n/a	n/a	100.00	4.0
JP MORGAN VENTURES	046	ZQK	S	37,700	13.29	8-Sep	8-Sep	1,885.00	5.0
TOTAL :								93,616.00	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	ALLEN & CO (ALLNALLEN)	032	ASD	B	75,000	44.32	2-Oct	11-Oct	3,000.00	4.0
AO,CRT	LISTED ERR (LISTED ERR)	099	BID	S	100	35.70	n/a	n/a	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	099	CHRS	S	12	14.75	n/a	17-Aug	0.00	0.0
AO,	COMMISSUM CAPITAL (COMMCIRT#2)	067	EV	S	2,400	29.99	6-Oct	11-Oct	120.00	5.0
AO,CXL	COMMISSUM CAPITAL (COMMBS#1)	067	EV	S	15,000	29.99	6-Oct	11-Oct	750.00	5.0
AO,	COMMISSUM CAPITAL (COMMBS#1)	067	EV	S	12,600	29.99	6-Oct	11-Oct	630.00	5.0
AO,	MKT MAKER (MKT MAKER)	099	FTBK	B	73	26.40	n/a	n/a	0.00	0.0
AO,	MKT MAKER (MKT MAKER)	099	WRNC	B	77	19.41	5-Sep	15-Sep	0.00	0.0

Legend:

Blue: Employee and Proprietary Trades.

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

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