



Daily Compliance Activity Report

Trade Date: 11/30/2006

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|----------------|------------|
| WHITE PINE CAPITAL | 030 | AAP | B | 500 | 35.54 | n/a | n/a | 25.00 | 5.0 |
| MORGAN BANK /JPM | 012 | ABK | S | 7,467 | 85.64 | n/a | n/a | 149.34 | 2.0 |
| ANTEUS ASSOC.BAEL | 065 | ABT | S | 100 | 46.97 | n/a | 22-Apr | 5.00 | 5.0 |
| MORGAN BANK /JPM | 012 | ABT | S | 15,083 | 46.66 | n/a | 22-Apr | 301.66 | 2.0 |
| WHITE PINE CAPITAL | 030 | ABT | B | 1,000 | 46.54 | n/a | 22-Apr | 50.00 | 5.0 |
| LISTED ERR | 099 | ABT | B | 1,000 | 46.60 | n/a | 22-Apr | 0.00 | 0.0 |
| LISTED ERR | 099 | ABT | S | 1,000 | 46.69 | n/a | 22-Apr | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | ACMR | S | 5,000 | 21.51 | n/a | n/a | non-brg | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | ADCT | S | 168 | 13.69 | n/a | n/a | 8.40 | 5.0 |
| WHITE PINE CAPITAL | 030 | ADCT | B | 1,000 | 13.83 | n/a | n/a | 50.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | ADP | S | 104 | 48.58 | n/a | n/a | 5.20 | 5.0 |
| B BUCK CAPITAL MGMT | | AEOS | B | 50,000 | 45.39 | 15-Nov | 1-Dec | non-brg | 5.0 |
| B BUCK CAPITAL MGMT | | AEOS | C | 100,000 | 45.39 | 15-Nov | 1-Dec | non-brg | 5.0 |
| EGS ASSOCIATES LP | 059 | AEOS | C | 8,500 | 45.27 | 15-Nov | 1-Dec | 510.00 | 6.0 |
| KACELA CAPITAL | 034 | AEOS | SS | 20,000 | 45.50 | 15-Nov | 1-Dec | 800.00 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 012 | AEOS | C | 12,500 | 44.95 | 15-Nov | 1-Dec | 375.00 | 3.0 |
| ROBERTSON STEVENS BC | 033 | AEOS | S | 35,000 | 45.12 | 15-Nov | 1-Dec | 1,400.00 | 4.0 |
| STANDARD PACIFIC CAPITAL | 040 | AEOS | SS | 242,000 | 45.24 | 15-Nov | 1-Dec | 12,100.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | AES | S | 712 | 23.27 | n/a | n/a | 35.60 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | AGR | S | 4 | 17.58 | n/a | n/a | 0.20 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|----------|----------------|--------------|---------------|--------------|------------------|------------|
| ROYCE TRADING | 216 | AG | S | 5,000 | 31.25 | n/a | n/a | 250.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | AIG | S | 1,764 | 70.19 | n/a | n/a | 88.20 | 5.0 |
| WHITE PINE CAPITAL | 030 | AIG | B | 1,500 | 70.12 | n/a | n/a | 75.00 | 5.0 |
| MORGAN BANK /JPM | 012 | AIV | S | 6,500 | 57.64 | n/a | n/a | 130.00 | 2.0 |
| WHITE PINE CAPITAL | 030 | ALL | B | 800 | 63.36 | n/a | n/a | 40.00 | 5.0 |
| FARALLON CAP MGMT | 040 | ALO | B | 150,000 | 21.98 | n/a | n/a | 6,000.00 | 4.0 |
| MORGAN BANK /JPM | 012 | AMGN | S | 7,595 | 71.00 | n/a | 26-Jan | 151.90 | 2.0 |
| ANTEUS ASSOC.BAEL | 065 | AMP | S | 20 | 53.24 | n/a | n/a | 1.00 | 5.0 |
| RIVER RUN MGMT | 031 | AMRN | S | 2,100 | 2.40 | n/a | n/a | 63.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | ANF | B | 551,600 | 67.03 | 26-Oct | 1-Dec | 22,064.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ANF | C | 11,200 | 67.10 | 26-Oct | 1-Dec | non-brg | 2.0 |
| CENTURION PARTNERS | 249 | ANF | B | 10,000 | 67.51 | 26-Oct | 1-Dec | 500.00 | 5.0 |
| COUGAR TRADING | 044 | ANF | B | 5,000 | 67.62 | 26-Oct | 1-Dec | 250.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | ANN | B | 25,000 | 34.02 | 6-Jul | 1-Dec | 1,500.00 | 6.0 |
| MORGAN BANK /JPM | 012 | APA | S | 5,430 | 69.93 | 7-Aug | 22-Nov | 108.60 | 2.0 |
| WHITE PINE CAPITAL | 030 | APA | B | 500 | 69.97 | 7-Aug | 22-Nov | 25.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | APD | B | 300 | 69.12 | n/a | 25-Oct | 15.00 | 5.0 |
| COUGAR TRADING | 044 | ARO | B | 5,000 | 30.59 | 23-Oct | 1-Dec | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| THIRD COAST CAPITAL | 035 | ARO | SS | 45,000 | 30.31 | 23-Oct | 1-Dec | 2,250.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | ASD | S | 10,000 | 45.07 | 2-Oct | 1-Dec | 500.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | AT | S | 148 | 56.43 | n/a | n/a | 7.40 | 5.0 |
| Ⓐ BUCK CAPITAL MGMT | | AVCI | SS | 5,000 | 7.11 | n/a | n/a | non-brg | 1.5 |
| MAGUIRE | 090 | AVGN | S | 5,000 | 6.21 | n/a | n/a | 0.00 | 0.0 |
| BARR | 096 | AVGN | S | 5,600 | 6.30 | n/a | n/a | 0.00 | 0.0 |
| ROARING BLUE LION MGMT | 012 | AVZ | S | 14,200 | 21.58 | 17-Nov | 28-Nov | 710.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | AV | S | 12 | 12.62 | n/a | 22-Mar | 0.60 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | AXA | S | 92 | 38.26 | n/a | n/a | 4.60 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | AXP | S | 96 | 58.77 | n/a | n/a | 4.80 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | A | S | 32 | 32.05 | n/a | n/a | 1.60 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | BAC | S | 492 | 54.02 | 19-Jul | 20-Nov | 0.00 | 0.0 |
| WYPER CAPITAL | 044 | BBBY | S | 17,687 | 38.62 | n/a | n/a | 707.48 | 4.0 |
| MORRISON & FRASIER | 040 | BBW | S | 48,900 | 30.49 | n/a | n/a | 2,445.00 | 5.0 |
| LISTED ERR | 099 | BBY | B | 17,687 | 54.27 | n/a | 13-Sep | 0.00 | 0.0 |
| LISTED ERR | 099 | BBY | S | 17,687 | 54.19 | n/a | 13-Sep | 0.00 | 0.0 |
| Ⓐ BUCK CAPITAL MGMT | | BEBE | B | 20,000 | 20.02 | n/a | n/a | non-brg | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|---------------------|
| B BUCK CAPITAL MGMT | | BEBE | B | 30,000 | 20.02 | n/a | n/a | non-brg 1.5 |
| VISIUM/BALY HOWARD | 038 | BG | SS | 7,500 | 70.00 | n/a | n/a | 375.00 5.0 |
| BRIGHTPOINT CAP | 067 | BIG | SS | 6,000 | 22.25 | 16-Nov | 1-Dec | 300.00 5.0 |
| VISIUM/BALY HOWARD | 038 | BKS | S | 40,000 | 40.02 | n/a | n/a | 2,000.00 5.0 |
| PATTEN & PATTEN | 067 | BK | B | 600 | 35.41 | n/a | 13-Nov | 30.00 5.0 |
| WHITE PINE CAPITAL | 030 | BONT | B | 500 | 36.67 | 23-Oct | 1-Dec | 25.00 5.0 |
| IRONBOUND CAPITAL | 012 | BOW | SS | 10,000 | 21.95 | 10-Oct | 27-Oct | 500.00 5.0 |
| ANTEUS ASSOC.BAEL | 065 | BP | S | 1,740 | 68.05 | n/a | n/a | 87.00 5.0 |
| ANTEUS ASSOC.BAEL | 065 | BRKB | S | 43,525.00 | | n/a | n/a | 0.20 5.0 |
| B BUCK CAPITAL MGMT | | CBE | SS | 10,000 | 90.85 | 25-Oct | 25-Oct | non-brg 5.0 |
| B BUCK CAPITAL MGMT | | CBK | C | 20,000 | 18.84 | 2-Nov | 1-Dec | non-brg 5.0 |
| AAD CAPITAL | 099 | CHS | B | 50,000 | 23.74 | 28-Nov | 1-Dec | 1,000.00 2.0 |
| COUGAR TRADING | 044 | CHS | SS | 5,000 | 23.66 | 28-Nov | 1-Dec | 250.00 5.0 |
| MORGAN BANK /JPM | 012 | CIT | S | 7,421 | 52.01 | n/a | n/a | 148.42 2.0 |
| FARBER/WEISS PECK | 012 | CLE | C | 68,000 | 31.26 | 2-Nov | 1-Dec | 3,400.00 5.0 |
| NCM CAPITAL MGMT | 035 | CLF | S | 24,900 | 48.14 | n/a | n/a | 1,245.00 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|-----------|---------------|--------------|---------------|---------------|---------------|------------|
| ANTEUS ASSOC.BAEL | 065 | CL | S | 164 | 65.35 | 25-Oct | 26-Oct | 8.20 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | CMCSA | S | 56 | 40.11 | 27-Jul | 29-Nov | 2.80 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | CME | B | 2,000 | 533.18 | n/a | 13-Nov | 100.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | COF | S | 664 | 77.80 | n/a | n/a | 33.20 | 5.0 |
| BUCK CAPITAL MGMT | 001 | COH | SS | 5,000 | 43.02 | 25-Oct | 25-Oct | 200.00 | 4.0 |
| ANTEUS ASSOC.BAEL | 065 | CPB | S | 516 | 37.64 | n/a | n/a | 25.80 | 5.0 |
| Õ Doug Rogers | | CPN | B | 100000 | 78.25 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | CRI | B | 10,000 | 27.54 | n/a | n/a | 400.00 | 4.0 |
| ANTEUS ASSOC.BAEL | 065 | CSCO | S | 432 | 27.03 | n/a | 22-Mar | 21.60 | 5.0 |
| MORGAN BANK /JPM | 012 | CVX | S | 9,745 | 72.32 | n/a | n/a | 194.90 | 2.0 |
| HIGHBRIDGE CAPITAL | 038 | CZN | B | 28,000 | 14.19 | n/a | n/a | 1,400.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | C | S | 144 | 49.86 | n/a | 13-Nov | 7.20 | 5.0 |
| MORGAN BANK /JPM | 012 | C | S | 19,011 | 49.59 | n/a | 13-Nov | 380.22 | 2.0 |
| PATTEN & PATTEN | 067 | C | S | 300 | 49.60 | n/a | 13-Nov | 15.00 | 5.0 |
| THE JAY GOLDMAN | 034 | DDS | B | 22,500 | 35.30 | n/a | n/a | 900.00 | 4.0 |
| ANTEUS ASSOC.BAEL | 065 | DD | S | 1,128 | 48.02 | n/a | 30-Nov | 56.40 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| ANTEUS ASSOC.BAEL | 065 | DIS | S | 192 | 32.99 | n/a | n/a | 9.60 | 5.0 |
| KACELA CAPITAL | 034 | DLIA | B | 5,000 | 9.31 | n/a | n/a | 200.00 | 4.0 |
| WALKER SMITH | 031 | DSW | S | 20,000 | 38.00 | n/a | n/a | 1,000.00 | 5.0 |
| MORGAN BANK /JPM | 012 | DVN | S | 6,815 | 73.37 | 30-Nov | 22-Nov | 136.30 | 2.0 |
| MORGAN LEWIS/MLH | 046 | ENR | B | 5,000 | 66.36 | n/a | n/a | 250.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | EQ | S | 8 | 51.05 | n/a | n/a | 0.40 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | ETM | S | 348 | 27.25 | n/a | n/a | 17.40 | 5.0 |
| PATTEN & PATTEN | 067 | EWJ | B | 1,000 | 13.79 | n/a | n/a | 50.00 | 5.0 |
| B BUCK CAPITAL MGMT | | FINL | SS | 50,000 | 13.68 | n/a | 1-Dec | non-brg | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | FIS | S | 36 | 40.00 | n/a | n/a | 1.80 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | FITB | S | 320 | 39.28 | n/a | n/a | 16.00 | 5.0 |
| B BUCK CAPITAL MGMT | | FLDR | SS | 10,000 | 9.90 | n/a | n/a | non-brg | 5.0 |
| THIRD COAST CAPITAL | 035 | FRED | B | 70,000 | 11.94 | 30-Nov | 1-Dec | 3,500.00 | 5.0 |
| MILLENIUM PARTNERS | 028 | FSL | B | 25,000 | 39.94 | n/a | n/a | 1,250.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | GE | S | 372 | 35.41 | n/a | n/a | 18.60 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| MORGAN BANK /JPM | 012 | GE | S | 34,368 | 35.28 | n/a | n/a | 687.36 | 2.0 |
| MILLENIUM PARTNERS | 028 | GKIS | S | 10,000 | 19.72 | n/a | n/a | 500.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | GLW | S | 620 | 21.53 | n/a | 25-Oct | 31.00 | 5.0 |
| MORGAN BANK /JPM | 012 | GLW | S | 23,407 | 21.56 | n/a | 25-Oct | 468.14 | 2.0 |
| PATTEN & PATTEN | 067 | GLW | B | 800 | 21.21 | n/a | 25-Oct | 40.00 | 5.0 |
| MORGAN BANK /JPM | 012 | GNW | S | 10,307 | 32.80 | n/a | n/a | 206.14 | 2.0 |
| MORGAN BANK /JPM | 012 | GOOG | S | 794 | 484.92 | n/a | n/a | 15.88 | 2.0 |
| COUGAR TRADING | 044 | GPS | B | 10,000 | 18.65 | n/a | 1-Dec | 500.00 | 5.0 |
| FORD FDN. | 032 | GS | S | 3,400 | 196.07 | 6-Nov | 13-Nov | 170.00 | 5.0 |
| VISIUM/BALY HOWARD | 038 | GT | B | 25,000 | 16.82 | n/a | n/a | 1,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | GWW | SS | 10,000 | 72.05 | 16-Nov | 16-Nov | non-brg | 5.0 |
| HOLLIS CAPITAL | 040 | GYMB | B | 11,000 | 39.98 | 30-Nov | 1-Dec | 550.00 | 5.0 |
| VISIUM/BALY HOWARD | 038 | GYMB | B | 30,000 | 40.26 | 30-Nov | 1-Dec | 1,500.00 | 5.0 |
| WD PARTNERS ILP | 067 | GYMB | B | 6,900 | 40.27 | 30-Nov | 1-Dec | 345.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | HAL | S | 400 | 33.89 | n/a | n/a | 20.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | HD | S | 48 | 37.51 | n/a | 15-Nov | 2.40 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | HET | S | 192 | 78.70 | 3-Oct | 26-Oct | 9.60 | 5.0 |
| KACELA CAPITAL | 034 | HOT | B | 5,000 | 64.20 | n/a | n/a | 200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| ANTEUS ASSOC.BAEL | 065 | HPQ | S | 176 | 39.26 | n/a | n/a | 8.80 | 5.0 |
| ß BUCK CAPITAL MGMT | | HPY | C | 27,450 | 27.85 | n/a | n/a | non-brg | 5.0 |
| ß BUCK CAPITAL MGMT | | HPY | C | 6,550 | 27.05 | n/a | n/a | non-brg | 2.0 |
| MAZAMA CAPITAL MGMT. | 035 | HPY | B | 39,500 | 27.80 | n/a | n/a | 1,580.00 | 4.0 |
| HOFFMAN | 014 | HSHL | S | 15,000 | 0.00 | n/a | n/a | 0.00 | 0.0 |
| ANTEUS ASSOC.BAEL | 065 | HSP | S | 8 | 33.19 | n/a | 22-Apr | 0.40 | 5.0 |
| PATTEN & PATTEN | 067 | HST | S | 500 | 24.94 | n/a | n/a | 25.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | IBM | S | 56 | 91.35 | n/a | n/a | 2.80 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | IFF | S | 588 | 47.49 | 10-Nov | 22-Nov | 29.40 | 5.0 |
| WHITE PINE CAPITAL | 030 | IFF | B | 800 | 47.14 | 10-Nov | 22-Nov | 40.00 | 5.0 |
| Õ Manny Korman | | IIA | B | 2000 | 19.69 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | IKAN | B | 10,000 | 9.23 | n/a | n/a | non-brg | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | INTC | S | 376 | 21.24 | n/a | n/a | 18.80 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | IPG | S | 108 | 11.94 | n/a | n/a | 5.40 | 5.0 |
| RIVER RUN MGMT | 031 | ITCD | B | 600 | 2.48 | n/a | n/a | 18.00 | 3.0 |
| ROYCE TRADING | 216 | IWOV | S | 10,000 | 13.72 | n/a | n/a | 500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | JCG | B | 20,000 | 39.37 | 25-Aug | 22-Nov | non-brg | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|-----------|----------------|--------------|--------------|--------------|------------------|------------|
| COUGAR TRADING | 044 | JCG | SS | 5,000 | 39.84 | 25-Aug | 22-Nov | 250.00 | 5.0 |
| MORGAN BANK /JPM | 012 | JCI | S | 9,048 | 81.33 | 26-Oct | 26-Oct | 180.96 | 2.0 |
| ANTEUS ASSOC.BAEL | 065 | JCP | S | 236 | 78.40 | 9-Nov | 1-Dec | 11.80 | 5.0 |
| B BUCK CAPITAL MGMT | | JCP | B | 10,000 | 76.80 | 9-Nov | 1-Dec | non-brg | 5.0 |
| WHITE PINE CAPITAL | 030 | JCS | S | 400 | 9.40 | n/a | n/a | 20.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | JNJ | S | 340 | 66.20 | n/a | 22-Apr | 17.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | JPM | S | 424 | 46.72 | n/a | 13-Nov | 21.20 | 5.0 |
| LOOMIS SALES/BOSTON | 036 | JTX | B | 28,675 | 36.37 | n/a | n/a | 1,433.75 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | KEY | S | 1,072 | 36.05 | n/a | n/a | 53.60 | 5.0 |
| LOOMIS SALES/BOSTON | 036 | KFT | SS | 171,750 | 34.91 | n/a | n/a | 8,587.50 | 5.0 |
| B BUCK CAPITAL MGMT | | KMT | SS | 20,000 | 61.01 | n/a | n/a | non-brg | 5.0 |
| B BUCK CAPITAL MGMT | 001 | KSS | B | 560,000 | 69.22 | 9-Nov | 1-Dec | 22,400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | KSS | B | 20,000 | 69.83 | 9-Nov | 1-Dec | non-brg | 2.0 |
| SINCLAIR | 031 | KWK | C | 500 | 43.00 | n/a | n/a | 0.00 | 0.0 |
| VISIUM/BALY HOWARD | 038 | LDG | B | 15,000 | 41.23 | n/a | n/a | 750.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | LEG | S | 216 | 23.33 | n/a | n/a | 10.80 | 5.0 |
| BALYASNY ASSET MGMT | 044 | LEH | B | 10,000 | 73.93 | n/a | 13-Nov | 500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|--------------|----------------|------------|
| SATELLITE ASSET MGMT | 012 | LEN | B | 10,000 | 51.22 | n/a | n/a | 500.00 | 5.0 |
| ROYCE TRADING | 216 | LII | S | 5,000 | 28.82 | n/a | n/a | 250.00 | 5.0 |
| MORGAN BANK /JPM | 012 | LLTC | S | 10,885 | 32.14 | n/a | n/a | 217.70 | 2.0 |
| ANTEUS ASSOC.BAEL | 065 | LTD | S | 256 | 31.45 | 30-Nov | 1-Dec | 12.80 | 5.0 |
| THE JAY GOLDMAN | 034 | LTD | S | 10,000 | 31.93 | 30-Nov | 1-Dec | 400.00 | 4.0 |
| ANTEUS ASSOC.BAEL | 065 | LU | S | 132 | 2.59 | n/a | 22-Mar | 6.60 | 5.0 |
| B BUCK CAPITAL MGMT | | MDTL | SS | 5,000 | 20.26 | n/a | n/a | non-brg | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | MDT | S | 572 | 52.68 | n/a | 22-Apr | 28.60 | 5.0 |
| PATTEN & PATTEN | 067 | MDT | S | 800 | 52.40 | n/a | 22-Apr | 40.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | MHS | S | 28 | 51.40 | n/a | n/a | 1.40 | 5.0 |
| WHITE PINE CAPITAL | 030 | MIR | B | 1,500 | 30.47 | n/a | n/a | 75.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | MMC | S | 92 | 31.50 | n/a | n/a | 4.60 | 5.0 |
| WHITE PINE CAPITAL | 030 | MMM | B | 500 | 81.03 | 20-Oct | 20-Oct | 25.00 | 5.0 |
| LISTED ERR | 099 | MM | B | 500 | 35.98 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | MM | S | 500 | 36.04 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | MOT | B | 5,000 | 22.20 | n/a | n/a | 250.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | MO | S | 572 | 84.33 | n/a | n/a | 28.60 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|------------|------------|----------------|------------|
| MORGAN BANK /JPM | 012 | MO | S | 8,329 | 84.21 | n/a | n/a | 166.58 | 2.0 |
| WHITE PINE CAPITAL | 030 | MO | B | 700 | 83.80 | n/a | n/a | 35.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | MRK | S | 244 | 44.40 | n/a | n/a | 12.20 | 5.0 |
| MORGAN BANK /JPM | 012 | MRK | S | 11,860 | 44.51 | n/a | n/a | 237.20 | 2.0 |
| MORGAN BANK /JPM | 012 | MRO | S | 3,294 | 94.38 | n/a | n/a | 65.88 | 2.0 |
| ANTEUS ASSOC.BAEL | 065 | MSFT | S | 136 | 29.42 | n/a | 3-Apr | 6.80 | 5.0 |
| MORGAN BANK /JPM | 012 | MSFT | S | 28,335 | 29.33 | n/a | 3-Apr | 566.70 | 2.0 |
| B BUCK CAPITAL MGMT | | MSM | S | 20,000 | 38.76 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | MSM | S | 34,000 | 38.51 | n/a | n/a | non-brg | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | MS | S | 92 | 77.13 | 20-Sep | 13-Nov | 4.60 | 5.0 |
| MORGAN BANK /JPM | 012 | MS | S | 6,426 | 76.16 | 20-Sep | 13-Nov | 128.52 | 2.0 |
| ANTEUS ASSOC.BAEL | 065 | MTD | S | 248 | 78.57 | n/a | n/a | 12.40 | 5.0 |
| ELM RIDGE ADVISORS | 044 | NCX | C | 4,900 | 29.00 | n/a | n/a | 196.00 | 4.0 |
| B BUCK CAPITAL MGMT | | NDSN | SS | 10,000 | 48.06 | n/a | n/a | non-brg | 1.5 |
| PATTEN & PATTEN | 067 | NEM | B | 800 | 46.90 | n/a | n/a | 40.00 | 5.0 |
| MORGAN LEWIS/MLH | 046 | NILE | SS | 10,000 | 33.53 | n/a | n/a | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | NKE | SS | 15,000 | 97.50 | n/a | n/a | 600.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | NKE | B | 300 | 99.04 | n/a | n/a | 15.00 | 5.0 |
| PATTEN & PATTEN | 067 | NOK | S | 1,500 | 20.13 | n/a | n/a | 75.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| WHITE PINE CAPITAL | 030 | NOK | B | 2,700 | 20.24 | n/a | n/a | 135.00 | 5.0 |
| MORGAN BANK /JPM | 012 | NSC | S | 9,821 | 49.25 | n/a | n/a | 196.42 | 2.0 |
| COUGAR TRADING | 044 | NWY | B | 5,000 | 13.02 | 30-Nov | 1-Dec | 250.00 | 5.0 |
| THE JAY GOLDMAN | 034 | NWY | B | 25,000 | 13.00 | 30-Nov | 1-Dec | 1,000.00 | 4.0 |
| PILOT ROCK | 028 | NYX | B | 25,000 | 98.42 | n/a | n/a | 1,000.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | OPLK | B | 500 | 20.04 | n/a | n/a | 25.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | PEP | S | 612 | 62.40 | n/a | n/a | 30.60 | 5.0 |
| WHITE PINE CAPITAL | 030 | PEP | B | 1,000 | 62.04 | n/a | n/a | 50.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | PFE | S | 328 | 27.57 | n/a | 31-Mar | 16.40 | 5.0 |
| WHITE PINE CAPITAL | 030 | PFE | B | 4,000 | 27.50 | n/a | 31-Mar | 200.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | PG | B | 1,500 | 62.92 | 31-Oct | 29-Nov | 75.00 | 5.0 |
| PATTEN & PATTEN | 067 | PHO | B | 1,000 | 18.24 | n/a | n/a | 50.00 | 5.0 |
| B BUCK CAPITAL MGMT | | PH | SS | 15,000 | 82.84 | n/a | n/a | non-brg | 5.0 |
| KACELA CAPITAL | 034 | PLCE | B | 5,000 | 64.30 | n/a | 30-Nov | 200.00 | 4.0 |
| ROARING BLUE LION MGMT | 012 | PLCE | B | 2,400 | 63.97 | n/a | 30-Nov | 120.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | PNC | S | 84 | 70.60 | n/a | n/a | 4.20 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | PPG | S | 136 | 64.30 | n/a | 17-Nov | 6.80 | 5.0 |
| LISTED ERR | 099 | PRE | B | 328 | 69.63 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|--------------|--------------|----------------|------------|
| LISTED ERR | 099 | PRE | S | 328 | 69.62 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | PRU | B | 1,000 | 81.60 | n/a | n/a | 50.00 | 5.0 |
| MORGAN BANK /JPM | 012 | PX | S | 5,791 | 62.40 | n/a | 25-Oct | 115.82 | 2.0 |
| HIGHBRIDGE CAPITAL | 038 | Q | B | 47,000 | 7.85 | n/a | n/a | 2,350.00 | 5.0 |
| TRUST CO/COWEN/CALF. | 040 | Q | B | 1,489,400 | 7.81 | n/a | n/a | 59,576.00 | 4.0 |
| WHITE PINE CAPITAL | 030 | Q | B | 8,000 | 7.70 | n/a | n/a | 400.00 | 5.0 |
| Õ Manny Korman | | RFI | B | 2000 | 21.08 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | RL | SS | 10,000 | 78.07 | 9-Nov | 9-Nov | 400.00 | 4.0 |
| CENTURION PARTNERS | 249 | RL | B | 5,000 | 78.29 | 9-Nov | 9-Nov | 250.00 | 5.0 |
| MORGAN BANK /JPM | 012 | ROH | S | 6,430 | 52.22 | 13-Oct | 19-Oct | 128.60 | 2.0 |
| WHITE PINE CAPITAL | 030 | ROH | B | 700 | 52.27 | 13-Oct | 19-Oct | 35.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | ROST | SS | 30,000 | 30.37 | n/a | n/a | non-brg | 5.0 |
| STERLING JOHNSTON | 035 | RVI | S | 90,000 | 18.87 | n/a | n/a | 4,500.00 | 5.0 |
| CAXTON PART | 040 | SBL | B | 100,000 | 14.83 | 19-Sep | 31-Oct | 4,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | SCSS | C | 50,000 | 17.34 | n/a | n/a | non-brg | 5.0 |
| Õ Henry Ngan | | SCSS | B | 1100 | 17.25 | n/a | n/a | 0.00 | 0.0 |
| ROBERTSON STEVENS BC | 033 | SCSS | S | 50,000 | 17.31 | n/a | n/a | 2,000.00 | 4.0 |
| ANTEUS ASSOC.BAEL | 065 | SGP | S | 348 | 21.83 | n/a | n/a | 17.40 | 5.0 |
| CASTLE ARK | 031 | SII | B | 162,900 | 42.22 | n/a | n/a | 9,774.00 | 6.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| MORGAN BANK /JPM | 012 | SLB | S | 8,930 | 68.48 | n/a | n/a | 178.60 | 2.0 |
| B BUCK CAPITAL MGMT | | SNPS | C | 19,000 | 25.62 | n/a | n/a | non-brg | 1.5 |
| ROSENBERG | 034 | SPC | B | 200 | 8.78 | n/a | 15-Nov | 0.00 | 0.0 |
| MORGAN BANK /JPM | 012 | SPLS | S | 17,150 | 25.47 | n/a | 15-Nov | 343.00 | 2.0 |
| Õ Manny Korman | | SRO | B | 2000 | 20.20 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | SRZ | B | 800 | 31.50 | n/a | n/a | 40.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | STA | S | 8 | 51.93 | n/a | n/a | 0.40 | 5.0 |
| WHITE PINE CAPITAL | 030 | STA | B | 2,000 | 51.92 | n/a | n/a | 100.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | STI | S | 424 | 82.68 | n/a | n/a | 21.20 | 5.0 |
| WHITE PINE CAPITAL | 030 | STJ | B | 3,300 | 37.32 | n/a | n/a | 165.00 | 5.0 |
| MORGAN BANK /JPM | 012 | STT | S | 10,790 | 62.13 | n/a | n/a | 215.80 | 2.0 |
| MAIRS AND POWER INV | 030 | SVU | S | 20,000 | 34.01 | n/a | n/a | 1,200.00 | 6.0 |
| MORGAN BANK /JPM | 012 | SVU | S | 9,562 | 34.26 | n/a | n/a | 191.24 | 2.0 |
| MORGAN BANK /JPM | 012 | SWY | S | 12,419 | 30.81 | n/a | n/a | 248.38 | 2.0 |
| MORGAN BANK /JPM | 012 | SYU | S | 13,674 | 35.85 | 12-Sep | 1-Dec | 273.48 | 2.0 |
| ANTEUS ASSOC.BAEL | 065 | S | S | 164 | 19.60 | n/a | n/a | 8.20 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | TBL | S | 43,900 | 31.21 | 14-Nov | 15-Nov | 1,756.00 | 4.0 |
| SATELLITE ASSET MGMT | 012 | TCO | S | 4,900 | 49.16 | n/a | n/a | 245.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | TEX | SS | 10,000 | 56.30 | n/a | n/a | non-brg | 5.0 |
| ROYCE TRADING | 216 | TG | S | 10,000 | 19.76 | n/a | n/a | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | TKR | SS | 25,000 | 29.91 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | TLB | B | 10,000 | 24.87 | 2-Oct | 16-Nov | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | TLB | B | 10,000 | 24.97 | 2-Oct | 16-Nov | non-brg | 5.0 |
| CAXTON PART | 040 | TNOX | B | 100,000 | 19.65 | n/a | n/a | 4,000.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | TRLG | B | 25,000 | 15.05 | n/a | n/a | non-brg | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | TRLG | B | 25,000 | 15.21 | n/a | n/a | non-brg | 5.0 |
| SUFFOLK CAPITAL MGMT | 040 | TWX | S | 611,800 | 20.23 | n/a | n/a | 24,472.00 | 4.0 |
| VANDER MOOLEN | 040 | TWX | B | 5,000 | 20.15 | n/a | n/a | 250.00 | 5.0 |
| RBC CAPITAL MARKETS | 034 | TXN | SS | 50,000 | 28.93 | n/a | n/a | 2,500.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | T | S | 28 | 33.47 | 20-Sep | 1-Dec | 1.40 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | T | S | 25,000 | 33.72 | 20-Sep | 1-Dec | 1,250.00 | 5.0 |
| WHITE PINE CAPITAL | 030 | T | B | 3,500 | 33.82 | 20-Sep | 1-Dec | 175.00 | 5.0 |
| BARR | 096 | UNFY | B | 9,999 | 0.03 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | URBN | B | 40,000 | 21.97 | 5-Oct | 10-Nov | non-brg | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------------|--------------|----------|---------------|--------------|--------------|--------------|-------------------|------------|
| MORGAN BANK /JPM | 012 | UTX | S | 7,242 | 64.53 | n/a | n/a | 144.84 | 2.0 |
| ANTEUS ASSOC.BAEL | 065 | VRGY | S | 4 | 17.25 | n/a | n/a | 0.20 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | VZ | S | 68 | 34.89 | 17-Nov | 1-Dec | 3.40 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | WB | S | 104 | 53.90 | n/a | n/a | 5.20 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | WIN | S | 156 | 13.89 | n/a | n/a | 7.80 | 5.0 |
| HIGHBRIDGE CAPITAL | 038 | WIN | B | 33,000 | 13.87 | n/a | n/a | 1,650.00 | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | WMT | S | 216 | 46.51 | 5-Oct | 1-Dec | 10.80 | 5.0 |
| COUGAR TRADING | 044 | WMT | B | 5,000 | 46.19 | 5-Oct | 1-Dec | 250.00 | 5.0 |
| TROUBH PART | 067 | WMT | B | 50,000 | 46.04 | 5-Oct | 1-Dec | 2,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WTSLA | S | 70,000 | 7.00 | n/a | n/a | non-brg | 5.0 |
| ANTEUS ASSOC.BAEL | 065 | WWY | S | 548 | 52.24 | n/a | n/a | 27.40 | 5.0 |
| MORGAN BANK /JPM | 012 | WYE | S | 15,673 | 48.28 | n/a | 31-Mar | 313.46 | 2.0 |
| KORMAN | 003 | ZOLT | B | 3,000 | 22.50 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | ZQK | B | 20,000 | 14.65 | 8-Sep | 8-Sep | non-brg | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 250,981.57 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-----------------------|-------|------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO, CRT | 11/29 | MKT MAKER (MKT MAKER) | 099 | BONT | S | 300 | 36.92 | 23-Oct | 1-Dec | 0.00 0.0 |
| AO, | 11/29 | ALLEN & CO (ALLNALLEN) | 032 | SWN | B | 45,000 | 41.46 | 17-Nov | 22-Nov | 1800.00 4.0 |
| TOTAL (AO, CXL, CRT): | | | | | | | | | | 1,800.00 |

| | |
|-----------------------|------------|
| TOTAL (Trade Date): | 250,981.57 |
| TOTAL (AO, CXL, CRT): | 1,800.00 |

| | |
|-------------------------|------------|
| TOTAL (RUN DATE) / NFS: | 252,781.57 |
|-------------------------|------------|

Percent BUCK Commission in BCM Trades

Trader Date : (11/30/2006) = 38%

YTD = 23%

Legend:

Õ: Employee Trades in Outside Accounts

Blue: Employee and Proprietary Trades.

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

ß: Non-BRG BCM Trades

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

POTENTIAL ANALYST TRADE VIOLATION