



Daily Compliance Activity Report

Trade Date: 11/16/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EQUINOX	032	AET	B	250,000	41.52	n/a	n/a	12,500.00	5.0
RIDGECRST PARTNERS	035	ALXN	S	10,000	44.37	n/a	n/a	500.00	5.0
RIDGECRST PARTNERS	035	AMLN	S	15,000	44.22	n/a	n/a	750.00	5.0
ROBERTSON STEVENS BC	033	APOL	B	52,000	34.53	n/a	n/a	1,560.00	3.0
CIBC ADV.	060	BE	S	10,000	8.78	n/a	n/a	500.00	5.0
MKT MAKER	099	BEAS	B	2,100	13.22	n/a	3-Apr	0.00	0.0
FRIESS MGMT	042	BEAS	B	393,400	13.37	n/a	3-Apr	17,703.00	4.5
VENTANA CAPITAL	060	BEAS	S	15,000	13.45	n/a	3-Apr	750.00	5.0
GALLEON MGMT LP	033	BGO	S	100,000	5.26	n/a	n/a	5,000.00	5.0
BRIGHTPOINT CAP	067	BIG	B	7,500	24.84	16-Nov	16-Nov	375.00	5.0
ROYAL CAPITAL	039	BIG	S	85,000	25.25	16-Nov	16-Nov	4,250.00	5.0
KARSCH CAPITAL	034	BKS	S	318,400	40.69	n/a	n/a	12,736.00	4.0
TRIBECA	038	BRO	B	10,000	29.25	n/a	n/a	400.00	4.0
BARROW HANLEY MEWHINNEY	031	CBE	S	9,400	93.89	25-Oct	25-Oct	376.00	4.0
MCCARTAN	028	CBK	B	400	22.48	2-Nov	3-Nov	0.00	0.0
KERN	050	CC	B	500	24.36	n/a	16-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STG INVESTORS	028	CC	B	15,000	24.41	n/a	16-Nov	750.00	5.0
MKT MAKER	099	CEPH	S	100	76.00	9-Aug	16-Nov	0.00	0.0
RAINIER INV MGMT	035	CMCSA	S	14,700	40.58	27-Jul	9-Nov	735.00	5.0
CIBC ADV.	060	CNP	S	10,000	16.19	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	COH	B	40,000	42.23	25-Oct	25-Oct	1,600.00	4.0
BUCK CAPITAL MGMT	001	COH	S	80,000	42.44	25-Oct	25-Oct	3,200.00	4.0
FIRST NEW YORK LEDDY	035	CY	S	25,000	17.05	n/a	n/a	1,500.00	6.0
HIGHBRIDGE CAPITAL	038	CZN	B	4,500	13.99	n/a	n/a	225.00	5.0
BUCK CAPITAL MGMT	001	DG	B	250,000	15.04	21-Aug	3-Nov	10,000.00	4.0
J L F ASSET MGMT	039	DG	B	96,000	14.94	21-Aug	3-Nov	3,840.00	4.0
TRELLUS PARTNERS LP	028	DG	S	154,300	15.18	21-Aug	3-Nov	7,715.00	5.0
LISTED ERR	099	DRI	B	1,000	40.99	28-Jun	31-Oct	0.00	0.0
MAZAMA CAPITAL MGMT.	035	EVR	B	35,000	36.85	n/a	n/a	1,400.00	4.0
CIBC ADV.	060	EYE	B	3,000	38.64	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	FD	B	10,000	41.86	9-Nov	9-Nov	400.00	4.0
SENTINAL CAPITAL	067	FD	S	11,000	41.97	9-Nov	9-Nov	550.00	5.0
FIRST INV MGMT CORP	036	FL	S	10,000	23.99	n/a	3-Nov	500.00	5.0
WEISS PECK	040	FL	B	20,000	24.00	n/a	3-Nov	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	10,000	36.94	n/a	10-Jan	400.00	4.0
VANDER MOOLEN	040	GE	B	7,500	36.00	n/a	n/a	375.00	5.0
MAZAMA CAPITAL MGMT.	035	GHS	S	64,600	20.51	n/a	n/a	2,584.00	4.0
MORGAN LEWIS/MLH	046	GLW	B	20,000	21.47	n/a	25-Oct	1,000.00	5.0
MS PRINCIPAL STRATEGIES	040	GOL	S	25,900	30.48	n/a	n/a	1,295.00	5.0
COUGAR TRADING	044	GPS	B	10,000	19.85	31-Jul	13-Nov	500.00	5.0
LUCHANSKY2	036	GQUWI	S	5	0.50	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	HCR	B	40,000	47.81	n/a	26-Oct	1,600.00	4.0
BAIRD INVESTMENT	031	JCI	B	9,800	85.35	26-Oct	26-Oct	490.00	5.0
MCCARTAN	028	KEGS	S	200	14.90	7-Aug	14-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	70,000	73.19	9-Nov	10-Nov	2,800.00	4.0
WHITE PINE CAPITAL	030	KSWS	S	1,000	36.48	n/a	27-Oct	50.00	5.0
KARSCH CAPITAL	034	LEH	S	125,000	75.83	n/a	13-Nov	3,750.00	3.0
LEHMAN PROPRIETARY TRAD	039	LOW	B	65,488	30.60	n/a	8-Nov	2,619.52	4.0
TRIVIUM CAP MGMT	028	MAT	S	50,000	23.83	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REICH AND TANG	037	MLM	S	800	98.00	n/a	n/a	40.00	5.0
WHEELER	008	MMDO	S	40	7.35	n/a	n/a	0.00	0.0
WHEELER	008	MMKO	B	40	5.40	n/a	n/a	0.00	0.0
CHARTER OAK	037	MUR	S	38,400	49.04	n/a	n/a	1,920.00	5.0
LISTED ERR	099	NWSA	S	50	21.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	OXM	S	20,000	52.47	n/a	n/a	800.00	4.0
CIBC ADV.	060	PCLN	B	2,000	40.06	n/a	n/a	100.00	5.0
RAINIER INV MGMT	035	PEP	S	5,050	61.51	n/a	n/a	252.50	5.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	48.78	23-Oct	14-Nov	400.00	4.0
HIGHBRIDGE CAPITAL	038	Q	B	18,000	8.11	n/a	n/a	900.00	5.0
HIGHFIELDS CAP MGMT	039	RCNI	S	100,000	30.08	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	RL	S	30,000	76.98	9-Nov	9-Nov	1,200.00	4.0
OSS CAPITAL/KEVIN DANN	067	SALLY BEAUTY HLDGSB		125,700	7.21		n/a	n/a	5,028.00 4.0
COLONIAL FUND LLC	036	SHPGY	B	25,000	59.74	16-Nov	16-Nov	1,250.00	5.0
RIDGECRST PARTNERS	035	SMRT	S	8,000	15.12	n/a	n/a	400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TILLDALE MGMT.	048	T	B	10,000	32.48	20-Sep	9-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	TBL	S	50,000	32.29	14-Nov	15-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	10,000	25.48	2-Oct	16-Nov	400.00	4.0
SUN AMERICA ASSET MGMT	030	TRI	B	71,300	38.07	17-Oct	8-Nov	3,565.00	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	10,000	13.73	n/a	n/a	500.00	5.0
EFSTATHIOU	044	WOTMG	B	5	1.80	n/a	n/a	0.00	0.0
COUGAR TRADING	044	WRNC	S	5,000	25.29	2-Nov	2-Nov	250.00	5.0
OSS CAPITAL/KEVIN DANN	067	WU	S	2,700	23.80	n/a	n/a	135.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	60,000	14.74	8-Sep	8-Sep	2,400.00	4.0
TOTAL (Trade Date) :								137,969.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/15	VIKING GLOBAL (VIKIM.S.)	030	COH	B	100,000	41.76	25-Oct	25-Oct	5000.00 5.0
AO,CXL	11/15	VIKING GLOBAL (VIKIM.S.)	030	COH	B	59,000	41.82	25-Oct	25-Oct	2950.00 5.0
AO,	11/15	VIKING GLOBAL (VIKIM.S.)	030	COH	S	59,000	41.82	25-Oct	25-Oct	2950.00 5.0
AO,	11/15	VIKING GLOBAL (VIKIM.S.)	030	COH	S	100,000	41.76	25-Oct	25-Oct	5000.00 5.0
AO,	11/15	ROTHSCHILD ASSET (ROTH333)	040	KFY	B	500	23.40	n/a	n/a	22.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH309)	040	KFY	B	3,700	23.40	n/a	n/a	166.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH306)	040	KFY	B	400	23.40	n/a	n/a	18.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH396)	040	KFY	B	4,200	23.40	n/a	n/a	189.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH304)	040	KFY	B	1,000	23.40	n/a	n/a	45.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH360-2)	040	KFY	B	600	23.40	n/a	n/a	27.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH471-2)	040	KFY	B	200	23.40	n/a	n/a	9.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH471-1)	040	KFY	B	500	23.40	n/a	n/a	22.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH471)	040	KFY	B	900	23.40	n/a	n/a	40.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH470)	040	KFY	B	700	23.40	n/a	n/a	31.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH450)	040	KFY	B	2,400	23.40	n/a	n/a	108.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH386)	040	KFY	B	100	23.40	n/a	n/a	4.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH347)	040	KFY	B	100	23.40	n/a	n/a	4.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH340)	040	KFY	B	3,300	23.40	n/a	n/a	148.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH348)	040	KFY	B	200	23.40	n/a	n/a	9.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH346)	040	KFY	B	200	23.40	n/a	n/a	9.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH344)	040	KFY	B	200	23.40	n/a	n/a	9.00 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH386)	040	MTD	S	100	77.80	n/a	n/a	4.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH340)	040	MTD	S	2,300	77.80	n/a	n/a	103.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH348)	040	MTD	S	100	77.80	n/a	n/a	4.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH333)	040	MTD	S	500	77.80	n/a	n/a	22.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH360-2)	040	MTD	S	500	77.80	n/a	n/a	22.50 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/15	ROTHSCHILD ASSET (ROTH471-2)	040	MTD	S	300	77.80	n/a	n/a	13.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH471-1)	040	MTD	S	500	77.80	n/a	n/a	22.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH471)	040	MTD	S	1,100	77.80	n/a	n/a	49.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH470)	040	MTD	S	1,100	77.80	n/a	n/a	49.50 4.5
AO,	11/15	ROTHSCHILD ASSET (ROTH450)	040	MTD	S	2,400	77.80	n/a	n/a	108.00 4.5
AO,CRT	11/15	LISTED ERR (LISTED ERR)	099	NWSA	B	50	21.48	n/a	n/a	0.00 0.0
AO,CXL	11/15	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	24,000	8.06	n/a	n/a	1200.00 5.0
AO,	11/15	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	24,000	8.06	n/a	n/a	720.00 3.0
AO,	11/15	IRON HORSE CAPITAL MGMT (IHCMB5)	038	WSM	S	25,000	35.13	n/a	n/a	1250.00 5.0
AO,CXL	11/15	IRON HORSE CAPITAL MGMT (IHCMMAIN)	038	WSM	S	25,000	35.13	n/a	n/a	1250.00 5.0
AO,CXL	11/15	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	WU	S	12,000	23.68	n/a	n/a	600.00 5.0
AO,	11/15	OSS CAPITAL/KEVIN DANN (OSSCBANK O)	067	WU	S	120,000	23.68	n/a	n/a	6000.00 5.0
TOTAL (AO, CXL, CRT) :										6,184.50
TOTAL (Trade Date) :										137,969.02
TOTAL (AO, CXL, CRT) :										6,184.50
TOTAL (RUN DATE) / NFS :										144,153.52

Legend:

Blue: Employee and Proprietary Trades.

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

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