



# Daily Compliance Activity Report

Trade Date: 11/01/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	AB	S	15,800	78.10	25-Oct	30-Oct	790.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>AEOS</b>	<b>B</b>	<b>1,408</b>	<b>44.78</b>	<b>23-Oct</b>	<b>30-Oct</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	ALB	B	5,000	64.06	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	AMG	S	10,000	101.13	25-Oct	26-Oct	500.00	5.0
GLG PARTNERS	034	ANF	S	6,484	75.30	31-Aug	30-Oct	324.20	5.0
WHALE ROCK CAP	030	ANF	S	30,000	74.17	31-Aug	30-Oct	1,200.00	4.0
PILOT ADV	038	ANN	S	15,000	41.88	6-Jul	30-Oct	600.00	4.0
COUGAR TRADING	044	ARO	B	10,000	28.79	23-Oct	30-Oct	500.00	5.0
THE JAY GOLDMAN	034	ARO	B	20,000	28.69	23-Oct	30-Oct	800.00	4.0
ROYCE TRADING	216	ARS	S	4,075	51.46	n/a	n/a	203.75	5.0
<b>BALYASNY ASSET MGMT</b>	<b>044</b>	<b>BEN</b>	<b>S</b>	<b>15,000</b>	<b>113.35</b>	<b>1-Nov</b>	<b>30-Oct</b>	<b>750.00</b>	<b>5.0</b>
BUCK CAPITAL MGMT	001	BGP	B	10,000	20.63	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	BKS	B	28,700	41.60	n/a	n/a	1,148.00	4.0
BUCK CAPITAL MGMT	001	BWS	B	10,000	37.93	n/a	n/a	400.00	4.0
BELMONT GLOBAL ADV	248	CBK	B	5,000	26.10	18-Sep	30-Oct	250.00	5.0

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BUCK CAPITAL MGMT	001	CBK	S	50,000	26.11	18-Sep	30-Oct	2,000.00	4.0
COUGAR TRADING	044	CBK	S	10,000	26.37	18-Sep	30-Oct	500.00	5.0
PILOT ADV	038	CBK	S	30,000	25.63	18-Sep	30-Oct	1,200.00	4.0
<b>SULLIVAN</b>	<b>042</b>	<b>CHBD</b>	<b>B</b>	<b>2,500</b>	<b>0.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	CLE	B	3,300	27.90	20-Sep	30-Oct	165.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CMG</b>	<b>B</b>	<b>50</b>	<b>58.09</b>	<b>n/a</b>	<b>1-Nov</b>	<b>0.00</b>	<b>0.0</b>
STG INVESTORS	028	COST	S	15,000	53.64	n/a	30-Oct	750.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>CPX</b>	<b>S</b>	<b>5,000</b>	<b>19.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EMINENCE CAPITAL	038	CSCO	S	144,950	24.30	n/a	22-Mar	7,247.50	5.0
BUCK CAPITAL MGMT	001	CSE	B	9,663	27.74	n/a	n/a	386.52	4.0
THIRD COAST CAPITAL	035	CTR	S	20,000	22.30	n/a	n/a	1,000.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CWTR</b>	<b>B</b>	<b>400</b>	<b>29.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	DCP	S	25,400	10.66	n/a	n/a	1,270.00	5.0
<b>PILOT ADV</b>	<b>038</b>	<b>DLTR</b>	<b>S</b>	<b>25,000</b>	<b>30.52</b>	<b>27-Sep</b>	<b>1-Nov</b>	<b>1,000.00</b>	<b>4.0</b>
HIGHBRIDGE CAPITAL	038	DOW	B	3,000	40.59	n/a	26-Oct	150.00	5.0
MERRILL ASSET	032	DRC	B	31,300	21.40	n/a	n/a	1,565.00	5.0
ROBERTSON STEVENS BC	033	DRIV	S	18,160	57.63	n/a	n/a	726.40	4.0

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BUCK CAPITAL MGMT	001	DSW	B	10,000	32.50	n/a	n/a	400.00	4.0
MORGAN BANK /JPM	012	EPP	B	511	120.64	n/a	n/a	15.33	3.0
OPTIMUM INV ADV	030	EV	B	8,000	30.30	30-Oct	23-Oct	320.00	4.0
MORGAN BANK /JPM	012	EWJ	B	43,138	13.91	n/a	n/a	1,294.14	3.0
WHALE ROCK CAP	030	FD	S	30,000	42.94	23-Oct	30-Oct	1,200.00	4.0
PILOT ADV	038	FDO	S	27,000	28.98	n/a	1-Nov	1,080.00	4.0
PILOT ADV	038	FRED	S	50,000	12.49	21-Aug	1-Nov	2,000.00	4.0
REINHART & MAHONEY	031	FSP	B	22,675	19.96	n/a	n/a	1,133.75	5.0
MAIRS AND POWER INV	030	GLW	B	20,000	20.52	n/a	25-Oct	1,200.00	6.0
JACOB	068	GOL	S	186	30.64	n/a	n/a	0.00	0.0
HAYGROUND COE	039	GPS	S	38,850	20.69	31-Jul	30-Oct	1,942.50	5.0
WESTLANE CAPITAL	044	HC	B	5,000	17.98	27-Jul	26-Oct	250.00	5.0
JACOB	068	ICON	B	500	16.72	n/a	n/a	0.00	0.0
LEDDY	035	ICON	B	1,200	16.77	n/a	n/a	0.00	0.0
ZOLIDIS	011	ICON	B	1,000	16.77	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	JCP	B	40,000	74.60	23-Oct	30-Oct	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALLEON MGMT LP	033	JNJ	B	25,000	67.23	n/a	22-Apr	1,250.00	5.0
MORGAN BANK /JPM	012	JPM	S	15,000	47.75	n/a	19-Oct	450.00	3.0
CENTURION PARTNERS	249	JWN	B	40,000	46.73	5-Oct	30-Oct	2,000.00	5.0
HOTCHKIS & WILEY	035	KEY	S	253,600	37.34	n/a	n/a	12,680.00	5.0
CENTURION PARTNERS	249	KSS	S	10,000	71.20	2-Oct	30-Oct	500.00	5.0
EOS PARTNERS	040	KSS	S	1,500	70.80	2-Oct	30-Oct	75.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>LNCR</b>	<b>B</b>	<b>200</b>	<b>33.64</b>	<b>25-Jul</b>	<b>24-Oct</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	LTD	B	10,000	28.78	5-Oct	30-Oct	400.00	4.0
CENTURION PARTNERS	249	LTD	B	10,000	29.22	5-Oct	30-Oct	500.00	5.0
<b>JACOB</b>	<b>068</b>	<b>LUK</b>	<b>S</b>	<b>166</b>	<b>25.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROBERTSON STEVENS BC	033	MRVL	B	14,820	18.53	n/a	n/a	592.80	4.0
NEUBERGER BERMAN	238	MSM	B	27,000	39.77	n/a	n/a	1,350.00	5.0
ROTHSCHILD ASSET	040	MSM	S	13,800	40.20	n/a	n/a	621.00	4.5
HIGHBRIDGE CAPITAL	038	NUE	B	20,000	57.81	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	20,000	12.62	n/a	30-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	OXM	S	5,000	52.35	n/a	n/a	200.00	4.0
CAPITAL GROWTH MGMT.	241	PCU	S	80,000	52.04	n/a	n/a	4,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>GLG PARTNERS</b>	<b>034</b>	<b>PG</b>	<b>B</b>	<b>25,000</b>	<b>63.04</b>	<b>31-Oct</b>	<b>1-Nov</b>	<b>1,250.00</b>	<b>5.0</b>
BELMONT GLOBAL ADV	248	PIR	S	8,000	6.56	n/a	n/a	400.00	5.0
PILOT ADV	038	PLCE	S	11,000	67.89	n/a	30-Oct	440.00	4.0
THIRD COAST CAPITAL	035	PLCE	S	30,000	68.47	n/a	30-Oct	1,500.00	5.0
HIGHBRIDGE CAPITAL	038	PPG	B	2,500	67.97	n/a	19-Oct	125.00	5.0
BULL PATH CAPITAL	044	PSUN	B	45,000	17.21	3-Aug	30-Oct	2,250.00	5.0
<b>ENTRUST CAPITAL</b>	<b>040</b>	<b>PZZA</b>	<b>S</b>	<b>73,600</b>	<b>32.89</b>	<b>31-Oct</b>	<b>1-Nov</b>	<b>3,680.00</b>	<b>5.0</b>
ROARING BLUE LION MGMT	012	RL	S	6,100	70.51	23-Oct	31-Oct	305.00	5.0
STADIA CAPITAL	035	RL	S	26,300	69.20	23-Oct	31-Oct	1,052.00	4.0
CSFB GLOBAL PROPRIETARY	035	ROP	B	10,000	46.51	n/a	n/a	500.00	5.0
BELMONT GLOBAL ADV	248	SHOO	S	7,000	41.51	n/a	n/a	350.00	5.0
OPTIMUM INV ADV	030	SHPGY	S	2,200	56.07	8-Oct	30-Oct	88.00	4.0
CSFB GLOBAL PROPRIETARY	035	SSCC	S	10,000	10.87	20-Oct	27-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	SSI	S	10,000	32.97	n/a	n/a	400.00	4.0
EMINENCE CAPITAL	038	STE	B	180,196	24.33	n/a	22-Apr	9,009.80	5.0
BUCK CAPITAL MGMT	001	TBL	B	25,000	28.76	19-Jul	27-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TBL	S	1,100	28.57	19-Jul	27-Oct	44.00	4.0
CHARTER OAK	037	TBL	S	15,000	28.78	19-Jul	27-Oct	750.00	5.0
EGS ASSOCIATES LP	059	TBL	S	3,000	28.60	19-Jul	27-Oct	180.00	6.0
AVESTA CAP	229	TGT	S	20,000	58.28	n/a	30-Oct	1,000.00	5.0
CLOVIS CAPITAL	012	TIF	B	125,000	35.52	n/a	6-Oct	6,250.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	27.51	2-Oct	30-Oct	1,200.00	4.0
EGS ASSOCIATES LP	059	TLB	S	5,000	27.31	2-Oct	30-Oct	300.00	6.0
XYLEM GLOBAL	024	TWP	B	74,200	21.67	n/a	n/a	3,710.00	5.0
<b>OGORMAN</b>	<b>146</b>	<b>TWPWE</b>	<b>S</b>	<b>2</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SEGAL BRYANT HAMMILL	037	TYC	S	8,400	29.21	2-Oct	2-Oct	420.00	5.0
<b>GASNER</b>	<b>025</b>	<b>UADMI</b>	<b>B</b>	<b>4</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BELMONT GLOBAL ADV	248	UARM	S	7,000	47.19	n/a	n/a	350.00	5.0
ROARING BLUE LION MGMT	012	UARM	S	1,700	47.26	n/a	n/a	85.00	5.0
DOWNTOWN ASSOC	033	URBN	B	2,440	17.30	5-Oct	23-Oct	85.40	3.5
S.A.C. CAPITAL MGMT.	044	WCRX	S	21,092	13.22	n/a	n/a	1,054.60	5.0
<b>SANDLER O'NEILL ASSET</b>	<b>031</b>	<b>WDR</b>	<b>B</b>	<b>3,600</b>	<b>25.62</b>	<b>1-Nov</b>	<b>24-Oct</b>	<b>180.00</b>	<b>5.0</b>
<b>SUNOVA CAPITAL</b>	<b>031</b>	<b>WDR</b>	<b>S</b>	<b>50,000</b>	<b>25.52</b>	<b>1-Nov</b>	<b>24-Oct</b>	<b>2,500.00</b>	<b>5.0</b>
<b>WHEELER</b>	<b>008</b>	<b>WLV</b>	<b>S</b>	<b>13,000</b>	<b>1.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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BRUNNER	012	WLW	S	4,000	1.61	n/a	n/a	0.00	0.0
GAULT	063	WLW	S	5,000	1.99	n/a	n/a	0.00	0.0
HOMB	012	WM	S	2,800	42.55	n/a	n/a	84.00	3.0
MORGAN BANK /JPM	012	WM	S	28,505	42.55	n/a	n/a	855.15	3.0
SARAS CAPITAL	038	WMT	S	52,800	48.94	5-Oct	30-Oct	2,640.00	5.0
PHILADELPHIA FINANCIAL	031	WPL	B	10,600	13.59	20-Oct	26-Oct	530.00	5.0
HIGHBRIDGE CAPITAL	038	X	B	6,000	66.99	n/a	n/a	300.00	5.0
<b>TOTAL :</b>							<b>110,698.84</b>		

**Cancel/Corrects and As-Of Trades**

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	HOTCHKIS & WILEY (HOTS1116BS)	035	KEY	S	100	37.24	n/a	n/a	5.00	5.0
AO,CXL	RAMIUS CAP (RAMIM S EX)	040	TIN	B	19,800	40.07	n/a	27-Oct	990.00	5.0
AO,	RAMIUS CAP (RAMIM S EX)	040	TIN	B	19,750	40.07	n/a	27-Oct	987.50	5.0
AO,CXL	RAMIUS CAP (RAMISLK/GS)	040	TIN	B	5,200	40.07	n/a	27-Oct	260.00	5.0
AO,	RAMIUS CAP (RAMISLK/GS)	040	TIN	B	5,250	40.07	n/a	27-Oct	262.50	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.