



Daily Compliance Activity Report

Trade Date: 10/10/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	B	570	73.65	n/a	n/a	11.40	2.0
PIONEER OAKRIDGE	031	ABT	B	1,705	46.37	n/a	22-Apr	34.10	2.0
PIONEER OAKRIDGE	031	AFL	B	1,770	45.32	n/a	n/a	35.40	2.0
CAXTON PART	040	AIZ	S	19,945	54.12	n/a	n/a	797.80	4.0
PIONEER OAKRIDGE	031	AMGN	B	940	73.44	n/a	26-Jan	18.80	2.0
CENTURION PARTNERS	244	AMR	B	25,300	24.92	n/a	n/a	1,265.00	5.0
THIRD COAST CAPITAL	035	ANF	B	15,000	75.34	31-Aug	6-Oct	750.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	25,000	29.56	6-Jul	6-Oct	1,000.00	4.0
HARRIS ASSOCIATES	031	AVP	S	500	30.49	28-Apr	4-Oct	20.00	4.0
KEEFE BRUYETTE WOODS A	031	AVZ	S	14,400	23.35	6-Sep	11-Oct	720.00	5.0
PIONEER OAKRIDGE	031	AXP	B	1,340	57.47	n/a	n/a	26.80	2.0
BUCK CAPITAL MGMT	001	AZO	S	25,000	108.63	n/a	n/a	1,000.00	4.0
MORRISON & FRASIER	040	BBW	B	59,500	24.06	n/a	n/a	3,570.00	6.0
PIONEER OAKRIDGE	031	BBY	B	1,485	56.02	13-Jun	13-Sep	29.70	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BID	B	10,000	34.68	n/a	n/a	400.00	4.0
HARRIS ASSOCIATES	031	BMV	S	900	24.25	n/a	n/a	36.00	4.0
HIGHBRIDGE CAPITAL	038	BNI	B	4,000	76.98	n/a	n/a	200.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BONT	B	10,000	35.06	5-Oct	6-Oct	400.00	4.0
WHALE ROCK CAP	030	BONT	B	40,000	35.00	5-Oct	6-Oct	1,600.00	4.0
ASCEND PARTNERS	033	BUD	B	15,500	48.38	n/a	n/a	775.00	5.0
HARRIS ASSOCIATES	031	C	S	400	50.92	n/a	9-Oct	16.00	4.0
PIONEER OAKRIDGE	031	C	B	1,230	51.02	n/a	9-Oct	24.60	2.0
NEEDHAM CAP	067	CAR	B	24,400	18.91	n/a	n/a	976.00	4.0
SAC TRADING HOWARD	038	CBK	B	20,000	30.04	18-Sep	2-Oct	1,000.00	5.0
BARR	096	CFC	B	300	36.36	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	CHRS	S	1,600	14.75	n/a	17-Aug	64.00	4.0
WELLS/STRONG LEDDY	035	CHTT	S	12,000	46.07	n/a	n/a	480.00	4.0
BUCK CAPITAL MGMT	001	CL	B	20,000	62.41	25-Jul	26-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	CLX	B	20,700	64.99	n/a	3-Aug	828.00	4.0
PIONEER OAKRIDGE	031	CMX	B	1,715	51.15	n/a	n/a	34.30	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARRIS ASSOCIATES	031	CNO	S	200	19.93	n/a	n/a	8.00	4.0
PIONEER OAKRIDGE	031	COH	B	2,515	35.90	n/a	25-Sep	50.30	2.0
PIONEER OAKRIDGE	031	CSCO	B	3,925	24.31	n/a	22-Mar	78.50	2.0
BUCK CAPITAL MGMT	001	CSE	B	10,000	26.99	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	CTSH	B	2,055	76.29	n/a	n/a	41.10	2.0
POST ROAD CAP	067	CVS	B	16,000	29.91	n/a	n/a	640.00	4.0
PATTEN & PATTEN	067	CVX	S	1,000	63.61	n/a	n/a	50.00	5.0
J L F ASSET MGMT	039	DDS	B	11,250	30.27	n/a	n/a	450.00	4.0
HARRIS ASSOCIATES	031	DEO	S	200	70.60	n/a	n/a	8.00	4.0
PIONEER OAKRIDGE	031	DHR	B	1,325	68.60	n/a	n/a	26.50	2.0
U.S.TRUST COMPANY	012	DISH	S	50,000	32.76	16-Jun	21-Sep	2,000.00	4.0
DALTON GREINER	012	DLTR	S	14,100	31.15	27-Sep	6-Oct	705.00	5.0
PIONEER OAKRIDGE	031	DNA	B	1,375	85.61	n/a	n/a	27.50	2.0
THIRD COAST CAPITAL	035	DSW	B	10,000	34.58	n/a	n/a	500.00	5.0
HARRIS ASSOCIATES	031	ECA	S	300	45.74	n/a	n/a	12.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ECL	B	1,520	44.22	n/a	25-Jul	30.40	2.0
BARON ASSET MGMT*	012	EV	B	18,300	29.98	6-Oct	11-Oct	915.00	5.0
COMMISSUM CAPITAL	067	EV	S	15,000	29.99	6-Oct	11-Oct	750.00	5.0
PIONEER OAKRIDGE	031	FDX	B	1,160	112.79	n/a	n/a	23.20	2.0
BUCK CAPITAL MGMT	001	FL	B	300,000	24.88	n/a	18-Aug	12,000.00	4.0
RBC CAPITAL MARKETS	034	FL	B	25,000	24.86	n/a	18-Aug	1,250.00	5.0
ROBERTSON STEVENS BC	033	FNT	B	100,000	21.37	n/a	n/a	4,000.00	4.0
IRIDIAN ASSET MGMT.	036	FRX	S	25,100	51.23	18-Jul	9-Oct	1,255.00	5.0
AMBER CAPITAL	046	FTBK	S	35,000	26.40	n/a	n/a	1,400.00	4.0
VARDON PARTNERS	035	GCI	S	40,000	57.42	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	15,000	35.49	n/a	10-Jan	600.00	4.0
PIONEER OAKRIDGE	031	GE	B	4,110	36.25	n/a	n/a	82.20	2.0
PIONEER OAKRIDGE	031	GLW	B	3,035	24.72	n/a	3-Oct	60.70	2.0
PIONEER OAKRIDGE	031	GOOG	B	245	428.13	n/a	n/a	4.90	2.0
KARSCH CAPITAL	034	GS	S	66,910	178.22	17-May	13-Sep	2,676.40	4.0
SUN AMERICA ASSET MGMT	030	HCR	S	14,000	49.52	n/a	28-Jul	700.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	HET	B	1,065	76.47	3-Oct	3-Oct	21.30	2.0
HARRIS ASSOCIATES	031	HOG	S	400	63.27	n/a	n/a	16.00	4.0
HARRIS ASSOCIATES	031	IRF	S	400	35.13	n/a	n/a	16.00	4.0
PIONEER OAKRIDGE	031	JBL	B	1,945	30.88	n/a	n/a	38.90	2.0
IRIDIAN ASSET MGMT.	036	JCI	S	62,700	80.93	10-Oct	10-Oct	3,135.00	5.0
HARRIS ASSOCIATES	031	JPM	S	500	47.58	n/a	9-Oct	20.00	4.0
PATTEN & PATTEN	067	JPM	S	500	47.54	n/a	9-Oct	25.00	5.0
BUCK CAPITAL MGMT	001	KFT	B	15,000	35.70	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	KWD	S	25,000	30.96	n/a	n/a	1,000.00	4.0
HARRIS ASSOCIATES	031	LIZ	S	500	40.27	n/a	27-Jul	20.00	4.0
PIONEER OAKRIDGE	031	LLL	B	1,085	78.28	n/a	n/a	21.70	2.0
PIONEER OAKRIDGE	031	LM	B	720	104.95	28-Jul	11-Oct	14.40	2.0
SANDLER O'NEILL ASSET	031	LM	S	10,000	104.05	28-Jul	11-Oct	500.00	5.0
PIONEER OAKRIDGE	031	MAR	B	2,465	40.35	n/a	n/a	49.30	2.0
HARRIS ASSOCIATES	031	MCD	S	600	40.71	n/a	11-Sep	24.00	4.0
PIONEER OAKRIDGE	031	MCHP	B	2,285	31.54	n/a	n/a	45.70	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARRIS ASSOCIATES	031	MDT	S	500	49.26	n/a	22-Apr	20.00	4.0
PIONEER OAKRIDGE	031	MDT	B	1,425	49.33	n/a	22-Apr	28.50	2.0
KARSCH CAPITAL	034	MO	S	170,000	78.01	n/a	n/a	5,100.00	3.0
HARRIS ASSOCIATES	031	MS	S	300	74.73	20-Sep	21-Sep	12.00	4.0
PIONEER OAKRIDGE	031	MSFT	B	3,665	27.54	n/a	3-Apr	73.30	2.0
BALYASNY ASSET MGMT	044	MTG	B	10,000	62.20	n/a	n/a	500.00	5.0
AMBER CAPITAL	046	NCC	S	55,000	36.47	n/a	n/a	2,200.00	4.0
OGORMAN	146	NDN	B	500	11.95	11-Aug	6-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	NDN	B	25,000	11.91	11-Aug	6-Oct	1,000.00	4.0
MAZAMA CAPITAL MGMT.	035	NGS	B	69,800	13.34	n/a	n/a	2,792.00	4.0
TRIBECA	038	NITE	S	50,000	19.40	n/a	n/a	2,000.00	4.0
HIGHBRIDGE CAPITAL	038	NSC	B	5,000	45.76	n/a	n/a	250.00	5.0
STRAUSS ASSET MGMT	040	NVT	B	10,000	26.45	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	220	NWSA	S	56,000	20.26	n/a	n/a	2,800.00	5.0
DELTEC ASSET MGMT.	040	NWY	B	33,000	13.73	n/a	5-Oct	1,650.00	5.0
VISIUM/BALY HOWARD	038	ODP	S	25,000	41.35	26-Jun	31-Aug	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	OEF	B	150	62.89	n/a	n/a	7.50	5.0
PIONEER OAKRIDGE	031	ORCL	B	6,080	18.64	n/a	n/a	121.60	2.0
BUCK CAPITAL MGMT	001	OXM	S	1,400	49.01	n/a	n/a	56.00	4.0
J L F ASSET MGMT	039	OXM	S	3,400	48.82	n/a	n/a	136.00	4.0
CAPITAL GROWTH MGMT.	241	OXY	S	100,000	45.35	n/a	n/a	5,000.00	5.0
J L F ASSET MGMT	039	PACR	B	53,400	29.85	n/a	n/a	2,136.00	4.0
PIONEER OAKRIDGE	031	PAYX	B	2,195	38.26	n/a	n/a	43.90	2.0
PIONEER OAKRIDGE	031	PEP	B	1,415	63.44	n/a	n/a	28.30	2.0
PIONEER OAKRIDGE	031	PG	B	1,685	62.15	25-Apr	9-Oct	33.70	2.0
J L F ASSET MGMT	039	PH	B	6,000	81.11	n/a	n/a	240.00	4.0
DELTEC ASSET MGMT.	040	PHM	S	5,000	34.22	n/a	n/a	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	40,000	43.50	18-Sep	19-Sep	1,600.00	4.0
PLATTE RIVER CAPITAL	035	PWAV	S	20,000	6.24	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	QCOM	B	2,815	37.13	n/a	n/a	56.30	2.0
VICTORIA INVESTORS LP	060	RDC	B	5,000	31.09	n/a	n/a	250.00	5.0
STADIA CAPITAL	035	RL	S	48,500	67.03	18-Sep	19-Sep	1,940.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	ROK	B	1,450	60.02	n/a	n/a	29.00	2.0
PATTEN & PATTEN	067	RSP	S	200	45.11	n/a	n/a	10.00	5.0
HARRIS ASSOCIATES	031	RTN	S	200	49.70	n/a	n/a	8.00	4.0
J L F ASSET MGMT	039	RYL	S	41,121	46.68	n/a	n/a	1,644.84	4.0
PIONEER OAKRIDGE	031	SCHW	B	4,680	18.08	n/a	n/a	93.60	2.0
HARRIS ASSOCIATES	031	SFD	S	700	26.25	n/a	n/a	28.00	4.0
HARRIS ASSOCIATES	031	SGP	S	1,100	21.84	n/a	n/a	44.00	4.0
KARSCH CAPITAL	034	SHLD	B	48,000	169.85	n/a	n/a	1,920.00	4.0
MKT MAKER	099	SHPGY	B	300	55.34	8-Oct	10-Oct	0.00	0.0
CLOVIS CAPITAL	012	SJM	S	36,900	48.66	n/a	n/a	1,845.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	26.35	n/a	7-Aug	800.00	4.0
PIONEER OAKRIDGE	031	SLB	B	1,235	59.42	n/a	n/a	24.70	2.0
PIONEER OAKRIDGE	031	SLM	B	1,495	51.28	n/a	n/a	29.90	2.0
PIONEER OAKRIDGE	031	SPLS	B	4,980	25.93	n/a	16-Aug	99.60	2.0
HARRIS ASSOCIATES	031	SSP	S	500	48.78	n/a	n/a	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	SWY	B	163,000	29.45	n/a	n/a	8,150.00	5.0
EGS ASSOCIATES LP	059	TBL	B	3,500	29.30	19-Jul	5-Oct	210.00	6.0
PIONEER OAKRIDGE	031	TEVA	B	2,200	35.59	7-Aug	10-Oct	44.00	2.0
AELTUS/ING INVESTMENT MGT	237	TGT	S	697,800	58.70	n/a	6-Oct	27,912.00	4.0
PIONEER OAKRIDGE	031	TGT	B	1,430	58.89	n/a	6-Oct	28.60	2.0
MORRISON & FRASIER	040	TJX	S	39,900	28.98	5-Oct	6-Oct	1,995.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	35,000	28.94	n/a	17-Aug	1,400.00	4.0
MAZAMA CAPITAL MGMT.	035	TWB	S	43,500	39.70	5-Sep	3-Oct	1,740.00	4.0
HARRIS ASSOCIATES	031	TWX	S	1,200	18.86	n/a	n/a	48.00	4.0
PIONEER OAKRIDGE	031	TXN	B	2,770	31.10	n/a	n/a	55.40	2.0
HARRIS ASSOCIATES	031	TYC	S	800	28.10	2-Oct	2-Oct	32.00	4.0
LEDDY	035	URBN	B	1,000	19.11	5-Oct	6-Oct	0.00	0.0
PIONEER OAKRIDGE	031	USB	B	3,000	33.56	n/a	n/a	60.00	2.0
HARRIS ASSOCIATES	031	UST	S	500	54.57	n/a	n/a	20.00	4.0
PIONEER OAKRIDGE	031	UTX	B	1,500	65.55	n/a	n/a	30.00	2.0
PIONEER OAKRIDGE	031	VAR	B	1,465	51.50	n/a	n/a	29.30	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	VVC	S	2,000	27.16	n/a	n/a	100.00	5.0
SENTINAL CAPITAL	067	VZ	B	10,000	36.28	19-Sep	9-Oct	500.00	5.0
PIONEER OAKRIDGE	031	WAG	B	1,820	43.38	n/a	n/a	36.40	2.0
S.A.C. CAPITAL MGMT.	044	WEN	S	35,000	34.25	25-Jul	27-Jul	1,750.00	5.0
KARSCH CAPITAL	034	WMT	S	26,000	48.25	5-Oct	6-Oct	1,040.00	4.0
SOROS	036	WMT	S	207,000	48.21	5-Oct	6-Oct	10,350.00	5.0
FRIESS MGMT	042	WRNC	S	74,500	19.41	5-Sep	15-Sep	3,352.50	4.5
HARRIS ASSOCIATES	031	XTO	S	400	41.43	n/a	n/a	16.00	4.0
PIONEER OAKRIDGE	031	XTO	B	1,955	41.30	n/a	n/a	39.10	2.0
PIONEER OAKRIDGE	031	ZMH	B	1,045	70.85	n/a	n/a	20.90	2.0
BUCK CAPITAL MGMT	001	ZQK	B	20,000	13.26	8-Sep	8-Sep	800.00	4.0
EGS ASSOCIATES LP	059	ZQK	B	5,000	13.26	8-Sep	8-Sep	300.00	6.0
J L F ASSET MGMT	039	ZQK	B	28,800	13.29	8-Sep	8-Sep	1,152.00	4.0
LEVIN CAPITAL STRATEGIES	012	ZQK	S	10,000	13.25	8-Sep	8-Sep	400.00	4.0
TOTAL :								156,287.84	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	THE JAY GOLDMAN (GOLDWOODMA)	034		S	7,500	49.85	n/a	n/a	375.00	5.0
AO,CXL	THE JAY GOLDMAN (GOLDMASTER)	034		S	7,500	49.85	n/a	n/a	375.00	5.0
AO,	MORGAN LEWIS/MLH (MORLBS)	046	ADM	S	10,000	38.42	n/a	n/a	500.00	5.0
AO,CXL	JP MORGAN VENTURES (JPMVGOLDMA)	046	AEOS	B	12,000	43.71	26-Sep	6-Oct	5.00	0.0
AO,	JP MORGAN VENTURES (JPMVGOLDMA)	046	AEOS	B	12,000	43.71	26-Sep	6-Oct	600.00	5.0
AO,CRT	THE JAY GOLDMAN (GOLDWOODMA)	034	CMGBWI	S	7,500	0.00	n/a	n/a	375.00	5.0
AO,CRT	THE JAY GOLDMAN (GOLDMASTER)	034	CMGBWI	S	7,500	0.00	n/a	n/a	375.00	5.0
AO,	LONG TRAIL CAP (LONGUBS)	037	HOC	B	6,500	43.54	n/a	n/a	260.00	4.0
AO,CXL	LONG TRAIL CAP (LONGUBS)	037	HOG	B	6,500	43.54	n/a	n/a	260.00	4.0
AO,	COLUMBUS CIRCLE (COLC3900)	036	ORCL	B	800	18.55	n/a	n/a	32.00	4.0
AO,	COLUMBUS CIRCLE (COLC4330)	036	ORCL	B	37	18.55	n/a	n/a	1.48	4.0
AO,	COLUMBUS CIRCLE (COLCCALL00)	036	ORCL	B	90	18.55	n/a	n/a	3.60	4.0
AO,	COLUMBUS CIRCLE (COLC7050)	036	ORCL	B	5,000	18.55	n/a	n/a	200.00	4.0
AO,	COLUMBUS CIRCLE (COLC4320)	036	ORCL	B	75	18.55	n/a	n/a	3.00	4.0
AO,	COLUMBUS CIRCLE (COLCCALL08)	036	ORCL	B	450	18.55	n/a	n/a	18.00	4.0
AO,	COLUMBUS CIRCLE (COLC6900)	036	ORCL	B	7,000	18.55	n/a	n/a	280.00	4.0
AO,	COLUMBUS CIRCLE (COLC4310)	036	ORCL	B	210	18.55	n/a	n/a	8.40	4.0
AO,	COLUMBUS CIRCLE (COLC3930)	036	ORCL	B	500	18.55	n/a	n/a	20.00	4.0
AO,	COLUMBUS CIRCLE (COLC6700)	036	ORCL	B	3,100	18.55	n/a	n/a	124.00	4.0
AO,	COLUMBUS CIRCLE (COLC1470)	036	ORCL	B	1,400	18.55	n/a	n/a	56.00	4.0
AO,	COLUMBUS CIRCLE (COLC5810)	036	ORCL	B	230	18.55	n/a	n/a	9.20	4.0
AO,	COLUMBUS CIRCLE (COLCCALL06)	036	ORCL	B	360	18.55	n/a	n/a	14.40	4.0
AO,	COLUMBUS CIRCLE (COLC4640)	036	ORCL	B	1,800	18.55	n/a	n/a	72.00	4.0

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AO,	COLUMBUS CIRCLE (COLC1370)	036	ORCL	B	2,900	18.55	n/a	n/a	116.00	4.0
AO,	COLUMBUS CIRCLE (COLCCALL2)	036	ORCL	B	80	18.55	n/a	n/a	3.20	4.0
AO,	COLUMBUS CIRCLE (COLC0010)	036	ORCL	B	80	18.55	n/a	n/a	3.20	4.0
AO,	COLUMBUS CIRCLE (COLC4620)	036	ORCL	B	5,100	18.55	n/a	n/a	204.00	4.0
AO,	COLUMBUS CIRCLE (COLC4300)	036	ORCL	B	7,000	18.55	n/a	n/a	280.00	4.0
AO,	COLUMBUS CIRCLE (COLC4810)	036	ORCL	B	200	18.55	n/a	n/a	8.00	4.0
AO,	COLUMBUS CIRCLE (COLCCALL05)	036	ORCL	B	140	18.55	n/a	n/a	5.60	4.0
AO,	COLUMBUS CIRCLE (COLC1299)	036	ORCL	B	330	18.55	n/a	n/a	13.20	4.0
AO,	COLUMBUS CIRCLE (COLC3620)	036	ORCL	B	350	18.55	n/a	n/a	14.00	4.0
AO,	COLUMBUS CIRCLE (COLC1260)	036	ORCL	B	22,000	18.55	n/a	n/a	880.00	4.0
AO,	COLUMBUS CIRCLE (COLCCALL03)	036	ORCL	B	210	18.55	n/a	n/a	8.40	4.0
AO,	COLUMBUS CIRCLE (COLC900)	036	ORCL	B	8,000	18.55	n/a	n/a	320.00	4.0
AO,	COLUMBUS CIRCLE (COLC1680)	036	ORCL	B	2,300	18.55	n/a	n/a	92.00	4.0
AO,	COLUMBUS CIRCLE (COLC8100)	036	ORCL	B	550	18.55	n/a	n/a	22.00	4.0
AO,	COLUMBUS CIRCLE (COLC1850)	036	ORCL	B	750	18.55	n/a	n/a	30.00	4.0
AO,	COLUMBUS CIRCLE (COLC4050)	036	ORCL	B	22,000	18.55	n/a	n/a	880.00	4.0
AO,	COLUMBUS CIRCLE (COLC2900)	036	ORCL	B	3,700	18.55	n/a	n/a	148.00	4.0
AO,	COLUMBUS CIRCLE (COLC6400)	036	ORCL	B	1,300	18.55	n/a	n/a	52.00	4.0
AO,	COLUMBUS CIRCLE (COLC3810)	036	ORCL	B	900	18.55	n/a	n/a	36.00	4.0
AO,	COLUMBUS CIRCLE (COLC5340)	036	ORCL	B	7,300	18.55	n/a	n/a	292.00	4.0
AO,	COLUMBUS CIRCLE (COLC4590)	036	ORCL	B	550	18.55	n/a	n/a	22.00	4.0
AO,	COLUMBUS CIRCLE (COLC5800)	036	ORCL	B	2,000	18.55	n/a	n/a	80.00	4.0
AO,	COLUMBUS CIRCLE (COLC4210)	036	ORCL	B	800	18.55	n/a	n/a	32.00	4.0
AO,	COLUMBUS CIRCLE (COLC3610)	036	ORCL	B	1,800	18.55	n/a	n/a	72.00	4.0
AO,	COLUMBUS CIRCLE (COLC500)	036	ORCL	B	900	18.55	n/a	n/a	36.00	4.0
AO,	COLUMBUS CIRCLE (COLC4450)	036	ORCL	B	1,000	18.55	n/a	n/a	40.00	4.0
AO,	COLUMBUS CIRCLE (COLC4625)	036	ORCL	B	3,900	18.55	n/a	n/a	156.00	4.0
AO,	COLUMBUS CIRCLE (COLC1298)	036	ORCL	B	800	18.55	n/a	n/a	32.00	4.0
AO,	COLUMBUS CIRCLE (COLC6850)	036	ORCL	B	850	18.55	n/a	n/a	34.00	4.0
AO,	COLUMBUS CIRCLE (COLC4440)	036	ORCL	B	102,000	18.55	n/a	n/a	4,080.00	4.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	COLUMBUS CIRCLE (COLC1300)	036	ORCL	B	2,100	18.55	n/a	n/a	84.00	4.0
AO,	COLUMBUS CIRCLE (COLC4650)	036	ORCL	B	2,300	18.55	n/a	n/a	92.00	4.0
AO,	COLUMBUS CIRCLE (COLC4420)	036	ORCL	B	11,000	18.55	n/a	n/a	440.00	4.0
AO,	COLUMBUS CIRCLE (COLC4610)	036	ORCL	B	2,900	18.55	n/a	n/a	116.00	4.0
AO,	COLUMBUS CIRCLE (COLC4400)	036	ORCL	B	85,000	18.55	n/a	n/a	3,400.00	4.0
AO,	COLUMBUS CIRCLE (COLC4200)	036	ORCL	B	300	18.55	n/a	n/a	12.00	4.0
AO,	COLUMBUS CIRCLE (COLC4350)	036	ORCL	B	1,100	18.55	n/a	n/a	44.00	4.0
AO,	COLUMBUS CIRCLE (COLC1380)	036	ORCL	B	21,000	18.55	n/a	n/a	840.00	4.0
AO,	COLUMBUS CIRCLE (COLC4340)	036	ORCL	B	450	18.55	n/a	n/a	18.00	4.0
AO,	COLUMBUS CIRCLE (COLC4830)	036	ORCL	B	6,100	18.55	n/a	n/a	244.00	4.0
AO,CRT	MKT MAKER (MKT MAKER)	099	SHPGY	S	100	57.00	8-Oct	10-Oct	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	099	SHPGY	S	100	56.00	8-Oct	10-Oct	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	099	SHPGY	S	100	55.00	8-Oct	10-Oct	0.00	0.0
AO,	FRIESS MGMT (FRISOK)	042	WSH	B	800	38.23	n/a	n/a	36.00	4.5
AO,	FRIESS MGMT (FRISNWBK)	042	WSH	B	800	38.23	n/a	n/a	36.00	4.5
AO,	FRIESS MGMT (FRISEUG)	042	WSH	B	700	38.23	n/a	n/a	31.50	4.5
AO,	FRIESS MGMT (FRISCATLC)	042	WSH	B	4,700	38.23	n/a	n/a	211.50	4.5
AO,	FRIESS MGMT (FRISNCFLC)	042	WSH	B	300	38.23	n/a	n/a	13.50	4.5
AO,	FRIESS MGMT (FRISGOLD)	042	WSH	B	2,200	38.23	n/a	n/a	99.00	4.5
AO,	FRIESS MGMT (FRISMUFD)	042	WSH	B	1,100	38.23	n/a	n/a	49.50	4.5
AO,	FRIESS MGMT (FRISMU)	042	WSH	B	900	38.23	n/a	n/a	40.50	4.5
AO,	FRIESS MGMT (FRISBOIL)	042	WSH	B	600	38.23	n/a	n/a	27.00	4.5
AO,	FRIESS MGMT (FRISBB)	042	WSH	B	84,000	38.23	n/a	n/a	3,780.00	4.5

Legend:

Blue: Employee and Proprietary Trades.

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

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