



# Daily Compliance Activity Report

Trade Date: 10/06/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	ACLS	S	1,200	7.17	n/a	n/a	0.00	0.0
LEEDS	002	AEOS	S	1,408	43.84	26-Sep	6-Oct	0.00	0.0
JP MORGAN VENTURES	046	AEOS	B	11,400	43.58	26-Sep	6-Oct	570.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	73.30	31-Aug	6-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	73.25	31-Aug	6-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	28.88	6-Jul	6-Oct	2,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	51,600	28.74	6-Jul	6-Oct	2,064.00	4.0
DC CAPITAL	044	AXL	B	3,100	16.90	n/a	n/a	155.00	5.0
BUCK CAPITAL MGMT	001	BID	B	15,000	34.24	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	BIG	S	20,000	20.29	16-Aug	6-Oct	800.00	4.0
ZOLIDIS	011	BKRS	S	1,000	13.25	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	BNI	B	2,000	75.61	n/a	n/a	100.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BONT	B	25,000	33.34	5-Oct	6-Oct	1,000.00	4.0
WHALE ROCK CAP	030	BONT	B	25,000	33.84	5-Oct	6-Oct	1,000.00	4.0
MKT MAKER	099	CAKE	B	1,000	27.81	28-Jun	4-Oct	0.00	0.0
MKT MAKER	099	CAKE	S	1,000	27.85	28-Jun	4-Oct	0.00	0.0
ARIENCE CAPITAL	036	CAKE	S	206,165	27.75	28-Jun	4-Oct	10,308.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BUCK CAPITAL MGMT	001	CBK	S	10,000	30.09	18-Sep	2-Oct	400.00	4.0	
J L F ASSET MGMT	039	CBRL	S	27,600	41.61	n/a	n/a	1,104.00	4.0	
BARR	096	CCC	B	2,000	4.99	n/a	n/a	0.00	0.0	
MAGUIRE	090	CCC	B	5,000	5.05	n/a	n/a	0.00	0.0	
J L F ASSET MGMT	039	CCE	S	27,700	20.65	n/a	n/a	1,108.00	4.0	
LEEDS	002	CENT	S	3,000	49.13	3-May	18-Sep	0.00	0.0	
THE JAY GOLDMAN	034	CHIPOTLE MEXICAN	S	15,000	49.85		n/a	n/a	750.00	5.0
DELTEC ASSET MGMT.	040	CHS	S	5,000	23.21	23-Aug	6-Oct	250.00	5.0	
GRACIE CAPITAL	028	CKR	B	46,100	17.71	n/a	n/a	2,305.00	5.0	
MATTHES CAPITAL MGMT	033	CLE	S	5,000	28.19	20-Sep	6-Oct	200.00	4.0	
THE JAY GOLDMAN	034	CMG	S	20,000	50.59	n/a	11-Sep	1,000.00	5.0	
HARVEST MGMT	039	COST	S	10,000	50.31	n/a	6-Oct	500.00	5.0	
HIGHBRIDGE CAPITAL	038	CSX	B	2,000	33.57	n/a	n/a	100.00	5.0	
MATTHES CAPITAL MGMT	033	CTRN	S	1,300	36.12	n/a	n/a	52.00	4.0	
YORK CAPITAL	036	CVS	B	200,000	29.39	n/a	n/a	10,000.00	5.0	
J L F ASSET MGMT	039	CWTR	B	3,500	29.54	n/a	n/a	140.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	DDS	S	30,000	30.44	n/a	n/a	1,200.00	4.0
STADIA CAPITAL	035	DJ	S	28,000	33.85	n/a	n/a	1,120.00	4.0
<b>CROWLEY</b>	<b>061</b>	<b>EFT</b>	<b>B</b>	<b>1,158</b>	<b>18.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARON ASSET MGMT*</b>	<b>012</b>	<b>EV</b>	<b>B</b>	<b>27,500</b>	<b>29.80</b>	<b>6-Oct</b>	<b>25-Sep</b>	<b>1,375.00</b>	<b>5.0</b>
THIRD COAST CAPITAL	035	EXBD	B	10,000	92.09	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	FCH	S	22,000	20.07	n/a	n/a	990.00	4.5
NEW JERSEY DIV OF INV.	220	FDX	B	65,000	111.59	n/a	n/a	3,250.00	5.0
MAZAMA CAPITAL MGMT.	035	FII	S	47,300	35.19	2-May	25-Sep	1,892.00	4.0
BUCK CAPITAL MGMT	001	FL	B	10,000	25.11	n/a	18-Aug	400.00	4.0
AVESTA CAP	229	GE	B	50,000	36.16	n/a	n/a	2,500.00	5.0
SOMERSET ADV	044	GE	S	15,950	36.15	n/a	n/a	797.50	5.0
BUCK CAPITAL MGMT	001	GES	S	30,000	53.45	n/a	n/a	1,200.00	4.0
TRUST CO/COWEN/CALF.	040	GM	S	650,000	31.07	n/a	n/a	32,500.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>GYMB</b>	<b>S</b>	<b>200</b>	<b>43.06</b>	<b>21-Sep</b>	<b>6-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>HD</b>	<b>B</b>	<b>300</b>	<b>37.12</b>	<b>n/a</b>	<b>16-Aug</b>	<b>0.00</b>	<b>0.0</b>
MAZAMA CAPITAL MGMT.	035	HPY	B	16,000	26.98	n/a	n/a	640.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGUIRE	090	IOM	B	10,000	3.20	n/a	n/a	0.00	0.0
SSI INVESTORS	048	ISE	S	72,471	48.59	2-Oct	3-Oct	2,898.84	4.0
MAGUIRE	090	ITCD	B	10,000	2.00	n/a	n/a	0.00	0.0
BARR	096	ITCD	B	5,000	2.00	n/a	n/a	0.00	0.0
FORD FDN.	032	JCI	B	20,000	75.64	6-Oct	9-Oct	1,000.00	5.0
MAGNETAR FINANCIAL	247	JCP	S	10,000	71.74	5-Oct	6-Oct	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	JCP	B	10,500	70.13	5-Oct	6-Oct	420.00	4.0
MISSOURI VALLEY PART	046	JOSB	B	37,810	29.68	n/a	n/a	1,890.50	5.0
BUCK CAPITAL MGMT	001	JWN	S	10,000	45.00	5-Oct	6-Oct	400.00	4.0
NWQ INVESTMENT MGMT CO	048	KAI	B	3,700	25.50	n/a	n/a	148.00	4.0
MATTHES CAPITAL MGMT	033	KCP	B	10,000	24.78	n/a	31-Aug	400.00	4.0
INDEPENDENCE INV	039	KO	S	12,300	44.82	n/a	n/a	492.00	4.0
HIGHBRIDGE CAPITAL	038	LFB	S	6,000	20.60	n/a	14-Sep	300.00	5.0
INDEPENDENCE INV	039	LLL	S	8,400	77.66	n/a	n/a	336.00	4.0
HERMES	048	LSCC	S	50,000	6.36	n/a	n/a	2,500.00	5.0
S.A.C. CAPITAL MGMT.	044	MCD	S	50,000	40.13	n/a	11-Sep	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VANDER MOOLEN	040	MSFT	B	10,000	27.94	n/a	3-Apr	500.00	5.0
BULL PATH CAPITAL	044	MW	S	30,000	39.43	n/a	n/a	1,500.00	5.0
HIGHBRIDGE CAPITAL	038	NSC	B	3,000	45.49	n/a	n/a	150.00	5.0
TUDOR INVESTORS	030	NT	S	1,000,000	2.15	n/a	22-Mar	30,000.00	3.0
COUGAR TRADING	044	NWY	B	5,000	13.27	n/a	5-Oct	250.00	5.0
DELTEC ASSET MGMT.	040	NWY	B	19,000	13.15	n/a	5-Oct	950.00	5.0
THE JAY GOLDMAN	034	NWY	S	15,000	13.15	n/a	5-Oct	600.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>OXM</b>	<b>S</b>	<b>850</b>	<b>47.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	OXM	S	10,400	47.25	n/a	n/a	416.00	4.0
INDEPENDENCE INV	039	PCU	S	3,000	46.55	n/a	n/a	120.00	4.0
NEW JERSEY DIV OF INV.	220	PG	S	15,000	62.87	25-Apr	9-Oct	750.00	5.0
DIAMONDBACK CAP MGMT	232	PHM	S	50,000	31.82	n/a	n/a	2,500.00	5.0
<b>OGORMAN</b>	<b>146</b>	<b>PSUN</b>	<b>S</b>	<b>500</b>	<b>16.69</b>	<b>3-Aug</b>	<b>6-Oct</b>	<b>0.00</b>	<b>0.0</b>
NEW JERSEY DIV OF INV.	220	PX	S	13,000	57.86	n/a	26-Jul	650.00	5.0
REICH AND TANG	037	RIMG	B	13,000	21.99	n/a	n/a	650.00	5.0
DIAMONDBACK CAP MGMT	232	ROK	S	20,000	59.74	n/a	n/a	1,000.00	5.0
HIGHFIELDS CAP MGMT	039	RRI	S	40,000	12.57	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY1	036	S	S	253	18.29	n/a	n/a	0.00	0.0
MAGUIRE	039	SBL	B	400	15.27	19-Sep	2-Oct	0.00	0.0
ROSENBERG	034	SBL	B	200	15.27	19-Sep	2-Oct	0.00	0.0
MAGUIRE	039	SBUX	S	200	38.43	6-Oct	6-Oct	0.00	0.0
ZOLIDIS	011	SHOE	S	2,000	7.11	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	25.76	n/a	7-Aug	800.00	4.0
FORTRESS CAPITAL	040	SPLS	S	75,000	25.84	n/a	16-Aug	3,750.00	5.0
APEX CAPITAL MGMT.	002	SWY	B	100,000	28.35	n/a	n/a	5,000.00	5.0
GALLEON MGMT LP	033	TGT	S	26,000	58.44	n/a	6-Oct	1,300.00	5.0
VANDER MOOLEN	040	TWX	B	10,000	18.71	n/a	n/a	500.00	5.0
LEDDY	035	URBN	B	800	19.31	5-Oct	6-Oct	0.00	0.0
COUGAR TRADING	044	URBN	S	5,000	19.31	5-Oct	6-Oct	250.00	5.0
INDEPENDENCE INV	039	VLO	S	27,100	49.69	n/a	n/a	1,084.00	4.0
LEDDY	035	WLV	B	3,000	2.84	n/a	n/a	0.00	0.0
LISTED ERR	099	WMT	B	3,000	48.85	5-Oct	6-Oct	0.00	0.0
COUGAR TRADING	044	WMT	S	10,000	48.57	5-Oct	6-Oct	500.00	5.0
MAGNETAR FINANCIAL	247	WMT	S	25,000	48.70	5-Oct	6-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	WRNC	B	5,000	19.25	5-Sep	15-Sep	250.00	5.0
HIGHBRIDGE CAPITAL	038	WY	S	70,000	61.21	20-Sep	21-Sep	3,500.00	5.0
DIAMONDBACK CAP MGMT	232	X	B	55,000	60.26	n/a	n/a	2,750.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>ZOLT</b>	<b>S</b>	<b>5,000</b>	<b>24.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	034	ZQK	B	25,000	12.61	8-Sep	8-Sep	1,000.00	4.0
<b>TOTAL:</b>								<b>163,076.09</b>	

# Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	LISTED ERR (LISTED ERR)	099	AXL	B	600	17.00	n/a	n/a	0.00	0.0
AO,	MANNING & NAPIER (MANNCD6662)	034	FDC	S	600	22.97	n/a	n/a	24.00	4.0
AO,CXL	MANNING & NAPIER (MANNCD6662)	034	FDC	S	600	22.97	n/a	n/a	24.00	4.0
AO,CXL	LISTED ERR (LISTED ERR)	099	FDO	B	23,800	29.70	n/a	6-Oct	0.00	0.0
AO,	LISTED ERR (LISTED ERR)	099	FDO	B	23,800	29.70	n/a	6-Oct	0.00	0.0
AO,	FORTRESS CAPITAL (FORTMAINBA)	040	FDO	S	50,000	29.75	n/a	6-Oct	2,500.00	5.0
AO,CXL	CUMBERLAND (CUMBMORGAN)	038	JWN	S	150,000	44.81	5-Oct	6-Oct	6,000.00	4.0
AO,	CUMBERLAND (CUMBMORGAN)	038	JWN	S	150,000	44.82	5-Oct	6-Oct	6,000.00	4.0
AO,	J L F ASSET MGMT (JLFAMAIN)	039	ODP	B	47,700	40.86	26-Jun	31-Aug	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	099	RIMG	B	100	22.00	n/a	n/a	0.00	0.0
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	SKX	B	50,000	25.52	n/a	7-Aug	2,500.00	5.0
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	SKX	B	50,000	25.52	n/a	7-Aug	2,000.00	4.0
AO,	BROMPTON CROSS (BROMGS)	036	VZ	S	10,000	37.24	19-Sep	9-Oct	500.00	5.0
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	WSM	B	40,000	33.36	n/a	n/a	2,000.00	5.0
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	WSM	B	40,000	33.36	n/a	n/a	1,600.00	4.0
AO,CXL	THE JAY GOLDMAN (GOLDWOODMA)	034	ZQK	B	1,250	12.51	8-Sep	8-Sep	50.00	4.0
AO,	THE JAY GOLDMAN (GOLDWOODMA)	034	ZQK	B	12,500	12.51	8-Sep	8-Sep	500.00	4.0
AO,CXL	THE JAY GOLDMAN (GOLDMASTER)	034	ZQK	B	1,250	12.51	8-Sep	8-Sep	50.00	4.0
AO,	THE JAY GOLDMAN (GOLDMASTER)	034	ZQK	B	12,500	12.51	8-Sep	8-Sep	500.00	4.0



Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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Legend:

Blue: Employee and Proprietary Trades.

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

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