



Daily Compliance Activity Report

Trade Date: 11/09/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BELMONT GLOBAL ADV	248	AAP	S	1,500	36.97	n/a	n/a	75.00	5.0
THIRD POINT MGMT	044	ADS	S	20,000	61.11	n/a	n/a	800.00	4.0
REICH AND TANG	037	AIN	B	15,000	32.19	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	ALB	B	5,000	65.98	n/a	n/a	250.00	5.0
SINCLAIR	031	AOI	S	2,000	5.12	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	28.10	23-Oct	3-Nov	1,200.00	4.0
LEVIN CAPITAL STRATEGIES	012	ARO	B	20,000	28.10	23-Oct	3-Nov	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	46,200	28.09	23-Oct	3-Nov	1,848.00	4.0
BENCHMARK	028	AVZ	S	15,000	22.54	9-Nov	9-Nov	750.00	5.0
CROSS CAPITAL	028	AVZ	S	42,500	22.80	9-Nov	9-Nov	2,125.00	5.0
DSG CAPITAL	225	AVZ	S	9,500	22.78	9-Nov	9-Nov	475.00	5.0
WHITTIER CAP	048	BBW	S	7,895	29.29	n/a	n/a	394.75	5.0
CRAMER ROSENTHAL/SCOTT	012	BE	B	533,300	8.53	n/a	n/a	26,665.00	5.0
HIGHBRIDGE CAPITAL	038	BHP	B	7,000	42.88	n/a	n/a	350.00	5.0
BUCK CAPITAL MGMT	001	BID	S	50,000	33.13	n/a	n/a	2,000.00	4.0
BRIGHTPOINT CAP	067	BIG	S	5,000	21.35	16-Aug	3-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BKS	B	75,000	42.08	n/a	n/a	3,750.00	5.0
VANDER MOOLEN	040	BMV	B	5,000	24.64	n/a	n/a	250.00	5.0
WHEELER	008	BTN	B	8,500	4.30	n/a	n/a	0.00	0.0
SEAROCK CAPITAL MANAGE	012	CC	B	100,000	25.38	n/a	18-Oct	5,000.00	5.0
MS PRINCIPAL STRATEGIES	040	CENX	S	33,900	38.74	n/a	n/a	1,356.00	4.0
FIRST NEW YORK LEDDY	035	CHS	B	20,000	22.20	2-Nov	3-Nov	1,000.00	5.0
WHITTIER CAP	048	CHS	B	25,465	22.15	2-Nov	3-Nov	1,273.25	5.0
PHILADELPHIA FINANCIAL	031	CS	B	10,000	64.42	n/a	n/a	500.00	5.0
S.A.C. CAPITAL MGMT.	044	CSCO	S	300,000	26.89	n/a	22-Mar	15,000.00	5.0
SAC TRADING HOWARD	038	CSCO	B	250,000	26.81	n/a	22-Mar	12,500.00	5.0
BARROW HANLEY MEWHINNEY	031	DG	S	136,700	13.76	21-Aug	3-Nov	5,468.00	4.0
GABELLI FUNDS	037	DIS	S	20,000	33.41	n/a	n/a	1,000.00	5.0
HIGHBRIDGE CAPITAL	038	DOW	B	6,000	40.82	n/a	26-Oct	300.00	5.0
LOOMIS SALES/BOSTON	036	EAT	B	75,000	45.78	12-Sep	31-Oct	3,750.00	5.0
MERRILL ASSET	032	FBR	S	300,000	7.08	n/a	n/a	15,000.00	5.0
MARK/JETCAP	030	FDC	S	25,000	24.80	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	FDO	S	10,000	27.87	3-Nov	3-Nov	500.00	5.0
MKT MAKER	099	FRED	S	169	11.60	21-Aug	3-Nov	0.00	0.0
BARROW HANLEY MEWHINNEY	031	GCI	S	48,700	58.93	n/a	n/a	1,948.00	4.0
MS PRINCIPAL STRATEGIES	040	GS	S	10,000	187.13	6-Nov	9-Nov	400.00	4.0
MILLRACE FUND LP	033	GYMB	S	5,000	46.07	21-Sep	3-Nov	200.00	4.0
LUCID PARTNERS	067	HMA	B	10,000	19.44	23-Jun	8-Nov	500.00	5.0
LINCOLN FUNDS	031	HRS	B	5,000	41.93	7-Nov	7-Nov	250.00	5.0
LEDDY	035	ICON	B	800	16.04	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	JCP	B	6,200	80.08	9-Nov	6-Nov	310.00	5.0
SSI INVESTORS	048	JNS	S	31,407	19.44	30-Oct	2-Nov	1,256.28	4.0
T. ROWE PRICE	033	JNS	B	50,000	19.45	30-Oct	2-Nov	2,000.00	4.0
CENTURION PARTNERS	249	JWN	B	5,000	45.84	2-Nov	3-Nov	250.00	5.0
PILOT ROCK	028	JWN	S	25,000	46.17	2-Nov	3-Nov	1,250.00	5.0
KERN	050	LEH	S	100	73.75	n/a	12-Oct	0.00	0.0
LEDDY	035	LM	S	175	91.96	28-Jul	9-Nov	0.00	0.0
SANDLER O'NEILL ASSET	031	LM	B	6,200	94.03	28-Jul	9-Nov	310.00	5.0
BUCK	015	LVSAS	S	5	2.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRANKLIN FUND OF CALIFOR	033	MRK	S	550,500	43.50	n/a	n/a	27,525.00	5.0
FRANKLIN FUNDS N J	033	MRK	S	37,200	43.08	n/a	n/a	1,860.00	5.0
VANDER MOOLEN	040	MRK	B	5,000	42.97	n/a	n/a	250.00	5.0
THIRD POINT MGMT	044	NDE	S	20,000	45.40	n/a	n/a	800.00	4.0
DAWSON SANBERG & CO	036	NUE	B	4,200	60.25	n/a	n/a	210.00	5.0
THOMSON HORSTMAN BRYANT	040	NWY	B	20,000	13.18	n/a	3-Nov	1,000.00	5.0
LEDDY	035	OPY	S	400	33.59	n/a	n/a	0.00	0.0
WHITTIER CAP	048	OSI	S	5,830	39.36	6-Nov	6-Nov	291.50	5.0
CRAMER ROSENTHAL/SCOTT	012	PEC	B	103,500	15.53	n/a	n/a	5,175.00	5.0
HIGHBRIDGE CAPITAL	038	PPG	B	4,000	67.04	n/a	19-Oct	200.00	5.0
SAC TRADING HOWARD	038	PSS	B	30,000	27.59	n/a	n/a	1,500.00	5.0
SEAROCK CAPITAL MANAGE	012	PSS	S	150,000	27.72	n/a	n/a	7,500.00	5.0
COUGAR TRADING	044	PSUN	S	5,000	17.57	3-Aug	8-Nov	250.00	5.0
WHITTIER CAP	048	RCL	S	2,510	40.97	n/a	1-Nov	125.50	5.0
FIRST NEW YORK LEDDY	035	SKS	S	10,000	20.09	n/a	n/a	500.00	5.0
BELMONT GLOBAL ADV	248	SSI	S	2,000	33.57	n/a	n/a	100.00	5.0
KACELA CAPITAL	034	SWY	B	15,000	30.76	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TBL	B	20,000	30.10	19-Jul	27-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	TBL	S	20,000	29.92	19-Jul	27-Oct	800.00	4.0
SOMERSET ADV	044	TWI	B	19,000	17.86	n/a	n/a	950.00	5.0
ROBERTSON STEVENS BC	033	UAUA	S	7,500	35.00	n/a	n/a	300.00	4.0
MKT MAKER	099	URBN	S	90	21.46	5-Oct	6-Nov	0.00	0.0
KERN	050	URBN	S	200	21.96	5-Oct	6-Nov	0.00	0.0
LEDDY	035	WDR	S	1,000	25.08	1-Nov	2-Nov	0.00	0.0
COLONIAL FUND LLC	036	WEN	B	50,000	34.87	12-Oct	27-Oct	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	WHR	S	48,332	87.80	n/a	n/a	2,416.60	5.0
SPRINGBOC	039	WLT	B	40,107	41.26	n/a	n/a	2,005.35	5.0
SEAROCK CAPITAL MANAGE	012	WMT	S	50,000	46.94	5-Oct	9-Nov	2,500.00	5.0
DAWSON SANBERG & CO	036	X	B	3,700	69.00	n/a	n/a	185.00	5.0
LEDDY	035	XOHO	B	3,500	4.00	n/a	n/a	0.00	0.0
BINDER	007	XOHO	S	2,000	4.10	n/a	n/a	0.00	0.0
DAWSON SANBERG & CO	036	YUM	S	8,500	59.22	n/a	12-Oct	425.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	100,000	14.30	8-Sep	8-Sep	4,000.00	4.0

TOTAL :

179,573.23

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	CENTURION PARTNERS (CENTGSCO)	249	AIG	B	60,000	68.70	n/a	n/a	3,000.00	5.0
AO,	CENTURION PARTNERS (CENTBSPT)	249	AIG	B	60,000	68.70	n/a	n/a	3,000.00	5.0
AO,CXL	BELMONT GLOBAL ADV (BELMJFFPB)	248	CLHB	S	10,000	41.14	n/a	n/a	500.00	5.0
AO,	BENCHMARK (BENCBS)	028	CLHB	S	10,000	41.14	n/a	n/a	500.00	5.0
AO,CXL	AMBER CAPITAL (AMBRGS)	046	NWEC	B	67,662	35.67	n/a	n/a	3,383.10	5.0
AO,	AMBER CAPITAL (AMBRLEH)	046	NWEC	B	67,662	35.67	n/a	n/a	2,706.48	4.0
AO,CXL	AMBER CAPITAL (AMBRGS)	046	S	B	100,000	19.82	n/a	n/a	5,000.00	5.0
AO,	AMBER CAPITAL (AMBRLEH)	046	S	B	100,000	19.82	n/a	n/a	4,000.00	4.0
AO,CXL	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	SSCC	S	25,000	10.75	20-Oct	27-Oct	1,000.00	4.0
AO,	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	SSCC	S	25,000	10.75	20-Oct	27-Oct	1,250.00	5.0
AO,CXL	SPEARS GRISANTI & BROWN (SGBCGS)	048	UTSI	S	67,600	9.62	n/a	n/a	3,380.00	5.0
AO,	SPEARS GRISANTI & BROWN (SGBCGS)	048	UTSI	S	67,600	9.62	n/a	n/a	2,704.00	4.0

Legend:

Blue: Employee and Proprietary Trades.

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

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