



Daily Compliance Activity Report

Trade Date: 11/06/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	034	AEOS	B	15,000	45.37	23-Oct	3-Nov	750.00	5.0
HIGHBRIDGE CAPITAL	038	ALB	B	2,000	65.10	n/a	n/a	100.00	5.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	101.24	25-Oct	2-Nov	500.00	5.0
PEQUOT CAPITAL MGMT	028	ANF	B	15,000	73.28	26-Oct	3-Nov	675.00	4.5
FARBER/WEISS PECK	012	APPB	S	27,000	23.46	n/a	n/a	1,350.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	20,000	109.98	1-Nov	2-Nov	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	BLL	B	49,600	42.03	n/a	n/a	2,480.00	5.0
CENTURION PARTNERS	249	BONT	B	5,000	34.43	23-Oct	3-Nov	250.00	5.0
FRIESS MGMT	042	CBK	S	283,900	21.16	2-Nov	3-Nov	12,775.50	4.5
JEFFRIES MIKE	067	CBK	B	20,000	21.15	2-Nov	3-Nov	1,000.00	5.0
ROYCE TRADING	216	CBT	S	185,000	41.75	2-Nov	2-Nov	9,250.00	5.0
MAGUIRE	090	CCOI	S	4,212	15.41	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	CKR	S	10,000	19.44	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	CLE	S	10,000	27.54	2-Nov	3-Nov	500.00	5.0
CARDINAL CAPITAL	044	CMP	B	87,300	31.54	n/a	n/a	4,365.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	50,000	39.29	25-Oct	25-Oct	2,000.00	4.0
KACELA CAPITAL	034	COH	B	20,000	39.41	25-Oct	25-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	30,300	26.49	n/a	n/a	1,212.00	4.0
SUN AMERICA ASSET MGMT	030	CVH	B	11,000	46.31	n/a	n/a	550.00	5.0
MERRILL ASSET	032	DCP	S	20,000	10.90	n/a	n/a	1,000.00	5.0
ZOLIDIS	011	DFZ	B	1,200	7.36	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	DGX	B	20,000	49.88	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	60,000	31.58	n/a	n/a	2,400.00	4.0
COUGAR TRADING	044	EAT	B	10,000	47.19	12-Sep	31-Oct	500.00	5.0
HIGHBRIDGE CAPITAL	038	ECL	B	4,000	45.89	n/a	20-Oct	200.00	5.0
BUCK CAPITAL MGMT	001	EL	B	40,000	39.74	20-Sep	31-Oct	1,600.00	4.0
MAZAMA CAPITAL MGMT.	035	EVR	B	31,000	34.43	n/a	n/a	1,240.00	4.0
ROYCE TRADING	216	FCS	S	10,000	16.00	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	FD	S	250,000	39.90	23-Oct	6-Nov	10,000.00	4.0
PILOT ADV	038	FD	B	50,000	39.83	23-Oct	6-Nov	2,000.00	4.0
GRUBER MACBAINE	033	FDO	S	15,000	27.94	3-Nov	3-Nov	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	FDO	B	51,000	27.94	3-Nov	3-Nov	2,040.00	4.0
UBS O'CONNOR/TOM LEDDY	035	FDO	S	40,000	27.80	3-Nov	3-Nov	2,000.00	5.0
MAZAMA CAPITAL MGMT.	035	FIX	S	17,100	12.62	n/a	n/a	684.00	4.0
TROUBH PART	067	FOSL	S	7,682	21.93	12-Aug	14-Sep	384.10	5.0
XYLEM GLOBAL	024	GLT	B	10,000	13.88	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	GLW	B	1,500	20.65	n/a	25-Oct	75.00	5.0
BUCK CAPITAL MGMT	001	GPS	S	200,000	19.56	31-Jul	3-Nov	8,000.00	4.0
PEQUOT CAPITAL MGMT	028	HC	B	10,000	18.37	27-Jul	26-Oct	450.00	4.5
J L F ASSET MGMT	039	HIBB	B	13,900	29.37	n/a	n/a	556.00	4.0
U.S.TRUST COMPANY	012	HRS	B	124,550	40.30	2-Oct	26-Oct	4,982.00	4.0
MAZAMA CAPITAL MGMT.	035	HS	S	15,000	20.49	n/a	n/a	600.00	4.0
SAGE ASSET MGMT	012	HTV	B	50,000	25.67	n/a	n/a	2,500.00	5.0
NCM CAPITAL MGMT	035	IART	B	22,825	39.87	n/a	22-Apr	1,141.25	5.0
NCM CAPITAL MGMT	035	IMA	B	23,700	37.80	n/a	n/a	1,185.00	5.0
DAWSON SANBERG & CO	036	JBX	S	24,700	54.85	n/a	9-Aug	1,235.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	40,000	76.67	3-Nov	6-Nov	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	JCP	S	115,900	76.74	3-Nov	6-Nov	4,636.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	30,000	46.62	2-Nov	3-Nov	1,200.00	4.0
J L F ASSET MGMT	039	JWN	B	48,500	46.59	2-Nov	3-Nov	1,940.00	4.0
HIGHBRIDGE CAPITAL	038	KEY	B	16,000	36.90	n/a	n/a	800.00	5.0
GALLEON MGMT LP	033	KG	B	50,000	16.21	n/a	n/a	2,500.00	5.0
WHALE ROCK CAP	030	KSS	B	20,000	71.78	2-Oct	3-Nov	1,000.00	5.0
FARALLON CAP MGMT	040	LH	S	20,300	67.47	n/a	n/a	812.00	4.0
SUN AMERICA ASSET MGMT	030	LM	B	30,700	92.61	28-Jul	2-Nov	1,535.00	5.0
LUCHANSKY1	036	LMC	B	100	38.83	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	LNCR	B	34,885	35.06	2-Nov	2-Nov	1,744.25	5.0
REINHART & MAHONEY	031	LZ	B	4,970	46.67	n/a	n/a	248.50	5.0
LUCHANSKY1	036	MA	B	100	95.89	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	MAN	S	4,600	68.75	n/a	n/a	230.00	5.0
SINCLAIR	031	MFB	S	200	22.15	n/a	n/a	0.00	0.0
BINDER	007	MOT	B	200	22.56	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	034	MW	B	25,000	38.98	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL MGMT.	044	NOVN	S	10,000	22.27	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	238	NST	B	23,100	34.69	n/a	n/a	1,155.00	5.0
MERRILL LYNCH STRATEGICI	034	OI	B	20,000	17.01	n/a	n/a	1,000.00	5.0
LEDDY	035	OXM	S	300	52.48	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	PCU	S	20,000	56.14	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	PHO	B	1,500	17.79	n/a	n/a	75.00	5.0
PEQUOT CAPITAL MGMT	028	PII	B	7,000	44.23	n/a	n/a	315.00	4.5
MERRILL ASSET	032	PKG	B	100,000	22.70	26-Oct	27-Oct	5,000.00	5.0
SECOND CURVE	031	PRS	S	25,000	11.91	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	RF	B	13,000	37.64	n/a	n/a	650.00	5.0
FRONTPOINT	044	RIG	S	17,100	75.27	n/a	n/a	855.00	5.0
DENVER INST. ADV	046	RL	S	63,000	70.44	23-Oct	31-Oct	3,150.00	5.0
AMBER CAPITAL	046	ROH	S	30,700	51.33	13-Oct	19-Oct	1,228.00	4.0
HIGHBRIDGE CAPITAL	038	SIAL	B	3,000	75.94	29-Sep	27-Oct	150.00	5.0
GALLEON MGMT LP	033	SLXP	B	20,000	13.27	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	T	S	700	34.31	20-Sep	3-Nov	35.00	5.0
BUCK CAPITAL MGMT	001	TBL	B	105,000	28.69	19-Jul	27-Oct	4,200.00	4.0
DIAMONDBACK CAP MGMT	232	TIN	B	21,900	38.40	n/a	27-Oct	1,095.00	5.0
BELMONT GLOBAL ADV	248	UARM	B	5,000	45.50	n/a	n/a	250.00	5.0
REINHART & MAHONEY	031	UNH	S	7,300	48.03	n/a	n/a	365.00	5.0
BELMONT GLOBAL ADV	248	WFMI	B	2,000	46.59	n/a	n/a	100.00	5.0
CARDINAL CAPITAL	044	WIN	B	44,200	13.71	n/a	n/a	2,210.00	5.0
LEDDY	035	WLV	B	6,500	1.18	n/a	n/a	0.00	0.0
PERRY PARTNERS	035	WMT	B	200,000	47.33	5-Oct	3-Nov	10,000.00	5.0
VISIUM/BALY HOWARD	038	WMT	B	50,000	47.52	5-Oct	3-Nov	2,500.00	5.0
KACELA CAPITAL	034	WSM	B	15,000	32.25	n/a	n/a	600.00	4.0
XYLEM GLOBAL	024	WY	S	10,000	63.80	20-Sep	27-Oct	500.00	5.0
NEUBERGER BERMAN	238	XTO	S	102,900	46.98	n/a	n/a	5,145.00	5.0
TOTAL :							150,953.60		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	SEQUENCE CAPITAL (SEQUGOLDMA)	028	ANF	B	2,749	72.49	26-Oct	3-Nov	109.96	4.0
AO,	SEQUENCE CAPITAL (SEQUGOLDMA)	028	ANF	S	1,767	72.48	26-Oct	3-Nov	70.68	4.0
AO,CXL	FRIESS MGMT (FRISDCX)	042	CBK	S	1,300	21.92	2-Nov	3-Nov	58.50	4.5
AO,	FRIESS MGMT (FRISDCXV)	042	CBK	S	1,300	21.92	2-Nov	3-Nov	58.50	4.5
AO,	SEQUENCE CAPITAL (SEQUGOLDMA)	028	CBK	B	1,178	21.93	2-Nov	3-Nov	47.12	4.0
AO,CXL	UBS O'CONNOR/TOM LEDDY (UBSTGSPB)	035	FRED	B	6,200	11.53	21-Aug	3-Nov	310.00	5.0
AO,	UBS O'CONNOR/TOM LEDDY (UBSTGSPB)	035	FRED	B	6,200	11.53	21-Aug	3-Nov	248.00	4.0
AO,CXL	COUGAR TRADING (COUGPB MS)	044	GPS	S	15,000	19.65	31-Jul	3-Nov	750.00	5.0
AO,	COUGAR TRADING (COUGPB MS)	044	GPS	S	25,000	19.65	31-Jul	3-Nov	1,250.00	5.0
AO,	SEQUENCE CAPITAL (SEQUGOLDMA)	028	GPS	S	1,998	19.65	31-Jul	3-Nov	79.92	4.0
AO,CXL	DIAMONDBACK CAP MGMT (DIAMMORGAN)	232	LH	S	39,700	67.31	n/a	n/a	1,985.00	5.0
AO,	FARALLON CAP MGMT (FARABULK F)	040	LH	S	39,700	67.31	n/a	n/a	1,588.00	4.0
AO,	DOWNTOWN ASSOC (DOWNGS)	033	URBN	B	42,300	17.07	5-Oct	6-Nov	1,480.50	3.5

Legend:

Blue: Employee and Proprietary Trades.

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

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