



Daily Compliance Activity Report

Trade Date: 11/29/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	035	AA	S	2,000	30.76	n/a	n/a	100.00	5.0
PATTEN & PATTEN	067	AA	S	110	30.75	n/a	n/a	5.50	5.0
CAPITAL GROWTH MGMT.	241	AG	B	40,000	31.56	n/a	n/a	2,000.00	5.0
WASHINGTON ASSET	048	ALGN	B	7,500	13.10	n/a	n/a	375.00	5.0
FARALLON CAP MGMT	040	ALO	B	115,000	22.02	n/a	n/a	4,600.00	4.0
PATTEN & PATTEN	067	AMGN	S	200	72.02	n/a	26-Jan	10.00	5.0
PATTEN & PATTEN	067	AMP	S	80	53.03	n/a	n/a	4.00	5.0
RIVER RUN MGMT	031	AMRN	S	4,675	2.40	n/a	n/a	140.25	3.0
BUCK CAPITAL MGMT	001	ANF	S	30,000	69.76	26-Oct	28-Nov	1,200.00	4.0
FIRST NEW YORK LEDDY	035	ANN	B	20,000	34.07	6-Jul	28-Nov	1,200.00	6.0
COUGAR TRADING	044	ARO	B	10,000	30.30	23-Oct	28-Nov	500.00	5.0
CROSS CAPITAL	028	ARO	S	21,800	30.43	23-Oct	28-Nov	1,090.00	5.0
ROXBURY CAPITAL MGMT	035	ARO	S	276,495	30.76	23-Oct	28-Nov	11,059.80	4.0
ELM RIDGE ADVISORS	044	BBI	S	13,200	5.42	n/a	n/a	396.00	3.0
HARVEST MGMT	039	BBW	B	10,000	30.78	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	BDH	S	500	16.57	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	035	BHI	S	2,000	73.04	n/a	n/a	100.00	5.0
STERLING JOHNSTON	035	BONT	S	37,500	36.92	23-Oct	28-Nov	1,875.00	5.0
LOOMIS SALES/BOSTON	036	CAB	B	80,000	24.60	n/a	n/a	4,000.00	5.0
LEDDY	035	CBK	B	800	20.37	2-Nov	28-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	S	15,000	20.69	2-Nov	28-Nov	600.00	4.0
PATTEN & PATTEN	067	CBT	S	400	41.42	2-Nov	2-Nov	20.00	5.0
RBC CAPITAL MARKETS	034	CHS	S	25,000	24.45	28-Nov	29-Nov	1,250.00	5.0
STANDARD PACIFIC CAPITAL	040	CHS	S	335,000	24.10	28-Nov	29-Nov	16,750.00	5.0
NCM CAPITAL MGMT	035	CLF	S	18,450	46.96	n/a	n/a	922.50	5.0
EFSTATHIOU	044	CNTY	S	200	10.37	n/a	n/a	0.00	0.0
TROUBH PART	067	COMS	S	25,000	4.07	n/a	n/a	1,250.00	5.0
J L F ASSET MGMT	039	COST	B	36,600	53.31	n/a	28-Nov	1,464.00	4.0
THE JAY GOLDMAN	034	COST	B	10,000	53.16	n/a	28-Nov	400.00	4.0
SPEARS GRISANTTI & BROWN	048	CVS	B	18,300	28.08	n/a	n/a	915.00	5.0
HIGHBRIDGE CAPITAL	038	CZN	B	7,000	14.05	n/a	n/a	350.00	5.0
PATTEN & PATTEN	067	D	S	150	80.76	n/a	n/a	7.50	5.0
STRONG/MARK GRONET	030	DISCA	B	10,000	15.12	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	035	DJ	B	20,000	36.16	n/a	n/a	800.00	4.0
LEDDY	035	EICU	S	1,000	9.65	n/a	n/a	0.00	0.0
DAVIS ADV	040	EXPE	S	45,700	18.52	n/a	n/a	1,371.00	3.0
COMMERCE BANK	046	FD	S	13,066	40.87	9-Nov	28-Nov	783.96	6.0
VISIUM/BALY HOWARD	038	FDC	S	20,000	25.37	n/a	n/a	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	FRX	S	10,000	48.98	28-Nov	29-Nov	400.00	4.0
TRELLUS PARTNERS LP	028	GHCI	S	1,600	46.51	n/a	n/a	80.00	5.0
STRONG/MARK GRONET	030	GLBL	B	25,000	13.88	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	GLW	B	1,000	21.34	n/a	25-Oct	50.00	5.0
GALLEON MGMT LP	033	GRS	B	50,000	14.57	n/a	n/a	2,500.00	5.0
FORD FDN.	032	GS	S	32,300	196.34	6-Nov	13-Nov	1,615.00	5.0
GALLEON MGMT LP	033	GSK	S	10,000	53.42	n/a	n/a	500.00	5.0
JACOB	068	GYMB	S	250	42.23	28-Nov	28-Nov	0.00	0.0
MORGAN LEWIS/MLH	046	GYMB	S	10,000	41.96	28-Nov	28-Nov	500.00	5.0
VISIUM/BALY HOWARD	038	GYMB	S	30,000	41.99	28-Nov	28-Nov	1,500.00	5.0
WD PARTNERS ILP	067	GYMB	S	3,000	42.27	28-Nov	28-Nov	150.00	5.0
HOFFMAN	014	HCA INC	B	50,000	83.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TILLDALE MGMT.	048	HHH	S	5,000	53.44	n/a	n/a	250.00	5.0
ROTHSCHILD ASSET	040	HOC	S	14,100	53.09	n/a	n/a	634.50	4.5
RIVER RUN MGMT	031	HOFF	S	71,150	15.81	n/a	n/a	3,557.50	5.0
CSFB GLOBAL PROPRIETARY	035	HRZ	S	4,000	27.29	n/a	n/a	200.00	5.0
PATTEN & PATTEN	067	HST	S	1,900	24.99	n/a	n/a	95.00	5.0
GALLEON MGMT LP	033	INTC	B	25,000	21.38	n/a	n/a	1,250.00	5.0
SEASONS CAPITAL	040	INTC	B	200,000	21.30	n/a	n/a	10,000.00	5.0
KAICHER	064	ISAC	B	5,000	4.65	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	31,500	2.48	n/a	n/a	945.00	3.0
WHITE PINE CAPITAL	030	JCS	S	1,700	9.50	n/a	n/a	85.00	5.0
GRUBER MACBAINE	033	JNY	S	40,000	33.47	n/a	26-Oct	1,600.00	4.0
RIVER RUN MGMT	031	KEGS	S	48,000	15.29	7-Aug	29-Nov	2,400.00	5.0
LOOMIS SALES/BOSTON	036	KFT	S	29,200	34.85	n/a	n/a	1,460.00	5.0
EFSTATHIOU	044	LMC	B	100	34.58	n/a	n/a	0.00	0.0
KORMAN	003	LNCR	B	300	36.55	2-Nov	27-Nov	0.00	0.0
THE JAY GOLDMAN	034	LTD	S	20,000	31.82	2-Nov	28-Nov	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT	044	MAS	B	50,000	28.47	n/a	n/a	2,500.00	5.0
MAZAMA CAPITAL MGMT.	035	MTZ	S	85,200	10.89	n/a	n/a	3,408.00	4.0
PATTEN & PATTEN	067	NEM	B	600	45.80	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	NOK	S	1,000	20.26	n/a	n/a	50.00	5.0
GALLEON MGMT LP	033	NVS	S	30,000	58.12	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	NVS	B	50	58.17	n/a	n/a	2.50	5.0
PATTEN & PATTEN	067	PBE	B	1,000	18.51	n/a	n/a	50.00	5.0
COUGAR TRADING	044	PSUN	B	5,000	19.25	3-Aug	28-Nov	250.00	5.0
SAC TRADING HOWARD	038	PSUN	S	25,000	19.24	3-Aug	28-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	49.78	22-Nov	22-Nov	400.00	4.0
HIGHBRIDGE CAPITAL	038	Q	B	12,000	7.82	n/a	n/a	600.00	5.0
CAPITAL GROWTH MGMT.	241	RJF	S	50,000	32.01	n/a	n/a	2,500.00	5.0
J L F ASSET MGMT	039	RSH	B	87,000	17.36	n/a	n/a	3,480.00	4.0
PATTEN & PATTEN	067	SLB	B	850	67.20	n/a	n/a	42.50	5.0
PATTEN & PATTEN	067	SNE	B	400	39.53	n/a	n/a	20.00	5.0
STRONG/MARK GRONET	030	SUNW	S	15,000	5.37	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TBL	S	70,000	31.12	14-Nov	15-Nov	2,800.00	4.0
THE JAY GOLDMAN	034	TGT	S	10,000	57.94	n/a	28-Nov	400.00	4.0
LATEFF MGMT	040	TIN	B	1,250	38.95	8-Nov	27-Oct	325.00	26.0
BUCK CAPITAL MGMT	001	TLB	B	50,000	25.27	2-Oct	16-Nov	2,000.00	4.0
BALYASNY ASSET MGMT	044	TROW	B	30,000	43.94	13-Oct	28-Nov	1,500.00	5.0
M. KRAUS & CO.	037	TYC	B	2,150	30.20	2-Oct	15-Nov	129.00	6.0
COUGAR TRADING	044	URBN	B	5,000	22.40	5-Oct	10-Nov	250.00	5.0
CSFB GLOBAL PROPRIETARY	035	UTIW	S	3,000	28.35	n/a	n/a	150.00	5.0
STRONG/MARK GRONET	030	VIGN	S	15,000	16.76	n/a	n/a	600.00	4.0
LATEFF MGMT	040	VZ	B	2,000	35.03	17-Nov	28-Nov	400.00	20.0
INDEPENDENCE INV	039	WB	S	60,800	54.04	n/a	n/a	2,432.00	4.0
FORD FDN.	032	WFC	B	68,000	35.37	n/a	n/a	3,400.00	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	7,000	13.87	n/a	n/a	350.00	5.0
GALLEON MGMT LP	033	WYE	S	25,000	47.98	n/a	31-Mar	1,250.00	5.0
RIVER RUN MGMT	031	WZEN	S	40,000	3.66	n/a	n/a	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TILLDALE MGMT.	048	XHB	S	10,000	35.30	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	ZLC	B	24,400	31.35	n/a	n/a	976.00	4.0
LATEFF MGMT	040	ZLC	S	1,500	30.93	n/a	n/a	300.00	20.0
TOTAL (Trade Date) :								124,531.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/28	MKT MAKER (MKT MAKER)	099	GHCI	S	3	46.48	n/a	n/a	0.00 0.0
AO,	11/28	FIRST INV MGMT CORP (FIMCLIFVAL)	036	HVT	B	2,800	13.95	n/a	n/a	140.00 5.0
AO,CXL	11/28	FIRST INV MGMT CORP (FIMCBLULIF)	036	HVT	B	2,800	13.95	n/a	n/a	140.00 5.0
AO,	11/27	OTC ERROR (OTC ERROR)	099	INTV	B	150	6.59	n/a	n/a	0.00 0.0
AO,	11/17	OTC ERROR (OTC ERROR)	099	INTV	S	150	6.64	n/a	n/a	0.00 0.0
AO,CXL	11/27	ANTEUS ASSOC.BAEL (ANTAELIZAB)	065	INTV	B	150	6.59	n/a	n/a	9.00 6.0
AO,CXL	11/17	ANTEUS ASSOC.BAEL (ANTAELIZAB)	065	INTV	S	150	6.64	n/a	n/a	9.00 6.0
AO,CRT	11/28	MKT MAKER (MKT MAKER)	097	NILE	B	200	34.80	n/a	n/a	0.00 0.0
AO,CRT	11/28	MKT MAKER (MKT MAKER)	097	NILE	B	300	34.70	n/a	n/a	0.00 0.0
AO,	11/28	CROSS CAPITAL (CROCBA-USE)	028	SMG	B	12,180	49.56	26-Oct	27-Oct	609.00 5.0
AO,	11/28	GALLEON MGMT LP (GALLMAIN05)	033	WYE	B	25,000	47.63	n/a	31-Mar	1250.00 5.0
TOTAL (AO, CXL, CRT) :									1,841.00	
TOTAL (Trade Date) :									124,531.51	
TOTAL (AO, CXL, CRT) :									1,841.00	
TOTAL (RUN DATE) / NFS:									126,372.51	

Legend:

Blue: Employee and Proprietary Trades.

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

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