



Daily Compliance Activity Report

Trade Date: 10/12/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KEEFE BRUYETTE WOODS A	031	AB	S	4,200	76.21	6-Sep	12-Oct	210.00	5.0
MORRISON & FRASIER	040	ADCT	B	82,500	15.48	n/a	n/a	4,125.00	5.0
FIRST INV MGMT CORP	036	AGU	B	30,000	27.17	n/a	n/a	1,500.00	5.0
BALYASNY ASSET MGMT	044	AMG	S	5,000	99.26	6-Sep	12-Oct	250.00	5.0
SUNOVA CAPITAL	031	AMG	B	10,000	99.60	6-Sep	12-Oct	500.00	5.0
MATTHES CAPITAL MGMT	033	ANF	B	50,000	75.82	31-Aug	6-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	90,000	30.05	6-Jul	6-Oct	3,600.00	4.0
LISTED ERR	099	AXL	S	600	17.65	n/a	n/a	0.00	0.0
DC CAPITAL	044	AXL	B	2,700	17.73	n/a	n/a	135.00	5.0
HARVEST MGMT	039	BBW	B	10,000	25.31	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	BID	B	20,000	35.96	n/a	n/a	800.00	4.0
AAD CAPITAL	048	BIG	S	20,000	20.66	16-Aug	6-Oct	400.00	2.0
HIGHBRIDGE CAPITAL	038	BNI	B	11,000	77.06	n/a	n/a	550.00	5.0
CLOVER CAPITAL	031	BONT	S	14,630	36.76	5-Oct	6-Oct	731.50	5.0
DELTEC ASSET MGMT.	040	BONT	S	5,403	37.12	5-Oct	6-Oct	270.15	5.0
PEREGRINE	030	BONT	S	63,000	36.78	5-Oct	6-Oct	3,150.00	5.0

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STERLING JOHNSTON	035	BONT	S	4,500	37.19	5-Oct	6-Oct	225.00	5.0
LEDDY	035	BOOT	B	700	12.45	n/a	n/a	0.00	0.0
ZOLIDIS	011	BOOT	B	1,000	12.37	n/a	n/a	0.00	0.0
NEEDHAM CAP	067	CAR	B	15,000	18.62	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	CBK	S	70,000	29.07	18-Sep	2-Oct	2,800.00	4.0
RBC CAPITAL MARKETS	034	CC	B	25,000	28.27	n/a	21-Sep	1,250.00	5.0
NEW JERSEY DIV OF INV.	220	CCI	B	192,000	34.74	n/a	n/a	9,600.00	5.0
BANK OF NEW YORK	040	CENT	S	5,640	49.51	3-May	18-Sep	253.80	4.5
BARR	096	CFC	B	500	36.30	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	CHRS	S	400	14.75	n/a	17-Aug	16.00	4.0
J L F ASSET MGMT	039	CHS	B	38,300	23.13	23-Aug	6-Oct	1,532.00	4.0
BUCK CAPITAL MGMT	001	CL	B	25,000	61.62	25-Jul	26-Jul	1,000.00	4.0
CAPITAL GROWTH MGMT.	241	CLB	S	20,000	60.57	7-Aug	7-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	CLX	B	30,000	65.15	n/a	3-Aug	1,200.00	4.0
BANK OF NEW YORK	040	CMG	B	8,550	56.91	n/a	11-Sep	384.75	4.5
FARBER/WEISS PECK	012	CMG	B	22,000	56.99	n/a	11-Sep	1,100.00	5.0
MCCARTAN	028	COMS	S	2,300	5.14	n/a	n/a	0.00	0.0

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JACOB	068	COST	S	200	53.80	n/a	12-Oct	0.00	0.0
SAC TRADING HOWARD	038	COST	B	30,000	54.14	n/a	12-Oct	1,500.00	5.0
MKT MAKER	099	CWTR	S	600	29.30	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	CWTR	S	1,000	29.31	n/a	n/a	50.00	5.0
CAPITAL GROWTH MGMT.	241	DE	B	165,000	89.75	n/a	n/a	8,250.00	5.0
WASHINGTON ASSET	048	DIA	S	10,000	119.43	n/a	n/a	500.00	5.0
ADAGE CAPITAL MGMT	030	DOW	S	35,000	39.01	n/a	13-Sep	1,400.00	4.0
FINANCIAL STOCK LP	028	FII	S	30,000	34.47	2-May	12-Oct	1,200.00	4.0
MKT MAKER	099	FINL	B	78	12.83	n/a	22-Sep	0.00	0.0
EIDELMAN, FINGER & CO	046	FINL	B	3,100	12.83	n/a	22-Sep	155.00	5.0
BUCK CAPITAL MGMT	001	FL	B	250,000	24.74	n/a	18-Aug	10,000.00	4.0
J L F ASSET MGMT	039	FL	B	88,900	25.09	n/a	18-Aug	3,556.00	4.0
IRIDIAN ASSET MGMT.	036	GENZ	B	7,800	65.57	n/a	n/a	390.00	5.0
DELTEC ASSET MGMT.	040	GLW	S	20,000	25.07	n/a	3-Oct	1,000.00	5.0
MCCARTAN	028	HC	B	300	18.08	27-Jul	21-Sep	0.00	0.0
VANDER MOOLEN	040	HD	B	6,000	37.96	n/a	16-Aug	300.00	5.0
EFSTATHIOU	044	HOGWL	B	10	0.70	n/a	n/a	0.00	0.0

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TRIBECA/DOUG	040	IMH	S	10,000	9.65	n/a	n/a	400.00	4.0
MCCARTAN	028	ITCD	S	1,500	2.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	S	10,000	72.36	5-Oct	6-Oct	400.00	4.0
MATTHES CAPITAL MGMT	033	JCP	B	15,000	72.47	5-Oct	6-Oct	600.00	4.0
GLG PARTNERS	034	JWN	S	25,000	47.31	5-Oct	6-Oct	1,250.00	5.0
MATTHES CAPITAL MGMT	033	KCP	B	4,000	25.00	n/a	31-Aug	160.00	4.0
ZOLIDIS	011	LOW	B	300	31.14	n/a	26-Sep	0.00	0.0
AELTUS/ING INVESTMENT MGT	237	MCD	S	43,850	41.93	12-Oct	12-Oct	1,754.00	4.0
CLOVIS CAPITAL	012	MON	S	80,000	44.56	n/a	11-Oct	4,000.00	5.0
MERRILL ASSET	032	MVL	S	13,000	24.86	n/a	n/a	650.00	5.0
BUCK CAPITAL MGMT	001	NDN	B	40,000	12.02	11-Aug	6-Oct	1,600.00	4.0
BARR	096	NEXT	B	1,000	12.75	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	NSC	B	14,000	46.08	n/a	n/a	700.00	5.0
DELTEC ASSET MGMT.	040	NWY	B	20,000	13.44	n/a	5-Oct	1,000.00	5.0
IVORY CAPITAL	034	ONNN	S	225,000	5.93	n/a	n/a	6,750.00	3.0
AELTUS/ING INVESTMENT MGT	237	PEP	S	177,000	62.73	n/a	n/a	7,080.00	4.0

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SCHEINER	037	PLLL	B	4,000	17.20	n/a	n/a	0.00	0.0
RAND	031	PVH	S	1,574	45.50	18-Sep	11-Oct	78.70	5.0
RANGER	031	PVH	S	18,426	45.50	18-Sep	11-Oct	921.30	5.0
SNYDER CAPITAL	038	SCHL	B	12,800	31.03	n/a	n/a	640.00	5.0
LEDDY	035	SHPGY	B	200	53.09	8-Oct	10-Oct	0.00	0.0
CLOVIS CAPITAL	012	SJM	S	22,200	48.41	n/a	n/a	1,110.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	40,000	25.96	n/a	7-Aug	1,600.00	4.0
APEX CAPITAL MGMT.	002	SLM	S	98,800	49.85	n/a	n/a	4,940.00	5.0
CSFB GLOBAL PROPRIETARY	035	SPY	B	75,000	135.47	n/a	n/a	3,750.00	5.0
MAIRS AND POWER INV	030	SVU	S	20,000	32.82	n/a	n/a	1,200.00	6.0
MAZAMA CAPITAL MGMT.	035	TWB	S	50,900	39.73	5-Sep	3-Oct	2,036.00	4.0
BINDER	007	TWX	S	100	19.08	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	VLO	B	15,000	51.70	n/a	n/a	900.00	6.0
BULL PATH CAPITAL	044	WDR	B	20,000	25.62	6-Sep	11-Oct	1,000.00	5.0
TRIBECA/DOUG	040	WM	S	5,000	43.58	n/a	n/a	200.00	4.0
FRIESS MGMT	042	WRNC	S	74,100	20.00	5-Sep	15-Sep	3,334.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	WRNC	B	90,600	20.07	5-Sep	15-Sep	3,624.00	4.0
BUCK CAPITAL MGMT	001	WSM	B	15,000	32.96	n/a	n/a	600.00	4.0
J L F ASSET MGMT	039	WSM	B	39,600	33.52	n/a	n/a	1,584.00	4.0
HIGHBRIDGE CAPITAL	038	WU	B	492,000	19.28	n/a	n/a	24,600.00	5.0
MCCARTAN	028	XOHO	S	1,300	4.85	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	B	20,000	13.41	8-Sep	8-Sep	800.00	4.0
JP MORGAN VENTURES	046	ZQK	S	37,400	13.41	8-Sep	8-Sep	1,870.00	5.0
TOTAL:							149,116.70		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	UBS OCONNOR (UBSOWARBUR)	031	PKG	B	35,000	23.40	10-Oct	11-Oct	1,750.00	5.0
AO,	UBS OCONNOR (UBSOCREDIT)	031	PKG	B	35,000	23.40	10-Oct	11-Oct	1,750.00	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	RIMG	S	100	21.25	n/a	n/a	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	099	RUSHA	S	80	17.38	n/a	n/a	0.00	0.0
AO,	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	SWY	S	102,000	29.34	n/a	n/a	5,100.00	5.0
AO,	IRIDIAN ASSET MGMT. (IRAM100)	036	XRX	S	13,900	16.24	n/a	n/a	695.00	5.0
AO,	JANUS CAPITAL CORP (JANU06)	046	YHOO	B	300,000	24.13	n/a	n/a	10,500.00	3.5
AO,CXL	WEISS PECK (PECKOMNIBU)	040	ZQK	B	800	12.53	8-Sep	8-Sep	40.00	5.0
AO,	WEISS PECK (PECKSALIC)	040	ZQK	B	800	12.53	8-Sep	8-Sep	40.00	5.0

Legend:

Blue: Employee and Proprietary Trades.

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

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