



Daily Compliance Activity Report

Trade Date: 11/07/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	2,730	80.85	n/a	n/a	54.60	2.0
BALYASNY ASSET MGMT	044	AB	B	11,000	78.57	25-Oct	2-Nov	550.00	5.0
ROYCE TRADING	216	AB	S	4,200	78.25	25-Oct	2-Nov	210.00	5.0
PIONEER OAKRIDGE	031	ABT	S	8,135	48.14	n/a	22-Apr	162.70	2.0
CAPITAL GROWTH MGMT.	241	ADS	B	45,000	60.61	n/a	n/a	2,250.00	5.0
GALLEON MGMT LP	033	AEE	B	20,000	53.89	n/a	n/a	1,000.00	5.0
PIONEER OAKRIDGE	031	AFL	S	8,540	45.17	n/a	n/a	170.80	2.0
PIONEER OAKRIDGE	031	AMGN	S	4,540	75.73	n/a	26-Jan	90.80	2.0
COUGAR TRADING	044	ANF	S	5,000	73.94	26-Oct	3-Nov	250.00	5.0
FRONTPOINT	044	APC	S	89,600	47.67	31-Aug	6-Nov	4,480.00	5.0
SIGMA CAPITAL ASSOCIATES	034	ARO	S	15,000	29.52	23-Oct	3-Nov	750.00	5.0
BINDER	007	AVZ	S	500	22.99	19-Oct	2-Nov	0.00	0.0
PHILADELPHIA FINANCIAL	031	AVZ	S	32,043	23.32	19-Oct	2-Nov	1,602.15	5.0
SYSTEMATIC FINANCIAL MGT	035	AVZ	B	104,300	23.33	19-Oct	2-Nov	4,172.00	4.0
PIONEER OAKRIDGE	031	AXP	S	6,470	58.54	n/a	n/a	129.40	2.0
GALLEON MGMT LP	033	AYE	B	25,000	43.04	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	BBY	S	7,105	53.70	13-Jun	13-Sep	142.10	2.0
BRIGHTPOINT CAP	067	BIG	S	24,000	21.61	16-Aug	3-Nov	960.00	4.0
KACELA CAPITAL	034	BIG	B	20,000	21.69	16-Aug	3-Nov	800.00	4.0
CENTURION PARTNERS	249	BONT	B	5,000	35.06	23-Oct	3-Nov	250.00	5.0
PATTEN & PATTEN	067	C	S	300	50.61	n/a	30-Oct	15.00	5.0
PIONEER OAKRIDGE	031	C	S	5,900	50.60	n/a	30-Oct	118.00	2.0
EQUINOX	032	CAH	B	142,700	64.60	n/a	n/a	7,135.00	5.0
BUCK CAPITAL MGMT	001	CBK	B	20,000	21.94	2-Nov	3-Nov	800.00	4.0
FRIESS MGMT	042	CBK	S	88,300	22.00	2-Nov	3-Nov	3,973.50	4.5
ROYCE TRADING	216	CBT	S	1,000	42.20	2-Nov	2-Nov	50.00	5.0
BARR	096	CCOI	S	1,300	15.20	n/a	n/a	0.00	0.0
BELMONT GLOBAL ADV	248	CHS	S	17,500	21.29	2-Nov	3-Nov	875.00	5.0
DELTEC ASSET MGMT.	040	CHS	B	6,000	21.22	2-Nov	3-Nov	300.00	5.0
FIRST NEW YORK LEDDY	035	CHS	B	15,000	21.72	2-Nov	3-Nov	750.00	5.0
JP MORGAN VENTURES	046	CHS	S	10,000	21.72	2-Nov	3-Nov	500.00	5.0
KACELA CAPITAL	034	CHS	B	40,000	21.60	2-Nov	3-Nov	1,600.00	4.0
GOLDMAN SACHS ASSET MGMT	044	CHTR	B	325,000	2.73	n/a	n/a	6,500.00	2.0
TIGR	012	CHUX	B	33,000	20.91	n/a	n/a	1,650.00	5.0
BANK OF NEW YORK	040	CLMS	S	9,245	28.91	1-Nov	2-Nov	416.03	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALLEON MGMT LP	033	CMS	B	40,000	14.92	n/a	n/a	2,000.00	5.0
GALLEON MGMT LP	033	CMX	B	40,000	49.10	n/a	n/a	2,000.00	5.0
PIONEER OAKRIDGE	031	CMX	S	8,200	49.21	n/a	n/a	164.00	2.0
BUCK CAPITAL MGMT	001	COH	B	50,000	39.63	25-Oct	25-Oct	2,000.00	4.0
PIONEER OAKRIDGE	031	COH	S	12,095	39.73	25-Oct	25-Oct	241.90	2.0
LEDDY	035	COSI	B	2,000	4.52	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	CSCO	S	18,870	24.98	n/a	22-Mar	377.40	2.0
PIONEER OAKRIDGE	031	CTSH	S	9,875	77.78	n/a	n/a	197.50	2.0
PATTEN & PATTEN	067	D	S	250	79.97	n/a	n/a	12.50	5.0
MERRILL ASSET	032	DCP	S	25,000	11.02	n/a	n/a	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	DE	B	8,000	85.61	n/a	n/a	400.00	5.0
PIONEER OAKRIDGE	031	DHR	S	6,385	71.12	n/a	n/a	127.70	2.0
PECONIC PARTNERS	036	DIS	B	64,500	32.58	n/a	n/a	3,225.00	5.0
PIONEER OAKRIDGE	031	DNA	S	6,610	82.70	n/a	n/a	132.20	2.0
DAWSON SANBERG & CO	036	DPZ	S	6,400	26.94	12-Oct	12-Oct	320.00	5.0
BUCK CAPITAL MGMT	001	DSW	B	72,500	32.01	n/a	n/a	2,900.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	EAT	B	5,000	47.54	12-Sep	31-Oct	250.00	5.0
ROSENBERG	034	ECA	S	500	49.12	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	ECL	S	7,305	46.01	n/a	20-Oct	146.10	2.0
MORGAN LEWIS/MLH	046	F	S	10,000	8.71	n/a	n/a	500.00	5.0
MERRILL ASSET	032	FBR	S	124,900	7.56	n/a	n/a	6,245.00	5.0
PATTEN & PATTEN	067	FCX	B	300	60.52	n/a	n/a	15.00	5.0
PILOT ADV	038	FD	B	37,500	39.96	23-Oct	6-Nov	1,500.00	4.0
PIONEER OAKRIDGE	031	FDX	S	3,470	114.58	n/a	n/a	69.40	2.0
MAZAMA CAPITAL MGMT.	035	FIX	S	24,400	12.59	n/a	n/a	976.00	4.0
PIONEER OAKRIDGE	031	GE	S	19,795	35.61	n/a	n/a	395.90	2.0
PIONEER OAKRIDGE	031	GLW	S	14,600	21.13	n/a	25-Oct	292.00	2.0
ROYCE TRADING	216	GMR	B	4,100	34.96	n/a	n/a	205.00	5.0
PIONEER OAKRIDGE	031	GOOG	S	1,170	477.12	n/a	n/a	23.40	2.0
BUCK CAPITAL MGMT	001	GPS	S	50,000	19.48	31-Jul	3-Nov	2,000.00	4.0
SUFFOLK CAPITAL MGMT	040	GS	S	20,000	189.68	17-May	12-Oct	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	HBI	B	600	22.34	n/a	n/a	30.00	5.0
PIONEER OAKRIDGE	031	HET	S	5,125	75.25	3-Oct	26-Oct	102.50	2.0
M. KRAUS & CO.	037	HRS	B	6,325	40.29	7-Nov	7-Nov	379.50	6.0
PATTEN & PATTEN	067	HRS	B	300	40.27	7-Nov	7-Nov	15.00	5.0
MAZAMA CAPITAL MGMT.	035	HS	S	87,575	20.28	n/a	n/a	3,503.00	4.0
SAGE ASSET MGMT	012	HTV	B	75,600	25.56	n/a	n/a	3,780.00	5.0
NCM CAPITAL MGMT	035	IART	B	15,500	40.72	n/a	22-Apr	775.00	5.0
NCM CAPITAL MGMT	098	IMA	B	16,600	38.34	n/a	n/a	830.00	5.0
BINDER	007	INTC	S	50	20.87	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ITT	B	200	53.94	30-Oct	30-Oct	10.00	5.0
PIONEER OAKRIDGE	031	JBL	S	9,370	29.68	n/a	n/a	187.40	2.0
DAWSON SANBERG & CO	036	JBX	S	2,200	55.41	n/a	9-Aug	110.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	76.54	3-Nov	6-Nov	1,200.00	4.0
BELMONT GLOBAL ADV	248	JOSB	S	14,000	31.75	n/a	n/a	700.00	5.0
MAGUIRE	039	LEH	S	100	75.76	n/a	12-Oct	0.00	0.0
LUCHANSKY1	036	LMC	B	400	39.72	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	20,000	30.54	2-Nov	3-Nov	800.00	4.0
CAMBIAR CAP	046	LTD	S	33,800	30.75	2-Nov	3-Nov	1,352.00	4.0
BUCK	015	LVS	B	500	72.90	n/a	n/a	0.00	0.0
BELMONT GLOBAL ADV	248	LYO	B	13,000	25.60	n/a	26-Oct	650.00	5.0
PIONEER OAKRIDGE	031	MAR	S	11,860	42.75	n/a	n/a	237.20	2.0
PIONEER OAKRIDGE	031	MCHP	S	10,985	33.36	n/a	n/a	219.70	2.0
PIONEER OAKRIDGE	031	MDT	S	6,855	49.75	n/a	22-Apr	137.10	2.0
SUFFOLK CAPITAL MGMT	040	MER	S	50,000	88.51	17-Oct	17-Oct	2,000.00	4.0
BINDER	007	MOT	B	200	22.33	n/a	n/a	0.00	0.0
EOS PARTNERS	040	MOT	S	7,600	22.06	n/a	n/a	380.00	5.0
SUFFOLK CAPITAL MGMT	040	MS	S	50,000	76.23	20-Sep	12-Oct	2,000.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	17,645	28.96	n/a	3-Apr	352.90	2.0
PATTEN & PATTEN	067	NOK	S	700	19.69	n/a	n/a	35.00	5.0
ROYCE TRADING	216	NR	B	10,000	5.97	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	NWSA	S	19,070	20.88	n/a	n/a	381.40	2.0
TIGR	012	ODP	B	89,600	41.47	n/a	18-Oct	4,480.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ORCL	S	29,255	18.17	n/a	n/a	585.10	2.0
BUCK CAPITAL MGMT	001	OXM	S	10,000	52.47	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	PAYX	S	10,420	39.40	n/a	n/a	208.40	2.0
XYLEM GLOBAL	024	PCL	B	30,000	34.73	10-Oct	24-Oct	1,500.00	5.0
PATTEN & PATTEN	067	PEP	B	200	63.47	n/a	n/a	10.00	5.0
PIONEER OAKRIDGE	031	PEP	S	6,805	63.45	n/a	n/a	136.10	2.0
LEHMAN PROPRIETARY TRAD	039	PG	B	31,333	63.89	31-Oct	1-Nov	1,253.32	4.0
PIONEER OAKRIDGE	031	PG	S	8,100	64.26	31-Oct	1-Nov	162.00	2.0
PATTEN & PATTEN	067	PHO	B	500	17.76	n/a	n/a	25.00	5.0
EFSTATHIOU	044	PPCO	B	100	17.05	n/a	n/a	0.00	0.0
WHEELER	008	PTNX	B	5,000	12.10	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	QCOM	S	13,550	36.54	n/a	n/a	271.00	2.0
EFSTATHIOU	044	RCKY	B	200	14.13	n/a	n/a	0.00	0.0
KAICHER	064	REV	B	1,000	1.39	n/a	n/a	0.00	0.0
DAWSON SANBERG & CO	036	RI	S	7,200	27.48	n/a	n/a	360.00	5.0
BUCK CAPITAL MGMT	001	RL	B	64,300	71.24	23-Oct	31-Oct	2,572.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	059	RL	B	300	70.94	23-Oct	31-Oct	18.00	6.0
AMBER CAPITAL	046	ROH	S	50,000	51.16	13-Oct	19-Oct	2,000.00	4.0
CSFB GLOBAL PROPRIETARY	035	ROP	S	12,000	47.50	n/a	n/a	600.00	5.0
MATRIX ASSET ADV.	036	SBL	S	13,600	14.86	19-Sep	31-Oct	272.00	2.0
CASTLE ARK	031	SBUX	B	157,100	37.39	6-Oct	6-Oct	9,426.00	6.0
PIONEER OAKRIDGE	031	SCHW	S	22,530	18.97	n/a	n/a	450.60	2.0
BINDER	007	SHW	S	100	60.19	n/a	19-Oct	0.00	0.0
PIONEER OAKRIDGE	031	SLB	S	5,925	64.09	n/a	n/a	118.50	2.0
PIONEER OAKRIDGE	031	SLM	S	7,205	49.55	n/a	n/a	144.10	2.0
PIONEER OAKRIDGE	031	SPLS	S	23,970	26.12	n/a	11-Oct	479.40	2.0
PATTEN & PATTEN	067	SRZ	B	300	31.52	n/a	n/a	15.00	5.0
CSFB GLOBAL PROPRIETARY	035	SSCC	S	40,000	10.92	20-Oct	27-Oct	2,000.00	5.0
SPEARS GRISANTI & BROWN	048	SSCC	B	68,000	10.84	20-Oct	27-Oct	3,400.00	5.0
RBC CAPITAL MARKETS	034	SWY	B	25,000	29.80	n/a	n/a	1,250.00	5.0
ROYCE TRADING	216	TBL	S	25,000	29.02	19-Jul	27-Oct	1,250.00	5.0
PIONEER OAKRIDGE	031	TGT	S	6,880	57.34	n/a	3-Nov	137.60	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TLB	B	10,000	26.59	2-Oct	3-Nov	400.00	4.0
SINCLAIR	031	TUTS	S	2,000	1.20	n/a	n/a	0.00	0.0
VANDER MOOLEN	040	TWX	B	5,000	19.80	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	TXN	S	13,360	30.12	n/a	n/a	267.20	2.0
PATTEN & PATTEN	067	UNH	S	200	49.44	n/a	n/a	10.00	5.0
PIONEER OAKRIDGE	031	USB	S	14,425	33.72	n/a	n/a	288.50	2.0
BELMONT GLOBAL ADV	248	USG	S	7,000	48.46	n/a	n/a	350.00	5.0
PIONEER OAKRIDGE	031	UTX	S	7,225	65.54	n/a	n/a	144.50	2.0
PIONEER OAKRIDGE	031	VAR	S	7,030	55.01	n/a	n/a	140.60	2.0
BARR	096	VDSI	B	1,100	12.27	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	VLO	B	300	51.12	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	VMC	S	300	82.18	n/a	n/a	15.00	5.0
PIONEER OAKRIDGE	031	WAG	S	8,760	43.48	n/a	n/a	175.20	2.0
BELMONT GLOBAL ADV	248	WFMI	S	4,000	46.55	n/a	n/a	200.00	5.0
COUGAR TRADING	044	WMT	S	5,000	47.52	5-Oct	3-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	WTI	S	2,000	34.52	n/a	n/a	100.00	5.0
FARALLON CAP MGMT	040	XLU	B	448,515	35.39	n/a	n/a	13,455.45	3.0
PIONEER OAKRIDGE	031	XTO	S	9,415	46.69	n/a	n/a	188.30	2.0
PIONEER OAKRIDGE	031	ZMH	S	5,020	74.53	n/a	n/a	100.40	2.0
TOTAL :							143,265.05		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	PEQUOT CAPITAL MGMT (PEQUMSPO)	028	ANF	B	15,000	73.28	26-Oct	3-Nov	675.00	4.5
AO,	WILLOW CREEK (WILLMSPO)	033	ANF	B	15,000	73.28	26-Oct	3-Nov	675.00	4.5
AO,CXL	BALYASNY ASSET MGMT (BALY)	044	BEN	B	10,000	109.98	1-Nov	2-Nov	500.00	5.0
AO,	BALYASNY ASSET MGMT (BALY)	044	BEN	B	10,000	109.86	1-Nov	2-Nov	500.00	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	CMP	B	600	31.31	n/a	n/a	0.00	0.0
AO,	CARDINAL CAPITAL (CARDLANDMA)	044	CMP	B	800	31.54	n/a	n/a	40.00	5.0
AO,CXL	CARDINAL CAPITAL (CARDLANDPE)	044	CMP	B	800	31.54	n/a	n/a	40.00	5.0
AO,	MKT MAKER (MKT MAKER)	099	DLTR	B	2	31.08	27-Sep	3-Nov	0.00	0.0
AO,CXL	PEQUOT CAPITAL MGMT (PEQUMSPO)	028	HC	B	10,000	18.37	27-Jul	26-Oct	450.00	4.5
AO,	WILLOW CREEK (WILLMSPO)	033	HC	B	10,000	18.37	27-Jul	26-Oct	450.00	4.5
AO,CXL	WHALE ROCK CAP (WHALE4CENTS)	030	KSS	B	20,000	71.78	2-Oct	8-Nov	1,000.00	5.0
AO,	WHALE ROCK CAP (WHALE4CENTS)	030	KSS	B	20,000	71.78	2-Oct	8-Nov	800.00	4.0
AO,	MKT MAKER (MKT MAKER)	097	LNCR	B	150	35.06	2-Nov	2-Nov	0.00	0.0
AO,CXL	PEQUOT CAPITAL MGMT (PEQUMSPO)	028	PII	B	7,000	44.23	n/a	n/a	315.00	4.5
AO,	WILLOW CREEK (WILLMSPO)	033	PII	B	7,000	44.23	n/a	n/a	315.00	4.5
AO,	IMPALA ASSET MMT (IMPAGOLDMA)	012	RIO	B	250,200	26.95	n/a	n/a	10,008.00	4.0
AO,	WESLEY CAPITAL (WESLGS4CEN)	246	WCI	B	100,000	15.19	n/a	n/a	4,000.00	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.