



# Daily Compliance Activity Report

Trade Date: 10/04/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	AAP	B	30,000	34.58	n/a	n/a	1,500.00	5.0
<b>BRUNNER</b>	<b>012</b>	<b>ABXA</b>	<b>S</b>	<b>8,000</b>	<b>5.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	034	ADLR	S	15,000	14.71	n/a	n/a	600.00	4.0
BRIGHTPOINT CAP	067	AEOS	S	9,500	44.77	26-Sep	2-Oct	475.00	5.0
JP MORGAN VENTURES	046	AEOS	B	12,000	45.06	26-Sep	2-Oct	600.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>ALDA</b>	<b>B</b>	<b>600</b>	<b>15.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION PARTNERS	244	AMP	B	10,000	48.86	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	257,000	70.55	31-Aug	2-Oct	10,280.00	4.0
<b>KERN</b>	<b>050</b>	<b>APC</b>	<b>S</b>	<b>100</b>	<b>40.15</b>	<b>31-Aug</b>	<b>18-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>ARO</b>	<b>B</b>	<b>34,100</b>	<b>30.58</b>	<b>6-Jul</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>ARO</b>	<b>S</b>	<b>34,100</b>	<b>30.39</b>	<b>6-Jul</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
ENTRUST CAPITAL	040	ARO	S	42,000	30.41	6-Jul	2-Oct	2,100.00	5.0
<b>KERN</b>	<b>050</b>	<b>AVZ</b>	<b>S</b>	<b>100</b>	<b>22.17</b>	<b>6-Sep</b>	<b>25-Sep</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	AVZ	S	6,620	22.11	6-Sep	25-Sep	264.80	4.0
EOS PARTNERS	040	BA	B	1,200	82.73	n/a	n/a	60.00	5.0
<b>BUCK</b>	<b>015</b>	<b>BAC</b>	<b>S</b>	<b>200</b>	<b>54.70</b>	<b>19-Jul</b>	<b>12-Sep</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	BBW	B	11,000	22.35	n/a	n/a	550.00	5.0
HARVEST MGMT	039	BBW	B	15,000	22.08	n/a	n/a	750.00	5.0
ROBERTSON STEVENS BC	033	BBW	S	5,600	22.51	n/a	n/a	224.00	4.0
BUCK CAPITAL MGMT	001	BID	B	72,600	34.39	n/a	n/a	2,904.00	4.0
KEEFE BRUYETTE WOODS A	031	BSC	S	4,500	144.90	15-Jun	15-Sep	225.00	5.0
APEX CAPITAL MGMT.	002	BUCY	B	50,000	41.32	n/a	n/a	2,500.00	5.0
CARLSON CAPITAL	031	C	S	39,300	50.86	n/a	12-Sep	1,965.00	5.0
NEEDHAM CAP	067	CAR	B	5,600	18.92	n/a	n/a	224.00	4.0
<b>WANG</b>	<b>192</b>	<b>CBK</b>	<b>S</b>	<b>100</b>	<b>30.72</b>	<b>18-Sep</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>CBK</b>	<b>S</b>	<b>300</b>	<b>30.44</b>	<b>18-Sep</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	CBK	S	15,000	30.35	18-Sep	2-Oct	600.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CHS</b>	<b>S</b>	<b>100</b>	<b>22.88</b>	<b>23-Aug</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>060</b>	<b>CHS</b>	<b>S</b>	<b>1,000</b>	<b>23.03</b>	<b>23-Aug</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
BRIGHTPOINT CAP	067	CHS	B	17,500	22.13	23-Aug	2-Oct	700.00	4.0
RBC CAPITAL MARKETS	034	CHS	S	25,000	22.78	23-Aug	2-Oct	1,250.00	5.0
LINCOLN FUNDS	031	CMG	B	5,000	50.22	n/a	11-Sep	200.00	4.0
<b>BUCK</b>	<b>015</b>	<b>CMX</b>	<b>S</b>	<b>500</b>	<b>55.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SEQUENCE CAPITAL	028	COLM	S	2,756	53.46	n/a	n/a	110.24	4.0
<b>LEDY</b>	<b>035</b>	<b>COSI</b>	<b>B</b>	<b>2,000</b>	<b>4.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VANDER MOOLEN	040	CSCO	B	10,000	23.61	n/a	22-Mar	500.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>CYCL</b>	<b>B</b>	<b>600</b>	<b>5.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	002	DDS	S	6,100	33.48	n/a	n/a	305.00	5.0
FARBER/WEISS PECK	012	DPZ	B	39,000	26.52	20-Jul	20-Jul	1,950.00	5.0
PLATTE RIVER CAPITAL	035	DRC	S	10,500	18.70	n/a	n/a	420.00	4.0
BALYASNY ASSET MGMT	044	ENDP	S	100,000	32.29	19-Apr	3-Oct	5,000.00	5.0
PLATTE RIVER CAPITAL	035	EQ	B	3,000	47.65	n/a	n/a	120.00	4.0
BARON ASSET MGMT*	012	EV	B	32,500	29.68	6-Sep	25-Sep	1,625.00	5.0
BEAR STEARNS ASSET MGMT.	033	FD	B	70,000	42.81	13-Sep	2-Oct	2,800.00	4.0
BUCK CAPITAL MGMT	001	FD	S	105,000	43.10	13-Sep	2-Oct	4,200.00	4.0
WHALE ROCK CAP	030	FD	S	35,000	42.72	13-Sep	2-Oct	1,400.00	4.0
BUCK CAPITAL MGMT	001	FDO	S	20,000	29.76	n/a	2-Oct	800.00	4.0
TRIBECA/DOUG	040	FII	S	5,000	34.95	2-May	25-Sep	200.00	4.0
TRIBECA/DOUG	040	FRC	S	5,000	40.27	n/a	n/a	200.00	4.0
BLACKROCK/BOSTON	037	FSLB	S	27,000	38.30	n/a	n/a	1,080.00	4.0
<b>KAZMI</b>	<b>010</b>	<b>FTGX</b>	<b>B</b>	<b>3,000</b>	<b>3.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAXON WOODS ADVISORS	038	GE	B	25,000	36.05	n/a	n/a	1,250.00	5.0
VANDER MOOLEN	040	GE	B	10,000	35.97	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	GES	B	5,400	49.04	n/a	n/a	216.00	4.0
SOROS	036	GPI	B	19,500	50.72	n/a	n/a	975.00	5.0
COUGAR TRADING	044	GPS	S	5,000	19.46	31-Jul	3-Oct	250.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>HC</b>	<b>B</b>	<b>100</b>	<b>17.20</b>	<b>27-Jul</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
ZANDER CAPITAL MGMT	035	HD	B	18,000	37.19	n/a	16-Aug	720.00	4.0
J L F ASSET MGMT	039	HOTT	B	100,500	11.74	n/a	2-Oct	5,025.00	5.0
PAW PARTNERS	033	HOTT	S	40,000	11.69	n/a	2-Oct	1,600.00	4.0
MAZAMA CAPITAL MGMT.	035	HPY	B	20,000	26.86	n/a	n/a	800.00	4.0
<b>BUCK</b>	<b>015</b>	<b>HSP</b>	<b>B</b>	<b>300</b>	<b>37.69</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>ICON</b>	<b>S</b>	<b>700</b>	<b>17.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EGS ASSOCIATES LP	059	ICON	S	3,000	17.17	n/a	n/a	180.00	6.0
DEEPHAVEN	030	IWM	B	44,500	72.28	n/a	n/a	2,225.00	5.0
<b>KERN</b>	<b>050</b>	<b>JCG</b>	<b>S</b>	<b>100</b>	<b>30.81</b>	<b>25-Aug</b>	<b>25-Aug</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	JCP	S	30,000	71.40	5-May	2-Oct	1,200.00	4.0
SANDLER O'NEILL ASSET	031	JNC	S	25,000	51.53	n/a	25-Sep	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JNY	S	30,000	32.59	n/a	16-Aug	1,200.00	4.0
CUMBERLAND	038	JWN	B	50,000	44.35	5-Oct	5-Oct	2,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	KSS	S	50,000	68.38	2-Oct	3-Oct	2,500.00	5.0
THIRD POINT MGMT	044	MCD	B	100,000	39.97	n/a	11-Sep	4,000.00	4.0
BUCK CAPITAL MGMT	001	NDN	B	20,000	11.94	11-Aug	2-Oct	800.00	4.0
PLATTE RIVER CAPITAL	035	NOK	B	15,000	19.50	n/a	n/a	600.00	4.0
PRINCIPLE CAPITAL	040	NVT	S	190,900	25.42	n/a	n/a	7,636.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>NWY</b>	<b>B</b>	<b>500</b>	<b>13.99</b>	<b>n/a</b>	<b>5-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	NWY	B	10,000	13.97	n/a	5-Oct	500.00	5.0
SEQUENCE CAPITAL	028	NWY	B	5,174	13.53	n/a	5-Oct	206.96	4.0
WHITE PINE CAPITAL	030	OLN	B	650	15.34	n/a	28-Jul	32.50	5.0
<b>LEDDY</b>	<b>035</b>	<b>PCL</b>	<b>S</b>	<b>400</b>	<b>34.42</b>	<b>3-May</b>	<b>25-Jul</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	PD	S	100,000	78.54	n/a	n/a	5,000.00	5.0
UBS OCONNOR	031	PD	B	15,000	78.65	n/a	n/a	750.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>PDEX</b>	<b>S</b>	<b>1,090</b>	<b>1.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	PERY	B	375	31.22	n/a	n/a	18.75	5.0
GEORGE WEISS	034	PETM	B	8,700	28.51	n/a	n/a	435.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	PLCE	S	3,200	65.68	1-May	2-Oct	128.00	4.0
TRIBECA	038	PMI	S	4,800	44.00	n/a	n/a	192.00	4.0
GENERAL ELECTIC CO	033	PPL	S	31,935	33.00	n/a	n/a	1,437.09	4.5
AWAD ASSET MGMT	048	PRX	S	106,700	17.77	n/a	2-Oct	4,268.00	4.0
WEISS PECK	222	PSUN	B	8,200	16.67	3-Aug	2-Oct	410.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	4,600	41.80	18-Sep	19-Sep	184.00	4.0
TRIBECA/DOUG	040	RF	B	3,000	37.15	n/a	n/a	120.00	4.0
COUGAR TRADING	044	RL	B	5,000	67.17	18-Sep	19-Sep	250.00	5.0
STADIA CAPITAL	035	RL	S	35,000	66.66	18-Sep	19-Sep	1,400.00	4.0
HIGHFIELDS CAP MGMT	039	RRI	S	100,000	12.43	n/a	n/a	3,000.00	3.0
PECONIC PARTNERS	036	RTN	B	150,000	48.95	n/a	n/a	7,500.00	5.0
<b>WANG</b>	<b>192</b>	<b>RVI</b>	<b>S</b>	<b>200</b>	<b>16.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BRUNNER</b>	<b>012</b>	<b>SBL</b>	<b>S</b>	<b>3,000</b>	<b>14.96</b>	<b>19-Sep</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
FORCE CAPITAL MGMT	030	SIZ	B	50,000	15.08	n/a	n/a	1,500.00	3.0
APEX CAPITAL MGMT.	002	SLAB	B	40,000	30.56	n/a	n/a	2,000.00	5.0
PLATTE RIVER CAPITAL	035	SNE	S	3,500	38.13	n/a	n/a	140.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>GRONET</b>	<b>030</b>	<b>SONS</b>	<b>S</b>	<b>2,000</b>	<b>5.10</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	SSI	S	5,000	29.56	n/a	n/a	250.00	5.0
FIRST INV MGMT CORP	036	SSL	B	12,800	30.34	n/a	n/a	640.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>SVI</b>	<b>S</b>	<b>1,000</b>	<b>8.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEINTRAUB CAPITAL MGT.	040	SWY	S	50,000	29.73	n/a	n/a	2,500.00	5.0
<b>HIGHBRIDGE CAPITAL</b>	<b>038</b>	<b>T</b>	<b>B</b>	<b>16,000</b>	<b>32.80</b>	<b>20-Sep</b>	<b>4-Oct</b>	<b>800.00</b>	<b>5.0</b>
DELTEC ASSET MGMT.	040	TEX	S	5,000	47.06	n/a	n/a	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TJX	B	115,800	28.24	16-Aug	2-Oct	4,632.00	4.0
TRIVIUM CAP MGMT	028	TOL	B	25,000	28.45	n/a	n/a	1,000.00	4.0
<b>BUCK</b>	<b>015</b>	<b>TRB</b>	<b>S</b>	<b>1,000</b>	<b>32.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EOS PARTNERS	040	TYC	B	18,000	28.20	2-Oct	2-Oct	900.00	5.0
TRIBECA	038	UB	B	5,000	60.40	n/a	n/a	200.00	4.0
SENTINAL CAPITAL	067	UTX	B	7,000	64.63	n/a	n/a	350.00	5.0
PLATTE RIVER CAPITAL	035	VLO	S	5,500	48.40	n/a	n/a	220.00	4.0
<b>BUCK</b>	<b>015</b>	<b>VTIV</b>	<b>B</b>	<b>300</b>	<b>28.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	035	VZ	B	1,500	37.51	19-Sep	4-Oct	60.00	4.0
SENTINAL CAPITAL	067	VZ	B	6,000	37.59	19-Sep	4-Oct	300.00	5.0
CARLSON CAPITAL	031	WFC	B	54,000	36.47	n/a	n/a	2,700.00	5.0
COUGAR TRADING	044	WMT	S	5,000	48.31	5-Oct	5-Oct	250.00	5.0
SOROS	036	WMT	S	400,000	48.83	5-Oct	5-Oct	20,000.00	5.0
SANDLER O'NEILL ASSET	031	WPL	S	50,000	11.42	n/a	4-Oct	2,500.00	5.0
DSG CAPITAL	225	WRNC	B	7,500	19.13	5-Sep	15-Sep	375.00	5.0
FRIESS MGMT	042	WRNC	S	141,900	19.10	5-Sep	15-Sep	6,385.50	4.5
BUCK CAPITAL MGMT	001	WSM	B	40,000	33.36	n/a	n/a	2,000.00	5.0
PLATTE RIVER CAPITAL	035	WU	B	2,500	19.78	n/a	n/a	100.00	4.0
BUCK CAPITAL MGMT	001	WWW	B	50,000	27.97	8-Aug	4-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	WWW	S	40,000	29.58	8-Aug	4-Oct	1,600.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	120,000	12.49	8-Sep	8-Sep	4,800.00	4.0
J L F ASSET MGMT	039	ZQK	B	98,500	12.65	8-Sep	8-Sep	4,925.00	5.0
JP MORGAN VENTURES	046	ZQK	B	10,000	12.61	8-Sep	8-Sep	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	ZQK	B	15,000	12.58	8-Sep	8-Sep	450.00	3.0
<b>TOTAL :</b>							<b>174,268.84</b>		



**Cancel/Corrects and As-Of Trades**

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	SOROS (SOROGOLDMA)	036	AZO	B	28,400	105.63	n/a	n/a	1,420.00	5.0
AO,	MERRILL ASSET (MERR1584)	032	ICE	S	100	77.65	n/a	n/a	5.00	5.0
AO,	MERRILL ASSET (MERR8300)	032	ICE	S	4,500	77.65	n/a	n/a	225.00	5.0
AO,	MERRILL ASSET (MERR5300)	032	ICE	S	10,200	77.65	n/a	n/a	510.00	5.0
AO,	MERRILL ASSET (MERR6000)	032	ICE	S	1,700	77.65	n/a	n/a	85.00	5.0
AO,CXL	AWAD ASSET MGMT (AWADLLOYD1)	048	PRX	S	22,200	17.74	n/a	2-Oct	1,110.00	5.0
AO,	AWAD ASSET MGMT (AWADLLOYD1)	048	PRX	S	22,200	17.74	n/a	2-Oct	888.00	4.0
AO,CXL	AWAD ASSET MGMT (AWADLLYOD2)	048	PRX	S	11,000	17.74	n/a	2-Oct	550.00	5.0
AO,	AWAD ASSET MGMT (AWADLLYOD2)	048	PRX	S	11,000	17.74	n/a	2-Oct	440.00	4.0
AO,	NCNC (NCNCNORTHB)	035	PTI	B	1,425	18.88	n/a	n/a	71.25	5.0
AO,	NCM CAPITAL MGMT (NCMCLOC210)	035	PTI	B	17,400	18.88	n/a	n/a	870.00	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	WRNC	B	100	19.00	5-Sep	15-Sep	0.00	0.0

**Legend:**

**Blue:** Employee and Proprietary Trades.

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

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