



# Daily Compliance Activity Report

Trade Date: 11/08/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	249	AIG	B	60,000	68.70	n/a	n/a	3,000.00	5.0
HIGHBRIDGE CAPITAL	038	ALB	B	5,000	64.84	n/a	n/a	250.00	5.0
COUGAR TRADING	044	ANF	S	5,000	73.44	26-Oct	3-Nov	250.00	5.0
FRONTPOINT	044	APC	S	80,000	47.81	31-Aug	6-Nov	4,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	ARO	S	20,000	28.86	23-Oct	3-Nov	800.00	4.0
THE JAY GOLDMAN	034	ARO	S	40,000	28.86	23-Oct	3-Nov	1,600.00	4.0
TOKIO MARINE ASSET MGMT	044	BAC	S	8,000	54.37	19-Jul	20-Oct	400.00	5.0
BRIGHTPOINT CAP	067	BIG	S	5,000	21.34	16-Aug	3-Nov	250.00	5.0
BARROW HANLEY MEWHINNEY	031	BP	S	11,300	68.53	n/a	n/a	452.00	4.0
<b>WHEELER</b>	<b>008</b>	<b>BTN</b>	<b>B</b>	<b>11,500</b>	<b>4.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	040	CBT	S	2,000	42.33	2-Nov	2-Nov	440.00	22.0
MERRILL ASSET	032	CEI	B	22,500	19.40	n/a	n/a	1,125.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CENX</b>	<b>B</b>	<b>100</b>	<b>38.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>CENX</b>	<b>S</b>	<b>100</b>	<b>38.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	040	CENX	S	16,162	38.62	n/a	n/a	646.48	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CHS</b>	<b>S</b>	<b>200</b>	<b>21.58</b>	<b>2-Nov</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	CHS	S	30,000	22.01	2-Nov	3-Nov	1,500.00	5.0
BELMONT GLOBAL ADV	248	CLHB	S	10,000	41.14	n/a	n/a	500.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>CMP</b>	<b>S</b>	<b>600</b>	<b>32.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	COH	B	10,000	39.00	25-Oct	25-Oct	400.00	4.0
<b>BINDER</b>	<b>007</b>	<b>COSI</b>	<b>B</b>	<b>200</b>	<b>4.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PHILADELPHIA FINANCIAL	031	CS	B	20,000	64.16	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	D	S	100	80.71	n/a	n/a	5.00	5.0
MERRILL ASSET	032	DCP	S	25,000	10.76	n/a	n/a	1,250.00	5.0
ROYAL CAPITAL	039	DCP	B	35,520	10.74	n/a	n/a	1,776.00	5.0
WESLEY CAPITAL	246	DHI	S	60,000	21.98	n/a	n/a	2,400.00	4.0
HIGHBRIDGE CAPITAL	038	DOW	B	1,000	40.88	n/a	26-Oct	50.00	5.0
ALSON CAPITAL	039	DRI	B	50,000	41.53	28-Jun	31-Oct	2,500.00	5.0
BUCK CAPITAL MGMT	001	DSW	B	15,000	32.65	n/a	n/a	600.00	4.0
REINHART & MAHONEY	031	DVA	S	13,750	52.87	n/a	n/a	687.50	5.0
SPEARS GRISANTI & BROWN	048	EMMS	S	30,000	12.80	n/a	n/a	1,500.00	5.0
MARK	030	EQ	B	25,000	48.09	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	FBR	S	141,500	7.35	n/a	n/a	7,075.00	5.0
BUCK CAPITAL MGMT	001	FD	B	200,000	39.75	23-Oct	6-Nov	8,000.00	4.0
PILOT ADV	038	FD	B	125,000	40.32	23-Oct	6-Nov	5,000.00	4.0
BUCK CAPITAL MGMT	001	FDO	S	10,000	27.94	3-Nov	3-Nov	400.00	4.0
RBC CAPITAL MARKETS	034	FL	B	25,000	23.10	n/a	3-Nov	1,250.00	5.0
<b>BINDER</b>	<b>007</b>	<b>GLW</b>	<b>B</b>	<b>200</b>	<b>20.69</b>	<b>n/a</b>	<b>25-Oct</b>	<b>0.00</b>	<b>0.0</b>
FRONTPOINT	044	GM	B	200,000	34.72	n/a	n/a	10,000.00	5.0
YORK CAPITAL	036	GNW	B	375,000	32.44	n/a	n/a	18,750.00	5.0
BUCK CAPITAL MGMT	001	GPS	S	100,000	19.46	31-Jul	3-Nov	4,000.00	4.0
ROYCE TRADING	216	GY	B	10,000	12.85	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	HST	S	450	23.35	n/a	n/a	22.50	5.0
MORGAN LEWIS/MLH	046	IBM	B	15,000	92.74	n/a	n/a	750.00	5.0
<b>BINDER</b>	<b>007</b>	<b>INTC</b>	<b>B</b>	<b>180</b>	<b>20.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRON HORSE CAPITAL MGMT	038	JNC	S	20,000	51.36	n/a	2-Nov	1,000.00	5.0
KENNEDY CAPITAL	046	KBH	S	36,600	42.80	n/a	n/a	1,464.00	4.0
SUNOVA CAPITAL	031	LM	S	20,000	92.39	28-Jul	2-Nov	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EFSTATHIOU	044	LNCR	B	200	35.00	2-Nov	8-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	30.99	2-Nov	8-Nov	800.00	4.0
LUCHANSKY1	036	MA	S	100	88.46	n/a	n/a	0.00	0.0
SINCLAIR	031	MFB	B	200	21.31	n/a	n/a	0.00	0.0
KAICHER	064	NEXC	S	3,000	6.50	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	044	NVDA	S	34,000	34.29	n/a	n/a	1,700.00	5.0
AMBER CAPITAL	046	NWEC	B	67,662	35.67	n/a	n/a	3,383.10	5.0
THOMSON HORSTMAN BRYANT	040	NWY	B	30,000	13.22	n/a	3-Nov	1,500.00	5.0
PATTEN & PATTEN	067	NYT	S	400	24.39	n/a	n/a	20.00	5.0
REINHART & MAHONEY	031	PBG	B	48,045	32.58	n/a	n/a	2,402.25	5.0
CAPITAL GROWTH MGMT.	241	PCU	S	170,000	55.60	n/a	n/a	8,500.00	5.0
HIGHBRIDGE CAPITAL	038	PPG	B	1,000	67.45	n/a	19-Oct	50.00	5.0
HIGHBRIDGE CAPITAL	038	PPG	S	30,000	67.44	n/a	19-Oct	1,500.00	5.0
BUCK CAPITAL MGMT	001	RL	B	45,700	73.98	9-Nov	31-Oct	1,828.00	4.0
GALLEON MGMT LP	033	RL	S	10,000	74.00	9-Nov	31-Oct	500.00	5.0
AMBER CAPITAL	046	S	B	100,000	19.82	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>KAICHER</b>	<b>064</b>	<b>SNCR</b>	<b>S</b>	<b>1,000</b>	<b>12.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	SSCC	S	25,000	10.75	20-Oct	27-Oct	1,000.00	4.0
THE JAY GOLDMAN	034	SSCC	S	62,500	10.77	20-Oct	27-Oct	2,500.00	4.0
REINHART & MAHONEY	031	STZ	B	28,130	27.75	n/a	n/a	1,406.50	5.0
<b>KAICHER</b>	<b>064</b>	<b>SWN</b>	<b>S</b>	<b>1,000</b>	<b>36.40</b>	<b>7-Aug</b>	<b>24-Oct</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	TBL	B	150,000	29.95	19-Jul	27-Oct	6,000.00	4.0
<b>BINDER</b>	<b>007</b>	<b>TDF</b>	<b>S</b>	<b>320</b>	<b>23.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	TDY	B	12,420	39.81	n/a	n/a	621.00	5.0
<b>LATEFF MGMT</b>	<b>040</b>	<b>TEVA</b>	<b>B</b>	<b>2,000</b>	<b>32.86</b>	<b>8-Nov</b>	<b>8-Nov</b>	<b>400.00</b>	<b>20.0</b>
ROYCE TRADING	216	TG	S	10,000	18.21	n/a	n/a	500.00	5.0
CLOVIS CAPITAL	012	TIF	B	125,000	35.81	n/a	6-Oct	6,250.00	5.0
MORRISON & FRASIER	040	TLAB	B	151,800	11.33	n/a	22-Mar	7,590.00	5.0
<b>CRAMER ROSENTHAL/SCOTT</b>	<b>012</b>	<b>TRI</b>	<b>B</b>	<b>9,900</b>	<b>37.50</b>	<b>17-Oct</b>	<b>8-Nov</b>	<b>495.00</b>	<b>5.0</b>
BARROW HANLEY MEWHINNEY	031	UNH	B	32,600	47.76	n/a	n/a	1,304.00	4.0
SPEARS GRISANTI & BROWN	048	UTSI	S	67,600	9.62	n/a	n/a	3,380.00	5.0
PATTEN & PATTEN	067	VMC	S	150	84.98	n/a	n/a	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WHR	B	700	87.31	n/a	n/a	28.00	4.0
CRAMER ROSENTHAL/SCOTT	012	WTW	B	5,500	47.44	n/a	n/a	275.00	5.0
MARK	030	WU	B	25,000	22.29	n/a	n/a	750.00	3.0
CRAMER ROSENTHAL/SCOTT	012	WYN	B	7,500	29.90	n/a	n/a	375.00	5.0
BARROW HANLEY MEWHINNEY	031	XL	S	5,300	71.24	n/a	n/a	212.00	4.0
ASTE	040	ZQK	S	290	14.15	8-Sep	8-Sep	14.50	5.0
WEISS PECK	040	ZQK	S	59,210	14.15	8-Sep	8-Sep	2,960.50	5.0
<b>TOTAL :</b>								<b>150,595.83</b>	

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

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	MKT MAKER (MKT MAKER)	099	CMP	B	600	31.31	n/a	n/a	0.00	0.0
AO,CRT	LISTED ERR (LISTED ERR)	099	CMP	B	600	31.31	n/a	n/a	0.00	0.0
AO,	DURANGO INVESTMENTS (DURAMORGAN)	031	LAVA	S	20,000	9.09	n/a	n/a	600.00	3.0
AO,CXL	IMPALA ASSET MMT (IMPAGOLDMA)	012	RIO	B	250,200	26.95	n/a	n/a	10,008.00	4.0
AO,	IMPALA ASSET MMT (IMPAGOLDMA)	012	RIO	B	250,200	26.95	n/a	n/a	7,506.00	3.0

**Legend:**

Blue: Employee and Proprietary Trades.

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

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