



Daily Compliance Activity Report

Trade Date: 11/17/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	AEOS	B	10,000	47.50	15-Nov	15-Nov	500.00	5.0
COUGAR TRADING	044	AEOS	S	10,000	47.39	15-Nov	15-Nov	500.00	5.0
VARDON PARTNERS	035	AEOS	S	100,000	47.03	15-Nov	15-Nov	5,000.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	40,000	71.84	26-Oct	15-Nov	1,600.00	4.0
SINCLAIR	031	AOI	B	2,000	6.04	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARO	B	10,000	29.04	23-Oct	3-Nov	500.00	5.0
ANTEUS ASSOC.BAEL	065	AV	S	6	12.99	n/a	22-Mar	0.36	6.0
ANTEUS ASSOC.BAEL	065	AXA	S	37	38.30	n/a	n/a	2.22	6.0
AAD CAPITAL	099	BIG	B	80,000	21.84	16-Nov	16-Nov	3,200.00	4.0
ANTEUS ASSOC.BAEL	065	BMJ	S	455	24.69	n/a	n/a	27.30	6.0
ANTEUS ASSOC.BAEL	065	BOBE	S	144	33.96	n/a	n/a	8.64	6.0
ANTEUS ASSOC.BAEL	065	BUD	S	282	46.95	n/a	n/a	16.92	6.0
ANTEUS ASSOC.BAEL	065	CB	S	61	52.17	n/a	n/a	3.66	6.0
BARROW HANLEY MEWHINNEY	031	CBE	S	20,000	93.38	25-Oct	25-Oct	800.00	4.0
ZOLIDIS	011	CHS	S	100	24.47	2-Nov	3-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BELMONT GLOBAL ADV	248	CHS	S	20,000	24.51	2-Nov	3-Nov	1,000.00	5.0
ANTEUS ASSOC.BAEL	065	CMCSA	S	7	40.49	27-Jul	9-Nov	0.42	6.0
ANTEUS ASSOC.BAEL	065	CMVT	S	36	18.86	n/a	n/a	2.16	6.0
BUCK CAPITAL MGMT	001	COH	S	40,000	41.75	25-Oct	25-Oct	1,600.00	4.0
EGS ASSOCIATES LP	059	COH	S	3,000	41.25	25-Oct	25-Oct	180.00	6.0
ANTEUS ASSOC.BAEL	065	CPB	S	359	37.49	n/a	n/a	21.54	6.0
VARDON PARTNERS	035	CRI	B	10,000	28.15	n/a	n/a	500.00	5.0
JACOB	068	CROX	S	180	44.23	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	CSCO	S	80	26.96	n/a	22-Mar	4.80	6.0
HIGHBRIDGE CAPITAL	038	CZN	B	16,000	14.04	n/a	n/a	800.00	5.0
CUMBERLAND	038	DDS	S	25,000	35.82	n/a	n/a	1,000.00	4.0
ANTEUS ASSOC.BAEL	065	DGX	S	256	53.03	n/a	n/a	15.36	6.0
ANTEUS ASSOC.BAEL	065	DISCA	S	23	15.74	n/a	n/a	1.38	6.0
BUCK CAPITAL MGMT	001	DKS	S	20,000	55.50	n/a	n/a	800.00	4.0
ANTEUS ASSOC.BAEL	065	DLTR	S	233	31.34	27-Sep	3-Nov	13.98	6.0
ANTEUS ASSOC.BAEL	065	DOV	S	134	50.01	n/a	n/a	8.04	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAZAMA CAPITAL MGMT.	035	EVR	B	14,700	37.14	n/a	n/a	588.00	4.0
ANTEUS ASSOC.BAEL	065	FDO	S	117	28.32	3-Nov	3-Nov	7.02	6.0
ANTEUS ASSOC.BAEL	065	FHN	S	36	39.86	n/a	n/a	2.16	6.0
BUCK CAPITAL MGMT	001	FL	B	100,000	22.68	n/a	17-Nov	4,000.00	4.0
EGS ASSOCIATES LP	059	FL	S	4,000	22.52	n/a	17-Nov	240.00	6.0
IRON HORSE CAPITAL MGMT	038	FL	B	75,000	23.36	n/a	17-Nov	3,750.00	5.0
FARALLON CAP MGMT	040	FRK	B	4,200	43.25	n/a	n/a	168.00	4.0
ANTEUS ASSOC.BAEL	065	GE	S	254	36.22	n/a	n/a	15.24	6.0
VANDER MOOLEN	040	GE	S	5,000	36.25	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GES	S	10,000	62.85	n/a	n/a	400.00	4.0
MAZAMA CAPITAL MGMT.	035	GHS	S	78,900	20.37	n/a	n/a	3,156.00	4.0
ANTEUS ASSOC.BAEL	065	GLW	S	140	21.21	n/a	25-Oct	8.40	6.0
MS PRINCIPAL STRATEGIES	040	GOL	S	26,300	30.04	n/a	n/a	1,315.00	5.0
BRIGHTPOINT CAP	067	GYMB	S	7,000	44.27	21-Sep	16-Nov	350.00	5.0
ANTEUS ASSOC.BAEL	065	HBC	S	20	94.86	n/a	n/a	1.20	6.0
NEUBERGER BERMAN	238	HD	S	63,500	38.14	n/a	15-Nov	3,175.00	5.0
WHITTIER CAP	048	HOTT	S	15,580	12.62	n/a	16-Nov	779.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	HPQ	S	82	39.60	n/a	n/a	4.92	6.0
ANTEUS ASSOC.BAEL	065	IBM	S	50	93.55	n/a	n/a	3.00	6.0
ANTEUS ASSOC.BAEL	065	IFF	S	205	46.78	10-Nov	10-Nov	12.30	6.0
ANTEUS ASSOC.BAEL	065	INTV	S	150	6.64	n/a	n/a	9.00	6.0
ANTEUS ASSOC.BAEL	065	IPG	S	109	11.87	n/a	n/a	6.54	6.0
WHITE PINE CAPITAL	030	IWM	B	14,800	78.32	n/a	n/a	740.00	5.0
WHITE PINE CAPITAL	030	IWN	S	5,600	79.85	n/a	n/a	280.00	5.0
WHITE PINE CAPITAL	030	IWO	S	8,800	79.16	n/a	n/a	440.00	5.0
BUCK CAPITAL MGMT	001	JCP	S	10,000	80.39	9-Nov	10-Nov	400.00	4.0
BARON ASSET MGMT*	012	JNC	B	10,000	51.92	n/a	2-Nov	500.00	5.0
ANTEUS ASSOC.BAEL	065	JNJ	S	122	67.31	n/a	22-Apr	7.32	6.0
ANTEUS ASSOC.BAEL	065	KEY	S	54	36.84	n/a	n/a	3.24	6.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	73.13	9-Nov	10-Nov	800.00	4.0
HAYGROUND COE	039	KSS	S	25,000	73.19	9-Nov	10-Nov	0.00	0.0
SINCLAIR	031	KWK	S	500	37.92	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	LBTYA	S	9	27.38	n/a	n/a	0.54	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	LBTYK	S	9	26.34	n/a	n/a	0.54	6.0
ANTEUS ASSOC.BAEL	065	LCAPA	S	12	89.99	n/a	n/a	0.72	6.0
ANTEUS ASSOC.BAEL	065	LEG	S	106	24.26	n/a	n/a	6.36	6.0
ANTEUS ASSOC.BAEL	065	LINTA	S	58	22.93	n/a	n/a	3.48	6.0
ANTEUS ASSOC.BAEL	065	LLY	S	190	54.56	n/a	n/a	11.40	6.0
ANTEUS ASSOC.BAEL	065	LTD	S	115	30.85	2-Nov	16-Nov	6.90	6.0
ANTEUS ASSOC.BAEL	065	LU	S	72	2.59	n/a	22-Mar	4.32	6.0
ANTEUS ASSOC.BAEL	065	MCD	S	141	41.62	12-Oct	31-Oct	8.46	6.0
ANTEUS ASSOC.BAEL	065	MHS	S	48	49.28	n/a	n/a	2.88	6.0
ANTEUS ASSOC.BAEL	065	MNI	S	18	42.53	n/a	n/a	1.08	6.0
SUN AMERICA ASSET MGMT	030	MOT	B	133,300	22.48	n/a	n/a	6,665.00	5.0
ANTEUS ASSOC.BAEL	065	MRK	S	398	44.81	n/a	n/a	23.88	6.0
ANTEUS ASSOC.BAEL	065	MS	S	144	78.95	20-Sep	13-Nov	8.64	6.0
REINHART & MAHONEY	031	MTG	B	5,875	60.88	n/a	n/a	293.75	5.0
CHARTER OAK	037	MUR	S	66,251	48.86	n/a	n/a	3,312.55	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JANUS CAPITAL CORP	046	MUR	S	45,000	49.36	n/a	n/a	1,800.00	4.0
AAD CAPITAL	099	NKE	B	20,400	95.47	n/a	n/a	816.00	4.0
ANTEUS ASSOC.BAEL	065	NWL	S	59	29.13	n/a	n/a	3.54	6.0
WHITTIER CAP	048	OSI	S	9,540	39.45	6-Nov	6-Nov	477.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	10,000	51.83	n/a	n/a	400.00	4.0
ANTEUS ASSOC.BAEL	065	PBY	S	99	12.99	n/a	n/a	5.94	6.0
SAC TRADING HOWARD	038	PSUN	S	25,000	18.86	3-Aug	13-Nov	1,250.00	5.0
ADAGE CAPITAL MGMT	030	PVH	B	50,000	46.61	23-Oct	14-Nov	2,000.00	4.0
ASCEND PARTNERS	033	PVH	S	10,800	46.55	23-Oct	14-Nov	540.00	5.0
HIGHBRIDGE CAPITAL	038	Q	B	40,000	7.99	n/a	n/a	2,000.00	5.0
ANTEUS ASSOC.BAEL	065	QCOM	S	181	37.66	n/a	n/a	10.86	6.0
BLUE HARBOR	036	RDA	S	87,599	16.71	n/a	n/a	2,627.97	3.0
ANTEUS ASSOC.BAEL	065	RF	S	103	36.80	n/a	n/a	6.18	6.0
BUCK CAPITAL MGMT	001	RL	S	40,000	76.21	9-Nov	9-Nov	1,900.00	4.5
THIRD COAST CAPITAL	035	ROST	S	30,000	30.23	n/a	n/a	1,500.00	5.0
ANTEUS ASSOC.BAEL	065	SGP	S	29	21.77	n/a	n/a	1.74	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITTIER CAP	048	SIX	B	100,825	5.75	n/a	n/a	5,041.25	5.0
REICH AND TANG	037	SLR	B	130,000	3.46	n/a	n/a	2,600.00	2.0
ROXBURY CAPITAL MGMT	035	SSI	B	78,000	34.47	n/a	n/a	3,120.00	4.0
ANTEUS ASSOC.BAEL	065	STA	S	16	52.00	n/a	n/a	0.96	6.0
ANTEUS ASSOC.BAEL	065	TDY	S	31	40.96	n/a	n/a	1.86	6.0
SUN AMERICA ASSET MGMT	030	TIF	S	77,200	36.31	n/a	6-Oct	3,860.00	5.0
THIRD COAST CAPITAL	035	TJX	S	30,000	29.34	5-Oct	15-Nov	1,500.00	5.0
ANTEUS ASSOC.BAEL	065	TWB	S	8	41.30	5-Sep	16-Nov	0.48	6.0
BUCK CAPITAL MGMT	001	TWB	S	20,000	41.64	5-Sep	16-Nov	800.00	4.0
ANTEUS ASSOC.BAEL	065	TWX	S	329	20.44	n/a	n/a	19.74	6.0
ZOLIDIS	011	UARM	B	100	46.59	n/a	n/a	0.00	0.0
OGORMAN	146	UWOKW	S	5	0.90	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	VRGY	S	1	16.93	n/a	n/a	0.06	6.0
ANTEUS ASSOC.BAEL	065	WB	S	170	55.00	n/a	n/a	10.20	6.0
BULL PATH CAPITAL	044	WDR	S	27,500	25.59	1-Nov	2-Nov	1,375.00	5.0
BHMS	031	WHR	S	1,800	86.69	n/a	n/a	72.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	WHR	S	97,100	86.69	n/a	n/a	3,884.00	4.0
HIGHBRIDGE CAPITAL	038	WIN	B	18,000	13.66	n/a	n/a	900.00	5.0
ANTEUS ASSOC.BAEL	065	WNDXQ	S	103	0.06	n/a	n/a	6.18	6.0
GALLEON MGMT LP	033	WPI	S	50,000	25.17	7-Nov	16-Nov	2,500.00	5.0
ANTEUS ASSOC.BAEL	065	WTM	S	20	596.00	n/a	n/a	1.20	6.0
CASTLEROCK	040	X	B	27,101	68.24	n/a	n/a	1,084.04	4.0
ANTEUS ASSOC.BAEL	065	XL	S	25	72.15	n/a	n/a	1.50	6.0
ANTEUS ASSOC.BAEL	065	XOM	S	30	72.88	n/a	n/a	1.80	6.0
ANTEUS ASSOC.BAEL	065	ZMH	S	45	74.89	n/a	n/a	2.70	6.0
BUCK CAPITAL MGMT	001	ZQK	S	80,000	14.27	8-Sep	8-Sep	3,200.00	4.0
TOTAL (Trade Date):								95,190.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/16	DURANGO INVESTMENTS (DURAMORGAN)	031	CCU	S	17,000	35.39	n/a	n/a	510.00 3.0
AO,CXL	11/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	COH	B	40,000	42.23	25-Oct	25-Oct	1600.00 4.0
AO,CXL	11/16	WEISS PECK (PECKMS)	040	FL	B	18,740	24.00	n/a	17-Nov	937.00 5.0
AO,	11/16	WEISS PECK (PECKMS)	040	FL	B	18,740	24.00	n/a	17-Nov	749.60 4.0
AO,CXL	11/16	WEISS PECK (PECKARBBS)	040	FL	B	1,260	24.00	n/a	17-Nov	63.00 5.0
AO,	11/16	WEISS PECK (PECKARBBS)	040	FL	B	1,260	24.00	n/a	17-Nov	50.40 4.0
AO,	11/16	MKT MAKER (MKT MAKER)	099	KSWS	B	400	36.39	n/a	27-Oct	0.00 0.0
AO,	11/16	CASTLEROCK (CASTMERRIL)	040	NOV	S	8,600	60.17	n/a	n/a	344.00 4.0
AO,	11/16	CASTLEROCK (CASTABN AM)	040	NOV	S	15,300	60.17	n/a	n/a	612.00 4.0
AO,CXL	11/16	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	18,000	8.11	n/a	n/a	900.00 5.0
AO,	11/16	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	18,000	8.11	n/a	n/a	540.00 3.0
AO,CXL	11/16	RIDGECRST PARTNERS (RIDGNEUBER)	035	SMRT	S	3,000	15.12	n/a	n/a	150.00 5.0
AO,CXL	11/14	SCUDDER HEDGE (SCUFDEUTSC)	034	YRCW	S	25,000	40.60	n/a	n/a	1250.00 5.0
AO,	11/14	SCUDDER HEDGE (SCUFDEUTSC)	034	YRCW	S	25,000	40.60	n/a	n/a	1000.00 4.0
TOTAL (AO, CXL, CRT) :									-1,094.00	

TOTAL (Trade Date):	95,190.82
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TOTAL (RUN DATE) / NFS:

94,096.82

Legend:

Blue: Employee and Proprietary Trades.

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

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