



Daily Compliance Activity Report

Trade Date: 11/20/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	A	S	16	33.79	n/a	n/a	0.96	6.0
SUN AMERICA ASSET MGMT	030	AAPL	S	12,700	86.85	n/a	n/a	635.00	5.0
JOHN MCSTAY/BRAZOS CAP	031	ADS	S	25,900	63.60	n/a	n/a	1,295.00	5.0
ANTEUS ASSOC.BAEL	065	AFL	S	56	44.13	n/a	n/a	3.36	6.0
ANTEUS ASSOC.BAEL	065	AGR	S	2	17.97	n/a	n/a	0.12	6.0
AELTUS/ING IVESTMENT MGT	237	AIG	B	129,826	71.73	n/a	n/a	5,068.60	3.9
ANTEUS ASSOC.BAEL	065	AIG	S	36	71.92	n/a	n/a	2.16	6.0
SOMERSET ADV	044	AKS	B	30,000	15.12	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	228,000	70.83	26-Oct	15-Nov	9,120.00	4.0
COUGAR TRADING	044	ANF	S	5,000	70.83	26-Oct	15-Nov	250.00	5.0
CAPITAL GROWTH MGMT.	241	APH	B	8,000	67.67	n/a	n/a	400.00	5.0
THE JAY GOLDMAN	034	ARO	B	10,000	28.73	23-Oct	3-Nov	400.00	4.0
ANTEUS ASSOC.BAEL	065	ATI	S	108	79.88	n/a	n/a	6.48	6.0
COMMISSUM CAPITAL	067	AVZ	S	56,192	22.57	17-Nov	20-Nov	2,809.60	5.0
SONAR CAP MGMT	037	BIG	S	50,000	22.36	16-Nov	16-Nov	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	BONT	B	1,600	33.48	23-Oct	3-Nov	80.00	5.0
MCCARTAN	028	CALPINE CORPB		25,000	64.00	n/a	n/a	0.00	0.0
JOHN MCSTAY/BRAZOS CAP	031	CAM	S	24,300	52.53	n/a	n/a	1,215.00	5.0
XYLEM GLOBAL	024	CCK	B	10,000	20.23	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	CHS	S	30,000	23.90	2-Nov	3-Nov	1,200.00	4.0
JOHN MCSTAY/BRAZOS CAP	031	CLB	S	10,600	82.19	7-Aug	17-Nov	530.00	5.0
GALLEON MGMT LP	033	CMX	B	50,000	46.06	n/a	n/a	2,500.00	5.0
PORTER-ORLIN-FELDMAN	044	CMX	S	50,000	46.13	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	COH	S	60,000	42.00	25-Oct	25-Oct	2,400.00	4.0
JOHN MCSTAY/BRAZOS CAP	031	CVD	S	13,400	59.99	n/a	n/a	670.00	5.0
CAXTON PART	040	CXW	B	25,000	46.36	n/a	n/a	1,000.00	4.0
JOHN MCSTAY/BRAZOS CAP	031	CXW	S	20,500	46.19	n/a	n/a	1,025.00	5.0
HIGHBRIDGE CAPITAL	038	CZN	B	4,000	13.92	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	DKS	S	20,000	55.71	n/a	n/a	800.00	4.0
LEEDS	002	EDGR	B	5,000	3.30	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	EEM	B	9,000	106.98	n/a	n/a	450.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NICHOLAS ADVISORS	034	EFA	B	88,000	70.65	n/a	n/a	4,400.00	5.0
CROWLEY	061	EFT	B	260	18.25	n/a	n/a	0.00	0.0
LEDDY	035	EFT	B	600	18.28	n/a	n/a	0.00	0.0
MCCARTAN	028	GLW	S	100	20.86	n/a	25-Oct	0.00	0.0
THIRD COAST CAPITAL	035	GYMB	S	10,000	43.41	21-Sep	16-Nov	500.00	5.0
KERN	050	HC	B	1,000	19.07	27-Jul	17-Nov	0.00	0.0
GAULT	063	HC	B	1,000	19.00	27-Jul	17-Nov	0.00	0.0
REINHART & MAHONEY	031	HCC	S	80,605	30.06	n/a	n/a	4,030.25	5.0
CAXTON PART	040	HIG	S	10,000	88.20	n/a	n/a	400.00	4.0
BUCK	015	HSP	S	700	32.43	n/a	22-Apr	0.00	0.0
VIKING GLOBAL	030	IGT	B	100,000	44.97	n/a	8-Nov	5,000.00	5.0
BINDER	007	INTC	S	330	22.12	n/a	n/a	0.00	0.0
RIVER RUN MGMT	031	ITCD	B	5,600	2.30	n/a	n/a	168.00	3.0
GAULT	063	JWN	B	500	47.50	2-Nov	13-Nov	0.00	0.0
MCCARTAN	028	KEGS	S	350	14.68	7-Aug	14-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	90,000	72.93	9-Nov	10-Nov	3,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	LCC	B	50,000	60.07	n/a	n/a	2,500.00	5.0
COLONIAL FUND LLC	036	LMC	B	10,000	34.28	n/a	n/a	500.00	5.0
AELTUS/ING IVESTMENT MGT	237	MEL	B	94,205	40.38	13-Nov	14-Nov	3,541.26	3.9
ANTEUS ASSOC.BAEL	065	MMM	S	118	81.38	20-Oct	20-Oct	7.08	6.0
ANTEUS ASSOC.BAEL	065	MO	S	138	84.87	n/a	n/a	8.28	6.0
HIGHFIELDS CAP MGMT	039	MSFT	S	90,000	29.63	n/a	3-Apr	4,500.00	5.0
KORMAN	003	NDN	S	9,000	11.72	11-Aug	14-Nov	0.00	0.0
AAD CAPITAL	099	NKE	B	20,000	95.98	n/a	n/a	400.00	2.0
DAWSON SANBERG & CO	036	NUE	B	4,200	59.08	n/a	n/a	210.00	5.0
FARALLON CAP MGMT	040	NUE	B	200,000	59.07	n/a	n/a	8,000.00	4.0
CASTLEROCK	040	OSK	S	30,400	47.74	n/a	n/a	1,216.00	4.0
BUCK CAPITAL MGMT	001	OXM	S	10,000	51.96	n/a	n/a	400.00	4.0
COMMERCE BANK	046	PD	S	34,700	122.06	n/a	n/a	1,895.00	5.8
DAWSON SANBERG & CO	036	PPC	B	8,200	24.75	n/a	n/a	410.00	5.0
VARDON PARTNERS	035	PSUN	B	55,000	19.21	3-Aug	13-Nov	2,750.00	5.0
HIGHBRIDGE CAPITAL	038	Q	B	7,000	7.77	n/a	n/a	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	RVI	B	1,050	17.07	n/a	n/a	52.50	5.0
WHEELER	008	SCI	B	10,000	9.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	60,000	28.76	n/a	26-Oct	2,400.00	4.0
PORTER-ORLIN-FELDMAN	044	SPY	B	75,000	140.62	n/a	n/a	3,750.00	5.0
ANTEUS ASSOC.BAEL	065	T	S	3	33.23	20-Sep	20-Nov	0.18	6.0
ANTEUS ASSOC.BAEL	065	TFSM	S	12	8.00	n/a	n/a	0.72	6.0
KORMAN	003	TLB	S	3,000	25.60	2-Oct	16-Nov	0.00	0.0
SANDLER O'NEILL ASSET	031	TROW	B	30,000	45.20	13-Oct	2-Nov	1,500.00	5.0
WHEELER	008	TRPS	S	11,690	0.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TWB	S	80,000	41.44	5-Sep	16-Nov	3,200.00	4.0
HIGHFIELDS CAP MGMT	039	TWX	S	250,000	20.56	n/a	n/a	12,500.00	5.0
CAXTON PART	040	UCO	S	1,000	60.10	10-Oct	17-Nov	40.00	4.0
SUN AMERICA ASSET MGMT	030	VZ	B	79,800	35.00	17-Nov	20-Nov	3,990.00	5.0
VARDON PARTNERS	035	WAG	B	20,000	42.01	n/a	n/a	1,000.00	5.0
BUCK	015	WBS	S	500	48.82	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARROW HANLEY MEWHINNEY	031	WHR	S	41,500	86.43	n/a	n/a	1,660.00	4.0
HIGHBRIDGE CAPITAL	038	WIN	B	5,000	13.94	n/a	n/a	250.00	5.0
COUGAR TRADING	044	WMT	S	5,000	47.97	5-Oct	15-Nov	250.00	5.0
GALLEON MGMT LP	033	WRNC	S	23,000	25.65	2-Nov	2-Nov	1,150.00	5.0
VARDON PARTNERS	035	WTW	B	10,000	49.29	n/a	n/a	500.00	5.0
MCCARTAN	028	WY	S	100	63.62	20-Sep	27-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	X	B	8,700	73.40	n/a	n/a	348.00	4.0
DAWSON SANBERG & CO	036	X	B	4,600	74.46	n/a	n/a	230.00	5.0
MCCARTAN	028	XOHO	S	1,000	4.28	n/a	n/a	0.00	0.0
LISTED ERR	099	XOM	S	9	72.88	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								116,668.55	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	11/17	COUGAR TRADING (COUGPB MS)	044	AEOS	B	10,000	47.50	15-Nov	15-Nov	500.00	5.0
AO,	11/17	COUGAR TRADING (COUGPB MS)	044	AEOS	B	10,000	47.50	15-Nov	15-Nov	0.00	0.0
AO,CXL	11/17	COUGAR TRADING (COUGPB MS)	044	AEOS	S	10,000	47.39	15-Nov	15-Nov	500.00	5.0
AO,	11/17	COUGAR TRADING (COUGPB MS)	044	AEOS	S	10,000	47.39	15-Nov	15-Nov	0.00	0.0
AO,CXL	11/17	AAD CAPITAL (AADCS\$0.04)	099	BIG	B	80,000	21.84	16-Nov	16-Nov	3200.00	4.0
AO,	11/17	AAD CAPITAL (AADCS\$0.04)	099	BIG	B	80,000	21.84	16-Nov	16-Nov	1600.00	2.0
AO,	11/17	CENTURION PARTNERS (CENTGSCO)	249	BONT	B	8,000	33.90	23-Oct	3-Nov	400.00	5.0
AO,	11/17	GALLEON MGMT LP (GALLBOA.05)	033	CY	S	50,000	17.13	n/a	n/a	2500.00	5.0
AO,CXL	11/17	HAYGROUND COE (HAYGUBS)	039	KSS	S	1,650	73.19	9-Nov	10-Nov	0.00	0.0
AO,	11/17	HAYGROUND COE (HAYGUBS)	039	KSS	S	1,650	73.19	9-Nov	10-Nov	82.50	5.0
AO,CXL	11/17	HAYGROUND COE (HAYGFUND)	039	KSS	S	23,100	73.19	9-Nov	10-Nov	0.00	0.0
AO,	11/17	HAYGROUND COE (HAYGFUND)	039	KSS	S	23,100	73.19	9-Nov	10-Nov	1155.00	5.0
AO,CXL	11/17	HAYGROUND COE (HAYGBSFNY)	039	KSS	S	250	73.19	9-Nov	10-Nov	0.00	0.0
AO,	11/17	HAYGROUND COE (HAYGBSFNY)	039	KSS	S	250	73.19	9-Nov	10-Nov	12.50	5.0
AO,CXL	11/17	JANUS CAPITAL CORP (JANU102)	046	MUR	S	45,000	49.36	n/a	n/a	1800.00	4.0
AO,	11/17	JANUS CAPITAL CORP (JANU102)	046	MUR	S	75,000	49.36	n/a	n/a	3000.00	4.0
AO,CXL	11/17	AAD CAPITAL (AADCS\$0.04)	099	NKE	B	20,400	95.47	n/a	n/a	816.00	4.0
AO,	11/17	AAD CAPITAL (AADCS\$0.04)	099	NKE	B	20,400	95.47	n/a	n/a	408.00	2.0
AO,CXL	11/17	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	40,000	7.99	n/a	n/a	2000.00	5.0
AO,	11/17	HIGHBRIDGE CAPITAL (HIGBNEW)	038	Q	B	40,000	7.99	n/a	n/a	1200.00	3.0
AO,	11/17	LISTED ERR (LISTED ERR)	099	XOM	B	9	72.88	n/a	n/a	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/17	ANTEUS ASSOC.BAEL (ANTAELIZAB)	065	XOM	S	30	72.88	n/a	n/a	1.80 6.0
AO,	11/17	ANTEUS ASSOC.BAEL (ANTAELIZAB)	065	XOM	S	39	72.88	n/a	n/a	2.34 6.0
TOTAL (AO, CXL, CRT) :										1,542.54

TOTAL (Trade Date):								116,668.55		
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TOTAL (RUN DATE) / NFS:								118,211.09		

Legend:

Blue: Employee and Proprietary Trades.

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

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