



# Daily Compliance Activity Report

Trade Date: 10/20/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	AA	B	2,400	27.45	n/a	n/a	120.00	5.0
LEHMAN PROPRIETARY TRAD	039	ABFS	S	50,000	44.93	n/a	n/a	2,500.00	5.0
<b>BARR</b>	<b>096</b>	<b>ACLS</b>	<b>S</b>	<b>800</b>	<b>7.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BACKUS</b>	<b>005</b>	<b>AEOS</b>	<b>S</b>	<b>240</b>	<b>44.93</b>	<b>26-Sep</b>	<b>6-Oct</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	AMG	S	10,000	92.55	13-Oct	16-Oct	500.00	5.0
DG CAPITAL	039	AMGN	B	48,600	73.14	n/a	26-Jan	2,430.00	5.0
WELLS/STRONG LEDDY	035	ANH	S	16,300	8.98	n/a	n/a	652.00	4.0
TRUST CO/COWEN/CALF.	040	AVP	B	266,225	30.20	n/a	17-Oct	13,311.25	5.0
<b>DEEPHAVEN</b>	<b>031</b>	<b>AVZ</b>	<b>B</b>	<b>20,000</b>	<b>23.25</b>	<b>19-Oct</b>	<b>20-Oct</b>	<b>1,000.00</b>	<b>5.0</b>
<b>SYSTEMATIC FINANCIAL MGT</b>	<b>035</b>	<b>AVZ</b>	<b>B</b>	<b>160,000</b>	<b>23.27</b>	<b>19-Oct</b>	<b>20-Oct</b>	<b>6,400.00</b>	<b>4.0</b>
<b>ROSENBERG</b>	<b>034</b>	<b>BBW</b>	<b>S</b>	<b>600</b>	<b>26.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>DEMARTINI</b>	<b>065</b>	<b>BBW</b>	<b>S</b>	<b>1,000</b>	<b>26.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	BBW	B	10,000	26.45	n/a	n/a	400.00	4.0
<b>BACKUS</b>	<b>005</b>	<b>BBY</b>	<b>S</b>	<b>500</b>	<b>55.22</b>	<b>13-Jun</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	BBY	S	32,300	54.86	13-Jun	13-Sep	1,292.00	4.0
HIGHBRIDGE CAPITAL	038	BDK	B	4,500	83.36	n/a	n/a	225.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	BDK	S	43,930	83.69	n/a	n/a	2,196.50	5.0
MAGNETAR FINANCIAL	247	BGP	B	25,000	19.71	n/a	n/a	1,000.00	4.0
WELLS/STRONG LEDDY	035	BLT	S	2,300	11.52	n/a	n/a	92.00	4.0
<b>BACKUS</b>	<b>005</b>	<b>BLUE</b>	<b>S</b>	<b>2,000</b>	<b>3.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
XYLEM GLOBAL	024	BOW	S	30,000	21.60	11-Sep	17-Oct	1,500.00	5.0
BUCK CAPITAL MGMT	001	CBK	S	10,000	28.03	18-Sep	2-Oct	400.00	4.0
BANK OF NEW YORK	040	CENT	S	20,720	50.00	3-May	17-Oct	932.40	4.5
PHILADELPHIA FINANCIAL	031	CLMS	S	25,500	29.27	n/a	16-Oct	1,275.00	5.0
SANDLER O'NEILL ASSET	031	CLMS	B	10,000	29.16	n/a	16-Oct	500.00	5.0
LINCOLN FUNDS	031	CMG	B	2,000	53.95	n/a	11-Sep	80.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>CNET</b>	<b>S</b>	<b>300</b>	<b>8.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	CPB	B	30,000	36.76	n/a	n/a	1,500.00	5.0
SCOPUS FUND	039	CPKI	S	10,000	32.21	n/a	n/a	500.00	5.0
S.A.C. CAPITAL MGMT.	044	CRA	S	15,000	15.12	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	CZN	B	5,000	14.49	n/a	n/a	250.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>DBD</b>	<b>S</b>	<b>100</b>	<b>41.92</b>	<b>n/a</b>	<b>15-Sep</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	DDS	S	17,500	30.75	n/a	n/a	875.00	5.0
WEINTRAUB CAPITAL MGT.	040	DE	B	10,000	85.00	n/a	n/a	500.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>DFZ</b>	<b>B</b>	<b>800</b>	<b>7.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	DG	B	2,300	13.88	21-Aug	13-Oct	115.00	5.0
CASTLEROCK	040	DSL	B	22,059	66.93	n/a	n/a	882.36	4.0
<b>HIGHBRIDGE CAPITAL</b>	<b>038</b>	<b>ECL</b>	<b>B</b>	<b>6,000</b>	<b>45.24</b>	<b>n/a</b>	<b>20-Oct</b>	<b>300.00</b>	<b>5.0</b>
<b>BACKUS</b>	<b>005</b>	<b>EFT</b>	<b>B</b>	<b>5,000</b>	<b>18.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	ENR	B	18,100	77.02	n/a	n/a	905.00	5.0
ENTRUST CAPITAL	040	ETN	S	20,000	72.06	16-Oct	16-Oct	1,000.00	5.0
DSG CAPITAL	225	EV	S	13,300	29.76	6-Oct	16-Oct	665.00	5.0
MAZAMA CAPITAL MGMT.	035	EVR	B	19,500	34.92	n/a	n/a	780.00	4.0
PATTEN & PATTEN	067	FDO	S	750	29.96	n/a	13-Oct	37.50	5.0
ASCEND PARTNERS	033	FII	S	15,000	33.81	2-May	18-Oct	750.00	5.0
BUCK CAPITAL MGMT	001	FL	S	250,000	22.97	n/a	18-Aug	10,000.00	4.0
DENVER INST. ADV	046	FRX	S	68,700	51.53	17-Oct	18-Oct	3,435.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WELLS/STRONG LEDDY	035	FVE	S	5,700	10.35	n/a	n/a	228.00	4.0
FORD FDN.	032	GE	S	50,000	35.50	n/a	n/a	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	GENZ	B	10,000	69.19	n/a	n/a	500.00	5.0
FARALLON CAP MGMT	040	HET	B	135,000	73.99	3-Oct	3-Oct	5,400.00	4.0
<b>BACKUS</b>	<b>005</b>	<b>ICON</b>	<b>S</b>	<b>1,000</b>	<b>18.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>IOM</b>	<b>B</b>	<b>2,900</b>	<b>3.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>IOM</b>	<b>B</b>	<b>2,000</b>	<b>3.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST INV MGMT CORP	036	ISIL	B	6,500	24.80	n/a	n/a	325.00	5.0
<b>HASAN</b>	<b>010</b>	<b>ITCD</b>	<b>S</b>	<b>15,900</b>	<b>2.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARON ASSET MGMT*	012	JNC	B	15,000	48.04	n/a	18-Oct	750.00	5.0
<b>DSG CAPITAL</b>	<b>225</b>	<b>KEGS</b>	<b>B</b>	<b>30,000</b>	<b>14.59</b>	<b>7-Aug</b>	<b>20-Oct</b>	<b>1,500.00</b>	<b>5.0</b>
<b>BINDER</b>	<b>007</b>	<b>KR</b>	<b>S</b>	<b>200</b>	<b>21.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WYCKOFF</b>	<b>013</b>	<b>KUL</b>	<b>S</b>	<b>1,000</b>	<b>0.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FARALLON CAP MGMT	040	LCC	B	100,000	50.01	n/a	n/a	4,000.00	4.0
FIRST INV MGMT CORP	036	LEG	B	10,000	23.40	n/a	n/a	500.00	5.0
KINGD POINT PARTNERS	067	LM	S	10,000	86.64	28-Jul	18-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST INV MGMT CORP	036	MDY	S	22,500	142.22	n/a	n/a	1,125.00	5.0
HIGHBRIDGE CAPITAL	038	MHK	B	4,500	75.04	n/a	n/a	225.00	5.0
<b>PATTEN &amp; PATTEN</b>	<b>067</b>	<b>MMM</b>	<b>S</b>	<b>900</b>	<b>78.57</b>	<b>20-Oct</b>	<b>20-Oct</b>	<b>45.00</b>	<b>5.0</b>
BUCK CAPITAL MGMT	001	OXM	S	10,000	51.69	n/a	n/a	400.00	4.0
COHE & STEERS	024	PCL	B	104,100	35.33	n/a	17-Oct	5,205.00	5.0
WELLS/STRONG LEDDY	035	PGI	S	11,400	7.93	n/a	n/a	456.00	4.0
PATTEN & PATTEN	067	PHO	B	1,300	17.81	n/a	n/a	65.00	5.0
PATTEN & PATTEN	067	PRU	S	820	77.30	n/a	n/a	41.00	5.0
HIGHBRIDGE CAPITAL	038	ROH	B	5,000	51.59	13-Oct	19-Oct	250.00	5.0
WELLS/STRONG LEDDY	035	RUS	S	3,000	15.81	n/a	n/a	120.00	4.0
WELLS/STRONG LEDDY	035	RVI	S	4,300	16.82	n/a	n/a	172.00	4.0
OPTIMUM INV ADV	030	SHPGY	S	27,200	54.35	8-Oct	18-Oct	1,088.00	4.0
PATTEN & PATTEN	067	SNE	B	4,330	40.07	n/a	n/a	216.50	5.0
HIGHBRIDGE CAPITAL	038	SPY	B	1,000	136.58	n/a	n/a	50.00	5.0
S.A.C. CAPITAL MGMT.	044	STXS	B	4,687	12.00	n/a	n/a	234.35	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	SWK	B	6,000	50.83	n/a	n/a	300.00	5.0
<b>BINDER</b>	<b>007</b>	<b>SWY</b>	<b>S</b>	<b>200</b>	<b>28.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	TBL	S	30,000	29.07	19-Jul	5-Oct	1,200.00	4.0
PATTEN & PATTEN	067	TJX	S	12,200	29.17	5-Oct	6-Oct	610.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TJX	B	75,000	29.26	5-Oct	6-Oct	3,000.00	4.0
FRIESS MGMT	042	TLB	B	420,900	28.86	2-Oct	18-Oct	18,940.50	4.5
<b>BACKUS</b>	<b>005</b>	<b>TMM</b>	<b>S</b>	<b>5,000</b>	<b>2.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HASAN</b>	<b>010</b>	<b>TRMP</b>	<b>B</b>	<b>1,000</b>	<b>19.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	TSM	S	100,000	9.69	n/a	n/a	4,000.00	4.0
XYLEM GLOBAL	024	TWP	S	10,000	25.42	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	TXT	B	1,400	90.83	n/a	n/a	70.00	5.0
WHITE PINE CAPITAL	030	UARM	S	700	46.27	n/a	n/a	35.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>WEDX</b>	<b>B</b>	<b>1,900</b>	<b>1.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAWSON SANBERG & CO	036	WFT	S	40,500	41.23	n/a	n/a	2,025.00	5.0
HIGHBRIDGE CAPITAL	038	WFT	S	45,975	41.05	n/a	n/a	2,298.75	5.0
PATTEN & PATTEN	067	WLP	S	140	78.20	n/a	n/a	7.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC TRADING HOWARD	038	WMT	S	25,000	49.29	5-Oct	6-Oct	1,250.00	5.0
SARAS CAPITAL	038	WMT	B	62,800	49.28	5-Oct	6-Oct	3,140.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>WMUAN</b>	<b>S</b>	<b>10</b>	<b>12.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>PHILADELPHIA FINANCIAL</b>	<b>031</b>	<b>WPL</b>	<b>S</b>	<b>20,000</b>	<b>13.03</b>	<b>20-Oct</b>	<b>20-Oct</b>	<b>1,000.00</b>	<b>5.0</b>
<b>SUNOVA CAPITAL</b>	<b>031</b>	<b>WPL</b>	<b>S</b>	<b>50,000</b>	<b>13.15</b>	<b>20-Oct</b>	<b>20-Oct</b>	<b>2,500.00</b>	<b>5.0</b>
GENERAL ELECTIC CO	033	XLNX	S	97,000	25.55	n/a	n/a	4,365.00	4.5
<b>KAZMI</b>	<b>010</b>	<b>XOHO</b>	<b>B</b>	<b>1,500</b>	<b>3.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HASAN</b>	<b>010</b>	<b>XOHO</b>	<b>B</b>	<b>10,000</b>	<b>3.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BINDER</b>	<b>007</b>	<b>XOHO</b>	<b>B</b>	<b>2,000</b>	<b>3.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>XOHO</b>	<b>B</b>	<b>1,000</b>	<b>3.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>XOHO</b>	<b>B</b>	<b>500</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL:</b>							<b>131,188.11</b>		

### Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	UBS O'CONNOR/TOM LEDDY (UBSTGSPB)	035	ANF	S	13,900	76.05	31-Aug	6-Oct	695.00	5.0
AO,CXL	UBS OCONNOR (UBSOGOLDMA)	031	ANF	S	13,900	76.05	31-Aug	6-Oct	695.00	5.0
AO,	CENTURION PARTNERS (CENTGSCO)	244	BAC	B	15,000	53.39	19-Jul	20-Oct	750.00	5.0
AO,CXL	CENTURION PARTNERS (CENTBSPT)	244	BAC	B	15,000	53.39	19-Jul	20-Oct	750.00	5.0
AO,CRT	JACOB (JACOB)	068	COST	S	200	53.80	n/a	13-Oct	0.00	0.0
AO,CXL	JACOB (JACOB)	068	COST	S	200	53.80	n/a	13-Oct	0.00	0.0
AO,	UBS OCONNOR (UBSOWARBUR)	031	COST	S	20,000	52.04	n/a	13-Oct	1,000.00	5.0
AO,CXL	UBS OCONNOR (UBSOCREDIT)	031	COST	S	20,000	52.04	n/a	13-Oct	1,000.00	5.0
AO,	ENTRUST CAPITAL (ENTRBANC O)	040	EYE	S	21,400	40.96	n/a	n/a	1,070.00	5.0
AO,	ENTRUST CAPITAL (ENTRNEUBER)	040	EYE	S	20,600	40.96	n/a	n/a	1,030.00	5.0
AO,CXL	SOROS (SOROGOLDMA)	036	HD	S	135,000	35.98	n/a	16-Aug	6,750.00	5.0
AO,	SOROS (SOROGOLDMA)	036	HD	S	135,000	35.98	n/a	16-Aug	5,400.00	4.0
AO,CRT	MKT MAKER (MKT MAKER)	099	HOTT	S	100	10.78	n/a	6-Oct	0.00	0.0
AO,	S.A.C. CAPITAL MGMT. (SACCNEW)	044	STXS	B	5,342	12.00	n/a	n/a	267.10	5.0
AO,CXL	SAC TRADING/BILLY (SACBMORGAN)	063	STXS	B	5,342	12.00	n/a	n/a	267.10	5.0
AO,	TRIBECA/DOUG (TRIDMS)	040	WM	B	35,000	44.30	n/a	n/a	1,400.00	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.