



Daily Compliance Activity Report

Trade Date: 11/13/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	ALB	B	6,000	67.09	n/a	n/a	0.00	0.0
LISTED ERR	099	ALB	S	6,000	67.04	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	ALB	B	13,700	67.15	n/a	n/a	685.00	5.0
JOHN MCSTAY/BRAZOS CAP	031	ANN	S	71,600	39.59	6-Jul	13-Nov	3,580.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	28.37	23-Oct	3-Nov	1,200.00	4.0
KACELA CAPITAL	034	ARO	S	8,000	28.01	23-Oct	3-Nov	320.00	4.0
GOLDMAN SACHS ASSET MGMT	044	ATVI	S	40,000	16.52	n/a	n/a	800.00	2.0
SANDLER O'NEILL ASSET	031	BEN	B	10,000	107.26	8-Nov	9-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	BID	B	20,000	31.53	n/a	n/a	800.00	4.0
BRIGHTPOINT CAP	067	BIG	S	5,000	21.53	16-Aug	3-Nov	250.00	5.0
COLONIAL FUND LLC	036	BONT	B	25,000	34.73	23-Oct	3-Nov	1,250.00	5.0
BELMONT GLOBAL ADV	248	CAB	B	1,500	24.70	n/a	n/a	75.00	5.0
BUCK CAPITAL MGMT	001	CLE	B	40,000	27.75	2-Nov	13-Nov	1,600.00	4.0
SAXON WOODS ADVISORS	038	COH	S	10,000	39.32	25-Oct	25-Oct	500.00	5.0
ARTISAN PARTNERS LP	031	CRI	B	42,300	26.96	n/a	n/a	2,115.00	5.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	27.06	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STERLING JOHNSTON	035	CRI	B	44,000	26.96	n/a	n/a	2,200.00	5.0
HIGHBRIDGE CAPITAL	038	CZN	B	6,000	13.95	n/a	n/a	300.00	5.0
KACELA CAPITAL	034	DLIA	B	12,200	9.68	n/a	n/a	488.00	4.0
HIGHBRIDGE CAPITAL	038	DOW	B	14,000	41.07	n/a	26-Oct	700.00	5.0
COLONIAL FUND LLC	036	DSW	B	25,000	33.83	n/a	n/a	1,250.00	5.0
MERRILL ASSET	032	FBR	S	446,650	7.27	n/a	n/a	22,332.50	5.0
BRENCOURT	028	FD	B	75,000	41.10	9-Nov	9-Nov	3,750.00	5.0
BUCK CAPITAL MGMT	001	FD	B	50,000	41.29	9-Nov	9-Nov	2,000.00	4.0
KACELA CAPITAL	034	FD	B	20,000	40.98	9-Nov	9-Nov	800.00	4.0
PRINCIPLE CAPITAL	040	FD	B	65,300	41.13	9-Nov	9-Nov	3,265.00	5.0
SENTINAL CAPITAL	067	FD	S	15,000	41.02	9-Nov	9-Nov	750.00	5.0
KACELA CAPITAL	034	FOSL	B	15,000	21.99	12-Aug	9-Nov	600.00	4.0
TROUBH PART	067	FOSL	S	15,000	21.74	12-Aug	9-Nov	750.00	5.0
ELM RIDGE ADVISORS	044	GES	B	132,865	63.99	n/a	n/a	5,314.60	4.0
MS PRINCIPAL STRATEGIES	040	GOL	S	17,700	28.90	n/a	n/a	885.00	5.0
XYLEM GLOBAL	024	IP	S	15,000	32.36	n/a	3-Nov	750.00	5.0
CENTURION PARTNERS	249	JCP	B	5,000	79.62	9-Nov	10-Nov	250.00	5.0
T. ROWE PRICE	033	LEH	B	64,200	73.36	n/a	13-Nov	2,568.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	033	LNCR	B	2,000	35.05	2-Nov	8-Nov	80.00	4.0
SCHEINER	030	LPTI	S	15,000	0.03	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	LTD	B	5,000	31.71	2-Nov	13-Nov	250.00	5.0
BELMONT GLOBAL ADV	248	MTRX	S	5,000	15.10	n/a	n/a	250.00	5.0
BLACKROCK/BOSTON	037	MWA	S	66,000	13.31	n/a	n/a	2,640.00	4.0
SANDELL ADV	040	NTLI	B	100,000	25.13	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	OXM	S	5,000	51.38	n/a	n/a	200.00	4.0
GALLEON MGMT LP	033	PEIX	S	20,000	16.99	n/a	n/a	1,000.00	5.0
HIGHBRIDGE CAPITAL	038	PPG	B	9,000	68.11	n/a	19-Oct	450.00	5.0
HIGHBRIDGE CAPITAL	038	Q	B	10,000	8.22	n/a	n/a	500.00	5.0
KACELA CAPITAL	034	ROST	S	11,900	31.09	n/a	n/a	476.00	4.0
COLONIAL FUND LLC	036	RVI	B	25,000	16.73	n/a	n/a	1,250.00	5.0
AMBER CAPITAL	046	SCHW	S	25,000	18.36	n/a	n/a	1,000.00	4.0
ZOLIDIS	011	SHOE	S	500	7.78	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	SKS	B	20,000	20.25	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DOWNTOWN ASSOC	033	SPY	B	300,000	138.85	n/a	n/a	10,500.00	3.5
SCOPUS FUND	039	TIN	B	50,000	39.30	8-Nov	27-Oct	2,500.00	5.0
RANGER	031	TWB	S	20,350	43.15	5-Sep	10-Nov	1,017.50	5.0
SOMERSET ADV	044	TWI	B	16,500	17.92	n/a	n/a	825.00	5.0
HIGHFIELDS CAP MGMT	039	TXN	S	40,000	28.98	n/a	n/a	2,000.00	5.0
COUGAR TRADING	044	URBN	S	10,000	21.76	5-Oct	10-Nov	500.00	5.0
KACELA CAPITAL	034	URBN	B	12,000	21.71	5-Oct	10-Nov	480.00	4.0
REICH AND TANG	037	VSH	B	25,000	12.95	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	5,000	13.73	n/a	n/a	250.00	5.0
CROWLEY	061	WLV	S	4,000	1.22	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	WSM	B	25,000	34.08	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	100,000	14.51	8-Sep	8-Sep	4,000.00	4.0
TOTAL :								99,646.60	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	MS PRINCIPAL STRATEGIES (MSPSMS\$.05)	040	CENX	S	16,162	38.62	n/a	n/a	646.48	4.0
AO,	MS PRINCIPAL STRATEGIES (MSPSMS\$.05)	040	CENX	S	16,162	38.62	n/a	n/a	808.10	5.0
AO,CXL	LINCOLN FUNDS (LINCBANC O)	031	HRS	B	5,000	41.93	7-Nov	7-Nov	250.00	5.0
AO,	LINCOLN FUNDS (LINCBANC O)	031	HRS	B	5,000	41.93	7-Nov	7-Nov	150.00	3.0
AO,CXL	VIKING GLOBAL (VIKIUBSPW)	030	KSS	S	65,000	72.12	9-Nov	10-Nov	3,250.00	5.0
AO,	VIKING GLOBAL (VIKISALOMO)	030	KSS	S	65,000	72.12	9-Nov	10-Nov	3,250.00	5.0
AO,	FRANKLIN FUND OF CALIFOR (FFCA10535)	033	MRK	S	800	43.02	n/a	n/a	40.00	5.0
AO,	FRANKLIN FUND OF CALIFOR (FFCA10264)	033	MRK	S	1,600	43.02	n/a	n/a	80.00	5.0
AO,	FRANKLIN FUND OF CALIFOR (FFCA4309)	033	MRK	S	534,600	43.02	n/a	n/a	26,730.00	5.0
AO,	FRANKLIN FUND OF CALIFOR (FFCA4988)	033	MRK	S	600	43.02	n/a	n/a	30.00	5.0
AO,	FRANKLIN FUND OF CALIFOR (FFCA4873)	033	MRK	S	600	43.02	n/a	n/a	30.00	5.0
AO,	FRANKLIN FUND OF CALIFOR (FFCA4545)	033	MRK	S	1,400	43.02	n/a	n/a	70.00	5.0
AO,	FRANKLIN FUND OF CALIFOR (FFCA931)	033	MRK	S	2,400	43.02	n/a	n/a	120.00	5.0
AO,	FRANKLIN FUND OF CALIFOR (FFCA10518)	033	MRK	S	4,200	43.02	n/a	n/a	210.00	5.0
AO,	FRANKLIN FUNDS N J (FFNJ4843)	033	MRK	S	26,800	43.02	n/a	n/a	1,340.00	5.0
AO,	FRANKLIN FUNDS N J (FFNJ4910)	033	MRK	S	19,000	43.02	n/a	n/a	950.00	5.0
AO,	FRANKLIN FUNDS N J (FFNJ4807)	033	MRK	S	600	43.02	n/a	n/a	30.00	5.0
AO,	FRANKLIN FUNDS N J (FFNJ4800)	033	MRK	S	2,400	43.02	n/a	n/a	120.00	5.0
AO,CXL	CIRCLE T PART (CIRCMAN)	035	NDN	B	20,000	11.88	11-Aug	3-Nov	1,000.00	5.0
AO,	CIRCLE T PART (CIRCMAN)	035	NDN	B	20,000	11.88	11-Aug	3-Nov	800.00	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.