



Daily Compliance Activity Report

Trade Date: 11/30/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	A	S	32	32.05	n/a	n/a	1.60	5.0
WHITE PINE CAPITAL	030	AAP	B	500	35.54	n/a	n/a	25.00	5.0
MORGAN BANK /JPM	012	ABK	S	7,467	85.64	n/a	n/a	149.34	2.0
LISTED ERR	099	ABT	B	1,000	46.60	n/a	22-Apr	0.00	0.0
LISTED ERR	099	ABT	S	1,000	46.69	n/a	22-Apr	0.00	0.0
ANTEUS ASSOC.BAEL	065	ABT	S	100	46.97	n/a	22-Apr	5.00	5.0
MORGAN BANK /JPM	012	ABT	S	15,083	46.66	n/a	22-Apr	301.66	2.0
WHITE PINE CAPITAL	030	ABT	B	1,000	46.54	n/a	22-Apr	50.00	5.0
ANTEUS ASSOC.BAEL	065	ADCT	S	168	13.69	n/a	n/a	8.40	5.0
WHITE PINE CAPITAL	030	ADCT	B	1,000	13.83	n/a	n/a	50.00	5.0
ANTEUS ASSOC.BAEL	065	ADP	S	104	48.58	n/a	n/a	5.20	5.0
EGS ASSOCIATES LP	059	AEOS	B	8,500	45.27	15-Nov	28-Nov	510.00	6.0
KACELA CAPITAL	034	AEOS	S	20,000	45.50	15-Nov	28-Nov	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	AEOS	B	12,500	44.95	15-Nov	28-Nov	375.00	3.0
ROBERTSON STEVENS BC	033	AEOS	S	35,000	45.12	15-Nov	28-Nov	1,400.00	4.0
STANDARD PACIFIC CAPITAL	040	AEOS	S	242,000	45.24	15-Nov	28-Nov	12,100.00	5.0
ANTEUS ASSOC.BAEL	065	AES	S	712	23.27	n/a	n/a	35.60	5.0
ROYCE TRADING	216	AG	S	5,000	31.25	n/a	n/a	250.00	5.0
ANTEUS ASSOC.BAEL	065	AGR	S	4	17.58	n/a	n/a	0.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	AIG	S	1,764	70.19	n/a	n/a	88.20	5.0
WHITE PINE CAPITAL	030	AIG	B	1,500	70.12	n/a	n/a	75.00	5.0
MORGAN BANK /JPM	012	AIV	S	6,500	57.64	n/a	n/a	130.00	2.0
WHITE PINE CAPITAL	030	ALL	B	800	63.36	n/a	n/a	40.00	5.0
FARALLON CAP MGMT	040	ALO	B	150,000	21.98	n/a	n/a	6,000.00	4.0
MORGAN BANK /JPM	012	AMGN	S	7,595	71.00	n/a	26-Jan	151.90	2.0
ANTEUS ASSOC.BAEL	065	AMP	S	20	53.24	n/a	n/a	1.00	5.0
RIVER RUN MGMT	031	AMRN	S	2,100	2.40	n/a	n/a	63.00	3.0
BUCK CAPITAL MGMT	001	ANF	B	551,600	67.03	26-Oct	28-Nov	22,064.00	4.0
CENTURION PARTNERS	249	ANF	B	10,000	67.51	26-Oct	28-Nov	500.00	5.0
COUGAR TRADING	044	ANF	B	5,000	67.62	26-Oct	28-Nov	250.00	5.0
FIRST NEW YORK LEDDY	035	ANN	B	25,000	34.02	6-Jul	28-Nov	1,500.00	6.0
MORGAN BANK /JPM	012	APA	S	5,430	69.93	7-Aug	22-Nov	108.60	2.0
WHITE PINE CAPITAL	030	APA	B	500	69.97	7-Aug	22-Nov	25.00	5.0
WHITE PINE CAPITAL	030	APD	B	300	69.12	n/a	25-Oct	15.00	5.0
COUGAR TRADING	044	ARO	B	5,000	30.59	23-Oct	30-Nov	250.00	5.0
THIRD COAST CAPITAL	035	ARO	S	45,000	30.31	23-Oct	30-Nov	2,250.00	5.0
BALYASNY ASSET MGMT	044	ASD	S	10,000	45.07	2-Oct	9-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ANTEUS ASSOC.BAEL	065	AT	S	148	56.43	n/a	n/a	7.40	5.0
ANTEUS ASSOC.BAEL	065	AV	S	12	12.62	n/a	22-Mar	0.60	5.0
MAGUIRE	090	AVGN	S	5,000	6.21	n/a	n/a	0.00	0.0
BARR	096	AVGN	S	5,600	6.30	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	012	AVZ	S	14,200	21.58	17-Nov	28-Nov	710.00	5.0
ANTEUS ASSOC.BAEL	065	AXA	S	92	38.26	n/a	n/a	4.60	5.0
ANTEUS ASSOC.BAEL	065	AXP	S	96	58.77	n/a	n/a	4.80	5.0
ANTEUS ASSOC.BAEL	065	BAC	S	492	54.02	19-Jul	20-Nov	0.00	0.0
WYPER CAPITAL	044	BBBY	S	17,687	38.62	n/a	n/a	707.48	4.0
MORRISON & FRASIER	040	BBW	S	48,900	30.49	n/a	n/a	2,445.00	5.0
LISTED ERR	099	BBY	B	17,687	54.27	13-Jun	13-Sep	0.00	0.0
LISTED ERR	099	BBY	S	17,687	54.19	13-Jun	13-Sep	0.00	0.0
VISIUM/BALY HOWARD	038	BG	S	7,500	70.00	n/a	n/a	375.00	5.0
BRIGHTPOINT CAP	067	BIG	S	6,000	22.25	16-Nov	27-Nov	300.00	5.0
PATTEN & PATTEN	067	BK	B	600	35.41	n/a	13-Nov	30.00	5.0
VISIUM/BALY HOWARD	038	BKS	S	40,000	40.02	n/a	n/a	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	BONT	B	500	36.67	23-Oct	30-Nov	25.00	5.0
IRONBOUND CAPITAL	012	BOW	S	10,000	21.95	10-Oct	27-Oct	500.00	5.0
ANTEUS ASSOC.BAEL	065	BP	S	1,740	68.05	n/a	n/a	87.00	5.0
ANTEUS ASSOC.BAEL	065	BRKB	S	43,525.00		n/a	n/a	0.20	5.0
ANTEUS ASSOC.BAEL	065	C	S	144	49.86	n/a	13-Nov	7.20	5.0
MORGAN BANK /JPM	012	C	S	19,011	49.59	n/a	13-Nov	380.22	2.0
PATTEN & PATTEN	067	C	S	300	49.60	n/a	13-Nov	15.00	5.0
AAD CAPITAL	099	CHS	B	50,000	23.74	28-Nov	29-Nov	1,000.00	2.0
COUGAR TRADING	044	CHS	S	5,000	23.66	28-Nov	29-Nov	250.00	5.0
MORGAN BANK /JPM	012	CIT	S	7,421	52.01	n/a	n/a	148.42	2.0
ANTEUS ASSOC.BAEL	065	CL	S	164	65.35	25-Oct	26-Oct	8.20	5.0
FARBER/WEISS PECK	012	CLE	B	68,000	31.26	2-Nov	28-Nov	3,400.00	5.0
NCM CAPITAL MGMT	035	CLF	S	24,900	48.14	n/a	n/a	1,245.00	5.0
ANTEUS ASSOC.BAEL	065	CMCSA	S	56	40.11	27-Jul	29-Nov	2.80	5.0
CAPITAL GROWTH MGMT.	241	CME	B	2,000	533.18	n/a	13-Nov	100.00	5.0
ANTEUS ASSOC.BAEL	065	COF	S	664	77.80	n/a	n/a	33.20	5.0
BUCK CAPITAL MGMT	001	COH	S	5,000	43.02	25-Oct	25-Oct	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	CPB	S	516	37.64	n/a	n/a	25.80	5.0
BUCK CAPITAL MGMT	001	CRI	B	10,000	27.54	n/a	n/a	400.00	4.0
ANTEUS ASSOC.BAEL	065	CSCO	S	432	27.03	n/a	22-Mar	21.60	5.0
MORGAN BANK /JPM	012	CVX	S	9,745	72.32	n/a	n/a	194.90	2.0
HIGHBRIDGE CAPITAL	038	CZN	B	28,000	14.19	n/a	n/a	1,400.00	5.0
ANTEUS ASSOC.BAEL	065	DD	S	1,128	48.02	n/a	30-Nov	56.40	5.0
THE JAY GOLDMAN	034	DDS	B	22,500	35.30	n/a	n/a	900.00	4.0
ANTEUS ASSOC.BAEL	065	DIS	S	192	32.99	n/a	n/a	9.60	5.0
KACELA CAPITAL	034	DLIA	B	5,000	9.31	n/a	n/a	200.00	4.0
WALKER SMITH	031	DSW	S	20,000	38.00	n/a	n/a	1,000.00	5.0
MORGAN BANK /JPM	012	DVN	S	6,815	73.37	30-Nov	22-Nov	136.30	2.0
MORGAN LEWIS/MLH	046	ENR	B	5,000	66.36	n/a	n/a	250.00	5.0
ANTEUS ASSOC.BAEL	065	EQ	S	8	51.05	n/a	n/a	0.40	5.0
ANTEUS ASSOC.BAEL	065	ETM	S	348	27.25	n/a	n/a	17.40	5.0
PATTEN & PATTEN	067	EWJ	B	1,000	13.79	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	FIS	S	36	40.00	n/a	n/a	1.80	5.0
ANTEUS ASSOC.BAEL	065	FITB	S	320	39.28	n/a	n/a	16.00	5.0
THIRD COAST CAPITAL	035	FRED	B	70,000	11.94	30-Nov	30-Nov	3,500.00	5.0
MILLENIUM PARTNERS	028	FSL	B	25,000	39.94	n/a	n/a	1,250.00	5.0
ANTEUS ASSOC.BAEL	065	GE	S	372	35.41	n/a	n/a	18.60	5.0
MORGAN BANK /JPM	012	GE	S	34,368	35.28	n/a	n/a	687.36	2.0
MILLENIUM PARTNERS	028	GKIS	S	10,000	19.72	n/a	n/a	500.00	5.0
ANTEUS ASSOC.BAEL	065	GLW	S	620	21.53	n/a	25-Oct	31.00	5.0
MORGAN BANK /JPM	012	GLW	S	23,407	21.56	n/a	25-Oct	468.14	2.0
PATTEN & PATTEN	067	GLW	B	800	21.21	n/a	25-Oct	40.00	5.0
MORGAN BANK /JPM	012	GNW	S	10,307	32.80	n/a	n/a	206.14	2.0
MORGAN BANK /JPM	012	GOOG	S	794	484.92	n/a	n/a	15.88	2.0
COUGAR TRADING	044	GPS	B	10,000	18.65	31-Jul	28-Nov	500.00	5.0
FORD FDN.	032	GS	S	3,400	196.07	6-Nov	13-Nov	170.00	5.0
VISIUM/BALY HOWARD	038	GT	B	25,000	16.82	n/a	n/a	1,250.00	5.0
HOLLIS CAPITAL	040	GYMB	B	11,000	39.98	30-Nov	28-Nov	550.00	5.0
VISIUM/BALY HOWARD	038	GYMB	B	30,000	40.26	30-Nov	28-Nov	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WD PARTNERS ILP	067	GYMB	B	6,900	40.27	30-Nov	28-Nov	345.00	5.0
ANTEUS ASSOC.BAEL	065	HAL	S	400	33.89	n/a	n/a	20.00	5.0
ANTEUS ASSOC.BAEL	065	HD	S	48	37.51	n/a	15-Nov	2.40	5.0
ANTEUS ASSOC.BAEL	065	HET	S	192	78.70	3-Oct	26-Oct	9.60	5.0
KACELA CAPITAL	034	HOT	B	5,000	64.20	n/a	n/a	200.00	4.0
ANTEUS ASSOC.BAEL	065	HPQ	S	176	39.26	n/a	n/a	8.80	5.0
MAZAMA CAPITAL MGMT.	035	HPY	B	39,500	27.80	n/a	n/a	1,580.00	4.0
HOFFMAN	014	HSHL	S	15,000	0.00	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	HSP	S	8	33.19	n/a	22-Apr	0.40	5.0
PATTEN & PATTEN	067	HST	S	500	24.94	n/a	n/a	25.00	5.0
ANTEUS ASSOC.BAEL	065	IBM	S	56	91.35	n/a	n/a	2.80	5.0
ANTEUS ASSOC.BAEL	065	IFF	S	588	47.49	10-Nov	22-Nov	29.40	5.0
WHITE PINE CAPITAL	030	IFF	B	800	47.14	10-Nov	22-Nov	40.00	5.0
ANTEUS ASSOC.BAEL	065	INTC	S	376	21.24	n/a	n/a	18.80	5.0
ANTEUS ASSOC.BAEL	065	IPG	S	108	11.94	n/a	n/a	5.40	5.0
RIVER RUN MGMT	031	ITCD	B	600	2.48	n/a	n/a	18.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	IWOV	S	10,000	13.72	n/a	n/a	500.00	5.0
COUGAR TRADING	044	JCG	S	5,000	39.84	25-Aug	22-Nov	250.00	5.0
MORGAN BANK /JPM	012	JCI	S	9,048	81.33	26-Oct	26-Oct	180.96	2.0
ANTEUS ASSOC.BAEL	065	JCP	S	236	78.40	9-Nov	28-Nov	11.80	5.0
WHITE PINE CAPITAL	030	JCS	S	400	9.40	n/a	n/a	20.00	5.0
ANTEUS ASSOC.BAEL	065	JNJ	S	340	66.20	n/a	22-Apr	17.00	5.0
ANTEUS ASSOC.BAEL	065	JPM	S	424	46.72	n/a	13-Nov	21.20	5.0
LOOMIS SALES/BOSTON	036	JTX	B	28,675	36.37	n/a	n/a	1,433.75	5.0
ANTEUS ASSOC.BAEL	065	KEY	S	1,072	36.05	n/a	n/a	53.60	5.0
LOOMIS SALES/BOSTON	036	KFT	S	171,750	34.91	n/a	n/a	8,587.50	5.0
BUCK CAPITAL MGMT	001	KSS	B	560,000	69.22	9-Nov	28-Nov	22,400.00	4.0
SINCLAIR	031	KWK	B	500	43.00	n/a	n/a	0.00	0.0
VISIUM/BALY HOWARD	038	LDG	B	15,000	41.23	n/a	n/a	750.00	5.0
ANTEUS ASSOC.BAEL	065	LEG	S	216	23.33	n/a	n/a	10.80	5.0
BALYASNY ASSET MGMT	044	LEH	B	10,000	73.93	n/a	13-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SATELLITE ASSET MGMT	012	LEN	B	10,000	51.22	n/a	n/a	500.00	5.0
ROYCE TRADING	216	LII	S	5,000	28.82	n/a	n/a	250.00	5.0
MORGAN BANK /JPM	012	LLTC	S	10,885	32.14	n/a	n/a	217.70	2.0
ANTEUS ASSOC.BAEL	065	LTD	S	256	31.45	2-Nov	28-Nov	12.80	5.0
THE JAY GOLDMAN	034	LTD	S	10,000	31.93	2-Nov	28-Nov	400.00	4.0
ANTEUS ASSOC.BAEL	065	LU	S	132	2.59	n/a	22-Mar	6.60	5.0
ANTEUS ASSOC.BAEL	065	MDT	S	572	52.68	n/a	22-Apr	28.60	5.0
PATTEN & PATTEN	067	MDT	S	800	52.40	n/a	22-Apr	40.00	5.0
ANTEUS ASSOC.BAEL	065	MHS	S	28	51.40	n/a	n/a	1.40	5.0
WHITE PINE CAPITAL	030	MIR	B	1,500	30.47	n/a	n/a	75.00	5.0
LISTED ERR	099	MM	B	500	35.98	n/a	n/a	0.00	0.0
LISTED ERR	099	MM	S	500	36.04	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	MMC	S	92	31.50	n/a	n/a	4.60	5.0
WHITE PINE CAPITAL	030	MMM	B	500	81.03	20-Oct	20-Oct	25.00	5.0
ANTEUS ASSOC.BAEL	065	MO	S	572	84.33	n/a	n/a	28.60	5.0
MORGAN BANK /JPM	012	MO	S	8,329	84.21	n/a	n/a	166.58	2.0
WHITE PINE CAPITAL	030	MO	B	700	83.80	n/a	n/a	35.00	5.0
WHITE PINE CAPITAL	030	MOT	B	5,000	22.20	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	MRK	S	244	44.40	n/a	n/a	12.20	5.0
MORGAN BANK /JPM	012	MRK	S	11,860	44.51	n/a	n/a	237.20	2.0
MORGAN BANK /JPM	012	MRO	S	3,294	94.38	n/a	n/a	65.88	2.0
ANTEUS ASSOC.BAEL	065	MS	S	92	77.13	20-Sep	13-Nov	4.60	5.0
MORGAN BANK /JPM	012	MS	S	6,426	76.16	20-Sep	13-Nov	128.52	2.0
ANTEUS ASSOC.BAEL	065	MSFT	S	136	29.42	n/a	3-Apr	6.80	5.0
MORGAN BANK /JPM	012	MSFT	S	28,335	29.33	n/a	3-Apr	566.70	2.0
ANTEUS ASSOC.BAEL	065	MTD	S	248	78.57	n/a	n/a	12.40	5.0
ELM RIDGE ADVISORS	044	NCX	B	4,900	29.00	n/a	n/a	196.00	4.0
PATTEN & PATTEN	067	NEM	B	800	46.90	n/a	n/a	40.00	5.0
MORGAN LEWIS/MLH	046	NILE	S	10,000	33.53	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	NKE	S	15,000	97.50	n/a	n/a	600.00	4.0
WHITE PINE CAPITAL	030	NKE	B	300	99.04	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	NOK	S	1,500	20.13	n/a	n/a	75.00	5.0
WHITE PINE CAPITAL	030	NOK	B	2,700	20.24	n/a	n/a	135.00	5.0
MORGAN BANK /JPM	012	NSC	S	9,821	49.25	n/a	n/a	196.42	2.0
COUGAR TRADING	044	NWY	B	5,000	13.02	n/a	28-Nov	250.00	5.0
THE JAY GOLDMAN	034	NWY	B	25,000	13.00	n/a	28-Nov	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	NYX	B	25,000	98.42	n/a	n/a	1,000.00	4.0
WHITE PINE CAPITAL	030	OPLK	B	500	20.04	n/a	n/a	25.00	5.0
ANTEUS ASSOC.BAEL	065	PEP	S	612	62.40	n/a	n/a	30.60	5.0
WHITE PINE CAPITAL	030	PEP	B	1,000	62.04	n/a	n/a	50.00	5.0
ANTEUS ASSOC.BAEL	065	PFE	S	328	27.57	n/a	31-Mar	16.40	5.0
WHITE PINE CAPITAL	030	PFE	B	4,000	27.50	n/a	31-Mar	200.00	5.0
WHITE PINE CAPITAL	030	PG	B	1,500	62.92	31-Oct	29-Nov	75.00	5.0
PATTEN & PATTEN	067	PHO	B	1,000	18.24	n/a	n/a	50.00	5.0
KACELA CAPITAL	034	PLCE	B	5,000	64.30	n/a	30-Nov	200.00	4.0
ROARING BLUE LION MGMT	012	PLCE	B	2,400	63.97	n/a	30-Nov	120.00	5.0
ANTEUS ASSOC.BAEL	065	PNC	S	84	70.60	n/a	n/a	4.20	5.0
ANTEUS ASSOC.BAEL	065	PPG	S	136	64.30	n/a	17-Nov	6.80	5.0
LISTED ERR	099	PRE	B	328	69.63	n/a	n/a	0.00	0.0
LISTED ERR	099	PRE	S	328	69.62	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	PRU	B	1,000	81.60	n/a	n/a	50.00	5.0
MORGAN BANK /JPM	012	PX	S	5,791	62.40	n/a	25-Oct	115.82	2.0
HIGHBRIDGE CAPITAL	038	Q	B	47,000	7.85	n/a	n/a	2,350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	Q	B	1,489,400	7.81	n/a	n/a	59,576.00	4.0
WHITE PINE CAPITAL	030	Q	B	8,000	7.70	n/a	n/a	400.00	5.0
BUCK CAPITAL MGMT	001	RL	S	10,000	78.07	9-Nov	9-Nov	400.00	4.0
CENTURION PARTNERS	249	RL	B	5,000	78.29	9-Nov	9-Nov	250.00	5.0
MORGAN BANK /JPM	012	ROH	S	6,430	52.22	13-Oct	19-Oct	128.60	2.0
WHITE PINE CAPITAL	030	ROH	B	700	52.27	13-Oct	19-Oct	35.00	5.0
STERLING JOHNSTON	035	RVI	S	90,000	18.87	n/a	n/a	4,500.00	5.0
ANTEUS ASSOC.BAEL	065	S	S	164	19.60	n/a	n/a	8.20	5.0
CAXTON PART	040	SBL	B	100,000	14.83	19-Sep	31-Oct	4,000.00	4.0
ROBERTSON STEVENS BC	033	SCSS	S	50,000	17.31	n/a	n/a	2,000.00	4.0
ANTEUS ASSOC.BAEL	065	SGP	S	348	21.83	n/a	n/a	17.40	5.0
CASTLE ARK	031	SII	B	162,900	42.22	n/a	n/a	9,774.00	6.0
MORGAN BANK /JPM	012	SLB	S	8,930	68.48	n/a	n/a	178.60	2.0
ROSENBERG	034	SPC	B	200	8.78	n/a	15-Nov	0.00	0.0
MORGAN BANK /JPM	012	SPLS	S	17,150	25.47	n/a	15-Nov	343.00	2.0
PATTEN & PATTEN	067	SRZ	B	800	31.50	n/a	n/a	40.00	5.0
ANTEUS ASSOC.BAEL	065	STA	S	8	51.93	n/a	n/a	0.40	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	STA	B	2,000	51.92	n/a	n/a	100.00	5.0
ANTEUS ASSOC.BAEL	065	STI	S	424	82.68	n/a	n/a	21.20	5.0
WHITE PINE CAPITAL	030	STJ	B	3,300	37.32	n/a	n/a	165.00	5.0
MORGAN BANK /JPM	012	STT	S	10,790	62.13	n/a	n/a	215.80	2.0
MAIRS AND POWER INV	030	SVU	S	20,000	34.01	n/a	n/a	1,200.00	6.0
MORGAN BANK /JPM	012	SVU	S	9,562	34.26	n/a	n/a	191.24	2.0
MORGAN BANK /JPM	012	SWY	S	12,419	30.81	n/a	n/a	248.38	2.0
MORGAN BANK /JPM	012	SYU	S	13,674	35.85	12-Sep	31-Oct	273.48	2.0
ANTEUS ASSOC.BAEL	065	T	S	28	33.47	20-Sep	28-Nov	1.40	5.0
CAPITAL GROWTH MGMT.	241	T	S	25,000	33.72	20-Sep	28-Nov	1,250.00	5.0
WHITE PINE CAPITAL	030	T	B	3,500	33.82	20-Sep	28-Nov	175.00	5.0
BUCK CAPITAL MGMT	001	TBL	S	43,900	31.21	14-Nov	15-Nov	1,756.00	4.0
SATELLITE ASSET MGMT	012	TCO	S	4,900	49.16	n/a	n/a	245.00	5.0
ROYCE TRADING	216	TG	S	10,000	19.76	n/a	n/a	500.00	5.0
CAXTON PART	040	TNOX	B	100,000	19.65	n/a	n/a	4,000.00	4.0
SUFFOLK CAPITAL MGMT	040	TWX	S	611,800	20.23	n/a	n/a	24,472.00	4.0
VANDER MOOLEN	040	TWX	B	5,000	20.15	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	034	TXN	S	50,000	28.93	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	UNFY	B	9,999	0.03	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	012	UTX	S	7,242	64.53	n/a	n/a	144.84	2.0
ANTEUS ASSOC.BAEL	065	VRGY	S	4	17.25	n/a	n/a	0.20	5.0
ANTEUS ASSOC.BAEL	065	VZ	S	68	34.89	17-Nov	28-Nov	3.40	5.0
ANTEUS ASSOC.BAEL	065	WB	S	104	53.90	n/a	n/a	5.20	5.0
ANTEUS ASSOC.BAEL	065	WIN	S	156	13.89	n/a	n/a	7.80	5.0
HIGHBRIDGE CAPITAL	038	WIN	B	33,000	13.87	n/a	n/a	1,650.00	5.0
ANTEUS ASSOC.BAEL	065	WMT	S	216	46.51	5-Oct	28-Nov	10.80	5.0
COUGAR TRADING	044	WMT	B	5,000	46.19	5-Oct	28-Nov	250.00	5.0
TROUBH PART	067	WMT	B	50,000	46.04	5-Oct	28-Nov	2,500.00	5.0
ANTEUS ASSOC.BAEL	065	WWY	S	548	52.24	n/a	n/a	27.40	5.0
MORGAN BANK /JPM	012	WYE	S	15,673	48.28	n/a	31-Mar	313.46	2.0
KORMAN	003	ZOLT	B	3,000	22.50	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								250,981.57	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CRT	11/29	MKT MAKER (MKT MAKER)	099	BONT	S	300	36.92	23-Oct	30-Nov	0.00 0.0
AO,	11/29	ALLEN & CO (ALLNALLEN)	032	SWN	B	45,000	41.46	17-Nov	22-Nov	1800.00 4.0
TOTAL (AO, CXL, CRT) :										1,800.00

TOTAL (Trade Date):	250,981.57
TOTAL (AO, CXL, CRT):	1,800.00

TOTAL (RUN DATE) / NFS:	252,781.57
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Legend:

Blue: Employee and Proprietary Trades.

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

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