



Daily Compliance Activity Report

Trade Date: 09/26/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	ABG	B	20,000	20.26	n/a	n/a	800.00	4.0
BULL PATH CAPITAL	044	AEOS	S	16,500	45.10	26-Sep	15-Sep	825.00	5.0
HIGHBRIDGE CAPITAL	038	AKS	S	100,000	12.20	n/a	n/a	5,000.00	5.0
WEISS PECK	222	ANN	S	6,100	42.66	6-Jul	28-Aug	305.00	5.0
MCCARTAN	028	APC	B	100	43.01	31-Aug	18-Sep	0.00	0.0
COUGAR TRADING	044	ARO	B	5,000	30.07	6-Jul	28-Aug	250.00	5.0
EFSTATHIOU	044	ATVI	S	600	15.48	n/a	n/a	0.00	0.0
IRON HORSE CAPITAL MGMT	038	BBY	S	10,000	55.01	13-Jun	13-Sep	500.00	5.0
HIGHBRIDGE CAPITAL	038	BDK	B	8,000	79.42	n/a	n/a	400.00	5.0
MULLINS	056	BEBE	S	135	24.46	n/a	n/a	0.00	0.0
ROSENBERG	034	BEBE	S	600	24.36	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BEN	B	5,000	105.75	11-Sep	25-Sep	250.00	5.0
DENVER INST. ADV	046	BEN	B	16,170	105.17	11-Sep	25-Sep	808.50	5.0
HIGHBRIDGE CAPITAL	038	BHI	B	5,500	65.81	n/a	n/a	275.00	5.0
HIGHBRIDGE CAPITAL	038	BJS	B	7,500	29.27	n/a	n/a	375.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	BKRS	B	1,000	12.75	n/a	n/a	0.00	0.0
MKT MAKER	099	BONT	S	112	29.69	n/a	21-Sep	0.00	0.0
CENTURION PARTNERS	244	BONT	B	3,000	29.74	n/a	21-Sep	150.00	5.0
NWQ INVESTMENT MGMT CO	048	BOW	B	17,200	21.10	11-Sep	14-Sep	688.00	4.0
ROTHSCHILD ASSET	040	CAG	B	81,700	24.28	n/a	n/a	3,676.50	4.5
ZOLIDIS	011	CBK	S	600	30.62	18-Sep	20-Sep	0.00	0.0
GAULT	063	CCUR	S	5,250	1.69	n/a	n/a	0.00	0.0
HERMES	048	CHCI	B	10,000	5.56	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	034	COH	S	25,000	34.35	n/a	25-Sep	1,250.00	5.0
THIRD COAST CAPITAL	035	CPB	S	10,000	36.20	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	220	CSC	B	45,000	47.85	n/a	n/a	2,250.00	5.0
CASTLE ARK	031	CSCO	B	281,300	23.09	n/a	22-Mar	16,878.00	6.0
GOLD SACHS SPECIAL SIT	037	DBD	S	70,000	43.90	n/a	15-Sep	3,500.00	5.0
HARVEST MGMT	039	DBRN	B	20,000	21.69	n/a	n/a	1,000.00	5.0
AVESTA CAP	229	DE	S	10,000	81.73	n/a	n/a	500.00	5.0
DELTEC ASSET MGMT.	040	DHI	S	20,000	24.99	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HERMES	048	DO	B	5,000	70.25	n/a	n/a	250.00	5.0
BENNETT LAWRENCE	044	EK	B	8,500	23.00	n/a	n/a	425.00	5.0
BUCK CAPITAL MGMT	001	EL	S	10,000	40.15	20-Sep	25-Sep	400.00	4.0
EMPYREAN CAP	036	ET	S	100,000	24.60	n/a	n/a	5,000.00	5.0
LAPIDES ASSET MGMT	037	EYE	B	12,000	39.81	n/a	n/a	480.00	4.0
LAPIDES ASSET MGMT	037	FBN	S	7,200	19.38	n/a	n/a	288.00	4.0
LESTER BROS CAPITAL LLC	032	FDX	S	2,000	107.33	n/a	n/a	100.00	5.0
HIGHBRIDGE CAPITAL	038	FII	B	9,000	34.11	2-May	25-Sep	450.00	5.0
SCHRODER	032	FNSR	B	250,000	3.66	n/a	n/a	5,000.00	2.0
BUCK CAPITAL MGMT	001	GES	S	10,000	49.40	n/a	n/a	400.00	4.0
THIRD COAST CAPITAL	035	GIS	S	10,000	55.60	n/a	n/a	500.00	5.0
NWQ INVESTMENT MGMT CO	048	GLT	B	31,500	13.36	n/a	n/a	1,260.00	4.0
TRELLUS PARTNERS LP	028	GYMB	B	50,000	42.73	21-Sep	21-Sep	2,500.00	5.0
J L F ASSET MGMT	039	HIBB	B	21,200	27.01	n/a	n/a	848.00	4.0
WELLS/STRONG LEDDY	035	HUMC	S	4,000	27.80	n/a	n/a	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERMES	048	IDTI	B	10,000	15.21	n/a	n/a	500.00	5.0
EFSTATHIOU	044	ILSE	S	300	19.66	n/a	n/a	0.00	0.0
BENNETT LAWRENCE	044	JCG	B	3,300	29.60	25-Aug	25-Aug	165.00	5.0
COUGAR TRADING	044	JCP	S	5,000	68.10	5-May	31-Aug	250.00	5.0
THIRD COAST CAPITAL	035	JCP	S	10,000	68.44	5-May	31-Aug	500.00	5.0
DENVER INST. ADV	046	JNC	B	8,500	51.20	n/a	25-Sep	425.00	5.0
CUMBERLAND	038	JWN	B	75,000	43.27	14-Aug	28-Aug	3,000.00	4.0
THIRD COAST CAPITAL	035	K	S	10,000	50.28	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	KCP	B	5,000	25.00	n/a	31-Aug	200.00	4.0
THIRD COAST CAPITAL	035	KFT	S	10,000	35.79	n/a	n/a	500.00	5.0
WELLS/STRONG LEDDY	035	KTO	S	4,300	11.77	n/a	n/a	172.00	4.0
BUCK CAPITAL MGMT	001	KWD	S	10,000	30.05	n/a	n/a	400.00	4.0
CAPITAL GROWTH MGMT.	241	LEH	B	400,000	74.03	n/a	13-Sep	20,000.00	5.0
HIGHBRIDGE CAPITAL	038	LFB	S	19,800	20.60	n/a	14-Sep	990.00	5.0
BALYASNY ASSET MGMT	044	LM	B	5,000	99.74	28-Jul	25-Sep	250.00	5.0
WHEELER	008	MAG	B	25,000	3.40	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	MHK	B	7,000	74.78	n/a	n/a	350.00	5.0
TILLDALE MGMT.	048	MO	B	5,000	76.01	n/a	n/a	250.00	5.0
DAWSON SANBERG & CO	036	MOS	B	14,900	16.56	n/a	n/a	745.00	5.0
BUCK CAPITAL MGMT	001	NKE	B	5,000	88.42	n/a	n/a	200.00	4.0
WELLS/STRONG LEDDY	035	NLY	B	5,000	12.99	n/a	n/a	200.00	4.0
MAGUIRE	039	NRG	B	200	44.73	n/a	n/a	0.00	0.0
DAWSON SANBERG & CO	036	NUE	S	4,600	49.49	n/a	n/a	230.00	5.0
MCCARTAN	028	NWY	S	200	13.35	n/a	28-Aug	0.00	0.0
HIGHBRIDGE CAPITAL	038	OIH	B	3,800	126.80	n/a	n/a	190.00	5.0
SINCLAIR	031	PDEX	B	3,490	1.39	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	PEP	S	10,000	65.38	n/a	n/a	500.00	5.0
DAWSON SANBERG & CO	036	POT	B	14,000	104.19	n/a	n/a	700.00	5.0
NWQ INVESTMENT MGMT CO	048	RAS	B	5,100	28.82	n/a	n/a	204.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	23.77	n/a	7-Aug	400.00	4.0
REICH AND TANG	037	SMP	S	13,000	12.16	n/a	n/a	650.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	SRR	B	500	14.13	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SSI	S	5,000	30.09	n/a	n/a	250.00	5.0
HIGHBRIDGE CAPITAL	038	SWK	B	11,000	49.68	n/a	n/a	550.00	5.0
BUCK CAPITAL MGMT	001	TBL	B	5,000	28.95	19-Jul	13-Sep	200.00	4.0
BENNETT LAWRENCE	044	THO	B	4,150	40.84	n/a	n/a	207.50	5.0
BUCK CAPITAL MGMT	001	TLB	B	60,000	27.31	n/a	17-Aug	2,400.00	4.0
EQUINOX	032	TRI	S	50,000	44.02	n/a	12-Sep	2,500.00	5.0
COUGAR TRADING	044	URBN	S	5,000	17.99	9-Aug	10-Aug	250.00	5.0
BENNETT LAWRENCE	044	VTAL	B	950	29.71	n/a	n/a	47.50	5.0
CROWLEY	061	WMUAN	S	5	10.40	n/a	n/a	0.00	0.0
TRIBECA/DOUG	038	ZION	S	5,000	80.00	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	200,000	12.49	8-Sep	8-Sep	8,000.00	4.0
TOTAL:								106,818.00	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	SINCLAIR (SINCLAIR)	031	ACOR	B	1,000	6.00	n/a	n/a	0.00	0.0
AO,CXL	SINCLAIR (SINCLAIR)	031	ACOR	B	1,000	6.00	n/a	n/a	0.00	0.0
AO,CRT	SINCLAIR (SINCLAIR)	031	ACOR	S	1,000	6.68	n/a	n/a	0.00	0.0
AO,CXL	SINCLAIR (SINCLAIR)	031	ACOR	S	1,000	6.68	n/a	n/a	0.00	0.0
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	CBK	S	10,000	30.41	18-Sep	20-Sep	400.00	4.0
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	CBK	S	10,000	30.47	18-Sep	20-Sep	400.00	4.0
AO,CRT	SINCLAIR (SINCLAIR)	031	ENER	B	300	32.08	n/a	n/a	0.00	0.0
AO,CXL	SINCLAIR (SINCLAIR)	031	ENER	B	300	32.08	n/a	n/a	0.00	0.0
AO,CXL	SINCLAIR (SINCLAIR)	031	ENER	S	300	37.30	n/a	n/a	0.00	0.0
AO,CRT	SINCLAIR (SINCLAIR)	031	ENER	S	300	37.30	n/a	n/a	0.00	0.0
AO,	CAPITAL GROWTH MGMT. (CAPG4892)	241	LEH	B	70,000	72.91	n/a	13-Sep	3,500.00	5.0
AO,CXL	CAPITAL GROWTH MGMT. (CAPG4892)	241	LEH	B	70,000	72.91	n/a	13-Sep	3,500.00	5.0
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	NWY	S	20,000	13.46	n/a	28-Aug	800.00	4.0
AO,	THE JAY GOLDMAN (GOLDMASTER)	034	NWY	S	10,000	13.46	n/a	28-Aug	400.00	4.0
AO,	THE JAY GOLDMAN (GOLDWOODMA)	034	NWY	S	10,000	13.46	n/a	28-Aug	400.00	4.0
AO,CRT	WHEELER (WHEELER)	008	QXWBV	S	40	1.30	n/a	n/a	0.00	0.0
AO,CRT	WHEELER (WHEELER)	008	QXWBV	S	100	1.25	n/a	n/a	0.00	0.0
AO,CRT	WHEELER (WHEELER)	008	QXWBV	S	100	1.20	n/a	n/a	0.00	0.0
AO,CXL	WHEELER (WHEELER)	008	QXWBV	S	40	1.30	n/a	n/a	0.00	0.0
AO,CXL	WHEELER (WHEELER)	008	QXWBV	S	100	1.25	n/a	n/a	0.00	0.0
AO,CXL	WHEELER (WHEELER)	008	QXWBV	S	100	1.20	n/a	n/a	0.00	0.0
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	TRB	B	10,000	33.17	n/a	n/a	400.00	4.0
AO,	GOLDEN TREE (GTRE2209)	036	TWX	S	17,445	18.16	n/a	n/a	872.25	5.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	GOLDEN TREE (GTRE2203)	036	TWX	S	85,410	18.16	n/a	n/a	4,270.50 5.0
AO,	GOLDEN TREE (GTRE2212)	036	TWX	S	3,340	18.16	n/a	n/a	167.00 5.0
AO,	GOLDEN TREE (GTRE2300)	036	TWX	S	3,985	18.16	n/a	n/a	199.25 5.0
AO,	GOLDEN TREE (GTRE3802)	036	TWX	S	4,030	18.16	n/a	n/a	201.50 5.0
AO,	GOLDEN TREE (GTRE2215)	036	TWX	S	9,290	18.16	n/a	n/a	464.50 5.0
AO,	GOLDEN TREE (GTRE2205)	036	TWX	S	25,515	18.16	n/a	n/a	1,275.75 5.0
AO,	GOLDEN TREE (GTRE1401)	036	TWX	S	5,985	18.16	n/a	n/a	299.25 5.0

Legend:

Blue: Employee and Proprietary Trades.

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

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