



Daily Compliance Activity Report

Trade Date: 10/02/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	ALL	S	42,700	62.50	n/a	n/a	2,135.00	5.0
FIRST NEW YORK LEDDY	035	ARO	B	15,000	29.83	6-Jul	2-Oct	900.00	6.0
SUN AMERICA ASSET MGMT	030	AXP	S	31,700	55.18	n/a	n/a	1,585.00	5.0
SUN AMERICA ASSET MGMT	030	BAC	B	15,000	53.50	19-Jul	12-Sep	750.00	5.0
BUCK CAPITAL MGMT	001	BBW	B	10,000	21.86	n/a	n/a	400.00	4.0
HIGHBRIDGE CAPITAL	038	BDK	B	3,500	79.54	n/a	n/a	175.00	5.0
CASTLEROCK	040	BRL	S	33,000	52.12	14-Aug	2-Oct	1,320.00	4.0
HARRIS ASSOCIATES	031	C	B	8,200	49.56	n/a	12-Sep	328.00	4.0
STRAUSS ASSET MGMT	040	CAL	S	5,000	29.00	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	CBK	S	20,000	30.53	18-Sep	2-Oct	800.00	4.0
REICH AND TANG	037	CBM	S	12,600	20.64	n/a	n/a	630.00	5.0
LEDDY	035	CC	B	500	24.94	n/a	21-Sep	0.00	0.0
HARRIS ASSOCIATES	031	CCL	B	1,600	47.17	n/a	26-Jan	64.00	4.0
IRIDIAN ASSET MGMT.	036	CEPH	S	23,500	63.12	9-Aug	2-Oct	1,175.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAWSON SANBERG & CO	036	CF	B	13,900	17.36	n/a	n/a	695.00	5.0
DELTEC ASSET MGMT.	040	CHS	B	10,000	21.37	23-Aug	2-Oct	500.00	5.0
SAC TRADING HOWARD	038	COST	B	10,000	49.01	n/a	2-Oct	500.00	5.0
ROTHSCHILD ASSET	040	FCH	S	6,700	20.08	n/a	n/a	301.50	4.5
BUCK CAPITAL MGMT	001	FD	S	3,000	43.08	13-Sep	2-Oct	120.00	4.0
BUCK CAPITAL MGMT	001	FDO	S	20,000	28.80	n/a	2-Oct	800.00	4.0
TRIBECA	038	FII	S	5,000	34.04	2-May	25-Sep	200.00	4.0
BUCK CAPITAL MGMT	001	FL	S	20,000	25.41	n/a	18-Aug	800.00	4.0
CSFB GLOBAL PROPRIETARY	035	GE	B	14,000	35.57	n/a	n/a	700.00	5.0
US BANCORP	030	GE	S	338,614	35.56	n/a	n/a	16,930.70	5.0
SYSTEMATIC FINANCIAL MGT	035	GES	B	28,200	48.60	n/a	n/a	1,128.00	4.0
STRAUSS ASSET MGMT	040	GOL	S	4,600	34.12	n/a	n/a	230.00	5.0
THE BOSTON COMPANY	214	GPS	S	42,900	19.06	31-Jul	2-Oct	1,287.00	3.0
SUN AMERICA ASSET MGMT	030	GS	B	4,000	170.49	17-May	13-Sep	200.00	5.0
VISIUM/BALY HOWARD	038	GYMB	B	7,883	42.39	21-Sep	2-Oct	394.15	5.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	68.81	5-May	2-Oct	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE BOSTON COMPANY	214	JCP	S	4,200	68.54	5-May	2-Oct	210.00	5.0
MKT MAKER	099	JKHY	B	1,702	21.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JWN	S	2,000	42.80	14-Aug	2-Oct	80.00	4.0
HARRIS ASSOCIATES	031	KO	B	5,800	44.58	n/a	n/a	232.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	190,000	65.62	10-Aug	2-Oct	7,600.00	4.0
HARRIS ASSOCIATES	031	LEN	B	2,400	44.92	n/a	n/a	96.00	4.0
ASCEND PARTNERS	033	LZB	B	18,000	13.90	n/a	n/a	720.00	4.0
CLOVIS CAPITAL	012	MAR	B	160,000	39.22	n/a	n/a	8,000.00	5.0
HARRIS ASSOCIATES	031	MEL	B	4,200	39.05	n/a	12-Sep	168.00	4.0
SUN AMERICA ASSET MGMT	030	MET	S	25,000	56.23	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	MHK	B	2,500	74.94	n/a	n/a	125.00	5.0
IRIDIAN ASSET MGMT.	036	MLNM	S	204,200	9.84	n/a	n/a	10,210.00	5.0
GALLEON MGMT LP	033	MRK	S	50,000	41.86	n/a	n/a	2,500.00	5.0
LISTED ERR	099	MS	B	1,000	72.98	20-Sep	21-Sep	0.00	0.0
MAZAMA CAPITAL MGMT.	035	NRF	S	60,900	12.77	n/a	n/a	2,436.00	4.0
HARRIS ASSOCIATES	031	NSM	B	8,700	23.49	n/a	n/a	348.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGNETAR FINANCIAL	247	OSI	B	7,000	31.84	12-Sep	13-Sep	280.00	4.0
GALLEON MGMT LP	033	PFE	S	50,000	28.48	n/a	31-Mar	2,500.00	5.0
BLACKROCK/BOSTON	037	PSS	B	200,000	24.72	n/a	n/a	8,000.00	4.0
ZOLIDIS	011	PSUN	B	350	16.18	3-Aug	2-Oct	0.00	0.0
GALLEON MGMT LP	033	RDC	S	25,000	30.90	n/a	n/a	1,250.00	5.0
REICH AND TANG	037	RUSHA	B	52,100	16.64	n/a	n/a	2,605.00	5.0
WHEELER	008	RVSIQ	S	20,000	0.01	n/a	n/a	0.00	0.0
NICOLAS APPLGATE	048	SCVL	S	20,000	25.05	n/a	n/a	800.00	4.0
HARRIS ASSOCIATES	031	SGP	B	5,300	21.81	n/a	n/a	212.00	4.0
HIGHBRIDGE CAPITAL	038	SWK	B	5,000	49.87	n/a	n/a	250.00	5.0
LISTED ERR	099	T	B	40,000	32.31	20-Sep	21-Sep	0.00	0.0
GABELLI FUNDS	037	T	S	20,000	32.31	20-Sep	21-Sep	1,000.00	5.0
HIGHBRIDGE CAPITAL	038	T	B	10,000	32.36	20-Sep	21-Sep	500.00	5.0
PILOT ROCK	028	TGT	S	50,000	54.70	n/a	2-Oct	2,000.00	4.0
APEX CAPITAL MGMT.	002	TIBX	S	50,000	8.83	n/a	3-Apr	2,500.00	5.0
HARRIS ASSOCIATES	031	TIF	B	5,300	33.02	n/a	31-Aug	212.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	035	TIN	B	25,000	39.95	n/a	14-Sep	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TJX	B	79,300	28.29	16-Aug	2-Oct	3,172.00	4.0
HIGHBRIDGE CAPITAL	038	TMK	B	11,000	63.02	n/a	n/a	550.00	5.0
HARRIS ASSOCIATES	031	TWX	B	3,700	18.26	n/a	n/a	148.00	4.0
HARRIS ASSOCIATES	031	TYC	B	5,100	28.05	2-Oct	2-Oct	204.00	4.0
AVESTA CAP	229	WEN	S	10,000	32.48	25-Jul	27-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	WMT	S	100,000	48.29	n/a	2-Oct	4,000.00	4.0
SAC TRADING HOWARD	038	WMT	B	15,000	48.68	n/a	2-Oct	750.00	5.0
UBS O'CONNOR/TOM LEDDY	035	WMT	B	25,000	48.30	n/a	2-Oct	1,250.00	5.0
FRIESS MGMT	042	WRNC	S	34,100	19.22	5-Sep	15-Sep	1,534.50	4.5
CSFB GLOBAL PROPRIETARY	035	XLI	S	90,000	33.41	n/a	n/a	4,500.00	5.0
MILLRACE FUND LP	033	ZQK	B	20,000	12.17	8-Sep	8-Sep	800.00	4.0
TOTAL:								111,240.85	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	METROPOLITAN CAPITAL (METRGS BUL)	044	FL	S	16,400	25.32	n/a	18-Aug	820.00 5.0
AO,	METROPOLITAN CAPITAL (METRSPEAR)	044	FL	S	600	25.32	n/a	18-Aug	30.00 5.0
AO,CXL	MAZAMA CAPITAL MGMT. (MAZASCHWAB)	035	FS	S	1,200	63.92	n/a	n/a	48.00 4.0
AO,	MAZAMA CAPITAL MGMT. (MAZASCHWMG)	035	FS	S	1,200	63.92	n/a	n/a	48.00 4.0
AO,	MAZAMA CAPITAL MGMT. (MAZASCHWMG)	035	ID	S	400	13.37	n/a	n/a	16.00 4.0
AO,	MAZAMA CAPITAL MGMT. (MAZAEDSMG)	035	ID	S	2,800	13.37	n/a	n/a	112.00 4.0
AO,	MAZAMA CAPITAL MGMT. (MAZACELANS)	035	ID	S	600	13.37	n/a	n/a	24.00 4.0
AO,	MAZAMA CAPITAL MGMT. (MAZAIPAPER)	035	ID	S	1,600	13.37	n/a	n/a	64.00 4.0
AO,	MAZAMA CAPITAL MGMT. (MAZARAYCOM)	035	ID	S	200	13.37	n/a	n/a	8.00 4.0
AO,	MAZAMA CAPITAL MGMT. (MAZARAYTHM)	035	ID	S	1,900	13.37	n/a	n/a	76.00 4.0
AO,CRT	LISTED ERR (LISTED ERR)	099	MS	S	1,000	73.38	20-Sep	21-Sep	0.00 0.0
AO,	MKT MAKER (MKT MAKER)	099	RUSHA	S	20	16.69	n/a	n/a	0.00 0.0
AO,	REICH AND TANG (RICH)	037	RUSHA	B	13,400	16.69	n/a	n/a	670.00 5.0
AO,	REICH AND TANG (RICHMICROS)	037	RUSHA	B	3,400	16.69	n/a	n/a	170.00 5.0
AO,	REICH AND TANG (RICHMICROC)	037	RUSHA	B	2,000	16.69	n/a	n/a	100.00 5.0
AO,	MKT MAKER (MKT MAKER)	099	WRNC	B	94	19.62	5-Sep	15-Sep	0.00 0.0
AO,	WHITTIER CAP (WHITCALI)	048	ZQK	B	48,285	12.30	8-Sep	8-Sep	2,414.25 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.