



# Daily Compliance Activity Report

Trade Date: 08/30/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAZAMA CAPITAL MGMT.	035	AIQ	S	28,100	6.50	n/a	n/a	1,124.00	4.0
WILLIAMS TRADING /JILL	034	ANF	B	11,560	63.33	6-Apr	28-Aug	462.40	4.0
<b>METROPOLITAN CAPITAL</b>	<b>044</b>	<b>ASD</b>	<b>S</b>	<b>49,900</b>	<b>41.26</b>	<b>21-Apr</b>	<b>30-Aug</b>	<b>2,495.00</b>	<b>5.0</b>
ROBERTSON STEVENS BC	033	BBW	B	15,900	22.00	n/a	n/a	636.00	4.0
GARTMORE/NORTHPOINT/VILL	033	BBY	B	22,100	46.55	13-Jun	14-Jun	884.00	4.0
LEVIN CAPITAL STRATEGIES	012	BIG	S	16,700	18.28	16-Aug	29-Aug	501.00	3.0
<b>KORMAN</b>	<b>003</b>	<b>CAKE</b>	<b>B</b>	<b>1,000</b>	<b>24.44</b>	<b>28-Jun</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
STANDARD PACIFIC CAPITAL	040	CBS	B	200,000	28.85	n/a	n/a	10,000.00	5.0
GARTMORE/NORTHPOINT/VILL	033	CC	S	18,200	23.30	12-Apr	20-Jun	728.00	4.0
MAGNETAR FINANCIAL	247	CEM	S	10,000	8.70	n/a	n/a	400.00	4.0
SEAROCK CAPITAL MANAGE	012	COH	B	80,400	30.28	n/a	2-Aug	3,216.00	4.0
<b>BEAR STEARNS ASSET MGMT.</b>	<b>033</b>	<b>COST</b>	<b>B</b>	<b>65,800</b>	<b>46.97</b>	<b>n/a</b>	<b>30-Aug</b>	<b>2,632.00</b>	<b>4.0</b>
<b>MORGAN LEWIS/MLH</b>	<b>046</b>	<b>COST</b>	<b>B</b>	<b>10,000</b>	<b>46.74</b>	<b>n/a</b>	<b>30-Aug</b>	<b>500.00</b>	<b>5.0</b>
HIGHBRIDGE CAPITAL	038	CTL	B	10,300	39.98	n/a	n/a	515.00	5.0
HIGHBRIDGE CAPITAL	038	CZN	B	11,000	13.75	n/a	n/a	550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	239	DCI	S	5,000	33.79	n/a	n/a	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	DDS	S	25,000	31.57	n/a	n/a	1,250.00	5.0
BULL PATH CAPITAL	044	DPZ	B	20,500	24.37	20-Jul	20-Jul	1,025.00	5.0
DOUBLE V/PBX	044	DSW	S	4,500	28.70	n/a	n/a	225.00	5.0
FARALLON CAP MGMT	040	EMC	B	550,000	11.64	n/a	n/a	16,500.00	3.0
CAPITAL GROWTH MGMT.	241	ENH	B	20,000	32.47	n/a	n/a	1,000.00	5.0
GRANITE CAPITAL	067	FCL	S	6,159	35.60	n/a	n/a	307.95	5.0
SSRD	037	FD	B	51,900	37.69	12-Jun	28-Aug	2,076.00	4.0
GOLDMAN SACHS ASSET MGMT	044	FRNT	S	50,000	6.85	n/a	n/a	1,500.00	3.0
DAWSON SANBERG & CO	036	FSL	B	35,700	30.82	n/a	n/a	1,785.00	5.0
STANDARD PACIFIC CAPITAL	040	GLW	S	260,000	22.32	21-Mar	7-Aug	13,000.00	5.0
ARIENCE CAPITAL	036	GT	B	90,000	13.52	n/a	n/a	4,500.00	5.0
COLONIAL FUND LLC	036	GYMB	S	10,000	30.87	10-Aug	28-Aug	500.00	5.0
LOOMIS SALES/BOSTON	036	HLT	S	214,400	25.01	n/a	n/a	10,720.00	5.0
NEUBERGER BERMAN	239	HLX	S	600	38.53	n/a	n/a	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAZAMA CAPITAL MGMT.	035	HPY	B	17,500	27.02	n/a	n/a	700.00	4.0
DAWSON SANBERG & CO	036	JCI	S	2,500	71.21	5-Jul	21-Jul	125.00	5.0
COUGAR TRADING	044	JCP	B	15,000	63.63	5-May	28-Aug	750.00	5.0
BUCK CAPITAL MGMT	001	JNY	S	10,000	31.11	n/a	16-Aug	400.00	4.0
LOOMIS SALES/BOSTON	036	JTX	B	95,100	31.97	n/a	n/a	4,755.00	5.0
MATTHES CAPITAL MGMT	033	KCP	S	5,000	23.40	n/a	28-Jul	200.00	4.0
BUCK CAPITAL MGMT	001	KWD	B	120,000	28.01	n/a	n/a	4,800.00	4.0
NEUBERGER BERMAN	239	KWK	S	11,161	37.82	n/a	n/a	558.05	5.0
XYLEM GLOBAL	024	LPX	B	25,000	19.36	20-Jun	27-Jul	1,250.00	5.0
GRANITE CAPITAL	067	LSS	B	3,500	45.88	n/a	n/a	175.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	100,000	25.24	9-May	28-Aug	4,000.00	4.0
AVESTA CAP	229	MMM	S	25,000	71.68	10-Jul	25-Jul	1,250.00	5.0
DAWSON SANBERG & CO	036	NKE	S	2,100	79.67	n/a	n/a	105.00	5.0
HARVEST MGMT	039	ODP	B	30,000	36.62	26-Jun	31-Jul	1,500.00	5.0
SOLARIS INV MGMT	036	OI	S	5,000	14.65	n/a	n/a	299.00	6.0

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<b>LEDDY</b>	<b>035</b>	<b>PCL</b>	<b>S</b>	<b>600</b>	<b>34.72</b>	<b>3-May</b>	<b>25-Jul</b>	<b>0.00</b>	<b>0.0</b>
MTB INV ADV	034	PLCE	B	16,280	56.95	1-May	28-Aug	814.00	5.0
GALLEON MGMT LP	033	PPCO	B	20,000	18.16	n/a	n/a	1,000.00	5.0
NICHOLAS ADVISORS	034	RCL	S	36,500	34.24	30-Jul	31-Jul	1,825.00	5.0
MAGNETAR FINANCIAL	247	RI	S	10,000	25.27	n/a	n/a	400.00	4.0
COUGAR TRADING	044	RL	S	5,000	58.59	16-Jun	9-Aug	250.00	5.0
NEUBERGER BERMAN	239	ROK	S	33,100	56.51	n/a	n/a	1,655.00	5.0
DOUBLE V/PBX	044	RVI	B	12,000	14.30	n/a	n/a	600.00	5.0
GALLEON MGMT LP	033	SAP	B	5,000	48.16	n/a	n/a	250.00	5.0
ARIENCE CAPITAL	036	SHPGY	S	19,440	51.82	15-Aug	29-Aug	972.00	5.0
<b>LEEDS</b>	<b>002</b>	<b>SPKFF</b>	<b>S</b>	<b>7,956</b>	<b>5.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUSQUEHANNA CAPITAL	033	SSCC	B	50,000	11.52	15-May	17-Aug	2,500.00	5.0
DAWSON SANBERG & CO	036	STA	B	8,400	43.97	n/a	n/a	420.00	5.0
MERRILL ASSET	032	UTI	B	2,600	18.50	n/a	n/a	130.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>VSNT</b>	<b>S</b>	<b>10,875</b>	<b>8.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SEAROCK CAPITAL MANAGE	012	WMT	S	55,500	44.67	n/a	25-Aug	2,220.00	4.0
AMBER CAPITAL	046	ZLC	B	25,300	26.99	n/a	n/a	1,012.00	4.0
<b>TOTAL:</b>							<b>114,227.40</b>		

### Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	GRONET (GRONET)	030		B	100,000	51.50	n/a	n/a	0.00 0.0
AO,CXL	WHALE ROCK CAP (WHAL)	030	BONT	B	20,000	24.58	n/a	28-Aug	800.00 4.0
AO,	COUGAR TRADING (COUGPB MS)	044	FD	S	5,000	38.16	12-Jun	28-Aug	250.00 5.0
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	JCP	S	25,000	64.47	5-May	28-Aug	1,000.00 4.0
AO,	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	JCP	S	25,000	64.47	5-May	28-Aug	1,250.00 5.0
AO,CXL	FORD FDN. (FORDMAIN)	032	MMM	S	52,500	71.02	10-Jul	25-Jul	2,625.00 5.0
AO,	FORD FDN. (FORDMAIN)	032	MMM	S	35,000	71.06	10-Jul	25-Jul	1,750.00 5.0
AO,CXL	NCM CAPITAL MGMT (NCMCPALM B)	035	SAY	S	2,900	28.23	n/a	n/a	145.00 5.0
AO,CXL	NCM CAPITAL MGMT (NCMCLOCAL)	035	SAY	S	10,500	28.23	n/a	n/a	525.00 5.0
AO,	NCM CAPITAL MGMT (NCMCPALM B)	035	SAY	S	2,900	38.14	n/a	n/a	145.00 5.0
AO,	NCM CAPITAL MGMT (NCMCLOCAL)	035	SAY	S	10,500	38.14	n/a	n/a	525.00 5.0
AO,CXL	NCM CAPITAL MGMT (NCMCPROGRE)	035	SAY	S	6,500	28.23	n/a	n/a	325.00 5.0
AO,	NCM CAPITAL MGMT (NCMCPROGRE)	035	SAY	S	6,500	38.14	n/a	n/a	325.00 5.0
AO,CXL	NCM CAPITAL MGMT (NCMCPROGRE)	035	SAY	S	1,650	28.23	n/a	n/a	82.50 5.0
AO,	NCM CAPITAL MGMT (NCMCPROGRE)	035	SAY	S	1,650	38.14	n/a	n/a	82.50 5.0
AO,CXL	NCM CAPITAL MGMT (NCMCTALLAH)	035	SAY	S	4,600	28.23	n/a	n/a	230.00 5.0
AO,CXL	NCM CAPITAL MGMT (NCMCPROGRE)	035	SAY	S	2,075	28.23	n/a	n/a	103.75 5.0
AO,	NCM CAPITAL MGMT (NCMCTALLAH)	035	SAY	S	4,600	38.14	n/a	n/a	230.00 5.0
AO,	NCM CAPITAL MGMT (NCMCPROGRE)	035	SAY	S	2,075	38.14	n/a	n/a	103.75 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.