



Daily Compliance Activity Report

Trade Date: 09/20/2006

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|--------------|--------------|---------------|---------------|-------------|------------|
| BUCK CAPITAL MGMT | 001 | ABG | B | 25,000 | 18.83 | n/a | n/a | 1,000.00 | 4.0 |
| RAINIER INV MGMT | 035 | ADS | B | 55,000 | 55.17 | n/a | n/a | 2,750.00 | 5.0 |
| JP MORGAN VENTURES | 046 | AEOS | S | 15,000 | 44.32 | 5-Sep | 15-Sep | 750.00 | 5.0 |
| REICH AND TANG | 037 | AIN | B | 15,000 | 33.10 | n/a | n/a | 750.00 | 5.0 |
| COUGAR TRADING | 044 | ANF | S | 5,000 | 70.76 | 31-Aug | 31-Aug | 250.00 | 5.0 |
| KERN | 050 | APC | B | 100 | 42.16 | 31-Aug | 18-Sep | 0.00 | 0.0 |
| PILOT ADV | 038 | APPB | B | 50,000 | 22.89 | n/a | n/a | 2,000.00 | 4.0 |
| SSI INVESTORS | 048 | AT | S | 60,215 | 56.82 | n/a | n/a | 3,010.75 | 5.0 |
| HARVEST MGMT | 039 | BBW | B | 15,000 | 23.80 | n/a | n/a | 750.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | BBY | B | 65,000 | 54.93 | 13-Jun | 13-Sep | 2,600.00 | 4.0 |
| COUGAR TRADING | 044 | BONT | B | 5,000 | 29.68 | n/a | 1-Sep | 250.00 | 5.0 |
| GUARDIAN LIFE | 035 | BONT | B | 45,900 | 29.82 | n/a | 1-Sep | 1,836.00 | 4.0 |
| WHALE ROCK CAP | 030 | BONT | B | 50,000 | 29.87 | n/a | 1-Sep | 2,000.00 | 4.0 |
| KEEFE BRUYETTE WOODS A | 031 | BSC | S | 4,400 | 139.79 | 15-Jun | 15-Sep | 220.00 | 5.0 |
| LISTED ERR | 099 | CAR | S | 9,900 | 19.00 | n/a | n/a | 0.00 | 0.0 |

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|------------------------|------------|-------------|----------|--------------|--------------|------------|------------|-------------|------------|
| EQUINOX | 032 | CAR | S | 72,840 | 19.00 | n/a | n/a | 2,913.60 | 4.0 |
| HARVEST MGMT | 039 | CC | B | 20,000 | 27.15 | 12-Apr | 8-Sep | 1,000.00 | 5.0 |
| RBC CAPITAL MARKETS | 034 | CC | B | 50,000 | 26.93 | 12-Apr | 8-Sep | 2,500.00 | 5.0 |
| CARDINAL CAPITAL | 044 | CHE | B | 18,300 | 38.99 | n/a | n/a | 915.00 | 5.0 |
| HOTCHKIS & WILEY | 035 | CHE | B | 700 | 38.99 | n/a | n/a | 35.00 | 5.0 |
| MKT MAKER | 099 | CHIC | S | 52 | 26.75 | n/a | n/a | 0.00 | 0.0 |
| SAC TRADING HOWARD | 038 | CHIC | S | 13,300 | 26.75 | n/a | n/a | 665.00 | 5.0 |
| EGS ASSOCIATES LP | 059 | CHS | B | 3,000 | 21.46 | 23-Aug | 28-Aug | 180.00 | 6.0 |
| PRENTICE | 038 | CHS | B | 25,000 | 21.31 | 23-Aug | 28-Aug | 1,250.00 | 5.0 |
| THIRD COAST CAPITAL | 035 | CHS | B | 25,000 | 21.35 | 23-Aug | 28-Aug | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | CLE | B | 80,000 | 29.09 | 4-May | 5-Sep | 3,200.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | CLMS | S | 20,900 | 29.12 | n/a | 13-Sep | 1,045.00 | 5.0 |
| FIRST INV MGMT CORP | 036 | CMC | B | 5,600 | 20.24 | n/a | n/a | 280.00 | 5.0 |
| DSG CAPITAL | 225 | CMG | B | 2,000 | 50.69 | n/a | 11-Sep | 100.00 | 5.0 |
| DSG CAPITAL | 225 | CMG | S | 2,000 | 50.92 | n/a | 11-Sep | 100.00 | 5.0 |
| ZOLIDIS | 011 | CRMT | S | 400 | 16.09 | n/a | n/a | 0.00 | 0.0 |
| GOLD SACHS SPECIAL SIT | 037 | DBD | S | 50,000 | 42.98 | n/a | 15-Sep | 2,500.00 | 5.0 |
| SCHEINER | 037 | F | B | 1,000 | 7.71 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | FD | B | 5,000 | 42.65 | 13-Sep | 13-Sep | 250.00 | 5.0 |

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|--------------------------|------------|------------|----------|--------------|--------------|------------|---------------|-------------|------------|
| GLG PARTNERS | 034 | FD | B | 100,000 | 42.61 | 13-Sep | 13-Sep | 5,000.00 | 5.0 |
| LOOMIS SALES/BOSTON | 036 | FD | S | 121,025 | 42.50 | 13-Sep | 13-Sep | 6,051.25 | 5.0 |
| LISTED ERR | 099 | HNT | B | 5,600 | 43.52 | n/a | n/a | 0.00 | 0.0 |
| MARK | 012 | HNT | S | 50,000 | 43.52 | n/a | n/a | 1,500.00 | 3.0 |
| J L F ASSET MGMT | 039 | HOTT | B | 35,286 | 10.94 | n/a | 28-Aug | 1,411.44 | 4.0 |
| THIRD COAST CAPITAL | 035 | HOTT | B | 100,000 | 10.71 | n/a | 28-Aug | 5,000.00 | 5.0 |
| CAPITAL GROWTH MGMT. | 241 | HPQ | B | 183,000 | 36.82 | n/a | n/a | 9,150.00 | 5.0 |
| MATADOR CAPITAL | 044 | IFS | S | 18,600 | 17.03 | n/a | n/a | 744.00 | 4.0 |
| NEUBERGER BERMAN | 239 | IRF | S | 30,000 | 37.06 | n/a | n/a | 1,500.00 | 5.0 |
| REINHART & MAHONEY | 031 | ISIL | S | 18,725 | 25.57 | n/a | n/a | 936.25 | 5.0 |
| SAC TRADING/BILLY | 063 | JDSU | S | 300,000 | 2.19 | n/a | n/a | 9,000.00 | 3.0 |
| FRIESS MGMT | 042 | JWN | S | 346,700 | 43.46 | 14-Aug | 28-Aug | 15,601.50 | 4.5 |
| BUCK CAPITAL MGMT | 001 | KCP | B | 10,000 | 25.03 | n/a | 31-Aug | 400.00 | 4.0 |
| ZOLIDIS | 011 | KMX | B | 100 | 43.40 | n/a | 10-Jan | 0.00 | 0.0 |
| KEEFE BRUYETTE WOODS A | 031 | LM | S | 9,500 | 101.85 | 28-Jul | 13-Sep | 475.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | LTD | B | 20,000 | 27.01 | 9-May | 28-Aug | 800.00 | 4.0 |
| GOLDMAN SACHS ASSET MGMT | 044 | MGI | S | 72,000 | 30.63 | n/a | n/a | 1,080.00 | 1.5 |

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|------------------------|------------|-------------|----------|------------|--------------|------------|------------|-------------|------------|
| J L F ASSET MGMT | 039 | MS | B | 23,400 | 72.30 | 21-Jun | 12-Sep | 936.00 | 4.0 |
| MKT MAKER | 099 | MTLG | B | 600 | 18.29 | n/a | n/a | 0.00 | 0.0 |
| MKT MAKER | 099 | MTLG | S | 600 | 18.30 | n/a | n/a | 0.00 | 0.0 |
| EQUINOX | 032 | MWV | S | 39,000 | 26.16 | 13-Jul | 14-Sep | 1,950.00 | 5.0 |
| J L F ASSET MGMT | 039 | NDN | B | 71,100 | 13.01 | 11-Aug | 29-Aug | 2,844.00 | 4.0 |
| FRONTPOINT | 044 | NKTR | S | 38,400 | 14.36 | n/a | n/a | 1,920.00 | 5.0 |
| WYPER CAPITAL | 044 | NTLI | B | 100,000 | 25.29 | n/a | n/a | 4,000.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | NWSA | B | 94,900 | 19.35 | n/a | n/a | 4,745.00 | 5.0 |
| COUGAR TRADING | 044 | NWY | B | 5,000 | 13.00 | n/a | 28-Aug | 250.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | NWY | B | 20,000 | 12.86 | n/a | 28-Aug | 1,200.00 | 6.0 |
| S.A.C. CAPITAL MGMT. | 044 | OSI | S | 25,000 | 33.52 | 12-Sep | 13-Sep | 1,250.00 | 5.0 |
| SINCLAIR | 031 | PKE | S | 300 | 29.01 | n/a | n/a | 0.00 | 0.0 |
| J L F ASSET MGMT | 039 | PLCE | B | 25,700 | 59.29 | 1-May | 8-Sep | 1,028.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | PLCE | B | 50,000 | 59.71 | 1-May | 8-Sep | 2,500.00 | 5.0 |
| TROOB CAPITAL | 067 | RAD | S | 100,000 | 4.80 | n/a | n/a | 3,000.00 | 3.0 |
| DENVER INST. ADV | 046 | RL | S | 105,500 | 64.99 | 18-Sep | 19-Sep | 5,275.00 | 5.0 |
| REINHART & MAHONEY | 031 | RSG | B | 8,770 | 39.15 | n/a | n/a | 438.50 | 5.0 |

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|---------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| SCHEINER | 037 | SBL | S | 500 | 14.73 | 19-Sep | 19-Sep | 0.00 | 0.0 |
| BINDER | 007 | SKS | S | 700 | 16.29 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 20,000 | 23.77 | n/a | 7-Aug | 800.00 | 4.0 |
| GASNER | 025 | SOIGF | B | 500 | 4.80 | n/a | n/a | 0.00 | 0.0 |
| NICOLAS APPEGATE | 048 | SRVY | B | 7,100 | 10.99 | n/a | n/a | 213.00 | 3.0 |
| COUGAR TRADING | 044 | SSI | B | 5,000 | 29.66 | n/a | n/a | 250.00 | 5.0 |
| JEFFRIES MIKE | 067 | SSI | S | 5,000 | 28.77 | n/a | n/a | 250.00 | 5.0 |
| MORRISON & FRASIER | 040 | SSI | B | 12,000 | 28.77 | n/a | n/a | 600.00 | 5.0 |
| MCCARTAN | 028 | SWK | S | 100 | 49.13 | n/a | n/a | 0.00 | 0.0 |
| SCHEINER | 037 | SWN | B | 500 | 29.95 | 7-Aug | 8-Sep | 0.00 | 0.0 |
| LOOMIS SALES/BOSTON | 036 | T | S | 240,025 | 31.92 | 20-Sep | 18-Sep | 12,001.25 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TBL | B | 10,000 | 29.35 | 19-Jul | 13-Sep | 400.00 | 4.0 |
| REINHART & MAHONEY | 031 | TDY | S | 11,000 | 41.61 | n/a | n/a | 550.00 | 5.0 |
| FRONTPOINT | 044 | TELK | S | 19,600 | 17.57 | n/a | n/a | 980.00 | 5.0 |
| NEUBERGER BERMAN | 239 | TEX | S | 3,200 | 43.97 | n/a | n/a | 160.00 | 5.0 |
| NEUBERGER BERMAN | 239 | TKR | S | 4,700 | 33.81 | n/a | n/a | 235.00 | 5.0 |

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|---------------------|------|--------|-----|---------|-------|-------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | TLB | B | 25,000 | 26.04 | n/a | 17-Aug | 1,000.00 | 4.0 |
| NEUBERGER BERMAN | 239 | TLM | S | 10,100 | 15.83 | n/a | n/a | 505.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | TROW | S | 10,000 | 47.58 | 6-Sep | 13-Sep | 500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | TXRH | S | 15,000 | 13.88 | n/a | n/a | 750.00 | 5.0 |
| NEUBERGER BERMAN | 239 | TXU | S | 1,900 | 60.51 | n/a | n/a | 95.00 | 5.0 |
| DELTEC ASSET MGMT. | 040 | URBN | S | 20,000 | 18.28 | 9-Aug | 10-Aug | 1,000.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | WB | B | 15,000 | 55.76 | n/a | n/a | 750.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | WDR | S | 20,000 | 24.49 | 6-Sep | 13-Sep | 1,000.00 | 5.0 |
| SANDLER CAPITAL | 038 | WDR | S | 40,000 | 24.66 | 6-Sep | 13-Sep | 2,400.00 | 6.0 |
| PILOT ADV | 038 | WGO | B | 40,000 | 30.92 | n/a | n/a | 1,600.00 | 4.0 |
| NEUBERGER BERMAN | 239 | WHR | S | 1,700 | 88.08 | n/a | n/a | 85.00 | 5.0 |
| NEUBERGER BERMAN | 239 | WMB | S | 6,200 | 22.73 | n/a | n/a | 310.00 | 5.0 |
| COBALT | 038 | WMT | B | 100,000 | 48.71 | n/a | 31-Aug | 5,000.00 | 5.0 |
| STADIA CAPITAL | 035 | WMT | B | 353,000 | 48.85 | n/a | 31-Aug | 14,120.00 | 4.0 |
| EGS ASSOCIATES LP | 059 | WRNC | B | 3,500 | 20.70 | 5-Sep | 15-Sep | 210.00 | 6.0 |
| TROUBH PART | 067 | XOHO | B | 100,000 | 4.60 | n/a | n/a | 5,000.00 | 5.0 |

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|-------------------|------|--------|-----|--------|-------|-------|-------------------|-------------|-----|
| EGS ASSOCIATES LP | 059 | ZQK | B | 3,000 | 12.17 | 8-Sep | 8-Sep | 180.00 | 6.0 |
| TOTAL: | | | | | | | 177,280.54 | | |

Cancel/Corrects and As-Of Trades

| Type | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|----------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| AO, | SSI INVESTORS (SSIIMORGAN) | 048 | T | B | 14,695 | 31.58 | 20-Sep | 18-Sep | 587.80 | 4.0 |
| AO,CXL | SSI INVESTORS (SSIJJP MOR) | 048 | T | B | 14,695 | 31.58 | 20-Sep | 18-Sep | 587.80 | 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.