



Daily Compliance Activity Report

Trade Date: 09/18/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KEEFE BRUYETTE WOODS A	031	AB	S	8,000	70.25	6-Sep	13-Sep	400.00	5.0
BUCK CAPITAL MGMT	001	ABG	B	40,000	19.82	n/a	n/a	1,600.00	4.0
NWQ INVESTMENT MGMT CO	048	ACGY	B	4,200	16.94	n/a	n/a	168.00	4.0
AVESTA CAP	229	ADP	B	25,000	47.71	n/a	n/a	1,250.00	5.0
VARDON PARTNERS	035	AM	S	8,000	24.42	n/a	n/a	400.00	5.0
COUGAR TRADING	044	ANF	B	5,000	68.24	31-Aug	31-Aug	250.00	5.0
J L F ASSET MGMT	039	ARO	B	44,300	29.23	6-Jul	28-Aug	1,772.00	4.0
WHITTIER CAP	048	ARO	S	6,325	29.24	6-Jul	28-Aug	316.25	5.0
NWQ INVESTMENT MGMT CO	048	AV	B	4,400	11.27	n/a	22-Mar	176.00	4.0
SAXON WOODS ADVISORS	038	BC	S	5,200	30.63	n/a	n/a	260.00	5.0
BALYASNY ASSET MGMT	044	BEN	S	10,000	103.65	11-Sep	13-Sep	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	BIG	S	5,000	19.45	16-Aug	15-Sep	200.00	4.0
STRONG/WELL HOWARD	038	BJS	S	50,000	30.36	n/a	n/a	2,000.00	4.0
STERLING JOHNSTON	035	BWNG	B	52,000	11.64	n/a	18-Sep	2,600.00	5.0
SLS CAPITAL LLC	224	BYI	S	88,000	16.45	n/a	n/a	4,400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	CAKE	B	1,128	26.00	28-Jun	19-Sep	0.00	0.0
WHITTIER CAP	048	CAKE	B	28,615	26.24	28-Jun	19-Sep	1,430.75	5.0
EQUINOX	032	CAR	S	66,100	18.91	n/a	n/a	2,644.00	4.0
NWQ INVESTMENT MGMT CO	048	CASY	B	3,100	22.39	n/a	n/a	124.00	4.0
BUCK CAPITAL MGMT	001	CBK	B	70,000	27.25	1-Jun	14-Sep	2,800.00	4.0
SAC TRADING HOWARD	038	CHIC	S	15,000	26.60	n/a	n/a	750.00	5.0
DELTEC ASSET MGMT.	040	CHS	B	16,000	20.35	23-Aug	28-Aug	800.00	5.0
BUCK CAPITAL MGMT	001	CLE	B	90,000	27.45	4-May	5-Sep	3,600.00	4.0
MKT MAKER	099	CLMS	B	79	29.10	n/a	13-Sep	0.00	0.0
APEX CAPITAL MGMT.	002	COST	S	100,000	49.35	n/a	31-Aug	5,000.00	5.0
BUCK CAPITAL MGMT	001	CRI	S	10,000	24.01	n/a	n/a	400.00	4.0
LISTED ERR	099	CTV	B	30	31.01	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	CTV	B	10,200	31.01	n/a	n/a	408.00	4.0
GOLD SACHS SPECIAL SIT	037	DBD	S	72,900	42.11	n/a	15-Sep	3,645.00	5.0
BUCK CAPITAL MGMT	015	DDR	S	250	54.98	n/a	n/a	0.00	0.0
CUMBERLAND	038	DEO	S	50,000	70.52	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	DLTR	S	4,450	30.33	n/a	15-Sep	178.00	4.0
WILLOW CREEK	033	EFD	S	15,000	24.27	n/a	n/a	675.00	4.5
BUCK CAPITAL MGMT	001	EL	S	10,000	39.60	16-Aug	16-Aug	400.00	4.0
MAGUIRE	039	EV	S	400	27.59	6-Sep	19-Sep	0.00	0.0
COUGAR TRADING	044	FD	B	5,000	42.19	13-Sep	13-Sep	250.00	5.0
RBC CAPITAL MARKETS	034	FD	B	20,000	42.09	13-Sep	13-Sep	1,000.00	5.0
AMBER CAPITAL	046	FDC	B	25,000	41.68	n/a	n/a	1,000.00	4.0
METROPOLITAN CAPITAL	044	FL	S	103,100	23.84	n/a	18-Aug	5,155.00	5.0
EGS ASSOCIATES LP	059	FOSL	B	4,000	20.11	12-Aug	14-Sep	240.00	6.0
MAZAMA CAPITAL MGMT.	035	FS	S	1,300	64.32	n/a	n/a	52.00	4.0
DALTON GREINER	012	GCO	B	45,000	30.29	n/a	10-Jan	2,250.00	5.0
HOFFMAN	014	HCA INC	B	50,000	81.50	n/a	n/a	0.00	0.0
MKT MAKER	099	HOTT	S	300	10.50	n/a	28-Aug	0.00	0.0
WHITTIER CAP	048	HOTT	B	17,570	10.50	n/a	28-Aug	878.50	5.0
BUCK CAPITAL MGMT	015	HSY	B	300	51.49	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	IDC	B	4,300	19.50	n/a	n/a	172.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATADOR CAPITAL	044	IFS	S	9,100	17.00	n/a	n/a	364.00	4.0
SAXON WOODS ADVISORS	038	INTC	S	10,000	19.60	n/a	n/a	500.00	5.0
VARDON PARTNERS	035	IPG	B	100,000	9.76	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	30.00	25-Aug	25-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	20,000	64.70	5-May	31-Aug	800.00	4.0
MAZAMA CAPITAL MGMT.	035	JEF	B	58,450	27.01	n/a	n/a	2,338.00	4.0
BUCK CAPITAL MGMT	001	KCP	B	35,000	24.50	n/a	31-Aug	1,400.00	4.0
SAXON WOODS ADVISORS	038	KNDL	S	336	32.06	n/a	n/a	16.80	5.0
WARBURG	037	KNL	S	18,900	17.45	n/a	n/a	945.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	10,000	28.30	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	LEND	S	20,000	35.71	n/a	n/a	1,000.00	5.0
GALLEON MGMT LP	033	LEND	S	15,000	36.69	n/a	n/a	750.00	5.0
WILLOW CREEK	033	LI	S	71,400	27.07	n/a	n/a	3,213.00	4.5
MKT MAKER	099	LVLTT	S	1,000	5.03	4-Aug	18-Sep	0.00	0.0
STRAUSS ASSET MGMT	040	LVLTT	S	50,000	5.07	4-Aug	18-Sep	2,000.00	4.0
BUCK CAPITAL MGMT	015	LVS	S	200	67.23	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	MEL	S	75,000	38.48	n/a	12-Sep	3,750.00	5.0
ROTHSCHILD ASSET	040	MKC	B	15,300	36.79	n/a	n/a	688.50	4.5
NWQ INVESTMENT MGMT CO	048	MTG	B	5,000	61.92	n/a	n/a	200.00	4.0
NWQ INVESTMENT MGMT CO	048	NDE	B	2,100	40.09	n/a	n/a	84.00	4.0
CAXTON PART	040	ORCL	S	100,000	16.32	n/a	n/a	4,000.00	4.0
FRIESS MGMT	042	ORCL	S	819,000	16.24	n/a	n/a	36,855.00	4.5
BUCK CAPITAL MGMT	015	PEP	S	150	65.01	n/a	n/a	0.00	0.0
GASNER	025	POP	B	1,250	5.63	n/a	n/a	0.00	0.0
SAXON WOODS ADVISORS	038	RE	S	1,500	98.30	n/a	n/a	75.00	5.0
JP MORGAN VENTURES	046	RL	S	15,000	64.16	18-Sep	19-Sep	750.00	5.0
ROTHSCHILD ASSET	040	SNA	B	11,100	44.29	n/a	n/a	499.30	4.5
HIGHLINE ADV	044	SO	B	342,000	34.31	n/a	n/a	17,100.00	5.0
U.S.TRUST COMPANY	012	SOV	S	50,000	21.59	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	10,000	26.91	n/a	n/a	400.00	4.0
SSI INVESTORS	048	T	B	46,555	31.58	25-Jul	18-Sep	1,862.20	4.0
NWQ INVESTMENT MGMT CO	048	THG	B	6,800	44.55	n/a	n/a	272.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SLS CAPITAL LLC	224	THO	S	30,000	40.87	n/a	n/a	1,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	TJX	S	5,000	27.80	16-Aug	28-Aug	200.00	4.0
LUCHANSKY1	036	TSBK	S	100	37.80	n/a	n/a	0.00	0.0
IVORY CAPITAL	034	TXN	B	300,000	32.22	n/a	n/a	15,000.00	5.0
INDEPENDENCE INV	039	TXT	S	50,000	83.54	n/a	n/a	2,000.00	4.0
SUFFOLK CAPITAL MGMT	040	WAG	S	278,400	49.55	n/a	n/a	11,136.00	4.0
SANDLER CAPITAL	038	WDR	S	75,000	23.79	6-Sep	13-Sep	4,500.00	6.0
COUGAR TRADING	044	ZQK	B	5,000	12.33	8-Sep	8-Sep	250.00	5.0
TOTAL:							174,793.30		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	CHARTER OAK (CHARUBS)	037	ARB	B	7,000	38.02	n/a	n/a	350.00	5.0
AO,	SOMERSET ADV (SOMEUBSADV)	044	ARB	B	7,000	38.02	n/a	n/a	350.00	5.0
AO,	MKT MAKER (MKT MAKER)	099	BONT	S	25	28.46	n/a	1-Sep	0.00	0.0
AO,	RBC CAPITAL MARKETS (RBCCM)	034	CC	S	25,000	26.10	12-Apr	8-Sep	1,250.00	5.0
AO,CXL	PEQUOT CAPITAL MGMT (PEQUNTRN)	033	DENN	B	25,000	3.81	n/a	n/a	750.00	3.0
AO,	WILLOW CREEK (WILLNORTR)	033	DENN	B	25,000	3.81	n/a	n/a	750.00	3.0
AO,CXL	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	DG	B	20,000	13.92	21-Aug	31-Aug	800.00	4.0
AO,	MERRILL LYNCH STRATEGICI (MLSIMERRIL)	034	DG	B	20,000	13.92	21-Aug	31-Aug	1,000.00	5.0
AO,	WILLOW CREEK (WILLMSO)	033	LI	S	1,600	27.27	n/a	n/a	72.00	4.5
AO,	WILLOW CREEK (WILLNORTR)	033	LI	S	2,000	27.27	n/a	n/a	90.00	4.5
AO,	WHITTIER CAP (WHITCALI)	048	NTY	S	16,030	27.43	n/a	n/a	801.50	5.0
AO,CXL	U.S.TRUST COMPANY (USTCMAIN A)	012	PKG	B	50,000	22.83	n/a	14-Sep	2,500.00	5.0
AO,	U.S.TRUST COMPANY (USTCMAIN A)	012	PKG	B	50,000	22.83	n/a	14-Sep	2,000.00	4.0
AO,	WHITTIER CAP (WHITCALI)	048	RAH	S	7,265	50.90	n/a	n/a	363.25	5.0
AO,	CADMUS CAP (CADMGOLDMA)	035	UNH	S	12,000	52.23	n/a	n/a	480.00	4.0
AO,CXL	CADMUS CAP (CADMGOLDMA)	035	UNH	S	12,000	52.23	n/a	n/a	600.00	5.0
AO,	KARSCH CAPITAL (KARSLEHMAN)	034	XOM	B	4,590	65.08	n/a	n/a	137.70	3.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	KARSCH CAPITAL (KARSGOLDMA)	034	XOM	B	188,410	65.08	n/a	n/a	5,652.30	3.0

Legend:

Blue: Employee and Proprietary Trades.

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

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