



# Daily Compliance Activity Report

Trade Date: 09/21/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	AIT	B	899	24.46	n/a	n/a	44.95	5.0
<b>BINDER</b>	<b>007</b>	<b>AMWD</b>	<b>B</b>	<b>100</b>	<b>32.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ANF	B	5,000	70.15	31-Aug	31-Aug	250.00	5.0
BULL PATH CAPITAL	044	APPB	B	25,000	22.57	n/a	n/a	1,250.00	5.0
BELAY CAPITAL	039	ARO	S	20,000	29.08	6-Jul	28-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	28.93	6-Jul	28-Aug	400.00	4.0
BAIRD INVESTMENT	031	AVID	B	543	42.13	n/a	n/a	27.15	5.0
BALYASNY ASSET MGMT	044	AVZ	S	20,000	21.14	6-Sep	13-Sep	1,000.00	5.0
ESTABROOK	032	AXP	B	2,500	54.31	n/a	n/a	112.50	4.5
ESTABROOK	032	BAC	B	6,750	52.53	19-Jul	12-Sep	303.75	4.5
BUCK CAPITAL MGMT	001	BBY	S	10,000	53.91	13-Jun	13-Sep	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	BBY	S	2,500	54.49	13-Jun	13-Sep	125.00	5.0
ESTABROOK	032	BG	B	1,000	57.99	n/a	n/a	45.00	4.5
SOROS	036	BGP	S	100,000	20.29	n/a	n/a	5,000.00	5.0
SOROS	036	BIG	S	50,000	19.75	16-Aug	15-Sep	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	BJS	S	40,800	29.77	n/a	n/a	2,040.00	5.0
COUGAR TRADING	044	BONT	S	15,000	30.66	n/a	21-Sep	750.00	5.0
WASHINGTON ASSET	048	BONT	B	10,000	30.48	n/a	21-Sep	500.00	5.0
WHALE ROCK CAP	030	BONT	B	50,000	30.50	n/a	21-Sep	2,000.00	4.0
BAIRD INVESTMENT	031	BRC	B	860	35.19	n/a	n/a	43.00	5.0
CAPITAL GROWTH MGMT.	241	BSC	S	200,000	137.25	15-Jun	15-Sep	10,000.00	5.0
BAIRD INVESTMENT	031	BUCY	B	627	41.17	n/a	n/a	31.35	5.0
BUCK CAPITAL MGMT	001	BWS	B	50,000	34.42	n/a	n/a	2,000.00	4.0
ESTABROOK	032	C	B	19,180	49.99	n/a	12-Sep	863.10	4.5
LISTED ERR	099	CAR	B	9,900	19.00	n/a	n/a	0.00	0.0
ESTABROOK	032	CAT	S	1,500	64.82	n/a	n/a	67.50	4.5
BUCK CAPITAL MGMT	001	CBK	S	15,000	29.46	18-Sep	20-Sep	600.00	4.0
KENNEDY CAPITAL	046	CBL	B	60,385	41.89	n/a	n/a	2,415.40	4.0
ESTABROOK	032	CBS	B	1,500	28.18	n/a	n/a	67.50	4.5
FIRST NEW YORK LEDDY	035	CC	S	10,000	25.48	12-Apr	21-Sep	600.00	6.0
ESTABROOK	032	CCK	S	4,000	18.70	n/a	n/a	180.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	CENT	B	768	49.86	3-May	18-Sep	38.40	5.0
BUCK CAPITAL MGMT	001	CHS	S	142,300	21.71	23-Aug	28-Aug	5,692.00	4.0
LEHMAN PROPRIETARY TRAD	039	CL	S	16,000	62.08	25-Jul	26-Jul	640.00	4.0
CAPITAL GROWTH MGMT.	241	CLB	S	20,000	61.33	7-Aug	7-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	CLE	B	80,000	29.20	20-Sep	21-Sep	3,200.00	4.0
ROARING BLUE LION MGMT	012	CLE	S	4,300	29.16	20-Sep	21-Sep	215.00	5.0
FIRST INV MGMT CORP	036	CMC	B	13,600	20.24	n/a	n/a	680.00	5.0
ESTABROOK	032	CMCSA	S	6,500	35.14	27-Jul	20-Sep	292.50	4.5
ESTABROOK	032	CNX	B	15,500	30.88	n/a	n/a	697.50	4.5
ESTABROOK	032	COP	S	1,000	58.69	n/a	n/a	45.00	4.5
ESTABROOK	032	CP	S	5,750	48.04	n/a	n/a	258.75	4.5
BAIRD INVESTMENT	031	CPSI	B	843	34.42	n/a	n/a	42.15	5.0
MOORE CAPITAL	036	CSCO	B	400,000	22.99	n/a	22-Mar	16,000.00	4.0
ESTABROOK	032	CSG	B	6,000	42.31	n/a	n/a	270.00	4.5
STANDARD PACIFIC CAPITAL	040	CVC	S	600,000	23.37	1-May	5-Sep	30,000.00	5.0
LOOMIS SALES/BOSTON	036	CVS	B	382,550	32.47	n/a	n/a	19,127.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ESTABROOK	032	CVX	S	500	62.23	n/a	n/a	22.50	4.5
ESTABROOK	032	CX	S	34,000	29.52	n/a	n/a	1,530.00	4.5
FRONTPOINT	044	CYBX	S	45,000	17.30	n/a	n/a	2,250.00	5.0
GOLD SACHS SPECIAL SIT	037	DBD	S	20,000	43.06	n/a	15-Sep	1,000.00	5.0
BELAY CAPITAL	039	DG	S	15,000	14.28	21-Aug	31-Aug	600.00	4.0
ESTABROOK	032	DUK	S	11,000	30.13	n/a	n/a	495.00	4.5
BAIRD INVESTMENT	031	DWSN	B	645	28.35	n/a	n/a	32.25	5.0
<b>SUTERA</b>	<b>060</b>	<b>EFT</b>	<b>B</b>	<b>10,000</b>	<b>18.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SCHEINER</b>	<b>037</b>	<b>EFT</b>	<b>B</b>	<b>2,000</b>	<b>18.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PILOT ADV	038	ERJ	S	49,700	40.20	n/a	n/a	1,988.00	4.0
ESTABROOK	032	ETN	B	1,000	68.23	n/a	18-Aug	45.00	4.5
<b>EFSTATHIOU</b>	<b>044</b>	<b>EVST</b>	<b>S</b>	<b>400</b>	<b>15.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHALE ROCK CAP</b>	<b>030</b>	<b>FD</b>	<b>S</b>	<b>130,000</b>	<b>41.73</b>	<b>13-Sep</b>	<b>21-Sep</b>	<b>5,200.00</b>	<b>4.0</b>
ESTABROOK	032	FDC	S	1,000	40.83	n/a	n/a	45.00	4.5
JP MORGAN VENTURES	046	FDC	S	80,000	40.66	n/a	n/a	4,000.00	5.0
<b>COUGAR TRADING</b>	<b>044</b>	<b>FRED</b>	<b>S</b>	<b>10,000</b>	<b>13.72</b>	<b>21-Aug</b>	<b>21-Sep</b>	<b>500.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EIDELMAN,FINGER & CO	046	FRED	S	10,000	13.33	21-Aug	21-Sep	500.00	5.0
THIRD COAST CAPITAL	035	FRED	S	35,000	13.60	21-Aug	21-Sep	1,750.00	5.0
ESTABROOK	032	FRK	S	2,000	38.05	n/a	n/a	90.00	4.5
ESTABROOK	032	GE	S	5,000	34.32	n/a	n/a	225.00	4.5
ESTABROOK	032	GG	B	1,000	22.73	n/a	n/a	45.00	4.5
BAIRD INVESTMENT	031	GMRK	B	775	31.13	n/a	n/a	38.75	5.0
ESTABROOK	032	GMRK	S	500	30.86	n/a	n/a	22.50	4.5
BUCK CAPITAL MGMT	001	GPS	S	178,200	18.16	31-Jul	28-Aug	7,128.00	4.0
FIRST NEW YORK LEDDY	035	GPS	B	40,000	18.39	31-Jul	28-Aug	2,400.00	6.0
ESTABROOK	032	GRP	B	500	37.55	n/a	n/a	22.50	4.5
ESTABROOK	032	GS	S	500	167.27	17-May	13-Sep	22.50	4.5
LEHMAN PROPRIETARY TRAD	039	GS	B	12,000	167.89	17-May	13-Sep	480.00	4.0
OGORMAN	146	GYMB	S	100	42.76	21-Sep	21-Sep	0.00	0.0
APEX CAPITAL MGMT.	002	GYMB	S	43,500	42.17	21-Sep	21-Sep	2,175.00	5.0
BUCK CAPITAL MGMT	001	HET	S	7,500	67.87	27-Jul	28-Jul	300.00	4.0
LISTED ERR	099	HNT	S	5,600	43.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	015	HSP	S	700	39.00	n/a	22-Apr	0.00	0.0
KENNEDY CAPITAL	046	HST	S	14,940	23.10	n/a	n/a	597.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	HWAY	B	633	48.25	n/a	n/a	31.65	5.0
<b>LEDDY</b>	<b>035</b>	<b>ICON</b>	<b>S</b>	<b>500</b>	<b>16.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRENTICE	038	IDR	S	346,700	34.56	n/a	n/a	17,335.00	5.0
TYEE/TYGH	035	IDR	S	31,606	34.62	n/a	n/a	1,264.24	4.0
MATADOR CAPITAL	044	IFS	S	8,100	17.01	n/a	n/a	324.00	4.0
TRIBECA	038	IMH	B	4,000	8.90	n/a	n/a	160.00	4.0
HIGHBRIDGE CAPITAL	038	IP	S	150,000	33.80	n/a	14-Sep	7,500.00	5.0
ESTABROOK	032	JNJ	S	1,500	64.14	n/a	22-Apr	67.50	4.5
ESTABROOK	032	JPM	B	5,500	46.81	n/a	12-Sep	247.50	4.5
ROARING BLUE LION MGMT	012	JWN	S	3,700	42.84	14-Aug	28-Aug	185.00	5.0
BAIRD INVESTMENT	031	KYPH	B	686	38.23	n/a	n/a	34.30	5.0
<b>WHEELER</b>	<b>008</b>	<b>LEA</b>	<b>B</b>	<b>10,000</b>	<b>18.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	015	LGND	B	1,000	10.22	n/a	n/a	0.00	0.0
ESTABROOK	032	MDR	B	8,000	41.09	n/a	n/a	360.00	4.5
<b>WHEELER</b>	<b>008</b>	<b>MMKO</b>	<b>S</b>	<b>40</b>	<b>2.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ESTABROOK	032	MOT	B	3,000	25.21	n/a	n/a	135.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ESTABROOK	032	MRK	B	1,500	41.90	n/a	n/a	67.50	4.5
ESTABROOK	032	MRO	B	2,500	72.25	n/a	n/a	112.50	4.5
<b>EOS PARTNERS</b>	<b>040</b>	<b>MS</b>	<b>S</b>	<b>10,000</b>	<b>72.16</b>	<b>20-Sep</b>	<b>21-Sep</b>	<b>500.00</b>	<b>5.0</b>
<b>ESTABROOK</b>	<b>032</b>	<b>MS</b>	<b>B</b>	<b>2,500</b>	<b>72.01</b>	<b>20-Sep</b>	<b>21-Sep</b>	<b>112.50</b>	<b>4.5</b>
ESTABROOK	032	MSFT	S	3,000	26.95	n/a	3-Apr	135.00	4.5
ESTABROOK	032	NCR	B	3,000	38.68	n/a	n/a	135.00	4.5
BELAY CAPITAL	039	NDN	S	25,000	12.60	11-Aug	29-Aug	1,000.00	4.0
TRIVIUM CAP MGMT	028	NKE	S	20,000	83.45	n/a	n/a	800.00	4.0
ESTABROOK	032	NOK	B	3,000	19.28	n/a	n/a	135.00	4.5
MS PRINCIPAL STRATEGIES	040	NSS	B	100,000	64.40	n/a	n/a	4,000.00	4.0
LOOMIS SALES/BOSTON	036	ODP	S	135,075	39.81	26-Jun	31-Aug	6,753.75	5.0
BAIRD INVESTMENT	031	OII	B	708	29.68	n/a	n/a	35.40	5.0
THE JAY GOLDMAN	034	ONXX	S	12,500	16.00	n/a	n/a	500.00	4.0
ESTABROOK	032	PBRA	S	1,000	69.99	n/a	n/a	45.00	4.5
<b>SCHEINER</b>	<b>037</b>	<b>PCL</b>	<b>S</b>	<b>1,500</b>	<b>33.91</b>	<b>3-May</b>	<b>25-Jul</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	PFCB	B	531	36.82	26-Jul	7-Sep	26.55	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ESTABROOK	032	PFE	B	35,500	28.25	n/a	31-Mar	1,597.50	4.5
ESTABROOK	032	PG	B	1,000	61.61	25-Apr	6-Sep	45.00	4.5
GUARDIAN LIFE	035	PG	S	175,000	61.64	25-Apr	6-Sep	7,000.00	4.0
LOOMIS SALES/BOSTON	036	PG	B	42,000	61.72	25-Apr	6-Sep	2,100.00	5.0
THIRD COAST CAPITAL	035	PIR	B	50,000	7.40	n/a	n/a	2,500.00	5.0
LESTER BROS CAPITAL LLC	032	PLCE	B	5,000	61.50	1-May	8-Sep	250.00	5.0
ESTABROOK	032	PX	B	2,000	58.76	n/a	26-Jul	90.00	4.5
<b>WHEELER</b>	<b>008</b>	<b>QXWBV</b>	<b>S</b>	<b>240</b>	<b>1.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>RCKY</b>	<b>B</b>	<b>1,000</b>	<b>11.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	RCRC	B	677	34.83	n/a	n/a	33.85	5.0
STADIA CAPITAL	035	RL	S	46,000	64.44	18-Sep	19-Sep	1,840.00	4.0
BAIRD INVESTMENT	031	RRGB	S	612	49.18	n/a	n/a	30.60	5.0
<b>SCHEINER</b>	<b>037</b>	<b>SBL</b>	<b>S</b>	<b>4,000</b>	<b>14.64</b>	<b>19-Sep</b>	<b>19-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>SCHEINER</b>	<b>037</b>	<b>SIX</b>	<b>S</b>	<b>900</b>	<b>5.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	031	SKYW	B	911	25.74	n/a	n/a	45.55	5.0
ROTHSCHILD ASSET	040	SNA	B	24,500	43.57	n/a	n/a	1,102.50	4.5



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROMPTON CROSS	036	SPY	S	100,000	131.62	n/a	n/a	4,000.00	4.0
ESTABROOK	032	STA	B	2,500	46.09	n/a	n/a	112.50	4.5
<b>LEDDY</b>	<b>035</b>	<b>SVI</b>	<b>S</b>	<b>1,000</b>	<b>8.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BINDER</b>	<b>007</b>	<b>SWK</b>	<b>S</b>	<b>100</b>	<b>48.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SSI INVESTORS	048	SWN	B	42,046	30.08	7-Aug	8-Sep	1,681.84	4.0
ESTABROOK	032	TE	B	8,500	15.36	n/a	n/a	382.50	4.5
BAIRD INVESTMENT	031	THQI	B	901	29.50	n/a	n/a	45.05	5.0
LEVIN CAPITAL STRATEGIES	012	TJX	B	20,000	28.14	16-Aug	28-Aug	800.00	4.0
PATTEN & PATTEN	067	TJX	S	1,050	27.89	16-Aug	28-Aug	52.50	5.0
BAIRD INVESTMENT	031	TSCO	B	959	47.98	n/a	n/a	47.95	5.0
STERLING JOHNSTON	035	TWB	B	40,000	37.81	5-Sep	5-Sep	2,000.00	5.0
ESTABROOK	032	TXU	S	3,000	60.35	n/a	n/a	135.00	4.5
BAIRD INVESTMENT	031	UNFI	B	960	32.41	n/a	n/a	48.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>URGI</b>	<b>S</b>	<b>200</b>	<b>17.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ESTABROOK	032	USB	S	1,000	33.13	n/a	n/a	45.00	4.5
ESTABROOK	032	UTX	B	5,000	62.79	n/a	n/a	225.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ESTABROOK	032	VLO	S	4,500	49.68	n/a	n/a	202.50	4.5
BAIRD INVESTMENT	031	VSEA	B	777	37.23	n/a	n/a	38.85	5.0
<b>CARLSON CAPITAL</b>	<b>031</b>	<b>VZ</b>	<b>B</b>	<b>400,200</b>	<b>36.69</b>	<b>19-Sep</b>	<b>21-Sep</b>	<b>20,010.00</b>	<b>5.0</b>
<b>MAIRS AND POWER INV</b>	<b>030</b>	<b>VZ</b>	<b>S</b>	<b>10,000</b>	<b>36.88</b>	<b>19-Sep</b>	<b>21-Sep</b>	<b>600.00</b>	<b>6.0</b>
AVESTA CAP	229	WAG	B	50,000	46.90	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	015	WAG	B	500	46.59	n/a	n/a	0.00	0.0
SOROS	036	WAG	S	100,000	46.83	n/a	n/a	5,000.00	5.0
THIRD COAST CAPITAL	035	WAG	S	10,000	47.68	n/a	n/a	500.00	5.0
ESTABROOK	032	WB	B	1,000	55.03	n/a	n/a	45.00	4.5
BALYASNY ASSET MGMT	044	WDR	S	20,000	24.46	6-Sep	13-Sep	1,000.00	5.0
ESTABROOK	032	WFT	B	8,000	38.67	n/a	n/a	360.00	4.5
PATTEN & PATTEN	067	WLP	S	300	76.90	n/a	n/a	15.00	5.0
TRIBECA	038	WM	S	5,000	42.76	n/a	n/a	200.00	4.0
SOROS	036	WSM	S	50,000	32.28	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	031	WSO	B	399	45.73	n/a	n/a	19.95	5.0
BUCK CAPITAL MGMT	001	ZQK	B	70,000	12.35	8-Sep	8-Sep	2,800.00	4.0
WOOSTER CAPITAL	035	ZQK	B	75,000	12.29	8-Sep	8-Sep	3,750.00	5.0

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**TOTAL :**

**253,873.63**

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# Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	SSI INVESTORS (SSIIUBS PA)	048	AT	S	22,300	56.82	n/a	n/a	1,115.00	5.0
AO,	SSI INVESTORS (SSIIUBS PA)	048	AT	S	22,300	56.82	n/a	n/a	892.00	4.0
AO,CXL	SSI INVESTORS (SSIISMITH)	048	AT	S	17,690	56.82	n/a	n/a	884.50	5.0
AO,	SSI INVESTORS (SSIISMITH)	048	AT	S	17,690	56.82	n/a	n/a	707.60	4.0
AO,CXL	SSI INVESTORS (SSIIMORGAN)	048	AT	S	20,225	56.82	n/a	n/a	1,011.25	5.0
AO,	SSI INVESTORS (SSIIMORGAN)	048	AT	S	20,225	56.82	n/a	n/a	809.00	4.0
<b>AO,</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>BONT</b>	<b>S</b>	<b>64</b>	<b>29.84</b>	<b>n/a</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>AO,</b>	<b>FORTRESS CAPITAL (FORTMAINBA)</b>	<b>040</b>	<b>CC</b>	<b>S</b>	<b>100,000</b>	<b>26.90</b>	<b>12-Apr</b>	<b>21-Sep</b>	<b>5,000.00</b>	<b>5.0</b>
AO,	CARDINAL CAPITAL (CARDPRINCE)	035	CHE	B	700	38.99	n/a	n/a	35.00	5.0
AO,CXL	HOTCHKIS & WILEY (HOTS1092)	035	CHE	B	700	38.99	n/a	n/a	35.00	5.0
AO,	CAPITAL GROWTH MGMT. (CAPGWELFAR)	241	HPQ	B	25,000	36.82	n/a	n/a	1,250.00	5.0
AO,CXL	CAPITAL GROWTH MGMT. (CAPGHAGLEY)	241	HPQ	B	25,000	36.82	n/a	n/a	1,250.00	5.0
AO,	TYEE/TYGH (TYEE135)	035	IDR	S	2,206	34.57	n/a	n/a	88.24	4.0
AO,	TYEE/TYGH (TYEE12)	035	IDR	S	194	34.57	n/a	n/a	7.76	4.0
AO,	TYEE/TYGH (TYEE5)	035	IDR	S	387	34.57	n/a	n/a	15.48	4.0
AO,	TYEE/TYGH (TYEE27)	035	IDR	S	1,040	34.57	n/a	n/a	41.60	4.0
AO,	TYEE/TYGH (TYEE23)	035	IDR	S	7,028	34.57	n/a	n/a	281.12	4.0
AO,	TYEE/TYGH (TYEE19)	035	IDR	S	606	34.57	n/a	n/a	24.24	4.0
AO,	TYEE/TYGH (TYEE15)	035	IDR	S	3,654	34.57	n/a	n/a	146.16	4.0
AO,	TYEE/TYGH (TYEE141)	035	IDR	S	7,228	34.57	n/a	n/a	289.12	4.0
AO,	TYEE/TYGH (TYEE10)	035	IDR	S	229	34.57	n/a	n/a	9.16	4.0
AO,	TYEE/TYGH (TYEE6)	035	IDR	S	276	34.57	n/a	n/a	11.04	4.0
AO,	TYEE/TYGH (TYEE28)	035	IDR	S	110	34.57	n/a	n/a	4.40	4.0
AO,	TYEE/TYGH (TYEE24)	035	IDR	S	1,239	34.57	n/a	n/a	49.56	4.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	TYEE/TYGH (TYEE20)	035	IDR	S	738	34.57	n/a	n/a	29.52	4.0
AO,	TYEE/TYGH (TYEE16)	035	IDR	S	3,588	34.57	n/a	n/a	143.52	4.0
AO,	TYEE/TYGH (TYEE2)	035	IDR	S	104	34.57	n/a	n/a	4.16	4.0
AO,	TYEE/TYGH (TYEE1)	035	IDR	S	960	34.57	n/a	n/a	38.40	4.0
AO,	TYEE/TYGH (TYEE8)	035	IDR	S	4,620	34.57	n/a	n/a	184.80	4.0
AO,	TYEE/TYGH (TYEE7)	035	IDR	S	437	34.57	n/a	n/a	17.48	4.0
AO,	TYEE/TYGH (TYEE3)	035	IDR	S	403	34.57	n/a	n/a	16.12	4.0
AO,	TYEE/TYGH (TYEE25)	035	IDR	S	469	34.57	n/a	n/a	18.76	4.0
AO,	TYEE/TYGH (TYEE21)	035	IDR	S	1,153	34.57	n/a	n/a	46.12	4.0
AO,	TYEE/TYGH (TYEE17)	035	IDR	S	4,980	34.57	n/a	n/a	199.20	4.0
AO,	TYEE/TYGH (TYEE13)	035	IDR	S	343	34.57	n/a	n/a	13.72	4.0
AO,	TYEE/TYGH (TYEE137)	035	IDR	S	426	34.57	n/a	n/a	17.04	4.0
AO,	TYEE/TYGH (TYEE9)	035	IDR	S	895	34.57	n/a	n/a	35.80	4.0
AO,	TYEE/TYGH (TYEE11)	035	IDR	S	195	34.57	n/a	n/a	7.80	4.0
AO,	TYEE/TYGH (TYEE4)	035	IDR	S	2,741	34.57	n/a	n/a	109.64	4.0
AO,	TYEE/TYGH (TYEE26)	035	IDR	S	211	34.57	n/a	n/a	8.44	4.0
AO,	TYEE/TYGH (TYEE22)	035	IDR	S	428	34.57	n/a	n/a	17.12	4.0
AO,	TYEE/TYGH (TYEE18)	035	IDR	S	2,746	34.57	n/a	n/a	109.84	4.0
AO,	TYEE/TYGH (TYEE14)	035	IDR	S	366	34.57	n/a	n/a	14.64	4.0
AO,CXL	J L F ASSET MGMT (JLFAMAIN)	039	PLCE	B	25,700	59.29	1-May	8-Sep	1,028.00	4.0
AO,	J L F ASSET MGMT (JLFAMAIN)	039	PLCE	B	25,700	59.29	1-May	8-Sep	0.00	0.0
AO,CXL	SOMERSET ADV (SOMEL I 1)	044	RTH	B	6,000	99.11	n/a	n/a	300.00	5.0
AO,CXL	SOMERSET ADV (SOMEL I 2)	044	RTH	B	6,000	99.11	n/a	n/a	300.00	5.0
AO,	SOMERSET ADV (SOMEUBSADV)	044	RTH	B	12,000	99.11	n/a	n/a	600.00	5.0
AO,	AMBER CAPITAL (AMBRGS)	046	S	S	900,000	17.49	n/a	n/a	36,000.00	4.0
AO,	AMBER CAPITAL (AMBRLEH)	046	TIF	B	30,000	33.59	n/a	31-Aug	1,200.00	4.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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Legend:

Blue: Employee and Proprietary Trades.

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

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