



## Daily Compliance Activity Report

Trade Date: 09/27/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>CRAMER ROSENTHAL/SCOTT</b>	<b>012</b>	<b>AEOS</b>	<b>S</b>	<b>10,500</b>	<b>44.95</b>	<b>26-Sep</b>	<b>27-Sep</b>	<b>525.00</b>	<b>5.0</b>
NWQ INVESTMENT MGMT CO	048	AHR	B	8,100	13.08	n/a	n/a	324.00	4.0
REICH AND TANG	037	AIN	B	35,000	32.27	n/a	n/a	1,750.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>AIQ</b>	<b>B</b>	<b>500</b>	<b>7.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BENNETT LAWRENCE	044	AMD	S	2,950	25.64	n/a	n/a	147.50	5.0
SEGAL BRYANT HAMMILL	037	APD	B	100	67.79	n/a	26-Jul	20.00	0.0
COUGAR TRADING	044	ARO	S	10,000	29.63	6-Jul	28-Aug	500.00	5.0
SEGAL BRYANT HAMMILL	037	BAC	S	100	53.56	19-Jul	12-Sep	20.00	0.0
AVESTA CAP	229	BBY	B	25,000	54.91	13-Jun	13-Sep	1,250.00	5.0
SEGAL BRYANT HAMMILL	037	BER	B	100	35.37	n/a	n/a	20.00	0.0
SEGAL BRYANT HAMMILL	037	BJS	B	100	29.50	n/a	n/a	20.00	0.0
HIGHBRIDGE CAPITAL	038	BNI	B	2,000	72.87	n/a	n/a	100.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>BQI</b>	<b>B</b>	<b>25,000</b>	<b>4.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>S.A.C. CAPITAL MGMT.</b>	<b>044</b>	<b>BRL</b>	<b>B</b>	<b>25,000</b>	<b>52.11</b>	<b>14-Aug</b>	<b>27-Sep</b>	<b>1,250.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	BTU	B	8,350	36.86	n/a	n/a	417.50	5.0
SAC TRADING HOWARD	038	CHIC	S	15,000	27.67	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	CLE	B	40,000	29.65	20-Sep	21-Sep	1,600.00	4.0
SEGAL BRYANT HAMMILL	037	CNQ	S	200	45.28	n/a	n/a	20.00	0.0
MERRILL ASSET	032	COG	B	13,100	47.47	n/a	n/a	393.00	3.0
DAWSON SANBERG & CO	036	CQB	S	36,700	13.20	n/a	n/a	1,835.00	5.0
NEW JERSEY DIV OF INV.	220	CSC	B	55,000	48.22	n/a	n/a	2,750.00	5.0
HIGHBRIDGE CAPITAL	038	CSX	B	3,000	32.58	n/a	n/a	150.00	5.0
ASCEND PARTNERS	033	CVS	B	24,000	32.69	n/a	n/a	1,200.00	5.0
TOKIO MARINE ASSET MGMT	044	CVS	B	42,000	32.56	n/a	n/a	2,100.00	5.0
PRINCIPLE CAPITAL	040	DBRN	S	70,000	21.87	n/a	n/a	2,800.00	4.0
SEGAL BRYANT HAMMILL	037	DGX	B	75	62.33	n/a	n/a	20.00	0.0
NWQ INVESTMENT MGMT CO	048	DLM	B	9,500	10.50	n/a	n/a	380.00	4.0
DAWSON SANBERG & CO	036	DNA	B	23,200	83.23	n/a	n/a	1,160.00	5.0
U.S.TRUST COMPANY	012	DVN	B	54,250	62.18	31-Aug	5-Sep	2,170.00	4.0
<b>SCHEINER</b>	<b>037</b>	<b>EFT</b>	<b>B</b>	<b>8,000</b>	<b>18.29</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.	
AMBER CAPITAL	046	ET	B	150,000	23.91	n/a	n/a	6,000.00	4.0
LAPIDES ASSET MGMT	037	FBN	S	7,200	19.20	n/a	n/a	288.00	4.0
BUCK CAPITAL MGMT	001	FD	B	55,000	43.24	13-Sep	21-Sep	2,200.00	4.0
BUCK CAPITAL MGMT	001	FD	S	40,000	41.34	13-Sep	21-Sep	1,600.00	4.0
COUGAR TRADING	044	FD	S	10,000	43.63	13-Sep	21-Sep	500.00	5.0
PRINCIPLE CAPITAL	040	FD	S	50,000	42.93	13-Sep	21-Sep	2,000.00	4.0
WHALE ROCK CAP	030	FD	B	150,000	43.27	13-Sep	21-Sep	6,000.00	4.0
<b>LUCHANSKY2</b>	<b>036</b>	<b>FNM</b>	<b>B</b>	<b>100</b>	<b>55.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>FSYS</b>	<b>B</b>	<b>7,000</b>	<b>12.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>106</b>	<b>GBVS</b>	<b>B</b>	<b>2,000</b>	<b>0.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	GCO	B	10,000	34.65	n/a	10-Jan	400.00	4.0
WILLIAMS TRADING /JILL	034	GCO	B	21,500	34.55	n/a	10-Jan	860.00	4.0
SAC TRADING HOWARD	038	GES	S	20,000	49.04	n/a	n/a	1,000.00	5.0
NWQ INVESTMENT MGMT CO	048	GFF	B	2,600	24.20	n/a	n/a	104.00	4.0
NWQ INVESTMENT MGMT CO	048	GLT	B	12,500	13.74	n/a	n/a	500.00	4.0
BUCK CAPITAL MGMT	001	GPS	B	100,000	19.25	31-Jul	28-Aug	4,000.00	4.0
FIRST NEW YORK LEDDY	035	GPS	S	20,000	19.35	31-Jul	28-Aug	1,200.00	6.0
MORGAN LEWIS/MLH	046	GRA	S	20,000	12.90	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	GYMB	B	64,497	43.36	21-Sep	21-Sep	3,224.85	5.0
SEGAL BRYANT HAMMILL	037	HD	S	100	36.57	n/a	16-Aug	20.00	0.0
<b>OGORMAN</b>	<b>146</b>	<b>HOTT</b>	<b>B</b>	<b>1,000</b>	<b>11.08</b>	<b>n/a</b>	<b>28-Aug</b>	<b>0.00</b>	<b>0.0</b>
FRIESS MGMT	042	JCG	S	79,400	31.26	25-Aug	25-Aug	3,573.00	4.5
SAC TRADING HOWARD	038	JCG	B	10,000	31.22	25-Aug	25-Aug	500.00	5.0
ASCEND PARTNERS	033	JCP	B	26,000	68.94	5-May	31-Aug	1,300.00	5.0
NICHOLAS ADVISORS	034	JKHY	S	50,000	21.66	n/a	n/a	2,500.00	5.0
DENVER INST. ADV	046	JNC	B	8,300	51.54	n/a	25-Sep	415.00	5.0
PATTEN & PATTEN	067	JNJ	S	1,500	64.85	n/a	22-Apr	75.00	5.0
SEGAL BRYANT HAMMILL	037	JPM	B	100	46.81	n/a	12-Sep	20.00	0.0
CUMBERLAND	038	JWN	B	25,000	43.52	14-Aug	28-Aug	1,000.00	4.0
NWQ INVESTMENT MGMT CO	048	KEI	B	7,100	12.48	n/a	n/a	284.00	4.0
LEVIN CAPITAL STRATEGIES	012	KSS	S	10,000	65.76	10-Aug	31-Aug	400.00	4.0
TRUST CO/COWEN/CALF.	040	LUB	B	72,800	10.77	n/a	n/a	2,912.00	4.0
FIRST INV MGMT CORP	036	MO	B	6,400	77.17	n/a	n/a	320.00	5.0
WELLS/STRONG LEDDY	035	MROI	S	7,300	25.70	n/a	n/a	292.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GENERAL ELECTIC CO	033	MRVL	B	40,000	20.00	n/a	n/a	1,300.00	3.3
MAZAMA CAPITAL MGMT.	035	MVL	S	22,700	24.24	n/a	n/a	908.00	4.0
NICHOLAS ADVISORS	034	NDAQ	B	25,000	31.07	n/a	n/a	1,250.00	5.0
MAZAMA CAPITAL MGMT.	035	NRF	S	28,300	12.90	n/a	n/a	1,132.00	4.0
HIGHBRIDGE CAPITAL	038	NSC	B	2,000	43.78	n/a	n/a	100.00	5.0
MERRILL ASSET	032	NXL	S	19,000	27.50	n/a	n/a	570.00	3.0
TPG-AXON	040	ORCL	S	300,000	18.04	n/a	n/a	15,000.00	5.0
GENERAL ELECTIC CO	033	PAYX	B	50,000	36.50	n/a	n/a	2,250.00	4.5
PATTEN & PATTEN	067	PBW	B	3,000	16.84	n/a	n/a	150.00	5.0
CAPITAL GROWTH MGMT.	241	PD	B	40,000	84.51	n/a	n/a	2,000.00	5.0
SEGAL BRYANT HAMMILL	037	PG	S	50	62.54	25-Apr	6-Sep	20.00	0.0
DAWSON SANBERG & CO	036	POT	B	21,000	104.11	n/a	n/a	1,050.00	5.0
SEGAL BRYANT HAMMILL	037	RIG	B	50	71.94	n/a	n/a	20.00	0.0
WELLS/STRONG LEDDY	035	SCT	S	5,500	10.59	n/a	n/a	220.00	4.0
PATTEN & PATTEN	067	SNE	B	650	41.54	n/a	n/a	32.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SEGAL BRYANT HAMMILL	037	SPLS	B	100	25.10	n/a	16-Aug	20.00	0.0
PATTEN & PATTEN	067	SRZ	B	1,850	30.64	n/a	n/a	92.50	5.0
BUCK CAPITAL MGMT	001	SSI	B	1,700	29.82	n/a	n/a	68.00	4.0
SAC TRADING/BILLY	063	SWKS	S	250,000	5.38	n/a	n/a	7,500.00	3.0
SLS CAPITAL LLC	224	THC	S	400,000	8.23	n/a	17-Aug	12,000.00	3.0
<b>KORMAN</b>	<b>003</b>	<b>THI</b>	<b>B</b>	<b>5,000</b>	<b>26.05</b>	<b>n/a</b>	<b>22-Aug</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	TLB	B	10,000	26.57	n/a	17-Aug	400.00	4.0
COUGAR TRADING	044	URBN	S	5,000	17.55	9-Aug	10-Aug	250.00	5.0
<b>PATTEN &amp; PATTEN</b>	<b>067</b>	<b>VZ</b>	<b>B</b>	<b>1,000</b>	<b>36.80</b>	<b>19-Sep</b>	<b>27-Sep</b>	<b>50.00</b>	<b>5.0</b>
SEGAL BRYANT HAMMILL	037	WB	B	150	55.07	n/a	n/a	20.00	0.0
FRIESS MGMT	042	WRNC	S	89,400	19.55	5-Sep	15-Sep	4,023.00	4.5
SEGAL BRYANT HAMMILL	037	XLV	S	100	32.98	n/a	n/a	20.00	0.0
BUCK CAPITAL MGMT	001	ZQK	B	20,000	12.43	8-Sep	8-Sep	800.00	4.0
JP MORGAN VENTURES	046	ZQK	B	15,000	12.46	8-Sep	8-Sep	750.00	5.0
<b>TOTAL:</b>								<b>120,155.85</b>	

# Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	RAINIER INV MGMT (RAINMASONS)	035	BRL	B	150	51.85	14-Aug	27-Sep	7.50	5.0
AO,	RAINIER INV MGMT (RAINUW)	035	BRL	B	300	51.85	14-Aug	27-Sep	15.00	5.0
AO,	RAINIER INV MGMT (RAINLEHIGH)	035	BRL	B	200	51.85	14-Aug	27-Sep	10.00	5.0
AO,	RAINIER INV MGMT (RAINNS)	035	BRL	B	650	51.85	14-Aug	27-Sep	32.50	5.0
AO,	RAINIER INV MGMT (RAINcairon)	035	BRL	B	400	51.85	14-Aug	27-Sep	20.00	5.0
AO,	RAINIER INV MGMT (RAINNRR)	035	BRL	B	1,950	51.85	14-Aug	27-Sep	97.50	5.0
AO,	RAINIER INV MGMT (RAINUNPAC)	035	BRL	B	200	51.85	14-Aug	27-Sep	10.00	5.0
AO,	RAINIER INV MGMT (RAINUILL)	035	BRL	B	1,000	51.85	14-Aug	27-Sep	50.00	5.0
AO,	RAINIER INV MGMT (RAINAAARET)	035	BRL	B	150	51.85	14-Aug	27-Sep	7.50	5.0
AO,	RAINIER INV MGMT (RAINRIMMID)	035	BRL	B	13,550	51.85	14-Aug	27-Sep	677.50	5.0
AO,	RAINIER INV MGMT (RAINDTC)	035	BRL	B	800	51.85	14-Aug	27-Sep	40.00	5.0
AO,	RAINIER INV MGMT (RAINOP3SM)	035	BRL	B	1,250	51.85	14-Aug	27-Sep	62.50	5.0
AO,	RAINIER INV MGMT (RAINUNEB)	035	BRL	B	150	51.85	14-Aug	27-Sep	7.50	5.0
AO,	RAINIER INV MGMT (RAINAUTOMI)	035	BRL	B	300	51.85	14-Aug	27-Sep	15.00	5.0
AO,	RAINIER INV MGMT (RAINMICH)	035	BRL	B	900	51.85	14-Aug	27-Sep	45.00	5.0
AO,	RAINIER INV MGMT (RAINCIT)	035	BRL	B	250	51.85	14-Aug	27-Sep	12.50	5.0
AO,	RAINIER INV MGMT (RAINZM CAR)	035	BRL	B	200	51.85	14-Aug	27-Sep	10.00	5.0
AO,	RAINIER INV MGMT (RAINCHEPEN)	035	BRL	B	150	51.85	14-Aug	27-Sep	7.50	5.0
AO,	RAINIER INV MGMT (RAINMCCLAT)	035	BRL	B	200	51.85	14-Aug	27-Sep	10.00	5.0
AO,	RAINIER INV MGMT (RAINSUFCW)	035	BRL	B	350	51.85	14-Aug	27-Sep	17.50	5.0
AO,	RAINIER INV MGMT (RAINENTERG)	035	BRL	B	900	51.85	14-Aug	27-Sep	45.00	5.0
AO,	RAINIER INV MGMT (RAINRIMIDC)	035	BRL	B	3,000	51.85	14-Aug	27-Sep	150.00	5.0
AO,CXL	AMBER CAPITAL (AMBRLEH)	046	IDC	B	12,600	19.50	n/a	n/a	504.00	4.0
AO,	AMBER CAPITAL (AMBRGS)	046	IDC	B	12,600	19.50	n/a	n/a	504.00	4.0
AO,	RAINIER INV MGMT (RAINZM CAR)	035	MDR	B	1,250	40.92	n/a	n/a	62.50	5.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	RAINIER INV MGMT (RAINRIMBAL)	035	MDR	B	2,150	40.92	n/a	n/a	107.50 5.0
AO,	RAINIER INV MGMT (RAINRETEQ)	035	MDR	B	1,250	40.92	n/a	n/a	62.50 5.0
AO,	RAINIER INV MGMT (RAINALEX)	035	MDR	B	900	40.92	n/a	n/a	45.00 5.0
AO,	RAINIER INV MGMT (RAINAGBU)	035	MDR	B	250	40.92	n/a	n/a	12.50 5.0
AO,	RAINIER INV MGMT (RAINORSHEE)	035	MDR	B	850	40.92	n/a	n/a	42.50 5.0
AO,	RAINIER INV MGMT (RAINLEHIGH)	035	MDR	B	550	40.92	n/a	n/a	27.50 5.0
AO,	RAINIER INV MGMT (RAINWIMCAR)	035	MDR	B	700	40.92	n/a	n/a	35.00 5.0
AO,	RAINIER INV MGMT (RAINTURLOC)	035	MDR	B	125	40.92	n/a	n/a	6.25 5.0
AO,	RAINIER INV MGMT (RAINPACCOA)	035	MDR	B	2,200	40.92	n/a	n/a	110.00 5.0
AO,	RAINIER INV MGMT (RAINOPERHW)	035	MDR	B	400	40.92	n/a	n/a	20.00 5.0
AO,	RAINIER INV MGMT (RAINSUFCW)	035	MDR	B	1,000	40.92	n/a	n/a	50.00 5.0
AO,	RAINIER INV MGMT (RAINENERGY)	035	MDR	B	300	40.92	n/a	n/a	15.00 5.0
AO,	RAINIER INV MGMT (RAINWMETAL)	035	MDR	B	600	40.92	n/a	n/a	30.00 5.0
AO,	RAINIER INV MGMT (RAINRDRUG)	035	MDR	B	300	40.92	n/a	n/a	15.00 5.0
AO,	RAINIER INV MGMT (RAINPUGETE)	035	MDR	B	1,900	40.92	n/a	n/a	95.00 5.0
AO,	RAINIER INV MGMT (RAINLONGVI)	035	MDR	B	1,150	40.92	n/a	n/a	57.50 5.0
AO,	RAINIER INV MGMT (RAINEHS)	035	MDR	B	500	40.92	n/a	n/a	25.00 5.0
AO,	RAINIER INV MGMT (RAINPLYMOU)	035	MDR	B	200	40.92	n/a	n/a	10.00 5.0
AO,	RAINIER INV MGMT (RAINSANDIA)	035	MDR	B	1,050	40.92	n/a	n/a	52.50 5.0
AO,	RAINIER INV MGMT (RAIN CIT)	035	MDR	B	700	40.92	n/a	n/a	35.00 5.0
AO,	RAINIER INV MGMT (RAINOREBUT)	035	MDR	B	2,250	40.92	n/a	n/a	112.50 5.0
AO,	RAINIER INV MGMT (RAINNWSHEE)	035	MDR	B	1,700	40.92	n/a	n/a	85.00 5.0
AO,	RAINIER INV MGMT (RAINZZ QUE)	035	MDR	B	450	40.92	n/a	n/a	22.50 5.0
AO,	RAINIER INV MGMT (RAINVMRET)	035	MDR	B	150	40.92	n/a	n/a	7.50 5.0
AO,	RAINIER INV MGMT (RAIN AUST)	035	MDR	B	2,650	40.92	n/a	n/a	132.50 5.0
AO,	RAINIER INV MGMT (RAINTIMBER)	035	MDR	B	1,500	40.92	n/a	n/a	75.00 5.0
AO,	RAINIER INV MGMT (RAINWINPOO)	035	MDR	B	500	40.92	n/a	n/a	25.00 5.0
AO,	RAINIER INV MGMT (RAINLEUPMO)	035	MDR	B	350	40.92	n/a	n/a	17.50 5.0
AO,	RAINIER INV MGMT (RAINMIELPE)	035	MDR	B	650	40.92	n/a	n/a	32.50 5.0
AO,	RAINIER INV MGMT (RAINRETCL)	035	MDR	B	200	40.92	n/a	n/a	10.00 5.0



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AO,	RAINIER INV MGMT (RAINNCPHAR)	035	MDR	B	400	40.92	n/a	n/a	20.00	5.0
AO,	RAINIER INV MGMT (RAINDDTC)	035	MDR	B	2,200	40.92	n/a	n/a	110.00	5.0
AO,	RAINIER INV MGMT (RAINWINPEN)	035	MDR	B	875	40.92	n/a	n/a	43.75	5.0
AO,	RAINIER INV MGMT (RAINWHITM)	035	MDR	B	350	40.92	n/a	n/a	17.50	5.0
AO,	RAINIER INV MGMT (RAINWHITW)	035	MDR	B	350	40.92	n/a	n/a	17.50	5.0
AO,	RAINIER INV MGMT (RAINMONTLA)	035	MDR	B	700	40.92	n/a	n/a	35.00	5.0
AO,	RAINIER INV MGMT (RAINSIS)	035	MDR	B	950	40.92	n/a	n/a	47.50	5.0
AO,	RAINIER INV MGMT (RAINHYDRO1)	035	MDR	B	3,300	40.92	n/a	n/a	165.00	5.0
AO,	RAINIER INV MGMT (RAINNAVAJO)	035	MDR	B	900	40.92	n/a	n/a	45.00	5.0
AO,	RAINIER INV MGMT (RAINRESFLO)	035	MDR	B	200	40.92	n/a	n/a	10.00	5.0
AO,	RAINIER INV MGMT (RAINUNPAC)	035	MDR	B	550	40.92	n/a	n/a	27.50	5.0
AO,	RAINIER INV MGMT (RAINPLUMCR)	035	MDR	B	200	40.92	n/a	n/a	10.00	5.0
AO,	RAINIER INV MGMT (RAINFOSSPE)	035	MDR	B	450	40.92	n/a	n/a	22.50	5.0
AO,	RAINIER INV MGMT (RAINMASON)	035	MDR	B	500	40.92	n/a	n/a	25.00	5.0
AO,	RAINIER INV MGMT (RAINWICTA)	035	MDR	B	1,450	40.92	n/a	n/a	72.50	5.0
AO,	RAINIER INV MGMT (RAINUW)	035	MDR	B	800	40.92	n/a	n/a	40.00	5.0
AO,	RAINIER INV MGMT (RAINCSMP)	035	MDR	B	600	40.92	n/a	n/a	30.00	5.0
AO,	RAINIER INV MGMT (RAINRIMMID)	035	MDR	B	21,450	40.92	n/a	n/a	1,072.50	5.0
AO,	RAINIER INV MGMT (RAINZZ STE)	035	MDR	B	700	40.92	n/a	n/a	35.00	5.0
AO,	RAINIER INV MGMT (RAINNS)	035	MDR	B	1,950	40.92	n/a	n/a	97.50	5.0
AO,	RAINIER INV MGMT (RAINWCIW)	035	MDR	B	400	40.92	n/a	n/a	20.00	5.0
AO,	RAINIER INV MGMT (RAINOPCORE)	035	MDR	B	6,150	40.92	n/a	n/a	307.50	5.0
AO,	RAINIER INV MGMT (RAINCAIRON)	035	MDR	B	3,000	40.92	n/a	n/a	150.00	5.0
AO,	RAINIER INV MGMT (RAINMCCLAT)	035	MDR	B	600	40.92	n/a	n/a	30.00	5.0
<b>AO,CXL</b>	<b>SINCLAIR (SINCLAIR)</b>	<b>031</b>	<b>SRR</b>	<b>B</b>	<b>500</b>	<b>14.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>AO,CRT</b>	<b>SINCLAIR (SINCLAIR)</b>	<b>031</b>	<b>SRR</b>	<b>B</b>	<b>500</b>	<b>14.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AO,	PATTEN & PATTEN (PATTSCHWAB)	067	T	S	450	33.33	20-Sep	21-Sep	22.50	5.0
AO,	SLS CAPITAL LLC (SLSCMSMAIN)	224	THC	S	200,000	8.44	n/a	17-Aug	6,000.00	3.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	PATTEN & PATTEN (PATTSCHWAB)	067	VZ	B	500	37.85	19-Sep	27-Sep	25.00	5.0
AO,	TRIBECA/DOUG (TRIDMS)	040	ZION	S	5,000	80.00	n/a	n/a	200.00	4.0
AO,CXL	TRIBECA/DOUG (TRIDMS)	038	ZION	S	5,000	80.00	n/a	n/a	200.00	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.