



Daily Compliance Activity Report

Trade Date: 09/12/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AAD CAPITAL	099	AEOS	S	25,000	42.85	5-Sep	6-Sep	500.00	2.0
MTB INV ADV	034	AEOS	S	10,600	42.40	5-Sep	6-Sep	530.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	88,500	8.31	n/a	n/a	3,540.00	4.0
REINHART & MAHONEY	031	AMAT	B	3,000	17.07	n/a	n/a	150.00	5.0
SANDLER O'NEILL ASSET	031	AMG	S	4,100	94.69	6-Sep	7-Sep	205.00	5.0
WCAP	035	AMH	S	3,300	67.84	n/a	n/a	132.00	4.0
FIRST NEW YORK LEDDY	035	ARO	S	15,100	28.58	6-Jul	28-Aug	906.00	6.0
THIRD COAST CAPITAL	035	ASH	B	15,000	62.08	13-Jul	21-Aug	750.00	5.0
ROARING BLUE LION MGMT	012	AVZ	B	2,900	20.44	6-Sep	12-Sep	145.00	5.0
BUCK CAPITAL MGMT	001	BBW	B	20,000	23.04	n/a	n/a	800.00	4.0
CIBC ADV.	060	BBY	B	10,000	49.89	13-Jun	8-Sep	500.00	5.0
IRON HORSE CAPITAL MGMT	038	BBY	B	40,000	47.19	13-Jun	8-Sep	2,000.00	5.0
EOS PARTNERS	040	BHP	S	4,200	38.12	n/a	n/a	210.00	5.0
AAD CAPITAL	099	BIG	S	55,000	19.67	16-Aug	29-Aug	1,100.00	2.0
LEVIN CAPITAL STRATEGIES	012	BIG	S	10,000	19.34	16-Aug	29-Aug	400.00	4.0
WHALE ROCK CAP	030	BONT	B	25,000	27.20	n/a	1-Sep	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	BONT	B	5,900	27.05	n/a	1-Sep	295.00	5.0
WCAP	035	BORL	B	16,000	5.79	n/a	3-Apr	640.00	4.0
GALLEON MGMT LP	033	BSX	B	100,000	16.61	n/a	22-Apr	5,000.00	5.0
GALLEON MGMT LP	033	CAM	B	10,000	44.37	n/a	n/a	500.00	5.0
EQUINOX	032	CAR	S	100,000	18.82	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	CBK	B	175,400	26.79	1-Jun	28-Aug	7,016.00	4.0
ARIENCE CAPITAL	036	CBT	B	19,350	33.06	28-Jun	3-Aug	967.50	5.0
WHEELER	008	CCC	B	5,000	4.44	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	CGX	B	3,000	61.19	n/a	n/a	135.00	4.5
J L F ASSET MGMT	039	CHS	S	84,300	19.74	23-Aug	28-Aug	3,372.00	4.0
RBC CAPITAL MARKETS	034	CHS	B	25,000	19.77	23-Aug	28-Aug	1,250.00	5.0
SANDLER O'NEILL ASSET	031	CLMS	S	61,700	27.77	n/a	12-Sep	3,085.00	5.0
DSG CAPITAL	225	CMG	B	2,500	48.96	8-May	11-Sep	125.00	5.0
VICTORIA INVESTORS LP	060	CMG	B	5,000	50.52	8-May	11-Sep	250.00	5.0
EOS PARTNERS	040	COH	B	12,000	33.11	n/a	2-Aug	600.00	5.0
GARTMORE/NORTHPOINT/VILL	030	COH	S	85,990	33.41	n/a	2-Aug	3,439.60	4.0
TRELLUS PARTNERS LP	028	COH	S	70,000	31.80	n/a	2-Aug	3,500.00	5.0
HAYGROUND COE	039	CPB	S	85,100	37.15	n/a	n/a	4,255.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CRI	B	20,000	23.67	n/a	n/a	800.00	4.0
CARLSON CAPITAL	031	CTL	B	55,600	39.99	n/a	n/a	2,780.00	5.0
CARLSON CAPITAL	031	CZN	S	162,900	13.53	n/a	n/a	8,145.00	5.0
GOLD SACHS SPECIAL SIT	037	DBD	S	38,400	42.12	n/a	8-Aug	1,920.00	5.0
WEINTRAUB CAPITAL MGT.	040	DDS	B	50,000	32.27	n/a	n/a	2,500.00	5.0
EOS PARTNERS	040	EEM	S	1,400	94.81	n/a	n/a	70.00	5.0
FARBER/WEISS PECK	012	ETH	S	10,000	36.13	n/a	n/a	500.00	5.0
AMBER CAPITAL	046	ETM	B	100,000	25.22	n/a	n/a	4,000.00	4.0
BARON ASSET MGMT*	012	EV	B	22,500	27.12	6-Sep	7-Sep	1,125.00	5.0
ROSENBERG	034	FCPO	S	800	8.50	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	FDC	S	19,500	45.00	n/a	n/a	975.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FDO	B	26,000	28.49	n/a	31-Aug	1,040.00	4.0
EOS PARTNERS	040	FE	S	13,500	55.62	n/a	n/a	675.00	5.0
EQUINOX	032	FO	B	50,000	74.54	n/a	n/a	2,500.00	5.0
MAZAMA CAPITAL MGMT.	035	FS	S	50,000	63.83	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHARTER OAK	037	GHDX	S	50,000	14.06	n/a	n/a	2,500.00	5.0
MAZAMA CAPITAL MGMT.	035	GHL	B	14,450	57.94	n/a	n/a	578.00	4.0
DELTEC ASSET MGMT.	040	GLW	B	5,000	22.51	n/a	7-Sep	250.00	5.0
SENTINAL CAPITAL	045	GLW	B	6,000	22.55	n/a	7-Sep	300.00	5.0
TRUST CO OF THE WEST/NY	040	GPS	S	200,000	17.12	31-Jul	28-Aug	8,000.00	4.0
KEEFE BRUYETTE WOODS A	031	GS	S	7,300	158.29	17-May	12-Sep	365.00	5.0
J L F ASSET MGMT	039	HD	B	56,900	36.28	n/a	16-Aug	2,276.00	4.0
WEINTRAUB CAPITAL MGT.	040	HET	B	100,000	63.07	27-Jul	28-Jul	5,000.00	5.0
BULL PATH CAPITAL	044	HNT	B	18,300	44.11	n/a	n/a	915.00	5.0
STRAUSS ASSET MGMT	040	HOG	B	7,500	59.73	n/a	n/a	375.00	5.0
THIRD COAST CAPITAL	035	HOTT	S	25,000	10.50	n/a	28-Aug	1,250.00	5.0
DELTEC ASSET MGMT.	040	HOV	S	5,000	27.50	n/a	n/a	250.00	5.0
THE JAY GOLDMAN	034	IP	B	7,500	35.07	n/a	2-Aug	300.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	30,000	26.90	25-Aug	25-Aug	1,200.00	4.0
EOS PARTNERS	040	JOYG	S	2,800	37.94	n/a	n/a	140.00	5.0
LUCHANSKY1	036	KMX	S	100	40.49	n/a	10-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	KMX	S	200	40.51	n/a	10-Jan	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	KR	S	88,100	22.95	n/a	n/a	3,524.00	4.0
KERN	050	LEH	B	100	66.85	n/a	12-Sep	0.00	0.0
SSI INVESTORS	048	LEH	B	45,065	67.41	n/a	12-Sep	1,802.60	4.0
BUCK CAPITAL MGMT	015	LESVL	B	5	0.50	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	LM	B	31,100	92.90	28-Jul	7-Sep	1,244.00	4.0
SUNOVA CAPITAL	031	LM	B	40,000	92.91	28-Jul	7-Sep	2,000.00	5.0
REINHART & MAHONEY	031	LRCX	B	9,110	41.43	n/a	n/a	455.50	5.0
REINHART & MAHONEY	031	MAN	S	11,065	60.06	n/a	n/a	553.25	5.0
DAVIDSON KEMPNER ADVISOR	217	MAS	S	37,600	27.52	n/a	n/a	1,880.00	5.0
GLG PARTNERS	034	MCD	S	135,000	37.52	n/a	11-Sep	6,750.00	5.0
BELAY CAPITAL	039	NDN	B	10,000	11.92	11-Aug	29-Aug	400.00	4.0
WHEELER	008	NLC	B	10,000	17.92	n/a	n/a	0.00	0.0
WCAP	035	NLY	B	16,000	12.92	n/a	n/a	640.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	20,000	11.89	n/a	28-Aug	800.00	4.0
THE JAY GOLDMAN	034	NWY	S	20,000	11.85	n/a	28-Aug	800.00	4.0
PERRY PARTNERS	035	ODP	S	200,000	39.22	26-Jun	31-Aug	10,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRIVIUM CAP MGMT	028	OSI	S	65,000	32.87	12-Sep	7-Sep	2,600.00	4.0
GALLEON MGMT LP	033	OXY	B	16,000	45.80	n/a	n/a	800.00	5.0
EOS PARTNERS	040	PCG	S	11,000	40.96	n/a	n/a	550.00	5.0
REINHART & MAHONEY	031	PL	S	20,565	45.92	n/a	n/a	1,028.25	5.0
ROARING BLUE LION MGMT	012	PLCE	B	4,400	56.39	1-May	8-Sep	220.00	5.0
ARIENCE CAPITAL	036	PLL	S	30,360	26.81	n/a	n/a	1,518.00	5.0
COUGAR TRADING	044	RL	B	10,000	63.84	16-Jun	31-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	RNT	B	10,000	25.63	n/a	n/a	400.00	4.0
J L F ASSET MGMT	039	RSH	B	64,400	19.15	n/a	n/a	2,576.00	4.0
EOS PARTNERS	040	RTP	S	800	189.96	n/a	n/a	40.00	5.0
MKT MAKER	099	SNDK	S	739	57.63	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	034	SSCC	S	25,000	10.78	15-May	17-Aug	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	SU	S	106,100	67.10	n/a	n/a	5,305.00	5.0
CIBC ADV.	060	TJX	B	5,000	27.55	16-Aug	28-Aug	250.00	5.0
VISIUM/BALY HOWARD	038	TLB	B	60,000	22.56	n/a	17-Aug	3,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TWB	B	10,000	32.42	5-Sep	5-Sep	400.00	4.0
COUGAR TRADING	044	TWB	S	5,000	33.01	5-Sep	5-Sep	250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	TWB	B	5,200	32.41	5-Sep	5-Sep	260.00	5.0
MCCARTAN	028	UARM	S	100	36.92	n/a	n/a	0.00	0.0
ZOLIDIS	011	UARM	S	100	36.90	n/a	n/a	0.00	0.0
EOS PARTNERS	040	UPS	B	1,500	71.51	n/a	n/a	75.00	5.0
GARTMORE/NORTHPOINT/VILL	030	WSM	S	24,650	31.92	n/a	n/a	986.00	4.0
J L F ASSET MGMT	039	WSM	B	73,700	31.75	n/a	n/a	2,948.00	4.0
DAVIDSON KEMPNER ADVISOR	217	XHB	S	60,400	31.75	n/a	n/a	3,020.00	5.0
SEMINOLE CAP	036	XOM	S	100,000	64.93	n/a	n/a	5,000.00	5.0
PERRY PARTNERS	035	YCC	S	76,300	26.02	n/a	n/a	3,815.00	5.0
BUCK CAPITAL MGMT	015	YHQM	B	10	0.86	n/a	n/a	0.00	0.0
TOTAL:							171,667.70		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	EQUINOX (EQUI137)	032	CAR	S	900	18.77	n/a	n/a	36.00	4.0
AO,CXL	EQUINOX (EQUI187)	032	CAR	S	900	18.77	n/a	n/a	36.00	4.0
AO,	EQUINOX (EQUI187)	032	CAR	S	200	18.77	n/a	n/a	8.00	4.0
AO,CXL	EQUINOX (EQUI137)	032	CAR	S	200	18.77	n/a	n/a	8.00	4.0
AO,	ARIENCE CAPITAL (ARIEBSPB)	036	CBT	B	12,375	33.21	28-Jun	3-Aug	618.75	5.0
AO,CXL	AELTUS/ING INVESTMENT MGT (AELT31632)	237	LLL	B	316	76.01	n/a	n/a	12.64	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31633)	237	LLL	B	316	76.01	n/a	n/a	12.64	4.0
AO,CXL	KNOTT PARTNERS (KNOTGOLDMA)	044	NURO	S	25,000	21.30	n/a	n/a	1,000.00	4.0
AO,	KNOTT PARTNERS (KNOTGOLDMA)	044	NURO	S	25,000	21.30	n/a	n/a	1,250.00	5.0
AO,CXL	HBK FUNDS (HBKFUBS SE)	035	ORCL	S	200,000	16.10	n/a	n/a	10,000.00	5.0
AO,	HBK FUNDS (HBKFUBS SE)	031	ORCL	S	200,000	16.10	n/a	n/a	10,000.00	5.0
AO,CXL	MKT MAKER (MKT MAKER)	099	PSMT	B	56	56.00	n/a	n/a	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	099	PSMT	B	56	12.65	n/a	n/a	0.00	0.0

Legend:

Blue: Employee and Proprietary Trades.

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

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