



# Daily Compliance Activity Report

Trade Date: 09/07/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGNETAR FINANCIAL	247	AMR	B	36,000	20.04	n/a	n/a	1,440.00	4.0
SAC TRADING HOWARD	038	ANF	B	15,000	64.08	31-Aug	31-Aug	750.00	5.0
KNOTT PARTNERS	044	ATEC	B	10,000	5.30	n/a	n/a	300.00	3.0
<b>ROARING BLUE LION MGMT</b>	<b>012</b>	<b>AVZ</b>	<b>B</b>	<b>2,400</b>	<b>19.88</b>	<b>6-Sep</b>	<b>7-Sep</b>	<b>96.00</b>	<b>4.0</b>
TUDOR INVESTORS	030	BBY	S	350,000	45.38	13-Jun	14-Jun	17,500.00	5.0
MS PRINCIPAL STRATEGIES	040	BNI	B	52,000	65.54	n/a	n/a	2,600.00	5.0
EQUINOX	032	CAR	S	50,000	18.72	n/a	n/a	2,000.00	4.0
CASTLEROCK	040	CC	S	122,600	22.98	12-Apr	20-Jun	4,904.00	4.0
CUMBERLAND	038	CC	S	250,000	22.84	12-Apr	20-Jun	10,000.00	4.0
GOLDMAN SACHS ASSET MGMT	044	CKFR	B	123,870	36.61	n/a	n/a	1,858.05	1.5
BUCK CAPITAL MGMT	001	COH	B	5,000	30.42	n/a	2-Aug	200.00	4.0
SHAREVEST CAPITAL MGMT.	038	COH	B	20,000	30.04	n/a	2-Aug	1,000.00	5.0
TRIVIUM CAP MGMT	028	CTX	S	17,200	48.85	n/a	n/a	688.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>B</b>	<b>30,000</b>	<b>38.82</b>	<b>26-Jul</b>	<b>7-Sep</b>	<b>1,200.00</b>	<b>4.0</b>
<b>CHIARMONTE</b>	<b>060</b>	<b>EFT</b>	<b>B</b>	<b>80</b>	<b>18.37</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.	
<b>KERN</b>	<b>050</b>	<b>EFT</b>	<b>B</b>	<b>1,000</b>	<b>18.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>060</b>	<b>EFT</b>	<b>B</b>	<b>200</b>	<b>18.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEHMAN PROPRIETARY TRAD	039	EXPD	S	25,000	39.72	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	FL	S	350,000	24.02	n/a	18-Aug	14,000.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	25,000	27.29	n/a	10-Jan	1,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	GES	B	43,520	43.68	n/a	n/a	1,740.80	4.0
MAZAMA CAPITAL MGMT.	035	GHL	B	68,700	55.98	n/a	n/a	2,748.00	4.0
HIGHBRIDGE CAPITAL	038	IP	S	30,000	34.94	n/a	2-Aug	1,500.00	5.0
GALLEON MGMT LP	033	JBLU	B	30,000	9.98	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	26.19	25-Aug	25-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	15,000	63.69	5-May	31-Aug	600.00	4.0
GALLEON MGMT LP	033	JNJ	B	20,000	63.44	n/a	22-Apr	1,000.00	5.0
CARLSON CAPITAL	031	JPM	S	37,000	45.64	n/a	10-Aug	1,850.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>KBH</b>	<b>S</b>	<b>1,875</b>	<b>41.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	KWD	S	15,000	27.37	n/a	n/a	600.00	4.0
<b>OGORMAN</b>	<b>146</b>	<b>LEH</b>	<b>B</b>	<b>100</b>	<b>65.85</b>	<b>8-Jun</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AELTUS/ING INVESTMENT MGT	237	LLL	B	7,071	75.79	n/a	n/a	275.46	3.9
BULL PATH CAPITAL	044	LTD	B	30,000	25.68	9-May	28-Aug	1,500.00	5.0
KNOTT PARTNERS	044	MATK	B	75,000	21.83	n/a	n/a	3,750.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>MER</b>	<b>B</b>	<b>3,200</b>	<b>73.05</b>	<b>18-Apr</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>MER</b>	<b>S</b>	<b>3,200</b>	<b>73.07</b>	<b>18-Apr</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>
CARLSON CAPITAL	031	MER	B	22,600	73.25	18-Apr	5-Sep	1,130.00	5.0
<b>CHIARMONTE</b>	<b>060</b>	<b>MSFT</b>	<b>S</b>	<b>60</b>	<b>25.66</b>	<b>2-Apr</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	NKE	B	5,000	80.49	n/a	n/a	200.00	4.0
KNOTT PARTNERS	044	NURO	S	25,000	21.30	n/a	n/a	1,250.00	5.0
OPPENHEIMER MGMT.	036	NVT	S	104,400	25.69	n/a	n/a	4,176.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	10,000	11.12	n/a	28-Aug	400.00	4.0
<b>BULL PATH CAPITAL</b>	<b>044</b>	<b>PFCB</b>	<b>B</b>	<b>46,500</b>	<b>36.10</b>	<b>26-Jul</b>	<b>7-Sep</b>	<b>2,325.00</b>	<b>5.0</b>
GALLEON MGMT LP	033	PFE	S	100,000	27.51	n/a	31-Mar	5,000.00	5.0
U.S.TRUST COMPANY	012	PKG	B	70,000	22.07	n/a	17-Aug	2,800.00	4.0
GRANITE CAPITAL	067	RFMD	S	27,700	6.50	n/a	n/a	1,385.00	5.0
SPRINGBOC	039	ROCK	S	33,400	24.71	n/a	n/a	1,670.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	RVI	B	1,000	14.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SSI	B	25,000	25.62	n/a	n/a	1,000.00	4.0
PILOT ADV	038	SVU	B	100,000	29.01	n/a	n/a	4,000.00	4.0
MORRISON & FRASIER	040	SWN	S	11,700	35.66	7-Aug	5-Sep	585.00	5.0
TRIVIUM CAP MGMT	028	TOL	S	17,000	26.19	n/a	n/a	680.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	25,000	31.64	5-Sep	5-Sep	1,000.00	4.0
MERRILL ASSET	032	UTI	B	27,400	17.75	n/a	n/a	822.00	3.0
LEHMAN PROPRIETARY TRAD	039	WFMI	S	20,000	52.18	n/a	n/a	1,000.00	5.0
NEW JERSEY DIV OF INV.	220	WYE	S	6,800	48.42	n/a	31-Mar	340.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	145,000	13.58	n/a	1-Sep	5,800.00	4.0
<b>TOTAL:</b>							<b>113,813.31</b>		

# Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	MKT MAKER (MKT MAKER)	099	FINL	B	85	11.33	n/a	25-Aug	0.00	0.0
AO,CXL	MKT MAKER (MKT MAKER)	099	INFS	S	8	4.38	n/a	n/a	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	099	INFS	S	8	4.38	n/a	n/a	0.00	0.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31644)	237	LLL	B	129	76.01	n/a	n/a	5.16	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31640)	237	LLL	B	58	76.01	n/a	n/a	2.32	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31642)	237	LLL	B	57	76.01	n/a	n/a	2.28	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31629)	237	LLL	B	230	76.01	n/a	n/a	9.20	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31631)	237	LLL	B	144	76.01	n/a	n/a	5.76	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31651)	237	LLL	B	72	76.01	n/a	n/a	2.88	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31937)	237	LLL	B	115	76.01	n/a	n/a	4.60	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMADS)	237	LLL	B	575	76.01	n/a	n/a	23.00	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTCOLLTR)	237	LLL	B	7,864	76.01	n/a	n/a	314.56	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTIIMMON)	237	LLL	B	4,507	76.01	n/a	n/a	180.28	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTINGGRO)	237	LLL	B	3,740	76.01	n/a	n/a	149.60	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMPRO)	237	LLL	B	1,055	76.01	n/a	n/a	21.10	2.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31608)	237	LLL	B	216	76.01	n/a	n/a	8.64	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31661)	237	LLL	B	144	76.01	n/a	n/a	5.76	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31657)	237	LLL	B	58	76.01	n/a	n/a	2.32	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31621)	237	LLL	B	158	76.01	n/a	n/a	6.32	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31645)	237	LLL	B	201	76.01	n/a	n/a	8.04	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31635)	237	LLL	B	144	76.01	n/a	n/a	5.76	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31622)	237	LLL	B	374	76.01	n/a	n/a	14.96	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31647)	237	LLL	B	316	76.01	n/a	n/a	12.64	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31630)	237	LLL	B	245	76.01	n/a	n/a	9.80	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31624)	237	LLL	B	129	76.01	n/a	n/a	5.16	4.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	AELTUS/ING INVESTMENT MGT (AELT31652)	237	LLL	B	72	76.01	n/a	n/a	2.88 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTCOMMTR)	237	LLL	B	1,822	76.01	n/a	n/a	72.88 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMVIS)	237	LLL	B	10,165	76.01	n/a	n/a	406.60 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTIIMMTA)	237	LLL	B	3,644	76.01	n/a	n/a	145.76 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMPRO)	237	LLL	B	7,576	76.01	n/a	n/a	151.52 2.0
AO,	AELTUS/ING INVESTMENT MGT (AELTIIMHEB)	237	LLL	B	767	76.01	n/a	n/a	30.68 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31662)	237	LLL	B	216	76.01	n/a	n/a	8.64 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31658)	237	LLL	B	43	76.01	n/a	n/a	1.72 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31653)	237	LLL	B	244	76.01	n/a	n/a	9.76 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31623)	237	LLL	B	374	76.01	n/a	n/a	14.96 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31649)	237	LLL	B	72	76.01	n/a	n/a	2.88 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31634)	237	LLL	B	144	76.01	n/a	n/a	5.76 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31632)	237	LLL	B	316	76.01	n/a	n/a	12.64 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31626)	237	LLL	B	187	76.01	n/a	n/a	7.48 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31628)	237	LLL	B	129	76.01	n/a	n/a	5.16 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31641)	237	LLL	B	345	76.01	n/a	n/a	13.80 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTSEPACC)	237	LLL	B	2,685	76.01	n/a	n/a	107.40 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	237	LLL	B	6,809	76.01	n/a	n/a	272.36 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMSCH)	237	LLL	B	671	76.01	n/a	n/a	26.84 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMCOK)	237	LLL	B	2,493	76.01	n/a	n/a	99.72 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTINGGRO)	237	LLL	B	11,604	76.01	n/a	n/a	464.16 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31655)	237	LLL	B	58	76.01	n/a	n/a	2.32 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31663)	237	LLL	B	403	76.01	n/a	n/a	16.12 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31659)	237	LLL	B	86	76.01	n/a	n/a	3.44 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31644)	237	LLL	B	101	76.01	n/a	n/a	4.04 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31648)	237	LLL	B	72	76.01	n/a	n/a	2.88 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31639)	237	LLL	B	72	76.01	n/a	n/a	2.88 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31627)	237	LLL	B	173	76.01	n/a	n/a	6.92 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31625)	237	LLL	B	273	76.01	n/a	n/a	10.92 4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31632)	237	LLL	B	259	76.01	n/a	n/a	10.36 4.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	AELTUS/ING INVESTMENT MGT (AELT31638)	237	LLL	B	158	76.01	n/a	n/a	6.32	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMTIG)	237	LLL	B	46,989	76.01	n/a	n/a	1,879.56	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	237	LLL	B	18,412	76.01	n/a	n/a	736.48	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMRIS)	237	LLL	B	192	76.01	n/a	n/a	7.68	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTCLRWAT)	237	LLL	B	3,165	76.01	n/a	n/a	126.60	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTIIMANN)	237	LLL	B	4,124	76.01	n/a	n/a	164.96	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTAIMMAG)	237	LLL	B	959	76.01	n/a	n/a	38.36	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELTSEPCO0)	237	LLL	B	18,796	76.01	n/a	n/a	751.84	4.0
AO,	AELTUS/ING INVESTMENT MGT (AELT31660)	237	LLL	B	58	76.01	n/a	n/a	2.32	4.0
AO,CRT	MKT MAKER (MKT MAKER)	099	MCHP	B	500	37.89	n/a	n/a	0.00	0.0
AO,CXL	MKT MAKER (MKT MAKER)	099	MCHP	B	500	37.89	n/a	n/a	0.00	0.0
AO,	FIRST NEW YORK LEDDY (FNYS)	035	PSS	S	5,000	23.96	n/a	n/a	250.00	5.0
AO,CXL	HAYSTACK CAPITAL (HAYSLEHMAN)	035	PSS	S	5,000	23.96	n/a	n/a	250.00	5.0
AO,	MKT MAKER (MKT MAKER)	099	ROCK	S	300	24.91	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.