



Daily Compliance Activity Report

Trade Date: 09/11/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	AMD	B	10,000	25.73	n/a	n/a	600.00	6.0
FARBER/WEISS PECK	012	APPB	B	29,000	22.17	n/a	n/a	1,450.00	5.0
STADIA CAPITAL	035	ARO	B	46,000	27.57	6-Jul	28-Aug	1,840.00	4.0
ROARING BLUE LION MGMT	012	AVZ	B	2,500	19.84	6-Sep	11-Sep	125.00	5.0
AMBER CAPITAL	046	BBT	S	70,000	42.56	n/a	n/a	2,800.00	4.0
BONANZA PARTNERS	031	BONT	B	8,000	25.83	n/a	1-Sep	400.00	5.0
STRAUSS ASSET MGMT	040	BTU	S	7,500	36.58	n/a	n/a	375.00	5.0
VANDER MOOLEN	040	BWNG	B	7,500	11.81	25-Apr	5-Sep	375.00	5.0
OWL CREEK INV	032	CAL	B	300,000	25.07	n/a	n/a	9,000.00	3.0
EQUINOX	032	CAR	S	10,800	18.54	n/a	n/a	432.00	4.0
RBCC	034	CC	B	25,000	22.63	12-Apr	8-Sep	1,250.00	5.0
S.A.C. CAPITAL MGMT.	044	CCL	S	25,000	42.94	n/a	26-Jan	1,250.00	5.0
GOLDMAN SACHS ASSET MGMT	044	CELG	B	74,000	40.49	n/a	n/a	1,480.00	2.0
J L F ASSET MGMT	039	CHS	S	109,000	18.39	23-Aug	28-Aug	4,360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	CMG	B	5,000	48.73	8-May	11-Sep	250.00	5.0
SAILFISH	037	CMG	S	20,000	48.79	8-May	11-Sep	1,000.00	5.0
SAGE ASSET MGMT	012	COH	B	88,000	31.54	n/a	2-Aug	4,400.00	5.0
ZOLIDIS	011	CRMT	B	400	14.07	n/a	n/a	0.00	0.0
CARLSON CAPITAL	031	CTL	B	13,000	39.58	n/a	n/a	650.00	5.0
STRAUSS ASSET MGMT	040	CTX	S	10,000	49.30	n/a	n/a	500.00	5.0
CARLSON CAPITAL	031	CZN	S	38,600	13.46	n/a	n/a	1,930.00	5.0
J L F ASSET MGMT	039	DKS	S	29,400	41.73	n/a	n/a	1,176.00	4.0
ZOLIDIS	011	DSW	B	300	27.36	n/a	n/a	0.00	0.0
SINCLAIR	031	ENER	B	300	32.08	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	EV	B	10,000	26.90	6-Sep	7-Sep	500.00	5.0
CENTURION PARTNERS	244	FD	B	25,000	40.00	12-Jun	31-Aug	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FDO	B	54,800	27.64	n/a	31-Aug	2,192.00	4.0
NEW JERSEY DIV OF INV.	220	FSL	S	100,000	36.63	n/a	n/a	5,000.00	5.0
CHARTER OAK	037	GHDX	S	4,300	14.12	n/a	n/a	215.00	5.0
MAZAMA CAPITAL MGMT.	035	GHL	B	18,600	55.89	n/a	n/a	744.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN LEWIS/MLH	046	GM	B	10,000	32.23	n/a	n/a	500.00	5.0
METROPOLITAN CAPITAL	044	HBI	B	86,700	21.72	n/a	n/a	4,335.00	5.0
BARROW HANLEY MEWHINNEY	096	KFX	B	1,000	14.06	n/a	n/a	0.00	0.0
RBCC	034	KSS	B	20,000	65.66	10-Aug	31-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	LIZ	B	10,000	37.75	n/a	27-Jul	400.00	4.0
APEX CAPITAL MGMT.	002	LOW	B	100,000	27.60	n/a	22-Aug	5,000.00	5.0
AMBER CAPITAL	046	LPX	B	250,000	19.07	20-Jun	27-Jul	10,000.00	4.0
J L F ASSET MGMT	039	MA	B	20,300	61.50	n/a	n/a	812.00	4.0
LOCUS WOOD CAPITAL MGMT	044	MCD	B	50,000	37.44	n/a	11-Sep	2,500.00	5.0
ZOLIDIS	011	MNRO	S	200	30.98	n/a	n/a	0.00	0.0
BELAY CAPITAL	039	NDN	B	10,100	11.68	11-Aug	29-Aug	404.00	4.0
STRAUSS ASSET MGMT	040	NEXT	S	15,000	14.03	n/a	n/a	750.00	5.0
MS PRINCIPAL STRATEGIES	040	NSS	S	70,000	64.30	n/a	n/a	3,500.00	5.0
WILLIAMS TRADING /JILL	034	NWL	B	10,954	27.50	n/a	n/a	438.16	4.0
PERRY PARTNERS	035	ODP	S	100,000	38.94	26-Jun	31-Aug	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HBK FUNDS	035	ORCL	S	200,000	16.10	n/a	n/a	10,000.00	5.0
GOLDMAN SACHS ASSET MGMT	044	PG	S	632,983	62.03	25-Apr	6-Sep	12,659.66	2.0
ACK ASSET	028	PSMT	B	1,800	12.28	n/a	n/a	90.00	5.0
SINCLAIR	031	PYX	B	1,000	12.75	n/a	31-Aug	0.00	0.0
AMBER CAPITAL	046	RF	S	80,000	36.01	n/a	n/a	3,200.00	4.0
ZOLIDIS	011	RL	S	200	62.15	16-Jun	31-Aug	0.00	0.0
LEHMAN PROPRIETARY TRAD	039	SEPR	B	10,000	46.73	n/a	n/a	400.00	4.0
LEDDY	035	SUNW	S	150	4.98	n/a	n/a	0.00	0.0
MORRISON & FRASIER	040	SWN	S	66,500	32.75	7-Aug	8-Sep	3,325.00	5.0
WESTLANE CAPITAL	044	SWN	B	10,000	32.61	7-Aug	8-Sep	500.00	5.0
SANDLER O'NEILL ASSET	031	TROW	S	15,000	43.91	6-Sep	7-Sep	750.00	5.0
MERRILL ASSET	032	UTI	B	21,600	17.29	n/a	n/a	648.00	3.0
WHEELER	008	VSNT	S	10,000	11.43	n/a	n/a	0.00	0.0
SUNOVA CAPITAL	031	WDR	B	25,000	23.59	6-Sep	7-Sep	1,250.00	5.0
TOTAL:								113,005.82	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	ROARING BLUE LION MGMT (ROARMAIN U)	012	AEOS	S	9,300	40.08	5-Sep	6-Sep	372.00	4.0
AO,	ROARING BLUE LION MGMT (ROARMAIN U)	012	AEOS	S	9,300	40.08	5-Sep	6-Sep	465.00	5.0
AO,	GOLDMAN SACHS ASSET MGMT (GSAM321347)	044	CKFR	B	4,200	37.01	n/a	n/a	63.00	1.5
AO,	GOLDMAN SACHS ASSET MGMT (GSAM3079)	044	CKFR	B	14,110	37.01	n/a	n/a	211.65	1.5
AO,	GOLDMAN SACHS ASSET MGMT (GSAM2934)	044	CKFR	B	7,600	37.01	n/a	n/a	114.00	1.5
AO,	GOLDMAN SACHS ASSET MGMT (GSAM3410)	044	CKFR	B	9,034	37.01	n/a	n/a	135.51	1.5
AO,	GOLDMAN SACHS ASSET MGMT (GSAM2917)	044	CKFR	B	7,590	37.01	n/a	n/a	113.85	1.5
AO,	GOLDMAN SACHS ASSET MGMT (GSAM2752)	044	CKFR	B	9,000	37.01	n/a	n/a	135.00	1.5
AO,	GOLDMAN SACHS ASSET MGMT (GSAM2557)	044	CKFR	B	7,840	37.01	n/a	n/a	117.60	1.5
AO,	GOLDMAN SACHS ASSET MGMT (GSAM2454)	044	CKFR	B	6,560	37.01	n/a	n/a	98.40	1.5
AO,	GOLDMAN SACHS ASSET MGMT (GSAM2140)	044	CKFR	B	5,230	37.01	n/a	n/a	78.45	1.5
AO,CXL	HARVEST MGMT (HARVNEUBER)	039	COST	S	9,182	47.68	n/a	31-Aug	459.10	5.0
AO,CXL	HARVEST MGMT (HARVGSCO)	039	COST	S	5,818	47.68	n/a	31-Aug	290.90	5.0
AO,	HARVEST MGMT (HARVGSCO)	039	COST	S	15,000	47.68	n/a	31-Aug	750.00	5.0
AO,	MAZAMA CAPITAL MGMT. (MAZAILTRSP)	035	GHL	B	300	55.64	n/a	n/a	12.00	4.0
AO,CXL	MAZAMA CAPITAL MGMT. (MAZAPPSCGF)	035	GHL	B	300	55.64	n/a	n/a	12.00	4.0
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	LTD	B	30,000	25.83	9-May	28-Aug	1,200.00	4.0
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	LTD	B	30,000	25.85	9-May	28-Aug	1,200.00	4.0
AO,	MKT MAKER (MKT MAKER)	099	PSMT	B	56	56.00	n/a	n/a	0.00	0.0
AO,	MKT MAKER (MKT MAKER)	099	SNDK	B	739	56.13	n/a	n/a	0.00	0.0
AO,CXL	SCOPUS FUND (SCOPBANC O)	039	SSCC	S	31,500	10.84	15-May	17-Aug	1,575.00	5.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	SCOPUS FUND (SCOPBANC O)	039	SSCC	S	18,500	10.84	15-May	17-Aug	925.00	5.0
AO,CXL	SCOPUS FUND (SCOPUBS)	039	SSCC	S	18,500	10.84	15-May	17-Aug	925.00	5.0
AO,	SCOPUS FUND (SCOPUBS)	039	SSCC	S	31,500	10.84	15-May	17-Aug	1,575.00	5.0
AO,CXL	USBC (USBCCREIGH)	030	TXN	S	2,719	30.87	n/a	n/a	135.95	5.0
AO,	US BANCORP (USBCCREIGH)	030	TXN	S	2,719	30.87	n/a	n/a	135.95	5.0
CRT	WHEELER (WHEELER)	008	VSNT	S	10,000	11.43	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.