



## Daily Compliance Activity Report

Trade Date: 08/09/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	AAP	S	74,500	29.14	n/a	n/a	2,980.00	4.0
NWQ INVESTMENT MGMT CO	048	AHR	B	4,500	12.36	n/a	n/a	180.00	4.0
W.D.WITTER	040	ANF	B	9,000	55.39	6-Apr	4-Aug	450.00	5.0
EGS ASSOCIATES LP	059	ANN	S	6,500	38.52	6-Jul	4-Aug	390.00	6.0
HIGHBRIDGE CAPITAL	038	BBT	S	9,000	42.39	n/a	n/a	450.00	5.0
APEX CAPITAL MGMT.	002	BBY	S	200,000	45.52	13-Jun	26-Jun	10,000.00	5.0
<b>AAD CAPITAL</b>	<b>099</b>	<b>BLI</b>	<b>S</b>	<b>900</b>	<b>17.64</b>	<b>23-Jun</b>	<b>4-Aug</b>	<b>18.00</b>	<b>2.0</b>
NWQ INVESTMENT MGMT CO	048	BOW	B	5,000	21.46	13-Jul	13-Jul	200.00	4.0
MISSOURI VALLEY PART	046	CBK	S	25,000	26.40	1-Jun	4-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	CHS	B	5,000	21.60	23-Jun	4-Aug	200.00	4.0
MATTHES CAPITAL MGMT	033	CLE	S	5,000	25.60	4-May	4-Aug	200.00	4.0
MERRILL ASSET	032	CRK	B	54,300	30.74	n/a	n/a	2,715.00	5.0
DAVIDSON KEMPNER ADVISOR	015	DDR	B	500	52.44	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	DF	B	36,600	37.70	n/a	n/a	1,647.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DG	B	50,000	13.09	8-Jun	4-Aug	2,000.00	4.0
VICTORIA INVESTORS LP	060	DIS	B	5,000	29.83	n/a	n/a	250.00	5.0
<b>BARROW HANLEY MEWHINNEY</b>	<b>096</b>	<b>DSL</b>	<b>S</b>	<b>200</b>	<b>65.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	DVN	B	60,000	64.62	7-Aug	7-Aug	3,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ESL	B	68,400	32.43	n/a	n/a	3,420.00	5.0
THIRD COAST CAPITAL	035	EXBD	S	5,000	86.47	n/a	n/a	250.00	5.0
<b>SINC</b>	<b>031</b>	<b>F</b>	<b>S</b>	<b>1,000</b>	<b>7.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	FD	S	25,000	34.84	12-Jun	10-Aug	1,000.00	4.0
WHALE ROCK CAP	030	FD	B	20,000	35.49	12-Jun	10-Aug	800.00	4.0
SCOUT CAPITAL	044	FDX	S	235,000	99.53	n/a	n/a	9,400.00	4.0
TRIBECA	038	FMT	S	10,000	16.41	n/a	n/a	400.00	4.0
NWQ INVESTMENT MGMT CO	048	FOSL	B	18,800	18.59	31-Jul	8-Aug	752.00	4.0
NWQ INVESTMENT MGMT CO	048	GFF	B	5,100	22.90	n/a	n/a	204.00	4.0
XYLEM GLOBAL	024	GLT	B	78,600	14.48	n/a	n/a	3,144.00	4.0
<b>KERN</b>	<b>050</b>	<b>GLW</b>	<b>B</b>	<b>100</b>	<b>17.62</b>	<b>21-Mar</b>	<b>7-Aug</b>	<b>0.00</b>	<b>0.0</b>
HIGHFIELDS CAP MGMT	039	GPS	B	50,000	16.68	31-Jul	4-Aug	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MKT MAKER</b>	<b>099</b>	<b>GYMB</b>	<b>S</b>	<b>100</b>	<b>31.45</b>	<b>27-Jun</b>	<b>4-Aug</b>	<b>0.00</b>	<b>0.0</b>
U.S.TRUST COMPANY	012	HMA	S	50,500	20.73	23-Jun	2-Aug	1,515.00	3.0
DAVIDSON KEMPNER ADVISOR	015	HSP	B	700	35.93	n/a	13-Jun	0.00	0.0
<b>WHEE</b>	<b>008</b>	<b>IMCO</b>	<b>B</b>	<b>15,000</b>	<b>8.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SYSTEMATIC FINANCIAL MGT</b>	<b>035</b>	<b>JBX</b>	<b>B</b>	<b>34,700</b>	<b>42.93</b>	<b>n/a</b>	<b>9-Aug</b>	<b>1,388.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	KCP	S	10,000	24.73	n/a	27-Jul	500.00	5.0
<b>BARROW HANLEY MEWHINNEY</b>	<b>096</b>	<b>KNOT</b>	<b>S</b>	<b>1,000</b>	<b>16.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	KWD	S	5,000	26.29	n/a	n/a	200.00	4.0
<b>SCHE</b>	<b>037</b>	<b>LIZ</b>	<b>B</b>	<b>1,000</b>	<b>35.21</b>	<b>n/a</b>	<b>26-Jul</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	MCD	B	10,000	34.87	n/a	25-Jul	500.00	5.0
DAWSON SANBERG & CO	036	MGA	S	36,300	72.43	n/a	n/a	1,815.00	5.0
<b>OGOR</b>	<b>146</b>	<b>NDN</b>	<b>B</b>	<b>1,000</b>	<b>10.09</b>	<b>17-Apr</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>KAICHER</b>	<b>064</b>	<b>ONNN</b>	<b>B</b>	<b>400</b>	<b>5.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	034	ONXX	S	25,000	13.86	n/a	n/a	1,000.00	4.0
STRONG/HOWARD	038	OSUR	B	80,000	6.84	n/a	n/a	3,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	OXM	S	55,000	40.80	n/a	n/a	2,200.00	4.0
INDEPENDENCE INV	039	PFE	S	396,400	26.22	n/a	31-Mar	15,856.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>PLCE</b>	<b>B</b>	<b>300</b>	<b>54.54</b>	<b>1-May</b>	<b>4-Aug</b>	<b>0.00</b>	<b>0.0</b>
RH CAPITAL ASSOCIATES	060	PNR	B	20,000	28.60	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	10,000	25.20	n/a	n/a	400.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>PVH</b>	<b>S</b>	<b>1,000</b>	<b>35.31</b>	<b>8-Jun</b>	<b>8-Jun</b>	<b>0.00</b>	<b>0.0</b>
GABELLI FUNDS	037	REY	B	10,000	38.81	n/a	n/a	500.00	5.0
<b>STADIA CAPITAL</b>	<b>035</b>	<b>RL</b>	<b>S</b>	<b>5,000</b>	<b>58.87</b>	<b>16-Jun</b>	<b>9-Aug</b>	<b>200.00</b>	<b>4.0</b>
GABELLI FUNDS	037	RMK	B	20,000	32.58	n/a	n/a	1,000.00	5.0
SANDLER CAPITAL	038	ROK	S	60,000	60.58	n/a	n/a	3,600.00	6.0
SYSTEMATIC FINANCIAL MGT	035	SAM	S	11,400	30.89	n/a	n/a	456.00	4.0
<b>MKT MAKER</b>	<b>099</b>	<b>SBUX</b>	<b>B</b>	<b>100</b>	<b>29.69</b>	<b>2-Aug</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
CIRCLE T PART	035	SBUX	S	25,000	29.86	2-Aug	2-Aug	1,000.00	4.0
GLG PARTNERS	034	SBUX	S	25,000	29.86	2-Aug	2-Aug	1,250.00	5.0
ZANDER CAPITAL MGMT	035	SBUX	S	1,000	30.25	2-Aug	2-Aug	50.00	5.0
<b>SCHE</b>	<b>037</b>	<b>SIX</b>	<b>S</b>	<b>3,000</b>	<b>5.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINC</b>	<b>031</b>	<b>SLE</b>	<b>S</b>	<b>300</b>	<b>16.56</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.	
HIGHFIELDS CAP MGMT	039	STN	B	31,600	54.63	n/a	25-Jul	1,264.00	4.0
MORGENS WATERFALL	040	SWK	S	80,000	45.03	n/a	n/a	4,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	SYI	S	30,200	28.03	3-Aug	3-Aug	1,510.00	5.0
MERRILL ASSET	032	TTI	B	27,300	30.08	n/a	n/a	1,365.00	5.0
J L F ASSET MGMT	039	TUES	S	37,400	13.07	n/a	n/a	1,496.00	4.0
CAXTON PART	038	TXN	B	50,000	30.84	n/a	n/a	2,000.00	4.0
U.S.TRUST COMPANY	012	TXN	S	69,367	31.04	n/a	n/a	2,081.01	3.0
<b>ZOLI</b>	<b>011</b>	<b>UARM</b>	<b>S</b>	<b>150</b>	<b>35.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	UARM	S	23,400	33.75	n/a	n/a	936.00	4.0
HIGHBRIDGE CAPITAL	038	USB	S	14,000	32.23	n/a	n/a	700.00	5.0
BALYASNY ASSET MGMT	044	WEN	S	10,000	59.10	25-Jul	27-Jul	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	YUM	S	30,000	45.99	n/a	19-Jul	1,200.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	10,000	11.90	n/a	9-Jun	400.00	4.0
COUGAR TRADING	044	ZQK	B	15,000	11.98	n/a	9-Jun	750.00	5.0
<b>TOTAL :</b>								<b>103,132.01</b>	

### Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	STRONG/HOWARD (SCHTST574)	038	BRCD	B	4,810	4.97	n/a	n/a	192.40	4.0
AO,	STRONG/HOWARD (SCHTST821)	038	BRCD	B	2,590	4.97	n/a	n/a	103.60	4.0
AO,	STRONG/HOWARD (SCHTST268)	038	BRCD	B	10,730	4.97	n/a	n/a	429.20	4.0
AO,	STRONG/HOWARD (SCHTST9919)	038	BRCD	B	21,860	4.97	n/a	n/a	874.40	4.0
AO,	STRONG/HOWARD (SCHTST13)	038	BRCD	B	1,885	4.97	n/a	n/a	75.40	4.0
AO,	STRONG/HOWARD (SCHTST9966)	038	BRCD	B	15	4.97	n/a	n/a	0.60	4.0
AO,	STRONG/HOWARD (SCHT200725)	038	BRCD	B	4,470	4.97	n/a	n/a	178.80	4.0
AO,	STRONG/HOWARD (SCHT202363)	038	BRCD	B	3,240	4.97	n/a	n/a	129.60	4.0
AO,	STRONG/HOWARD (SCHTST588)	038	BRCD	B	400	4.97	n/a	n/a	16.00	4.0
AO,CRT	BINDER (BINDER)	007	CBK	B	200	27.72	1-Jun	4-Aug	0.00	0.0
AO,CXL	BINDER (BINDER)	007	CBK	B	200	27.72	1-Jun	4-Aug	0.00	0.0
AO,CRT	BINDER (BINDER)	007	SBL	B	500	10.40	n/a	2-Aug	0.00	0.0
AO,CXL	BINDER (BINDER)	007	SBL	B	500	10.40	n/a	2-Aug	0.00	0.0
AO,	SANDELL ADV (SANLMORGAN)	040	SIX	S	50,000	4.97	n/a	n/a	1,500.00	3.0
AO,CXL	SANDELL ADV (SANLMORGAN)	040	SIX	S	50,000	4.97	n/a	n/a	3,000.00	6.0
AO,	ROYCE TRADING (ROYC40)	216	SRT	S	15,000	11.61	n/a	n/a	750.00	5.0
AO,	DUNCAN HURST CAP (DUNC400001)	048	UCO	B	3,790	57.51	8-Aug	8-Aug	189.50	5.0
AO,CXL	DUNCAN HURST CAP (DUNC400001)	048	UCO	B	3,790	57.51	8-Aug	8-Aug	189.50	5.0

### Legend:

Blue: Employee and Proprietary Trades.

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

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