



Daily Compliance Activity Report

Trade Date: 10/03/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	034	AAPL	S	85,720	73.45	n/a	n/a	4,286.00	5.0
LATEFF MGMT	040	AL	B	750	39.32	n/a	n/a	247.50	33.0
SUN AMERICA ASSET MGMT	030	ANF	S	9,300	69.46	31-Aug	2-Oct	465.00	5.0
FARBER/WEISS PECK	012	APPB	B	24,000	21.71	n/a	n/a	1,200.00	5.0
COUGAR TRADING	044	ARO	B	5,000	30.23	6-Jul	2-Oct	250.00	5.0
COUGAR TRADING	044	ARO	S	5,000	30.30	6-Jul	2-Oct	250.00	5.0
J L F ASSET MGMT	039	ARO	B	43,700	30.37	6-Jul	2-Oct	1,748.00	4.0
WELLS/STRONG LEDDY	035	ATYT	S	14,500	21.45	n/a	n/a	580.00	4.0
ROARING BLUE LION MGMT	012	AVZ	S	5,840	22.00	6-Sep	25-Sep	233.60	4.0
LATEFF MGMT	040	BBBY	S	1,750	39.44	n/a	n/a	385.00	22.0
ROSENBERG	034	BBW	B	300	22.15	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	BEN	S	5,000	106.26	11-Sep	25-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	BID	B	105,000	33.91	n/a	n/a	4,200.00	4.0
LEDY	035	BMV	S	500	24.92	n/a	n/a	0.00	0.0
BENNETT LAWRENCE	044	BTU	S	6,850	34.76	n/a	n/a	342.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BWS	B	45,000	37.18	n/a	n/a	1,800.00	4.0
BUCK CAPITAL MGMT	001	CBK	S	10,000	30.46	18-Sep	2-Oct	400.00	4.0
LEDDY	035	CC	S	500	25.47	n/a	21-Sep	0.00	0.0
MORRISON & FRASIER	040	CCJ	S	21,600	34.02	n/a	n/a	1,080.00	5.0
ROARING BLUE LION MGMT	012	CLE	B	4,100	28.97	20-Sep	2-Oct	164.00	4.0
BANK OF NEW YORK	040	CLMS	B	11,225	28.87	n/a	25-Sep	505.13	4.5
DSG CAPITAL	225	CMG	B	5,000	49.49	n/a	11-Sep	250.00	5.0
DSG CAPITAL	225	CMG	S	5,000	50.00	n/a	11-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	CRI	B	60,000	27.41	n/a	n/a	2,400.00	4.0
LESTER BROS CAPITAL LLC	032	DELL	S	5,000	22.69	n/a	n/a	250.00	5.0
VISIUM/BALY HOWARD	038	EAT	B	15,000	39.81	12-Sep	13-Sep	750.00	5.0
FIRST NEW YORK LEDDY	035	FD	S	10,000	43.07	13-Sep	2-Oct	600.00	6.0
WOOSTER CAPITAL	035	FD	S	300,000	43.17	13-Sep	2-Oct	15,000.00	5.0
TRIBECA	038	FII	S	5,000	34.21	2-May	25-Sep	200.00	4.0
METROPOLITAN CAPITAL	044	FL	S	17,200	25.58	n/a	18-Aug	860.00	5.0
TRIBECA	038	FRC	S	10,000	39.58	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SSI INVESTORS	048	FSH	S	31,885	77.09	n/a	n/a	1,275.40	4.0
VANDER MOOLEN	040	GE	B	10,000	35.86	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	GES	B	20,000	48.56	n/a	n/a	800.00	4.0
WHITE PINE CAPITAL	030	GGG	B	325	38.65	n/a	n/a	16.25	5.0
GASNER	025	HBP	S	1,500	5.61	n/a	n/a	0.00	0.0
VANDER MOOLEN	040	HD	B	10,000	36.72	n/a	16-Aug	500.00	5.0
MAGUIRE	090	HDB	S	1,000	60.30	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	096	HDB	S	200	60.10	n/a	n/a	0.00	0.0
LUCHANSKY1	036	HET	S	66	74.72	3-Oct	3-Oct	0.00	0.0
J L F ASSET MGMT	039	HOTT	B	132,400	11.59	n/a	2-Oct	5,296.00	4.0
HARRIS ASSOCIATES	031	HPQ	B	18,700	37.24	n/a	n/a	748.00	4.0
MAZAMA CAPITAL MGMT.	035	HPY	B	22,500	26.06	n/a	n/a	900.00	4.0
MAGUIRE	090	IBN	S	1,000	30.37	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	096	IBN	S	500	30.22	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	IFF	B	600	39.91	5-Sep	5-Sep	30.00	5.0
ROSENBERG CAPITAL MGMT	033	INTC	S	71,380	20.30	n/a	n/a	2,498.30	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	096	IOM	B	5,000	2.89	n/a	n/a	0.00	0.0
FIRST INV MGMT CORP	036	IRF	B	12,800	33.54	n/a	n/a	640.00	5.0
COMMISSUM CAPITAL	067	ISE	B	7,500	45.94	2-Oct	3-Oct	375.00	5.0
TRIBECA	038	ITG	B	5,000	43.94	n/a	n/a	200.00	4.0
SUN AMERICA ASSET MGMT	030	ITT	B	13,000	50.77	2-Oct	2-Oct	650.00	5.0
CAPITAL GROWTH MGMT.	241	JCP	B	50,000	70.06	5-May	2-Oct	2,000.00	4.0
HARRIS ASSOCIATES	031	JPM	B	4,300	47.58	n/a	12-Sep	172.00	4.0
CUMBERLAND	038	JWN	B	50,000	42.94	14-Aug	2-Oct	2,000.00	4.0
HARRIS ASSOCIATES	031	KO	B	5,000	44.67	n/a	n/a	200.00	4.0
HIGHBRIDGE CAPITAL	038	KR	B	52,000	23.23	n/a	n/a	2,600.00	5.0
TRELLUS PARTNERS LP	028	KSS	B	30,000	66.42	2-Oct	3-Oct	1,500.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	5,000	29.45	n/a	n/a	200.00	4.0
HARRIS ASSOCIATES	031	LBTYA	B	5,800	25.87	n/a	n/a	232.00	4.0
HARRIS ASSOCIATES	031	LBTYK	B	5,700	25.18	n/a	n/a	228.00	4.0
HARRIS ASSOCIATES	031	LCAPA	B	1,500	85.45	n/a	n/a	60.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARRIS ASSOCIATES	031	LEN	B	7,800	45.02	n/a	n/a	312.00	4.0
FORD FDN.	032	LLY	S	35,000	56.74	n/a	n/a	1,750.00	5.0
SANDLER O'NEILL ASSET	031	LM	S	1,900	101.11	28-Jul	25-Sep	95.00	5.0
SUN AMERICA ASSET MGMT	030	LMT	B	8,000	87.55	n/a	n/a	400.00	5.0
HARRIS ASSOCIATES	031	MCD	B	5,300	39.92	n/a	11-Sep	212.00	4.0
HARRIS ASSOCIATES	031	MEL	B	5,700	39.36	n/a	12-Sep	228.00	4.0
BENNETT LAWRENCE	044	NIHD	S	900	61.75	n/a	n/a	45.00	5.0
MAZAMA CAPITAL MGMT.	035	NRF	S	95,000	12.84	n/a	n/a	3,800.00	4.0
HARRIS ASSOCIATES	031	NSM	B	17,300	23.12	n/a	n/a	692.00	4.0
FIRST NEW YORK LEDDY	035	NWY	B	10,000	13.76	n/a	2-Oct	500.00	5.0
TRIBECA	038	OCAS	B	100	25.60	n/a	n/a	4.00	4.0
BARROW HANLEY MEWHINNEY	096	ONNN	S	2,200	5.80	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	034	PCH	S	30,000	37.27	n/a	14-Sep	1,500.00	5.0
J L F ASSET MGMT	039	PLCE	B	19,500	65.26	1-May	2-Oct	780.00	4.0
FIRST INV MGMT CORP	036	PMI	B	5,000	44.20	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRIBECA	038	PMI	S	400	44.01	n/a	n/a	16.00	4.0
AWAD ASSET MGMT	048	PRX	S	33,200	17.74	n/a	2-Oct	1,660.00	5.0
BLACKROCK/BOSTON	037	PSS	B	104,500	25.43	n/a	n/a	4,180.00	4.0
BUCK CAPITAL MGMT	001	PSS	S	10,000	25.45	n/a	n/a	400.00	4.0
SAC TRADING HOWARD	038	PSS	S	15,000	25.72	n/a	n/a	750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	71,500	41.41	18-Sep	19-Sep	2,860.00	4.0
FIRST INV MGMT CORP	036	RDN	B	5,000	59.82	n/a	n/a	250.00	5.0
STADIA CAPITAL	035	RL	S	28,000	66.26	18-Sep	19-Sep	1,120.00	4.0
BUCK CAPITAL MGMT	001	RNT	S	40,000	22.04	n/a	n/a	1,600.00	4.0
HARRIS ASSOCIATES	031	RTN	B	6,600	48.86	n/a	n/a	264.00	4.0
SUN AMERICA ASSET MGMT	030	RTN	B	14,000	48.65	n/a	n/a	700.00	5.0
REICH AND TANG	037	RUSHA	B	21,000	16.69	n/a	n/a	1,050.00	5.0
THE JAY GOLDMAN	034	RYN	B	30,000	38.14	n/a	3-Oct	1,500.00	5.0
LEDDY	035	SBL	S	1,500	14.88	19-Sep	2-Oct	0.00	0.0
HARRIS ASSOCIATES	031	SGP	B	12,500	21.98	n/a	n/a	500.00	4.0
APEX CAPITAL MGMT.	002	SLAB	B	50,000	30.06	n/a	n/a	2,500.00	5.0
PALMYRA CAPITAL	048	SNDK	B	90,000	52.71	n/a	n/a	4,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORRISON & FRASIER	040	SSD	S	66,600	26.20	n/a	n/a	3,330.00	5.0
FIRST INV MGMT CORP	036	SSL	B	19,200	31.34	n/a	n/a	960.00	5.0
LISTED ERR	099	T	S	40,000	32.28	20-Sep	21-Sep	0.00	0.0
HARRIS ASSOCIATES	031	TIF	B	6,300	34.00	n/a	31-Aug	252.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	35,000	27.06	n/a	17-Aug	1,400.00	4.0
HASAN	010	TRMP	S	1,000	16.61	n/a	n/a	0.00	0.0
BENNETT LAWRENCE	044	TROW	S	350	46.99	6-Sep	25-Sep	17.50	5.0
HARRIS ASSOCIATES	031	TWX	B	19,500	18.46	n/a	n/a	780.00	4.0
APEX CAPITAL MGMT.	002	TXN	B	30,500	32.40	n/a	n/a	1,525.00	5.0
HARRIS ASSOCIATES	031	TYC	B	16,400	28.13	2-Oct	2-Oct	656.00	4.0
WEISSBERG	062	UPFC	S	500	14.46	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	059	URBN	B	3,000	17.27	14-Sep	3-Oct	180.00	6.0
SOMERSET ADV	044	USIH	B	300	13.30	n/a	n/a	15.00	5.0
MAIRS AND POWER INV	030	VZ	S	10,000	37.42	19-Sep	27-Sep	600.00	6.0
COUGAR TRADING	044	WRNC	B	5,000	19.10	5-Sep	15-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRIESS MGMT	042	WRNC	S	48,200	19.06	5-Sep	15-Sep	2,169.00	4.5
MORRISON & FRASIER	040	WTS	S	46,000	31.43	n/a	n/a	2,300.00	5.0
RH CAPITAL ASSOCIATES	060	WU	S	64,000	19.76	n/a	n/a	2,560.00	4.0
LEDDY	035	WY	S	300	61.65	20-Sep	21-Sep	0.00	0.0
FORD FDN.	032	WYE	S	45,000	51.03	n/a	31-Mar	2,250.00	5.0
HARRIS ASSOCIATES	031	YUM	B	2,300	53.09	n/a	12-Sep	92.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	120,000	12.18	8-Sep	8-Sep	4,800.00	4.0
TOTAL :								121,522.18	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	CUMBERLAND (CUMBMORGAN)	038	JWN	S	50,000	42.80	14-Aug	2-Oct	2,000.00 4.0
AO,	GOLDMAN SACHS ASSET MGMT (GSAM137040)	044	LM	B	9,464	99.86	28-Jul	25-Sep	189.28 2.0
AO,	GOLDMAN SACHS ASSET MGMT (GSAM800054)	044	LM	B	8,800	99.86	28-Jul	25-Sep	176.00 2.0
AO,	GOLDMAN SACHS ASSET MGMT (GSAM3050)	044	LM	B	7,600	99.86	28-Jul	25-Sep	152.00 2.0
AO,	GOLDMAN SACHS ASSET MGMT (GSAM917)	044	LM	B	4,600	99.86	28-Jul	25-Sep	92.00 2.0
AO,	GOLDMAN SACHS ASSET MGMT (GSAM772)	044	LM	B	6,270	99.86	28-Jul	25-Sep	125.40 2.0
AO,	GOLDMAN SACHS ASSET MGMT (GSAM2546)	044	LM	B	12,400	99.86	28-Jul	25-Sep	248.00 2.0
AO,	GOLDMAN SACHS ASSET MGMT (GSAM2762)	044	LM	B	11,010	99.86	28-Jul	25-Sep	220.20 2.0
AO,	KEYSTONE/EVERGREEN (KEYS487)	039	MYOG	S	100,000	51.49	n/a	n/a	5,000.00 5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	RUSHA	B	100	16.51	n/a	n/a	0.00 0.0
AO,CXL	APEX CAPITAL MGMT. (APEXMORGAN)	002	TIBX	S	50,000	8.83	n/a	3-Apr	2,500.00 5.0
AO,	APEX CAPITAL MGMT. (APEXMORGAN)	002	TIBX	S	50,000	8.83	n/a	3-Apr	2,000.00 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.