



# Daily Compliance Activity Report

Trade Date: 08/10/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	AEOS	B	50,000	34.71	30-Mar	8-Aug	2,500.00	5.0
J L F ASSET MGMT	039	AEOS	B	59,600	34.98	30-Mar	8-Aug	2,384.00	4.0
JENNISON	032	AMGN	S	143,300	67.04	n/a	26-Jan	6,018.60	4.2
J L F ASSET MGMT	039	ANF	B	28,300	55.75	6-Apr	4-Aug	1,132.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>100,000</b>	<b>22.72</b>	<b>6-Jul</b>	<b>10-Aug</b>	<b>4,000.00</b>	<b>4.0</b>
<b>KERN</b>	<b>050</b>	<b>ASEI</b>	<b>B</b>	<b>100</b>	<b>40.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KERN</b>	<b>050</b>	<b>ASEI</b>	<b>S</b>	<b>100</b>	<b>44.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	AVX	S	20,000	15.69	n/a	n/a	1,000.00	5.0
BEAR STEARNS ASSET MGMT.	033	BA	B	20,000	75.83	n/a	n/a	800.00	4.0
RAINIER INV MGMT	035	BEN	S	17,150	90.96	3-Aug	9-Aug	857.50	5.0
J L F ASSET MGMT	039	CAB	B	19,800	20.21	n/a	n/a	792.00	4.0
BEAR STEARNS ASSET MGMT.	033	CBE	S	15,000	83.02	20-Apr	21-Jul	600.00	4.0
MISSOURI VALLEY PART	046	CBK	S	30,000	26.50	1-Jun	4-Aug	1,500.00	5.0
BUCK CAPITAL MGMT	001	CL	S	10,000	60.02	25-Jul	25-Jul	400.00	4.0
MATTHES CAPITAL MGMT	033	CLE	S	5,000	25.60	4-May	4-Aug	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	COH	B	40,000	30.13	n/a	2-Aug	1,600.00	4.0
EOS PARTNERS	040	COST	S	2,000	49.80	n/a	3-Aug	100.00	5.0
FARBER/WEISS PECK	012	COST	S	4,000	51.26	n/a	3-Aug	200.00	5.0
WEINTRAUB CAPITAL MGT.	040	COST	S	25,000	49.75	n/a	3-Aug	1,250.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CPWM</b>	<b>B</b>	<b>400</b>	<b>12.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>CPWM</b>	<b>S</b>	<b>400</b>	<b>12.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	CRS	S	1,000	94.66	n/a	n/a	50.00	5.0
ROYCE TRADING	216	CTV	B	5,000	27.96	n/a	n/a	250.00	5.0
CAXTON PART	040	CVC	S	15,000	21.91	1-May	8-Aug	600.00	4.0
AVESTA CAP	229	CVS	B	25,000	33.71	n/a	n/a	1,250.00	5.0
FARBER/WEISS PECK	012	DBRN	S	10,000	21.30	n/a	n/a	500.00	5.0
THIRD COAST CAPITAL	035	DBRN	B	40,000	21.20	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	DDS	S	20,000	30.45	n/a	n/a	800.00	4.0
COUGAR TRADING	044	DDS	B	4,000	30.54	n/a	n/a	200.00	5.0
COUGAR TRADING	044	DDS	S	4,000	30.45	n/a	n/a	200.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>S</b>	<b>10,000</b>	<b>34.62</b>	<b>26-Jul</b>	<b>10-Aug</b>	<b>400.00</b>	<b>4.0</b>
ROBERTSON STEVENS BC	033	EFD	B	30,000	21.48	n/a	n/a	1,200.00	4.0
GOLDMAN SACHS ASSET MGMT	044	ENTG	S	40,000	9.61	n/a	n/a	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	EV	S	30,000	24.47	24-May	31-Jul	1,500.00	5.0
<b>CENTURION PARTNERS</b>	<b>244</b>	<b>FD</b>	<b>B</b>	<b>20,000</b>	<b>35.65</b>	<b>12-Jun</b>	<b>10-Aug</b>	<b>1,000.00</b>	<b>5.0</b>
<b>THE JAY GOLDMAN</b>	<b>034</b>	<b>FD</b>	<b>B</b>	<b>20,000</b>	<b>35.66</b>	<b>12-Jun</b>	<b>10-Aug</b>	<b>800.00</b>	<b>4.0</b>
LOCUS WOOD CAPITAL MGMT	044	FL	B	50,000	24.23	n/a	8-Aug	2,000.00	4.0
<b>OGOR</b>	<b>146</b>	<b>FLHE</b>	<b>B</b>	<b>10</b>	<b>0.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	FMT	B	10,000	16.57	n/a	n/a	500.00	5.0
GOLDMAN SACHS ASSET MGMT	044	FRNT	S	35,000	6.33	n/a	n/a	700.00	2.0
EMPYREAN CAP	036	FRX	S	100,000	47.22	18-Jul	8-Aug	5,000.00	5.0
CAPITAL GROWTH MGMT.	241	FTO	B	50,000	36.34	n/a	n/a	2,500.00	5.0
TPG-AXON	040	GE	B	300,000	32.69	n/a	n/a	15,000.00	5.0
J L F ASSET MGMT	039	GIL	S	9,800	46.04	n/a	n/a	392.00	4.0
<b>GAULT</b>	<b>063</b>	<b>GWW</b>	<b>B</b>	<b>1,000</b>	<b>60.94</b>	<b>17-Jul</b>	<b>17-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>GWWHM</b>	<b>B</b>	<b>50</b>	<b>0.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>GWWTL</b>	<b>B</b>	<b>30</b>	<b>0.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WEINTRAUB CAPITAL MGT.</b>	<b>040</b>	<b>GYMB</b>	<b>S</b>	<b>25,000</b>	<b>31.28</b>	<b>10-Aug</b>	<b>10-Aug</b>	<b>1,250.00</b>	<b>5.0</b>
MERRILL ASSET	032	HC	B	51,400	18.98	27-Jul	7-Aug	2,570.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	HCA	B	175,000	49.10	24-Jul	2-Aug	5,250.00	3.0
TRUST CO/COWEN/CALF.	040	HCA	S	462,985	49.10	24-Jul	2-Aug	23,149.25	5.0
<b>KARP</b>	<b>023</b>	<b>IWM</b>	<b>B</b>	<b>300</b>	<b>67.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	JNS	B	30,000	16.61	27-Apr	3-Aug	1,500.00	5.0
J L F ASSET MGMT	039	JOSB	B	46,100	25.68	n/a	n/a	1,844.00	4.0
ROYCE TRADING	216	JRN	B	50,000	10.52	n/a	n/a	2,500.00	5.0
CENTURION PARTNERS	244	JWN	B	30,000	34.03	n/a	4-Aug	1,500.00	5.0
MORGAN STANLEY ASSET MGT	032	JWN	S	7,000	33.19	n/a	4-Aug	350.00	5.0
MORGAN STANLEY ASSET MGT	032	KFT	B	12,000	33.60	n/a	n/a	600.00	5.0
MERRILL ASSET	032	KGC	B	61,300	12.85	n/a	n/a	3,065.00	5.0
<b>MORGAN STANLEY ASSET MGT</b>	<b>032</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>57.64</b>	<b>31-Jul</b>	<b>10-Aug</b>	<b>500.00</b>	<b>5.0</b>
<b>SAC TRADING HOWARD</b>	<b>038</b>	<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>57.86</b>	<b>31-Jul</b>	<b>10-Aug</b>	<b>1,000.00</b>	<b>5.0</b>
<b>THE JAY GOLDMAN</b>	<b>034</b>	<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>57.48</b>	<b>31-Jul</b>	<b>10-Aug</b>	<b>800.00</b>	<b>4.0</b>
<b>U.S.TRUST COMPANY</b>	<b>012</b>	<b>LEH</b>	<b>B</b>	<b>54,050</b>	<b>65.11</b>	<b>8-Jun</b>	<b>10-Aug</b>	<b>1,621.50</b>	<b>3.0</b>
J L F ASSET MGMT	039	MAS	B	42,500	26.68	n/a	n/a	1,700.00	4.0
MORGAN STANLEY ASSET MGT	032	MET	S	10,000	52.65	n/a	n/a	500.00	5.0
SENTINAL CAPITAL	045	MMM	S	5,000	68.50	10-Jul	8-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN STANLEY ASSET MGT	032	MO	S	5,000	80.59	n/a	n/a	250.00	5.0
ROYCE TRADING	216	MTZ	S	5,000	11.01	n/a	n/a	250.00	5.0
ROBERTSON STEVENS BC	033	NCR	B	57,100	32.74	n/a	n/a	2,284.00	4.0
COUGAR TRADING	044	NKE	B	5,000	76.27	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	35,000	40.47	n/a	n/a	1,400.00	4.0
OPTIMUM INV ADV	030	PKI	S	43,200	18.85	n/a	n/a	1,728.00	4.0
<b>OGOR</b>	<b>146</b>	<b>PSUN</b>	<b>B</b>	<b>500</b>	<b>15.32</b>	<b>3-Aug</b>	<b>11-Aug</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	RL	S	5,000	57.81	16-Jun	9-Aug	250.00	5.0
STADIA CAPITAL	035	RL	S	20,000	57.84	16-Jun	9-Aug	800.00	4.0
HIGHBRIDGE CAPITAL	038	RYN	S	36,800	39.90	n/a	13-Jul	1,840.00	5.0
DOUBLE V/PBX	044	SBL	B	9,000	10.30	n/a	2-Aug	450.00	5.0
WEINTRAUB CAPITAL MGT.	040	SBUX	S	25,000	29.66	2-Aug	2-Aug	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	THX	S	40,000	62.14	n/a	n/a	2,000.00	5.0
WESLEY CAPITAL	246	TJX	S	160,000	25.48	n/a	8-Aug	6,400.00	4.0
J L F ASSET MGMT	039	TLB	S	9,300	20.06	n/a	4-Aug	372.00	4.0
ROYCE TRADING	216	TNL	S	100,000	25.65	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	TWX	B	25,000	16.07	n/a	n/a	1,500.00	6.0
CASTLEROCK	040	UARM	S	59,000	33.48	n/a	n/a	2,360.00	4.0
COUGAR TRADING	044	URBN	S	10,000	16.06	9-Aug	9-Aug	500.00	5.0
JP MORGAN VENTURES	046	URBN	S	10,000	15.25	9-Aug	9-Aug	500.00	5.0
SAC TRADING HOWARD	038	URBN	B	20,000	15.69	9-Aug	9-Aug	1,000.00	5.0
SOMERSET ADV	044	USIH	B	3,860	12.29	n/a	n/a	193.00	5.0
BEAR STEARNS ASSET MGMT.	033	YUM	S	20,000	45.97	n/a	19-Jul	800.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>ZOLT</b>	<b>B</b>	<b>10,000</b>	<b>20.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	ZQK	B	10,000	11.94	n/a	9-Jun	400.00	4.0
<b>TOTAL:</b>							<b>145,102.85</b>		

# Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
AO,CXL	APEX CAPITAL MGMT. (APEXMORGAN)	002	BBY	S	100,000	45.52	13-Jun	26-Jun	5,000.00 5.0
<b>AO,</b>	<b>BUCK CAPITAL MGMT (BUCKMS MAI)</b>	<b>001</b>	<b>BLI</b>	<b>S</b>	<b>10,000</b>	<b>17.15</b>	<b>10-Aug</b>	<b>10-Aug</b>	<b>400.00 4.0</b>
AO,CXL	BUCK CAPITAL MGMT (BUCKMS MAI)	001	DG	B	50,000	13.09	8-Jun	4-Aug	2,000.00 4.0
AO,	BUCK CAPITAL MGMT (BUCKMS MAI)	001	DG	B	50,000	13.69	8-Jun	4-Aug	2,000.00 4.0
AO,	U.S.TRUST COMPANY (USTCMAIN A)	012	HMA	S	11,300	20.83	23-Jun	2-Aug	339.00 3.0
AO,	NWQ INVESTMENT MGMT CO (NWQI291631)048		KMG	S	4,000	69.24	n/a	n/a	160.00 4.0
AO,CXL	NWQ INVESTMENT MGMT CO (NWQI290698)048		KMG	S	4,000	69.24	n/a	n/a	160.00 4.0
AO,	CIRCLE T PART (CIRCMAIN)	035	SBUX	B	21,900	29.87	2-Aug	2-Aug	876.00 4.0
AO,	CIRCLE T PART (CIRCOPPENH)	035	SBUX	B	3,100	29.87	2-Aug	2-Aug	124.00 4.0
AO,CXL	CIRCLE T PART (CIRCMAIN)	035	SBUX	S	21,900	29.86	2-Aug	2-Aug	876.00 4.0
AO,CXL	CIRCLE T PART (CIRCOPPENH)	035	SBUX	S	3,100	29.86	2-Aug	2-Aug	124.00 4.0
AO,CXL	CAXTON PART (CAXTKURT)	038	TXN	B	50,000	30.84	n/a	n/a	2,000.00 4.0
AO,	CAXTON PART (CAXTKURT)	040	TXN	B	50,000	30.84	n/a	n/a	2,000.00 4.0
AO,	U.S.TRUST COMPANY (USTCMAIN A)	012	TXN	S	2,150	30.90	n/a	n/a	64.50 3.0
<b>AO,</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>UARM</b>	<b>S</b>	<b>44</b>	<b>33.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,	RAINIER INV MGMT (RAINLEUPMO)	035	WFC	B	200	70.70	n/a	n/a	10.00 5.0
AO,	RAINIER INV MGMT (RAINMIELPE)	035	WFC	B	350	70.70	n/a	n/a	17.50 5.0
AO,	RAINIER INV MGMT (RAINMONTLA)	035	WFC	B	350	70.70	n/a	n/a	17.50 5.0
AO,	RAINIER INV MGMT (RAINOPERHW)	035	WFC	B	200	70.70	n/a	n/a	10.00 5.0

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AO,	RAINIER INV MGMT (RAINOPCORE)	035	WFC	B	2,950	70.70	n/a	n/a	147.50 5.0
AO,	RAINIER INV MGMT (RAINMCAREP)	035	WFC	B	650	70.70	n/a	n/a	32.50 5.0
AO,	RAINIER INV MGMT (RAINMCKESS)	035	WFC	B	500	70.70	n/a	n/a	25.00 5.0
AO,	RAINIER INV MGMT (RAINBOATME)	035	WFC	B	350	70.70	n/a	n/a	17.50 5.0
AO,	RAINIER INV MGMT (RAINWHITW)	035	WFC	B	200	70.70	n/a	n/a	10.00 5.0
AO,	RAINIER INV MGMT (RAINFOSSPE)	035	WFC	B	250	70.70	n/a	n/a	12.50 5.0
AO,	RAINIER INV MGMT (RAINEHS)	035	WFC	B	250	70.70	n/a	n/a	12.50 5.0
AO,	RAINIER INV MGMT (RAINAGBU)	035	WFC	B	150	70.70	n/a	n/a	7.50 5.0
AO,	RAINIER INV MGMT (RAINARM)	035	WFC	B	1,550	70.70	n/a	n/a	77.50 5.0
AO,	RAINIER INV MGMT (RAINWINSEL)	035	WFC	B	200	70.70	n/a	n/a	10.00 5.0
AO,	RAINIER INV MGMT (RAINZM CAR)	035	WFC	B	550	70.70	n/a	n/a	27.50 5.0
AO,	RAINIER INV MGMT (RAINPLUMCR)	035	WFC	B	100	70.70	n/a	n/a	5.00 5.0
AO,	RAINIER INV MGMT (RAINRETEQ)	035	WFC	B	650	70.70	n/a	n/a	32.50 5.0
AO,	RAINIER INV MGMT (RAINDETROI)	035	WFC	B	650	70.70	n/a	n/a	32.50 5.0
AO,	RAINIER INV MGMT (RAINPLYMOU)	035	WFC	B	100	70.70	n/a	n/a	5.00 5.0
AO,	RAINIER INV MGMT (RAINSANDIA)	035	WFC	B	500	70.70	n/a	n/a	25.00 5.0
AO,	RAINIER INV MGMT (RAINWINPOO)	035	WFC	B	250	70.70	n/a	n/a	12.50 5.0
AO,	RAINIER INV MGMT (RAINWMETAL)	035	WFC	B	1,400	70.70	n/a	n/a	70.00 5.0
AO,	RAINIER INV MGMT (RAINZZ STE)	035	WFC	B	350	70.70	n/a	n/a	17.50 5.0
AO,	RAINIER INV MGMT (RAINPACCOA)	035	WFC	B	950	70.70	n/a	n/a	47.50 5.0
AO,	RAINIER INV MGMT (RAINZSHOPM)	035	WFC	B	250	70.70	n/a	n/a	12.50 5.0
AO,	RAINIER INV MGMT (RAINNCPHAR)	035	WFC	B	200	70.70	n/a	n/a	10.00 5.0
AO,	RAINIER INV MGMT (RAINDUN)	035	WFC	B	1,500	70.70	n/a	n/a	75.00 5.0
AO,	RAINIER INV MGMT (RAINWINPEN)	035	WFC	B	400	70.70	n/a	n/a	20.00 5.0
AO,	RAINIER INV MGMT (RAINWIMCAR)	035	WFC	B	350	70.70	n/a	n/a	17.50 5.0
AO,	RAINIER INV MGMT (RAINRIMBAL)	035	WFC	B	850	70.70	n/a	n/a	42.50 5.0
AO,	RAINIER INV MGMT (RAINLONGVI)	035	WFC	B	550	70.70	n/a	n/a	27.50 5.0
AO,	RAINIER INV MGMT (RAINWW LAB)	035	WFC	B	1,000	70.70	n/a	n/a	50.00 5.0
AO,	RAINIER INV MGMT (RAINZZ LAB)	035	WFC	B	350	70.70	n/a	n/a	17.50 5.0
AO,	RAINIER INV MGMT (RAINTIMBER)	035	WFC	B	650	70.70	n/a	n/a	32.50 5.0



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AO,	RAINIER INV MGMT (RAINNAVAJO)	035	WFC	B	450	70.70	n/a	n/a	22.50 5.0
AO,	RAINIER INV MGMT (RAINRIMCOR)	035	WFC	B	6,900	70.70	n/a	n/a	345.00 5.0
AO,	RAINIER INV MGMT (RAINTURLOC)	035	WFC	B	100	70.70	n/a	n/a	5.00 5.0
AO,	RAINIER INV MGMT (RAINGOODFE)	035	WFC	B	150	70.70	n/a	n/a	7.50 5.0
AO,	RAINIER INV MGMT (RAINVMRET)	035	WFC	B	100	70.70	n/a	n/a	5.00 5.0
AO,	RAINIER INV MGMT (RAINSIS)	035	WFC	B	550	70.70	n/a	n/a	27.50 5.0
AO,	RAINIER INV MGMT (RAINZZ PLI)	035	WFC	B	400	70.70	n/a	n/a	20.00 5.0
AO,	RAINIER INV MGMT (RAINCAIRON)	035	WFC	B	1,400	70.70	n/a	n/a	70.00 5.0
AO,	RAINIER INV MGMT (RAINRDRUG)	035	WFC	B	150	70.70	n/a	n/a	7.50 5.0
AO,	RAINIER INV MGMT (RAINPUGETE)	035	WFC	B	950	70.70	n/a	n/a	47.50 5.0
AO,	RAINIER INV MGMT (RAINZZ QUE)	035	WFC	B	200	70.70	n/a	n/a	10.00 5.0
AO,	RAINIER INV MGMT (RAINVMCOR)	035	WFC	B	200	70.70	n/a	n/a	10.00 5.0
AO,	RAINIER INV MGMT (RAINCH SUG)	035	WFC	B	250	70.70	n/a	n/a	12.50 5.0
AO,	RAINIER INV MGMT (RAINHYDRO1)	035	WFC	B	1,500	70.70	n/a	n/a	75.00 5.0
AO,	RAINIER INV MGMT (RAINORSHEE)	035	WFC	B	450	70.70	n/a	n/a	22.50 5.0
AO,	RAINIER INV MGMT (RAINOREBUT)	035	WFC	B	950	70.70	n/a	n/a	47.50 5.0
AO,	RAINIER INV MGMT (RAINNWSHEE)	035	WFC	B	850	70.70	n/a	n/a	42.50 5.0
AO,	RAINIER INV MGMT (RAINBAPTIS)	035	WFC	B	900	70.70	n/a	n/a	45.00 5.0
AO,	RAINIER INV MGMT (RAINRETCL)	035	WFC	B	100	70.70	n/a	n/a	5.00 5.0
AO,	RAINIER INV MGMT (RAINAKHERE)	035	WFC	B	150	70.70	n/a	n/a	7.50 5.0
AO,	RAINIER INV MGMT (RAINWICTA)	035	WFC	B	750	70.70	n/a	n/a	37.50 5.0
AO,	RAINIER INV MGMT (RAINHALIFA)	035	WFC	B	700	70.70	n/a	n/a	35.00 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.**