



# Daily Compliance Activity Report

Trade Date: 09/25/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	ACOR	B	1,000	6.00	n/a	n/a	0.00	0.0
SINCLAIR	031	ACOR	S	1,000	6.68	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ADBE	B	1,700	38.42	n/a	n/a	85.00	5.0
BALYASNY ASSET MGMT	044	AMG	S	10,000	98.50	6-Sep	25-Sep	500.00	5.0
COUGAR TRADING	044	ANF	S	5,000	69.64	31-Aug	31-Aug	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ANF	S	177,200	69.30	31-Aug	31-Aug	7,088.00	4.0
REINHART & MAHONEY	031	AVX	S	33,500	17.05	n/a	n/a	1,675.00	5.0
PATTEN & PATTEN	067	BBY	S	600	55.18	13-Jun	13-Sep	30.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	5,000	105.84	11-Sep	25-Sep	250.00	5.0
THE BOSTON COMPANY	214	BJ	B	28,100	29.09	n/a	31-Aug	1,124.00	4.0
WOOSTER CAPITAL	035	BONT	B	15,000	29.24	n/a	21-Sep	750.00	5.0
XYLEM GLOBAL	024	BOW	S	50,000	20.52	11-Sep	14-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	CBK	S	10,000	30.41	18-Sep	20-Sep	400.00	4.0
MKT MAKER	099	CHIC	B	52	25.85	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	CL	S	34,000	61.98	25-Jul	26-Jul	1,360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CLE	B	205,000	29.31	20-Sep	21-Sep	8,200.00	4.0
BUCK CAPITAL MGMT	015	CMX	B	500	54.00	n/a	n/a	0.00	0.0
<b>LEVIN CAPITAL STRATEGIES</b>	<b>012</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>34.37</b>	<b>n/a</b>	<b>25-Sep</b>	<b>400.00</b>	<b>4.0</b>
CAPITAL GROWTH MGMT.	241	COP	S	73,000	57.02	n/a	n/a	3,650.00	5.0
PATTEN & PATTEN	067	COP	S	200	57.56	n/a	n/a	10.00	5.0
BEAR STEARNS ASSET MGMT.	033	COST	S	50,000	51.57	n/a	31-Aug	2,000.00	4.0
HERMES	048	COST	S	8,000	50.27	n/a	31-Aug	400.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CSCO</b>	<b>B</b>	<b>23</b>	<b>22.71</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	CSCO	S	200	22.95	n/a	22-Mar	10.00	5.0
BALYASNY ASSET MGMT	044	CSE	B	10,000	24.62	n/a	n/a	500.00	5.0
HIGHBRIDGE CAPITAL	038	CTL	B	10,000	39.99	n/a	n/a	500.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CYBX</b>	<b>B</b>	<b>2</b>	<b>16.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	CZN	B	10,000	13.99	n/a	n/a	500.00	5.0
GOLD SACHS SPECIAL SIT	037	DBD	S	122,300	43.21	n/a	15-Sep	6,115.00	5.0
PATTEN & PATTEN	067	DELL	B	300	21.77	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	DG	S	800	14.02	21-Aug	31-Aug	40.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>EEEE</b>	<b>S</b>	<b>1,500</b>	<b>8.20</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.	
EOS PARTNERS	040	FCS	S	2,800	18.44	n/a	n/a	140.00	5.0
ENDEAVOUR CAPITAL	035	FMT	B	11,800	13.57	n/a	n/a	590.00	5.0
BARROW HANLEY MEWHINNEY	031	FNM	B	22,500	53.99	n/a	n/a	900.00	4.0
EGS ASSOCIATES LP	059	FOSL	B	3,000	21.25	12-Aug	14-Sep	180.00	6.0
BARROW HANLEY MEWHINNEY	031	FRE	B	18,700	64.50	n/a	n/a	748.00	4.0
BENNETT LAWRENCE	044	GDI	S	2,700	31.08	n/a	n/a	135.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>GHDX</b>	<b>S</b>	<b>70</b>	<b>14.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	GPS	B	20,000	18.62	31-Jul	28-Aug	1,200.00	6.0
U.S.TRUST COMPANY	012	ICO	S	100,270	4.02	n/a	n/a	3,008.10	3.0
AMBER CAPITAL	046	IDC	B	12,600	19.50	n/a	n/a	504.00	4.0
PATTEN & PATTEN	067	ITT	B	300	48.30	28-Jul	28-Jul	15.00	5.0
BARROW HANLEY MEWHINNEY	031	ITW	B	17,500	43.84	n/a	n/a	700.00	4.0
COUGAR TRADING	044	JCP	S	5,000	67.36	5-May	31-Aug	250.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>JLG</b>	<b>S</b>	<b>600</b>	<b>19.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	JNJ	S	790	64.16	n/a	22-Apr	39.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KCP	B	5,000	25.40	n/a	31-Aug	200.00	4.0
<b>MILLENIUM PARTNERS</b>	<b>028</b>	<b>KEGS</b>	<b>B</b>	<b>25,000</b>	<b>13.15</b>	<b>7-Aug</b>	<b>25-Sep</b>	<b>1,000.00</b>	<b>4.0</b>
BENNETT LAWRENCE	044	KSS	B	5,200	67.29	10-Aug	31-Aug	260.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	5,000	29.35	n/a	n/a	200.00	4.0
CAPITAL GROWTH MGMT.	241	LEH	B	70,000	72.91	n/a	13-Sep	3,500.00	5.0
HIGHBRIDGE CAPITAL	038	LFB	S	10,200	20.63	n/a	14-Sep	510.00	5.0
<b>BALYASNY ASSET MGMT</b>	<b>044</b>	<b>LM</b>	<b>B</b>	<b>5,000</b>	<b>99.84</b>	<b>28-Jul</b>	<b>25-Sep</b>	<b>250.00</b>	<b>5.0</b>
BUCK CAPITAL MGMT	001	LTD	B	10,000	27.36	9-May	28-Aug	400.00	4.0
BALYASNY ASSET MGMT	044	MER	B	10,000	78.82	18-Apr	12-Sep	500.00	5.0
DAWSON SANBERG & CO	036	NUE	S	15,900	45.77	n/a	n/a	795.00	5.0
FARALLON CAP MGMT	040	NWSA	S	100,000	19.11	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	NWY	B	10,000	13.62	n/a	28-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	20,000	13.46	n/a	28-Aug	800.00	4.0
HIGHBRIDGE CAPITAL	038	ODP	B	18,000	40.27	26-Jun	31-Aug	900.00	5.0
SAC TRADING HOWARD	038	PLCE	S	15,000	62.39	1-May	8-Sep	750.00	5.0
AMBER CAPITAL	046	PNX	B	700	14.00	n/a	n/a	28.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERMES	048	QCOM	S	12,000	38.18	n/a	n/a	600.00	5.0
NEUBERGER BERMAN	239	RHD	S	10,000	52.75	n/a	n/a	500.00	5.0
A.I.M. ADVISORS INC	031	RI	S	74,129	28.06	n/a	n/a	2,965.16	4.0
FARALLON CAP MGMT	040	RSH	B	101,000	19.42	n/a	n/a	3,030.00	3.0
BUCK CAPITAL MGMT	015	RYN	B	1,000	37.26	n/a	25-Jul	0.00	0.0
DAWSON SANBERG & CO	036	RYN	B	12,300	37.30	n/a	25-Jul	615.00	5.0
<b>GASNER</b>	<b>025</b>	<b>SOIGF</b>	<b>B</b>	<b>750</b>	<b>4.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>SRR</b>	<b>S</b>	<b>600</b>	<b>14.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	SRZ	B	600	30.42	n/a	n/a	30.00	5.0
BUCK CAPITAL MGMT	001	TBL	B	10,000	29.01	19-Jul	13-Sep	400.00	4.0
VISIUM/BALY HOWARD	038	TLB	S	10,000	27.17	n/a	17-Aug	500.00	5.0
PATTEN & PATTEN	067	TYC	S	500	27.01	n/a	3-Aug	25.00	5.0
BUCK CAPITAL MGMT	015	WAG	S	500	43.64	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	WMT	B	25,000	48.97	n/a	31-Aug	1,250.00	5.0
PATTEN & PATTEN	067	WWY	S	300	45.33	n/a	n/a	15.00	5.0
DAWSON SANBERG & CO	036	X	S	17,600	54.91	n/a	n/a	880.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	YHOO	B	200	25.42	n/a	n/a	10.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	110,000	12.29	8-Sep	8-Sep	4,400.00	4.0
<b>TOTAL:</b>								<b>75,474.76</b>	

**Cancel/Corrects and As-Of Trades**

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	AMBER CAPITAL (AMBRGS)	046	IDC	B	4,300	19.50	n/a	n/a	172.00	4.0
AO,CXL	AMBER CAPITAL (AMBRLEH)	046	IDC	B	4,300	19.50	n/a	n/a	172.00	4.0
AO,CXL	GALLEON MGMT LP (GALLMAIN)	033	SGP	S	50,000	21.36	n/a	n/a	2,000.00	4.0
AO,	GALLEON MGMT LP (GALLMAIN)	033	SGP	S	50,000	21.36	n/a	n/a	2,500.00	5.0
AO,CXL	FORCE CAPITAL MGMT (FORCGSPB)	030	SPY	S	35,000	131.36	n/a	n/a	1,750.00	5.0
AO,	FORCE CAPITAL MGMT (FORCGSPB)	030	SPY	S	35,000	131.36	n/a	n/a	1,050.00	3.0
AO,	JANUS CAPITAL CORP (JANU06)	046	YHOO	B	400,000	25.48	n/a	n/a	14,000.00	3.5

**Legend:**

**Blue: Employee and Proprietary Trades.**

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

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