



## Daily Compliance Activity Report

Trade Date: 09/22/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BACKUS	105	ABG	B	5,000	19.60	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	096	ACLS	B	4,300	6.76	n/a	n/a	0.00	0.0
TRIBECA/DOUG	040	AFL	S	3,500	45.34	n/a	n/a	140.00	4.0
LATEFF MGMT	040	AL	B	3,000	39.07	n/a	n/a	570.00	19.0
SYSTEMATIC FINANCIAL MGT	035	ANF	S	100,000	68.68	31-Aug	31-Aug	4,000.00	4.0
CAPITAL GROWTH MGMT.	241	APA	S	20,000	60.50	7-Aug	7-Aug	1,000.00	5.0
WHITE PINE CAPITAL	030	APA	S	1,900	60.54	7-Aug	7-Aug	95.00	5.0
STEINBERG	030	APCC	S	4,500	21.51	n/a	n/a	225.00	5.0
COUGAR TRADING	044	ARO	B	5,000	28.95	6-Jul	28-Aug	250.00	5.0
MAZAMA CAPITAL MGMT.	035	ATW	B	47,200	41.18	n/a	n/a	1,888.00	4.0
BUCK CAPITAL MGMT	001	BBW	B	10,000	23.48	n/a	n/a	400.00	4.0
IRON HORSE CAPITAL MGMT	038	BBY	S	10,000	54.41	13-Jun	13-Sep	500.00	5.0
LUCHANSKY2	036	BDK	S	200	77.55	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	BHI	S	4,000	63.09	n/a	n/a	200.00	5.0
HIGHBRIDGE CAPITAL	038	BHP	S	82,000	36.89	n/a	n/a	4,100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOOMIS SALES/BOSTON	036	BID	B	50,300	30.81	n/a	n/a	2,515.00	5.0
COUGAR TRADING	044	BONT	S	5,000	30.53	n/a	21-Sep	250.00	5.0
PEREGRINE	030	BONT	S	18,000	30.22	n/a	21-Sep	900.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CBK</b>	<b>S</b>	<b>650</b>	<b>29.30</b>	<b>18-Sep</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	CBK	S	60,000	29.32	18-Sep	20-Sep	2,400.00	4.0
<b>BARROW HANLEY MEWHINNEY</b>	<b>096</b>	<b>CEVA</b>	<b>S</b>	<b>1,600</b>	<b>5.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	239	CRL	S	9,000	41.63	n/a	n/a	450.00	5.0
SAC TRADING HOWARD	038	CVS	S	15,000	32.77	n/a	n/a	750.00	5.0
HERMES	048	DENN	S	20,000	3.55	n/a	n/a	600.00	3.0
STEINBERG	030	DISCA	S	11,800	14.00	n/a	n/a	590.00	5.0
HERMES	048	DISH	B	8,000	31.69	16-Jun	21-Sep	400.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>DMND</b>	<b>S</b>	<b>800</b>	<b>13.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	DSW	B	30,000	30.34	n/a	n/a	1,200.00	4.0
<b>BINDER</b>	<b>007</b>	<b>EFT</b>	<b>B</b>	<b>200</b>	<b>18.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CROWLEY</b>	<b>061</b>	<b>EFT</b>	<b>B</b>	<b>1,000</b>	<b>18.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BACKUS</b>	<b>105</b>	<b>EFT</b>	<b>B</b>	<b>16,000</b>	<b>18.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LAPIDES ASSET MGMT	037	ELK	S	5,000	27.74	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	031	EMR	S	11,265	80.24	n/a	n/a	563.25	5.0
LAPIDES ASSET MGMT	037	ETM	S	6,000	24.63	n/a	n/a	240.00	4.0
<b>BACKUS</b>	<b>105</b>	<b>EVST</b>	<b>B</b>	<b>1,000</b>	<b>14.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LAPIDES ASSET MGMT	037	FBN	S	7,200	18.89	n/a	n/a	288.00	4.0
<b>BINDER</b>	<b>007</b>	<b>FD</b>	<b>S</b>	<b>200</b>	<b>40.54</b>	<b>13-Sep</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	FD	S	50,000	41.08	13-Sep	21-Sep	2,000.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	50,000	33.80	n/a	10-Jan	2,000.00	4.0
BUCK CAPITAL MGMT	001	GES	S	101,100	47.25	n/a	n/a	4,044.00	4.0
SIGMA CAPITAL ASSOCIATES	034	GES	S	25,000	47.52	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	GPS	B	20,000	18.20	31-Jul	28-Aug	1,200.00	6.0
CAPITAL GROWTH MGMT.	241	GS	B	15,000	166.17	17-May	13-Sep	750.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>GTRC</b>	<b>S</b>	<b>200</b>	<b>45.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>HAL</b>	<b>S</b>	<b>400</b>	<b>28.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	HPQ	B	15,000	34.70	n/a	n/a	750.00	5.0
NEW JERSEY DIV OF INV.	220	HPQ	B	79,000	34.71	n/a	n/a	3,950.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>HRS</b>	<b>S</b>	<b>150</b>	<b>43.16</b>	<b>2-May</b>	<b>6-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>HASAN</b>	<b>010</b>	<b>IEAM</b>	<b>B</b>	<b>2,000</b>	<b>6.47</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.	
<b>SINCLAIR</b>	<b>031</b>	<b>JLG</b>	<b>B</b>	<b>600</b>	<b>17.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LAPIDES ASSET MGMT	037	KCI	S	8,000	30.02	n/a	n/a	320.00	4.0
BUCK CAPITAL MGMT	001	KCP	B	10,000	25.22	n/a	31-Aug	400.00	4.0
<b>OGORMAN</b>	<b>146</b>	<b>LEH</b>	<b>S</b>	<b>100</b>	<b>70.64</b>	<b>n/a</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	LEH	B	24,500	70.89	n/a	13-Sep	1,225.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	26.99	9-May	28-Aug	800.00	4.0
FORSTMAN LEFF	037	MCHP	B	4,900	31.23	n/a	n/a	245.00	5.0
<b>BARROW HANLEY MEWHINNEY</b>	<b>096</b>	<b>NEW</b>	<b>B</b>	<b>300</b>	<b>41.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>NKE</b>	<b>B</b>	<b>150</b>	<b>86.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BACKUS</b>	<b>105</b>	<b>NKE</b>	<b>S</b>	<b>2,000</b>	<b>86.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	NKE	S	5,000	86.80	n/a	n/a	300.00	6.0
TRIBECA/DOUG	040	OCAS	B	10,000	26.00	n/a	n/a	400.00	4.0
WHITE PINE CAPITAL	030	PERY	S	4,800	31.59	n/a	n/a	240.00	5.0
LOOMIS SALES/BOSTON	036	PHM	B	32,900	30.32	n/a	n/a	1,645.00	5.0
REINHART & MAHONEY	031	PTEN	B	13,600	22.12	n/a	n/a	680.00	5.0
FORD FDN.	032	Q	B	100,000	8.89	n/a	n/a	5,000.00	5.0
NEUBERGER BERMAN	239	RHD	S	23,000	52.96	n/a	n/a	1,150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
A.I.M. ADVISORS INC	031	RI	S	6,012	27.83	n/a	n/a	240.48	4.0
BUCK CAPITAL MGMT	001	RL	S	10,000	62.57	18-Sep	19-Sep	400.00	4.0
FORSTMAN LEFF	037	ROC	S	7,510	19.98	n/a	n/a	375.50	5.0
GALLEON MGMT LP	033	SGP	S	50,000	21.36	n/a	n/a	2,000.00	4.0
<b>BINDER</b>	<b>007</b>	<b>SIRI</b>	<b>B</b>	<b>615</b>	<b>3.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORCE CAPITAL MGMT	030	SPY	S	35,000	131.36	n/a	n/a	1,750.00	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>SWN</b>	<b>B</b>	<b>100</b>	<b>29.11</b>	<b>7-Aug</b>	<b>8-Sep</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	TBL	B	10,000	28.98	19-Jul	13-Sep	400.00	4.0
<b>BINDER</b>	<b>007</b>	<b>TDF</b>	<b>S</b>	<b>400</b>	<b>21.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SCHEINER</b>	<b>037</b>	<b>TEVA</b>	<b>S</b>	<b>800</b>	<b>33.07</b>	<b>7-Aug</b>	<b>22-Sep</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	TLB	B	10,000	27.28	n/a	17-Aug	400.00	4.0
LATEFF MGMT	040	TRB	S	2,750	33.72	n/a	n/a	495.00	18.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>TSBK</b>	<b>S</b>	<b>200</b>	<b>36.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	TWB	B	10,000	37.23	5-Sep	5-Sep	400.00	4.0
<b>BINDER</b>	<b>007</b>	<b>TWX</b>	<b>B</b>	<b>300</b>	<b>17.46</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.	
SCHEINER	037	UNT	S	500	45.69	7-Aug	7-Aug	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	UST	B	6,200	54.20	n/a	n/a	310.00	5.0
MAIRS AND POWER INV	030	VZ	S	10,000	36.97	19-Sep	21-Sep	600.00	6.0
COUGAR TRADING	044	WRNC	S	5,000	19.93	5-Sep	15-Sep	250.00	5.0
LAPIDES ASSET MGMT	037	YRCW	S	2,000	37.55	n/a	n/a	80.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	50,000	12.13	8-Sep	8-Sep	2,000.00	4.0
<b>TOTAL:</b>								<b>62,764.23</b>	

### Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	ESTABROOK (ESTABONYMF)	032	AXP	B	2,500	54.31	n/a	n/a	112.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	AXP	B	2,500	54.31	n/a	n/a	112.50	4.5
AO,	ESTABROOK (ESTACTRUST)	032	BAC	B	2,250	52.53	19-Jul	12-Sep	112.50	5.0
AO,CXL	ESTABROOK (ESTABONYMF)	032	BAC	B	2,250	52.53	19-Jul	12-Sep	101.25	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	BAC	B	4,500	52.23	19-Jul	12-Sep	202.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	BAC	B	4,500	52.23	19-Jul	12-Sep	202.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	BG	B	1,000	57.99	n/a	n/a	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	BG	B	1,000	57.99	n/a	n/a	45.00	4.5
<b>AO,CRT</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>BONT</b>	<b>S</b>	<b>100</b>	<b>30.52</b>	<b>n/a</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
AO,	BMOL (BMOL122)	044	BSX	S	2,200	16.42	n/a	22-Apr	110.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL115)	044	BSX	S	3,100	16.42	n/a	22-Apr	155.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL134)	044	BSX	S	1,800	16.42	n/a	22-Apr	90.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL54)	044	BSX	S	2,100	16.42	n/a	22-Apr	105.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL6243)	044	BSX	S	1,800	16.42	n/a	22-Apr	90.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL6030)	044	BSX	S	200	16.42	n/a	22-Apr	10.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL6007)	044	BSX	S	1,900	16.42	n/a	22-Apr	95.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL126)	044	BSX	S	10,100	16.42	n/a	22-Apr	505.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL459)	044	BSX	S	2,300	16.42	n/a	22-Apr	115.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL6212)	044	BSX	S	1,300	16.42	n/a	22-Apr	65.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL6026)	044	BSX	S	600	16.42	n/a	22-Apr	30.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL2117)	044	BSX	S	600	16.42	n/a	22-Apr	30.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL125)	044	BSX	S	3,800	16.42	n/a	22-Apr	190.00	5.0
AO,	BECK MACK & OLIVER LLC (BMOL458)	044	BSX	S	2,900	16.42	n/a	22-Apr	145.00	5.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	BECK MACK & OLIVER LLC (BMOL6003)	044	BSX	S	500	16.42	n/a	22-Apr	25.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6025)	044	BSX	S	600	16.42	n/a	22-Apr	30.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL2029)	044	BSX	S	600	16.42	n/a	22-Apr	30.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL43)	044	BSX	S	17,700	16.42	n/a	22-Apr	885.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL4023)	044	BSX	S	800	16.42	n/a	22-Apr	40.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6024)	044	BSX	S	600	16.42	n/a	22-Apr	30.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL117)	044	BSX	S	9,200	16.42	n/a	22-Apr	460.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL28)	044	BSX	S	16,400	16.42	n/a	22-Apr	820.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL2040)	044	BSX	S	22,200	16.42	n/a	22-Apr	1,110.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6023)	044	BSX	S	600	16.42	n/a	22-Apr	30.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL1047)	044	BSX	S	1,100	16.42	n/a	22-Apr	55.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL24)	044	BSX	S	1,400	16.42	n/a	22-Apr	70.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL2015)	044	BSX	S	600	16.42	n/a	22-Apr	30.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6011)	044	BSX	S	1,700	16.42	n/a	22-Apr	85.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6202)	044	BSX	S	8,400	16.42	n/a	22-Apr	420.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL1012)	044	BSX	S	2,800	16.42	n/a	22-Apr	140.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL15)	044	BSX	S	1,400	16.42	n/a	22-Apr	70.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL1045)	044	BSX	S	1,000	16.42	n/a	22-Apr	50.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6010)	044	BSX	S	1,700	16.42	n/a	22-Apr	85.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6120)	044	BSX	S	1,600	16.42	n/a	22-Apr	80.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6235)	044	BSX	S	1,000	16.42	n/a	22-Apr	50.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL147)	044	BSX	S	1,300	16.42	n/a	22-Apr	65.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL1024)	044	BSX	S	600	16.42	n/a	22-Apr	30.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6004)	044	BSX	S	7,900	16.42	n/a	22-Apr	395.00 5.0
AO,	BECK MACK & OLIVER LLC (BMOL6035)	044	BSX	S	400	16.42	n/a	22-Apr	20.00 5.0
AO,	ESTABROOK (ESTACTRUST)	032	C	B	9,180	49.99	n/a	12-Sep	459.00 5.0
AO,CXL	ESTABROOK (ESTABONYMF)	032	C	B	9,180	49.99	n/a	12-Sep	413.10 4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	C	B	10,000	49.68	n/a	12-Sep	450.00 4.5
AO,	ESTABROOK (ESTABNYRET)	032	C	B	10,000	49.68	n/a	12-Sep	450.00 4.5



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AO, CXL	ESTABROOK (ESTABONYMF)	032	CAT	S	1,500	64.82	n/a	n/a	67.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CAT	S	1,500	64.82	n/a	n/a	67.50	4.5
AO, CXL	ESTABROOK (ESTABONYMF)	032	CBS	B	1,500	28.18	n/a	n/a	67.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CBS	B	1,500	28.18	n/a	n/a	67.50	4.5
AO, CXL	ESTABROOK (ESTABONYMF)	032	CCK	S	4,000	18.70	n/a	n/a	180.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CCK	S	4,000	18.70	n/a	n/a	180.00	4.5
AO,	CARDINAL CAPITAL (CARDPRINCE)	044	CHE	B	700	38.99	n/a	n/a	35.00	5.0
AO, CXL	CARDINAL CAPITAL (CARDPRINCE)	035	CHE	B	700	38.99	n/a	n/a	35.00	5.0
AO, CXL	ESTABROOK (ESTABONYMF)	032	CMCSA	S	6,500	35.14	27-Jul	20-Sep	292.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CMCSA	S	6,500	35.14	27-Jul	20-Sep	292.50	4.5
AO, CXL	ESTABROOK (ESTABONYMF)	032	CNX	B	15,500	30.88	n/a	n/a	697.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CNX	B	15,500	30.88	n/a	n/a	697.50	4.5
AO, CXL	ESTABROOK (ESTABONYMF)	032	COP	S	1,000	58.69	n/a	n/a	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	COP	S	1,000	58.69	n/a	n/a	45.00	4.5
AO, CXL	ESTABROOK (ESTABONYMF)	032	CP	S	5,750	48.04	n/a	n/a	258.75	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CP	S	5,750	48.04	n/a	n/a	258.75	4.5
AO, CXL	ESTABROOK (ESTABONYMF)	032	CSG	B	6,000	42.31	n/a	n/a	270.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CSG	B	6,000	42.31	n/a	n/a	270.00	4.5
AO, CXL	ESTABROOK (ESTABONYMF)	032	CVX	S	500	62.23	n/a	n/a	22.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CVX	S	500	62.23	n/a	n/a	22.50	4.5

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	ESTABROOK (ESTABONYMF)	032	CX	S	34,000	29.52	n/a	n/a	1,530.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	CX	S	34,000	29.52	n/a	n/a	1,530.00	4.5
<b>AO,CRT</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>CYBX</b>	<b>S</b>	<b>2</b>	<b>17.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AO,CXL	ESTABROOK (ESTABONYMF)	032	DUK	S	11,000	30.13	n/a	n/a	495.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	DUK	S	11,000	30.13	n/a	n/a	495.00	4.5
AO,	SCHRODER (SCAB722240)	032	ENDP	S	9,623	31.36	19-Apr	21-Sep	481.15	5.0
AO,	SCHRODER (SCAB723810)	032	ENDP	S	4,000	31.36	19-Apr	21-Sep	200.00	5.0
AO,	SCHRODER (SCAB729900)	032	ENDP	S	4,100	31.36	19-Apr	21-Sep	205.00	5.0
AO,	SCHRODER (SCAB833270)	032	ENDP	S	16,900	31.36	19-Apr	21-Sep	845.00	5.0
AO,	SCHRODER (SCAB722241)	032	ENDP	S	477	31.36	19-Apr	21-Sep	23.85	5.0
AO,	SCHRODER (SCAB726010)	032	ENDP	S	14,400	31.36	19-Apr	21-Sep	720.00	5.0
AO,	SCHRODER (SCAB715900)	032	ENDP	S	500	31.36	19-Apr	21-Sep	25.00	5.0
AO,CXL	ESTABROOK (ESTABONYMF)	032	ETN	B	1,000	68.23	n/a	18-Aug	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	ETN	B	1,000	68.23	n/a	18-Aug	45.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	FDC	S	1,000	40.83	n/a	n/a	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	FDC	S	1,000	40.83	n/a	n/a	45.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	FRK	S	2,000	38.05	n/a	n/a	90.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	FRK	S	2,000	38.05	n/a	n/a	90.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	GE	S	5,000	34.32	n/a	n/a	225.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	GE	S	5,000	34.32	n/a	n/a	225.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	GG	B	1,000	22.73	n/a	n/a	45.00	4.5

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm. ¢/Shr.	
AO,	ESTABROOK (ESTABNYRET)	032	GG	B	1,000	22.73	n/a	n/a	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	GMRK	S	500	30.86	n/a	n/a	22.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	GMRK	S	500	30.86	n/a	n/a	22.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	GRP	B	500	37.55	n/a	n/a	22.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	GRP	B	500	37.55	n/a	n/a	22.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	GS	S	500	167.27	17-May	13-Sep	22.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	GS	S	500	167.27	17-May	13-Sep	22.50	4.5
AO,CXL	APEX CAPITAL MGMT. (APEXSTATE)	002	GYMB	S	43,500	42.17	21-Sep	21-Sep	2,175.00	5.0
AO,	APEX CAPITAL MGMT. (APEXMORGAN)	002	GYMB	S	43,500	42.17	21-Sep	21-Sep	2,175.00	5.0
AO,	CAPITAL GROWTH MGMT. (CAPGHAGLEY)	241	HPQ	B	25,000	36.82	n/a	n/a	1,250.00	5.0
AO,CXL	CAPITAL GROWTH MGMT. (CAPGWELFAR)	241	HPQ	B	25,000	36.82	n/a	n/a	1,250.00	5.0
AO,	CAPITAL GROWTH MGMT. (CAPGWELFAR)	241	HPQ	B	25,000	36.67	n/a	n/a	1,250.00	5.0
AO,CXL	CAPITAL GROWTH MGMT. (CAPGHAGLEY)	241	HPQ	B	25,000	36.67	n/a	n/a	1,250.00	5.0
AO,	PRENTICE (PRENMORGAN)	038	IDR	S	346,700	34.56	n/a	n/a	17,335.00	5.0
AO,CXL	PRENTICE (PRENGOLDMA)	038	IDR	S	346,700	34.56	n/a	n/a	17,335.00	5.0
AO,CXL	ESTABROOK (ESTABONYMF)	032	JNJ	S	1,500	64.14	n/a	22-Apr	67.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	JNJ	S	1,500	64.14	n/a	22-Apr	67.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	JPM	B	5,500	46.81	n/a	12-Sep	247.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	JPM	B	5,500	46.81	n/a	12-Sep	247.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	MDR	B	8,000	41.09	n/a	n/a	360.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	MDR	B	8,000	41.09	n/a	n/a	360.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	MOT	B	3,000	25.21	n/a	n/a	135.00	4.5

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	ESTABROOK (ESTABNYRET)	032	MOT	B	3,000	25.21	n/a	n/a	135.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	MRK	B	1,500	41.90	n/a	n/a	67.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	MRK	B	1,500	41.90	n/a	n/a	67.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	MRO	B	2,500	72.25	n/a	n/a	112.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	MRO	B	2,500	72.25	n/a	n/a	112.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	MS	B	2,500	72.01	20-Sep	21-Sep	112.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	MS	B	2,500	72.01	20-Sep	21-Sep	112.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	MSFT	S	1,500	26.95	n/a	3-Apr	67.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	MSFT	S	1,500	26.95	n/a	3-Apr	67.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	MSFT	S	1,500	26.95	n/a	3-Apr	67.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	NCR	B	3,000	38.68	n/a	n/a	135.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	NCR	B	3,000	38.68	n/a	n/a	135.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	NOK	B	3,000	19.28	n/a	n/a	135.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	NOK	B	3,000	19.28	n/a	n/a	135.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	PBRA	S	1,000	69.99	n/a	n/a	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	PBRA	S	1,000	69.99	n/a	n/a	45.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	PFE	B	35,500	28.25	n/a	31-Mar	1,597.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	PFE	B	35,500	28.25	n/a	31-Mar	1,597.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	PG	B	1,000	61.61	25-Apr	6-Sep	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	PG	B	1,000	61.61	25-Apr	6-Sep	45.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	PX	B	2,000	58.76	n/a	26-Jul	90.00	4.5

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	ESTABROOK (ESTABNYRET)	032	PX	B	2,000	58.76	n/a	26-Jul	90.00	4.5
AO,	BAIRD INVESTMENT (BAIRBSCF-B)	031	RRGB	B	612	49.18	n/a	n/a	30.60	5.0
AO,CXL	BAIRD INVESTMENT (BAIRBSCF-B)	031	RRGB	S	612	49.18	n/a	n/a	30.60	5.0
AO,	SCHRODER (SCAB722241)	032	SGR	B	700	23.75	n/a	n/a	14.00	2.0
AO,	SCHRODER (SCAB726010)	032	SGR	B	23,100	23.75	n/a	n/a	462.00	2.0
AO,	SCHRODER (SCAB715900)	032	SGR	B	900	23.75	n/a	n/a	18.00	2.0
AO,	SCHRODER (SCAB722240)	032	SGR	B	26,200	23.75	n/a	n/a	524.00	2.0
AO,	SCHRODER (SCAB723810)	032	SGR	B	6,400	23.75	n/a	n/a	128.00	2.0
AO,	SCHRODER (SCAB729900)	032	SGR	B	6,900	23.75	n/a	n/a	138.00	2.0
AO,	SCHRODER (SCAB833270)	032	SGR	B	25,900	23.75	n/a	n/a	518.00	2.0
AO,	ESTABROOK (ESTABNYRET)	032	STA	B	2,500	46.09	n/a	n/a	112.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	STA	B	2,500	46.09	n/a	n/a	112.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	TE	B	8,500	15.36	n/a	n/a	382.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	TE	B	8,500	15.36	n/a	n/a	382.50	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	TXU	S	3,000	60.35	n/a	n/a	135.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	TXU	S	3,000	60.35	n/a	n/a	135.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	USB	S	1,000	33.13	n/a	n/a	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	USB	S	1,000	33.13	n/a	n/a	45.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	UTX	B	5,000	62.79	n/a	n/a	225.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	UTX	B	5,000	62.79	n/a	n/a	225.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	VLO	S	4,500	49.68	n/a	n/a	202.50	4.5
AO,	ESTABROOK (ESTABNYRET)	032	VLO	S	4,500	49.68	n/a	n/a	202.50	4.5

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	ESTABROOK (ESTABONYMF)	032	WB	B	1,000	55.03	n/a	n/a	45.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	WB	B	1,000	55.03	n/a	n/a	45.00	4.5
AO,CXL	ESTABROOK (ESTABONYMF)	032	WFT	B	8,000	38.67	n/a	n/a	360.00	4.5
AO,	ESTABROOK (ESTABNYRET)	032	WFT	B	8,000	38.67	n/a	n/a	360.00	4.5
AO,	SCHRODER (SCAB722240)	032	XRM	S	11,900	10.75	n/a	n/a	238.00	2.0
AO,	SCHRODER (SCAB723810)	032	XRM	S	2,900	10.75	n/a	n/a	58.00	2.0
AO,	SCHRODER (SCAB729900)	032	XRM	S	3,100	10.75	n/a	n/a	62.00	2.0
AO,	SCHRODER (SCAB833270)	032	XRM	S	11,800	10.75	n/a	n/a	236.00	2.0
AO,	SCHRODER (SCAB722241)	032	XRM	S	300	10.75	n/a	n/a	6.00	2.0
AO,	SCHRODER (SCAB726010)	032	XRM	S	10,500	10.75	n/a	n/a	210.00	2.0
AO,	SCHRODER (SCAB715900)	032	XRM	S	400	10.75	n/a	n/a	8.00	2.0

**Legend:**

**Blue: Employee and Proprietary Trades.**

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

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