



Daily Compliance Activity Report

Trade Date: 09/28/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	096	ACLS	S	500	6.94	n/a	n/a	0.00	0.0
OMEGA ADVISORS	038	ACN	S	200,000	31.02	n/a	n/a	8,000.00	4.0
HARRIS ASSOCIATES	031	AFL	S	300	45.76	n/a	n/a	12.00	4.0
BALYASNY ASSET MGMT	044	AMG	S	10,000	100.18	6-Sep	25-Sep	500.00	5.0
MTB INV ADV	034	ANF	S	5,800	70.54	31-Aug	31-Aug	290.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	15,000	29.34	6-Jul	28-Aug	600.00	4.0
CROSS CAPITAL	028	ARO	S	19,200	29.86	6-Jul	28-Aug	960.00	5.0
J L F ASSET MGMT	039	ARO	B	23,900	30.28	6-Jul	28-Aug	956.00	4.0
SUN AMERICA ASSET MGMT	030	BAC	S	20,000	53.46	19-Jul	12-Sep	1,000.00	5.0
HIGHBRIDGE CAPITAL	038	BDK	B	11,000	79.96	n/a	n/a	550.00	5.0
CENTURION PARTNERS	244	BONT	B	5,000	29.55	n/a	21-Sep	250.00	5.0
WHITE PINE CAPITAL	030	BSC	S	6,000	139.70	15-Jun	15-Sep	300.00	5.0
SUN AMERICA ASSET MGMT	030	C	S	20,000	49.93	n/a	12-Sep	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	034	CA	B	50,000	23.66	n/a	n/a	2,500.00	5.0
ARIENCE CAPITAL	036	CAKE	S	15,565	27.28	28-Jun	19-Sep	778.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARRIS ASSOCIATES	031	CCL	S	1,500	46.84	n/a	26-Jan	60.00	4.0
FIRST INV MGMT CORP	036	CE	S	19,500	18.26	n/a	n/a	975.00	5.0
MERRILL ASSET	032	COG	B	15,900	47.35	n/a	n/a	477.00	3.0
SAILFISH	037	DD	S	20,000	42.96	n/a	27-Sep	1,000.00	5.0
HARRIS ASSOCIATES	031	DEO	S	500	70.98	n/a	n/a	20.00	4.0
HARRIS ASSOCIATES	031	DIS	S	1,500	30.99	n/a	n/a	60.00	4.0
LESTER BROS CAPITAL LLC	032	DOX	B	5,000	39.12	n/a	n/a	250.00	5.0
MERRILL ASSET	032	DRH	S	39,042	16.77	n/a	n/a	1,171.26	3.0
TRUST CO/COWEN/CALF.	040	DRI	S	69,195	42.88	28-Jun	19-Sep	3,459.75	5.0
HASAN	010	EBHC	B	1,500	10.05	n/a	n/a	0.00	0.0
DEMARTINI	065	EFT	B	2,000	18.29	n/a	n/a	0.00	0.0
CHIARMONTE	N10	EFT	B	100	18.29	n/a	n/a	0.00	0.0
CENTURION PARTNERS	244	FD	B	20,000	43.15	13-Sep	21-Sep	1,000.00	5.0
FORCE CAPITAL MGMT	030	FDC	S	20,000	41.74	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	FDO	S	60,000	27.96	n/a	28-Sep	2,400.00	4.0
SUN AMERICA ASSET MGMT	030	GE	S	30,000	35.50	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STADIA CAPITAL	035	GES	B	28,000	49.96	n/a	n/a	1,120.00	4.0
HARRIS ASSOCIATES	031	HOG	S	700	63.52	n/a	n/a	28.00	4.0
HARRIS ASSOCIATES	031	HPQ	S	900	35.76	n/a	n/a	36.00	4.0
FIRST INV MGMT CORP	036	HSIC	S	5,000	49.95	n/a	n/a	250.00	5.0
LONG TRAIL CAP	037	HTCH	S	10,200	21.03	n/a	n/a	408.00	4.0
FRIESS MGMT	042	JCG	S	23,200	31.04	25-Aug	25-Aug	1,044.00	4.5
SAC TRADING HOWARD	038	JCG	B	10,000	31.04	25-Aug	25-Aug	500.00	5.0
STRAUSS ASSET MGMT	040	JOE	B	10,000	12.17	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	JWN	S	32,000	43.43	14-Aug	28-Aug	1,600.00	5.0
HIGHBRIDGE CAPITAL	038	KR	B	240,000	23.18	n/a	n/a	12,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	40,000	66.30	10-Aug	31-Aug	1,600.00	4.0
VISIUM/BALY HOWARD	038	KSS	S	25,000	66.07	10-Aug	31-Aug	1,250.00	5.0
HARRIS ASSOCIATES	031	LEN	B	1,000	45.72	n/a	n/a	40.00	4.0
HAYGROUND COE	039	LOW	B	200,000	28.69	n/a	26-Sep	10,000.00	5.0
MAGUIRE	090	MAG	B	15,000	3.75	n/a	n/a	0.00	0.0
HARRIS ASSOCIATES	031	MCD	S	1,100	39.54	n/a	11-Sep	44.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL MGMT.	044	MCD	B	25,000	39.35	n/a	11-Sep	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	MHK	B	10,000	74.50	n/a	n/a	500.00	5.0
BARROW HANLEY MEWHINNEY	031	MMM	S	100,000	74.56	10-Jul	25-Jul	4,000.00	4.0
SUN AMERICA ASSET MGMT	030	MMM	S	10,000	74.74	10-Jul	25-Jul	500.00	5.0
MTB INV ADV	034	MNT	S	7,500	50.48	n/a	n/a	375.00	5.0
SUN AMERICA ASSET MGMT	030	MOT	S	20,000	24.77	n/a	n/a	1,000.00	5.0
HARRIS ASSOCIATES	031	MS	S	200	72.45	20-Sep	21-Sep	8.00	4.0
MAZAMA CAPITAL MGMT.	035	MVL	S	24,700	24.26	n/a	n/a	988.00	4.0
DAWSON SANBERG & CO	036	NKE	B	11,800	88.21	n/a	n/a	590.00	5.0
MAZAMA CAPITAL MGMT.	035	NRF	S	96,700	12.77	n/a	n/a	3,868.00	4.0
REINHART & MAHONEY	031	NU	S	23,710	23.52	n/a	n/a	1,185.50	5.0
VISIUM/BALY HOWARD	038	ODP	S	25,000	40.55	26-Jun	31-Aug	1,250.00	5.0
FIRST INV MGMT CORP	036	PCBC	B	5,000	27.25	n/a	n/a	250.00	5.0
WEISS PECK	222	PSUN	S	19,500	15.34	3-Aug	28-Aug	975.00	5.0
SSI INVESTORS	048	PVH	B	3,600	43.12	18-Sep	19-Sep	144.00	4.0
HARRIS ASSOCIATES	031	RTN	S	1,000	47.88	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	RYN	S	14,200	37.92	n/a	25-Jul	710.00	5.0
BINDER	007	SIRI	S	615	3.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	23.62	n/a	7-Aug	400.00	4.0
CARDINAL CAPITAL	044	SSI	S	10,700	29.64	n/a	n/a	535.00	5.0
HIGHBRIDGE CAPITAL	038	SWK	B	15,000	49.61	n/a	n/a	750.00	5.0
HIGHBRIDGE CAPITAL	038	T	B	63,000	32.40	20-Sep	21-Sep	3,150.00	5.0
LATEFF MGMT	040	TEVA	B	3,000	33.70	7-Aug	27-Sep	570.00	19.5
KORMAN	003	THI	B	3,000	26.27	n/a	22-Aug	0.00	0.0
HARRIS ASSOCIATES	031	TWX	S	14,000	18.27	n/a	n/a	560.00	4.0
HARRIS ASSOCIATES	031	TXN	S	1,500	33.45	n/a	n/a	60.00	4.0
HARRIS ASSOCIATES	031	TYC	S	7,000	27.74	n/a	3-Aug	280.00	4.0
HARRIS ASSOCIATES	031	USB	S	500	33.15	n/a	n/a	20.00	4.0
HARRIS ASSOCIATES	031	VIAB	B	5,000	37.54	n/a	n/a	250.00	5.0
J L F ASSET MGMT	039	VLCM	B	400	23.39	n/a	n/a	16.00	4.0
S.A.C. CAPITAL MGMT.	044	VMSI	B	25,000	40.82	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BENNETT LAWRENCE	044	VTAL	B	1,950	31.85	n/a	n/a	97.50	5.0
BULL PATH CAPITAL	044	WDR	B	4,200	24.75	6-Sep	25-Sep	210.00	5.0
HARRIS ASSOCIATES	031	WMT	S	1,400	49.42	n/a	31-Aug	56.00	4.0
FRIESS MGMT	042	WRNC	S	67,100	19.51	5-Sep	15-Sep	3,019.50	4.5
BUCK CAPITAL MGMT	001	WSM	B	20,000	32.96	n/a	n/a	800.00	4.0
MCCARTAN	028	XOHO	B	1,300	4.73	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	031	XOM	S	13,035	36.91	n/a	n/a	651.75	5.0
GENERAL MOTORS INV CO	040	XOM	S	360,000	67.31	n/a	n/a	14,400.00	4.0
HARRIS ASSOCIATES	031	XRX	S	700	15.40	n/a	n/a	28.00	4.0
BUCK CAPITAL MGMT	001	ZQK	B	40,000	12.18	8-Sep	8-Sep	1,600.00	4.0
EGS ASSOCIATES LP	059	ZQK	B	5,000	12.11	8-Sep	8-Sep	300.00	6.0
MILLRACE FUND LP	033	ZQK	B	30,000	12.07	8-Sep	8-Sep	1,200.00	4.0
TOTAL :							108,926.51		

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	PENN CAPITAL MGMT (PENNDONMOR)	033	BWNG	B	2,250	12.65	n/a	18-Sep	112.50	5.0
AO,	PENN CAPITAL MGMT (PENNHIGHYI)	033	BWNG	B	11,350	12.65	n/a	18-Sep	567.50	5.0
AO,CXL	ASCEND PARTNERS (ASCECITI)	033	CVS	B	393	32.69	n/a	n/a	19.65	5.0
AO,	ASCEND PARTNERS (ASCECITI)	033	CVS	B	393	32.69	n/a	n/a	19.65	5.0
AO,CXL	ASCEND PARTNERS (ASCEMSPB)	033	CVS	B	7,761	32.69	n/a	n/a	388.05	5.0
AO,	ASCEND PARTNERS (ASCEMSPB)	033	CVS	B	7,761	32.69	n/a	n/a	388.05	5.0
AO,CXL	ASCEND PARTNERS (ASCEBANC O)	033	CVS	B	15,846	32.69	n/a	n/a	792.30	5.0
AO,	ASCEND PARTNERS (ASCEBANC O)	033	CVS	B	15,846	32.69	n/a	n/a	792.30	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	JKHY	S	2,050	21.66	n/a	n/a	0.00	0.0
AO,	SCHRODER (SCAB722241)	032	SLXP	S	1,500	13.60	n/a	n/a	30.00	2.0
AO,	SCHRODER (SCAB726010)	032	SLXP	S	52,400	13.60	n/a	n/a	1,048.00	2.0
AO,	SCHRODER (SCAB715900)	032	SLXP	S	2,000	13.60	n/a	n/a	40.00	2.0
AO,	SCHRODER (SCAB722240)	032	SLXP	S	62,600	13.60	n/a	n/a	1,252.00	2.0
AO,	SCHRODER (SCAB723810)	032	SLXP	S	16,600	13.60	n/a	n/a	332.00	2.0
AO,	SCHRODER (SCAB729900)	032	SLXP	S	6,900	13.60	n/a	n/a	138.00	2.0
AO,	SCHRODER (SCAB833270)	032	SLXP	S	58,000	13.60	n/a	n/a	1,160.00	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.