



# Daily Compliance Activity Report

Trade Date: 09/01/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAZAMA CAPITAL MGMT.	035	AIQ	S	44,200	6.50	n/a	n/a	1,768.00	4.0
WHALE ROCK CAP	030	ANF	B	30,000	65.06	31-Aug	31-Aug	1,200.00	4.0
BEAR STEARNS ASSET MGMT.	033	ANN	S	20,000	39.36	6-Jul	28-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	10,000	39.40	6-Jul	28-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	5,000	25.79	6-Jul	28-Aug	200.00	4.0
BUCK CAPITAL MGMT	001	BID	S	10,000	27.70	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	BTRX	S	28,000	6.10	n/a	n/a	1,400.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>CAKE</b>	<b>B</b>	<b>1,372</b>	<b>24.95</b>	<b>28-Jun</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>CBK</b>	<b>B</b>	<b>200</b>	<b>24.39</b>	<b>1-Jun</b>	<b>28-Aug</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	CBK	B	5,000	24.55	1-Jun	28-Aug	200.00	4.0
MERRILL ASSET	032	CBM	B	32,800	22.78	n/a	n/a	984.00	3.0
CHARTER OAK	037	CC	B	50,000	23.39	12-Apr	20-Jun	2,500.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CENT</b>	<b>B</b>	<b>47</b>	<b>43.78</b>	<b>3-May</b>	<b>28-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>MANNING &amp; NAPIER</b>	<b>099</b>	<b>CENT</b>	<b>B</b>	<b>5,300</b>	<b>43.78</b>	<b>3-May</b>	<b>28-Aug</b>	<b>212.00</b>	<b>4.0</b>
MATTHES CAPITAL MGMT	033	CLE	S	14,000	27.03	4-May	28-Aug	560.00	4.0
ROARING BLUE LION MGMT	012	CLE	B	6,200	27.04	4-May	28-Aug	310.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	CMA	S	20,000	57.17	n/a	n/a	1,000.00	5.0
MAGNETAR FINANCIAL	247	CMG	B	23,000	50.75	8-May	1-Aug	920.00	4.0
NEUBERGER BERMAN	239	CRL	S	26,200	41.04	n/a	n/a	1,310.00	5.0
WILLIAMS TRADING /JILL	034	CVS	B	13,700	33.82	n/a	n/a	548.00	4.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	41.23	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	DOW	S	400	38.43	n/a	27-Jul	20.00	5.0
BARON ASSET MGMT*	012	EV	B	20,000	26.65	23-Aug	23-Aug	1,000.00	5.0
CENTURION PARTNERS	244	FD	B	20,000	38.40	12-Jun	31-Aug	1,000.00	5.0
WILLIAMS TRADING /JILL	034	FD	B	22,660	38.37	12-Jun	31-Aug	906.40	4.0
MORGAN LEWIS/MLH	046	FTO	S	10,000	32.68	n/a	n/a	500.00	5.0
MAZAMA CAPITAL MGMT.	035	FVE	B	42,100	10.40	n/a	n/a	1,684.00	4.0
PATTEN & PATTEN	067	GCI	S	200	57.02	n/a	n/a	10.00	5.0
BUCK CAPITAL MGMT	001	GES	B	10,000	41.36	n/a	n/a	400.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>GLW</b>	<b>B</b>	<b>2,000</b>	<b>21.93</b>	<b>21-Mar</b>	<b>7-Aug</b>	<b>0.00</b>	<b>0.0</b>
STG INVESTORS	028	GYMB	S	5,000	33.10	10-Aug	31-Aug	250.00	5.0
CAPITAL GROWTH MGMT.	241	HES	S	70,000	46.01	n/a	n/a	3,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAZAMA CAPITAL MGMT.	035	HPY	B	5,800	26.85	n/a	n/a	232.00	4.0
PATTEN & PATTEN	067	HST	S	450	22.37	n/a	n/a	22.50	5.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>ITCD</b>	<b>S</b>	<b>1,000</b>	<b>1.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	JBX	S	24,200	48.35	n/a	9-Aug	968.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	25.29	25-Aug	25-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	JNY	S	10,000	31.32	n/a	16-Aug	400.00	4.0
LOOMIS SALES/BOSTON	036	JTX	B	1,200	31.48	n/a	n/a	60.00	5.0
ROARING BLUE LION MGMT	012	JWN	B	4,800	37.78	14-Aug	28-Aug	240.00	5.0
BALYASNY ASSET MGMT	044	KEY	S	30,000	36.60	n/a	n/a	1,500.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>KFX</b>	<b>S</b>	<b>4,004</b>	<b>14.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARROW HANLEY MEWHINNEY</b>	<b>096</b>	<b>KFX</b>	<b>S</b>	<b>1,000</b>	<b>14.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	KWD	S	49,000	26.46	n/a	n/a	1,960.00	4.0
<b>EFSTATHIOU</b>	<b>044</b>	<b>LEH</b>	<b>B</b>	<b>100</b>	<b>63.32</b>	<b>8-Jun</b>	<b>10-Aug</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	LM	S	10,000	89.74	28-Jul	22-Aug	500.00	5.0
SCOPUS FUND	039	LPX	S	2,000	19.85	20-Jun	27-Jul	100.00	5.0
BEAR STEARNS ASSET MGMT.	033	MER	S	20,000	73.49	18-Apr	10-Aug	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGNETAR FINANCIAL	247	MGM	B	61,000	35.48	n/a	4-Aug	2,440.00	4.0
BUCK CAPITAL MGMT	001	NKE	B	20,000	81.09	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	10,000	11.51	n/a	28-Aug	400.00	4.0
ROARING BLUE LION MGMT	012	OSI	B	4,400	30.91	n/a	2-Aug	220.00	5.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>PHM</b>	<b>S</b>	<b>200</b>	<b>29.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	PNRA	S	2,400	52.80	n/a	n/a	120.00	5.0
ROARING BLUE LION MGMT	012	RL	B	2,200	58.88	16-Jun	31-Aug	110.00	5.0
<b>LUCHANSKY2</b>	<b>036</b>	<b>RVI</b>	<b>S</b>	<b>500</b>	<b>14.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEEDS</b>	<b>002</b>	<b>SPKFF</b>	<b>S</b>	<b>544</b>	<b>5.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	SSI	B	5,000	26.61	n/a	n/a	200.00	4.0
GALLEON MGMT LP	033	TASR	B	50,000	7.88	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	10,000	22.43	n/a	17-Aug	400.00	4.0
BALYASNY ASSET MGMT	044	TROW	S	10,000	44.20	10-Jul	22-Aug	500.00	5.0
COBALT	038	TWB	B	80,000	31.84	16-May	18-Aug	4,000.00	5.0
COUGAR TRADING	044	TWB	S	15,000	33.01	16-May	18-Aug	750.00	5.0
ROARING BLUE LION MGMT	012	UARM	S	3,400	33.99	n/a	n/a	170.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	UTI	B	4,700	18.48	n/a	n/a	141.00	3.0
PATTEN & PATTEN	067	VMC	S	250	79.42	n/a	n/a	12.50	5.0
BEAR STEARNS ASSET MGMT.	033	YUM	B	50,000	49.61	n/a	19-Jul	2,000.00	4.0
PATTEN & PATTEN	067	ZMH	S	100	68.56	n/a	n/a	5.00	5.0
<b>TOTAL :</b>								<b>46,333.40</b>	

# Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	CAPITAL GROWTH MGMT. (CAPG4811)	241	BHP	S	100,000	41.72	n/a	n/a	5,000.00	5.0
AO,	MANNING & NAPIER (MANNMU1000)	034	CENT	B	10,600	43.73	3-May	28-Aug	424.00	4.0
AO,	SIGMA CAPITAL ASSOCIATES (SIGMAINMS)	034	COH	B	75,000	30.19	n/a	2-Aug	3,750.00	5.0
AO,CXL	LOCUS WOOD CAPITAL MGMT (LOC0045934)	044	DSW	S	4,500	28.70	n/a	n/a	225.00	5.0
AO,	LOCUS WOOD CAPITAL MGMT (LOCOMSPBEX)	044	DSW	S	4,500	28.70	n/a	n/a	225.00	5.0
AO,CRT	MKT MAKER (MKT MAKER)	097	HOTT	B	100	9.50	n/a	28-Aug	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	097	HOTT	B	100	10.50	n/a	28-Aug	0.00	0.0
AO,CRT	MKT MAKER (MKT MAKER)	097	HOTT	B	100	10.00	n/a	28-Aug	0.00	0.0
AO,CXL	LOCUS WOOD CAPITAL MGMT (LOC0045934)	044	RVI	B	12,000	14.30	n/a	n/a	600.00	5.0
AO,	LOCUS WOOD CAPITAL MGMT (LOCOMSPBEX)	044	RVI	B	12,000	14.30	n/a	n/a	600.00	5.0
CRT	LEEDS (LEEDS)	002	SPKFF	S	544	5.38	n/a	n/a	0.00	0.0

## Legend:

Blue: Employee and Proprietary Trades.

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

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