



Daily Compliance Activity Report

Trade Date: 09/13/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOOMIS SALES/BOSTON	036	AEOS	B	160,450	42.49	5-Sep	6-Sep	8,022.50	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	88,500	8.35	n/a	n/a	3,540.00	4.0
EMPYREAN CAP	036	AIZ	S	100,000	53.44	n/a	n/a	5,000.00	5.0
JP MORGAN VENTURES	046	AMZN	S	10,000	31.57	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	034	ANF	S	10,000	66.88	31-Aug	31-Aug	400.00	4.0
VARDON PARTNERS	035	ANN	S	25,000	41.77	6-Jul	28-Aug	1,250.00	5.0
BALYASNY ASSET MGMT	044	AOC	B	25,000	34.37	n/a	n/a	1,250.00	5.0
TUDOR INVESTORS	030	APH	B	1,500	58.62	n/a	n/a	75.00	5.0
S.A.C. CAPITAL MGMT.	044	APPB	S	10,000	22.56	n/a	n/a	500.00	5.0
SOMERSET ADV	044	ARB	B	3,700	37.97	n/a	n/a	185.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	25,000	28.45	6-Jul	28-Aug	1,000.00	4.0
FIRST NEW YORK LEDDY	035	ARO	B	10,000	28.70	6-Jul	28-Aug	600.00	6.0
WYPER CAPITAL	044	AYE	S	19,000	39.70	n/a	n/a	760.00	4.0
BUCK CAPITAL MGMT	001	BBW	B	5,000	23.10	n/a	n/a	200.00	4.0
S.A.C. CAPITAL MGMT.	044	BE	S	10,000	8.64	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	BHP	S	10,000	38.23	n/a	n/a	500.00	5.0
AAD CAPITAL	099	BIG	S	55,000	20.37	16-Aug	29-Aug	1,100.00	2.0
LEDDY	035	BMV	B	500	24.55	n/a	n/a	0.00	0.0
COUGAR TRADING	044	BONT	B	15,000	28.21	n/a	1-Sep	750.00	5.0
IRONBOUND CAPITAL	012	BOW	S	13,400	22.97	11-Sep	27-Jul	670.00	5.0
BUCK CAPITAL MGMT	015	BYUVG	S	10	1.55	n/a	n/a	0.00	0.0
EQUINOX	032	CAR	S	100,000	19.01	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	CBK	B	89,300	27.24	1-Jun	28-Aug	3,572.00	4.0
BUCK CAPITAL MGMT	015	CFQME	S	10	1.15	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	CHIC	B	20,000	27.32	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	034	CHS	B	25,000	19.91	23-Aug	28-Aug	1,250.00	5.0
THIRD COAST CAPITAL	035	CHS	B	60,000	20.19	23-Aug	28-Aug	3,000.00	5.0
SANDLER O'NEILL ASSET	031	CLMS	S	20,000	28.34	n/a	13-Sep	1,000.00	5.0
ELLIOTT ADV	032	CNQ	B	44,000	45.76	n/a	n/a	2,200.00	5.0
J L F ASSET MGMT	039	COLM	S	39,100	52.30	n/a	n/a	1,564.00	4.0
GOLD SACHS SPECIAL SIT	037	DBD	S	150,000	42.06	n/a	8-Aug	7,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/WELL HOWARD	038	EAGL	B	70,000	33.50	n/a	n/a	2,800.00	4.0
THE JAY GOLDMAN	034	EAT	S	25,000	42.07	12-Sep	13-Sep	1,000.00	4.0
KARP	023	EFT	B	2,500	18.51	n/a	n/a	0.00	0.0
SINCLAIR	031	ENER	S	300	37.30	n/a	n/a	0.00	0.0
COBALT	038	ESV	S	127,480	44.09	n/a	n/a	6,374.00	5.0
FARBER/WEISS PECK	012	ETH	S	9,000	36.08	n/a	n/a	450.00	5.0
BARON ASSET MGMT*	012	EV	B	73,600	27.72	6-Sep	13-Sep	3,680.00	5.0
DSG CAPITAL	225	EV	B	10,000	27.34	6-Sep	13-Sep	500.00	5.0
GENERAL ELECTIC CO	033	FD	S	47,522	41.97	13-Sep	13-Sep	2,138.49	4.5
STANDARD PACIFIC CAPITAL	040	FD	B	241,400	41.96	13-Sep	13-Sep	12,070.00	5.0
J.W. SELIGMAN	032	FDO	B	121,000	28.50	n/a	31-Aug	6,050.00	5.0
BULL PATH CAPITAL	044	FDS	B	37,500	46.95	n/a	n/a	1,875.00	5.0
EQUINOX	032	FO	B	60,000	74.39	n/a	n/a	3,000.00	5.0
LISTED ERR	099	FS	S	100	63.75	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	FS	S	14,800	64.00	n/a	n/a	592.00	4.0
VANDER MOOLEN	040	GE	B	5,000	34.55	n/a	n/a	250.00	5.0
CHARTER OAK	037	GHDX	S	12,000	14.00	n/a	n/a	600.00	5.0

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BELAY CAPITAL	039	GPS	S	10,000	17.50	31-Jul	28-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	GPS	B	50,000	17.48	31-Jul	28-Aug	2,000.00	4.0
PZENA INV ADV	044	HBI	S	148,925	22.92	n/a	n/a	5,957.00	4.0
AVESTA CAP	229	HD	S	25,000	37.18	n/a	16-Aug	1,250.00	5.0
DELTEC ASSET MGMT.	040	HOV	B	10,000	28.31	n/a	n/a	500.00	5.0
CHART WELL ADV	243	IGT	B	139,875	39.26	n/a	24-Jul	6,286.31	4.5
CHARTER OAK	243	IGT	B	1,650	39.26	n/a	24-Jul	74.25	4.5
VARDON PARTNERS	035	INPC	B	30,000	7.28	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	29.40	25-Aug	25-Aug	400.00	4.0
THE JAY GOLDMAN	034	JCG	S	50,000	29.45	25-Aug	25-Aug	2,000.00	4.0
AVESTA CAP	229	JCP	S	20,000	65.13	5-May	31-Aug	1,000.00	5.0
ROTHSCHILD ASSET	040	JNJ	S	27,140	63.84	n/a	22-Apr	1,221.30	4.5
VANDER MOOLEN	040	JPM	B	5,000	46.12	n/a	12-Sep	250.00	5.0
IRON HORSE CAPITAL MGMT	038	LM	S	15,000	98.59	28-Jul	13-Sep	750.00	5.0
EOS PARTNERS	040	MAS	B	9,000	27.66	n/a	n/a	450.00	5.0
IRIDIAN ASSET MGMT.	036	MEE	S	13,400	22.00	n/a	n/a	670.00	5.0
STRONG/WELL HOWARD	038	MRVC	B	75,000	2.46	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	NWY	B	10,000	12.10	n/a	28-Aug	500.00	5.0
RIDGECRST PARTNERS	035	NWY	B	15,000	12.00	n/a	28-Aug	750.00	5.0
HARVEST MGMT	039	ODP	S	30,000	39.42	26-Jun	31-Aug	1,500.00	5.0
PERRY PARTNERS	035	ODP	S	225,000	39.45	26-Jun	31-Aug	11,250.00	5.0
MAGUIRE	039	OPY	B	200	30.35	n/a	n/a	0.00	0.0
HBK FUNDS	031	ORCL	S	200,000	16.41	n/a	n/a	10,000.00	5.0
ACK ASSET	028	OSI	B	5,000	33.68	12-Sep	13-Sep	250.00	5.0
CHILTON CAPITAL MGMT.	036	OSI	B	46,300	33.48	12-Sep	13-Sep	1,852.00	4.0
S.A.C. CAPITAL MGMT.	044	PFCB	S	15,000	38.02	26-Jul	7-Sep	750.00	5.0
EOS PARTNERS	040	PG	S	11,300	60.56	25-Apr	6-Sep	565.00	5.0
HARVEST MGMT	039	PLCE	S	5,000	56.65	1-May	8-Sep	250.00	5.0
ARIENCE CAPITAL	036	PLL	S	26,580	30.81	n/a	n/a	1,329.00	5.0
BUCK CAPITAL MGMT	001	PLL	B	10,000	29.61	n/a	n/a	400.00	4.0
ASCEND PARTNERS	033	PVH	S	50,000	40.48	8-Jun	31-Aug	2,500.00	5.0
BUCK CAPITAL MGMT	015	QNCXD	S	10	4.10	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	RL	S	46,000	63.42	16-Jun	31-Aug	1,840.00	4.0
EOS PARTNERS	040	ROK	B	10,000	57.12	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	RTP	S	2,000	188.90	n/a	n/a	100.00	5.0
CAPITAL GROWTH MGMT.	241	SM	S	150,000	37.33	n/a	n/a	7,500.00	5.0
CROSS CAPITAL	028	SMG	S	9,200	43.04	27-Jul	6-Sep	460.00	5.0
U.S.TRUST COMPANY	012	SOV	S	25,000	20.44	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	30,000	27.44	n/a	n/a	1,200.00	4.0
BONANZA PARTNERS	031	SUNH	S	16,000	11.29	n/a	n/a	800.00	5.0
LEDDY	035	SVI	S	800	9.25	n/a	n/a	0.00	0.0
SEAROCK CAPITAL MANAGE	012	SYI	S	45,100	33.34	12-Sep	13-Sep	1,804.00	4.0
HIGHBRIDGE CAPITAL	038	T	B	30,000	31.89	25-Jul	8-Sep	1,500.00	5.0
BUCK CAPITAL MGMT	001	TBL	B	10,000	29.39	19-Jul	13-Sep	400.00	4.0
IRIDIAN ASSET MGMT.	036	TCK	B	6,600	62.72	n/a	n/a	330.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	10,000	23.11	n/a	17-Aug	400.00	4.0
EGS ASSOCIATES LP	059	TLB	B	5,000	23.29	n/a	17-Aug	300.00	6.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	33.56	5-Sep	5-Sep	400.00	4.0
KARP	023	TWX	S	200	16.94	n/a	n/a	0.00	0.0
ROBERTSON STEVENS BC	033	VIAB	B	200,000	35.57	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER/WEISS PECK	012	WEN	B	16,000	64.29	25-Jul	27-Jul	800.00	5.0
MAGNETAR FINANCIAL	247	WMS	S	15,000	28.95	n/a	n/a	600.00	4.0
THIRD COAST CAPITAL	035	WSM	B	25,000	32.27	n/a	n/a	1,250.00	5.0
CENTURION PARTNERS	244	ZQK	S	30,000	12.14	8-Sep	8-Sep	1,500.00	5.0
TOTAL :								182,806.85	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	MS PRINCIPAL STRATEGIES (MSPSMS)	040	BNI	B	52,000	65.54	n/a	n/a	2,600.00	5.0
AO,	MS PRINCIPAL STRATEGIES (MSPSMS)	040	BNI	B	52,000	65.54	n/a	n/a	2,080.00	4.0
AO,	MKT MAKER (MKT MAKER)	099	BONT	B	1,601	27.18	n/a	1-Sep	0.00	0.0
AO,CXL	GALLEON MGMT LP (GALLDBKS)	033	CAM	B	10,000	44.37	n/a	n/a	500.00	5.0
AO,	GALLEON MGMT LP (GALLMONTGO)	033	CAM	B	10,000	44.37	n/a	n/a	500.00	5.0
AO,	LISTED ERR (LISTED ERR)	099	FS	B	100	63.83	n/a	n/a	0.00	0.0
AO,	SENTINAL CAPITAL (SENT802)	067	GLW	B	6,000	22.55	n/a	7-Sep	300.00	5.0
AO,CXL	SENTINAL CAPITAL (SENT802)	045	GLW	B	6,000	22.55	n/a	7-Sep	300.00	5.0
AO,	PRENTICE (PRENMORGAN)	038	IDR	S	46,300	34.59	n/a	n/a	2,315.00	5.0
AO,	GALLEON MGMT LP (GALLMAIN)	033	MRK	S	50,000	41.58	n/a	n/a	2,500.00	5.0
AO,CXL	GALLEON MGMT LP (GALLDBKS)	033	OXY	B	16,000	45.80	n/a	n/a	800.00	5.0
AO,	GALLEON MGMT LP (GALLMONTGO)	033	OXY	B	16,000	45.80	n/a	n/a	800.00	5.0
AO,CXL	CAPITAL GROWTH MGMT. (CAPGSEARLE)	241	SU	S	38,900	67.09	n/a	n/a	1,945.00	5.0
AO,	CAPITAL GROWTH MGMT. (CAPGSEARLE)	241	SU	S	38,400	67.09	n/a	n/a	1,920.00	5.0
AO,CXL	CAPITAL GROWTH MGMT. (CAPGF.C. S)	241	SU	S	2,200	67.09	n/a	n/a	110.00	5.0
AO,	CAPITAL GROWTH MGMT. (CAPGF.C. S)	241	SU	S	2,700	67.09	n/a	n/a	135.00	5.0
AO,CXL	LEHMAN PROPRIETARY TRAD (LEHMAN FLI)	039	WFMI	S	20,000	52.18	n/a	n/a	1,000.00	5.0
AO,	LEHMAN PROPRIETARY TRAD (LEHMAN FLI)	039	WFMI	S	20,000	52.18	n/a	n/a	800.00	4.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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Legend:

Blue: Employee and Proprietary Trades.

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

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