



Daily Compliance Activity Report

Trade Date: 09/14/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGUIRE	090		B	100,000	51.50	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	096		B	25,000	51.50	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	15,000	8.22	n/a	n/a	600.00	4.0
COUGAR TRADING	044	ANF	B	5,000	67.58	31-Aug	31-Aug	250.00	5.0
MERRILL LYNCH STRATEGICI	034	ANN	B	20,000	41.68	6-Jul	28-Aug	1,000.00	5.0
THE JAY GOLDMAN	034	ANN	B	79,800	41.44	6-Jul	28-Aug	3,192.00	4.0
MERRILL LYNCH STRATEGICI	034	APC	S	10,000	44.89	31-Aug	14-Sep	500.00	5.0
CHARTER OAK	037	ARB	B	7,000	38.02	n/a	n/a	350.00	5.0
COUGAR TRADING	044	ARO	B	10,000	27.80	6-Jul	28-Aug	500.00	5.0
EGS ASSOCIATES LP	059	ARO	B	3,000	28.20	6-Jul	28-Aug	180.00	6.0
MAZAMA CAPITAL MGMT.	035	ATW	B	58,800	40.00	n/a	n/a	2,352.00	4.0
ROTHSCHILD ASSET	040	AXE	S	11,100	56.98	25-Jul	25-Jul	499.50	4.5
BALYASNY ASSET MGMT	044	BEN	B	10,000	104.32	11-Sep	13-Sep	500.00	5.0
HIGHBRIDGE CAPITAL	038	BHP	B	40,000	38.44	n/a	n/a	2,000.00	5.0
THE JAY GOLDMAN	034	BLL	S	30,000	40.56	n/a	n/a	1,200.00	4.0
BAIRD INVESTMENT	031	CAH	B	5,105	68.78	n/a	n/a	255.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORMAN	003	CAKE	B	2,500	25.97	28-Jun	7-Sep	0.00	0.0
EQUINOX	032	CAR	S	76,400	19.00	n/a	n/a	3,056.00	4.0
PAW PARTNERS	033	CHS	B	64,000	20.11	23-Aug	28-Aug	3,200.00	5.0
BUCK CAPITAL MGMT	001	CLE	B	100,000	27.74	4-May	5-Sep	4,000.00	4.0
JP MORGAN VENTURES	046	CLE	S	15,000	27.64	4-May	5-Sep	750.00	5.0
SANDLER O'NEILL ASSET	031	CLMS	S	19,100	29.95	n/a	13-Sep	955.00	5.0
FARBER/WEISS PECK	012	CMG	S	15,500	51.28	8-May	11-Sep	775.00	5.0
GOLDMAN SACHS ASSET MGMT	044	COGN	S	200,000	33.77	n/a	n/a	3,000.00	1.5
UBS O'CONNOR/TOM LEDDY	035	COST	S	20,000	49.12	n/a	31-Aug	1,000.00	5.0
TILLDALE MGMT.	048	CRAY	S	5,000	11.23	n/a	n/a	200.00	4.0
MERRILL LYNCH STRATEGICI	034	CTRN	S	1,000	33.25	n/a	n/a	50.00	5.0
TILLDALE MGMT.	048	CVX	S	10,000	62.53	n/a	n/a	500.00	5.0
GOLD SACHS SPECIAL SIT	037	DBD	S	27,100	42.00	n/a	8-Aug	1,355.00	5.0
BUCK CAPITAL MGMT	015	DDR	S	1,000	55.00	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	DG	B	20,000	13.92	21-Aug	31-Aug	800.00	4.0
MERRILL LYNCH STRATEGICI	034	DKS	B	7,000	44.74	n/a	n/a	350.00	5.0

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MERRILL LYNCH STRATEGICI	034	DRI	B	5,000	38.91	28-Jun	7-Sep	250.00	5.0
MENCKE	055	DSCM	B	50	3.63	n/a	n/a	0.00	0.0
SCHEINER	037	EQUI	B	20,000	0.03	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	EV	B	75,000	27.90	6-Sep	13-Sep	3,750.00	5.0
J L F ASSET MGMT	039	FD	S	35,250	41.33	13-Sep	13-Sep	1,410.00	4.0
TOKIO MARINE ASSET MGMT	044	FD	B	53,000	41.47	13-Sep	13-Sep	2,650.00	5.0
BUCK CAPITAL MGMT	001	FL	S	20,000	23.48	n/a	18-Aug	800.00	4.0
EGS ASSOCIATES LP	059	FOSL	B	3,000	20.50	12-Aug	14-Sep	180.00	6.0
LISTED ERR	037	GHDX	S	2	14.02	n/a	n/a	0.00	0.0
MKT MAKER	099	GHDX	S	2	14.02	n/a	n/a	0.00	0.0
CHARTER OAK	037	GHDX	S	10,700	14.02	n/a	n/a	535.00	5.0
BULL PATH CAPITAL	044	GHL	B	15,000	62.48	n/a	n/a	750.00	5.0
JP MORGAN VENTURES	046	GME	S	10,000	47.23	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	GOOG	B	1,500	402.57	n/a	n/a	75.00	5.0
MERRILL LYNCH STRATEGICI	034	HAL	S	10,000	29.53	n/a	n/a	500.00	5.0
CAPITAL GROWTH MGMT.	241	HLX	S	50,000	33.57	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	031	HOG	S	3,590	60.72	n/a	n/a	179.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCP	B	5,000	64.90	5-May	31-Aug	250.00	5.0
MAZAMA CAPITAL MGMT.	035	JEF	B	150,800	26.74	n/a	n/a	6,032.00	4.0
JP MORGAN VENTURES	046	KMX	B	23,800	40.12	n/a	10-Jan	1,190.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	15,000	27.84	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	015	LEH	S	1,000	70.21	n/a	13-Sep	0.00	0.0
HIGHLINE ADV	044	MAS	B	210,100	27.80	n/a	n/a	10,505.00	5.0
BAIRD INVESTMENT	031	MER	S	3,130	76.23	18-Apr	12-Sep	156.50	5.0
STRONG/WELL HOWARD	038	MRVC	B	200,000	2.47	n/a	n/a	6,000.00	3.0
LESTER BROS CAPITAL LLC	032	NKE	S	2,500	82.48	n/a	n/a	125.00	5.0
TRUST CO OF THE WEST/NY	040	NTY	S	64,150	27.25	n/a	n/a	2,566.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	10,000	12.14	n/a	28-Aug	400.00	4.0
GALLEON MGMT LP	033	PLCE	B	30,000	56.65	1-May	8-Sep	1,500.00	5.0
SAC TRADING HOWARD	038	PLCE	B	35,000	57.36	1-May	8-Sep	1,750.00	5.0
TRUST CO OF THE WEST/NY	040	PNR	S	114,400	28.51	n/a	n/a	4,576.00	4.0
GALLEON MGMT LP	033	PPC	B	20,000	27.01	n/a	n/a	1,000.00	5.0
JP MORGAN VENTURES	046	PSS	S	15,000	24.33	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	PSUN	B	150,000	14.59	3-Aug	28-Aug	6,000.00	4.0
WELLS/STRONG LEDDY	035	REY	S	22,000	39.03	n/a	n/a	880.00	4.0
LEVIN CAPITAL STRATEGIES	012	ROST	S	15,000	25.73	n/a	n/a	450.00	3.0
PRINCIPLE CAPITAL	040	S	B	30,900	17.00	n/a	n/a	1,236.00	4.0
TILLDALE MGMT.	048	SBL	S	5,000	12.51	n/a	2-Aug	200.00	4.0
MERRILL LYNCH STRATEGICI	034	SBUX	S	5,000	33.04	2-Aug	3-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	23.87	n/a	7-Aug	400.00	4.0
THE JAY GOLDMAN	034	SLGN	B	30,000	37.00	n/a	n/a	1,200.00	4.0
CAPITAL GROWTH MGMT.	241	SM	S	70,000	37.55	n/a	n/a	3,500.00	5.0
ROTHSCHILD ASSET	040	SNA	B	4,100	44.21	n/a	n/a	184.04	4.5
BONANZA PARTNERS	031	SUNH	S	50,000	11.25	n/a	n/a	2,500.00	5.0
SAC TRADING/BILLY	063	SWKS	S	150,000	5.27	n/a	n/a	4,500.00	3.0
TRIVIUM CAP MGMT	028	TGT	S	25,000	53.26	n/a	31-Aug	1,000.00	4.0
TILLDALE MGMT.	048	THC	S	20,000	8.25	n/a	17-Aug	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	TJX	S	10,000	27.69	16-Aug	28-Aug	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	TJX	S	229,500	28.03	16-Aug	28-Aug	9,180.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	10,000	23.50	n/a	17-Aug	400.00	4.0
MERRILL LYNCH STRATEGICI	034	UARM	B	2,000	38.98	n/a	n/a	100.00	5.0
MERRILL ASSET	032	VTS	S	24,600	64.83	n/a	n/a	738.00	3.0
MAIRS AND POWER INV	030	VZ	S	10,000	35.78	31-Jul	8-Sep	600.00	6.0
US BANCORP	030	WCC	B	20,000	59.06	n/a	n/a	1,000.00	5.0
DAVIDSON KEMPNER ADVISOR	217	XHB	S	91,800	32.44	n/a	n/a	4,590.00	5.0
BAIRD INVESTMENT	031	XOM	S	2,940	64.56	n/a	n/a	147.00	5.0
THE JAY GOLDMAN	034	XRT	S	60,000	38.26	n/a	n/a	1,800.00	3.0
TOTAL :								126,904.79	

Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	BLACKROCK/BOSTON (BLRSBRAAMG)	037	ANF	B	1,000	67.85	31-Aug	31-Aug	40.00	4.0
AO,	BLACKROCK/BOSTON (BLRSBRMCGE)	037	ANF	B	14,000	67.85	31-Aug	31-Aug	560.00	4.0
AO,	BLACKROCK/BOSTON (BLRSE-MET-)	037	ANF	B	1,000	67.85	31-Aug	31-Aug	40.00	4.0
AO,	MKT MAKER (MKT MAKER)	099	BONT	S	1,500	28.21	n/a	1-Sep	0.00	0.0
AO,	STANDARD PACIFIC CAPITAL (SPACMERRIL)	040	CIEN	B	210,000	4.18	n/a	22-Mar	6,300.00	3.0
AO,	CUMBERLAND (CUMBMORGAN)	038	FINL	B	50,000	12.40	n/a	25-Aug	2,000.00	4.0
AO,CXL	CHART WELL ADV (CHAT15)	243	IGT	B	77,525	39.26	n/a	24-Jul	3,480.87	4.5
AO,CXL	CHART WELL ADV (CHATHNW024)	243	IGT	B	145	39.26	n/a	24-Jul	6.51	4.5
AO,	CHART WELL ADV (CHAT15)	243	IGT	B	77,525	39.26	n/a	24-Jul	3,488.63	4.5
AO,	CHART WELL ADV (CHATHNW024)	243	IGT	B	145	39.26	n/a	24-Jul	6.53	4.5
AO,CXL	CHART WELL ADV (CHATHNW023)	243	IGT	B	285	39.26	n/a	24-Jul	12.80	4.5
AO,	CHART WELL ADV (CHATHNW023)	243	IGT	B	285	39.26	n/a	24-Jul	12.83	4.5
AO,CXL	CHART WELL ADV (CHAT385)	243	IGT	B	1,525	39.26	n/a	24-Jul	68.47	4.5
AO,CXL	CHART WELL ADV (CHAT261)	243	IGT	B	575	39.26	n/a	24-Jul	25.82	4.5
AO,	CHART WELL ADV (CHAT385)	243	IGT	B	1,525	39.26	n/a	24-Jul	68.63	4.5
AO,	CHART WELL ADV (CHAT261)	243	IGT	B	575	39.26	n/a	24-Jul	25.88	4.5
AO,CXL	CHART WELL ADV (CHAT386)	243	IGT	B	385	39.26	n/a	24-Jul	17.29	4.5
AO,CXL	CHART WELL ADV (CHATHNW027)	243	IGT	B	285	39.26	n/a	24-Jul	12.80	4.5
AO,	CHART WELL ADV (CHAT386)	243	IGT	B	385	39.26	n/a	24-Jul	17.33	4.5
AO,	CHART WELL ADV (CHATHNW027)	243	IGT	B	285	39.26	n/a	24-Jul	12.83	4.5
AO,CXL	GOLDMAN SACHS ASSET MGMT (GSAM917)	044	PG	S	16,300	62.01	25-Apr	6-Sep	326.00	2.0
AO,CXL	GOLDMAN SACHS ASSET MGMT (GSAM2058)	044	PG	S	29,360	62.01	25-Apr	6-Sep	587.20	2.0

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	GOLDMAN SACHS ASSET MGMT (GSAM2023)	044	PG	S	23,200	62.01	25-Apr	6-Sep	464.00 2.0
AO,CXL	GOLDMAN SACHS ASSET MGMT (GSAM772)	044	PG	S	26,930	62.01	25-Apr	6-Sep	538.60 2.0
AO,CXL	GOLDMAN SACHS ASSET MGMT (GSAM2546)	044	PG	S	46,536	62.01	25-Apr	6-Sep	930.72 2.0
AO,CXL	GOLDMAN SACHS ASSET MGMT (GSAM2762)	044	PG	S	38,400	62.01	25-Apr	6-Sep	768.00 2.0
AO,CXL	GOLDMAN SACHS ASSET MGMT (GSAM137040)	044	PG	S	36,000	62.01	25-Apr	6-Sep	720.00 2.0
AO,CXL	GOLDMAN SACHS ASSET MGMT (GSAM3050)	044	PG	S	28,400	62.01	25-Apr	6-Sep	568.00 2.0
AO,	GALLEON MGMT LP (GALLDBKS)	033	RTP	S	2,000	188.90	n/a	n/a	100.00 5.0
AO,CXL	GALLEON MGMT LP (GALLMONTGO)	033	RTP	S	2,000	188.90	n/a	n/a	100.00 5.0
AO,	PRINCIPLE CAPITAL (PRINUBSPB)	040	SRDX	B	29,500	35.39	n/a	n/a	1,475.00 5.0
AO,	COUGAR TRADING (COUGPB MS)	044	WRNC	S	5,000	21.05	5-Sep	6-Sep	250.00 5.0

Legend:

Blue: Employee and Proprietary Trades.

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

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