



Daily Compliance Activity Report

Trade Date: 09/19/2006

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| BUCK CAPITAL MGMT | 001 | ABG | B | 5,000 | 18.50 | n/a | n/a | 200.00 | 4.0 |
| EATON VANCE MGMT | 039 | ACV | B | 73,700 | 49.63 | n/a | n/a | 2,948.00 | 4.0 |
| T. ROWE PRICE | 033 | AMG | B | 12,600 | 97.18 | 6-Sep | 13-Sep | 504.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | AZO | S | 5,000 | 98.22 | n/a | n/a | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | BBW | B | 10,000 | 22.93 | n/a | n/a | 400.00 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 012 | BIG | S | 4,000 | 19.62 | 16-Aug | 15-Sep | 160.00 | 4.0 |
| SAILFISH | 037 | BIG | S | 25,000 | 19.72 | 16-Aug | 15-Sep | 1,250.00 | 5.0 |
| PEREGRINE | 030 | BONT | S | 36,000 | 28.25 | n/a | 1-Sep | 1,800.00 | 5.0 |
| WHALE ROCK CAP | 030 | BONT | B | 67,500 | 28.35 | n/a | 1-Sep | 2,700.00 | 4.0 |
| KORMAN | 003 | CAKE | B | 2,000 | 25.49 | 28-Jun | 19-Sep | 0.00 | 0.0 |
| DSG CAPITAL | 225 | CAKE | S | 20,000 | 25.12 | 28-Jun | 19-Sep | 1,000.00 | 5.0 |
| WHITTIER CAP | 048 | CAKE | B | 14,665 | 25.20 | 28-Jun | 19-Sep | 733.25 | 5.0 |
| EQUINOX | 032 | CAR | S | 9,900 | 18.90 | n/a | n/a | 396.00 | 4.0 |
| LEDDY | 035 | CBK | B | 600 | 27.22 | 1-Jun | 14-Sep | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | CBK | B | 25,000 | 27.25 | 1-Jun | 14-Sep | 1,000.00 | 4.0 |
| BARROW HANLEY MEWHINNEY | 096 | CFC | S | 800 | 34.64 | n/a | n/a | 0.00 | 0.0 |
| CARDINAL CAPITAL | 044 | CHE | B | 27,200 | 38.14 | n/a | n/a | 1,360.00 | 5.0 |

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|-------------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| BUCK CAPITAL MGMT | 001 | CHS | S | 110,000 | 20.39 | 23-Aug | 28-Aug | 4,400.00 | 4.0 |
| INTEGRITY CAPITAL MGMT | 039 | CHS | B | 15,000 | 20.35 | 23-Aug | 28-Aug | 600.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | CLE | B | 225,000 | 29.12 | 4-May | 5-Sep | 9,000.00 | 4.0 |
| FARBER/WEISS PECK | 012 | CLE | S | 18,000 | 29.20 | 4-May | 5-Sep | 900.00 | 5.0 |
| FARBER/WEISS PECK | 012 | CMG | S | 15,500 | 50.38 | n/a | 11-Sep | 775.00 | 5.0 |
| LISTED ERR | 099 | CTV | S | 30 | 31.24 | n/a | n/a | 0.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 048 | CTV | B | 3,500 | 30.90 | n/a | n/a | 140.00 | 4.0 |
| WILLIAMS TRADING /JILL | 034 | CVO | B | 7,400 | 20.23 | n/a | n/a | 296.00 | 4.0 |
| GOLD SACHS SPECIAL SIT | 037 | DBD | S | 50,000 | 42.48 | n/a | 15-Sep | 2,500.00 | 5.0 |
| BELAY CAPITAL | 039 | DDS | B | 5,000 | 33.01 | n/a | n/a | 200.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | DLTR | S | 6,200 | 30.15 | n/a | 15-Sep | 310.00 | 5.0 |
| SINCLAIR | 031 | DMND | B | 800 | 13.68 | n/a | n/a | 0.00 | 0.0 |
| SEAROCK CAPITAL MANAGE | 012 | DRI | B | 56,500 | 38.49 | 28-Jun | 19-Sep | 2,260.00 | 4.0 |
| WILLIAMS TRADING /JILL | 034 | FD | B | 13,700 | 42.00 | 13-Sep | 13-Sep | 548.00 | 4.0 |
| CAXTON PART | 040 | FDO | B | 50,000 | 29.45 | n/a | 31-Aug | 2,000.00 | 4.0 |
| NICOLAS APPLGATE | 048 | FSTR | S | 4,150 | 18.79 | n/a | n/a | 166.00 | 4.0 |
| DALTON GREINER | 012 | GCO | B | 59,800 | 29.92 | n/a | 10-Jan | 2,990.00 | 5.0 |

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|--------------------------------|------------|-------------|----------|--------------|--------------|---------------|---------------|-------------|------------|
| STADIA CAPITAL | 035 | GES | S | 28,000 | 48.57 | n/a | n/a | 1,120.00 | 4.0 |
| MKT MAKER | 099 | GHDX | B | 72 | 13.10 | n/a | n/a | 0.00 | 0.0 |
| INVISTA CAP/PRINCIPAL | 046 | GHDX | B | 5,700 | 13.10 | n/a | n/a | 285.00 | 5.0 |
| ROYCE TRADING | 216 | HBI | B | 25,000 | 22.07 | n/a | n/a | 1,250.00 | 5.0 |
| DSG CAPITAL | 225 | HC | B | 10,000 | 18.06 | 27-Jul | 6-Sep | 500.00 | 5.0 |
| AMBER CAPITAL | 046 | IDC | B | 22,600 | 19.50 | n/a | n/a | 904.00 | 4.0 |
| MAGUIRE | 090 | IEDU | B | 3,000 | 8.30 | n/a | n/a | 0.00 | 0.0 |
| BARROW HANLEY MEWHINNEY | 096 | IEDU | B | 1,100 | 8.30 | n/a | n/a | 0.00 | 0.0 |
| MATADOR CAPITAL | 044 | IFS | S | 34,200 | 17.01 | n/a | n/a | 1,368.00 | 4.0 |
| LEEDS | 002 | IMNY | S | 4,000 | 1.99 | n/a | n/a | 0.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | IMO | S | 20,000 | 33.45 | n/a | n/a | 1,000.00 | 5.0 |
| LEEDS | 002 | INTC | S | 1,500 | 19.41 | n/a | n/a | 0.00 | 0.0 |
| LEEDS | 002 | JBLU | S | 6,000 | 10.24 | n/a | n/a | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 034 | JCP | B | 10,000 | 67.27 | 5-May | 31-Aug | 500.00 | 5.0 |
| SAC TRADING HOWARD | 038 | JCP | S | 10,000 | 67.57 | 5-May | 31-Aug | 500.00 | 5.0 |
| DEMARTINI | 065 | JNS | S | 1,000 | 19.01 | 27-Apr | 13-Sep | 0.00 | 0.0 |
| FRIESS MGMT | 042 | JWN | S | 272,600 | 42.36 | 14-Aug | 28-Aug | 12,267.00 | 4.5 |

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|--------------------------|------------|------------|----------|------------|--------------|------------|------------|-------------|------------|
| BUCK CAPITAL MGMT | 001 | KCP | B | 20,000 | 24.33 | n/a | 31-Aug | 800.00 | 4.0 |
| SAXON WOODS ADVISORS | 038 | KNDL | S | 10,664 | 32.34 | n/a | n/a | 533.20 | 5.0 |
| BUCK CAPITAL MGMT | 001 | KWD | S | 10,000 | 29.05 | n/a | n/a | 400.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | LEH | B | 50,000 | 70.72 | n/a | 13-Sep | 2,500.00 | 5.0 |
| STRAUSS ASSET MGMT | 040 | LVLTT | S | 25,000 | 5.15 | 4-Aug | 18-Sep | 1,000.00 | 4.0 |
| BELAY CAPITAL | 039 | MAS | S | 10,000 | 27.15 | n/a | n/a | 400.00 | 4.0 |
| MERRILL LYNCH STRATEGICI | 034 | NFLX | B | 16,000 | 22.50 | n/a | n/a | 800.00 | 5.0 |
| BONANZA PARTNERS | 031 | OXPS | S | 100,000 | 28.25 | n/a | n/a | 5,000.00 | 5.0 |
| GENERAL ELECTIC CO | 033 | PAYX | B | 40,000 | 35.89 | n/a | n/a | 1,175.00 | 3.3 |
| SENTINAL CAPITAL | 067 | PCP | B | 8,000 | 58.48 | n/a | n/a | 400.00 | 5.0 |
| SINCLAIR | 031 | PKE | B | 300 | 26.00 | n/a | n/a | 0.00 | 0.0 |
| J L F ASSET MGMT | 039 | PLCE | B | 3,700 | 57.58 | 1-May | 8-Sep | 148.00 | 4.0 |
| AMBER CAPITAL | 046 | PNX | B | 47,600 | 13.91 | n/a | n/a | 1,904.00 | 4.0 |
| TRUST CO OF THE WEST/NY | 040 | PPC | B | 59,250 | 27.91 | n/a | n/a | 2,370.00 | 4.0 |
| J L F ASSET MGMT | 039 | PSS | S | 34,000 | 23.75 | n/a | n/a | 1,360.00 | 4.0 |

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|-------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| RBC CAPITAL MARKETS | 034 | PVH | B | 20,000 | 40.88 | 18-Sep | 19-Sep | 1,000.00 | 5.0 |
| PRIME LOGIC ADV | 039 | PYX | S | 40,000 | 13.71 | n/a | 31-Aug | 2,000.00 | 5.0 |
| COUGAR TRADING | 044 | RL | B | 5,000 | 64.31 | 18-Sep | 19-Sep | 250.00 | 5.0 |
| WHITTIER CAP | 048 | RL | S | 4,100 | 63.21 | 18-Sep | 19-Sep | 205.00 | 5.0 |
| AMBER CAPITAL | 046 | ROH | S | 110,000 | 45.62 | 18-Sep | 19-Sep | 4,400.00 | 4.0 |
| TRUST CO OF THE WEST/NY | 040 | RSH | B | 89,100 | 19.24 | n/a | n/a | 3,564.00 | 4.0 |
| MOORE CAPITAL | 036 | S | S | 350,000 | 17.46 | n/a | n/a | 14,000.00 | 4.0 |
| DSG CAPITAL | 225 | SBAC | B | 20,000 | 23.90 | n/a | n/a | 1,000.00 | 5.0 |
| REICH AND TANG | 037 | SBL | S | 100,000 | 14.73 | 19-Sep | 19-Sep | 5,000.00 | 5.0 |
| ALLEN & CO | 032 | SLB | S | 127,000 | 57.84 | n/a | n/a | 5,080.00 | 4.0 |
| U.S.TRUST COMPANY | 012 | SOV | S | 50,000 | 21.36 | n/a | n/a | 2,000.00 | 4.0 |
| COUGAR TRADING | 044 | SSI | B | 10,000 | 27.88 | n/a | n/a | 500.00 | 5.0 |
| MORRISON & FRASIER | 040 | SSI | B | 5,000 | 27.22 | n/a | n/a | 250.00 | 5.0 |
| BELAY CAPITAL | 039 | STX | B | 4,500 | 22.49 | n/a | n/a | 180.00 | 4.0 |
| MORGENS WATERFALL | 040 | SU | B | 100,000 | 68.01 | n/a | n/a | 5,000.00 | 5.0 |
| RBC CAPITAL MARKETS | 034 | TGT | B | 20,000 | 54.30 | n/a | 31-Aug | 1,000.00 | 5.0 |

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|--------------------------|------|--------|-----|---------|-------|--------|-------------------|-------------|-----|
| SLS CAPITAL LLC | 224 | THO | S | 136,300 | 40.08 | n/a | n/a | 6,815.00 | 5.0 |
| LEVIN CAPITAL STRATEGIES | 012 | TJX | S | 5,000 | 28.09 | 16-Aug | 28-Aug | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TLB | B | 20,000 | 25.01 | n/a | 17-Aug | 800.00 | 4.0 |
| LUCHANSKY2 | 036 | TSBK | S | 500 | 37.45 | n/a | n/a | 0.00 | 0.0 |
| LUCHANSKY1 | 036 | TSBK | S | 200 | 37.45 | n/a | n/a | 0.00 | 0.0 |
| CAXTON PART | 040 | VIAB | B | 20,000 | 36.75 | n/a | n/a | 800.00 | 4.0 |
| VARDON PARTNERS | 035 | WRNC | S | 41,527 | 20.00 | 5-Sep | 15-Sep | 2,076.35 | 5.0 |
| TRUST CO OF THE WEST/NY | 040 | WSM | B | 53,450 | 31.53 | n/a | n/a | 2,138.00 | 4.0 |
| TROU | 067 | XOHO | B | 25,000 | 4.59 | n/a | n/a | 1,250.00 | 5.0 |
| TOTAL : | | | | | | | 139,728.80 | | |

Cancel/Corrects and As-Of Trades

| Type | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-----------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| AO,CXL | MOORE CAPITAL (MOORMORGAN) | 036 | MOT | B | 200,000 | 24.89 | n/a | n/a | 10,000.00 | 5.0 |
| AO, | MOORE CAPITAL (MOORMORGAN) | 036 | MOT | B | 200,000 | 24.89 | n/a | n/a | 8,000.00 | 4.0 |
| AO, | FRIESS MGMT (FRISNUKEAC) | 042 | ORCL | S | 4,000 | 16.24 | n/a | n/a | 180.00 | 4.5 |
| AO,CXL | FRIESS MGMT (FRISNUKE) | 042 | ORCL | S | 4,000 | 16.24 | n/a | n/a | 180.00 | 4.5 |
| AO,CRT | MKT MAKER (MKT MAKER) | 099 | PSMT | S | 56 | 13.04 | n/a | n/a | 0.00 | 0.0 |
| AO, | SUFFOLK CAPITAL MGMT (SUFFBGROWT) | 040 | WAG | S | 700 | 49.55 | n/a | n/a | 28.00 | 4.0 |
| AO, | SUFFOLK CAPITAL MGMT (SUFFUAL) | 040 | WAG | S | 6,100 | 49.55 | n/a | n/a | 244.00 | 4.0 |
| AO,CXL | SUFFOLK CAPITAL MGMT (SUFFSUE) | 040 | WAG | S | 6,100 | 49.55 | n/a | n/a | 244.00 | 4.0 |
| AO,CXL | SUFFOLK CAPITAL MGMT (SUFFBG) | 040 | WAG | S | 700 | 49.55 | n/a | n/a | 28.00 | 4.0 |

Legend:

Blue: Employee and Proprietary Trades.

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

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