



## Daily Compliance Activity Report

Trade Date: 09/29/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	096	ACLS	S	1,800	7.04	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	AEOS	S	25,000	44.96	26-Sep	27-Sep	1,250.00	5.0
BARROW HANLEY MEWHINNEY	031	AIG	B	18,900	66.19	n/a	n/a	756.00	4.0
BLACKROCK/BOSTON	037	ANF	S	100,000	70.29	31-Aug	31-Aug	4,000.00	4.0
COUGAR TRADING	044	ANF	B	5,000	70.05	31-Aug	31-Aug	250.00	5.0
KENNEDY CAPITAL	046	AVID	B	7,000	36.25	n/a	n/a	280.00	4.0
BUCK CAPITAL MGMT	001	BBW	B	10,000	22.87	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	BID	B	150,000	32.40	n/a	n/a	6,000.00	4.0
GLG PARTNERS	034	BKS	B	15,000	38.15	n/a	n/a	750.00	5.0
CENTURION PARTNERS	244	BONT	B	8,000	29.98	n/a	21-Sep	400.00	5.0
BUCK CAPITAL MGMT	015	BYUVG	B	10	1.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	015	CBE	S	400	85.18	n/a	21-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	S	5,000	30.22	18-Sep	20-Sep	200.00	4.0
BARROW HANLEY MEWHINNEY	031	CCL	B	46,100	47.08	n/a	26-Jan	1,844.00	4.0
REICH AND TANG	037	CMC	B	25,000	20.41	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	CVS	S	20,000	32.26	n/a	n/a	1,000.00	5.0
<b>LEEDS</b>	<b>002</b>	<b>EGLE</b>	<b>S</b>	<b>5,592</b>	<b>16.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	EL	B	34,500	40.51	20-Sep	25-Sep	1,725.00	5.0
<b>JACOB</b>	<b>068</b>	<b>ESV</b>	<b>S</b>	<b>100</b>	<b>44.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARON ASSET MGMT*	012	EV	B	25,000	28.97	6-Sep	25-Sep	1,250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>EVST</b>	<b>S</b>	<b>588</b>	<b>15.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAXON WOODS ADVISORS	038	FIC	S	10,000	36.58	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	FL	B	20,000	25.25	n/a	18-Aug	800.00	4.0
MAZAMA CAPITAL MGMT.	035	FS	S	27,225	63.92	n/a	n/a	1,089.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	34.42	n/a	10-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	49.38	n/a	n/a	400.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>GLW</b>	<b>S</b>	<b>400</b>	<b>24.80</b>	<b>n/a</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>GASNER</b>	<b>025</b>	<b>HBP</b>	<b>B</b>	<b>1,500</b>	<b>5.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KAZMI</b>	<b>010</b>	<b>IEAM</b>	<b>S</b>	<b>2,000</b>	<b>7.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HASAN</b>	<b>010</b>	<b>IEAM</b>	<b>S</b>	<b>3,350</b>	<b>7.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRIBECA/DOUG	040	ITG	B	5,000	44.99	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRIESS MGMT	042	JCG	S	49,400	30.13	25-Aug	25-Aug	2,223.00	4.5
BUCK CAPITAL MGMT	001	JCP	S	60,000	68.91	5-May	31-Aug	2,400.00	4.0
LEDDY	035	KEGS	B	700	13.40	7-Aug	25-Sep	0.00	0.0
SINCLAIR	031	KEGS	B	1,000	13.35	7-Aug	25-Sep	0.00	0.0
SINCLAIR	031	KEGS	S	800	13.40	7-Aug	25-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	B	85,000	65.43	10-Aug	31-Aug	3,400.00	4.0
LISTED ERR	099	MA	B	500	68.26	n/a	n/a	0.00	0.0
LISTED ERR	099	MA	S	500	68.31	n/a	n/a	0.00	0.0
VANDER MOOLEN	040	MIR	B	5,000	27.01	n/a	n/a	250.00	5.0
LISTED ERR	099	MS	B	900	73.42	20-Sep	21-Sep	0.00	0.0
LISTED ERR	099	MS	S	900	74.04	20-Sep	21-Sep	0.00	0.0
CAPITAL GROWTH MGMT.	241	MS	B	181,500	73.47	20-Sep	21-Sep	9,075.00	5.0
KENNEDY CAPITAL	046	NBL	S	20,650	45.32	n/a	n/a	826.00	4.0
MAZAMA CAPITAL MGMT.	035	NRF	S	90,000	12.76	n/a	n/a	3,600.00	4.0
REINHART & MAHONEY	031	NU	S	5,600	23.45	n/a	n/a	280.00	5.0
LEDDY	035	OXM	S	550	43.42	n/a	n/a	0.00	0.0
SINCLAIR	031	PDEX	S	2,400	1.38	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	PFCB	B	25,000	35.26	26-Jul	7-Sep	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITTIER CAP	048	PFCB	B	5,300	35.08	26-Jul	7-Sep	265.00	5.0
KENNEDY CAPITAL	046	PSUN	S	44,400	15.27	3-Aug	28-Aug	1,776.00	4.0
SSI INVESTORS	048	PVH	B	94,145	42.82	18-Sep	19-Sep	3,765.80	4.0
WHITTIER CAP	048	RAH	S	4,545	48.50	n/a	n/a	227.25	5.0
WHITTIER CAP	048	RL	S	6,505	64.82	18-Sep	19-Sep	325.25	5.0
KENNEDY CAPITAL	046	RNR	S	5,750	55.70	n/a	n/a	230.00	4.0
ASCEND PARTNERS	033	ROST	B	25,000	25.73	n/a	n/a	1,250.00	5.0
<b>JACOB</b>	<b>068</b>	<b>RRC</b>	<b>S</b>	<b>145</b>	<b>25.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BINDER</b>	<b>007</b>	<b>SKS</b>	<b>B</b>	<b>775</b>	<b>17.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GASNER</b>	<b>025</b>	<b>SOIGF</b>	<b>S</b>	<b>1,250</b>	<b>4.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GLG PARTNERS	034	SPLS	B	15,000	24.85	n/a	16-Aug	750.00	5.0
BUCK CAPITAL MGMT	015	SPY	B	400	133.66	n/a	n/a	0.00	0.0
<b>SINCLAIR</b>	<b>031</b>	<b>SRR</b>	<b>B</b>	<b>100</b>	<b>14.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BLACKROCK/BOSTON	037	TLB	S	122,300	27.22	n/a	17-Aug	4,892.00	4.0
<b>JACOB</b>	<b>068</b>	<b>TRLG</b>	<b>S</b>	<b>200</b>	<b>21.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY2</b>	<b>036</b>	<b>TWB</b>	<b>B</b>	<b>200</b>	<b>37.64</b>	<b>5-Sep</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING HOWARD	038	TWB	S	10,000	38.05	5-Sep	5-Sep	500.00	5.0
<b>BINDER</b>	<b>007</b>	<b>TYC</b>	<b>S</b>	<b>550</b>	<b>27.91</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	UNT	S	3,500	46.40	7-Aug	7-Aug	140.00	4.0
GALLEON MGMT LP	033	VZ	S	40,000	37.10	19-Sep	27-Sep	2,000.00	5.0
STADIA CAPITAL	035	WMT	S	117,000	49.41	n/a	31-Aug	4,680.00	4.0
COUGAR TRADING	044	WRNC	B	5,000	19.35	5-Sep	15-Sep	250.00	5.0
FRIESS MGMT	042	WRNC	S	81,800	19.62	5-Sep	15-Sep	3,681.00	4.5
BUCK CAPITAL MGMT	015	WY	B	400	61.64	20-Sep	21-Sep	0.00	0.0
<b>TOTAL:</b>								<b>73,580.30</b>	

### Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	SIGMA CAPITAL ASSOCIATES (SIGMMAINMS)	034	CA	B	50,000	23.66	n/a	n/a	2,500.00	5.0
AO,	SIGMA CAPITAL ASSOCIATES (SIGMGOLDMA)	034	CA	B	50,000	23.66	n/a	n/a	2,500.00	5.0
AO,	COUGAR TRADING (COUGPB MS)	044	FRED	S	5,000	13.07	21-Aug	25-Sep	250.00	5.0
<b>AO,CRT</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>JKHY</b>	<b>B</b>	<b>348</b>	<b>21.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AO,	BAIRD INVESTMENT (BAIRVB515-)	031	QCOM	S	9,835	36.91	n/a	n/a	491.75	5.0
AO,	BAIRD INVESTMENT (BAIRVB810-)	031	QCOM	S	3,200	36.91	n/a	n/a	160.00	5.0
AO,CXL	HARRIS ASSOCIATES (HARR902590)	031	VIAB	B	5,000	37.54	n/a	n/a	250.00	5.0
AO,	HARRIS ASSOCIATES (HARR902590)	031	VIAB	B	5,000	37.54	n/a	n/a	200.00	4.0
AO,	MAIRS AND POWER INV (MAIRGROWTH)	030	VZ	S	10,000	36.74	19-Sep	27-Sep	600.00	6.0
<b>AO,CRT</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>WRNC</b>	<b>B</b>	<b>2</b>	<b>19.51</b>	<b>5-Sep</b>	<b>15-Sep</b>	<b>0.00</b>	<b>0.0</b>
AO,CXL	BAIRD INVESTMENT (BAIRVB810-)	031	XOM	S	3,200	36.91	n/a	n/a	160.00	5.0
AO,CXL	BAIRD INVESTMENT (BAIRVB515-)	031	XOM	S	9,835	36.91	n/a	n/a	491.75	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.**