



## Daily Compliance Activity Report

Trade Date: 09/06/2006

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>KARP</b>	<b>023</b>	<b>AMD</b>	<b>S</b>	<b>200</b>	<b>25.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	AMR	S	47,200	20.22	n/a	n/a	1,888.00	4.0
<b>BINDER</b>	<b>007</b>	<b>AMWD</b>	<b>B</b>	<b>100</b>	<b>32.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	APC	B	103,200	50.09	31-Aug	5-Sep	6,192.00	6.0
MAZAMA CAPITAL MGMT.	035	ATW	B	14,200	46.23	n/a	n/a	568.00	4.0
BUCK CAPITAL MGMT	001	BBW	B	10,000	21.55	n/a	n/a	400.00	4.0
<b>BINDER</b>	<b>007</b>	<b>BDK</b>	<b>S</b>	<b>100</b>	<b>74.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	BID	S	10,000	27.37	n/a	n/a	400.00	4.0
CAPITAL GROWTH MGMT.	241	BJS	S	180,000	33.77	n/a	n/a	9,000.00	5.0
CSFB GLOBAL PROPRIETARY	035	BOW	S	20,000	22.57	13-Jul	27-Jul	1,000.00	5.0
AELTUS/ING INVESTMENT MGT	237	BUD	B	120,600	49.52	n/a	n/a	4,824.00	4.0
EOS PARTNERS	040	CAL	S	10,000	25.54	n/a	n/a	500.00	5.0
MANNING & NAPIER	034	CENT	B	15,900	43.73	3-May	28-Aug	636.00	4.0
J L F ASSET MGMT	039	CHS	S	101,900	18.50	23-Aug	28-Aug	4,076.00	4.0

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SANDLER O'NEILL ASSET	031	CLMS	B	25,000	26.21	n/a	22-Aug	1,250.00	5.0
CLOVIS CAPITAL	012	DE	S	25,000	81.50	n/a	n/a	1,250.00	5.0
S.A.C. CAPITAL MGMT.	044	DRI	S	12,500	35.97	28-Jun	2-Aug	625.00	5.0
BUCK CAPITAL MGMT	001	DSW	S	10,000	27.74	n/a	n/a	400.00	4.0
CIBC ADV.	060	DVN	B	2,000	71.42	31-Aug	5-Sep	100.00	5.0
<b>SCHEINER</b>	<b>037</b>	<b>F</b>	<b>B</b>	<b>3,000</b>	<b>8.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	030	F	S	200,000	8.61	n/a	n/a	10,000.00	5.0
BUCK CAPITAL MGMT	001	FD	B	10,000	39.08	12-Jun	31-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	FL	S	150,000	24.35	n/a	18-Aug	6,000.00	4.0
EQUINOX	032	FO	B	99,900	71.99	n/a	n/a	4,995.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>FTAR</b>	<b>S</b>	<b>3,000</b>	<b>5.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	GCO	B	10,000	28.00	n/a	10-Jan	400.00	4.0
<b>KARP</b>	<b>023</b>	<b>GE</b>	<b>S</b>	<b>200</b>	<b>34.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AELTUS/ING INVESTMENT MGT	237	GE	B	16,710	34.03	n/a	n/a	668.40	4.0
MAZAMA CAPITAL MGMT.	035	GHL	B	60,000	55.99	n/a	n/a	2,400.00	4.0
EOS PARTNERS	040	GILD	S	2,400	61.72	n/a	n/a	120.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COEU	035	GYMB	S	18,000	33.35	10-Aug	31-Aug	900.00	5.0
COUGAR TRADING	044	GYMB	B	10,000	33.65	10-Aug	31-Aug	500.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>H</b>	<b>B</b>	<b>300</b>	<b>20.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AELTUS/ING INVESTMENT MGT	237	HSY	B	43,300	51.80	n/a	n/a	1,732.00	4.0
<b>BINDER</b>	<b>007</b>	<b>INTC</b>	<b>S</b>	<b>100</b>	<b>19.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EOS PARTNERS	040	IYT	S	5,200	76.49	n/a	n/a	260.00	5.0
EOS PARTNERS	040	JBLU	S	45,500	9.91	n/a	n/a	2,275.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	50,000	26.26	25-Aug	25-Aug	2,000.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	100,000	64.55	5-May	31-Aug	4,000.00	4.0
EOS PARTNERS	040	KNX	S	28,000	15.96	n/a	n/a	1,400.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	62.89	10-Aug	31-Aug	400.00	4.0
LOOMIS SALES/BOSTON	036	KSS	B	65,600	63.57	10-Aug	31-Aug	3,280.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	10,000	27.02	n/a	n/a	400.00	4.0
EOS PARTNERS	040	LCC	S	10,000	42.32	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	LM	B	1,200	90.80	28-Jul	22-Aug	60.00	5.0
BULL PATH CAPITAL	044	LTD	B	30,500	25.82	9-May	28-Aug	1,525.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EOS PARTNERS	040	LUV	S	27,000	16.94	n/a	n/a	1,350.00	5.0
MAGNETAR FINANCIAL	247	MKC	S	29,100	36.51	n/a	n/a	1,164.00	4.0
RIDB	034	MYL	B	50,000	20.64	n/a	5-Sep	2,500.00	5.0
CUMBERLAND	038	NTAP	S	12,000	34.03	n/a	n/a	480.00	4.0
OPPENHEIMER MGMT.	036	NVT	S	59,326	25.40	n/a	n/a	2,373.04	4.0
<b>LEDDY</b>	<b>035</b>	<b>PCL</b>	<b>S</b>	<b>600</b>	<b>34.76</b>	<b>3-May</b>	<b>25-Jul</b>	<b>0.00</b>	<b>0.0</b>
CUMBERLAND	038	QLGC	S	18,000	18.84	n/a	n/a	720.00	4.0
EOS PARTNERS	040	QQQQ	S	57,200	38.89	n/a	n/a	2,860.00	5.0
SPRINGBOC	039	ROCK	S	6,600	24.91	n/a	n/a	330.00	5.0
EOS PARTNERS	040	SMH	S	25,700	33.57	n/a	n/a	1,285.00	5.0
EOS PARTNERS	040	SPY	S	12,400	130.83	n/a	n/a	620.00	5.0
SENECA CAPITAL LP NY	028	SPY	S	42,000	130.41	n/a	n/a	2,100.00	5.0
BUCK CAPITAL MGMT	001	SSI	B	10,000	26.01	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	25,000	32.00	5-Sep	5-Sep	1,000.00	4.0
COUGAR TRADING	044	TWB	B	10,000	32.04	5-Sep	5-Sep	500.00	5.0
EOS PARTNERS	040	TXN	S	18,900	31.48	n/a	n/a	945.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BINDER</b>	<b>007</b>	<b>TYC</b>	<b>S</b>	<b>100</b>	<b>26.40</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	UARM	S	30,800	33.63	n/a	n/a	1,232.00	4.0
EOS PARTNERS	040	UAUA	S	10,000	25.01	n/a	n/a	500.00	5.0
SOMERSET ADV	044	USIH	B	1,800	13.24	n/a	n/a	90.00	5.0
MERRILL ASSET	032	UTI	B	41,700	17.82	n/a	n/a	1,251.00	3.0
<b>KARP</b>	<b>023</b>	<b>VIRL</b>	<b>S</b>	<b>300</b>	<b>9.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	WAG	S	25,000	50.75	n/a	n/a	1,250.00	5.0
MS PRINCIPAL STRATEGIES	040	WEN	S	55,000	63.75	25-Jul	27-Jul	2,200.00	4.0
<b>WHEELER</b>	<b>008</b>	<b>WLV</b>	<b>S</b>	<b>12,000</b>	<b>4.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EOS PARTNERS	040	WMB	B	10,000	24.66	n/a	n/a	500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	WMT	B	75,000	45.39	n/a	31-Aug	3,000.00	4.0
NEW JERSEY DIV OF INV.	220	WYE	S	19,900	48.44	n/a	31-Mar	995.00	5.0
CSFB GLOBAL PROPRIETARY	035	XLB	S	15,000	32.03	n/a	n/a	750.00	5.0
CSFB GLOBAL PROPRIETARY	035	XLI	S	30,000	32.35	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	294,600	13.74	n/a	1-Sep	11,784.00	4.0

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**TOTAL :**

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### Cancel/Corrects and As-Of Trades

Type	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,	ROARING BLUE LION MGMT (ROARMAIN U)	012	AEOS	S	9,300	40.08	5-Sep	6-Sep	372.00	4.0
AO,	CR INTRINIC INVESTMENT (CRINGSPB)	044	ALKS	B	25,000	16.33	n/a	n/a	1,250.00	5.0
AO,	NCM CAPITAL MGMT (NCMCNBCHD)	035	BHE	B	1,350	25.39	n/a	n/a	67.50	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	CAKE	B	37	25.06	28-Jun	2-Aug	0.00	0.0
AO,CXL	STERLING JOHNSTON (STEL8)	035	CBK	S	200	24.52	1-Jun	28-Aug	10.00	5.0
AO,CRT	MKT MAKER (MKT MAKER)	099	CTRN	S	66	30.41	n/a	n/a	0.00	0.0
AO,CXL	THE JAY GOLDMAN (GOLDWOODMA)	034	FRX	B	17,500	49.34	18-Jul	5-Sep	875.00	5.0
AO,	THE JAY GOLDMAN (GOLDWOODMA)	034	FRX	B	8,750	49.34	18-Jul	5-Sep	350.00	4.0
AO,	THE JAY GOLDMAN (GOLDMASTER)	034	FRX	B	8,750	49.34	18-Jul	5-Sep	350.00	4.0
AO,CRT	LISTED ERR (LISTED ERR)	099	H	S	300	21.07	n/a	n/a	0.00	0.0
AO,	NCM CAPITAL MGMT (NCMCNBCHD)	035	H	B	3,250	21.07	n/a	n/a	162.50	5.0
AO,	FIRST NEW YORK LEDDY (FNYS)	035	HTLD	S	5,000	15.95	n/a	n/a	250.00	5.0
AO,	NCM CAPITAL MGMT (NCMCNBCHD)	035	IBN	S	2,500	27.65	n/a	n/a	125.00	5.0
AO,	NCM CAPITAL MGMT (NCMCNBCHD)	035	KBH	B	450	41.80	n/a	n/a	22.50	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.