



Notice

The American Stock Exchange will not be opened for business on Monday, January 15, 2007, in observance of Martin Luther King, Jr. Day.

The American Stock Exchange will observe the remaining holidays in 2007.

Presidents' Day	February 19
Good Friday	April 6
Memorial Day	May 28
Independence Day (Observed)	July 4
Labor Day	September 3
Thanksgiving Day	November 22
Christmas Day	December 25

Membership Seat Prices (in 000s)

(As of 9:30 A.M., January 5, 2007)

	BID	OFFER	LAST CONTRACTED
Regular	320	395	365
Options Principal	110	375	80
Limited Trading Permits	5	8	25

Includes only those sales arranged pursuant to bids and offers filed with the Membership and Registration Department between the hours of 9:30 a.m. – 4:00 p.m.

Seat market information may be obtained by calling toll-free (877) Amex Seat (877-263-9732). Seat prices are updated intraday on www.amextrader.com.

Membership Seat Sale

Regular

(Since December 28, 2006)

\$365,000 – December 29, 2006

Membership Lease Prices

(As of 9:30 A.M., January 5, 2007)

The following leases were received:

Includes monthly rental rate information only with respect to Exchange-approved negotiated leases. Not reported are arms length leases or leases for a nominal consideration.

REGULAR

<u>New</u>		<u>Renewal</u>	
<u>Price</u>	<u>Term</u>	<u>Price</u>	<u>Term</u>
\$300	6 months	\$400	1 year
		\$375	3 months
		\$375	month-to-month

OPTIONS PRINCIPAL

<u>New</u>		<u>Renewal</u>	
<u>Price</u>	<u>Term</u>	<u>Price</u>	<u>Term</u>
None		None	

LIMITED TRADING PERMIT

<u>New</u>		<u>Renewal</u>	
<u>Price</u>	<u>Term</u>	<u>Price</u>	<u>Term</u>
None		None	

**Month-End Membership Data
(As of December 29, 2006)**

REGULAR

Last Completed Sale.....	\$350,000 – December 28, 2006
Pending Arranged Sales.....	\$365,000 – December 29, 2006
.....	\$350,000 – December 28, 2006
.....	\$360,000 – December 27, 2006
.....	\$355,000 – December 22, 2006
.....	\$360,000 – December 21, 2006
.....	\$395,000 – December 19, 2006
.....	\$395,000 – December 15, 2006
.....	\$380,000 – December 13, 2006
.....	\$375,000 – December 13, 2006
.....	\$357,500 – December 13, 2006
.....	\$350,000 – December 12, 2006
.....	\$330,000 – December 8, 2006
.....	\$320,000 – December 7, 2006
.....	\$310,000 – December 6, 2006
.....	\$320,000 – December 6, 2006
.....	\$310,000 – December 5, 2006
.....	\$285,000 – December 5, 2006
.....	\$282,000 – December 1, 2006
Closing Bid.....	\$311,000
Closing Offer.....	\$400,000
Average Price for the Month of December.....	\$273,800
Average Price for the Fourth Quarter.....	\$236,176
Average Price for the Year.....	\$219,367

OPTIONS PRINCIPAL

Last Completed Sale.....	\$80,000 – August 18, 2005
Pending Arranged Sales.....	None
Closing Bid.....	\$110,000
Closing Offer.....	\$375,000
Average Price for the Month of December.....	None
Average Price for the Fourth Quarter.....	None

Average Price for the
Year None

LIMITED TRADING PERMIT

Last Completed Sale..... \$25,000 – June 20, 2003
Pending Arranged Sales None
Closing Bid \$5,000
Closing Offer \$8,000
Average Price for the
Month of December None
Average Price for the
Fourth Quarter None
Average Price for the
Year None

Transfers of Membership

**Termination of Special Transfer Agreement – Regular
(Effective at the Opening of Business on January 3, 2007)**

Mark Hanley to **Stanley M. Katz**
Talking Horse LLC Independent
Badge No. 778-H 7 Rumford Way
Princeton Junction, NJ 08550
Seat No. 288-R

Seth B. Kanner to **Goldman Sachs Execution & Clearing L.P.**
Diamond Carter Trading L.L.C. Attn: James Maiello
Badge No. 965-K 30 Hudson Street, 9th Floor
Jersey City, NJ 07302
Seat No. 818-R

Richard D. Parks to **Patricia Finegan**
Stuyvesant Trading Group, LLC Independent
Badge No. 917-P 292 Westcott Boulevard
Pennington, NJ 08534
Seat No. 180-R

George C. Roeser to **Morgan Stanley DW Inc.**
LaBranche & Co. LLC Attn: Thomas R. Day
Badge No. 861-G 1585 Broadway
New York, NY 10036
Seat No. 378-R

Arthur I. Steinberg to **Seth D. Halpern**
Sabre II LLC Independent
Badge No. 785-A 175 Maple Avenue, #2C
Westbury, NY 11590
Seat No. 235-R

*Simultaneously transferring to another seat

**Currently a member on another seat

New Memberships

Sale

(Effective January 3, 2007)

JKJ Investments

to

Stacy J. Glass

Independent
17813 Fieldbrook Circle West
Boca Raton, FL 33496
Seat No. 336-R

Special Transfer Agreement – Regular

(Effective January 3, 2007)

Vincent N. Martuscelli

Independent

to

William J. Gillman

Broker
RET Securities Inc.
4 Woodridge Avenue
Middletown, NJ 07748
Seat No. 630-R
Badge No. 60

(Effective at the Opening of Business on January 5, 2007)

Ginette P. Kingman

Independent

to

Wayne Wu

Specialist
STR Specialists LLC
5 East 17th Street, #7
New York, NY 10011
Seat No. 737-R
Badge No. 928-W

SROT TRANSFER

(Effective at the Opening of Business on January 3, 2007)

Lessor: Frost Gamma Limited Partnership

Seat #s -103-R, 140-R, 307-R, 400-R, 451-R

to

Michael K. Larison

Off-Floor Trader
Timber Hill LLC
Two Pickwick Plaza, Suite 200
Greenwich, CT 06830

(Effective January 4, 2007)

Robert Graziano

Independent

to

Michael Wohlstadter

Trader
Group One Trading L.P.
2 Rector Street, Suite 1001
New York, NY 10006
Seat No. 282-R

Current Members – Firm Status Change

(Effective at the Opening of Business on January 3, 2007)

Andre P. Chase

Specialist

Equitec Proprietary Markets, LLC
& Equitec Specialists, LLC
(Paris Securities Corporation – Lessor)
Badge No. 942-C

to

Andre P. Chase

Specialist

Equitec New York, LLC &
Equitec Specialists, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604
Seat No. 357-R
Badge No. 942-C

Joseph P. Daguanno
Trader/Specialist
Equitec Proprietary Markets, LLC
& Equitec Specialists, LLC
(Frost Gamma Limited Partnership – Lessor)
Badge No. 942-J

to

Joseph P. Daguanno
Trader/Specialist
Compass Professional Services, LLC
& Equitec New York, LLC &
Equitec Proprietary Markets, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604
Seat No. 211-R
Badge No. 942-J

William S. Nuckols
Trader
Equitec Proprietary Markets, LLC
& Equitec Specialists, LLC
(Robert Van Caneghan – Lessor)
Badge No. 942-N

to

Williams S. Nuckols
Trader
Equitec New York, LLC &
Equitec Proprietary Markets, LLC &
Equitec Specialists, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604
Seat No. 296-R
Badge No. 942-N

Active Interim Members

Brian Boomer
For John Genna
Weiskopf, Silver & Company
December 1, 2006 to December 4, 2006

Brian Boomer
For Boris E. Lvovsky
Weiskopf, Silver & Company
December 19, 2006 to December 20, 2006

Brian Boomer
For Jesse A. Greenwald
Weiskopf, Silver & Company
December 26, 2006 to January 3, 2007

Serge Marinovich
For Michael Ashley
AGS Specialists LLC
December 8, 2006 to December 11, 2006

Joseph Morelli
For Jeffrey Hipkins
Bear Hunter Structured Products LLC
December 12, 2006

Allied Members

(Effective at the Opening of Business on January 3, 2007)

Daniel B. Asher
Member
Equitec New York, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Fred O. Goldman
Chief Financial Officer
Equitec New York, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Joseph Jogmen
Administrator/Compliance
Equitec New York, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

John P. LaRocque
Member
Equitec New York, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

William J. Shimanek
Member
Equitec New York, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Approved Person Organizations

(Effective December 29, 2006)

AEGIS Specialist LLC
MillenCo, LLC
MLP Trading Co., LLC
Under Common Control With
AIM Securities Co.
666 Fifth Avenue, 8th Floor
New York, NY 10103

Integrated Holding Group, L.P.

Sole Member
MillenCo LLC
666 Fifth Avenue, 8th Floor
New York, NY 10103

(Effective at the Opening of Business on January 3, 2007)

Castlewood Securities, LLC
Compass Professional Services LLC
Dansu, Inc.
Equitec-Brown, LLC
Equitec-Furman, LLC
Equitec-Schwartz, LLC
Equitec Group, LLC
Equitec Proprietary Markets, LLC
Equitec Premier, LLC
Equitec RS, LLC
Equitec Structured Products, LLC
Equitec Specialist, LLC
Equitec Trading, LLC
LaRocque Trading, Inc.

Under common control with
Equitec New York, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Compass Professional Services East, LLC

Under common control with
Equitec New York, LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Change in Member Organizations

****AIM Securities Co.**

Aegis Specialist LLC, MillenCo., LLC and MLP Trading Co. LLC became Approved Person Organizations, effective December 29, 2006.

****■BNY Brokerage LLC**

Name changed to BNY ConvergeX Execution Solutions LLC, effective January 2, 2007

****Equitec New York, LLC**

(Admitted as a Regular Member Organization, effective at the opening of business on January 3, 2007)

(“LLC Member” does not signify Exchange Member)

Address: 111 W. Jackson, Suite 2000, Chicago, IL 60604

John P. LaRocque, Member and Allied Member

Daniel B. Asher, Member and Allied Member

Fred O. Goldman, Chief Financial Officer and Allied Member

William J. Shimanek, Compliance Director and Allied Member

Joseph Jogmen, Administrator/Operations and Allied Member

Castlewood Securities, LLC, Approved Person Organization

Compass Professional Services LLC, Approved Person Organization

Dansu, Inc., Approved Person Organization

Equitec-Brown, LLC, Approved Person Organization

Equitec-Furman, LLC, Approved Person Organization

Equitec-Schwartz, LLC, Approved Person Organization

Equitec Group, LLC, Approved Person Organization

Equitec Proprietary Markets, LLC, Approved Person Organization

Equitec Premier, LLC, Approved Person Organization

Equitec RS, LLC, Approved Person Organization

Equitec Structured Products, LLC, Approved Person Organization

Equitec Specialist, LLC, Approved Person Organization

Equitec Trading, LLC, Approved Person Organization

LaRocque Trading, Inc., Approved Person Organization

*Andre Chase, Specialist

*Joseph P. Daguanno, Trader/Specialist

*William S. Nuckols, Trader

****Equitec Proprietary Markets LLC**

*Andre Chase and *Stephen Littman ceased as employees, effective January 3, 2007.

****■Fimat Preferred LLC**

Name changed to Fimat USA LLC, effective January 2, 2007.

****MillenCo LLC**

Integrated Holding Group, L.P. became an Approved Person Organization, effective December 29, 2006.

****Sabre II LLC**

Ceased to be registered as a Regular Member Organization with the transfer of *Arthur I. Steinberg, (Badge #785-A), effective at the opening of business on January 3, 2007.

-
- * Regular Member
 - ** Regular Member Organization
 - Options Principal Member
 - Options Principal Member Organization
 - † Associate Member
 - †† Associate Member Organization
 - # CBOE Member Organization
 - NYSE Member Organization
 - Limited Trading Permit Holder
 - Limited Trading Permit Holder Organization
 - @ Also Employed By Another Firm
 - (§) Sole Proprietor ceased
-

Proposed Transfer of Membership

**Termination of Special Transfer Agreement – Regular
(To Be Effective January 5, 2007)**

Steven A. Abrams* to **B.W. Worthington Associates, Inc.
Retirement Plan**
Wolverine Trading LLC

Steven G. Beck* to **VLL Partners**
STEN Securities L.L.C.

Gregory A. Bieber to **Stacy J. Glass**
MOG Capital L.L.C. Independent

Jon Krug to **S. Jacob Grossman**
Wolverine Trading LLC Independent

Caleb G. Roepe to **Jonathan Schwebel**
Roepe Rosenfeld Trading L.L.C. Independent

Ching Rose to **Biddle W. Worthington, Jr.**
Independent Independent

Andrew Steyn to **John Saer**
Bluefin Trading LLC Independent

(To Be Effective at the Opening of Business on January 8, 2007)

Christian Buck to **Zanzibar Partners, L.P.**
Husky Trading

(To Be Effective January 8, 2007)

William Gillman** to **Estate of Thomas J. Clare**
RET Securities Corp.

(To Be Effective January 9, 2007)

Gene L. Cushman* to **Gordon H. Hensley**
Amerivest Partners LLC Independent

(To Be Effective January 11, 2007)

Jeffrey Komsa to **John D. Greene**
Taylor Execution Service, LLC Independent

Andrew J. Serling* to **Virginia Lopez**
Talking Horse L.L.C. Independent

(To Be Effective at the Opening of Business on January 16, 2007)

David Anderson to **Martin Rebhun**
LaBranche Structured Products LLC Independent

Stuart H. Alpert* to **Yang Water Associates, LLC**
On Point Executions, LLC

Lee C. Levy to **Rosario DiStefano**
HBH Specialists LLC Independent

Brian M. Werner to **Robert Ruberto**
On Point Executions, LLC Independent

Termination of Nominee Authorization and Agreement – Regular

(To Be Effective January 5, 2007)

Michael S. Whitman* to **Stuyvesant Trading Group LLC**
Stuyvesant Trading Group LLC

(To Be Effective at the Opening of Business on January 8, 2007)

James A. Facey, III to **Wolverine Trading LLC**
Wolverine Trading LLC

*Simultaneously transferring to another seat

**Currently a member on another seat

New Memberships

Sale

(To Be Effective January 5, 2007)

B.W. Worthington Associates Inc. Retirement Plan to **Elaine Tuller**
Independent

DMJ LLC to **Michael A. Williams**
Independent

Janney Montgomery Scott LLC to **Michael A. Williams**
Independent

Larkspur Securities Inc. to **Merrill Lynch, Pierce,
Fenner & Smith Incorporated**

Larkspur Securities Inc. to **Merrill Lynch, Pierce,
Fenner & Smith Incorporated**

Stuyvesant Trading Group LLC to **Elisha Rothman**
Independent

VLL Partners to **Israel A. Englander**
Independent

Robert Varkonyi to **Merrill Lynch, Pierce,
Fenner & Smith Incorporated**
Independent

Robert Varkonyi Independent	to	Merrill Lynch, Pierce, Fenner & Smith Incorporated
(To Be Effective January 8, 2007) Estate of Thomas J. Clare	to	Israel A. Englander Independent
(To Be Effective January 11, 2007) Virginia Lopez Independent	to	Alan Rechtschaffen Independent
Ciro J. Scotto Independent	to	Netsak Capital LLC
(To Be Effective at the Opening of Business on January 16, 2007) Mark A. Elkins Independent	to	Allen R. Hochfelder Independent
Martin Rebhun Independent	to	FRMO Corp.
Yang Water Associates, LLC	to	Giffords Capital Development, LLC
Nominee Authorization and Agreement – Regular (To Be Effective at the Opening of Business on January 8, 2007)		
Wolverine Trading LLC	to	Michael Abdelmaseen Trader of Wolverine Trading LLC
Special Transfer Agreement – Regular (To Be Effective January 5, 2007)		
Israel A. Englander Independent	to	Steven G. Beck Trader of STEN Securities L.L.C.
S. Jacob Grossman Independent	to	Milton V. Roges Trader of Wolverine Trading LLC
Jalex L.P.	to	Phillip Meng Trader of Bluefin Trading LLC
Michael A. Williams Independent	to	Tarsha Sanders Trader of Jane Street Trading LLC, Jane Street Capital LLC and Jane Street Specialists LLC
(To Be Effective January 5, 2007) Biddle W. Worthington, Jr. Independent	to	Steven A. Abrams Trader of Wolverine Trading LLC

(To Be Effective at the Opening of Business on January 8, 2007)

Zanzibar Partners, L.P. to **Kirk S. Katzburg**
Commission Broker of
Husky Trading

(To Be Effective January 9, 2007)

Norma Gellman to **Gene L. Cushman**
Independent **House Broker of**
Amerivest Partners LLC

(To Be Effective January 11, 2007)

Boca Partners to **Andrew J. Serling**
Trader of
Talking Horse L.L.C.

(To Be Effective at the Opening of Business on January 16, 2007)

FRMO Corp. to **David Anderson**
Trader of
LaBranche Structured Products LLC

Robert Ruberto to **Stuart H. Alpert**
Independent **Broker of**
On Point Executions, LLC

Use & Proceeds Agreement – Regular

(To Be Effective January 5, 2007)

Michael S. Whitman to **Michael S. Whitman**
Independent **Trader/Specialist of**
Stuyvesant Trading Group LLC and
The Gaussian Group LLC

Current Members – Firm Status Change

Special Transfer Agreement – Regular

(To Be Effective January 11, 2007)

John E. Alter to **John E. Alter**
Specialist **Specialist of**
AGS Specialists LLC
(L. William Alter - Lessor) AGS Specialists II, LLC

Michael L. Ashley to **Michael L. Ashley**
Specialist **Specialist of**
AGS Specialists LLC
(Marvin Seigel – Lessor) AGS Specialists II, LLC

Mary Clark to **Mary Clark**
Broker **Broker of**
Progressive Securities Corp.
(Virginia Ferrari – Lessor) FM Brokerage, LLC

William D. Fallon to **William D. Fallon**
Specialist **Trader/Specialist of**
AGS Specialists LLC
(Steven Jacobus – Lessor) AGS Specialists II, LLC

Sean J. Feeney Trader/Specialist AGS Specialists LLC (Raymond James & Associates, Inc. – Lessor)	to	Sean J. Feeney Trader/Specialist of AGS Specialists II, LLC
Michele M. Figueroa Specialist AGS Specialists LLC (Diane Last – Lessor)	to	Michele M. Figueroa Specialist of AGS Specialists II, LLC
Jarett J. Finkelstein Specialist AGS Specialists LLC (Seneca Investments, G.P. – Lessor)	to	Jarett J. Finkelstein Trader/Specialist of AGS Specialists II, LLC
Shaun Follo Specialist AGS Specialists LLC (Frost Gamma Limited Partnership – Lessor)	to	Shaun Follo Specialist of AGS Specialists II, LLC
Randy T. Garcia Specialist AGS Specialists LLC (Alvin Zilz – Lessor)	to	Randy T. Garcia Trader/Specialist of AGS Specialists II, LLC
Scott R. Grimsley Trader/Specialist AGS Specialists LLC (Anthony Boglioli – Lessor)	to	Scott R. Grimsley Trader/Specialist of AGS Specialists II, LLC
Robert Hill Specialist AGS Specialists LLC (Seneca Investments, G.P. – Lessor)	to	Robert Hill Specialist of AGS Specialists II, LLC
James R. Hyde Specialist AGS Specialists LLC	to	James R. Hyde Trader/Specialist of AGS Specialists II, LLC
Gregory S. Keary Specialist AGS Specialists LLC (James Herr – Lessor)	to	Gregory S. Keary Specialist of AGS Specialists II, LLC
Kristina A. Liu Specialist AGS Specialists LLC (Frost Gamma Limited Partnership – Lessor)	to	Kristina A. Liu Specialist of AGS Specialists II, LLC
Marc J. Liu Specialist AGS Specialists LLC	to	Marc J. Liu Trader/Specialist of AGS Specialists II, LLC
Itay Livni Trader AGS Specialists LLC (Jessica Hackel – Lessor)	to	Itay Livni Trader of AGS Specialists II, LLC

Christopher Matteo Specialist AGS Specialists LLC (Estate of Rosario Ingallinera – Lessor)	to	Christopher Matteo Specialist of AGS Specialists II, LLC
Eric C. Mergenthaler Specialist AGS Specialists LLC (Mark Miller – Lessor)	to	Eric C. Mergenthaler Specialist of AGS Specialists II, LLC
Robert F. Morrongiello Trader/Specialist AGS Specialists LLC (Frost Gamma Limited Partnership – Lessor)	to	Robert F. Morrongiello Trader/Specialist of AGS Specialists II, LLC
Kevin R. O’Neill Trader/Specialist AGS Specialists LLC and Gordon, Haskett Capital Corp. (Allan Gordon – Lessor)	to	Kevin R. O’Neill Trader/Specialist of AGS Specialists LLC and Gordon, Haskett Capital Corp.
Michael Palmedo Specialist AGS Specialists LLC (Kevin Heneghan – Lessor)	to	Michael Palmedo Specialist of AGS Specialists II, LLC
Benjamin Phillips Specialist AGS Specialists LLC (George Reichhelm – Lessor)	to	Benjamin Phillips Trader/Specialist of AGS Specialists II, LLC
Bronson Plocus Specialist AGS Specialists LLC (Richard Schwarzkopf – Lessor)	to	Bronson Plocus Trader/Specialist of AGS Specialists II, LLC
Brandon C. Purcell Specialist AGS Specialists LLC (Miceli-Van Caneghan & Co., Inc. – Lessor)	to	Brandon C. Purcell Specialist of AGS Specialists II, LLC
Andrew Schwarz Trader/Specialist AGS Specialist Partners and AGS Specialists LLC	to	Andrew Schwarz Trader/Specialist of AGS Specialist Partners and AGS Specialists II, LLC
Peter R. Schwarz Trader/Specialist AGS Specialists LLC (Robert Van Caneghan – Lessor)	to	Peter R. Schwarz Trader/Specialist of AGS Specialists II, LLC
Charles C. Soteras Specialist AGS Specialists LLC (John Kelly – Lessor)	to	Charles C. Soteras Specialist of AGS Specialists II, LLC

Edvin Yavarian
Specialist
AGS Specialists LLC
(Debbie Hackel – Lessor)

to

Edvin Yavarian
Specialist of
AGS Specialists II, LLC

Proposed Member Owner Organizations

(To Be Effective January 11, 2007)

Netsak Capital LLC
63 Boathouse Lane
Bayshore, NY 11706
Gwen J. Kasten, Sole Managing Member

(To Be Effective at the Opening of Business on January 16, 2007)

FRMO Corp.
320 Manville Road
Pleasantville, NY 10570
Murray Stahl, Chairman
Steven Bregman, President
Peter Doyle, Secretary

Proposed Allied Members

(To Be Effective January 11, 2007)

Gwen J. Kasten
Sole & Managing Member of
Netsak Capital LLC
63 Boathouse Lane
Bayshore, NY 11706

George Reichhelm
Co-Managing Member of
AGS Specialists II, LLC
One World Financial Center, 26th Floor
New York, NY 10281

Andrew Schwarz
Co-Managing Member of
AGS Specialists II, LLC
One World Financial Center, 26th Floor
New York, NY 10281

John S. Stafford, III
Chief Executive Officer and President of
Ronin Capital LLC
230 S. LaSalle Street, 4th Floor
Chicago, IL 60604

(To Be Effective at the Opening of Business on January 16, 2007)

Steven Bregman
President of
FRMO Corp.
320 Manville Road
Pleasantville, NY 10570

Peter Doyle
Secretary of
FRMO Corp.
320 Manville Road
Pleasantville, NY 10570

Murray Stahl
Chairman of
FRMO Corp.
320 Manville Road
Pleasantville, NY 10570

Proposed Approved Person Organizations

(To Be Effective January 11, 2007)

AGS Specialist Partners, LLC
Member of
AGS Specialists II, LLC
World Financial Center, 26th Floor
New York, NY 10281

Dart Executions, LLC
Irish National Investments, Ltd.
TPG Global, LLC
Under Common Control With
AGS Specialists II, LLC
World Financial Center, 26th Floor
New York, NY 10281

Reichhelm SJ Co.
Schwarz Jr. Co. Inc.
Under Common Control With
AGS Specialists II, LLC
World Financial Center, 26th Floor
New York, NY 10281

Ronin Capital, LLC
Member of
AGS Specialists II, LLC
World Financial Center, 26th Floor
New York, NY 10281

(To Be Effective at the Opening of Business on January 16, 2007)

Horizon Asset Management
Under Common Control With
FRMO Corp.
320 Manville Road
Pleasantville, NY 10570

Proposed Member Organization

(To Be Effective January 11, 2007)

AGS Specialists II, LLC
(To be admitted as a Regular Member Organization)
(LLC Member does not signify “Exchange Member”)
Address: One World Financial Center, 26th Floor, New York, NY 10281
Ronin Capital, LLC, Member
AGS Specialist Partners, LLC, Member
George Reichhelm, Co-Managing Member
Andrew Schwarz, Co-Managing Member

Any information you may have which would be pertinent to consideration of the applicants by the Exchange should be promptly reported to the Membership and Registration Department at 212-306-1419.

Current Reports Made to the Exchange

Member's attention is called to the fact that the following reports are made to the Exchange within the coming week:

		Due on or Before
1-RA (Members and Member Organizations Weekly report of transactions for accounts for the week ending Friday January 5, 2007)	Fri.	Jan. 12

1-S (Weekly report of Friday, January 5, 2007)	Fri.	Jan. 12
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SEC Registration Fee - Member Organizations ASECC Division of NSCC Report of settled monthly sales for stocks, rights and warrants filed no later than 10:30a.m.	Wed.	Jan. 10
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Report – To NASD Amex Regulation Division - Financial Regulation Dept. Due on or Before

This request for reports is issued on behalf of the American Stock Exchange LLC (Amex) by the Financial Regulation Dept. of the NASD Amex Regulation Division pursuant to a grant of authority to the NASD. Accordingly, this constitutes a request for reports by the Amex.

<u>Web FOCUS Report Part II Quarterly and Schedule I</u> - Member Organizations carrying customers and/or self-clearing are required to file FOCUS Report Part II Quarterly and Schedule I by the 17th business day after quarter-end.	Fri.	Jan. 26
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<u>Web FOCUS Report Part IIA Quarterly and Schedule I</u> - Member Organizations and Sole Proprietor broker-dealers subject to the net capital rule but not carrying customers and/or self-clearing are required to file FOCUS Report Part IIA Quarterly and Schedule I by the 17th business day after quarter-end.	Fri.	Jan. 26
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<u>Web FOCUS Report Part IIA Quarterly Short and Schedule I</u> - Member Organizations and Sole Proprietor broker-dealers exempt from the net capital rule are required to file FOCUS Report Part IIA Quarterly Short and Schedule I by the 17th business day after quarter-end.	Fri.	Jan. 26
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<u>ITSFEA Forms 1 and 2</u> - Member Organizations and Sole Proprietor broker-dealers subject to Web FOCUS filing requirements must also file these Insider Trading and Securities Fraud Enforcement Act of 1988 hard copy reports by the 17th business day after year-end.	Fri.	Jan. 26
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<u>MO-14 Statement of Specialist Profit and Loss</u> - Specialist Units must file by the 17th business day after quarter-end.	Fri.	Jan. 26
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<u>MO-15 Report of Income by Specialty Security</u> - Specialist Units must file by the 17th business day after quarter-end.	Fri.	Jan. 26
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<u>Independent Audit Reports required by SEC Rule 17a-5</u> - Member Organizations and Sole Proprietor broker-dealers subject to independent audit requirements are required to file the reports by the 60th calendar day after their audit year-end. Those having a Dec. 31, 2006 independent audit must file by Mar. 1, 2007.	Thu.	Mar. 1
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All terminating Amex-designated Member Organizations and Sole Proprietor broker-dealers are required to file an SEC Rule 17a-5(b) Web FOCUS Report Part II Withdrawal or IIA Withdrawal. Use the Web FOCUS Blank Forms tab to access the appropriate form.

Web FOCUS Users experiencing access problems with Web FOCUS should contact the **Gateway Call Center @ 301-869-6699** for assistance.

Please contact the NASD Amex Regulation Division - Financial Regulation Dept., One Liberty Plaza, 51st Floor – Robert Devine 212-858.4448 regarding Web FOCUS entitlement procedures, MO-14 statement, or MO-15 report. Other questions regarding financial reporting should be directed to your FRD examiner.

Please refer to Amex Notice REG 2006–55 dated Oct. 26, 2006 for additional information about filing reports with the Financial Regulation Dept. This Notice is posted on the website at <http://www.amex.com/amextrader/tdrInfo/data/axNotices/2006/reg102606.html>.

Equities Mid-Month Short Interest Schedule 2007

Trade Date	Settlement Date	Report Due	Report Published
(Tuesday) January 9	(Friday) January 12	(Wednesday) January 17 – 1:00 p.m. EST	(Friday) January 19

Derivatives (End-of-Month) Short Interest Schedule 2007

Trade Date	Settlement Date	Report Due	Report Published
(Friday) January 26	(Wednesday) January 31	(Thursday) February 1 – 1:00 p.m. EST	(Monday) February 5

The List

This information can be found on the Web. In order to retrieve this information, go to <http://www.amextrader.com> and from the home page click the Daily List button. At the Daily List home page scroll down to Amex issues and select the view link for the current date. Should you have any questions please call (212) 306-2438.

The Following Securities Have Been Approved for Listing:

PowerShares DB Multi-Sector Commodity Trust 1,000,040 shares of PowerShares DB Agriculture Fund
PowerShares DB Multi-Sector Commodity Trust 1,000,040 shares of PowerShares DB Base Metals Fund
PowerShares DB Multi-Sector Commodity Trust 1,000,040 shares of PowerShares DB Energy Fund
PowerShares DB Multi-Sector Commodity Trust 1,000,040 shares of PowerShares DB Oil Fund
PowerShares DB Multi-Sector Commodity Trust 1,000,040 shares of PowerShares DB Precious Metals Fund
PowerShares DB Multi-Sector Commodity Trust 1,000,040 shares of PowerShares DB Silver Fund
PowerShares DB Multi-Sector Commodity Trust 1,000,040 shares of PowerShares DB Gold Fund
Transforma Acquisition Group Inc. 36,093,747 shares of Common Stock, Par Value \$.0001
Transforma Acquisition Group Inc. 17,750,000 Warrants, expiring December 19, 2010
Westfield Financial, Inc. Common Stock, Par Value \$.01 (See “Additional & Substitution Listings”)
Zion Oil & Gas, Inc. 436,907 shares of Common Stock, Par Value \$.01

Additional & Substitution Listings:

iLinc Communications Inc., 100,000 Shares of Common Stock, \$0.001 Par Value

Kitty Hawk Inc., 2,000,000 Shares of Common Stock, \$0.000001 Par Value

Gastar Exploration Ltd., 5,000,000 Shares of Common Stock, No Par Value

Emerson Radio Corp., 250,000 Shares of Common Stock, \$0.01 Par Value

Almaden Minerals Ltd., 344,849 Shares of Common Stock, \$0.01 Par Value

Westfield Financial Inc., Second Step Conversion (Substitution), \$0.01 Par Value

Abraxas Petroleum Corp., 6,090,565 Shares of Common Stock, \$0.01 Par Value

The Following Securities Will be Admitted to Listing and Registration at a Date to be Announced:

****Builder Acquisition Corp.**

Units

Symbol: BAQ.U

Post: *

Note: Each unit consists of one (1) share of Common Stock & one (1) Warrant.

***To be announced**

****Subject to prior effectiveness of a 1933 and/or 1934 Act Registration Statement filed with the Securities and Exchange Commission.**

Change in Terms:

Transforma Acquisition Group Inc. Jan. 5

Units

Symbol: TAQ.U

Post: 2

Note: Effective January 5, 2007, units may be separated into the components, or recombined, at the option of the holder, separation is voluntary NOT mandatory. Each unit consists of one (1) share of common stock & one (1) warrant.

Removed from Listing and Registration:

Regarding transactions in securities removed for reasons other than the transfer of listing to other market, members and member organizations are reminded of the provisions of Exchange Rule 462(d)1 when determining the value to place upon those securities for margin purposes. Any purchase or sale of a security which has been removed by the Exchange may be subject to Federal regulation as well as the rules of the other market(s) where the purchase or sale is to take place. Members should be aware of the applicability of Rule 15c2-11 under the Securities Exchange Act of 1934.

Smart Move, Inc. Jan. 3

Units

Symbol: MVE.U

Post: 1

Note: Suspended since December 20, 2006. Mandatory unit separation, each unit consists of one (1) share of common stock and one (1) warrant.

Adcare Health Systems Inc Jan. 3

Units

Symbol: ADK.U

Post: 10

Note: Suspended since December 21, 2006. Mandatory unit separation, each unit consists of two (2) shares of common stock and two (2) warrants.

Blachem Corp. Jan. 3

Common Stock, Par Value \$.06-2/3

Symbol: BCP

Post: 7

Note: Suspended since December 22, 2006. Transfer to NASDAQ.

Suspended from Trading:

Regarding transactions in securities suspended for reasons other than the transfer of listing to other market, members and member organizations are reminded of the provisions of Exchange Rule 462(d)1 when determining the value to place upon those securities for margin purposes. Any purchase or sale of a security which has been suspended by the Exchange may be subject to Federal regulation as well as the rules of the other market(s) where the purchase or sale is to take place. Members should be aware of the applicability of Rule 15c2-11 under the Securities Exchange Act of 1934.

Wachovia Corporation Jan. 3
9% Enhanced Yield Securities Linked to the Common Stock of Halliburton Co. maturing December 30, 2006
Symbol: WDB.V Post: 10
Note: Open orders were canceled. Matured December 30, 2006.

Wachovia Corporation Jan. 3
13.5% Enhanced Yield Securities Linked to the Common Stock of Chesapeake Energy Corp. maturing December 30, 2006
Symbol: WDB.W Post: 10
Note: Open orders were canceled. Matured December 30, 2006.

Viceroy Exploration Ltd Jan. 4
Common Stock, Without Par Value
Symbol: XVE Post: 5
Note: Open orders were canceled. Merged with Yamana Gold Inc. at 0.97 of a share of Yamana (AUY) per share XVE.

Westfield Financial, Inc. Jan. 4
Common Stock, Par Value \$.01
Symbol: WFD Post: 10
Note: Open orders were canceled. Plan of conversion, Westfield Financial (WFD-Old) will be converted into 3.28138 shrs of "New Westfield Financial" (WFD.WI-new) per shr (WFD Old). Westfield Mutual Holding Co. merged into Westfield Bank, Westfield Financial merged into Westfield Bank, and was succeeded by New Westfield Financial. Stockholders at the time of the conversion will own approximately the same percentage of "New" Westfield Financial after the conversion as was held of Westfield Financial ("Old") immediately prior thereto, with the exception of cash being paid in lieu of fractional shares. After the completion of the conversion the name New Westfield Financial, Inc. will be changed to Westfield Financial, Inc. See "Admitted to Listing" for WFD.WI. (New).

Citigroup Funding Inc. Jan. 5
Philadelphia Oil Service Sector Index PACERS, maturing December 22, 2008
Symbol: CFO.CL Post: 1
Note: Open orders were canceled. Called for redemption, open of business, January 5, 2007 at \$10.00 call price plus \$1.20 call premium.

Admitted to Listing and Registration:

Zion Oil & Gas, Inc. Jan. 3
Common Stock, Par Value \$.01
Symbol: ZN Post: 10

Westfield Financial, Inc. When Issued Jan. 4
Common Stock, Par Value \$.01
Symbol: WFD.WI Post: 10
Note: New Westfield Financial, Inc. renamed Westfield Financial, Inc. See "Suspended from Trading" for Westfield Financial (WFD-Old). New CUSIP issued.

PowerShares DB Multi-Sector
Commodity Trust Jan. 5
PowerShares DB Agriculture Fund
Symbol: DBA Post: 19
Note: Trading Hours: 9:30 a.m.-4:15 p.m. ET.

PowerShares DB Base Metals Fund
Symbol: DBB Post: 19
Note: Trading Hours: 9:30 a.m.-4:15 p.m. ET.

PowerShares DB Energy Fund
Symbol: DBE Post: 19
Note: Trading Hours: 9:30 a.m.-4:15 p.m. ET.

PowerShares DB Oil Fund
Symbol: DBO Post: 25
Note: Trading Hours: 9:30 a.m.-4:15 p.m. ET.

PowerShares DB Precious Metals Fund
Symbol: DBP Post: 19
Note: Trading Hours: 9:30 a.m.-4:15 p.m. ET.

PowerShares DB Silver Fund
Symbol: DBS Post: 19
Note: Trading Hours: 9:30 a.m.-4:15 p.m. ET.

PowerShares DB Gold Fund
Symbol: DGL Post: 19
Note: Trading Hours: 9:30 a.m.-4:15 p.m. ET.

Transforma Acquisition Group Inc. Jan. 5
Common Stock, Par Value \$.0001
Symbol: TAQ Post: 2

Warrants, expiring December 19, 2010
Symbol: TAQ.WS Post: 2
Note: Each warrant entitles the holder to purchase one (1) share of common stock (TAQ) at \$5.50 per warrant. Each warrant will become exercisable on the later of the completion of a business combination or December 19, 2007.

To be Suspended from Trading:

PS Business Parks, Inc. Jan. 29
Depository Shares representing 1/1,000 of a share of 8.75% Series
F Cumulative Preferred Stock. Par Value \$.01
Symbol: PSB.PR.F.CL Post: 1
Note: Called for redemption January 29, 2007 at \$25.00 redemption price plus accrued dividends.

Name and Symbol Change:

Jan. 4
Cognitronics Corp. Common Stock, Par Value \$.20 Symbol: CGN to ThinkEngine Networks, Inc. Symbol:
THN

Registered Interest

<u>Name of Company</u>	<u>Record Date</u> <u>(New York unless stated otherwise)</u>
Interest Due November 1	
Thermo Electron Corp. (3/14% Convertible Subordinated Debentures, due 11/1/07)	Oct. 15
Wachovia Corporation (9.75% Sunoco, Inc. Trigger CAPITALS, due 11/1/06)	Oct. 17
(13% Google Inc. Enhanced Yield Securities, due 2/1/07)	Oct. 17
Interest due November 10	
Merrill Lynch & Co., Inc. (0.25% Time Warner Inc. Callable & Exchangeable Stk link Notes, due 5/10/06)	Oct. 25
Interest due November 15	
Wachovia Corporation (9.375% Transocean Enhanced Yield Secs, due 5/15/07)	Oct. 31
(11.25% Toll Brothers Enhanced Yield Secs, due 5/15/07)	Oct. 31

Interest due November 27

Bank of America (1% Basket CYCLES linked to a 70/30 Basket of Four Indices & 1 ETF, due 5/27/10)	Nov. 12
(1.5% S&P 500 Capital Protect Equity Performance Notes, due 11/26/2010)	Nov. 1

Interest due November 28

Merrill Lynch & Co., Inc. (1% McDonald's Convertible Exchangeable Securities, due 5/28/09)	Nov. 13
Bear Stearns Companies, Inc. (1.5% S&P 500 Principal Protected Notes, due 11/30/09)	Nov. 15

Interest due November 29

Allstate Life Global Funding (4.50% Secured Medium Term Notes, due 5/29/09)	Nov. 14
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Interest due December 1

Wachovia Corporation (8.25% Newmont Mining Enhanced Yield Secs, due 12/1/06)	Nov. 16
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Interest due December 12

Wachovia Corporation (10.25% Valero Energy Corp. Enhanced Yield Securities, due 3/12/07)	Nov. 27
(14% Advanced Micro Devices Enhanced Yield Securities, due 3/12/07)	Nov. 27

Interest due December 15

Bond Trust Products LLC (Bond Trust Products Trust Pass-Through Trust Certificates, due 6/15/2010)	Dec. 14
Stater Bros. Holdings Inc. (Floating Rate Notes, due 6/15/10)	Dec. 1
(8 1/8% Senior Notes, due 6/15/12)	Dec. 1

Wachovia Corporation (.25% Basket of Common Stocks Exchangeable Notes, due 12/15/10)	Nov. 30
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Interest due December 22

CIBC World Markets (Basket of 10 Large-Cap Stocks Principal Protected Notes, due 12/22/10)	Dec. 21
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Interest due December 26

CIBC World Markets (Ten Large-Cap U.S. Stocks MERITS, due 12/26/12)	Dec. 25
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Interest due December 27

Bank of America (1.25% Basket CYCLES Linked to a "70/30" Basket of Four Indices and 1 ETF, due 12/27/10)	Dec. 12
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Interest due December 28

Bank of America (S&P 400 MidCap Index CYCLES, due 12/28/10)	Dec. 1
(1.5% Healthcare Stocks Capital Protected Equity Performance Link Securities., due 12/20/11)	Dec. 13

Interest due December 30

Morgan Stanley (2% 3M Co. Exchangeable Notes, due 12/30/10)	Dec. 15
(1.25% General Electric Exchangeable Notes, due 12/30/08)	Dec. 15
(1.5 % Wal-Mart Stores Exchangeable Notes, due 6/30/11)	Dec. 15

Interest due January 2

Hawk Corporation (8 3/4% Senior Notes, due 11/1/14)	Dec. 15
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Wachovia Corporation (9% Halliburton Co. Enhanced Yield Secs, due 12/30/06)	Dec. 15
(13.5% Chesapeake Energy Enhanced Yield, due 12/30/06)	Dec. 15

Interest due January 7

Merrill Lynch & Co., Inc (.25% Wells Fargo & Co. Stock-Linked Notes –1/7/08)	Dec. 23
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Interest Due January 10

Wachovia Corporation (19.25% General Motors Enhanced Yield Secs, due 7/10/07)	Dec. 26
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Interest due January 15

CBS Corporation. (7.625% Senior Debentures-2016)	Jan. 1
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Interest due January 20

Wachovia Corporation (10% Consol Energy Inc. Enhanced Yield Securities, 4/20/07)	Jan. 5
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Interest due January 26

Bank of America (0.25% Nasdaq-100 Cash Settled Exchangeable Notes, due 1/26/10)	Jan. 11
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Interest due January 29

Bank of America (1% Healthcare Basket Index "CYCLES", due 1/28/11)	Jan. 1
(1.50% Basket CYCLES linked to an "80/20" Basket of Four Indices & 1 ETF, due 7/29/11)	Jan. 14

Interest due February 1

Chandler (USA), Inc. (8 3/4% Senior Debentures, due 7/1/14)	Jan. 15
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Wachovia Corporation (13% Google Inc. Enhanced Yield Securities, due 2/1/07)	Jan. 17
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Interest due February 14

CIBC World Markets (10 Large-Cap U.S. Stock Basket Yield Generator Notes, due 2/14/11)	Feb. 13
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Interest due February 15

Wachovia Corporation (11.25% Toll Brothers Enhanced Yield Secs, due 5/15/07)	Jan. 31
(9.375% Transocean Enhanced Yield Secs, due 5/15/07)	Jan. 31

Interest due February 22

Citigroup Global Markets Holdings, Inc. (3% Pfizer Exchangeable Notes, due 8/22/08)	Feb. 21
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Interest due February 26

Bank of America	
(1.25% SPX Index CYCLES, due 2/24/10)	Feb. 9
(1.25% DJIA Index CYCLES, due 8/25/10)	Feb. 10

List of Bonds Dealt in “Flat”

Traded Flat from Listing Date

ABN AMRO	SHH.A (S&P 500 Structured Hybrid Equity link Secs-1/16/14)
American Corporate Accruals, Inc.	(Callable Principal Receipts-2024)
Bank of America Corp.	BOA.C (S&P 500 linked Notes-7/2/07)
Bank of America Corp.	BOA.D (Nasdaq-100 EAGLES-6/1/10)
Bank of America Corp.	BOA.E (S&P 500 EAGLES- 6/28/10)
Bank of America Corp.	BOA.F (Nikkei 225 6% Min Return linked Notes-6/24/10)
Bank of America Corp.	BOA.G (16 Energy Stk linked EAGLES-8/2/10)
Bank of America Corp.	BOA.H (Russell 2000 EAGLES-8/28/09)
Bank of America Corp.	BOA.I (DJIA Minimum Return EAGLES-9/25/09)
Bank of America Corp.	BOA.J (Nasdaq-100 EAGLES-10/29/10)
Bank of America Corp.	BOA.M (Nikkei 225 Return Linked Notes-6/28/10)
Bank of America Corp.	BOA.O (Russell 2000 EAGLES-1/28/11)
Bank of America Corp.	BOA.R (Nasdaq-100 EAGLES-3/24/09)
Bank of America Corp.	BOA.U (EAGLES linked to the DJIA-6/25/10)
Bank of America Corp.	BOA.W (Amex Exch Biotechnology Index EAGLES-8/28/09)
Bank of America Corp.	BOA.Z (Energy Stocks EAGLES-9/29/10)
Bank of America Corp.	BOR.A (S&P 500 EAGLES-10/29/10)
Bank of America Corp.	BOR.B (Nasdaq-100 Index EAGLES-11/23/10)
Bank of America Corp.	BOR.C (CBOE China Index EAGLES-11/24/10)
Bank of America Corp.	BOR.F (DJIA EAGLES-3/25/11)
Bank of America Corp.	BOR.I (Basket of 3 Indices Return Linked Notes-8/26/10)
Bank of America Corp.	BOR.J ("80/20" Basket of Four Indices Return Link Notes-6/27/11)
Bank of America Corp.	BOR.K (S&P 500 EAGLES-7/29/10)
Bank of America Corp.	BOR.L (Return link notes linked to a basket of two Indices-1/28/11)
Bank of America Corp.	BOR.M (Index EAGLES Linked to the DJIA-8/26/10)
Bank of America Corp.	BOR.N (Dow Jones EURO STOXX 50 Return Link Notes-8/25/11)
Bank of America Corp.	BOR.O (S&P 500 Index EAGLES-10/3/11)
Bank of America Corp.	BOR.P (Amex Biotechnology Index EAGLES-10/28/11)
Bank of America Corp.	BOR.Q (Basket of Three Indices Return Link Notes-10/27/11)
Bank of America Corp.	BOR.R (Basket of Two Indices Return Link Notes-11/22/10)
Bank of America Corp.	BOR.S (Basket of Five EAGLES-11/23/11)
Bank of America Corp.	BOR.T (DJIA Index EAGLES -12/27/11)
Bank of America Corp.	BOR.U (Basket of 3 Indices Return Link Notes-12/29/11)
Bear Stearns & Co. Inc.	BYF.A (U.S. Sector ETFs Principal Protect Notes-2/5/08)
Bear Stearns & Co. Inc.	BYF.B (S&P 500 Principal Protect Notes-10/1/08)
Bear Stearns & Co. Inc.	BYF.C (NASDAQ-100 Principal Protect Notes-12/22/09)
Bear Stearns & Co. Inc.	BYF.D (DJIA Principal Protect Notes-3/23/11)
Bear Stearns & Co. Inc.	BYF.F (Three Intl Indices Medium Term Notes-8/2/10)
Canadian Imperial Bank of Commerce	MRS.A (S&P 500 linked Notes-7/30/10)
Canadian Imperial Bank of Commerce	MRS.B (CIBC 10 U.S. Stks Optimizer Notes-1/30/09)
Canadian Imperial Bank of Commerce	MRS.C (CIBC 10 U.S. Stks Optimizer Notes-3/5/09)
Canadian Imperial Bank of Commerce	MRS.D (CIBC 10 U.S. Stks Optimizer Notes-3/31/09)
Canadian Imperial Bank of Commerce	MRS.E (CIBC 10 U.S. Stks Optimizer Notes-4/30/09)
Canadian Imperial Bank of Commerce	MRS.F (S&P 500 MERITS-6/30/11)
Canadian Imperial Bank of Commerce	MRS.G (CIBC 10 U.S. Stks Optimizer Notes-6/30/09)
Canadian Imperial Bank of Commerce	MRS.H (NASDAQ-100 MERITS-8/1/11)
Canadian Imperial Bank of Commerce	MRS.I (DJIA MERITS-8/31/11)
Canadian Imperial Bank of Commerce	MRS.J (S&P 500 Principal Protected Notes-3/31/09)

Canadian Imperial Bank of Commerce	MRS.K (DJIA MERITS-1/30/09)
Canadian Imperial Bank of Commerce	MRS.M (S&P 500 Index linked Notes-12/31/08)
Canadian Imperial Bank of Commerce	MRS.O (Global Indices Basket linked Notes-9/18/08)
Canadian Imperial Bank of Commerce	MRS.S (S&P 500 Principal Protected Notes-6/15/10)
Canadian Imperial Bank of Commerce	MRS.U (Global Basket of Three Equity Indices -7/29/10)
Citigroup Global Market Holdings Inc.	NDG.A (Nasdaq-100 Principal Protect Notes-12/4/07)
Citigroup Global Market Holdings Inc.	SCW.A (S&P 500 Principal Protect Notes-10/22/07)
Credit Suisse (USA), Inc.	IPJ.A (S&P 500 Five Year Contingent Protect Secs-9/30/08)
Credit Suisse (USA), Inc.	IPJ.B (S&P 500 Five Year Contingent Protect Secs-11/26/08)
Goldman Sachs Group, Inc. (The)	GSD.B (S&P 500 linked Notes-8/7/11)
Goldman Sachs Group, Inc. (The)	GSN.B (S&P 500 Medium Term Notes-2/28/13)
Goldman Sachs Group, Inc. (The)	GSN.C (S&P 500 Medium Term Notes-4/18/13)
Goldman Sachs Group, Inc. (The)	GSN.D (S&P 500 Medium Term Notes-5/30/13)
International Finance Corp. (The)	IFA.A (S&P 500 Principal Protect Notes-2/8/07)
JP Morgan Chase & Co.	JPL.A (Consumer Price Index Secs-1/15/10)
JP Morgan Chase & Co.	JPL.A (S&P 500 linked Notes-11/26/07)
JP Morgan Chase & Co.	JPL.B (S&P 500 Market Participation Notes-3/12/08)
JP Morgan Chase & Co.	JPL.C (Cap Qtr Observation Notes-9/22/08)
JP Morgan Chase & Co.	JPL.D (S&P 500 Cap Qtr Observation Notes-10/30/08)
JP Morgan Chase & Co.	JPL.E (S&P 500 Cap Qtr Observation Notes-1/21/09)
JP Morgan Chase & Co.	JPL.F (S&P 500 Mkt Participation Notes-3/31/09)
JP Morgan Chase & Co.	JPL.G (S&P 500 Cap Qtr Observation Notes-7/7/09)
JP Morgan Chase & Co.	JPL.H (S&P 500 Cap Qtr Observation Notes-9/21/09)
JP Morgan Chase & Co.	JPL.I (S&P 500 Principal Protect Notes-9/30/10)
Lehman Brothers Holdings Inc.	LBN.A (Dow Jones EUROSTOXX 50 Index-7/7/08)
Lehman Brothers Holdings Inc.	LBN.B (Dow Jones EURO STOXX 50 Index-7/29/08)
Lehman Brothers Holdings Inc.	LSQ.B (DJIA PrincipalPlus SUNS-8/5/07)
Lehman Brothers Holdings Inc.	LSQ.C (DJIA SUNS-4/29/10)
Lehman Brothers Holdings Inc.	LSQ.D (Nikkei 225 SUNS-6/10/10)
Lehman Brothers Holdings Inc.	PSZ.C (S&P 500 SUNS-8/5/08)
Lehman Brothers Holdings Inc.	PSZ.D (S&P 500 SUNS-9/27/07)
Lehman Brothers Holdings Inc.	PSZ.E (S&P 500 Callable SUNS-11/6/09)
Lehman Brothers Holdings Inc.	PSZ.F (DJ Global Titans Index SUNS-2/9/10)
Lehman Brothers Holdings Inc.	RLN.C (Nasdaq-100 Rebound RANGERS-5/20/07)
Lehman Brothers Holdings Inc.	RLN.D (Nasdaq-100 Rebound RANGERS-6/7/08)
Lehman Brothers Holdings Inc.	RLN.E (S&P 500 linked Notes-9/28/09)
Lehman Brothers Holdings Inc.	RLN.G (DJ STOXX 50 linked Notes-11/15/09)
Lehman Brothers Holdings Inc.	RLN.H (Russell 2000 Index linked Notes-12/23/09)
Lehman Brothers Holdings Inc.	RLN.I (S&P 500 Index-Plus Notes-3/3/10)
Merrill Lynch	COD.A (Coca-Cola Co Exchangeable Conv Secs-9/30/08)
Merrill Lynch	EXO.A (Exxon Mobile Exchangeable Conv Secs-10/3/08)
Morgan Stanley	BSN.A (3 stks Sr Exchangeable Debt-12/30/08)
Morgan Stanley	ITM.A (Intel Stk Participation Notes-12/30/10)
Morgan Stanley	JMS.A (S&P 500 Callable Notes-12/30/08)
Morgan Stanley	MRW.A (S&P 500 Mkt Participation Secs-12/30/10)
Morgan Stanley	MWT.A (Wal-Mart Stk Participation Notes-9/15/10)
PMA Capital Corporation	PMK (8.5% Monthly Income Sr Notes-6/15/18)
UBS AG	PPV.C (Russell 2000 Principal Protect Notes-4/30/09)
UBS AG	PPV.E (DJIA Principal Protect Notes-5/29/09)
UBS AG	PPV.G (S&P 500 Principal Protect Notes-11/7/07)
UBS AG	PPV.H (S&P 500 Principal Protect Notes-12/7/07)
UBS AG	PPV.I (U.S. Equity Indices Principal Protect Notes-10/7/11)
UBS AG	PPV.J (DJIA Principal Protect Notes-2/7/08)
UBS AG	PPV.K (S&P 500 Principal Protect Notes-9/8/10)
UBS AG	PPV.L (S&P 500 Principal Protect Notes-4/8/10)
UBS AG	PPV.M (S&P 500 Principal Protect Notes-10/7/09)

UBS AG	PPV.N (S&P 500 Principal Protect Notes-5/7/10)
UBS AG	PPV.O (S&P 500 Principal Protect Notes-6/7/10)
UBS AG	PPV.P (S&P 500 Principal Protect Notes-7/8/10)
UBS AG	PPV.Q (S&P 500 Principal Protect Notes-8/6/10)
UBS.AG	PPV.R (S&P 500 Principal Protect Notes-9/8/09)
UBS AG	PPZ.A (S&P 500 Partial Protect Notes-11/05/07)
UBS AG	PPZ.B (S&P 500 Partial Principal Protect Notes-2/28/08)
UBS AG	PPZ.C (S&P 500 Partial Principal Protect Notes-11/5/10)
Wachovia Corporation	WDB.B (Nikkei 225 ASTROS-3/2/10)
Wachovia Corporation	WDB.D (S&P 500 linked to Trigger CAPITALS-12/8/08)
Wachovia Corporation	WDB.E (Global Basket of Indices ASTROS-2/2/10)
Wachovia Corporation	WDB.I (Global Equity Basket ASTROS-5/5/10)
Wachovia Corporation	WDB.M (Metals-China Basket ASTROS-1/28/09)
Wachovia Corporation	WDB.R (Nikkei 225 Index LUNARS-4/30/07)
Wachovia Corporation	WTY.A (4.5% U.S. Treasuries Principal Protect Notes-6/6/07)
Wells Fargo & Company	WFG.A (S&P 500 linked Notes-1/4/08)
Wells Fargo & Company	WFG.B (Nasdaq-100 linked Notes-1/4/08)
Wells Fargo & Company	WFG.C (Basket linked Notes-4/15/09)
Wells Fargo & Company	WFG.D (DJIA High Point Average linked Notes-5/5/10)
Wells Fargo & Company	WFG.F (S&P 500 Callable Notes-8/25/09)

Dividends

The ex-dividend dates have been established pursuant to the provisions of Rule 830 of the Board of Governors.

Attention is directed to the fact that stocks which are also dealt in on other exchanges may have different ex-dividend dates on such out-of-town exchanges since ex-dividend dates may vary in relationship to the delivery plan under which an exchange operates, and its proximity to the transfer office.

NORMAL EX-DIVIDEND DATES FOR RECORD DATES SPECIFIED

<u>Record</u>	<u>Ex-Date</u>	<u>Record</u>	<u>Ex-Date</u>	<u>Record</u>	<u>Ex-Date</u>
Jan. 8	Jan. 4	Jan. 11	Jan. 9	Jan. 14	Jan. 10
Jan. 9	Jan. 5	Jan. 12	Jan. 10	Jan. 15	Jan. 10
Jan. 10	Jan. 8	Jan. 13	Jan. 10	Jan. 16	Jan. 11

Dividends announced for January 3-January 5, 2007 can be viewed on the Dividend Daily list homepage on amextrader.com; click on [Dividends Daily List](#) to view the Dividends Daily List.

Please call the Corporate Actions/Proxy Rulings Department at 212-306-2438 with any questions.

Meetings of Stockholders

Members should, insofar as possible without additional expense, transfer certificates of stock held in persons or firms over whom they have no control into their own names, or those of persons over whom they have control, before the record date for determining stockholders entitled to vote.

As a guide to Member Organizations in giving proxies pursuant to Rule 577 to vote stock held for the account of customers the following symbols are used in the list of meetings below:

- V = Preceding Record Date indicates Members MAY vote the entire proxy under the Ten Day Rule.
- X = Together with numbers or letters indicates that Members MAY NOT vote the designated matters without specific instructions from owners. Numbers or letters shown are those used in the PROXY FORM.
- X = With no other designation indicates that Members MAY NOT vote the entire proxy.

NP = Indicates that proxies are not being solicited.
 The following abbreviations are used for items not numbered or lettered in the proxy form:
 SP = Stockholder Proposal(s) BY = By-Law Amendment
 OP = Option Plan CH = Charter Amendment
 STP = Stock Purchase Plan MP = Merger Proposal
 CP = Compensation Plan

Where no symbol appears, proxy material has not yet been received.

<u>Name of Company</u>		<u>Record</u>			<u>Meeting</u>	
Allied Defense Group, Inc. (The)		Dec.	20	A	Jan.	25
* Ascendia Brands, Inc.	X-3-4-5	Dec.	29	A	Feb.	14
Bancroft Fund Ltd.	V	Dec.	20	A	Feb.	12
Barnwell Industries, Inc.		Jan.	8	A	Mar.	5
* Chase Corporation	V	Nov.	30	A	Feb.	5
Commerce Energy Group, Inc.	V	Dec.	6	A	Jan.	25
* Competitive Technologies, Inc.	Note: (1) X	Nov.	20	A	Jan.	16
Consolidated-Tomoka Land Co.		Mar.	1	A	Apr.	25
Continucare Corporation		Jan.	2	A	Feb.	7
Credit Suisse High Yield Bond Fund		Dec.	22	A	Feb.	15
Cubic Corporation		Jan.	5	A	Feb.	20
Eagle Broadband, Inc.	X-2	Nov.	24	A	Jan.	23
Eaton Vance Limited Duration Income Fund		Dec.	18	A	Feb.	23
Eaton Vance California Municipal Income Trust		Jan.	18	A	Mar.	23
Eaton Vance Florida Municipal Income Trust		Jan.	18	A	Mar.	23
Eaton Vance Massachusetts Municipal Income Trust		Jan.	18	A	Mar.	23
Eaton Vance Michigan Municipal Income Trust		Jan.	18	A	Mar.	23
Eaton Vance New Jersey Municipal Income Trust		Jan.	18	A	Mar.	23
Eaton Vance New York Municipal Income Trust		Jan.	18	A	Mar.	23
Eaton Vance Ohio Municipal Income Trust		Jan.	18	A	Mar.	23
Eaton Vance Pennsylvania Municipal Income Trust		Jan.	18	A	Mar.	23
Ecology and Environment, Inc.	V	Dec.	4	A	Jan.	18
Ellsworth Fund Ltd.	V	Nov.	15	A	Jan.	12
Emerging Markets Telecommunications Fund, Inc.		Dec.	8	A	Feb.	15
Evergreen Managed Income Fund	V	Dec.	15	A	Feb.	16
Flanigan's Enterprises, Inc.		Jan.	5	A	Feb.	23
Fortune Industries, Inc.	V	Nov.	17	A	Jan.	11
Galaxy Energy Corporation		Nov.	20	S		
General Employment Enterprises, Inc.		Jan.	2	A	Feb.	26
* Globix Corporation		Jan.	22	A		
Hyperdynamics Corporation		Jan.	12	A	Mar.	6
IA Global, Inc.	Note: (2)	Dec.	4			
Immtech Pharmaceuticals, Inc.		Jan.	17	A	Mar.	2
* Intermediate Muni Fund, Inc.		Mar.	19	A		

Jennifer Convertibles, Inc.	X-3	Dec.	18	A	Feb.	6
LSB Industries, Inc.		May	25	A	Jun.	28
Meritage Hospitality Group	X	Dec.	14	S	Jan.	23
MicroIslet, Inc.		Dec.	26	S	Jan.	25
New Dragon Asia Corp.	Note: (2)	Dec.	19			
Northern Technologies, Inc.	X-2-3	Nov.	29	A	Jan.	23
NovaDel Pharma Inc.	V	Nov.	22	A	Jan.	16
Nuveen Insured New York Dividend						
Advantage Municipal Fund		Feb.	5	A	Apr.	4
Nuveen New York Dividend						
Advantage Municipal Fund 2		Feb.	5	A	Apr.	4
Nuveen Insured New York Tax-Free						
Advantage Municipal Fund		Feb.	5	A	Apr.	4
Nuveen Real Estate Income Fund		Feb.	5	A	Apr.	4
Peace Arch Entertainment Group Inc.		Jan.	8	A	Feb.	7
RMR Hospitality and Real Estate Fund		Dec.	11	A	Mar.	8
Rotonics Manufacturing Inc.	X	Dec.	15	S	Jan.	26
SIFCO Industries, Inc.	V	Dec.	4	A	Jan.	30
Singing Machine Company	V	Dec.	6	A	Jan.	12
* Softbrands, Inc.	X-2	Dec.	21	A	Feb.	5
* Sunair Services Corporation		Jan.	5	A	Feb.	7
Tech/Ops Sevcon, Inc.	V	Dec.	16	A	Jan.	23
* Teche Holding Company	V	Dec.	11	A	Jan.	24
Viragen, Inc.	X-2	Dec.	18	A	Jan.	25
VitaCube Systems Holdings		Nov.	24	A	Jan.	26

* Additions to or change from previous Bulletins.

S Special Meeting.

A Annual Meeting.

Adj Adjourned Meeting.

† In Lieu of Annual Meeting.

(1) Ruling revised by the Exchange. In addition to proxy material filed by the company, The Committee to Restore Stockholder Value of Competitive Technologies has filed soliciting proxies in opposition of the Board of Directors and to elect their own directors. Member organizations May Not Vote either proxy unless specific instructions have been received from such beneficial owners.

(2) Record date is for "Information Statement" only, no solicitation involved.



Geraldine M. Brindisi
 Corporate Secretary