



Membership Seat Prices (in 000s)

(As of 9:30 A.M., January 19, 2007)

	BID	OFFER	LAST CONTRACTED
Regular	350	390	350
Options Principal	110	375	80
Limited Trading Permits	5	6.5	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 Sales

Regular

(Since December 29, 2006)

\$350,000 – January 19, 2007

\$380,000 – January 18, 2007

2 @ \$375,000 – January 17, 2007

\$375,000 – January 12, 2007

Membership Lease Prices

(As of 9:30 A.M., January 19, 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

New		Renewal	
<u>Price</u>	<u>Term</u>	<u>Price</u>	<u>Term</u>
\$400	1 year	5 @ \$400	1 year
\$375	3 months	\$375	1 year
		\$300	1 year
		2 @ \$400	3 months
		\$350	3 months

OPTIONS PRINCIPAL

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

LIMITED TRADING PERMIT

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

Transfers of Membership

**Termination of Special Transfer Agreement – Regular
(Effective at the Opening of Business on January 16, 2007)**

Stuart H. Alpert* On Point Executions, LLC Badge No. 75	to	Yang Water Associates, LLC Attn: Leonard Berger 45 East 89 th Street, Apt. 17F New York, NY 10128 Seat No. 309-R
David Anderson LaBranche Structured Products LLC Badge No. 750-D	to	Martin Rebhun Independent 32 Hillside Avenue Short Hills, NJ 07078 Seat No. 385-R
Lee C. Levy HBH Specialists LLC Badge No. 608-L	to	Rosario DiStefano Independent 136 Seabird Lane Belford, NJ 07718 Seat No. 135-R
Brian M. Werner On Point Executions, LLC Badge No. 32	to	Robert Ruberto Independent 7831 Reflecting Pond Court, #1821 Fort Myers, FL 33907 Seat No. 592-R
(Effective January 18, 2007) Michael Lippoth* Bear Wagner Specialists LLC Badge No. 408-F	to	Richard S. Herman Independent 48-Jo-Al Court Newtown, CT 06470 Seat No. 240-R
Daniel Magier Toro Trading LLC Badge No. 667-B	to	Larkspur Securities, Inc. Attn: David W. Maier 401 South LaSalle Street, Suite 200 Chicago, IL 60605 Seat No. 258-R
Robert Milano Hamilton Executions LLC Badge No. 419-R	to	Citigroup Global Markets Inc. Attn: Amy Reich 390 Greenwich Street New York, NY 10013 Seat No. 8-R
Timothy J. Murtha Bluefin Trading LLC Badge No. 789-M	to	Larkspur Securities, Inc. Attn: David W. Maier 401 South LaSalle Street, Suite 200 Chicago, IL 60605 Seat No. 391-R

Wayne Wu** to **OC Partners, L.P.**
Bear Wagner Specialists LLC and Bear Hunter
Structured Products LLC Attn: Oreste Colella
Badge No. 407-F Jericho, NY 11753
Seat No. 370-R

**Cancellation of Nominee Authorization and Agreement – Regular
(Effective January 18, 2007)**

Richard R. Lindsey to **Bear, Stearns & Co., Inc.**
Bear, Stearns & Co., Inc. Attn: Barry Benes
2 Rector Street
New York, NY 10006
Seat No. 286-R

*Simultaneously transferring to another seat

**Currently a member on another seat

New Memberships

Sales

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

Martin Rebhun to **FRMO Corp.**
Independent Attn: Steven Bregman
320 Manville Road
Pleasantville, NY 10570
Seat No. 385-R

Yang Water Associates, LLC to **Giffords Capital Development, LLC**
Attn: Hugh D. Giffords
72 The Helm
East Islip, NY 11730
Seat No. 309-R

**Special Transfer Agreement – Regular
(Effective at the Opening of Business on January 16, 2007)**

FRMO Corp. to **David Anderson**
Trader
LaBranche Structured Products LLC
33 Whitehall Street, 9th Floor
New York, NY 10004
Seat No. 385-R
Badge No. 750-D

Robert Ruberto to **Stuart H. Alpert**
Independent **Broker**
On Point Executions, LLC
14 Wall Street, 20th Floor
New York, NY 10005
Seat No. 592-R
Badge No. 75

(Effective January 18, 2007)

Jonathan Schwebel to **Michael Lippoth**
Independent **Specialist**
STR Specialists LLC
5 East 17th Street, #7
New York, NY 10003
Seat No. 703-R
Badge No. 928-A

Member Owner Organization

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

FRMO Corp.

320 Manville Road
Pleasantville, NY 10570
Murray Stahl, Chairman and Allied Member
Steven Bregman, President and Allied Member
Peter Doyle, Secretary and Allied Member
Horizon Asset Management, Approved Person Organization

Allied Members

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

Steven Bregman

President
FRMO Corp.
320 Manville Road
Pleasantville, NY 10570

Peter Doyle

Secretary
FRMO Corp.
320 Manville Road
Pleasantville, NY 10570

Murray Stahl

Chairman
FRMO Corp.
320 Manville Road
Pleasantville, NY 10570

Approved Person Organization

(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

-
- * 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 Transfers of Membership

Termination of Special Transfer Agreement – Regular (To Be Effective January 25, 2007)

Mark S. Kolber* Independent	to	Fred H. Kolber Independent
Taylor Lukof* MOG Capital L.L.C.	to	MOG Holdings LLC
Thomas W. Neville D&D Securities Inc.	to	Robert D. Purcell Independent
Michael J. Stavalone ATP Trading LLC	to	Robert J. Kallman Independent
Christopher Wright Susquehanna Investment Group and Susquehanna Securities	to	Frank T. Milone Independent
(To Be Effective January 26, 2007) Steven Domenech* Heights Partners Inc.	to	SCGG Partners
(To Be Effective January 31, 2007) Chad R. Basinger Triple J. Trading Co. LLC	to	Jaime Roitman Employee of JR Investments & Co.
Anthony Basenese* Geronimo LLC	to	Robert J. Kallman Independent
David J. Townsend Wolverine Trading LLC	to	Bernard M. Dengler Independent

Cancellation of Nominee Authorization and Agreement – Regular (To Be Effective January 25, 2007)

Catherine M. Harkin Merrill Lynch, Pierce, Fenner & Smith Incorporated and Merrill Lynch Professional Clearing Corp.	to	Merrill Lynch, Pierce, Fenner & Smith Incorporated
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Nominee Authorization and Agreement – Regular (To Be Effective January 25, 2007)

Blue Capital Group LLC	to	Martin J. Handler Trader of Blue Capital Group LLC
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*Simultaneously transferring to another seat

**Currently a member on another seat

New Memberships

Sales

(To Be Effective January 19, 2007)

Richard S. Herman Independent	to	Harvey Gralla Independent
Prudential Equity Group LLC	to	Harvey Gralla Independent

(To Be Effective January 25, 2007)

Fred H. Kolber
Independent

to **Merrill Lynch, Pierce,
Fenner & Smith Incorporated**

MOG Holdings LLC

to **URB New York LLC**

**Special Transfer Agreement – Regular
(To Be Effective January 25, 2007)**

Robert J. Kallman
Independent

to **Joseph E. O’Boyle**
Trader of
Sante Fe Trading, LLC

Edward A. Kelly
Independent

to **Steven Domenech**
House Broker of
Heights Partner, Inc.

Estate of Kenneth Khouri

to **Taylor Lukof**
Trader of
MOG Capital L.L.C.

Robert G. Pears
Independent

to **Kevin S. Walsh**
Broker of
Robert G. Pears & Co. Inc.

Robert D. Purcell
Independent

to **Anthony Basenese**
Broker of
Divine Capital Markets LLC

James M. Stoff
Independent

to **Mark S. Kolber**
Independent Trader

**Current Members – Firm Status Change
(To Be Effective January 25, 2007)**

Andre P. Chase
Specialist
Equitec New York, LLC
& Equitec Specialists, LLC
(Paris Securities Corporation – Lessor)

to **Andre P. Chase**
Specialist of
Equitec New York, LLC &
Equitec Specialists, LLC &
Compass Professional Services East LLC

Stephen J. Littman
Broker
Compass Professional Services LLC
(Irving Yamner – Lessor)

to **Stephen J. Littman**
Broker of
Compass Professional Services East LLC
& Compass Professional Services LLC

Proposed Member Owner Organization

(To Be Effective January 25, 2007)

URB New York LLC
450 Park Avenue, Suite 1900
New York, NY 10022
Urbana Corporation, Sole Member
Brendan T.N. Caldwell, Manager
Thomas S. Caldwell, Manager

Proposed Allied Members

(To Be Effective January 22, 2007)

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 January 25, 2007)

Daniel B. Asher

Member of
Compass Professional Services East LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Brendan T.N. Caldwell

Manager of
URB New York, LLC
450 Park Avenue, Suite 1900
New York, NY 10022

Thomas S. Caldwell

Manager of
URB New York, LLC
450 Park Avenue, Suite 1900
New York, NY 10022

John T. Colvin

Shareholder of
Pinehurst Trading Corp.
790 Estate Drive, Suite 250
Deerfield, IL 60015

John Favia

Shareholder of
Favia, Inc.
790 Estate Drive, Suite 250
Deerfield, IL 60015

Fred O. Goldman

Chief Financial Officer of
Compass Professional Services East LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Danielle F. Hughes
Chief Executive Officer of
Divine Capital Markets LLC
39 Broadway, 36th Floor
New York, NY 10006

Joseph Jogmen
Administrator/Compliance of
Compass Professional Services East LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Lorry Lichtenstein
Member of
Blue Capital Group LLC
790 Estate Drive, Suite 250
Deerfield, IL 60015

John P. LaRocque
Member of
Compass Professional Services East LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

William J. Shimanek
Member of
Compass Professional Services East LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Michael C. Wallach
Chief Operations Officer of
Divine Capital Markets LLC
39 Broadway, 36th Floor
New York, NY 10006

Proposed Approved Person Organizations

(To Be Effective January 22, 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 January 25, 2007)

Blue Capital Holdings LLC

Member of
Blue Capital Group LLC
790 Estate Drive, Suite 250
Deerfield, IL 60015

Caldwell Investment Management Ltd.

Caldwell Financial Ltd.

Caldwell Serurities Ltd.

Caldwell Asset Management Inc.

Caldwell Independent Research

Caldwell Mutual Funds

Under Common Control With
URB New York, LLC
450 Park Avenue, Suite 1900
New York, NY 10022

Castlewood Securities, LLC

Compass Professional Services LLC

Dansu, Inc.

Equitec-Brown, LLC

Equitec-Furman, LLC

Equitec-Schwartz, LLC

Equitec Group, LLC

Equitec New York, 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
Compass Professional Services East LLC
111 W. Jackson, Suite 2000
Chicago, IL 60604

Crescent Court Corp.

Favia, Inc.

Pinehurst Corp.

Under Common Control With
Blue Capital Group LLC
790 Estate Drive, Suite 250
Deerfield, IL 60015

Divine Holdings LLC

Holding Co. of
Divine Capital Markets LLC
39 Broadway, 36th Floor
New York, NY 10006

Urbana Corporation

Sole Member of
URB New York, LLC
450 Park Avenue, Suite 1900
New York, NY 10022

Proposed Member Organizations

(To Be Effective January 22, 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

(To Be Effective January 25, 2007)

Blue Capital Group LLC

(To be admitted as a Regular Member Organization)

(LLC Member does not signify “Exchange Member”)

Address: 790 Estate Drive, Suite 250, Deerfield, IL 60015

Blue Capital Holdings LLC, Member

Lorry A. Lichtenstein, Member

Robert A. Lichtenstein and Annette Lichtenstein, as Trustees of the

Robert Lichtenstein and Annette Lichtenstein Living Trust, Member

*Martin J. Handler, Trader

**** Compass Professional Services East LLC**

(To be admitted as a Regular Member Organization)

(“LLC Member” does not signify Exchange Member)

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

John P. LaRocque, Member

Daniel B. Asher, Member

Fred O. Goldman, Chief Financial Officer

William J. Shimanek, Compliance Director

Joseph Jogmen, Administrator/Operations

*Andre Chase, Specialist

*Stephen J. Littman, Broker

****Divine Capital Markets LLC**

(To be admitted as a Regular Member Organization)

(LLC Member does not signify “Exchange Member”)

Divine Holdings LLC, Owner

Robert J. DiGennaro, Chief Compliance Officer

Danielle F. Hughes, Chief Executive Officer

Michael C. Wallach, Chief Operations Officer

Judigh R. Wernsing, Financial and Operations Principal

*Anthony Basenese, Broker

****Sante Fe Trading, LLC**

(To be admitted as a Regular Member Organization)

(LLC Member does not signify “Exchange Member”)

Address: 16 Elbert Place, East Rockaway, NY 11518

*Joseph E. O’Boyle, Managing Member

George R. Buck, Investing Member

Richard A. Eisenberg, Investing Member

David N. Marino, Investing Member

Adam E. Philips, Investing Member

Harrison Trading Group LLC, Investing Member

The Highlander Fund, LP, Investing 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 19, 2007)	Fri. Jan. 26
1-S (Weekly report of Friday, January 19, 2007)	Fri. Jan. 26
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.	Fri. Feb. 9

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 webpage 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
(Monday) February 12	(Thursday) February 15	(Tuesday) February 20 – 1:00 p.m. EST	(Thursday) February 22

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:

streetTRACKS Index Shares Funds 600,000 shares of SPDR MSCI ACWI ex-US ETF

White River Capital, Inc. 4,260,155 shares of Common Stock, Without Par Value

Additional & Substitution Listings:

Arcadia Resources inc., 4,999,999 Shares of Common Stock, \$0.001 Par Value

Cardero Resource Corp., 2,250,000 Shares of Common Stock, \$0.01 Par Value

Cognitronics Corp., 200,000 Shares of Common Stock, \$0.20 Par Value

Cortex Pharmaceuticals, Inc., 8,285,354 Shares of Common Stock, \$0.001 Par Value

Document Security Systems, Inc., 59,920 Shares of Common Stock, No Par Value

Jinpan International, 1,350,371 Shares of Common Stock, \$0.018 Par Value

Queenstake Resources Ltd., 47,525,184 Shares of Common Stock, No Par Value

Tompkins Trustco, Inc., 24,086 Shares of common Stock, \$0.10 Par Value

Corporate Actions and New Listings announced for January 12- January 19, 2007 can be viewed on the Issues Daily list homepage on [amextrader.com](http://www.amextrader.com); click on [Issues Daily List](#) to view the Issues Daily List.

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
Interest due December 1	
Wachovia Corporation (8.25% Newmont Mining Enhanced Yield Secs, due 12/1/06)	Nov. 16
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
Interest due December 22	
CIBC World Markets (Basket of 10 Large-Cap Stocks Principal Protected Notes, due 12/22/10)	Dec. 21
Interest due December 26	
CIBC World Markets (Ten Large-Cap U.S. Stocks MERITS, due 12/26/12)	Dec. 25
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
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
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
Interest Due January 10	
Wachovia Corporation (19.25% General Motors Enhanced Yield Secs, due 7/10/07)	Dec. 26
Interest due January 15	
CBS Corporation. (7.625% Senior Debentures-2016)	Jan. 1
Interest due January 20	
Wachovia Corporation (10% Consol Energy Inc. Enhanced Yield Securities, 4/20/07)	Jan. 5
Interest due January 26	
Bank of America (0.25% Nasdaq-100 Cash Settled Exchangeable Notes, due 1/26/10)	Jan. 11

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 ¾% Senior Debentures, due 7/1/14) Jan. 15

Wachovia Corporation
(13% Google Inc. Enhanced Yield Securities, due 2/1/07) Jan. 17

Interest due February 14

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

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

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

Interest due March 1

Trans-Lux Corp.
(8.25% Limited Conv Sr Subordinated Notes, due 3/1/12) Feb. 15

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. 22	Jan. 18	Jan. 25	Jan. 23	Jan. 28	Jan. 24
Jan. 23	Jan. 19	Jan. 26	Jan. 24	Jan. 29	Jan. 25
Jan. 24	Jan. 22	Jan. 27	Jan. 24	Jan. 30	Jan. 26

Dividends announced for January 16-January 19, 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)
- OP = Option Plan
- STP = Stock Purchase Plan
- CP = Compensation Plan
- BY = By-Law Amendment
- CH = Charter Amendment
- MP = Merger Proposal

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

<u>Name of Company</u>	<u>Record</u>	<u>Meeting</u>
Aberdeen Asia-Pacific Income Fund, Inc.	Jan. 16	A Mar. 8
Aberdeen Australia Equity Fund, Inc.	Jan. 16	A Mar. 8
Aberdeen Global Income Fund, Inc.	Jan. 16	A Mar. 8
Acquicor Technology, Inc.	Jan. 16	S
ADDvantage Technologies Group	Jan. 17	A Mar. 6
Allied Defense Group, Inc.	X-3 Dec. 20	A Feb. 15
*American Biltrite, Inc.	Mar. 9	A May 8
Ascendia Brands, Inc.	X-3-4-5 Dec. 29	A Feb. 14
*Badger Meter, Inc.	Feb. 28	A Apr. 27
Bancroft Fund Ltd.	V Dec. 20	A Feb. 12
*Barnwell Industries, Inc.	V Jan. 8	A Mar. 5
Chase Corporation	V Nov. 30	A Feb. 5
*CKX Lands, Inc.	Feb. 23	A Apr. 26

Commerce Energy Group, Inc.	V	Dec.	6	A	Jan.	25
*Competitive						
Technologies, Inc. Note: (1)	X	Nov.	20	A	Feb.	2
Consolidated-Tomoka Land Co.		Mar.	1	A	Apr.	25
Continuicare Corporation	X-2	Jan.	2	A	Feb.	7
Credit Suisse High Yield Bond Fund		Dec.	22	A	Feb.	15
*Cubic Corporation	V	Jan.	5	A	Feb.	20
Eagle Broadband, Inc.	X-2	Nov.	24	A	Jan.	23
Eaton Vance Limited						
Duration Income Fund	V	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
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
Florida Public Utilities Company		Mar.	16	A	May	8
Galaxy Energy Corporation		jan.	19	S		
General Employment Enterprises, Inc.		Jan.	2	A	Feb.	26
Globix Corporation		Jan.	22	A		
Gouverneur Bancorp, Inc.	V	Dec.	27	A	Feb.	12
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
Lannett Company, Inc.	X-3	Dec.	13	A	Jan.	24
*LaPolla Industries, Inc. Note: (2)		Jan.	23			
LSB Industries, Inc.		Jan.	23	S	Mar.	6
LSB Industries, Inc.		May	25	A	Jun.	28
*Mercantile Bancorp, Inc.		Apr.	10	A	May	21
Merchants Group, Inc.	X	Dec.	20	S	Feb.	1
Meritage Hospitality Group	X	Dec.	14	S	Jan.	23
MicroIslet, Inc.		Dec.	26	S		
New Dragon Asia Corp. Note: (2)		Dec.	19			
Northern Technologies, Inc. X-2-3		Nov.	29	A	Jan.	23
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
*NVR, Inc.		Mar.	1		A	May	4
Panhandle Royalty Company		Jan.	18		A	Mar.	8
Peace Arch Entertainment Group Inc.		Jan.	8		A	Feb.	7
Pittsburgh & West Virginia Railroad		Mar.	16		A	May	17
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
Simulations Plus, Inc.		Dec.	20		A	Feb.	23
Softbrands, Inc.	X-2	Dec.	21		A	Feb.	5
Sunair Services Corporation	V	Jan.	5		A	Feb.	7
Tarpon Industries, Inc.	X	Jan.	3		A	Feb.	2
Tech/Ops Sevcon, Inc.	V	Dec.	16		A	Jan.	23
Teche Holding Company	V	Dec.	11		A	Jan.	24
*Unitil Corporation		Feb.	14		A	Apr.	19
*Valley National Gases Incorporated		Jan.	22		S		
Viragen, Inc.	X-2	Dec.	18		A	Jan.	25
*VitaCube Systems Holdings		Nov.	24		A	Mar.	7

* Additions to or change from previous Bulletins.

S Special Meeting.

A Annual Meeting.

Adj Adjourned Meeting.

† In Lieu of Annual Meeting.

(1) Meeting adjourned from January 16, 2007 to February 2, 2007. 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