



**Membership Seat Prices (in 000s)**

(As of 9:30 A.M., January 26, 2007)

|                         | BID | OFFER | LAST CONTRACTED |
|-------------------------|-----|-------|-----------------|
| Regular                 | 365 | 400   | 400             |
| 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](http://www.amextrader.com).

**Membership Seat Sales**

**Regular**

(Since January 19, 2007)

2 @ \$400,000 – January 25, 2007

\$350,000 – January 22, 2007

**Membership Lease Prices**

(As of 9:30 A.M., January 26, 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        | 6 months    | 2 @ \$400    | 1 year      |
| \$375        | 6 months    | 3 @ \$400    | 6 months    |
| \$350        | 5 months    | \$400        | 3 months    |
| \$100        | 6 months    | \$350        | 6 months    |
|              |             | \$300        | 6 months    |
|              |             | 2 @ \$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> | <b>New</b> | <u>Term</u> | <u>Price</u> | <b>Renewal</b> | <u>Term</u> |
|--------------|------------|-------------|--------------|----------------|-------------|
| None         |            |             | None         |                |             |

---

**Transfers of Membership**

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

|  |           |  |
|--|-----------|--|
| <b>Mark S. Kolber*</b><br>Independent<br>Badge No. 1086  | <b>to</b> | <b>Fred H. Kolber</b><br>Independent<br>1500 Ocean Drive<br>Miami Beach, FL 33139<br>Seat No. 755-R                                    |
| <b>Taylor Lukof*</b><br>MOG Capital L.L.C.<br>Badge No. 596-L  | <b>to</b> | <b>MOG Holdings LLC</b><br>Attn: Ben Shleifer<br>250 Park Avenue South, 10 <sup>th</sup> Floor<br>New York, NY 10003<br>Seat No. 323-R |
| <b>Thomas W. Neville</b><br>D&D Securities Inc.<br>Badge No. 35  | <b>to</b> | <b>Robert D. Purcell</b><br>Independent<br>5883 Chelsea Street<br>LaJolla, CA 92037<br>Seat No. 437-R                                  |
| <b>Michael J. Stavalone</b><br>ATP Trading LLC<br>Badge No. 584-M  | <b>to</b> | <b>Robert J. Kallman</b><br>Independent<br>6 Tatem Way<br>Old Westbury, NY 11568<br>Seat No. 773-R                                     |
| <b>Christopher Wright</b><br>Susquehanna Investment Group and<br>Susquehanna Securities<br>Badge No. 840-W | <b>to</b> | <b>Frank T. Milone</b><br>Independent<br>39 Threadwell Place<br>Yonkers, NY 10710<br>Seat No. 182-R                                    |

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

|   |           |  |
|---|-----------|--|
| <b>Catherine M. Harkin</b><br>Merrill Lynch, Pierce, Fenner & Smith<br>Incorporated and Merrill Lynch Professional<br>Clearing Corp.<br>Badge No. 161-H | <b>to</b> | <b>Merrill Lynch, Pierce, Fenner &amp; Smith<br/>Incorporated</b><br>Attn: Robert L. Cunningham<br>222 Broadway, 14 <sup>th</sup> Floor<br>New York, NY 10038<br>Seat No. 19-R |
|---|-----------|--|

**Nominee Authorization and Agreement – Regular  
(Effective January 25, 2007)**

|                               |           |   |
|-------------------------------|-----------|---|
| <b>Blue Capital Group LLC</b> | <b>to</b> | <b>Martin J. Handler<br/>Trader</b><br>Blue Capital Group LLC<br>1 Dogwood Drive<br>West Orange, NJ 07052<br>Seat No. 32-R<br>Badge No. 605-H |
|-------------------------------|-----------|---|

\*Simultaneously transferring to another seat

\*\*Currently a member on another seat

## New Memberships

### Sales

(Effective at the Opening of Business on January 24, 2007)

**Richard S. Herman**  
Independent

to

**Harvey Gralla**  
Independent  
1369 East 21<sup>st</sup> Street  
Brooklyn, NY 11210  
Seat No. 240-R

**Prudential Equity Group LLC**

to

**Harvey Gralla**  
Independent  
1369 East 21<sup>st</sup> Street  
Brooklyn, NY 11210  
Seat No. 173-R

(Effective January 25, 2007)

**Fred H. Kolber**  
Independent

to

**Merrill Lynch, Pierce, Fenner & Smith  
Incorporated**  
Attn: Robert Cunningham  
222 Broadway, 16<sup>th</sup> Floor  
New York, NY 10038  
Seat No. 755-R

**MOG Holdings LLC**

to

**URB New York LLC**  
Attn: Brendan T.N. Caldwell  
450 Park Avenue, Ste. 1900  
New York, NY 10022  
Seat No. 323-R

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

**Edward A. Kelly**  
Independent

to

**Steven Domenech**  
**House Broker**  
Heights Partner, Inc.  
7 Hubert Street, Ste. 7A  
New York, NY 10013-2065  
Seat No. 426-R  
Badge No. 84

**Estate of Kenneth Khouri**

to

**Taylor Lukof**  
**Trader**  
MOG Capital L.L.C.  
250 Park Avenue South, 10<sup>th</sup> Floor  
New York, NY 10003  
Seat No. 794-R  
Badge No. 596-L

**Robert G. Pears**  
Independent

to

**Kevin S. Walsh**  
**House Broker**  
Robert G. Pears & Co. Inc.  
c/o Gettenberg Consulting  
40 Wall Street, 34<sup>th</sup> Floor  
New York, NY 10005  
Seat No. 113-R  
Badge No. 731-W

**James M. Stoff**  
Independent

to

**Mark S. Kolber**  
**Independent Trader**  
870 United Plaza, #21G  
New York, NY 10017  
Seat No. 119-R  
Badge No. 1086

(Effective at the Opening of Business on January 26, 2007)

**Robert J. Kallman**

Independent

to

**Joseph E. O'Boyle**

**Trader**

Sante Fe Trading, LLC

15 Elbert Place

East Rockaway, NY 11518

Seat No. 773-R

Badge No. 1018

---

## Member Owner Organization

(Effective January 25, 2007)

**URB New York LLC**

450 Park Avenue, Suite 1900

New York, NY 10022

Urbana Corporation, Sole Member and Approved Person Organization

Caldwell Investment Management Ltd., Approved Person Organization

Caldwell Financial Ltd., Approved Person Organization

Caldwell Securities Ltd., Approved Person Organization

Caldwell Asset Management Inc., Approved Person Organization

Caldwell Independent Research, Approved Person Organization

Caldwell Mutual Funds, Approved Person Organization

Brendan T.N. Caldwell, Manager and Allied Member

Thomas S. Caldwell, Manager and Allied Member

---

## Trading Status Change

(Effective January 5, 2007)

**Michael S. Whitman**

**Trader**

Stuyvesant Trading Group LLC and

The Gaussian Group LLC

Badge No. 917

(Effective January 22, 2007)

**Joseph Schmittler**

**Trader/Specialist**

Kellogg Capital Group LLC

Badge No. 873-Y

---

## Allied Members

(Effective January 25, 2007)

**Brendan T.N. Caldwell**

Manager

URB New York, LLC

450 Park Avenue, Suite 1900

New York, NY 10022

**Thomas S. Caldwell**

Manager

URB New York, LLC

450 Park Avenue, Suite 1900

New York, NY 10022

**John T. Colvin**

Shareholder

Pinehurst Trading Corp.

790 Estate Drive, Suite 250

Deerfield, IL 60015

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

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

**George Reichhelm**  
Co-Managing Member  
AGS Specialists II, LLC  
One World Financial Center, 26<sup>th</sup> Floor  
New York, NY 10281

**Andrew Schwarz**  
Co-Managing Member  
AGS Specialists II, LLC  
One World Financial Center, 26<sup>th</sup> Floor  
New York, NY 10281

**John S. Stafford, III**  
Chief Executive Officer and President  
Ronin Capital LLC  
230 S. LaSalle Street, 4<sup>th</sup> Floor  
Chicago, IL 60604

---

## Approved Person Organizations

**(Effective January 25, 2007)**  
**AGS Specialist Partners, LLC**  
Member  
AGS Specialists II, LLC  
World Financial Center, 26<sup>th</sup> Floor  
New York, NY 10281

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

**Caldwell Investment Management Ltd.**  
**Caldwell Financial Ltd.**  
**Caldwell Securities 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

**Crescent Court Corp.**  
**Favia, Inc.**  
**Pinehurst Corp.**  
Under Common Control With  
Blue Capital Group LLC  
790 Estate Drive, Suite 250  
Deerfield, IL 60015

**Dart Executions, LLC**  
**Irish National Investments, Ltd.**  
**Reichhelm SJ Co.**  
**Schwarz Jr. Co. Inc.**  
**TPG Global, LLC**  
Under Common Control With  
AGS Specialists II, LLC  
World Financial Center, 26<sup>th</sup> Floor  
New York, NY 10281

**Ronin Capital, LLC**  
Member  
AGS Specialists II, LLC  
World Financial Center, 26<sup>th</sup> Floor  
New York, NY 10281

**Urbana Corporation**  
Sole Member  
URB New York, LLC  
450 Park Avenue, Suite 1900  
New York, NY 10022

---

## Changes in Member Organizations

**AGS Specialists II, LLC**  
(Admitted as a Regular Member Organization, effective January 25, 2007)  
**(LLC Member does not signify “Exchange Member”)**  
Address: One World Financial Center, 26<sup>th</sup> Floor, New York, NY 10281  
Ronin Capital, LLC, Member and Approved Person Organization  
AGS Specialist Partners, LLC, Member and Approved Person Organization  
George Reichhelm, Co-Managing Member and Allied Member  
@\*Andrew Schwarz, Co-Managing Member and Allied Member  
John S. Stafford, III, Allied Member  
Dart Executions, LLC, Approved Person Organization  
Irish Naational Investments, Ltd., Approved Person Organization  
TPG Global, LLC, Approved Person Organization  
Reichhelm RJ Co., Approved Person Organization  
Schwarz Jr. Co. Inc., Approved Person Organization  
\*John E. Alter, Specialist  
\*Michael L. Ashley, Specialist  
\*William G. Fallon, Trader/Specialist  
\*Sean J. Feeney, Specialist  
\*Michele M. Figueroa, Specialist  
\*Jarrett Finkelstein, Trader/Specialist  
\*Shaun Follo, Specialist  
\*Randy T. Garcia, Trader/Specialist  
\*S. Ryan Grimsley, Trader/Specialist  
\*Robert Hill, Specialist  
\*James R. Hyde, Trader/Specialist  
\*Gregory S. Keary, Specialist  
\*Kristina A. Liu, Specialist  
\*Marc J. Liu, Trader/Specialist  
\*Itay Livni, Trader/Specialist  
\*Christopher Matteo, Specialist  
\*Eric C. Mergenthaler, Specialist  
\*Robert F. Morrongiello, Trader/Specialist  
@\*Kevin R. O’Neill, Trader/Specialist  
\*Michael Palmedo, Specialist  
\*Benjamin Phillips, Trader/Specialist  
\*Bronson Plocus, Trader/Specialist  
\*Brandon C. Purcell, Specialist  
\*Peter Schwarz, Trader/Specialist  
\*Charles C. Soteras, Specialist  
\*Edvin Yavarian, Specialist

**Blue Capital Group LLC**

(Admitted as a Regular Member Organization, effective January 25, 2007)

**(LLC Member does not signify “Exchange Member”)**

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

Blue Capital Holdings LLC, Member and Approved Person Organization

Lorry A. Lichtenstein, Member and Allied Member

Crescent Court Corp., Approved Person Organization

Favia Inc., Approved Person Organization

Pinehurst Corp., Approved Person Organization

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

Robert Lichtenstein and Annette Lichtenstein Living Trust, Member

\*Martin J. Handler, Trader

**\*\*Global Options LLC**

Ceased to be registered as a Regular Member Organization, effective January 24, 2007.

**\*\*Sante Fe Trading, LLC**

(Admitted as a Regular Member Organization, effective at the opening of business on January 26, 2007)

**(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

**\*\*Toro Trading LLC**

Ceased to be registered as a Regular Member Organization with the transfer of \*Daniel Magier (Badge #667-B), effective January 18, 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 Transfers of Membership**

**Termination of Special Transfer Agreement – Regular**

**(To Be Effective January 26, 2007)**

**Steven Domenech\*** to **SCGG Partners**  
Heights Partners Inc.

**(To Be Effective January 31, 2007)**

**Anthony Basenese\*** to **Robert J. Kallman**  
Geronimo LLC Independent

**David J. Townsend** to **Bernard M. Dengler**  
Wolverine Trading LLC Independent

**(To Be Effective February 1, 2007)**

**Jason L. Flaherty\*** to **Matthew T. Charlton**  
Amerivest Partners LLC Independent

**Bronson Plocus\*** to **Richard Schwarzkopf**  
AGS Specialists II, LLC Independent

**Erik T. Shea** to **Roger P. Fenn, Sr.**  
Kellogg Capital Group LLC Independent

(To Be Effective February 2, 2007)

**Paul A. Michaluk** to **M. Robert Baldini**  
RET Securities Corp. Independent

(To Be Effective at the Opening of Business February 5, 2007)

**Ryan O’Connell** to **Noel Oellerich**  
Kellogg Capital Group LLC Independent

\*Simultaneously transferring to another seat

\*\*Currently a member on another seat

---

## New Memberships

### Sales

(To Be Effective February 1, 2007)

**Matthew T. Charlton** to **Merrill Lynch, Pierce, Fenner & Smith**  
Independent Incorporated

**Morgan Stanley DW, Inc.** to **Merrill Lynch, Pierce, Fenner & Smith**  
Incorporated

**Richard Schwarzkopf** to **Merrill Lynch, Pierce, Fenner & Smith**  
Independent Incorporated

(To Be Effective at the Opening of Business February 5, 2007)

**Noel Oellerich** to **CEF New York LLC**  
Independent

### Nominee Authorization and Agreement – Regular

(To Be Effective February 1, 2007)

**Bear, Stearns & Co. Inc.** to **Bruce Geismar**  
**Off-Floor Trader of**  
Bear, Stearns & Co., Inc.

### Special Transfer Agreement – Regular

(To Be Effective January 26, 2007)

**Robert D. Purcell** to **Anthony Basenese**  
Independent **Commission Broker of**  
Divine Capital Markets LLC

(To Be Effective February 1, 2007)

**Roger P. Fenn, Sr.** to **Ryan O’Connell**  
Independent **Specialist of**  
Kellogg Capital Group LLC

**G&B Miller Inc. Defined Benefit Pension Plan** to **Jason L. Flaherty**  
**Broker of**  
Amerinvest Partners LLC

**Dawn Kallman** to **Bronson Plocus**  
Independent Specialist of  
AGS Specialists II, LLC

---

**SROT TRANSFER**  
(To Be Effective February 1, 2007)  
**Lessor: Frost Gamma Limited Partnership** to **Donn J. Stobierski**  
Seat #s -250-R, 261-R, 276-R **Off-Floor Trader of**  
Citadel Derivatives Group LLC

---

### Current Members – Firm Status Change

(To Be Effective January 26, 2007)  
**Andre P. Chase** to **Andre P. Chase**  
**Specialist** **Specialist of**  
Equitec New York, LLC & Equitec Specialists, LLC & Equitec Specialists, LLC &  
(Paris Securities Corporation – Lessor) Compass Professional Services East LLC

**Stephen J. Littman** to **Stephen J. Littman**  
**Broker** **Broker of**  
Compass Professional Services LLC Compass Professional Services East LLC  
(Irving Yamner – Lessor) & Compass Professional Services LLC

---

### Proposed Allied Members

(To Be Effective January 26, 2007)  
**Daniel B. Asher**  
Member of  
Compass Professional Services East LLC  
111 W. Jackson, Suite 2000  
Chicago, IL 60604

**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, 36<sup>th</sup> Floor  
New York, NY 10006

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

**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, 36<sup>th</sup> Floor  
New York, NY 10006

**(To Be Effective February 1, 2007)**

**Arthur Bagatta, Jr.**  
Managing Director of  
AGS Specialists II, LLC  
One World Financial Center, 26<sup>th</sup> Floor  
New York, NY 10281

**William L. Dersch**  
Managing Member of  
FM Brokerage, L.L.C.  
80 Chamber Street, #12C  
New York, NY 10007

**Michael R. McCoy**  
Managing Member of  
FM Brokerage, L.L.C.  
80 Chamber Street, #12C  
New York, NY 10007

**Andrew D. McOrmond**  
Managing Member of  
FM Brokerage, L.L.C.  
80 Chamber Street, #12C  
New York, NY 10007

---

## **Proposed Approved Persons**

**(To Be Effective February 1, 2007)**

**Arthur Dantchik**  
Managing Director of General Partner of  
Susquehanna Securities  
401 City Avenue, Suite 220  
Bala Cynwyd, PA 19004

**Joel K. Greenberg**  
Managing Director of General Partner of  
Susquehanna Securities  
401 City Avenue, Suite 220  
Bala Cynwyd, PA 19004

**Jeffrey S. Yass**  
Managing Director of General Partner of  
Susquehanna Securities  
401 City Avenue, Suite 220  
Bala Cynwyd, PA 19004

## Proposed Approved Person Organizations

(To Be Effective January 26, 2007)

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

**Divine Holdings LLC**  
Holding Co. of  
Divine Capital Markets LLC  
39 Broadway, 36<sup>th</sup> Floor  
New York, NY 10006

(To Be Effective February 1, 2007)  
**Divine Alternative Asset Management LLC**  
Under Common Control With  
Divine Capital Markets LLC  
39 Broadway, 36<sup>th</sup> Floor  
New York, NY 10006

**Harrison Trading Group LLC**  
Investing Member of  
Sante Fe Trading LLC  
16 Elbert Place  
East Rockaway, NY 11518

**Zen Holdings, LLC**  
Under Common Control With  
AGS Specialists II, LLC  
One World Financial Center, 26<sup>th</sup> Floor  
New York, NY 10281

---

## Proposed Member Organizations

(To Be Effective January 26, 2007)

**\*\* 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  
Judith R. Wernsing, Financial and Operations Principal  
\*Anthony Basenese, Broker

**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:

|  | <b>Due on or Before</b> |        |
|--|-------------------------|--------|
| 1-RA (Members and Member Organizations Weekly report of transactions for accounts for the week ending Friday January 26, 2007)                                   | Fri.                    | Feb. 1 |
| 1-S (Weekly report of Friday, January 26, 2007)  | Fri.                    | Feb. 1 |
| 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.

Web FOCUS Report Part II Quarterly and Schedule I - 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

Web FOCUS Report Part IIA Quarterly and Schedule I - 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

Web FOCUS Report Part IIA Quarterly Short and Schedule I - 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

ITSFEA Forms 1 and 2 - 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

MO-14 Statement of Specialist Profit and Loss - Specialist Units must file by the 17th business day after quarter-end. Fri. Jan. 26

MO-15 Report of Income by Specialty Security - Specialist Units must file by the 17th business day after quarter-end. Fri. Jan. 26

Independent Audit Reports required by SEC Rule 17a-5 - Member Organizations Thu. Mar. 1  
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.

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, 51<sup>st</sup> 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 following 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)<br>February 12 | (Thursday)<br>February 15 | (Tuesday)<br>February 20 – 1:00 p.m. EST | (Thursday)<br>February 22 |

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

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

Citigroup Funding Inc. 10,300,000 shares of 12.75% ELKS Linked to Advanced Micro Devices, Inc. maturing February 6, 2008

Citigroup Funding Inc. 1,000,000 shares of SEQUINS Linked to the S&P Homebuilders Select Industry Index maturing February 8, 2008

Morgan Stanley 4,200,000 shares of 10.5% HITS Linked to Apple Computer, Inc. maturing February 20, 2008

Morgan Stanley 3,650,000 shares of Capital Protected Note Linked to the S&P 500 Index maturing July 20, 2008

Morgan Stanley 1,169,600 shares of 8% SPARQS Linked to Noble Energy, Inc. maturing February 20, 2008

ProShares Trust 150,000 shares of Short Russell2000 ProShares

ProShares Trust 225,000 shares of Ultra SmallCap600 ProShares

ProShares Trust 150,000 shares of Short SmallCap600 ProShares

ProShares Trust 225,000 shares of UltraShort SmallCap600 ProShares

ProShares Trust 375,000 shares of UltraShort Russell2000 ProShares

ProShares Trust 375,000 shares of Ultra Russell2000 ProShares

PS Business Parks, Inc 5,000,000 of shares Depository Shares Each Representing 1/1,000 of a Share of 6.70% Cumulative Preferred Stock, Series P

**Additional & Substitution Listings:**

Allis-Chalmers Energy Inc., 6,900,000 Shares of Common Stock, \$0.01 Par Value

Apollo Gold Corp., 1,020,000 Shares of Common Stock, No Par Value

Birch Mountain Resources Ltd., 10,454,535 Shares of Common Stock, No Par Value

Cardero Resource Corp., 3,707,000 Shares of Common Stock, \$0.01 Par Value

Engex, Inc., 488,614 Shares of common Stock, \$0.10 Par Value

Inverness Medical Innovations, Inc., 6,900,000 Shares of Common Stock, \$0.001 Par Value

Transmeridian Exploration, Inc., 18,083,244 Shares of Common Stock, \$0.0006 Par Value

**Corporate Actions and New Listings announced for January 19- January 26, 2007 can be viewed on the Issues Daily list homepage on [amextrader.com](http://amextrader.com); click on [Issues Daily List](#) to view the Issues Daily List.**

---

**Registered Interest**

| <u>Name of Company</u>  | <u>Record Date</u><br><u>(New York unless stated otherwise)</u> |
|---|---|
| <b>Interest Due November 1</b>  |   |
| Thermo Electron Corp.<br>(3/14% Convertible Subordinated Debentures, due 11/1/07)                         | Oct. 15   |
| Wachovia Corporation<br>(9.75% Sunoco, Inc. Trigger CAPITALS, due 11/1/06)                                | Oct. 17   |
| (13% Google Inc. Enhanced Yield Securities, due 2/1/07)   | Oct. 17   |
| <b>Interest due November 10</b>   |   |
| Merrill Lynch & Co., Inc. (0.25% Time Warner Inc.<br>Callable & Exchangeable Stk link Notes, due 5/10/06) | Oct. 25   |
| <b>Interest due November 15</b>   |   |
| Wachovia Corporation<br>(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<br>(1% Basket CYCLES linked to a 70/30<br>Basket of Four Indices & 1 ETF, due 5/27/10) | Nov. 12 |
| (1.5% S&P 500 Capital Protect Equity<br>Performance Notes, due 11/26/2010)                             | Nov. 1  |

**Interest due November 28**

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

**Interest due November 29**

|  |         |
|--|---------|
| Allstate Life Global Funding<br>(4.50% Secured Medium Term Notes, due 5/29/09) | Nov. 14 |
|--|---------|

**Interest due December 1**

|   |         |
|---|---------|
| Wachovia Corporation<br>(8.25% Newmont Mining Enhanced Yield Secs, due 12/1/06) | Nov. 16 |
|---|---------|

**Interest due December 12**

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

**Interest due December 15**

|   |         |
|---|---------|
| Bond Trust Products LLC (Bond Trust Products Trust<br>Pass-Through Trust Certificates, due 6/15/2010) | Dec. 14 |
| Stater Bros. Holdings Inc.<br>(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<br>Exchangeable Notes, due 12/15/10) | Nov. 30 |
|---|---------|

**Interest due December 22**

|   |         |
|---|---------|
| CIBC World Markets (Basket of 10 Large-Cap Stocks<br>Principal Protected Notes, due 12/22/10) | Dec. 21 |
|---|---------|

**Interest due December 26**

|  |         |
|--|---------|
| CIBC World Markets<br>(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<br>"70/30" Basket of Four Indices and 1 ETF, due 12/27/10) | Dec. 12 |
|---|---------|

**Interest due December 28**

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

**Interest due December 30**

|  |         |
|--|---------|
| Morgan Stanley<br>(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<br>(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<br>(.25% Wells Fargo & Co. Stock-Linked Notes –1/7/08) | Dec. 23 |
|---|---------|

**Interest Due January 10**

|  |         |
|--|---------|
| Wachovia Corporation<br>(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<br>(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<br>Exchangeable Notes, due 1/26/10) | Jan. 11 |
|--|---------|

**Interest due January 29**

|   |         |
|---|---------|
| Bank of America<br>(1% Healthcare Basket Index "CYCLES", due 1/28/11)                     | Jan. 1  |
| (1.50% Basket CYCLES linked to an<br>"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 |
|---|---------|

|   |         |
|---|---------|
| Wachovia Corporation<br>(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<br>Basket Yield Generator Notes, due 2/14/11) | Feb. 13 |
|---|---------|

**Interest due February 15**

|   |         |
|---|---------|
| Wachovia Corporation<br>(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.<br>(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

**Interest due March 15**

Stater Bros. Holdings Inc. (Floating Rate Notes, due 6/15/10) Mar. 1

**Interest due March 22**

Goldman Sachs  
 (0.25% EMC Corp. Exchangeable Notes, due 3/22/07) Mar. 21

**Interest due March 23**

Bank of America  
 (1.625% Nikkei 225 Index CYCLES, due 3/23/10) Mar. 8

**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. 28       | Jan. 24        | Jan. 31       | Jan. 29        | Feb. 3        | Jan. 31        |
| Jan. 29       | Jan. 25        | Feb. 1        | Jan. 30        | Feb. 4        | Jan. 31        |
| Jan. 30       | Jan. 26        | Feb. 2        | Jan. 31        | Feb. 5        | Feb. 1         |

**Dividends announced for January 22-January 26, 2007 can be viewed on the Dividend Daily list homepage on [amextrader.com](http://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> |
|---|------------------------|----------------|
| 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                      | V Jan. 17              | A Mar. 6       |
| Allied Defense Group, Inc.                          | X-3 Dec. 20            | A Feb. 15      |
| *AMCON Distributing Company                         | Feb. 21                | A Apr. 17      |
| American Biltrite, Inc.                             | Mar. 9                 | A May 8        |
| Ascendia Brands, Inc.                               | X-3-4-5 Dec. 29        | A Feb. 14      |
| *Avalon Holdings Corporation                        | Mar. 2                 | A Apr. 27      |
| 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       |
| *Callisto Pharmaceuticals, Inc.                     | Jan. 26                | S Mar. 2       |
| *Capital Properties, Inc.                           | Mar. 1                 | A Apr. 24      |
| *CEL-SCI Corporation                                | Feb. 16                | A              |
| 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<br>Technologies, Inc.                   | Note: (1)<br>X Nov. 20 | A Feb. 2       |
| Consolidated-Tomoka Land Co.                        | Mar. 1                 | A Apr. 25      |
| Continuare 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      |
| Eaton Vance Limited<br>Duration Income Fund         | V Dec. 18              | A Feb. 23      |
| Eaton Vance California<br>Municipal Income Trust    | Jan. 18                | A Mar. 23      |
| Eaton Vance Florida<br>Municipal Income Trust       | Jan. 18                | A Mar. 23      |
| Eaton Vance Massachusetts<br>Municipal Income Trust | Jan. 18                | A Mar. 23      |
| Eaton Vance Michigan<br>Municipal Income Trust      | Jan. 18                | A Mar. 23      |
| Eaton Vance New Jersey<br>Municipal Income Trust    | Jan. 18                | A Mar. 23      |

|  |           |      |    |   |      |    |
|--|-----------|------|----|---|------|----|
| Eaton Vance New York<br>Municipal Income Trust               |           | Jan. | 18 | A | Mar. | 23 |
| Eaton Vance Ohio<br>Municipal Income Trust                   |           | Jan. | 18 | A | Mar. | 23 |
| Eaton Vance Pennsylvania<br>Municipal Income Trust           |           | Jan. | 18 | A | Mar. | 23 |
| Emerging Markets<br>Telecommunications Fund, Inc.            |           | Dec. | 8  | A | Feb. | 15 |
| Evergreen Managed Income Fund                                | V         | Dec. | 15 | A | Feb. | 16 |
| *Flanigan's Enterprises, Inc.                                | V         | Jan. | 5  | A | Feb. | 23 |
| Florida Public Utilities Company                             |           | Mar. | 16 | A | May  | 8  |
| Galaxy Energy Corporation                                    |           | Jan. | 19 | S |      |    |
| *General Employment Enterprises                              | X-2       | Jan. | 2  | A | Feb. | 26 |
| *General Finance Corporation                                 |           | Feb. | 9  | S |      |    |
| 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  |
| 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  |
| MicroIslet, Inc.   |           | Dec. | 26 | S |      |    |
| New Dragon Asia Corp.  | Note: (2) | Dec. | 19 |   |      |    |
| Nuveen Insured New York Dividend<br>Advantage Municipal Fund |           | Feb. | 5  | A | Apr. | 4  |
| Nuveen New York Dividend<br>Advantage Municipal Fund 2       |           | Feb. | 5  | A | Apr. | 4  |
| Nuveen Insured New York Tax-Free<br>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  |
| *O2Diesel Corporation  |           | Jan. | 19 | S | Mar. | 14 |
| 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  |
| *Seaboard Corporation  |           | Mar. | 5  | A | Apr. | 23 |
| SIFCO Industries, Inc.                                       | V         | Dec. | 4  | A | Jan. | 30 |
| *Simulations Plus, Inc.                                      | X-3       | Dec. | 20 | A | Feb. | 23 |
| Softbrands, Inc.   | X-2       | Dec. | 21 | A | Feb. | 5  |
| *Star Maritime Acquisition Corp.                             | V         | Dec. | 29 | A | Feb. | 26 |
| Sunair Services Corporation                                  | V         | Jan. | 5  | A | Feb. | 7  |
| *Tanzanian Royalty Exploration Corp.                         |           | Jan. | 12 | A | Feb. | 26 |
| Tarpon Industries, Inc.                                      | X         | Jan. | 3  | A | Feb. | 2  |
| *Tutogen Medical, Inc.                                       |           | Feb. | 5  | A | Mar. | 19 |
| *U.S. Gold Corporation                                       |           | Jan. | 29 | S |      |    |

|                                       |      |    |   |      |    |
|---------------------------------------|------|----|---|------|----|
| Unitil Corporation                    | Feb. | 14 | A | Apr. | 19 |
| Valley National Gases Incorporated    | Jan. | 22 | S |      |    |
| * VitaCube Systems Holdings Note: (3) | Jan. | 31 | 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.

(3) Record date revised by the Company.



Geraldine M. Brindisi  
Corporate Secretary