



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

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

	BID	OFFER	LAST CONTRACTED
Regular	300	355	320
Options Principal	25	None	320
Limited Trading Permits	None	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 Sale**

**Regular**

(Since September 25, 2007)

\$320,000 – September 28, 2007

**Membership Lease Prices**

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

The following leases were received:

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

**REGULAR**

New		Renewal	
<u>Price</u>	<u>Term</u>	<u>Price</u>	<u>Term</u>
\$400	6 months	2 @ \$400	6 months
		\$375	6 months
		\$250	6 months

**OPTIONS PRINCIPAL**

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

**LIMITED TRADING PERMIT**

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

**Month-End Membership Data**  
(As of September 28, 2007)

**REGULAR**

Closing Bid ..... \$300,000  
Closing Offer ..... \$355,000  
Last Completed Sale..... \$325,000 – September 13, 2007

**OPTIONS PRINCIPAL**

Closing Bid ..... \$25,000  
Closing Offer ..... None  
Last Completed Sale..... \$320,000 – March 29, 2007

**LIMITED TRADING PERMIT**

Closing Bid ..... None  
Closing Offer ..... \$6,500  
Last Completed Sale..... \$25,000 – June 20, 2003

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**Transfers of Membership**

**Termination of Special Transfer Agreement – Regular**  
(Effective September 28, 2007)

**Janine Manolakos\***

Susquehanna Investment Group and  
Susquehanna Securities  
Badge No. 840-Q

**to**

**John Jay Mann, Jr. & Co., Inc.**

Attn: John Jay Mann, Jr.  
5000 North Ocean Blvd. #1607  
Lauderdale by the Sea, FL 33308  
Seat No. 415-R

(Effective at the Opening of Business on October 1, 2007)

**Robert L. Doelp**

LL Partners Inc.  
Badge No. 28

**to**

**Charles Sorsby**

Independent  
676 North Michigan, Ste. 3140  
Chicago, IL 60611  
Seat No. 414-R

**Donn J. Stobierski**

Citadel Derivatives Group LLC

**to**

**Frost Gamma Limited Partnership**

Attn: AnnMarie Pascual  
4400 Biscayne Blvd., 6<sup>th</sup> Floor  
Miami, FL 33137  
Seat Nos. 1-R; 250-R; 261-R; 276-R; 350-R

(Effective October 2, 2007)

**Teddy Wheeler**

Kellogg Capital Group LLC  
Badge No. 873-G

**to**

**John D. Greene**

Independent  
191 Sigler Road  
Pine Plains, NY 12567-9527  
Seat No. 125-R

(Effective October 4, 2007)

**Louis M. DiMenna**

Poplar Securities LLC  
Badge No. 585-L

**to**

**Joel M. Friedberg**

Partner  
DJS Investments  
245 Main Street, Ste 120  
White Plains, NY 10601  
Seat No. 806-R

**Adam Goldsmith**  
CTC L.L.C.  
Badge No. 954-G

**to Sandra J. Larsen**  
Independent  
1 Hampton Court  
Red Bank, NJ 07701  
Seat No. 535-R

**Mark S. Kolber**  
Independent  
Badge No. 1086

**to James M. Stoff**  
Independent  
P.O. Box 488  
Spofford, NH 03462  
Seat No. 119-R

**John S. Stanley**  
Consolidated Trading LLC  
Badge No. 425-S

**to Steven F. Schwartz**  
Independent  
250-B Market Street East  
Gaithersburg, MD 20878  
Seat No. 185-R

*\*Simultaneously transferring to another seat*  
*\*\*Currently a member on another seat*

### **New Membership**

#### **Sale**

**Regular**  
(Effective October 4, 2007)

**Jeffrey C. Barthel**  
Independent

**to Bruce Hershenov**  
Independent  
193 Harborview North  
Lawrence, NY 11559  
Seat No. 656-R

**Special Transfer Agreement – Regular**  
(Effective September 28, 2007)

**Susquehanna Investment Group**

**to Janine Manolakos**  
**Specialist**  
Susquehanna Investment Group and  
Susquehanna Securities  
40 Wall Street, 3<sup>rd</sup> Floor  
New York, NY 10004  
Seat No. 165-R  
Badge No. 840-Q

(Effective October 4, 2007)

**Sandra J. Larsen**  
Independent

**to Patrick Lawler**  
**Trader**  
CTC L.L.C.  
120 Broadway, 10<sup>th</sup> Floor  
New York, NY 10271  
Seat No. 535-R  
Badge No. 954-P

## Current Member – Firm Status Change

### Special Transfer – Regular (Effective September 28 2007)

**Vincent P. Cicco**

Geronimo LLC  
(Muro Partnership – Lessor)  
Badge No. 723-V

to

**Vincent P. Cicco**  
**Trader**

MOG Capital LLC  
250 Park Avenue South, 10<sup>th</sup> Floor  
New York, NY 10003  
Seat No. 734-R  
Badge No. 596-V

**Steven A. Cohen**

Geronimo LLC  
(Steven Friedfertig – Lessor)  
Badge No. 723-C

to

**Steven A. Cohen**  
**Trader**

MOG Capital LLC  
250 Park Avenue South, 10<sup>th</sup> Floor  
New York, NY 10003  
Seat No. 300-R  
Badge No. 596-C

**Robert A. DeSimone**

Geronimo LLC  
(John Jay Mann, Jr. & Co. – Lessor)  
Badge No. 723-D

to

**Robert A. DeSimone**  
**Trader**

MOG Capital LLC  
250 Park Avenue South, 10<sup>th</sup> Floor  
New York, NY 10003  
Seat No. 711-R  
Badge No. 596-R

**Andrew Garnock**

Geronimo LLC  
(M&K Partners GP – Lessor)  
Badge No. 723-G

to

**Andrew Garnock**  
**Trader**

MOG Capital LLC  
250 Park Avenue South, 10<sup>th</sup> Floor  
New York, NY 10003  
Seat No. 778-R  
Badge No. 596-G

**Scott Jacobs**

Geronimo LLC  
(Larkspur Securities Inc. – Lessor)  
Badge No. 723-S

to

**Scott Jacobs**  
**Trader**

MOG Capital LLC  
250 Park Avenue South, 10<sup>th</sup> Floor  
New York, NY 10003  
Seat No. 391-R  
Badge No. 596-S

**Donald K. Jang**

Geronimo LLC  
(Arnold Levinson – Lessor)  
Badge No. 723-J

to

**Donald K. Jang**  
**Trader**

MOG Capital LLC  
250 Park Avenue South, 10<sup>th</sup> Floor  
New York, NY 10003  
Seat No. 62-R  
Badge No. 596-J

**Branislav Novak**  
Geronimo LLC  
(George Mitro– Lessor)  
Badge No. 723-N

to **Branislav Novak**  
**Trader**  
MOG Capital LLC  
250 Park Avenue South, 10<sup>th</sup> Floor  
New York, NY 10003  
Seat No. 813-R  
Badge No. 596-N

(Effective October 1, 2007)  
**Maureen A. Smaldone**  
HBH Specialists LLC  
Badge No. 662

to **Maureen A. Smaldone**  
**Specialist**  
HBH Specialists LLC and  
Bear Wagner Specialists LLC  
40 Wall Street, 42<sup>nd</sup> Floor  
New York, NY 10005  
Seat No. 505-R  
Badge No. 662

(Effective October 4, 2007)  
**John W. Lee**  
Pacific Trading Group LLC  
Badge No. 1145

to **John W. Lee**  
**Trader**  
Blue Capital Group LLC  
1566F Anderson Avenue  
Fort Lee, NJ 07024  
Seat No. 825-R  
Badge No. 605-L

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### Allied Member

(Effective October 4, 2007)  
**Jason M. Adler**  
Executive Officer  
MOG Capital LLC  
2 Rector Street, 3<sup>rd</sup> Floor  
New York, NY 10006

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### Approved Person Organizations

(Effective October 4, 2007)  
**Alphabet Management, LLC**  
Managing Member  
MOG Capital LLC  
2 Rector Street, 3<sup>rd</sup> Floor  
New York, NY 10006

**Alphabet Partners, L.P.**  
Investing Member  
MOG Capital LLC  
2 Rector Street, 3<sup>rd</sup> Floor  
New York, NY 10006

## Changes in Member Organizations

### **\*\*Equitec Proprietary Markets LLC**

Ceased to be registered as a Regular Member Organization with the transfer of \*Joseph P. Daguanno (Badge # 942-J), effective September 27, 2007.

### **\*\*MOG Capital L.L.C.**

Withdrawal of MT Trading LLC as Managing Member; admission of Alphabet Management LLC as Managing Member; Alphabet Partners LP as Investing Member; Jason Adler as Executive Officer; amendment effective October 4, 2007.

### **\*\*Pacific Trading Group LLC**

Ceased to be registered as a Regular Member Organization with the transfer of \*John W. Lee (Badge #1145), effective October 4, 2007.

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## Changes of Address

\*Philip Hummer, Wayne Hummer Investments, LLC, 222 S Riverside Plaza, 28<sup>th</sup> Floor, Chicago, IL 60606

\*Michael S. Whitman, Stuyvesant Trading Group LLC, 2 Rector Street, 3<sup>rd</sup> Floor, New York, NY 10006

\*\* Stuyvesant Trading Group LLC, 2 Rector Street, 3<sup>rd</sup> Floor, New York, NY 10006

\*\* Wayne Hummer Investments, LLC, 222 S Riverside Plaza, 28<sup>th</sup> Floor, Chicago, IL 60606

- 
- \* 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

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## Proposed Transfers of Membership

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

<b>John S. Murphy</b> HBH Specialists LLC	<b>to</b>	<b>Albert Will</b> Independent
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### **(To Be Effective at the Opening of Business on October 8, 2007)**

<b>Hwan Chang</b> Cutler Group LP	<b>to</b>	<b>Mary Chrampanis</b> Independent
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### **(To Be Effective October 11, 2007)**

<b>Mark D. Fowler*</b> Susquehanna Investment Group and Susquehanna Securities	<b>to</b>	<b>Dominic Macchio</b> Independent
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<b>Joseph A. Schmittler</b> Kellogg Capital Group LLC	<b>to</b>	<b>Michael A. Williams</b> Independent
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\*Simultaneously transferring to another seat

\*\*Currently a member on another seat

## New Membership

### Sale

#### Regular

(To Be Effective October 11, 2007)

**Dominic Macchio**  
Independent

to

**Irwin Strauss**  
Independent

**Special Transfer Agreement – Regular**  
(To Be Effective October 5, 2007)

**Parker Holding Company LP**

to

**David M. Marks**  
**Broker of**  
LL Partners Inc.

(To Be Effective October 11, 2007)

**Susquehanna Investment Group**

to

**Mark D. Fowler**  
**Trader/Specialist of**  
Susquehanna Investment Group and  
Susquehanna Securities

**Michael A. Williams**  
Independent

to

**Seth W. Cohen**  
**Trader/Specialist of**  
Kellogg Capital Group LLC

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## Proposed Approved Person Organizations

(To Be Effective October 11, 2007)

**BNY ConvergEx Group, LLC**

Shareholder of

LiquidPoint LLC

311 South Wacker Drive, Ste. 4700

Chicago, IL 60606

**Hamilton Wolcott Holdings, LLC**

Sole Member of

Hamilton Executions LLC

71 Broadway, Suite 12J

New York, NY 10006

**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.**

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## Current Reports Made to the Exchange

Members attention is called to the fact that the following reports are made to the Exchange within the coming next week:

### **Report – To FINRA 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 FINRA Amex Regulation Division pursuant to a grant of authority to the FINRA. Accordingly, this constitutes a request for reports by the Amex.

Web FOCUS Report Part II Monthly - Member Organizations carrying customers and/or self-clearing are required to file by the 17th business day after month-end. Tues. Oct. 23

Web FOCUS Report Part IIA Monthly or Net Capital Computation - Member Organization and Sole Proprietor broker-dealers subject to SEC Rule 15c3-1 net capital requirements but not carrying customers and/or self-clearing are required to file by the 17th business day after month-end. Tues. Oct. 23

Equity Computation - Member Organizations subject to Exchange Rule 110 equity requirements **and exempt from SEC Rule 15c3-1 net capital requirements** are required to file by the 17th business day after month-end. **Amex market-makers in non-option products are subject to SEC Rule 15c3-1 net capital requirements and must file a Web FOCUS Report Part IIA or Net Capital Computation.** Tues. Oct. 23

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 FINRA 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 the website at: <http://www.amex.com/amextrader/tdrInfo/data/axNotices/2006/reg102606.html>.

### **Equities Mid-Month Short Interest Schedule 2007**

<b>Trade Date</b>	<b>Settlement Date</b>	<b>Report Due</b>	<b>Report Published</b>
(Wednesday) October 10	(Monday) October 15	(Wednesday) October 17 1:00 p.m. EST	(Friday) October 19

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

<b>Trade Date</b>	<b>Settlement Date</b>	<b>Report Due</b>	<b>Report Published</b>
(Friday) October 26	(Wednesday) October 31	(Thursday) November 1 1:00 p.m. EST	(Monday) November 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:**

Chyron Corporation 18,287,925 shares of Common Stock Par Value \$.01

General Steel Holdings Inc 34,797,995 shares of Common Stock Par Value \$.001

Highlands Acquisition Corp, 12,000,000 Units

Inter-Atlantic Financial, Inc. 7,500,000 Units

iShares Trust 100,000 iShares S&P California Municipal Bond Fund

iShares Trust 200,000 iShares S&P New York Municipal Bond Fund

Merrill Lynch 11,600,000 shares of Accelerated Return Notes Linked to the MSCI EAFE Index, maturing December 4, 2008

Merrill Lynch 10,500,000 shares of Accelerated Return Notes Linked to the Russell 1000 Growth Index, maturing December 4, 2008

Merrill Lynch 17,800,000 shares of Accelerated Return Notes Linked to the S&P 500 Index, maturing December 4, 2008

SPDR Series Trust 200,000 SPDR Lehman International Treasury Bond ETF

**Additional & Substitution Listings:**

Acme United Corp., 550,000 Shares of Common Stock, \$2.50 Par Value

AMD, Inc., 1,750,000 Shares of Common Stock, \$0.001 Par Value

Apollo Gold Corp., 200,000 Shares of Common Stock, No Par Value

Cubic Corp., 50,000 Shares of Common Stock, No Par Value

General Finance Corp., 500,000 Shares of Common Stock, \$0.0001 Par Value

InterOil Corp., 1,666,667 Shares of Common Stock, No Par Value

Law Enforcement Associates Corporation, 400,000 Shares of Common Stock, No Par Value

PainCare Holdings, Inc., 22,222,224 Shares of Common Stock, \$0.001 Par Value

The Allied Defense Group, Inc., 7,212,692 Shares of Common Stock, \$0.10 Par Value

**Corporate Actions and New Listings announced for September 28, 2007 – October 5, 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.**

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**Registered Interest**

<u>Name of Company</u>	<u>Record Date</u> <u>(New York unless stated otherwise)</u>
<b>Interest due August 1</b>	
Chandler (USA), Inc. (8 ¾% Senior Debentures, due 7/1/14)	Jul. 15
<b>Interest due August 15</b>	
Bank of America 0.25% Senior Notes Optionally Exchangeable, due 2/15/2012	Jul. 31
<b>Interest due August 16</b>	
Lehman Brothers 0.25% Medium-Term Notes Performance, due 2/16/2012	Aug. 1
<b>Interest due August 22</b>	
Citigroup Global Markets Holdings, Inc. (3% Pfizer Exchangeable Notes, due 8/22/08)	Aug. 21

**Interest due August 24**

Bank of America  
(1.25% SPX Index CYCLES, due 2/24/10) Aug. 9

**Interest due August 27**

Bank of America  
(1.25% DJIA Index CYCLES, due 8/25/10) Aug. 10

**Interest due August 31**

CIBC World Markets (Ten Large-Cap U.S. Stocks Premium  
Yield Generator Notes, due 8/31/11) Aug. 30

**Interest due September 1**

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

**Interest due September 4**

Lehman Brothers  
(2% Morgan Stanley link Notes, due 3/3/09) Aug. 19

Freedom Depository LLC/Amherst Securities (5.10% Cl A,  
USAuto Series 2004-1, Freedom Certificates, due 3/3/211) Aug. 31

**Interest due September 13**

Citigroup Global Market Holdings (0.25% Basket of Tech  
Stocks Cash Exchangeable Notes, due 09/13/07) Aug. 29

**Interest due September 20**

Citigroup Global Market Holdings (Dow Jones EURO  
STOXX 50 Index Principal-Protected Notes, due 12/20/07) Sep. 5

**Interest due September 24**

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

**Interest due September 27**

Bank of America  
(1.25% “100/0” Basket of 4 Indices CYCLES, due 9/27/11) Sep. 13

**Interest due September 28**

CIBC World Markets (Ten Large-Cap U.S. Stocks  
Premium Yield Generator Notes, due 9/28/07) Sep. 27

**Interest due October 29**

Bank of America  
(1.75% Basket of 3 Indices CYCLES, due 4/30/09) Oct. 14

CIBC World Markets  
(2% DJIA Principal Protected Notes, due 4/29/10) Oct. 26

**Interest due October 30**

Bank of America  
(1.75% S&P 500 CYCLES, due 4/28/11) Oct. 15

Morgan Stanley  
(2% Proctor & Gamble Exchangeable Notes, due 4/30/11) Oct. 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.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. Citigroup Global Market Holdings Inc.	NDG.A (Nasdaq-100 Principal Protect Notes-12/4/07) SCW.A (S&P 500 Principal Protect Notes-10/22/07)
Credit Suisse (USA), Inc. Credit Suisse (USA), Inc.	IPJ.A (S&P 500 Five Year Contingent Protect Secs-9/30/08) IPJ.B (S&P 500 Five Year Contingent Protect Secs-11/26/08)
Goldman Sachs Group, Inc. (The) Goldman Sachs Group, Inc. (The) Goldman Sachs Group, Inc. (The) Goldman Sachs Group, Inc. (The)	GSD.B (S&P 500 linked Notes-8/7/11) GSN.B (S&P 500 Medium Term Notes-2/28/13) GSN.C (S&P 500 Medium Term Notes-4/18/13) GSN.D (S&P 500 Medium Term Notes-5/30/13)
JP Morgan Chase & Co. JP Morgan Chase & Co. JP Morgan Chase & Co. JP Morgan Chase & Co. JP Morgan Chase & Co. JP Morgan Chase & Co. JP Morgan Chase & Co. JP Morgan Chase & Co. JP Morgan Chase & Co.	JPL.A (Consumer Price Index Secs-1/15/10) JPL.A (S&P 500 linked Notes-11/26/07) JPL.B (S&P 500 Market Participation Notes-3/12/08) JPL.C (Cap Qtr Observation Notes-9/22/08) JPL.D (S&P 500 Cap Qtr Observation Notes-10/30/08) JPL.E (S&P 500 Cap Qtr Observation Notes-1/21/09) JPL.F (S&P 500 Mkt Participation Notes-3/31/09) JPL.G (S&P 500 Cap Qtr Observation Notes-7/7/09) JPL.H (S&P 500 Cap Qtr Observation Notes-9/21/09) JPL.I (S&P 500 Principal Protect Notes-9/30/10)
Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc. Lehman Brothers Holdings Inc.	LBM.C (General Electric Co. Medium Term Notes-5/15/10) LBN.A (Dow Jones EUROSTOXX 50 Index-7/7/08) LBN.B (Dow Jones EURO STOXX 50 Index-7/29/08) LSQ.C (DJIA SUNS-4/29/10) LSQ.D (Nikkei 225 SUNS-6/10/10) PSZ.C (S&P 500 SUNS-8/5/08) PSZ.D (S&P 500 SUNS-9/27/07) PSZ.E (S&P 500 Callable SUNS-11/6/09) PSZ.F (DJ Global Titans Index SUNS-2/9/10) RLN.D (Nasdaq-100 Rebound RANGERS-6/7/08) RLN.E (S&P 500 linked Notes-9/28/09) RLN.G (DJ STOXX 50 linked Notes-11/15/09) RLN.H (Russell 2000 Index linked Notes-12/23/09) RLN.I (S&P 500 Index-Plus Notes-3/3/10)
Merrill Lynch Merrill Lynch	COD.A (Coca-Cola Co Exchangeable Conv Secs-9/30/08) EXO.A (Exxon Mobile Exchangeable Conv Secs-10/3/08)
Morgan Stanley Morgan Stanley Morgan Stanley Morgan Stanley Morgan Stanley	BSN.A (3 stks Sr Exchangeable Debt-12/30/08) ITM.A (Intel Stk Participation Notes-12/30/10) JMS.A (S&P 500 Callable Notes-12/30/08) MRW.A (S&P 500 Mkt Participation Secs-12/30/10) 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 UBS AG	PPV.C (Russell 2000 Principal Protect Notes-4/30/09) PPV.E (DJIA Principal Protect Notes-5/29/09) PPV.G (S&P 500 Principal Protect Notes-11/7/07) PPV.H (S&P 500 Principal Protect Notes-12/7/07) PPV.I (U.S. Equity Indices Principal Protect Notes-10/7/11) PPV.J (DJIA Principal Protect Notes-2/7/08) PPV.K (S&P 500 Principal Protect Notes-9/8/10) PPV.L (S&P 500 Principal Protect Notes-4/8/10) PPV.M (S&P 500 Principal Protect Notes-10/7/09) PPV.N (S&P 500 Principal Protect Notes-5/7/10) PPV.O (S&P 500 Principal Protect Notes-6/7/10) PPV.P (S&P 500 Principal Protect Notes-7/8/10) PPV.Q (S&P 500 Principal Protect Notes-8/6/10) PPV.R (S&P 500 Principal Protect Notes-9/8/09) PPZ.A (S&P 500 Partial Protect Notes-11/05/07) PPZ.B (S&P 500 Partial Principal Protect Notes-2/28/08) 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)
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)

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## Halted Issues

Transactions in the following securities have been halted for a period exceeding five trading days. Members and member organizations are reminded of the provisions of Exchange Rule 462(d)1 when determining the value to place upon those securities for margin purposes.

Any purchase or sale of a security which has been halted by the Exchange may be subject to Federal regulation as well as the rules of the other market(s) where the purchase or sale is to take place.

Members are reminded that open orders on the books of the specialist for an issue which has been halted for 30 days are automatically canceled.

<u>Name of Company (Issue)</u>	<u>Date of Halt</u>
Dyadic International	April 23, 2007

a — Addition to previous Bulletin.

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## Dividends

**Dividends announced for October 1, 2007 – October 5, 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.

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## 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>			
Arizona Star Resource Corp.	Sep.	13	A	Oct.	23	
Baldwin Technology Company, Inc.	Sep.	28	A	Nov.	13	
Bolt Technology Corporation	Oct.	12	A	Nov.	20	
*Bovie Medical Corporation	X-3-4	Sep.	15	A	Oct.	30
*Brooke Capital Corporation		Oct.	11	S		
Contango Oil and Gas Company		Oct.	12	A	Nov.	15
CardioTech International	X-2	Aug.	16	A	Oct.	16
Chad Therapeutics, Inc.	V	Aug.	29	A	Oct.	24
Cuisine Solutions, Inc.		Oct.	3	A	Oct.	25
Delaware Investments CO Insured						
Municipal Income Fund	X-2-3	Jun.	19	A	Oct.	18
Delta Apparel, Inc.	X-2	Sep.	14	A	Nov.	8
Digital Angel Corporation		Sep.	28	A	Nov.	27
Dreams, Inc.		Oct.	11	A	Nov.	8
DRYCLEAN USA, Inc.		Sep.	28	A	Nov.	9
Dune Energy, Inc.	Note: (2)	Apr.	25			
*Energy Income and Growth Fund		Oct.	8	A		
Espey Manufacturing & Electronics Corp.		Oct.	9	A	Nov.	30
*Evergreen Utilities and High Income Fund		Oct.	12			
Evolution Petroleum Corporation		Oct.	15	A	Dec.	4
FieldPoint Petroleum Corporation	V	Sep.	14	A	Oct.	19
*First American Minnesota						
Municipal Income Fund II		Oct.	17	A	Dec.	4
Flight Safety Technologies, Inc.	X-2	Sep.	26	A		
Fountain Powerboat Industries, Inc.		Oct.	1	A	Nov.	13
Foxby Corp.	V	Jul.	25	A	Oct.	10
*Global Entertainment Corporation	V	Aug.	28	A	Oct.	17
Global Income Fund Inc.	X-3	Jul.	25	A	Oct.	10
*Golf Trust of America, Inc.	Note: (3)	Oct.	1	S	Nov.	8
*GSE Systems Inc.		Oct.	12	S	Dec.	13
*Halifax Corporation	V	Sep.	27	A	Nov.	2
Harbor Acquisition Corporation		Aug.	27	S		
HemoSense Inc.		Oct.	4	S		
Hi-Shear Technology Corporation	V	Aug.	31	A	Oct.	30
HQ Sustainable Maritime Industries	V	Oct.	1	A	Nov.	30
*IMA Exploration, Inc.	Note: (1)	Oct.	25	A	Dec.	4
*Immtech Pharmaceuticals, Inc.		Oct.	16	A	Nov.	29
Information Services Group, Inc.		Oct.	5	S		
Insite Vision, Inc.	X-2-3	Aug.	17	A	Oct.	15
International Tower Hill Mines Ltd.		Oct.	9	A	Nov.	13
*InterSearch Group Inc.	Note: (2)	Oct.	8			
ION Media Networks, Inc.	Note: (2)	Jul.	27			
Isolagen, Inc.	V	Sep.	5	A	Nov.	5
Jaclyn, Inc.		Oct.	19	A	Nov.	28
Jinpan International Limited		Sep.	4	A	Oct.	12
*Kimber Resources Inc.	Note: (1)	Oct.	23	A	Dec.	12
Kitty Hawk, Inc.		Jul.	27	A		
LaBarge, Incorporated		Sep.	21	A	Nov.	14
*Lazare Kaplan International Inc.	X-3	Sep.	14	A	Nov.	8
Memry Corporation		Oct.	5	A	Nov.	29
Midwest Air Group, Inc.		Sep.	24	S	Oct.	30

*Minnesota Municipal Income Portfolio	Oct.	17		A	Dec.	4
National Health Realty, Inc.	X	Sep.	14	S	Oct.	25
National HealthCare Corporation	X	Sep.	14	S	Oct.	25
*NEON Communications Group, Inc.	X	Sep.	28	S	Nov.	6
New England						
Realty Associates LP	Note: (4)	Sep.	24			
Nevada Gold & Casinos Inc.	V	Aug.	23	A	Oct.	15
Northeast Bancorp		Sep.	21	A	Nov.	7
*Nova Biosource Fuels, Inc.	X-2	Sep.	18	A	Oct.	30
Nuveen Dividend Advantage						
Municipal Fund 2	X-1	Aug.	1	S	Oct.	12
Nuveen Dividend Advantage						
Municipal Fund 3	X-1	Aug.	1	S	Oct.	12
Nuveen Insured Dividend Advantage						
Municipal Fund	X-1	Aug.	1	S	Oct.	12
Nuveen Insured Tax-Free Advantage						
Municipal Fund	X-1	Aug.	1	S	Oct.	12
Nuveen Municipal High Income						
Opportunity Fund	X-1	Aug.	1	S	Oct.	12
Nuveen AZ Dividend						
Advantage Municipal Fund	X-1	Aug.	1	A	Oct.	12
Nuveen AZ Dividend						
Advantage Municipal Fund 2	X-1	Aug.	1	A	Oct.	12
Nuveen AZ Dividend						
Advantage Municipal Fund 3	X-1	Aug.	1	A	Oct.	12
Nuveen CA Dividend						
Advantage Municipal Fund 3	X-1	Aug.	1	S	Oct.	12
Nuveen CA Dividend						
Advantage Municipal Fund 3	X-1	Aug.	1	S	Oct.	12
Nuveen CA Premium Income						
Municipal Fund	X-1	Aug.	1	S	Oct.	12
Nuveen CT Dividend						
Advantage Municipal Fund	X-1	Aug.	1	A	Oct.	12
Nuveen CT Dividend						
Advantage Municipal Fund 2	X-1	Aug.	1	A	Oct.	12
Nuveen CT Dividend						
Advantage Municipal Fund 3	X-1	Aug.	1	A	Oct.	12
Nuveen GA Dividend						
Advantage Municipal Fund	X-1	Aug.	1	A	Oct.	12
Nuveen GA Dividend						
Advantage Municipal Fund 2	X-1	Aug.	1	A	Oct.	12
Nuveen GA Premium Income						
Municipal Fund	X-1	Aug.	1	A	Oct.	12
Nuveen Insured CA Dividend						
Advantage Municipal Fund	X-1	Aug.	1	S	Oct.	12
Nuveen Insured CA Tax-Free						
Advantage Municipal Fund	X-1	Aug.	1	S	Oct.	12
Nuveen Insured FL Tax-Free						
Advantage Municipal Fund	X-1	Aug.	1	A	Oct.	12
Nuveen Insured MA Tax-Free						
Advantage Municipal Fund	X-1	Aug.	1	A	Oct.	12
Nuveen Insured NY Dividend						
Advantage Municipal Fund	X-1	Aug.	1	S	Oct.	12
Nuveen Insured NY Tax-Free						
Advantage Municipal Fund	X-1	Aug.	1	S	Oct.	12
Nuveen MA Dividend						
Advantage Municipal Fund	X-1	Aug.	1	A	Oct.	12
Nuveen MD Dividend						
Advantage Municipal Fund	X-1	Aug.	1	A	Oct.	12
Nuveen MD Dividend						
Advantage Municipal Fund 2	X-1	Aug.	1	A	Oct.	12
Nuveen MD Dividend						
Advantage Municipal Fund 3	X-1	Aug.	1	A	Oct.	12

Nuveen MI Dividend						
Advantage Municipal Fund	X-1 Aug.	1		A	Oct.	12
Nuveen MO Premium Income Municipal Fund	X-1 Aug.	1		A	Oct.	12
Nuveen NC Dividend						
Advantage Municipal Fund	X-1 Aug.	1		A	Oct.	12
Nuveen NC Dividend						
Advantage Municipal Fund 2	X-1 Aug.	1		A	Oct.	12
Nuveen NC Dividend						
Advantage Municipal Fund 3	X-1 Aug.	1		A	Oct.	12
Nuveen NJ Dividend						
Advantage Municipal Fund	X-1 Aug.	1		A	Oct.	12
Nuveen NJ Dividend						
Advantage Municipal Fund 2	X-1 Aug.	1		A	Oct.	12
Nuveen NY Dividend						
Advantage Municipal Fund 2	X-1 Aug.	1		S	Oct.	12
Nuveen OH Dividend						
Advantage Municipal Fund	X-1 Aug.	1		A	Oct.	12
Nuveen OH Dividend						
Advantage Municipal Fund 2	X-1 Aug.	1		A	Oct.	12
Nuveen OH Dividend						
Advantage Municipal Fund 3	X-1 Aug.	1		A	Oct.	12
Nuveen PA Dividend						
Advantage Municipal Fund	X-1 Aug.	1		A	Oct.	12
Nuveen PA Dividend						
Advantage Municipal Fund 2	X-1 Aug.	1		A	Oct.	12
Nuveen Real Estate Income	X-1-2 (e) Aug.	1		S	Oct.	12
Nuveen VA Dividend						
Advantage Municipal Fund	X-1 Aug.	1		A	Oct.	12
Nuveen VA Dividend						
Advantage Municipal Fund 2	X-1 Aug.	1		A	Oct.	12
Nuveen California Dividend						
Advantage Municipal Fund 2	Oct.	19		A	Dec.	18
Nuveen California Dividend						
Advantage Municipal Fund 3	Oct.	19		A	Dec.	18
Nuveen California Premium Income Municipal Fund	Oct.	19		A	Dec.	18
Nuveen Insured California Dividend						
Advantage Municipal Fund	Oct.	19		A	Dec.	18
Nuveen Insured California Tax-Free Advantage Municipal Fund	Oct.	19		A	Dec.	18
Oilsands Quest Inc.	V	Aug.	17	A	Oct.	17
ON2 Technologies	X-2-3-4-7	Jul.	30	A	Oct.	10
Orion HealthCorp, Inc.		Oct.	1	S	Oct.	23
*Orleans Homebuilders, Inc.		Oct.	26	A	Dec.	6
Orsus Xelent Technologies Inc.		Aug.	30	A		
*PainCare Holdings, Inc.	V	Oct.	3	A	Oct.	26
*Palatin Technologies Inc.		Oct.	25	A	Dec.	7
*PowerShares DB Gold Fund Note: (5) X		Aug.	30	S	Oct.	30
*PowerShares DB Silver Fund Note: (5)X		Aug.	30	S	Oct.	30
*PowerShares DB Precious Metals Fund Note: (5) X		Aug.	30	S	Oct.	30
*Prospect Medical Holdings, Inc.	X-2-4	Sep.	21	A	Nov.	14
R.G. Barry Corporation		Sep.	10	A	Nov.	8
Samaritan Pharmaceuticals, Inc.	V	Aug.	29	A	Oct.	23
Senesco Technologies, Inc.		Oct.	22	A	Dec.	13
*SIFCO Industries, Inc.		Dec.	3	A	Jan.	29
Spark Networks, Inc.	X-3	Aug.	21	A	Oct.	8
Sport Supply Group, Inc.		Oct.	15	A	Nov.	15
*SunLink Health Systems, Inc.	V	Sep.	18	A	Nov.	12
*Symmetry Holdings Inc. Note: (3)	X	Oct.	2	S	Oct.	25

Target Logistics, Inc.	Note: (2)	Sep.	17			
Tarpon Industries Inc.	X-1-2	Aug.	24	A	Oct.	18
*Tel Instrument Electronics Corp.		Oct.	29	A	Dec.	5
XELR8 Holdings, Inc.	X-2-3	Sep.	24	A	Nov.	12

\*Additions to or change from previous Bulletins.

S Special Meeting.

A Annual Meeting.

Adj Adjourned Meeting.

† In Lieu of Annual Meeting.

(1) Meeting is both Annual and Special.

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

(3) Record date revised by the Company.

(4) The Board of Directors has set September 24, 2007 as the record date with respect to a consent solicitation. The consent cut-off date will be October 29, 2007.

(5) Meeting adjourned from October 9<sup>th</sup> to October 30, 2007.



Geraldine M. Brindisi  
Corporate Secretary