



Report: CHECKS

From : 11/1/2012 to 11/30/2012

Date	Amount	Type	Client	Client Name	Rep.	Rep. #
11/13/2012	17,220.00	Research - Research	ATLI	ATLANTIC INVESTMENT MGMT	DR	040
11/19/2012	13,000.00	Research - Research	ATLT	ATLANTIC TRUST/STEINROE	NP	029
11/21/2012	3,277.19	Research - Research	BOST	THE BOSTON COMPANY	NP	029
11/21/2012	6,250.00	Research - Research	BRAH	BRAHMAN CAPITAL	FM	028
11/19/2012	546.47	Research - Research	CAPI	CAPITAL IQ	BRG	091
11/12/2012	81,693.00	Research - Research	CIAL	CITADEL ALPHA LEAGUE	AS BH	200
11/16/2012	35,000.00	Research - Research	COLC	COLUMBUS CIRCLE	ML	036
11/12/2012	59,000.00	Research - Research	CREF	CREF	SM	070
11/14/2012	4,387.50	Research - Research	FIDE	FIDELITY/M EHRLICH	ME	085
11/14/2012	5,962.50	Research - Research	FIDM	FIDELITY/M. SMITH (FLORIDA)	MS	093
11/14/2012	29,700.00	Research - Research	FIDO	FIDELITY MANAGEMENT	MG	030
11/28/2012	7,500.00	Research - Research	FRAS	FRANKLIN ADVISORY SERVIC	IM	025
11/12/2012	20,000.00	Research - Research	GSIP	GOLDMAN SACHS INVESTMENT PARTNERS	BE	044
11/08/2012	2,500.00	Research - Research	INDE	INDEPENDENCE CAPITAL ASSETS		
11/26/2012	4,500.00	Research - Research	ISFM	CONIFER/ISF MANAGEMENT	IM	025
11/26/2012	1,500.00	Research - Research	ISFM	CONIFER/ISF MANAGEMENT	IM	025
11/29/2012	23,500.00	Research - Research	JENN	JENNISON	SM	070
11/16/2012	15,000.00	Research - Research	KARS	KARSCH CAPITAL	SM	070
11/12/2012	3,000.00	Research - Research	LION	LIONEYE CAPITAL	DR	040
11/12/2012	-3,000.00	Research - Research	LION	LIONEYE CAPITAL	DR	040
11/28/2012	3,000.00	Research - Research	LION	LIONEYE CAPITAL	DR	040
11/06/2012	6,250.00	Research - Research	LUXO	LUXOR CAPITAL	CC	041
11/05/2012	48,500.00	Research - Research	MAVR	MAVERICK ADV	DR	040
11/06/2012	35,758.00	Research - Research	NBFF	NBF FINANCIAL		
11/05/2012	24,250.00	Research - Research	NORG	NORGES BANK	ME	085
11/08/2012	7,500.00	Research - Research	OPTI	FAIRPOINTE - OPTIMUM INV ADV	MG	030
11/06/2012	5,000.00	Research - Research	PARN	PARNASSUS INVESTMENTS	RS	084
11/07/2012	20,333.00	Research - Research	PART	PARTNER FUND MGMT LP	DR	040
11/13/2012	2,741.00	Research - Research	PYRA	PYRAMIS GLOBAL	ML NP	231

11/06/2012	4,000.00	Research - Research	ROBX	ROBERTSON STEVENS	RS	084
11/26/2012	8,598.00	Research - Research	ROSN	ROSENBERG CAPITAL MGMT	BC	033
11/14/2012	1,609.49	Research - Research	RUFF	RUFFER LLP	ME	085
11/28/2012	28,198.07	Research - Research	SCAB	SCHRODER	ME	085
11/28/2012	12,500.00	Research - Research	SERE	SERENGETI MGMT	MG	030
11/14/2012	3,232.56	Research - Research	SORB	SOROBAN CAPITAL	DR	040
11/05/2012	45,000.00	Research - Research	SURV	SURVEYOR CAPITAL	CC FM	251
11/26/2012	5,000.00	Research - Research	TACO	TACONIC	ME	085
11/06/2012	700.00	Research - Research	THAM	THIRD AVE MGMT	JC	006
11/30/2012	2,232.22	Research - Research	THOM	THOMSON/INDEPENDENT		
11/16/2012	121,000.00	Research - Research	WELL	WELLINGTON MGMT.	MG FM	258
TOTAL:	715,939.00					

Report created by Lloyd Karp on 09/10/2013 at 02:33:05pm from m/c [192.168.20.137] using Mozilla/4.0 (compatible; MSIE 8.0; Windows NT 6.1; Trident/4.0; SLCC2; .NET CLR 2.0.50727; .NET CLR 3.5.30729; .NET CLR 3.0.30729; Media Center PC 6.0; CMDTDF; .NET4.0C; .NET4.0E)
