



## RR Commissions Summary [ Doug Rogers ]

Trade Date: 01/28/2014

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	01/28	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
1798 CAP/LOMBARD ASSET	040	0	4,550	4,550	4,550	0	0	0	4,550	4,550	4,550	100,520	5
ATLANTIC INVESTMENT MGMT	040	0	0	0	0	0	0	0	0	0	0	84,948	0
BLUE ARROW	040	0	0	0	0	1,900	1,900	1,900	1,900	1,900	1,900	47,458	4
BNP PARIBAS SEC	040	0	0	0	0	0	0	0	0	0	0	39,781	0
BTG PACTUAL	040	0	0	0	0	0	0	0	0	0	0	38,489	0
CASTLEROCK	040	0	1,786	1,786	1,786	0	0	0	1,786	1,786	1,786	78,563	2
CATAPULT - DR	040	0	0	0	0	0	0	0	0	0	0	23,214	0
CATAPULT CAP/DEFRANCO	040	0	0	0	0	0	0	0	0	0	0	11,001	0
CAXTON PART	040	0	0	0	0	0	0	0	0	0	0	135,952	0
CLEARBRIDGE	040	0	0	0	0	0	0	0	0	0	0	73,140	0
CLEARLINE CAPITAL LLC	040	0	0	0	0	0	0	0	0	0	0	4,664	0
DAVIDSON KEMPNER ADVISOR	040	0	0	0	0	0	0	0	0	0	0	34,649	0
DELTEC ASSET MGMT.	040	44	8,042	8,042	8,042	0	0	0	8,042	8,042	8,042	36,610	22
FARALLON CAP MGMT	040	0	7,560	7,560	7,560	0	0	0	7,560	7,560	7,560	170,545	4
HERRING CREEK CAPITAL	040	0	5,994	5,994	5,994	0	0	0	5,994	5,994	5,994	64,281	9
IMPALA ASSET MMT	040	0	20,192	20,192	20,192	0	0	0	20,192	20,192	20,192	323,380	6
KEYGROUP/KGLT	040	0	0	0	0	0	0	0	0	0	0	38,960	0
LIONEYE CAPITAL	040	1,750	4,250	4,250	4,250	0	0	0	4,250	4,250	4,250	50,864	8
LOMAS CAPITAL	040	0	29,069	29,069	29,069	0	0	0	29,069	29,069	29,069	117,738	25
LONG OAR GLOBAL	040	0	1,440	1,440	1,440	0	0	0	1,440	1,440	1,440	41,075	4
MAPLE LANE CAPITAL	040	0	0	0	0	0	0	0	0	0	0	26,770	0
MAVERICK ADV	040	0	0	0	0	0	0	0	0	0	0	164,500	0
MSF CAPITAL(ENTRUST)	040	0	0	0	0	0	0	0	0	0	0	26,429	0
NOMURA/ANGEL LANE PRINCIPAL	040	3,900	56,865	56,865	56,865	0	0	0	56,865	56,865	56,865	196,410	29
OZ MGMT	040	0	42,323	42,323	42,323	0	0	0	42,323	42,323	42,323	400,230	11
PALESTRA	040	0	2,355	2,355	2,355	0	0	0	2,355	2,355	2,355	28,377	8
PARTNER FUND MGMT LP	040	0	0	0	0	0	0	0	0	0	0	228,062	0
PROVIDENCE EQUITY CAPITAL	040	0	0	0	0	0	0	0	0	0	0	112,963	0
RBC CAPITAL MARKETS	040	0	2,400	2,400	2,400	0	0	0	2,400	2,400	2,400	17,559	14
ROBECO BOSTON PARTNERS	040	0	0	0	0	0	0	0	0	0	0	66,000	0
ROTHSCHILD ASSET	040	0	9,050	9,050	9,050	0	0	0	9,050	9,050	9,050	67,867	13
ROUTE ONE PARTNERS	040	0	0	0	0	0	0	0	0	0	0	15,000	0
ROVER CAPITAL PARTNERS	040	0	1,429	1,429	1,429	0	0	0	1,429	1,429	1,429	5,987	24
ROYSTONE CAPITAL MANAGEMENT LP	040	0	750	750	750	0	0	0	750	750	750	8,945	8
SAFRA ASSET MGMT.	040	0	0	0	0	0	0	0	0	0	0	2,250	0
SOROBAN CAPITAL	040	0	0	0	0	0	0	0	0	0	0	76,324	0
SUFFOLK CAPITAL MGMT	040	0	4,526	4,526	4,526	0	0	0	4,526	4,526	4,526	132,183	3
TALPION LLC	040	0	0	0	0	0	0	0	0	0	0	1,149	0
TRUST CO/COWEN/CALF.	040	0	2,850	2,850	2,850	0	0	0	2,850	2,850	2,850	27,331	10

TRUSTCO/SUNTRUST (CEREDEX)	040	0	0	0	0	16,766	16,766	16,766	16,766	16,766	16,766	0	0
WEISS PECK/ROBECO/BOSTON PT	040	0	35,675	35,675	35,675	0	0	0	35,675	35,675	35,675	169,383	21
<b>TOTALS:</b>		<b>5,694</b>	<b>241,106</b>	<b>241,106</b>	<b>241,106</b>	<b>18,666</b>	<b>18,666</b>	<b>18,666</b>	<b>259,772</b>	<b>259,772</b>	<b>259,772</b>		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	01/28	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BASSWOOD PARTNERS	267	0	3,977	3,977	3,977	0	0	0	3,977	3,977	3,977	125,477	0
DAVIDSON KEMPNER ADVISOR	281	1,250	15,250	15,250	15,250	0	0	0	15,250	15,250	15,250	34,649	0
DELAWARE MANAGEMENT	243	0	0	0	0	11,100	11,100	11,100	11,100	11,100	11,100	7,000	159
OSKIE CAPITAL MGMT	224	2,500	2,500	2,500	2,500	0	0	0	2,500	2,500	2,500	71,495	0
WEXFORD CAPITAL	284	0	1,056	1,056	1,056	0	0	0	1,056	1,056	1,056	34,332	0
<b>TOTALS:</b>		<b>3,750</b>	<b>22,783</b>	<b>22,783</b>	<b>22,783</b>	<b>11,100</b>	<b>11,100</b>	<b>11,100</b>	<b>33,883</b>	<b>33,883</b>	<b>33,883</b>		

Report created by Doug Rogers on 02/03/2014 at 08:00:11am from m/c [192.168.20.134] using Mozilla/4.0 (compatible; MSIE 7.0; Windows NT 6.1; Trident/5.0; 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; Tablet PC 2.0)