



RR Commissions Summary [Fran McCartan]

Trade Date: 10/21/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	10/21	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ACK ASSET	028	0	4,590	4,590	49,865	0	0	0	4,590	4,590	49,865	50,147	99
ARSENAL ASSET MANAGEMENT	028	0	0	0	4,490	0	0	0	0	0	4,490	93,565	5
BRAHMAN CAPITAL	028	0	0	0	0	0	0	23,750	0	0	23,750	15,625	152
BRANDWINE	028	0	7,552	7,552	105,549	0	0	0	7,552	7,552	105,549	70,865	149
CHART WELL ADV	028	0	1,710	1,710	4,696	0	0	10,000	1,710	1,710	14,696	18,132	81
CHESAPEAKE PARTNERS	028	0	0	0	0	12,500	12,500	37,500	12,500	12,500	37,500	68,426	55
COLUMBIA PARTNERS	028	0	718	718	6,246	0	0	0	718	718	6,246	10,781	58
COOKBIELER	028	0	0	0	7,250	0	0	0	0	0	7,250	30,938	23
COOPER CREEK PART	028	0	0	0	11,211	0	0	0	0	0	11,211	25,645	44
CROSS LEDGE	028	0	0	0	0	0	0	2,500	0	0	2,500	3,500	71
DAVIDSON KEMPNER FRAN	028	0	0	0	14,559	0	0	0	0	0	14,559	0	0
J. GOLDMAN	028	4,690	14,114	14,114	174,621	0	0	0	14,114	14,114	174,621	142,952	122
KADE CAPITAL LLC	028	0	640	640	3,003	0	0	0	640	640	3,003	1,175	256
MILLENNIUM-ICS-SAYAN GHOSH	028	0	0	0	7,048	0	0	1,275	0	0	8,323	20,668	40
MILLRACE FUND LP	028	0	0	0	4,705	0	0	0	0	0	4,705	13,618	35
MTB INV ADV	028	0	0	0	452	0	0	0	0	0	452	0	0
PENN CAPITAL	028	0	0	0	0	0	0	7,500	0	0	7,500	3,000	250
RIDGECREST INV MGMT LLC	028	0	5,100	5,100	26,843	0	0	0	5,100	5,100	26,843	27,627	97
SAMLYN	028	0	0	0	0	25,000	25,000	50,000	25,000	25,000	50,000	0	0
SANDLER CAPITAL	028	0	32,282	32,282	226,543	0	0	0	32,282	32,282	226,543	238,892	95
SCHNEIDER CAPITAL	028	0	0	0	0	0	0	7,500	0	0	7,500	20,000	38
TIDE POINT CAPITAL	028	0	7,065	7,065	32,547	0	0	0	7,065	7,065	32,547	0	0
TRELLUS PARTNERS LP	028	0	0	0	9,290	0	0	0	0	0	9,290	29,932	31
TUDOR INVESTORS	028	690	12,690	12,690	79,013	0	0	50,000	12,690	12,690	129,013	139,682	92
VERITION	028	0	675	675	7,800	0	0	0	675	675	7,800	19,605	40
WATERFRONT CAP	028	0	1,224	1,224	13,256	0	0	0	1,224	1,224	13,256	66,858	20
TOTALS:		5,380	88,360	88,360	788,985	37,500	37,500	190,025	125,860	125,860	979,010		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	10/21	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ADJUSTMENT (251)	251	0	0	0	0	0	0	0	0	0	0	-13,476	0
DAVIDSON KEMPNER ADVISOR	281	0	2,530	2,530	66,214	0	0	0	2,530	2,530	66,214	0	0
DELAWARE MANAGEMENT	243	0	0	0	0	0	0	7,000	0	0	7,000	0	0
GEORGE WEISS	278	0	4,230	4,230	35,676	0	0	80,000	4,230	4,230	115,676	0	0
GUGGENHEIM GLOBAL TRADING (GGT)	251	0	33,499	33,499	110,814	0	0	0	33,499	33,499	110,814	23,170	0
KEY ASSET MGMT/VICTORY	220	0	10,456	10,456	113,694	0	0	26,250	10,456	10,456	139,944	352,500	7

PENNANT CAP MGMT	250	0	1,600	1,600	6,020	0	0	0	1,600	1,600	6,020	0	0
SURVEYOR CAPITAL	251	0	3,251	3,251	24,591	0	0	130,000	3,251	3,251	154,591	191,311	68
T. ROWE PRICE	243	0	24,910	24,910	131,882	0	0	0	24,910	24,910	131,882	0	0
WELLINGTON MGMT.	035	0	0	0	0	0	0	133,000	0	0	133,000	232,000	57
WILLIAMS TRADING/NEWBROOK	306	0	0	0	3,719	0	0	0	0	0	3,719	0	0
TOTALS:		0	80,476	80,476	492,610	0	0	376,250	80,476	80,476	868,860		

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