



# RR Commissions Summary [ Andrew Sinclair ]

Trade Date: 11/26/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	11/26	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
A. R. SCHMEIDLER & CO.	031	0	0	0	2,360	0	0	0	0	0	2,360	0	0
ASSOCIATED	031	0	0	0	0	0	0	0	0	0	0	15,509	0
BARROW HANLEY MEWHINNEY	031	0	0	11,683	94,212	0	0	9,000	0	11,683	103,212	89,062	116
CARLSON CAPITAL	031	0	0	0	0	5,500	5,500	5,500	5,500	5,500	5,500	0	0
CASTLE ARK	031	1,003	1,003	9,960	100,708	0	0	0	1,003	9,960	100,708	210,377	48
CHANNING CAPITAL	031	0	0	0	3,976	0	0	0	0	0	3,976	9,924	40
CHILTON CAPITAL MGMT	031	0	0	2,078	2,078	0	0	0	0	2,078	2,078	4,159	50
CORTEX CAPITAL	031	0	0	8,430	23,490	0	0	0	0	8,430	23,490	0	0
ESSENCIAL CAPITAL	031	0	0	900	2,665	0	0	0	0	900	2,665	0	0
HAMILTON CAP PART FIN	031	0	0	0	4,020	0	0	0	0	0	4,020	4,520	89
INVESCO	031	0	0	0	119,961	0	13,000	43,834	0	13,000	163,795	114,396	143
JHL CAPITAL	031	0	0	0	0	0	0	0	0	0	0	12,500	0
KLEINHEINZ CAP PART	031	0	0	42,420	120,695	0	0	0	0	42,420	120,695	279,792	43
MAGNETAR FINANCIAL	031	0	0	4,770	6,210	0	0	0	0	4,770	6,210	0	0
NEW VERNON/SF INVESTMENTS	031	0	0	26,942	59,262	0	0	0	0	26,942	59,262	13,151	451
NOKOMIS PARTNERS	031	0	0	4,922	26,364	0	0	0	0	4,922	26,364	24,102	109
PIONEER OAKRIDGE	031	0	0	11,599	11,599	0	0	20,000	0	11,599	31,599	40,272	78
RAIL-SPLITTER	031	0	0	0	0	3,000	3,000	11,000	3,000	3,000	11,000	19,000	58
ROARING BLUE LION MGMT	031	0	0	3,480	39,107	0	0	0	0	3,480	39,107	17,869	219
ROYCE TRADING	031	2,525	2,525	2,790	56,289	0	0	0	2,525	2,790	56,289	101,758	55
SAC CHICAGO ANDREW	031	0	0	0	4,365	0	0	0	0	0	4,365	31,633	14
SANDLER O'NEILL ASSET	031	0	0	14,485	157,455	0	0	0	0	14,485	157,455	105,074	150
SAXON WOODS ADVISORS	031	0	0	0	0	0	5,000	5,000	0	5,000	5,000	0	0
SHEFFIELD ASSET MGMT	031	0	0	14,144	36,438	0	0	0	0	14,144	36,438	38,713	94
TYVOR CAPITAL LLC	031	3,922	3,922	14,467	33,040	0	0	0	3,922	14,467	33,040	0	0
UBS OCONNOR	031	0	0	675	17,109	0	0	10,000	0	675	27,109	19,717	137
WANGER ASS	031	0	0	0	0	0	0	35,700	0	0	35,700	30,000	119
WOODWAY FINANCIAL	031	0	0	7,500	26,451	0	0	0	0	7,500	26,451	34,268	77
<b>TOTALS:</b>		<b>7,450</b>	<b>7,450</b>	<b>181,245</b>	<b>947,853</b>	<b>8,500</b>	<b>26,500</b>	<b>140,034</b>	<b>15,950</b>	<b>207,745</b>	<b>1,087,887</b>		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	11/26	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
A.I.M. ADVISORS INC	222	0	0	0	0	0	0	0	0	0	0	0	0
CAISSE DEPOT PLACEMENT Q	295	0	0	10,050	28,347	0	0	0	0	10,050	28,347	12,444	0
CITADEL ADV		0	0	0	0	0	55,000	165,000	0	55,000	165,000	240,000	69
CITADEL ALPHA LEAGUE		0	0	0	0	0	0	78,281	0	0	78,281	100,035	78
LONE PINE MGMT	257	0	0	0	0	0	0	12,000	0	0	12,000	0	0
LORD ABBETT & COMPANY	098	0	0	0	0	0	0	0	0	0	0	0	0
MOORE CAPITAL	257	0	0	69,390	134,428	0	0	0	0	69,390	134,428	0	0
NEUBERGER BERMAN	238	0	0	45,891	225,266	0	0	0	0	45,891	225,266	0	0
SG CAPITAL/CEDAR STREET FUNDS	307	0	0	0	0	0	0	3,000	0	0	3,000	0	0
<b>TOTALS:</b>		0	0	125,331	388,040	0	55,000	258,281	0	180,331	646,321		

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