



## RR Commissions Summary [ Doug Rogers ]

Trade Date: 11/25/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	11/25	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
1798 CAP/LOMBARD ASSET	040	0	7,750	10,750	95,520	0	0	0	7,750	10,750	95,520	75,990	126
ATLANTIC INVESTMENT MGMT	040	0	0	0	0	19,940	19,940	84,948	19,940	19,940	84,948	94,313	90
BLUE ARROW	040	0	0	0	0	10,448	28,187	28,187	10,448	28,187	28,187	0	0
BNP PARIBAS SEC	040	0	3,286	4,636	39,781	0	0	0	3,286	4,636	39,781	157,588	25
BTG PACTUAL	040	0	6,600	11,160	35,192	0	0	0	6,600	11,160	35,192	12,781	275
CASTLEROCK	040	0	2,266	7,865	76,324	0	0	0	2,266	7,865	76,324	75,871	101
CATAPULT - DR	040	0	0	0	9,898	0	0	13,315	0	0	23,214	102,098	23
CATAPULT CAP/DEFRANCO	040	0	0	0	9,298	0	0	1,703	0	0	11,001	65,779	17
CAXTON PART	040	0	0	0	0	0	43,452	135,952	0	43,452	135,952	13,017	1044
CLEARBRIDGE	040	0	0	0	0	25,540	25,540	73,140	25,540	25,540	73,140	65,450	112
CLEARLINE CAPITAL LLC	040	0	0	0	4,664	0	0	0	0	0	4,664	0	0
CYPRESS CAP MGMT LLC	040	0	0	0	2,488	0	0	0	0	0	2,488	7,797	32
DAVIDSON KEMPNER ADVISOR	040	0	0	0	34,649	0	0	0	0	0	34,649	57,232	61
DECADE CAPITAL PARTNERS	040	0	0	0	4,988	0	0	4,252	0	0	9,240	22,868	40
DELTEC ASSET MGMT.	040	0	300	800	28,685	0	0	0	300	800	28,685	37,182	77
FARALLON CAP MGMT	040	0	1,600	4,168	142,732	15,000	15,000	15,000	16,600	19,168	157,732	119,348	132
HERRING CREEK CAPITAL	040	0	8,133	17,670	57,138	0	0	0	8,133	17,670	57,138	0	0
IMPALA ASSET MMT	040	0	6,650	6,650	283,354	0	0	0	6,650	6,650	283,354	278,343	102
KEYGROUP/KGLT	040	0	7,000	13,000	38,960	0	0	0	7,000	13,000	38,960	12,560	310
LIONEYE CAPITAL	040	0	6,007	11,604	27,614	0	4,000	21,000	6,007	15,604	48,614	27,534	177
LOMAS CAPITAL	040	0	16,161	20,720	106,411	0	0	0	16,161	20,720	106,411	63,245	168
LONG OAR GLOBAL	040	0	3,600	4,080	41,075	0	0	0	3,600	4,080	41,075	45,115	91
MAPLE LANE CAPITAL	040	0	7,280	7,280	22,570	0	0	0	7,280	7,280	22,570	0	0
MAVERICK ADV	040	0	0	0	0	0	0	127,000	0	0	127,000	163,000	78
MSF CAPITAL(ENTRUST)	040	0	6,984	11,187	26,429	0	0	0	6,984	11,187	26,429	1,439	1836
NOMURA/ANGEL LANE PRINCIPAL	040	0	8,250	16,050	178,293	0	0	0	8,250	16,050	178,293	76,350	234
OZ MGMT	040	0	49,021	61,537	318,401	0	0	0	49,021	61,537	318,401	553,938	57
PALESTRA	040	0	9,162	9,162	12,702	0	0	15,000	9,162	9,162	27,702	27,018	103
PARTNER FUND MGMT LP	040	0	0	0	0	65,750	65,750	228,062	65,750	65,750	228,062	90,116	253
PROVIDENCE EQUITY CAPITAL	040	0	0	15,320	109,078	0	0	0	0	15,320	109,078	13,056	835
RBC CAPITAL MARKETS	040	0	0	0	15,959	0	0	0	0	0	15,959	112,249	14
ROBECO BOSTON PARTNERS	040	0	0	0	0	0	0	30,000	0	0	30,000	0	0
ROTHSCHILD ASSET	040	0	3,114	11,981	47,486	0	0	0	3,114	11,981	47,486	79,880	59
ROUTE ONE PARTNERS	040	0	0	0	0	0	0	15,000	0	0	15,000	15,000	100
ROVER CAPITAL PARTNERS	040	0	480	2,090	5,267	0	0	0	480	2,090	5,267	0	0
ROYSTONE CAPITAL MANAGEMENT LP	040	0	0	2,550	8,945	0	0	0	0	2,550	8,945	0	0
SAFRA ASSET MGMT.	040	0	0	0	2,250	0	0	0	0	0	2,250	150	1500
SOROBAN CAPITAL	040	0	0	0	0	0	0	26,425	0	0	26,425	128,783	21
SUFFOLK CAPITAL MGMT	040	0	3,834	10,822	118,121	0	0	0	3,834	10,822	118,121	147,308	80

TALPION LLC	040	0	0	0	1,149	0	0	0	0	0	1,149	15,362	7
TRUST CO/COWEN/CALF.	040	0	3,566	3,566	27,331	0	0	0	3,566	3,566	27,331	106,499	26
WEISS PECK/ROBECO/BOSTON PT	040	0	40,281	57,622	145,083	5,500	5,500	24,300	45,781	63,122	169,383	83,797	202
WESTFACE CAPITAL	040	0	0	0	0	0	0	0	0	0	0	19,650	0
<b>TOTALS:</b>		<b>0</b>	<b>201,327</b>	<b>322,270</b>	<b>2,077,835</b>	<b>142,178</b>	<b>207,369</b>	<b>843,285</b>	<b>343,505</b>	<b>529,639</b>	<b>2,921,120</b>		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	11/25	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BASSWOOD PARTNERS	267	2,216	8,543	14,062	118,088	0	0	0	8,543	14,062	118,088	103,730	0
CATAPULT - JC	283	0	0	0	0	10,712	23,333	55,326	10,712	23,333	55,326	0	0
DAVIDSON KEMPNER ADVISOR	281	0	9,725	16,005	45,040	0	0	0	9,725	16,005	45,040	57,232	61
DELAWARE MANAGEMENT	243	0	0	0	0	0	0	7,000	0	0	7,000	0	0
OSKIE CAPITAL MGMT	224	0	12,145	17,145	71,495	0	0	0	12,145	17,145	71,495	50,768	0
PERIMETER	273	0	0	1,771	5,568	0	0	0	0	1,771	5,568	55,952	0
TRUSTCO/SUNTRUST (CEREDEX)	273	0	0	0	35,813	0	24,276	51,271	0	24,276	87,084	2,309	2
WEXFORD CAPITAL	284	0	6,115	6,265	29,533	0	0	0	6,115	6,265	29,533	2,962	0
<b>TOTALS:</b>		<b>2,216</b>	<b>36,528</b>	<b>55,248</b>	<b>305,538</b>	<b>10,712</b>	<b>47,609</b>	<b>113,597</b>	<b>47,240</b>	<b>102,857</b>	<b>419,135</b>		

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