



## RR Commissions Summary [ Andrew Sinclair ]

Trade Date: 10/22/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	10/22	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	0	82,529	0	0	9,000	0	0	91,529	89,062	103
CASTLE ARK	031	0	2,937	2,937	93,685	0	0	0	2,937	2,937	93,685	210,377	45
CHANNING CAPITAL	031	0	0	0	3,976	0	0	0	0	0	3,976	9,924	40
CHILTON CAPITAL MGMT	031	0	0	0	0	0	0	0	0	0	0	4,159	0
COPIA CAPITAL	031	0	0	0	0	0	0	0	0	0	0	16,875	0
CORTEX CAPITAL	031	0	3,660	3,660	18,720	0	0	0	3,660	3,660	18,720	0	0
ESSENCIAL CAPITAL	031	0	600	600	2,365	0	0	0	600	600	2,365	0	0
HAMILTON CAP PART FIN	031	0	0	0	4,020	0	0	0	0	0	4,020	4,520	89
HIGHLAND CAPITAL/PYXIS	031	0	0	0	0	0	0	0	0	0	0	1,828	0
INVESCO	031	0	0	0	119,961	13,000	13,000	43,834	13,000	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	25,000	25,000	103,275	0	0	0	25,000	25,000	103,275	279,792	37
MAGNETAR FINANCIAL	031	0	2,549	2,549	3,989	0	0	0	2,549	2,549	3,989	0	0
NEW VERNON/SF INVESTMENTS	031	0	0	0	32,320	0	0	0	0	0	32,320	13,151	246
NOKOMIS PARTNERS	031	30	1,054	1,054	22,495	0	0	0	1,054	1,054	22,495	24,102	93
PIONEER OAKRIDGE	031	0	0	0	0	0	0	20,000	0	0	20,000	40,272	50
RAIL-SPLITTER	031	0	0	0	0	0	0	8,000	0	0	8,000	19,000	42
ROARING BLUE LION MGMT	031	0	2,404	2,404	38,031	0	0	0	2,404	2,404	38,031	17,869	213
ROYCE TRADING	031	0	265	265	53,764	0	0	0	265	265	53,764	101,758	53
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	7,752	7,752	150,721	0	0	0	7,752	7,752	150,721	105,074	143
SHEFFIELD ASSET MGMT	031	0	5,304	5,304	27,598	0	0	0	5,304	5,304	27,598	38,713	71
TYVOR CAPITAL LLC	031	0	5,210	5,210	23,783	0	0	0	5,210	5,210	23,783	0	0
UBS OCONNOR	031	0	0	0	16,434	0	0	10,000	0	0	26,434	19,717	134
WANGER ASS	031	0	0	0	0	0	0	35,700	0	0	35,700	30,000	119
WOODWAY FINANCIAL	031	0	0	0	18,951	0	0	0	0	0	18,951	34,268	55
<b>TOTALS:</b>		<b>30</b>	<b>56,734</b>	<b>56,734</b>	<b>823,342</b>	<b>13,000</b>	<b>13,000</b>	<b>126,534</b>	<b>69,734</b>	<b>69,734</b>	<b>949,876</b>		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	10/22	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	10,050	10,050	28,347	0	0	0	10,050	10,050	28,347	12,444	0
CITADEL ADV	280	0	0	0	0	0	0	110,000	0	0	110,000	240,000	46
CITADEL ALPHA LEAGUE	280	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	4,500	19,350	19,350	84,388	0	0	0	19,350	19,350	84,388	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>		<b>4,500</b>	<b>29,400</b>	<b>29,400</b>	<b>112,735</b>	<b>0</b>	<b>0</b>	<b>203,281</b>	<b>29,400</b>	<b>29,400</b>	<b>316,016</b>		

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