RR Commissions Summary [Doug Rogers]

Trade Date: 12/31/2012

"Brokerage Month Basis" CLIENT (PRIMARY)	RR	COMMISSIONS 12/31	MTD	QTD	YTD	CHECKS MTD	QTD	YTD	TOTAL MTD	QTD	YTD	LAST YEAR	% of LY
MSF CAPITAL(ENTRUST)	040	0	0	964	1,439	0	0	0	0	964	1,439	57,751	2
1798 CAP/LOMBARD ASSET	040	0	0	26,700	75,990	0	0	0	0	26,700	75,990	68,770	110
ATLANTIC INVESTMENT MGMT	040	0	0	0	0	0	17,220	94,313	0	17,220	94,313	80,472	117
BALLAST CAP	040	0	0	0	38,739	0	0	0	0	0	38,739	60,971	64
BNP PARIBAS SEC	040	0	0	29,861	157,588	0	0	0	0	29,861	157,588	401,531	39
BTG PACTUAL	040	0	0	10,381	12,781	0	0	0	0	10,381	12,781	0	0
CASTLEROCK	040	0	0	24,780	75,871	0	0	0	0	24,780	75,871	216,725	35
CATAPULT - DR	040	0	0	24,953	102,098	0	0	0	0	24,953	102,098	167,178	61
CATAPULT CAP/DEFRANCO	040	0	0	8,271	65,779	0	0	0	0	8,271	65,779	23,686	278
CAXTON PART	040	0	0	0	3,017	0	0	10,000	0	0	13,017	66,283	20
CLEARBRIDGE	040	0	0	0	0	9,625	19,250	65,450	9,625	19,250	65,450	70,000	94
COATUE MANAGEMENT	040	0	0	0	17,500	0	0	0	0	0	17,500	0	0
CYPRESS CAP MGMT LLC	040	776	776	776	8,573	0	0	0	776	776	8,573	30,481	28
DAVIDSON KEMPNER ADVISOR	040	1,344	3,710	33,637	60,943	0	0	0	3,710	33,637	60,943	111,941	54
DECADE CAPITAL PARTNERS	040	0	0	2,940	22,868	0	0	0	0	2,940	22,868	7,568	302
DELTEC ASSET MGMT.	040	0	0	6,235	37,182	0	0	0	0	6,235	37,182	39,981	93
FARALLON CAP MGMT	040	0	0	29,483	119,348	0	0	0	0	29,483	119,348	152,281	78
GREEN ARROW JOHN	040	0	0	0	4,900	0	0	0	0	0	4,900	125,866	4
IMPALA ASSET MMT	040	0	0	82,959	278,343	0	0	0	0	82,959	278,343	170,729	163
KEYGROUP/KGLT	040	0	0	2,000	12,560	0	0	0	0	2,000	12,560	0	0
LIONEYE CAPITAL	040	0	0	9,625	14,234	2,000	7,000	13,300	2,000	16,625	27,534	4,830	570
LOMAS CAPITAL	040	0	0	63,245	63,245	0	0	0	0	63,245	63,245	0	0
LONG OAR GLOBAL	040	0	452	6,410	45,567	0	0	0	452	6,410	45,567	33,297	137
MACQUARIE INVESTMENT MGMT.	040	0	0	0	0	0	0	15,785	0	0	15,785	60,115	26
MAVERICK ADV	040	0	0	0	0	0	48,500	163,000	0	48,500	163,000	176,000	93
NOMURA/ANGEL LANE PRINCIPAL	040	0	0	74,310	76,350	0	0	0	0	74,310	76,350	0	0
OZ MGMT	040	4,500	4,500	146,318	558,438	0	0	0	4,500	146,318	558,438	792,269	70
PALESTRA	040	0	0	14,445	27,018	0	0	0	0	14,445	27,018	0	0
PARTNER FUND MGMT LP	040	0	0	0	0	0	20,333	90,116	0	20,333	90,116	170,175	53
PROVIDENCE EQUITY CAPITAL	040	0	0	13,056	13,056	0	0	0	0	13,056	13,056	0	0
RBC CAPITAL MARKETS	040	0	0	0	112,249	0	0	0	0	0	112,249	215,545	52
ROTHSCHILD ASSET	040	0	0	8,988	79,880	0	0	0	0	8,988	79,880	90,901	88
ROUTE ONE PARTNERS	040	0	0	0	0	5,000	5,000	15,000	5,000	5,000	15,000	0	0
SAFRA ASSET MGMT.	040	0	0	150	150	0	0	0	0	150	150	0	0
SOROBAN CAPITAL	040	0	0	0	0	0	3,233	128,783	0	3,233	128,783	18,251	706
SUFFOLK CAPITAL MGMT	040	0	0	72,446	147,308	0	0	0	0	72,446	147,308	101,995	144
TALPION LLC	040	0	0	1,204	15,362	0	0	0	0	1,204	15,362	67,614	23
TRUST CO OF THE WEST/NY	040	0	0	0	0	0	0	0	0	0	0	19,179	0
TRUST CO/COWEN/CALF.	040	0	0	29,480	106,499	0	0	0	0	29,480	106,499	121,727	87

CLIENT	RR	12/31	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD	LAST YEAR	%
TRUSTCO/SUNTRUST (CEREDEX)	040	0	0	0	2,309	0	0	33,327	0	0	35,636	187,995	19
WEISS PECK/ROBECO/BOSTON PT	040	0	0	14,606	60,797	0	0	23,000	0	14,606	83,797	76,543	109
WESTFACE CAPTAL	040	0	0	19,650	19,650	0	0	0	0	19,650	19,650	0	0
TOTALS:		6,620	9,438	757,874	2,437,632	16,625	120,536	652,074	26,063	878,409	3,089,707		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	12/31	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BASSWOOD PARTNERS	267	0	1,576	39,763	105,306	0	0	0	1,576	39,763	105,306	59,682	0
CATAPULT - JC	283	0	0	0	0	0	0	0	0	0	0	0	0
DAVIDSON KEMPNER ADVISOR	281	0	0	0	0	0	0	0	0	0	0	111,941	54
DELAWARE MANAGEMENT	243	0	0	0	0	0	0	0	0	0	0	0	0
OSKIE CAPITAL MGMT	224	0	0	31,895	50,768	0	0	0	0	31,895	50,768	52,803	0
PERIMETER	273	0	0	9,990	27,272	0	0	28,680	0	9,990	55,952	57,360	50
TRUSTCO/SUNTRUST (CEREDEX)	273	0	0	30,014	114,562	0	0	0	0	30,014	114,562	187,995	19
WEXFORD CAPITAL	284	0	0	2,962	2,962	0	0	0	0	2,962	2,962	0	0
TOTALS:		0	1,576	114,624	300,870	0	0	28,680	1,576	114,624	329,550		