



RR Commissions Summary [Ian Miller]

Trade Date: 11/27/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	11/27	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BOURGEON CAPITAL	025	0	0	600	600	0	0	0	0	600	600	0	0
BTIG/KDI ADV	025	0	0	0	0	0	12,500	37,500	0	12,500	37,500	50,000	75
CHARTERBRIDGE CAPITAL	025	0	0	10,652	32,259	0	0	0	0	10,652	32,259	43,000	75
CONIFER	025	0	0	0	960	0	0	0	0	0	960	6,928	14
CONIFER/ISF MANAGEMENT	025	0	0	0	0	5,000	5,000	12,000	5,000	5,000	12,000	13,840	87
CYRUS CAPITAL	025	0	0	7,500	120,773	0	0	0	0	7,500	120,773	36,516	331
EMINENCE CAPITAL	025	0	0	0	0	0	0	35,000	0	0	35,000	80,000	44
EVERCORE WEALTH MGMT	025	0	0	3,315	3,315	0	0	0	0	3,315	3,315	0	0
FRANKLIN ADVISORY SERVIC	025	0	0	0	0	0	0	17,525	0	0	17,525	20,000	88
G WEISS /IAN	025	0	0	0	0	0	0	0	0	0	0	5,040	0
GABELLI FUNDS	025	0	0	2,304	12,090	0	0	0	0	2,304	12,090	0	0
HAWK RIDGE	025	1,600	1,600	2,100	2,460	0	0	0	1,600	2,100	2,460	0	0
HOPLITE MGMT	025	0	0	4,000	37,909	0	0	0	0	4,000	37,909	59,717	63
KOLVEN CAPITAL	025	0	0	240	845	0	0	0	0	240	845	30	2818
KORTRIGHT CAPITAL PARTNERS	025	7,545	8,436	25,238	33,137	0	0	0	8,436	25,238	33,137	0	0
MASTERS CAPITAL MANAGE	025	0	0	19,500	72,597	0	0	0	0	19,500	72,597	48,495	150
NEWLAND CAPITAL MGT	025	0	0	12,947	34,834	0	0	0	0	12,947	34,834	68,617	51
PALISADE CAPITAL MANAGEMENT LLC	025	0	0	16,406	33,348	0	0	0	0	16,406	33,348	0	0
PATTEN & PATTEN	025	2,664	2,669	3,542	52,755	0	0	0	2,669	3,542	52,755	56,434	93
PAW PARTNERS	025	0	0	0	2,500	0	0	0	0	0	2,500	2,875	87
RIVERPARK CAPITAL	025	0	0	2,550	13,916	0	0	0	0	2,550	13,916	9,371	149
SAGE ASSET MGMT	025	0	0	4,258	27,738	0	0	0	0	4,258	27,738	31,923	87
SCOPIA CAPITAL	025	0	0	7,963	30,028	0	0	0	0	7,963	30,028	0	0
SEVEN LOCKS CAPITAL	025	0	1,836	6,642	15,411	0	0	0	1,836	6,642	15,411	11,607	133
SONICA CAPITAL LLC	025	0	0	1,200	11,070	0	0	0	0	1,200	11,070	4,539	244
SOUTH SHORE CAPITAL	025	0	0	0	0	0	0	500	0	0	500	850	59
WELCH CAPITAL	025	0	0	1,834	1,834	0	0	0	0	1,834	1,834	0	0
WILLIAMS TRADING/FOX POINT	025	0	0	4,000	4,000	0	0	0	0	4,000	4,000	9,500	42
TOTALS:		11,809	14,540	136,791	544,380	5,000	17,500	102,525	19,540	154,291	646,905		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	11/27	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BASSWOOD PARTNERS	267	0	1,462	15,524	119,549	0	0	0	1,462	15,524	119,549	103,730	0
FIR TREE CAPITAL	270	0	0	0	0	0	0	9,000	0	0	9,000	6,500	138
GEORGE WEISS	278	0	0	6,006	37,452	0	20,000	100,000	0	26,006	137,452	0	0
TOTALS:		0	1,462	21,530	157,001	0	20,000	109,000	1,462	41,530	266,001		

