



## RR Commissions Summary [ Andrew Sinclair ]

Trade Date: 06/25/2013

| "Brokerage Month Basis"    |     | COMMISSIONS  |                |                |                | CHECKS       |               |                | TOTAL          |                |                | LAST YEAR | %     |
|----------------------------|-----|--------------|----------------|----------------|----------------|--------------|---------------|----------------|----------------|----------------|----------------|-----------|-------|
| CLIENT (PRIMARY)           | RR  | 06/25        | MTD            | QTD            | YTD            | MTD          | QTD           | YTD            | MTD            | QTD            | YTD            |           | of LY |
| ADALY INV MGMT             | 031 | 0            | 0              | 0              | 0              | 0            | 0             | 0              | 0              | 0              | 0              | 1,875     | 0     |
| ASSOCIATED                 | 031 | 0            | 0              | 0              | 0              | 0            | 0             | 0              | 0              | 0              | 0              | 15,509    | 0     |
| BARROW HANLEY MEWHINNEY    | 031 | 0            | 23,402         | 23,402         | 53,327         | 0            | 0             | 9,000          | 23,402         | 23,402         | 62,327         | 89,062    | 70    |
| CASTLE ARK                 | 031 | 2,524        | 26,618         | 49,257         | 88,859         | 0            | 0             | 0              | 26,618         | 49,257         | 88,859         | 210,377   | 42    |
| CHANNING CAPITAL           | 031 | 0            | 0              | 3,976          | 3,976          | 0            | 0             | 0              | 0              | 3,976          | 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     |
| ESSENCIAL CAPITAL          | 031 | 0            | 0              | 1,005          | 1,165          | 0            | 0             | 0              | 0              | 1,005          | 1,165          | 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              | 63,481         | 63,481         | 0            | 0             | 30,834         | 0              | 63,481         | 94,315         | 114,396   | 82    |
| JHL CAPITAL                | 031 | 0            | 0              | 0              | 0              | 0            | 0             | 0              | 0              | 0              | 0              | 12,500    | 0     |
| KLEINHEINZ CAP PART        | 031 | 0            | 4,500          | 49,525         | 49,525         | 0            | 0             | 0              | 4,500          | 49,525         | 49,525         | 279,792   | 18    |
| MILLENIUM -MICHAEL EHRLICH | 031 | 0            | 0              | 0              | 0              | 0            | 0             | 0              | 0              | 0              | 0              | 2,541     | 0     |
| NEW VERNON                 | 031 | 0            | 2,800          | 3,800          | 17,820         | 0            | 0             | 0              | 2,800          | 3,800          | 17,820         | 13,151    | 136   |
| NOKOMIS PARTNERS           | 031 | 0            | 779            | 3,389          | 14,524         | 0            | 0             | 0              | 779            | 3,389          | 14,524         | 24,102    | 60    |
| PIONEER OAKRIDGE           | 031 | 0            | 0              | 0              | 0              | 0            | 10,000        | 20,000         | 0              | 10,000         | 20,000         | 40,272    | 50    |
| RAIL-SPLITTER              | 031 | 0            | 0              | 0              | 0              | 0            | 4,000         | 8,000          | 0              | 4,000          | 8,000          | 19,000    | 42    |
| ROARING BLUE LION MGMT     | 031 | 0            | 2,608          | 13,805         | 30,311         | 0            | 0             | 0              | 2,608          | 13,805         | 30,311         | 17,869    | 170   |
| ROYCE TRADING              | 031 | 0            | 12,236         | 31,096         | 53,089         | 0            | 0             | 0              | 12,236         | 31,096         | 53,089         | 101,758   | 52    |
| 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            | 53,118         | 85,795         | 117,155        | 0            | 0             | 0              | 53,118         | 85,795         | 117,155        | 105,074   | 111   |
| SHEFFIELD ASSET MGMT       | 031 | 0            | 1,660          | 7,672          | 16,348         | 0            | 0             | 0              | 1,660          | 7,672          | 16,348         | 38,713    | 42    |
| TIME SQUARE CAP MGMT       | 031 | 0            | 0              | 0              | 0              | 4,500        | 4,500         | 23,000         | 4,500          | 4,500          | 23,000         | 32,500    | 71    |
| UBS OCONNOR                | 031 | 0            | 0              | 0              | 16,434         | 0            | 10,000        | 10,000         | 0              | 10,000         | 26,434         | 19,717    | 134   |
| WANGER ASS                 | 031 | 0            | 0              | 0              | 0              | 0            | 17,500        | 17,500         | 0              | 17,500         | 17,500         | 30,000    | 58    |
| WOODWAY FINANCIAL          | 031 | 0            | 0              | 0              | 10,283         | 0            | 0             | 0              | 0              | 0              | 10,283         | 34,268    | 30    |
| <b>TOTALS:</b>             |     | <b>2,524</b> | <b>127,720</b> | <b>336,202</b> | <b>544,682</b> | <b>4,500</b> | <b>46,000</b> | <b>118,334</b> | <b>132,220</b> | <b>382,202</b> | <b>663,016</b> |           |       |

| "Brokerage Month Basis"  |     | COMMISSIONS |     |        |        | CHECKS |        |        | TOTAL  |        |        | LAST YEAR | %     |
|--------------------------|-----|-------------|-----|--------|--------|--------|--------|--------|--------|--------|--------|-----------|-------|
| CLIENT (SHARED)          | RR  | 06/25       | 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           | 600 | 17,997 | 17,997 | 0      | 0      | 0      | 600    | 17,997 | 17,997 | 12,444    | 0     |
| CITADEL ADV              | 280 | 0           | 0   | 0      | 0      | 0      | 55,000 | 55,000 | 0      | 55,000 | 55,000 | 240,000   | 23    |
| CITADEL ALPHA LEAGUE     | 280 | 0           | 0   | 0      | 0      | 0      | 33,492 | 33,492 | 0      | 33,492 | 33,492 | 100,035   | 33    |
| LONE PINE MGMT           | 257 | 0           | 0   | 0      | 0      | 12,000 | 12,000 | 12,000 | 12,000 | 12,000 | 12,000 | 0         | 0     |

|                       |     |          |              |               |               |               |                |                |               |                |                |   |   |
|-----------------------|-----|----------|--------------|---------------|---------------|---------------|----------------|----------------|---------------|----------------|----------------|---|---|
| LORD ABBETT & COMPANY | 098 | 0        | 0            | 0             | 0             | 0             | 0              | 0              | 0             | 0              | 0              | 0 | 0 |
| MOORE CAPITAL         | 257 | 0        | 1,500        | 9,052         | 21,242        | 0             | 0              | 0              | 1,500         | 9,052          | 21,242         | 0 | 0 |
| <b>TOTALS:</b>        |     | <b>0</b> | <b>2,100</b> | <b>27,049</b> | <b>39,239</b> | <b>12,000</b> | <b>100,492</b> | <b>100,492</b> | <b>14,100</b> | <b>127,541</b> | <b>139,731</b> |   |   |

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