



RR Commissions Summary [Fran McCartan]

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
ACK ASSET	028	1,791	2,364	9,444	54,719	0	0	0	2,364	9,444	54,719	50,147	109
ARSENAL ASSET MANAGEMENT	028	0	0	0	4,490	0	0	0	0	0	4,490	93,565	5
BRAHMAN CAPITAL	028	0	0	0	0	0	0	23,750	0	0	23,750	15,625	152
BRANDWINE	028	0	0	7,910	105,907	0	0	0	0	7,910	105,907	70,865	149
CHART WELL ADV	028	0	0	12,582	15,568	0	0	10,000	0	12,582	25,568	18,132	141
CHESAPEAKE PARTNERS	028	0	0	0	0	0	12,500	37,500	0	12,500	37,500	68,426	55
COLUMBIA PARTNERS	028	0	0	2,230	7,758	0	0	0	0	2,230	7,758	10,781	72
COOKBIELER	028	0	0	0	7,250	0	0	0	0	0	7,250	30,938	23
COOPER CREEK PART	028	0	0	1,162	12,372	0	0	0	0	1,162	12,372	25,645	48
CROSS LEDGE	028	0	0	0	0	0	0	2,500	0	0	2,500	3,500	71
DAVIDSON KEMPNER FRAN	028	0	0	0	14,559	0	0	0	0	0	14,559	0	0
DUPONT CAPITAL MANAGEMENT	028	0	0	0	0	0	0	0	0	0	0	2,824	0
J. GOLDMAN	028	0	0	29,274	189,781	0	0	0	0	29,274	189,781	142,952	133
KADE CAPITAL LLC	028	0	0	1,265	3,628	0	0	0	0	1,265	3,628	1,175	309
MASON CAPITAL	028	0	0	0	0	0	25,000	25,000	0	25,000	25,000	12,500	200
MILLENNIUM PARTNERS ICSUS/BAHN	028	0	0	0	0	0	0	0	0	0	0	1,324	0
MILLENNIUM-ICS-SAYAN GHOSH	028	0	0	0	7,048	5,730	6,161	7,436	5,730	6,161	14,485	20,668	70
MILLRACE FUND LP	028	0	0	0	4,705	0	0	0	0	0	4,705	13,618	35
MTB INV ADV	028	0	0	0	452	0	0	0	0	0	452	0	0
PENN CAPITAL	028	0	0	0	0	0	0	7,500	0	0	7,500	3,000	250
PNC CAPITAL ADV	028	0	0	0	0	0	0	0	0	0	0	19,239	0
RIDGECREST INV MGMT LLC	028	0	0	12,012	33,755	0	0	0	0	12,012	33,755	27,627	122
SAMLYN	028	0	0	0	0	25,000	50,000	75,000	25,000	50,000	75,000	0	0
SANDLER CAPITAL	028	0	0	74,042	268,303	0	0	0	0	74,042	268,303	238,892	112
SCHNEIDER CAPITAL	028	0	0	0	0	0	0	7,500	0	0	7,500	20,000	38
TIDE POINT CAPITAL	028	800	800	11,495	36,977	0	0	0	800	11,495	36,977	0	0
TRELLUS PARTNERS LP	028	0	0	0	9,290	0	0	0	0	0	9,290	29,932	31
TUDOR INVESTORS	028	0	0	23,040	89,363	0	0	50,000	0	23,040	139,363	139,682	100
VERITION	028	0	0	1,050	8,175	0	0	0	0	1,050	8,175	19,605	42
WATERFRONT CAP	028	0	0	1,224	13,256	0	0	0	0	1,224	13,256	66,858	20
TOTALS:		2,591	3,164	186,729	887,354	30,730	93,661	246,186	33,894	280,390	1,133,540		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	11/27	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ADJUSTMENT (251)	251	0	0	0	0	0	0	0	0	0	0	-13,476	0
DAVIDSON KEMPNER ADVISOR	281	0	0	16,005	79,689	0	0	0	0	16,005	79,689	0	0
DELAWARE MANAGEMENT	243	0	0	0	0	0	0	7,000	0	0	7,000	0	0
GEORGE WEISS	278	0	0	6,006	37,452	0	20,000	100,000	0	26,006	137,452	0	0
GUGGENHEIM GLOBAL TRADING (GGT)	251	0	0	35,179	112,494	0	0	0	0	35,179	112,494	23,170	0
KEY ASSET MGMT/VICTORY	220	0	0	48,741	151,979	0	0	26,250	0	48,741	178,229	352,500	7
PENNANT CAP MGMT	250	0	2,793	21,707	26,127	0	0	0	2,793	21,707	26,127	0	0
SURVEYOR CAPITAL	251	0	0	7,054	28,393	0	70,000	200,000	0	77,054	228,393	191,311	105
T. ROWE PRICE	243	3,500	3,500	41,464	148,437	0	0	0	3,500	41,464	148,437	0	0
WELLINGTON MGMT.	035	0	0	0	0	0	0	133,000	0	0	133,000	232,000	57
WILLIAMS TRADING/NEWBROOK	306	0	0	1,670	5,389	0	0	0	0	1,670	5,389	0	0
TOTALS:		3,500	6,293	177,825	589,960	0	90,000	466,250	6,293	267,825	1,056,210		

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