



RR Commissions Summary [Doug Rogers]

Trade Date: 08/27/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	08/27	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
1798 CAP/LOMBARD ASSET	040	0	7,525	8,025	83,020	0	0	0	7,525	8,025	83,020	75,990	109
ATLANTIC INVESTMENT MGMT	040	0	0	0	0	21,335	21,335	65,008	21,335	21,335	65,008	94,313	69
BALLAST CAP	040	0	0	0	0	0	0	0	0	0	0	38,739	0
BNP PARIBAS SEC	040	0	5,430	5,619	27,585	0	0	0	5,430	5,619	27,585	157,588	18
BTG PACTUAL	040	0	3,673	6,349	21,182	0	0	0	3,673	6,349	21,182	12,781	166
CASTLEROCK	040	2,078	3,427	3,831	57,565	0	0	0	3,427	3,831	57,565	75,871	76
CATAPULT	040	0	0	0	9,898	0	2,221	13,315	0	2,221	23,214	102,098	23
CATAPULT CAP/DEFRANCO	040	0	0	0	9,298	0	0	1,703	0	0	11,001	65,779	17
CAXTON PART	040	0	0	0	0	92,500	92,500	138,750	92,500	92,500	138,750	13,017	1066
CLEARBRIDGE	040	0	0	0	0	0	0	31,600	0	0	31,600	65,450	48
CLEARLINE CAPITAL LLC	040	0	0	1,200	4,664	0	0	0	0	1,200	4,664	0	0
CYPRESS CAP MGMT LLC	040	0	0	0	2,488	0	0	0	0	0	2,488	7,797	32
DAVIDSON KEMPNER ADVISOR	040	0	0	356	34,649	0	0	0	0	356	34,649	57,232	61
DECADE CAPITAL PARTNERS	040	0	0	0	4,988	0	4,252	4,252	0	4,252	9,240	22,868	40
DELTEC ASSET MGMT.	040	0	2,290	3,285	26,335	0	0	0	2,290	3,285	26,335	37,182	71
ENTRUST CAPITAL-N/C TO MSF CAP	040	0	5,438	6,028	14,260	0	0	0	5,438	6,028	14,260	1,439	991
FARALLON CAP MGMT	040	1,732	25,707	34,811	123,075	0	0	0	25,707	34,811	123,075	119,348	103
HERRING CREEK CAPITAL MGMT LLC	040	0	6,826	17,701	34,104	0	0	0	6,826	17,701	34,104	0	0
IMPALA ASSET MMT	040	0	1,332	1,332	145,674	0	0	0	1,332	1,332	145,674	278,343	52
KEYGROUP/KGLT	040	0	4,000	6,000	21,960	0	0	0	4,000	6,000	21,960	12,560	175
LIONEYE CAPITAL	040	0	0	0	16,010	0	3,000	14,000	0	3,000	30,010	27,534	109
LOMAS CAPITAL	040	0	9,591	12,032	77,492	0	0	0	9,591	12,032	77,492	63,245	123
LONG OAR GLOBAL INV	040	0	2,000	11,623	35,595	0	0	0	2,000	11,623	35,595	45,115	79
MAPLE LANE CAPITAL	040	0	13,250	13,250	13,290	0	0	0	13,250	13,250	13,290	0	0
MAVERICK ADV	040	0	0	0	0	32,500	32,500	127,000	32,500	32,500	127,000	163,000	78
NOMURA/ANGEL LANE PRINCIPAL	040	4,500	11,100	13,050	154,593	0	0	0	11,100	13,050	154,593	76,350	202
OZ MGMT	040	0	21,981	31,816	234,202	0	0	0	21,981	31,816	234,202	553,938	42
PALESTRA	040	0	0	0	3,540	10,000	10,000	15,000	10,000	10,000	18,540	27,018	69
PARTNER FUND MGMT LP	040	0	0	0	0	0	0	162,312	0	0	162,312	90,116	180
PROVIDENCE EQUITY CAP. MKTS.	040	0	5,834	9,434	77,008	0	0	0	5,834	9,434	77,008	13,056	590
RBC CAPITAL MARKETS	040	0	0	0	13,359	0	0	0	0	0	13,359	112,249	12
ROBECO BOSTON PARTNERS	040	0	0	0	0	0	30,000	30,000	0	30,000	30,000	0	0
ROTHSCHILD ASSET	040	0	3,955	12,067	33,120	0	0	0	3,955	12,067	33,120	79,880	41
ROUTE ONE PARTNERS	040	0	0	0	0	0	0	0	0	0	0	15,000	0
ROVER CAPITAL PARTNERS	040	200	775	775	2,031	0	0	0	775	775	2,031	0	0
ROYSTONE CAPITAL	040	0	2,295	3,795	4,295	0	0	0	2,295	3,795	4,295	0	0
SAFRA ASSET MGMT.	040	0	0	0	2,250	0	0	0	0	0	2,250	150	1500
SOROBAN CAPITAL	040	0	0	0	0	0	28	26,425	0	28	26,425	128,783	21
SUFFOLK CAPITAL MGMT	040	9,856	9,856	10,412	78,676	0	0	0	9,856	10,412	78,676	147,308	53

TALPION LLC	040	0	0	12	1,149	0	0	0	0	12	1,149	15,362	7
TRUST CO/COWEN/CALF.	040	0	191	7,088	18,662	0	0	0	191	7,088	18,662	106,499	18
WEISS PECK/ROBECO/BOSTON PT	040	0	13,313	29,712	87,461	0	0	18,800	13,313	29,712	106,261	83,797	127
WESTFACE CAPITAL	040	0	0	0	0	0	0	0	0	0	0	19,650	0
TOTALS:		18,366	159,789	249,602	1,473,479	156,335	195,835	648,166	316,124	445,437	2,121,645		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	08/27	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BASSWOOD PARTNERS	267	3,457	16,651	20,731	92,371	0	0	0	16,651	20,731	92,371	103,730	0
CATAPULT	283	0	0	0	0	17,349	17,349	17,349	17,349	17,349	17,349	0	0
DAVIDSON KEMPNER ADVISOR	281	0	24,718	24,718	24,718	0	0	0	24,718	24,718	24,718	57,232	61
DELAWARE MANAGEMENT	243	0	0	0	0	0	7,000	7,000	0	7,000	7,000	0	0
OSKIE CAPITAL MGMT	224	0	9,700	22,400	50,350	0	0	0	9,700	22,400	50,350	50,768	0
PERIMETER	273	0	0	0	3,797	0	0	0	0	0	3,797	55,952	0
TRUSTCO/SUNTRUST (CEREDEX)	273	0	449	449	35,813	256	10,067	26,995	705	10,516	62,808	2,309	1
WEXFORD CAPITAL	284	0	0	0	23,109	0	0	0	0	0	23,109	2,962	0
TOTALS:		3,457	51,518	68,298	230,158	17,606	34,416	51,344	69,124	102,714	281,503		

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