



# RR Commissions Summary [ Doug Rogers ]

Trade Date: 07/23/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	07/23	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
1798 CAP/LOMBARD ASSET	040	0	500	500	75,495	0	0	0	500	500	75,495	75,990	99
ATLANTIC INVESTMENT MGMT	040	0	0	0	0	0	0	43,673	0	0	43,673	94,313	46
BALLAST CAP	040	0	0	0	0	0	0	0	0	0	0	38,739	0
BNP PARIBAS SEC	040	0	189	189	22,155	0	0	0	189	189	22,155	157,588	14
BTG PACTUAL	040	0	2,676	2,676	17,510	0	0	0	2,676	2,676	17,510	12,781	137
CASTLEROCK	040	0	403	403	54,137	0	0	0	403	403	54,137	75,871	71
CATAPULT	040	0	0	0	9,898	2,221	2,221	13,315	2,221	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	0	0	46,250	0	0	46,250	13,017	355
CLEARBRIDGE	040	0	0	0	0	0	0	31,600	0	0	31,600	65,450	48
CLEARLINE CAPITAL LLC	040	0	1,200	1,200	4,664	0	0	0	1,200	1,200	4,664	0	0
COATUE MANAGEMENT	040	0	0	0	0	0	0	0	0	0	0	17,500	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	356	356	34,649	0	0	0	356	356	34,649	57,232	61
DECADE CAPITAL PARTNERS	040	0	0	0	4,988	559	559	559	559	559	5,547	22,868	24
DELTEC ASSET MGMT.	040	445	995	995	24,045	0	0	0	995	995	24,045	37,182	65
ENTRUST CAPITAL	040	0	590	590	8,821	0	0	0	590	590	8,821	1,439	613
FARALLON CAP MGMT	040	0	9,104	9,104	97,368	0	0	0	9,104	9,104	97,368	119,348	82
GREEN ARROW JOHN	040	0	0	0	0	0	0	0	0	0	0	4,900	0
HERRING CREEK CAPITAL MGMT LLC	040	300	10,875	10,875	27,277	0	0	0	10,875	10,875	27,277	0	0
IMPALA ASSET MMT	040	0	0	0	144,342	0	0	0	0	0	144,342	278,343	52
KEYGROUP/KGLT	040	1,000	2,000	2,000	17,960	0	0	0	2,000	2,000	17,960	12,560	143
LIONEYE CAPITAL	040	0	0	0	16,010	0	0	11,000	0	0	27,010	27,534	98
LOMAS CAPITAL	040	0	2,441	2,441	67,901	0	0	0	2,441	2,441	67,901	63,245	107
LONG OAR GLOBAL INV	040	0	9,623	9,623	33,595	0	0	0	9,623	9,623	33,595	45,115	74
MAPLE LANE CAPITAL	040	0	0	0	40	0	0	0	0	0	40	0	0
MAVERICK ADV	040	0	0	0	0	0	0	94,500	0	0	94,500	163,000	58
NOMURA/ANGEL LANE PRINCIPAL	040	0	1,950	1,950	143,493	0	0	0	1,950	1,950	143,493	76,350	188
OZ MGMT	040	4,500	9,835	9,835	212,221	0	0	0	9,835	9,835	212,221	553,938	38
PALESTRA	040	0	0	0	3,540	0	0	5,000	0	0	8,540	27,018	32
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	620	3,600	3,600	71,174	0	0	0	3,600	3,600	71,174	13,056	545
RBC CAPITAL MARKETS	040	0	0	0	13,359	0	0	0	0	0	13,359	112,249	12
ROTHSCHILD ASSET	040	0	8,112	8,112	29,164	0	0	0	8,112	8,112	29,164	79,880	37
ROUTE ONE PARTNERS	040	0	0	0	0	0	0	0	0	0	0	15,000	0
ROVER CAPITAL PARTNERS	040	0	0	0	1,256	0	0	0	0	0	1,256	0	0
ROYSTONE CAPITAL	040	1,500	1,500	1,500	2,000	0	0	0	1,500	1,500	2,000	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	28	28	26,425	28	28	26,425	128,783	21

SUFFOLK CAPITAL MGMT	040	0	556	556	68,820	0	0	0	556	556	68,820	147,308	47
TALPION LLC	040	0	12	12	1,149	0	0	0	12	12	1,149	15,362	7
TRUST CO/COWEN/CALF.	040	0	6,079	6,079	17,653	0	0	0	6,079	6,079	17,653	106,499	17
WEISS PECK/ROBECO/BOSTON PT	040	0	16,399	16,399	74,148	0	0	18,800	16,399	16,399	92,948	83,797	111
WESTFACE CAPITAL	040	0	0	0	0	0	0	0	0	0	0	19,650	0
<b>TOTALS:</b>			<b>8,365</b>	<b>88,994</b>	<b>88,994</b>	<b>1,312,871</b>	<b>2,807</b>	<b>2,807</b>	<b>455,137</b>	<b>91,801</b>	<b>91,801</b>	<b>1,768,009</b>	

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	07/23	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BASSWOOD PARTNERS	267	1,560	4,080	4,080	75,720	0	0	0	4,080	4,080	75,720	103,730	0
DAVIDSON KEMPNER ADVISOR	281	0	0	0	0	0	0	0	0	0	0	57,232	61
DELAWARE MANAGEMENT	243	0	0	0	0	7,000	7,000	7,000	7,000	7,000	7,000	0	0
OSKIE CAPITAL MGMT	224	1,050	12,700	12,700	40,650	0	0	0	12,700	12,700	40,650	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	0	0	35,365	9,811	9,811	26,739	9,811	9,811	62,103	2,309	1
WEXFORD CAPITAL	284	0	0	0	23,109	0	0	0	0	0	23,109	2,962	0
<b>TOTALS:</b>		<b>2,610</b>	<b>16,780</b>	<b>16,780</b>	<b>178,640</b>	<b>16,811</b>	<b>16,811</b>	<b>33,739</b>	<b>33,591</b>	<b>33,591</b>	<b>212,379</b>		

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