



## RR Commissions Summary [ Fran McCartan ]

Trade Date: 10/22/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	10/22	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ACK ASSET	028	0	4,590	4,590	49,865	0	0	0	4,590	4,590	49,865	50,147	99
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	7,552	7,552	105,549	0	0	0	7,552	7,552	105,549	70,865	149
CHART WELL ADV	028	0	1,710	1,710	4,696	0	0	10,000	1,710	1,710	14,696	18,132	81
CHESAPEAKE PARTNERS	028	0	0	0	0	12,500	12,500	37,500	12,500	12,500	37,500	68,426	55
COLUMBIA PARTNERS	028	1,512	2,230	2,230	7,758	0	0	0	2,230	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	0	11,211	0	0	0	0	0	11,211	25,645	44
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	14,114	14,114	174,621	0	0	0	14,114	14,114	174,621	142,952	122
KADE CAPITAL LLC	028	0	640	640	3,003	0	0	0	640	640	3,003	1,175	256
MASON CAPITAL	028	0	0	0	0	0	0	0	0	0	0	12,500	0
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	0	0	1,275	0	0	8,323	20,668	40
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	5,100	5,100	26,843	0	0	0	5,100	5,100	26,843	27,627	97
SAMLYN	028	0	0	0	0	25,000	25,000	50,000	25,000	25,000	50,000	0	0
SANDLER CAPITAL	028	0	32,282	32,282	226,543	0	0	0	32,282	32,282	226,543	238,892	95
SCHNEIDER CAPITAL	028	0	0	0	0	0	0	7,500	0	0	7,500	20,000	38
TIDE POINT CAPITAL	028	0	7,065	7,065	32,547	0	0	0	7,065	7,065	32,547	0	0
TRELLUS PARTNERS LP	028	0	0	0	9,290	0	0	0	0	0	9,290	29,932	31
TUDOR INVESTORS	028	90	12,780	12,780	79,103	0	0	50,000	12,780	12,780	129,103	139,682	92
VERITION	028	0	675	675	7,800	0	0	0	675	675	7,800	19,605	40
WATERFRONT CAP	028	0	1,224	1,224	13,256	0	0	0	1,224	1,224	13,256	66,858	20
<b>TOTALS:</b>		<b>1,602</b>	<b>89,962</b>	<b>89,962</b>	<b>790,587</b>	<b>37,500</b>	<b>37,500</b>	<b>190,025</b>	<b>127,462</b>	<b>127,462</b>	<b>980,612</b>		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	10/22	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	3,750	6,280	6,280	69,964	0	0	0	6,280	6,280	69,964	0	0
DELAWARE MANAGEMENT	243	0	0	0	0	0	0	7,000	0	0	7,000	0	0
GEORGE WEISS	278	0	4,230	4,230	35,676	0	0	80,000	4,230	4,230	115,676	0	0
GUGGENHEIM GLOBAL TRADING (GGT)	251	75	33,574	33,574	110,889	0	0	0	33,574	33,574	110,889	23,170	0
KEY ASSET MGMT/VICTORY	220	4,686	15,142	15,142	118,380	0	0	26,250	15,142	15,142	144,630	352,500	7
PENNANT CAP MGMT	250	0	1,600	1,600	6,020	0	0	0	1,600	1,600	6,020	0	0
SURVEYOR CAPITAL	251	0	3,251	3,251	24,591	0	0	130,000	3,251	3,251	154,591	191,311	68
T. ROWE PRICE	243	0	24,910	24,910	131,882	0	0	0	24,910	24,910	131,882	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	0	3,719	0	0	0	0	0	3,719	0	0
<b>TOTALS:</b>		<b>8,511</b>	<b>88,986</b>	<b>88,986</b>	<b>501,121</b>	<b>0</b>	<b>0</b>	<b>376,250</b>	<b>88,986</b>	<b>88,986</b>	<b>877,371</b>		

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