



RR Commissions Summary [Fran McCartan]

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
ACK ASSET	028	0	600	6,000	36,333	0	0	0	600	6,000	36,333	50,147	72
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	17,500	0	0	17,500	15,625	112
BRANDWINE	028	0	0	0	74,054	0	0	0	0	0	74,054	70,865	105
CHART WELL ADV	028	0	0	0	2,986	0	0	10,000	0	0	12,986	18,132	72
CHESAPEAKE PARTNERS	028	0	0	0	0	0	12,500	25,000	0	12,500	25,000	68,426	37
COLUMBIA PARTNERS	028	0	0	1,262	4,002	0	0	0	0	1,262	4,002	10,781	37
COOKBIELER	028	0	0	0	7,250	0	0	0	0	0	7,250	30,938	23
COOPER CREEK PART	028	0	400	400	11,211	0	0	0	400	400	11,211	25,645	44
CROSS LEDGE	028	0	0	0	0	0	2,500	2,500	0	2,500	2,500	3,500	71
DAVIDSON KEMPNER FRAN	028	0	0	14,559	14,559	0	0	0	0	14,559	14,559	0	0
DUPONT CAPITAL MANAGEMENT	028	0	0	0	0	0	0	0	0	0	0	2,824	0
J. GOLDMAN	028	1,280	25,480	41,210	144,552	0	0	0	25,480	41,210	144,552	142,952	101
KADE CAPITAL LLC	028	0	0	750	2,363	0	0	0	0	750	2,363	1,175	201
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	150	150	150	150	150	7,198	20,668	35
MILLRACE FUND LP	028	0	0	281	4,605	0	0	0	0	281	4,605	13,618	34
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	4,834	9,514	20,183	0	0	0	4,834	9,514	20,183	27,627	73
SAMLYN	028	0	0	0	0	0	0	25,000	0	0	25,000	0	0
SANDLER CAPITAL	028	0	37,250	57,375	177,876	0	0	0	37,250	57,375	177,876	238,892	74
SCHNEIDER CAPITAL	028	0	0	0	0	0	0	7,500	0	0	7,500	20,000	38
TIDE POINT CAPITAL	028	0	6,954	7,104	22,422	0	0	0	6,954	7,104	22,422	0	0
TRELLUS PARTNERS LP	028	0	750	1,980	9,290	0	0	0	750	1,980	9,290	29,932	31
TUDOR INVESTORS	028	0	12,723	14,973	57,773	0	0	50,000	12,723	14,973	107,773	139,682	77
VERITION	028	0	1,050	1,050	6,675	0	0	0	1,050	1,050	6,675	19,605	34
WATERFRONT CAP	028	0	0	0	12,032	0	0	0	0	0	12,032	66,858	18
TOTALS:		1,280	90,042	156,458	620,155	150	15,150	145,150	90,192	171,608	765,305		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	08/27	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	24,718	25,074	59,367	0	0	0	24,718	25,074	59,367	0	0
DELAWARE MANAGEMENT	243	0	0	0	0	0	7,000	7,000	0	7,000	7,000	0	0
GEORGE WEISS	278	0	600	2,490	27,183	0	20,000	80,000	600	22,490	107,183	0	0
GUGGENHEIM GLOBAL TRADING (GGT)	251	1,491	10,175	19,852	69,636	0	0	0	10,175	19,852	69,636	23,170	0
KEY ASSET MGMT/VICTORY	220	422	16,442	24,303	93,501	0	0	26,250	16,442	24,303	119,751	352,500	7
SURVEYOR CAPITAL	251	0	3,037	7,581	21,100	70,000	70,000	130,000	73,037	77,581	151,100	191,311	68
T. ROWE PRICE	243	0	20,846	24,406	101,052	0	0	0	20,846	24,406	101,052	0	0
WELLINGTON MGMT.	035	0	0	0	0	0	0	133,000	0	0	133,000	232,000	57
TOTALS:		1,913	75,817	103,706	371,838	70,000	97,000	376,250	145,817	200,706	748,088		

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