



RR Commissions Summary [Andrew Sinclair]

Trade Date: 12/26/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	12/26	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
A. R. SCHMEIDLER & CO.	031	0	0	0	2,360	0	0	0	0	0	2,360	0	0
ASSOCIATED	031	0	0	0	0	0	0	0	0	0	0	15,509	0
BARROW HANLEY MEWHINNEY	031	0	16,851	28,534	111,063	0	0	9,000	16,851	28,534	120,063	89,062	135
CARLSON CAPITAL	031	0	0	0	0	0	5,500	5,500	0	5,500	5,500	0	0
CASTLE ARK	031	0	26,643	35,600	126,348	0	0	0	26,643	35,600	126,348	210,377	60
CHANNING CAPITAL	031	0	0	0	3,976	0	0	0	0	0	3,976	9,924	40
CHILTON CAPITAL MGMT	031	0	0	2,078	2,078	0	0	0	0	2,078	2,078	4,159	50
CORTEX CAPITAL	031	0	5,580	14,010	29,070	0	0	0	5,580	14,010	29,070	0	0
ESSENCIAL CAPITAL	031	0	0	900	2,665	0	0	0	0	900	2,665	0	0
HAMILTON CAP PART FIN	031	0	0	0	4,020	0	0	0	0	0	4,020	4,520	89
INVESCO	031	0	0	0	119,961	0	18,000	48,834	0	18,000	168,795	114,396	148
JHL CAPITAL	031	0	0	0	0	0	12,500	12,500	0	12,500	12,500	12,500	100
KLEINHEINZ CAP PART	031	0	35,750	78,170	156,445	0	0	0	35,750	78,170	156,445	279,792	56
MAGNETAR FINANCIAL	031	0	0	4,770	6,210	0	0	0	0	4,770	6,210	0	0
NEW VERNON/SF INVESTMENTS	031	0	1,250	28,192	60,512	0	0	0	1,250	28,192	60,512	13,151	460
NOKOMIS PARTNERS	031	0	2,712	7,635	29,076	0	0	0	2,712	7,635	29,076	24,102	121
PIONEER OAKRIDGE	031	0	0	11,599	11,599	0	0	20,000	0	11,599	31,599	40,272	78
RAIL-SPLITTER	031	0	0	0	0	3,000	6,000	14,000	3,000	6,000	14,000	19,000	74
ROARING BLUE LION MGMT	031	0	1,336	4,816	40,443	0	0	0	1,336	4,816	40,443	17,869	226
ROYCE TRADING	031	0	3,100	3,365	56,864	0	0	0	3,100	3,365	56,864	101,758	56
SAC CHICAGO ANDREW	031	0	0	0	4,365	0	0	0	0	0	4,365	31,633	14
SANDLER O'NEILL ASSET	031	1,045	2,795	17,280	160,250	0	0	0	2,795	17,280	160,250	105,074	153
SAXON WOODS ADVISORS	031	0	0	0	0	0	5,000	5,000	0	5,000	5,000	0	0
SHEFFIELD ASSET MGMT	031	0	10,144	24,288	46,582	0	0	0	10,144	24,288	46,582	38,713	120
TYVOR CAPITAL LLC	031	0	5,837	16,383	34,956	0	0	0	5,837	16,383	34,956	0	0
UBS OCONNOR	031	0	0	675	17,109	0	0	10,000	0	675	27,109	19,717	137
WANGER ASS	031	0	0	0	0	0	0	35,700	0	0	35,700	30,000	119
WOODWAY FINANCIAL	031	0	0	7,500	26,451	0	0	0	0	7,500	26,451	34,268	77
TOTALS:		1,045	111,999	285,794	1,052,402	3,000	47,000	160,534	114,999	332,794	1,212,936		

"Brokerage Month Basis"		C O M M I S S I O N S				C H E C K S			T O T A L			LAST YEAR	%
CLIENT (SHARED)	RR	12/26	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
CAISSE DEPOT PLACEMENT Q	295	0	4,550	14,600	32,897	0	0	0	4,550	14,600	32,897	12,444	0
CITADEL ADV	280	0	0	0	0	55,000	110,000	220,000	55,000	110,000	220,000	240,000	92
CITADEL ALPHA LEAGUE	280	0	0	0	0	0	0	78,281	0	0	78,281	100,035	78
INVESCO	222	0	0	0	0	0	0	0	0	0	0	0	0
LONE PINE MGMT	257	0	0	0	0	15,000	15,000	27,000	15,000	15,000	27,000	0	0
LORD ABBETT & COMPANY	098	0	0	0	0	0	0	0	0	0	0	0	0
MOORE CAPITAL	257	0	8,445	77,835	142,873	0	0	0	8,445	77,835	142,873	0	0
NEUBERGER BERMAN	238	0	10,804	56,695	236,070	0	0	0	10,804	56,695	236,070	0	0
SG CAPITAL/CEDAR STREET FUNDS	307	0	0	0	0	0	0	3,000	0	0	3,000	0	0
TOTALS:		0	23,799	149,130	411,839	70,000	125,000	328,281	93,799	274,130	740,120		

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