



## RR Commissions Summary [ Doug Rogers ]

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
MSF CAPITAL(ENTRUST)	040	0	4,202	4,202	19,444	0	0	0	4,202	4,202	19,444	1,439	1351
1798 CAP/LOMBARD ASSET	040	0	3,000	3,000	87,770	0	0	0	3,000	3,000	87,770	75,990	116
ATLANTIC INVESTMENT MGMT	040	0	0	0	0	0	0	65,008	0	0	65,008	94,313	69
BLUE ARROW	040	0	0	0	0	7,251	7,251	7,251	7,251	7,251	7,251	0	0
BNP PARIBAS SEC	040	0	1,350	1,350	36,495	0	0	0	1,350	1,350	36,495	157,588	23
BTG PACTUAL	040	0	4,560	4,560	28,592	0	0	0	4,560	4,560	28,592	12,781	224
CASTLEROCK	040	0	5,699	5,699	74,158	0	0	0	5,699	5,699	74,158	75,871	98
CATAPULT	040	0	0	0	9,898	0	0	13,315	0	0	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	92,500	0	0	92,500	13,017	711
CLEARBRIDGE	040	0	0	0	0	0	0	47,600	0	0	47,600	65,450	73
CLEARLINE CAPITAL LLC	040	0	0	0	4,664	0	0	0	0	0	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	0	34,649	0	0	0	0	0	34,649	57,232	61
DECADE CAPITAL PARTNERS	040	0	0	0	4,988	0	0	4,252	0	0	9,240	22,868	40
DELTEC ASSET MGMT.	040	500	500	500	28,385	0	0	0	500	500	28,385	37,182	76
FARALLON CAP MGMT	040	0	2,568	2,568	141,132	0	0	0	2,568	2,568	141,132	119,348	118
HERRING CREEK CAPITAL	040	0	9,537	9,537	49,005	0	0	0	9,537	9,537	49,005	0	0
IMPALA ASSET MMT	040	0	0	0	276,704	0	0	0	0	0	276,704	278,343	99
KEYGROUP/KGLT	040	1,000	6,000	6,000	31,960	0	0	0	6,000	6,000	31,960	12,560	254
LIONEYE CAPITAL	040	500	5,597	5,597	21,607	0	0	17,000	5,597	5,597	38,607	27,534	140
LOMAS CAPITAL	040	1,500	4,559	4,559	90,250	0	0	0	4,559	4,559	90,250	63,245	143
LONG OAR GLOBAL	040	0	480	480	37,475	0	0	0	480	480	37,475	45,115	83
MAPLE LANE CAPITAL	040	0	0	0	15,290	0	0	0	0	0	15,290	0	0
MAVERICK ADV	040	0	0	0	0	0	0	127,000	0	0	127,000	163,000	78
NOMURA/ANGEL LANE PRINCIPAL	040	300	7,800	7,800	170,043	0	0	0	7,800	7,800	170,043	76,350	223
OZ MGMT	040	0	12,515	12,515	269,379	0	0	0	12,515	12,515	269,379	553,938	49
PALESTRA	040	0	0	0	3,540	0	0	15,000	0	0	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 CAPITAL	040	0	15,320	15,320	109,078	0	0	0	15,320	15,320	109,078	13,056	835
RBC CAPITAL MARKETS	040	0	0	0	15,959	0	0	0	0	0	15,959	112,249	14
ROBECO BOSTON PARTNERS	040	0	0	0	0	0	0	30,000	0	0	30,000	0	0
ROTHSCHILD ASSET	040	0	8,867	8,867	44,371	0	0	0	8,867	8,867	44,371	79,880	56
ROUTE ONE PARTNERS	040	0	0	0	0	0	0	15,000	0	0	15,000	15,000	100
ROVER CAPITAL PARTNERS	040	175	1,610	1,610	4,787	0	0	0	1,610	1,610	4,787	0	0
ROYSTONE CAPITAL	040	0	2,550	2,550	8,945	0	0	0	2,550	2,550	8,945	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	0	26,425	0	0	26,425	128,783	21
SUFFOLK CAPITAL MGMT	040	0	6,988	6,988	114,286	0	0	0	6,988	6,988	114,286	147,308	78

TALPION LLC	040	0	0	0	1,149	0	0	0	0	0	1,149	15,362	7
TRUST CO/COWEN/CALF.	040	0	0	0	23,765	0	0	0	0	0	23,765	106,499	22
WEISS PECK/ROBECO/BOSTON PT	040	0	17,340	17,340	104,802	0	0	18,800	17,340	17,340	123,602	83,797	148
WESTFACE CAPITAL	040	0	0	0	0	0	0	0	0	0	0	19,650	0
<b>TOTALS:</b>		<b>3,975</b>	<b>121,043</b>	<b>121,043</b>	<b>1,876,608</b>	<b>7,251</b>	<b>7,251</b>	<b>643,167</b>	<b>128,293</b>	<b>128,293</b>	<b>2,519,775</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
BASSWOOD PARTNERS	267	0	5,519	5,519	109,545	0	0	0	5,519	5,519	109,545	103,730	0
CATAPULT	283	0	0	0	0	12,620	12,620	44,613	12,620	12,620	44,613	0	0
DAVIDSON KEMPNER ADVISOR	281	3,750	6,280	6,280	35,315	0	0	0	6,280	6,280	35,315	57,232	61
DELAWARE MANAGEMENT	243	0	0	0	0	0	0	7,000	0	0	7,000	0	0
OSKIE CAPITAL MGMT	224	0	5,000	5,000	59,350	0	0	0	5,000	5,000	59,350	50,768	0
PERIMETER	273	0	1,771	1,771	5,568	0	0	0	1,771	1,771	5,568	55,952	0
TRUSTCO/SUNTRUST (CEREDEX)	273	0	0	0	35,813	24,276	24,276	51,271	24,276	24,276	87,084	2,309	2
WEXFORD CAPITAL	284	0	150	150	23,418	0	0	0	150	150	23,418	2,962	0
<b>TOTALS:</b>		<b>3,750</b>	<b>18,720</b>	<b>18,720</b>	<b>269,010</b>	<b>36,896</b>	<b>36,896</b>	<b>102,884</b>	<b>55,616</b>	<b>55,616</b>	<b>371,894</b>		

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