



RR Commissions Summary [Nicolas Pakler]

Trade Date: 09/24/2013

| "Brokerage Month Basis" | | COMMISSIONS | | | | CHECKS | | | TOTAL | | | LAST YEAR | % |
|--------------------------|-----|--------------|---------------|----------------|----------------|--------------|---------------|----------------|---------------|----------------|----------------|-----------|-------|
| CLIENT (PRIMARY) | RR | 09/24 | MTD | QTD | YTD | MTD | QTD | YTD | MTD | QTD | YTD | | of LY |
| ALTIMETER CAPITAL MGMT. | 029 | 0 | 0 | 1,500 | 12,822 | 0 | 0 | 0 | 0 | 1,500 | 12,822 | 0 | 0 |
| ATLANTIC TRUST/STEINROE | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 13,000 | 0 | 0 | 13,000 | 36,000 | 36 |
| BLUE RIDGE CAP | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 25,000 | 0 |
| BRIGADE CAPITAL MGMT | 029 | 0 | 7,020 | 20,392 | 74,363 | 0 | 0 | 0 | 7,020 | 20,392 | 74,363 | 123,550 | 60 |
| COLUMBIA MGMT | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 18,500 | 0 | 0 | 18,500 | 0 | 0 |
| DPB CAPITAL | 029 | 0 | 750 | 1,250 | 4,750 | 0 | 0 | 0 | 750 | 1,250 | 4,750 | 0 | 0 |
| EATON VANCE MGMT | 029 | 0 | 0 | 0 | 22,407 | 0 | 0 | 0 | 0 | 0 | 22,407 | 85,718 | 26 |
| FEDERATED INV/KAUFMAN | 029 | 0 | 1,085 | 19,345 | 44,345 | 0 | 0 | 0 | 1,085 | 19,345 | 44,345 | 63,769 | 70 |
| FIDELITY/NICK | 029 | 0 | 0 | 0 | 0 | 0 | 1,647 | 1,647 | 0 | 1,647 | 1,647 | 0 | 0 |
| FIRST NEW YORK NICK | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2,500 | 0 |
| FRONTIER | 029 | 0 | 0 | 14,353 | 56,153 | 0 | 0 | 0 | 0 | 14,353 | 56,153 | 102,196 | 55 |
| GLADE BROOK CAPITAL | 029 | 0 | 0 | 0 | 0 | 0 | 14,924 | 23,661 | 0 | 14,924 | 23,661 | 4,645 | 509 |
| GRANAHAN INV | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 7,953 | 0 |
| GSA PROPHET/NICK | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 46,661 | 0 |
| HARVEST MGMT (JMP) | 029 | 0 | 0 | 2,640 | 15,148 | 0 | 0 | 0 | 0 | 2,640 | 15,148 | 31,712 | 48 |
| LONG POND | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 29,026 | 0 |
| MARCATO CAPITAL MGMT. | 029 | 0 | 0 | 10,850 | 43,572 | 0 | 0 | 0 | 0 | 10,850 | 43,572 | 27,536 | 158 |
| NOMURA CAPITAL | 029 | 0 | 0 | 0 | 752 | 0 | 0 | 0 | 0 | 0 | 752 | 2,814 | 27 |
| PAR CAPITAL | 029 | 0 | 9,700 | 12,700 | 21,648 | 0 | 0 | 0 | 9,700 | 12,700 | 21,648 | 0 | 0 |
| PENNANT CAP MGMT | 029 | 0 | 0 | 900 | 2,900 | 0 | 0 | 0 | 0 | 900 | 2,900 | 32,400 | 9 |
| RIVERFRONT INVESTMENT | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 29,000 | 0 |
| SCOUT CAPITAL | 029 | 0 | 0 | 0 | 0 | 0 | 0 | 10,000 | 0 | 0 | 10,000 | 40,000 | 25 |
| SMITH MGMT/ALDEN GLOBAL | 029 | 0 | 0 | 77,550 | 196,346 | 0 | 0 | 0 | 0 | 77,550 | 196,346 | 197,652 | 99 |
| THE BOSTON COMPANY | 029 | 0 | 0 | 0 | 0 | 6,168 | 18,503 | 40,775 | 6,168 | 18,503 | 40,775 | 70,696 | 58 |
| THOMPSON SIEGAL&WALMSLEY | 029 | 1,915 | 9,770 | 18,578 | 37,370 | 0 | 0 | 0 | 9,770 | 18,578 | 37,370 | 30,054 | 124 |
| TOTALS: | | 1,915 | 28,325 | 180,058 | 532,575 | 6,168 | 35,074 | 107,583 | 34,493 | 215,132 | 640,158 | | |

| "Brokerage Month Basis" | | COMMISSIONS | | | | CHECKS | | | TOTAL | | | LAST YEAR | % |
|-------------------------|-----|-------------|--------------|--------------|--------------|---------------|---------------|----------------|---------------|---------------|----------------|-----------|-------|
| CLIENT (SHARED) | RR | 09/24 | MTD | QTD | YTD | MTD | QTD | YTD | MTD | QTD | YTD | | of LY |
| MANULIFE ASSET MGMT. | 294 | 0 | 0 | 0 | 0 | 0 | 16,000 | 44,679 | 0 | 16,000 | 44,679 | 13,636 | 328 |
| PENNANT CAP MGMT | 250 | 0 | 1,520 | 1,520 | 1,520 | 0 | 0 | 0 | 1,520 | 1,520 | 1,520 | 32,400 | 9 |
| PUTNAM SHARED | 268 | 0 | 0 | 0 | 0 | 24,087 | 24,087 | 60,265 | 24,087 | 24,087 | 60,265 | 67,752 | 89 |
| PYRAMIS GLOBAL | 231 | 0 | 0 | 0 | 0 | 0 | 6,776 | 11,909 | 0 | 6,776 | 11,909 | 0 | 0 |
| TOTALS: | | 0 | 1,520 | 1,520 | 1,520 | 24,087 | 46,863 | 116,853 | 25,607 | 48,383 | 118,373 | | |

