



# RR Commissions Summary [ Fran McCartan ]

Trade Date: 12/31/2012

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	12/31	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ACK ASSET	028	0	0	20,600	50,147	0	0	0	0	20,600	50,147	52,657	95
ARSENAL ASSET MANAGEMENT	028	0	0	19,788	93,565	0	0	0	0	19,788	93,565	10,509	890
BRAHMAN CAPITAL	028	0	0	0	0	0	6,250	15,625	0	6,250	15,625	11,250	139
BRANDWINE	028	0	0	15,943	70,865	0	0	0	0	15,943	70,865	130,360	54
CAVU CAP ADV	028	0	0	0	0	0	0	0	0	0	0	23,390	0
CHART WELL ADV	028	0	0	7,105	18,132	0	0	0	0	7,105	18,132	46,959	39
CHESAPEAKE PARTNERS	028	0	0	3,753	8,426	15,000	15,000	60,000	15,000	18,753	68,426	29,538	232
CITIGROUP FRAN	028	0	0	0	0	0	0	0	0	0	0	80,000	0
COLUMBIA PARTNERS	028	0	0	0	10,781	0	0	0	0	0	10,781	36,320	30
COOKBIELER	028	0	0	15,370	30,938	0	0	0	0	15,370	30,938	49,973	62
COOPER CREEK PART	028	0	0	10,541	25,645	0	0	0	0	10,541	25,645	34,100	75
CROSS LEDGE	028	0	0	0	0	0	0	3,500	0	0	3,500	750	467
DUPONT CAPITAL MANAGEMENT	028	0	0	0	0	0	0	2,824	0	0	2,824	17,532	16
FIRST NEW YORK FRAN	028	0	0	0	600	0	0	0	0	0	600	4,400	14
GARTMORE/FRAN ABERDEEN	028	0	0	0	0	0	0	0	0	0	0	22,000	0
J. GOLDMAN	028	0	0	50,451	142,952	0	0	0	0	50,451	142,952	91,784	156
KADE CAPITAL LLC	028	0	0	0	1,175	0	0	0	0	0	1,175	4,575	26
KEY ASSET MGMT/VICTORY	028	0	0	0	0	0	0	0	0	0	0	50,000	0
LEGG MASON	028	0	0	0	0	0	0	0	0	0	0	7,500	0
MASON CAPITAL	028	0	0	0	0	2,500	2,500	12,500	2,500	2,500	12,500	0	0
MILLENNIUM PARTNERS ICSUS/BAHN	028	0	0	1,324	1,324	0	0	0	0	1,324	1,324	750	177
MILLENNIUM-ICS-SAYAN GHOSH	028	0	0	300	20,668	0	0	0	0	300	20,668	0	0
MILLRACE FUND LP	028	0	0	600	13,618	0	0	0	0	600	13,618	15,644	87
PENN CAPITAL	028	0	0	0	0	0	0	3,000	0	0	3,000	3,000	100
PNC CAPITAL ADV	028	0	0	7,228	19,239	0	0	0	0	7,228	19,239	21,771	88
RIDGECREST INV MGMT LLC	028	0	0	5,800	27,627	0	0	0	0	5,800	27,627	55,500	50
SAMLYN	028	0	0	0	0	0	0	0	0	0	0	15,000	0
SANDLER CAPITAL	028	0	0	28,225	238,892	0	0	0	0	28,225	238,892	245,780	97
SCHNEIDER CAPITAL	028	0	0	0	0	0	5,000	20,000	0	5,000	20,000	35,000	57
TRAFELET & COMP.	028	0	0	0	0	0	0	0	0	0	0	13,500	0
TRELLUS PARTNERS LP	028	0	0	4,425	29,932	0	0	0	0	4,425	29,932	178,412	17
TUDOR INVESTORS	028	0	750	45,078	140,432	0	0	0	750	45,078	140,432	104,051	135
VERITION	028	0	0	1,125	19,605	0	0	0	0	1,125	19,605	0	0
WATERFRONT CAP	028	0	1,760	19,574	68,618	0	0	0	1,760	19,574	68,618	23,970	286
<b>TOTALS:</b>		<b>0</b>	<b>2,510</b>	<b>257,230</b>	<b>1,033,180</b>	<b>17,500</b>	<b>28,750</b>	<b>117,449</b>	<b>20,010</b>	<b>285,980</b>	<b>1,150,629</b>		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	12/31	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ADJUSTMENT (251)	251	0	0	0	0	0	0	-13,476	0	0	-13,476	0	0
DAVIDSON KEMPNER ADVISOR	281	1,344	3,710	33,637	60,943	0	0	0	3,710	33,637	60,943	0	0
DELAWARE MANAGEMENT	243	0	0	0	0	0	0	0	0	0	0	0	0
GEORGE WEISS	278	0	0	9,474	46,055	0	0	0	0	9,474	46,055	39,000	0
GUGGENHEIM GLOBAL TRADING (GGT)	251	0	0	9,910	23,170	0	0	0	0	9,910	23,170	0	0
KEY ASSET MGMT/VICTORY	220	0	0	0	0	0	52,500	352,500	0	52,500	352,500	109,000	323
PENNANT CAP MGMT	250	0	0	32,400	32,400	0	0	0	0	32,400	32,400	0	0
SURVEYOR CAPITAL	251	0	0	16,408	85,311	0	45,000	106,000	0	61,408	191,311	0	0
T. ROWE PRICE	243	0	0	24,255	122,167	0	0	0	0	24,255	122,167	0	0
WELLINGTON MGMT.	035	0	0	0	0	0	121,000	232,000	0	121,000	232,000	216,000	107
WILLIAMS TRADING/NEWBROOK	306	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTALS:</b>		<b>1,344</b>	<b>3,710</b>	<b>126,083</b>	<b>370,046</b>	<b>0</b>	<b>218,500</b>	<b>677,024</b>	<b>3,710</b>	<b>344,583</b>	<b>1,047,069</b>		

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