



RR Commissions Summary [Fran McCartan]

Trade Date: 01/28/2014

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	01/28	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ACK ASSET	028	0	4,152	4,152	4,152	0	0	0	4,152	4,152	4,152	59,108	7
ARSENAL ASSET MANAGEMENT	028	0	0	0	0	0	0	0	0	0	0	4,490	0
BRAHMAN CAPITAL	028	0	0	0	0	0	0	0	0	0	0	30,000	0
BRANDWINE	028	0	0	0	0	0	0	0	0	0	0	116,875	0
CHART WELL ADV	028	3,336	3,336	3,336	3,336	20,000	20,000	20,000	23,336	23,336	23,336	35,295	66
CHESAPEAKE PARTNERS	028	0	0	0	0	7,500	7,500	7,500	7,500	7,500	7,500	37,500	20
COLUMBIA PARTNERS	028	0	0	0	0	0	0	0	0	0	0	8,817	0
COOKBIELER	028	0	0	0	0	0	0	0	0	0	0	7,250	0
COOPER CREEK PART	028	0	3,698	3,698	3,698	0	0	0	3,698	3,698	3,698	13,172	28
CROSS LEDGE	028	0	0	0	0	0	0	0	0	0	0	2,500	0
DAVIDSON KEMPNER FRAN	028	0	0	0	0	0	0	0	0	0	0	14,559	0
J. GOLDMAN	028	1,400	17,607	17,607	17,607	0	0	0	17,607	17,607	17,607	216,258	8
KADE CAPITAL LLC	028	250	750	750	750	0	0	0	750	750	750	3,628	21
KENBELLE LLC	028	0	2,726	2,726	2,726	0	0	0	2,726	2,726	2,726	0	0
MASON CAPITAL	028	0	0	0	0	75,000	75,000	75,000	75,000	75,000	75,000	25,000	300
MILLENNIUM-ICS-SAYAN GHOSH	028	0	0	0	0	0	0	0	0	0	0	14,485	0
MILLRACE FUND LP	028	0	0	0	0	0	0	0	0	0	0	4,705	0
MTB INV ADV	028	0	0	0	0	0	0	0	0	0	0	452	0
PENN CAPITAL	028	0	0	0	0	0	0	0	0	0	0	7,500	0
RIDGECREST INV MGMT LLC	028	0	0	0	0	0	0	0	0	0	0	38,355	0
SAMLYN	028	0	0	0	0	20,000	20,000	20,000	20,000	20,000	20,000	85,000	24
SANDLER CAPITAL	028	7,750	23,250	23,250	23,250	0	0	0	23,250	23,250	23,250	284,903	8
SCHNEIDER CAPITAL	028	0	0	0	0	0	0	0	0	0	0	22,500	0
TIDE POINT CAPITAL	028	600	2,760	2,760	2,760	0	0	0	2,760	2,760	2,760	40,523	7
TRELLUS PARTNERS LP	028	0	0	0	0	0	0	0	0	0	0	9,290	0
TRIOAKS CAPITAL	028	0	0	0	0	2,000	2,000	2,000	2,000	2,000	2,000	0	0
TUDOR INVESTORS	028	1,350	8,040	8,040	8,040	0	0	0	8,040	8,040	8,040	145,723	6
VERITION	028	0	150	150	150	0	0	0	150	150	150	8,550	2
WATERFRONT CAP	028	0	0	0	0	0	0	0	0	0	0	13,256	0
TOTALS:		14,686	66,469	66,469	66,469	124,500	124,500	124,500	190,969	190,969	190,969		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	01/28	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ADJUSTMENT (251)	251	0	0	0	0	0	0	0	0	0	0	0	0
ARDSLEY PARTNERS/RIDGECREST	306	0	20,000	20,000	20,000	0	0	0	20,000	20,000	20,000	114,583	0
DAVIDSON KEMPNER ADVISOR	281	1,250	15,250	15,250	15,250	0	0	0	15,250	15,250	15,250	45,040	0
DELAWARE MANAGEMENT	243	0	0	0	0	11,100	11,100	11,100	11,100	11,100	11,100	7,000	159
GEORGE WEISS	278	0	750	750	750	12,000	12,000	12,000	12,750	12,750	12,750	138,202	9
GUGGENHEIM GLOBAL TRADING (GGT)	251	0	600	600	600	0	0	0	600	600	600	112,494	0
KEY ASSET MGMT/VICTORY	220	0	14,376	14,376	14,376	0	0	0	14,376	14,376	14,376	178,229	0
PENNANT CAP MGMT	250	0	0	0	0	0	0	0	0	0	0	23,227	0
SURVEYOR CAPITAL	251	2,000	8,312	8,312	8,312	0	0	0	8,312	8,312	8,312	280,170	0
T. ROWE PRICE	243	463	4,773	4,773	4,773	0	0	0	4,773	4,773	4,773	161,937	0
WILLIAMS TRADING/NEWBROOK	306	0	0	0	0	0	0	0	0	0	0	5,389	0
TOTALS:		3,713	64,062	64,062	64,062	23,100	23,100	23,100	87,162	87,162	87,162		

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