



## RR Commissions Summary [ Fran McCartan ]

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
ACK ASSET	028	0	8,942	14,942	45,275	0	0	0	8,942	14,942	45,275	50,147	90
ARSENAL ASSET MANAGEMENT	028	0	0	0	4,490	0	0	0	0	0	4,490	93,565	5
BRAHMAN CAPITAL	028	0	0	0	0	6,250	6,250	23,750	6,250	6,250	23,750	15,625	152
BRANDWINE	028	0	23,943	23,943	97,997	0	0	0	23,943	23,943	97,997	70,865	138
CHART WELL ADV	028	0	0	0	2,986	0	0	10,000	0	0	12,986	18,132	72
CHESAPEAKE PARTNERS	028	0	0	0	0	0	12,500	25,000	0	12,500	25,000	68,426	37
COLUMBIA PARTNERS	028	0	1,525	2,787	5,527	0	0	0	1,525	2,787	5,527	10,781	51
COOKBIELER	028	0	0	0	7,250	0	0	0	0	0	7,250	30,938	23
COOPER CREEK PART	028	0	0	400	11,211	0	0	0	0	400	11,211	25,645	44
CROSS LEDGE	028	0	0	0	0	0	2,500	2,500	0	2,500	2,500	3,500	71
DAVIDSON KEMPNER FRAN	028	0	0	14,559	14,559	0	0	0	0	14,559	14,559	0	0
DUPONT CAPITAL MANAGEMENT	028	0	0	0	0	0	0	0	0	0	0	2,824	0
J. GOLDMAN	028	2,029	15,955	57,166	160,507	0	0	0	15,955	57,166	160,507	142,952	112
KADE CAPITAL LLC	028	0	0	750	2,363	0	0	0	0	750	2,363	1,175	201
MILLENNIUM PARTNERS ICSUS/BAHN	028	0	0	0	0	1,125	1,125	1,125	1,125	1,125	1,125	1,324	85
MILLENNIUM-ICS-SAYAN GHOSH	028	0	0	0	7,048	0	150	150	0	150	7,198	20,668	35
MILLRACE FUND LP	028	0	100	381	4,705	0	0	0	100	381	4,705	13,618	35
MTB INV ADV	028	0	0	0	452	0	0	0	0	0	452	0	0
PENN CAPITAL	028	0	0	0	0	0	0	7,500	0	0	7,500	3,000	250
PNC CAPITAL ADV	028	0	0	0	0	0	0	0	0	0	0	19,239	0
RIDGECREST INV MGMT LLC	028	0	1,560	11,074	21,743	0	0	0	1,560	11,074	21,743	27,627	79
SAMLYN	028	0	0	0	0	0	0	25,000	0	0	25,000	0	0
SANDLER CAPITAL	028	0	16,385	73,760	194,261	0	0	0	16,385	73,760	194,261	238,892	81
SCHNEIDER CAPITAL	028	0	0	0	0	0	0	7,500	0	0	7,500	20,000	38
TIDE POINT CAPITAL	028	0	3,060	10,164	25,482	0	0	0	3,060	10,164	25,482	0	0
TRELLUS PARTNERS LP	028	0	0	1,980	9,290	0	0	0	0	1,980	9,290	29,932	31
TUDOR INVESTORS	028	1,800	8,550	23,523	66,323	0	0	50,000	8,550	23,523	116,323	139,682	83
VERITION	028	0	450	1,500	7,125	0	0	0	450	1,500	7,125	19,605	36
WATERFRONT CAP	028	0	0	0	12,032	0	0	0	0	0	12,032	66,858	18
<b>TOTALS:</b>		<b>3,829</b>	<b>80,470</b>	<b>236,928</b>	<b>700,625</b>	<b>7,375</b>	<b>22,525</b>	<b>152,525</b>	<b>87,845</b>	<b>259,453</b>	<b>853,150</b>		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	09/24	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ADJUSTMENT (251)	251	0	0	0	0	0	0	0	0	0	0	-13,476	0
DAVIDSON KEMPNER ADVISOR	281	0	4,318	29,392	63,684	0	0	0	4,318	29,392	63,684	0	0
DELAWARE MANAGEMENT	243	0	0	0	0	0	7,000	7,000	0	7,000	7,000	0	0
GEORGE WEISS	278	0	4,263	6,753	31,446	0	20,000	80,000	4,263	26,753	111,446	0	0
GUGGENHEIM GLOBAL TRADING (GGT)	251	0	8,103	27,531	77,315	0	0	0	8,103	27,531	77,315	23,170	0
KEY ASSET MGMT/VICTORY	220	0	9,738	34,041	103,238	0	0	26,250	9,738	34,041	129,488	352,500	7
PENNANT CAP MGMT	250	0	1,520	2,420	4,420	0	0	0	1,520	2,420	4,420	0	0
SURVEYOR CAPITAL	251	0	240	7,821	21,340	0	70,000	130,000	240	77,821	151,340	191,311	68
T. ROWE PRICE	243	0	5,920	30,326	106,972	0	0	0	5,920	30,326	106,972	0	0
WELLINGTON MGMT.	035	0	0	0	0	0	0	133,000	0	0	133,000	232,000	57
WILLIAMS TRADING/NEWBROOK	306	0	3,719	3,719	3,719	0	0	0	3,719	3,719	3,719	0	0
<b>TOTALS:</b>		<b>0</b>	<b>37,820</b>	<b>142,003</b>	<b>412,135</b>	<b>0</b>	<b>97,000</b>	<b>376,250</b>	<b>37,820</b>	<b>239,003</b>	<b>788,385</b>		

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