



RR Commissions Summary [Chris Cattani]

Trade Date: 11/25/2013

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	11/25	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
ADJUSTMENT (41)	041	0	0	0	0	0	0	0	0	0	0	13,476	0
ARMATURE CAPITAL	041	0	0	0	30,800	5,141	23,886	45,688	5,141	23,886	76,488	90,192	85
BLACK CAPITAL(CALAMOS ASSET)	041	0	0	0	0	0	0	5,000	0	0	5,000	0	0
BRANT POINT CAPITAL	041	0	0	0	0	0	0	10,000	0	0	10,000	10,000	100
BTIG/QUENTEC	041	0	0	0	3,360	0	0	0	0	0	3,360	0	0
CADIAN CAPITAL	041	1,020	24,354	26,664	66,393	0	0	0	24,354	26,664	66,393	11,550	575
CAERUS GLOBAL	041	0	6,949	14,467	58,621	0	0	0	6,949	14,467	58,621	61,691	95
CALAMOS ADVISORS LLC	041	0	0	29,400	74,332	0	0	0	0	29,400	74,332	0	0
CENTURION PARTNERS	041	0	1,400	1,480	35,517	0	0	0	1,400	1,480	35,517	46,987	76
COBALT	041	0	4,697	17,497	76,805	0	0	0	4,697	17,497	76,805	103,803	74
COHE & STEERS	041	0	20,680	43,959	128,276	0	0	0	20,680	43,959	128,276	74,414	172
COLUMBIA MGMT	041	0	0	0	0	0	5,985	21,554	0	5,985	21,554	5,875	367
CORVEX CAPITAL	041	0	4,599	9,412	31,203	0	0	0	4,599	9,412	31,203	31,016	101
CR INTRINSIC/CHRIS C	041	0	0	0	32,607	0	0	0	0	0	32,607	3,826	852
CSFB GLOBAL PROPRIETARY	041	0	9,500	28,500	321,268	0	0	0	9,500	28,500	321,268	425,383	76
DECADE (ARETE) CHRIS C	041	0	0	0	10,410	0	0	23,801	0	0	34,211	7,963	430
DW INVESTMENT MGMT.	041	0	0	0	8,750	0	0	0	0	0	8,750	0	0
ETON PARK CAPITAL	041	0	0	0	0	0	0	50,000	0	0	50,000	67,770	74
FIRST NY SEC/CHRIS	041	0	3,550	8,300	39,887	0	0	0	3,550	8,300	39,887	34,239	116
GALT INVESTMENT	041	0	3,800	6,525	31,372	0	0	0	3,800	6,525	31,372	19,472	161
GREENLIGHT CAPITAL	041	0	0	0	18,750	0	0	25,000	0	0	43,750	25,000	175
HALCYON LLC	041	0	10,260	16,350	58,030	0	0	0	10,260	16,350	58,030	26,157	222
HEIGHTS CAPITAL	041	0	0	0	0	1,875	1,875	9,752	1,875	1,875	9,752	0	0
HIGHBRIDGE CAP	041	0	0	0	48,038	0	0	0	0	0	48,038	121,287	40
IONIC CAPITAL MANAGEMENT	041	0	0	5,199	25,323	0	0	0	0	5,199	25,323	0	0
JAT CAPITAL MANAGEMENT	041	0	0	0	0	0	0	0	0	0	0	75,412	0
JET CAPITAL/CHRIS	041	0	10,500	19,005	65,261	0	0	0	10,500	19,005	65,261	59,192	110
KAM ADVISORS LLC	041	0	17,820	27,816	120,818	0	0	0	17,820	27,816	120,818	89,699	135
KINGDON ASSET MGMT	041	0	5,000	14,012	55,412	0	0	0	5,000	14,012	55,412	117,902	47
LEVIN CAPITAL STRATEGIES	041	0	7,187	17,830	99,894	0	0	0	7,187	17,830	99,894	85,638	117
LUXOR CAPITAL	041	0	0	0	0	0	6,250	25,000	0	6,250	25,000	18,750	133
MARSHALL WACE	041	0	0	0	0	2,500	5,300	35,900	2,500	5,300	35,900	57,500	62
MILLENIUM CATTANI	041	0	0	0	10,220	0	0	0	0	0	10,220	0	0
MOORE CAPITAL	041	0	0	0	12,190	0	0	0	0	0	12,190	63,167	19
OMEGA ADVISORS	041	0	27,000	27,000	97,520	0	0	0	27,000	27,000	97,520	113,355	86
P.SCHOENFELD ASSET MGMT LLC	041	0	11,520	19,776	41,336	0	0	0	11,520	19,776	41,336	12,773	324
PAULSON & CO INC	041	0	3,352	9,704	36,913	0	0	0	3,352	9,704	36,913	41,600	89
RATAN CAPITAL MGMT LP	041	0	1,500	1,500	3,300	0	0	0	1,500	1,500	3,300	318	1037
SAC CHRIS C	041	2,892	62,160	62,160	62,160	0	0	0	62,160	62,160	62,160	0	0

SCHOTTENFELD ASSOC	041	0	0	0	5,955	0	0	0	0	0	5,955	3,450	173
SCOGGIN LLC	041	0	2,300	6,900	36,887	0	0	0	2,300	6,900	36,887	0	0
SCOPUS FUND	041	1,600	25,961	42,865	357,694	0	0	0	25,961	42,865	357,694	386,840	92
SIGMA CAPITAL ASSOCIATES	041	750	18,600	22,350	165,040	0	0	0	18,600	22,350	165,040	56,753	291
SIMMONS VENTURES	041	0	250	3,575	5,128	0	0	0	250	3,575	5,128	52,868	10
TEMAGAMI CAPITAL	041	0	0	0	536	0	0	0	0	0	536	9,832	5
THREE G	041	0	4,751	4,751	28,376	0	0	0	4,751	4,751	28,376	0	0
TIGER	041	0	0	0	0	0	0	40,000	0	0	40,000	0	0
TIGER GLOBAL	041	0	0	0	0	0	0	0	0	0	0	48,500	0
TOURBILLION CAPITAL	041	0	0	0	0	0	0	10,000	0	0	10,000	0	0
TOURMALINE PARTNERS CHRIS	041	0	0	0	450	0	0	0	0	0	450	3,450	13
VELAZQUEZ/MILLENNIUM	041	0	0	0	1,600	5,226	14,580	54,844	5,226	14,580	56,444	0	0
YG PARTNERS LLC	041	0	0	800	800	0	0	0	0	800	800	0	0
TOTALS:		6,262	287,690	487,798	2,307,232	14,742	57,876	356,539	302,431	545,673	2,663,771		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	11/25	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
CAISSE DEPOT PLACEMENT Q	295	0	0	10,050	28,347	0	0	0	0	10,050	28,347	12,444	0
GUGGENHEIM GLOBAL TRADING (GGT)	251	0	1,605	35,179	112,494	0	0	0	1,605	35,179	112,494	23,170	0
LONE PINE MGMT	257	0	0	0	0	0	0	32,000	0	0	32,000	7,500	427
LORD ABBETT & COMPANY	098	0	0	0	0	0	0	0	0	0	0	0	0
MOORE CAPITAL	257	600	50,040	69,390	122,238	0	0	0	50,040	69,390	122,238	63,167	19
SENATOR INVESTMENT GROUP	287	0	78,286	110,145	465,597	0	0	0	78,286	110,145	465,597	0	0
SURVEYOR CAPITAL	251	0	3,803	7,054	28,393	70,000	70,000	200,000	73,803	77,054	228,393	191,311	105
VELAZQUEZ/MILLENNIUM	282	0	0	0	0	0	0	0	0	0	0	0	0
TOTALS:		600	133,734	231,818	757,069	70,000	70,000	232,000	203,734	301,818	989,069		

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