



Report: CHECKS

From : 12/01/2013 to 01/03/2014

Date	Amount	Type	Client	Client Name	Rep.	Rep. #
12/12/2013	120,000.00	Research - Research	ADAG	ADAGE CAPITAL MGMT	MG	030
12/12/2013	387.50	Research - Research	ARMA	ARMATURE CAPITAL	CC	041
12/26/2013	2,131.25	Research - Research	ARMA	ARMATURE CAPITAL	CC	041
12/11/2013	1,937.50	Research - Research	BLUA	BLUE ARROW	DR	040
12/12/2013	1,728.27	Research - Research	BLUA	BLUE ARROW	DR	040
12/16/2013	4,787.05	Research - Research	BLUA	BLUE ARROW	DR	040
12/23/2013	3,182.51	Research - Research	BOST	THE BOSTON COMPANY	NP	029
12/26/2013	6,250.00	Research - Research	BRAH	BRAHMAN CAPITAL	FM	028
12/17/2013	50,000.00	Research - Research	BRIC	BRIGADE CAPITAL MGMT	NP	029
01/02/2014	41,000.00	Research - Research	BRIC	BRIGADE CAPITAL MGMT	NP	029
01/02/2014	2,500.00	Research - Research	BTIG	KDI CAPITAL PARTNERS	IM	025
01/02/2014	2,269.02	Research - Research	CAPI	CAPITAL IQ	BRG	091
01/02/2014	5,000.00	Research - Research	CARL	CARLSON CAPITAL	AS	031
12/12/2013	4,456.25	Research - Research	CATJ	CATAPULT - JC	JC DR	283
12/26/2013	17,500.00	Research - Research	CHIL	CHILTON INVESTMENT	ML	036
01/02/2014	7,500.00	Research - Research	CHSA	CHESAPEAKE PARTNERS	FM	028
12/26/2013	55,000.00	Research - Research	CITA	CITADEL ADV	AS BH	200
12/11/2013	33,000.00	Research - Research	COLC	COLUMBUS CIRCLE	ML	036
12/26/2013	2,500.00	Research - Research	CONA	CONATUS CAPITAL	ML	036
01/02/2014	4,000.00	Research - Research	CONA	CONATUS CAPITAL	ML	036
12/23/2013	2,575.00	Research - Research	CORA	CORTINA ASSET	AF	047
01/02/2014	11,100.00	Research - Research	DELM	DELAWARE MANAGEMENT	FM DR	281
12/13/2013	919.00	Research - Research	DEUT	DEUTSCHE ASSET MGMT.	SM	070
12/26/2013	8,500.00	Research - Research	EAGL	EAGLE ASSET MGMT	MS	999
12/20/2013	15,000.00	Research - Research	EMIN	EMINENCE CAPITAL	IM	025
12/16/2013	10,000.00	Research - Research	FARA	FARALLON CAP MGMT	DR	040
12/24/2013	7,500.00	Research - Research	FRAS	FRANKLIN ADVISORY SERVIC	IM	025
12/12/2013	5,000.00	Research - Research	FROF	FRONTFOUR CAPITAL	KO	046
12/11/2013	10,000.00	Research - Research	FTCL	FIFTH THIRD BANK/FREEMAN	AF	047
12/11/2013	968.75	Research - Research	GARW	GREEN ARROW CAPITAL	JC	006

12/26/2013	581.25	Research - Research	GARW	GREEN ARROW CAPITAL	JC	006
12/05/2013	75,000.00	Research - Research	GLEV	GLENVEIW CAPITAL	ML	036
12/18/2013	20,000.00	Research - Research	GTRE	GOLDEN TREE	BH	086
01/02/2014	2,500.00	Research - Research	ISFM	CONIFER/ISF MANAGEMENT	IM	025
01/02/2014	42,033.00	Research - Research	JPMB	MORGAN BANK /JPM	SM	070
12/05/2013	15,000.00	Research - Research	LONE	LONE PINE MGMT	CC AS	257
12/12/2013	32,500.00	Research - Research	MANN	MANNING & NAPIER	KO	046
01/02/2014	1,537.40	Research - Research	MARC	MARCATO CAPITAL MGMT.	NP	029
01/02/2014	21,331.71	Research - Research	MARC	MARCATO CAPITAL MGMT.	NP	029
01/02/2014	77,130.89	Research - Research	MARC	MARCATO CAPITAL MGMT.	NP	029
12/13/2013	2,500.00	Research - Research	MARW	MARSHALL WACE	CC	041
12/26/2013	40,000.00	Research - Research	MARW	MARSHALL WACE	CC	041
01/02/2014	75,000.00	Research - Research	MASO	MASON CAPITAL	FM	028
12/05/2013	180,079.00	Research - Research	MERR	MERRILL ASSET/BLACKROCK	ME	085
12/16/2013	950.00	Research - Research	MNCL	MONTCLAIR GLOBAL	JC	006
12/17/2013	1,100.00	Research - Research	NOMI	NOMURA INTERNATIONAL PLC	ME	085
12/12/2013	12,869.44	Research - Research	ODEY	ODEY	ME	085
12/26/2013	18,841.00	Research - Research	OHIO	OHIO PERS	AF	047
12/26/2013	10,000.00	Research - Research	OPTI	FAIRPOINTE - OPTIMUM INV ADV	MG	030
01/02/2014	4,000.00	Research - Research	OSTE	OSTERWEIS CAPITAL	RS	084
12/26/2013	7,500.00	Research - Research	PERW	PERELLA WEINBERG	ME	085
12/12/2013	10,150.00	Research - Research	PZEN	PZENA INV ADV	BE	044
12/11/2013	3,000.00	Research - Research	RAIL	RAIL-SPLITTER	AS	031
12/26/2013	36,000.00	Research - Research	ROBP	ROBECO BOSTON PARTNERS	DR	040
12/26/2013	10,000.00	Research - Research	SAML	SAMLYN	FM	028
12/12/2013	15,360.41	Research - Research	SCAB	SCHRODER	ME	085
12/11/2013	15,000.00	Research - Research	SCHC	SCHNEIDER CAPITAL	FM	028
01/02/2014	3,000.00	Research - Research	SGCA	SG CAPITAL/CEDAR STREET FUNDS	AS BE	307
12/23/2013	4,000.00	Research - Research	SMEA	SMEAD CAPITAL	BC	033
12/18/2013	49,898.92	Research - Research	SORB	SOROBAN CAPITAL	DR	040
12/20/2013	50,000.00	Research - Research	SURV	SURVEYOR CAPITAL	CC FM	251
12/23/2013	1,980.76	Research - Research	THOM	THOMSON/INDEPENDENT		
12/23/2013	4,425.00	Research - Research	TIGR	TIGER	CC	041
12/23/2013	20,575.00	Research - Research	TIGR	TIGER	CC	041

01/02/2014	15,000.00	Research - Research	TOUC	TOURMALINE PARTNERS CHRIS	CC	041
01/02/2014	2,000.00	Research - Research	TRIO	TRIOAKS CAPITAL	FM	028
12/23/2013	7,815.00	Research - Research	TRUS	TRUSTCO/SUNTRUST (CEREDEX)	DR MS	
12/09/2013	2,000.00	Research - Research	WEDG	WEDGE CAPITAL	MS	999
12/09/2013	127,000.00	Research - Research	WELL	WELLINGTON MGMT.	MG FM	258
12/18/2013	2,500.00	Research - Research	ZIFF	ZIFF BROS	KO	046
TOTAL:	1,456,850.88					

Report created by Lloyd Karp on 01/15/2014 at 07:43:47pm from m/c [192.168.20.199] using Mozilla/4.0 (compatible; MSIE 7.0; Windows NT 6.1; Trident/5.0; SLCC2; .NET CLR 2.0.50727; .NET CLR 3.5.30729; .NET CLR 3.0.30729; Media Center PC 6.0; CMDTDF; .NET4.0C; .NET4.0E)
