



RR Commissions Summary [Doug Rogers]

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
1798 CAP/LOMBARD ASSET	040	0	1,750	9,775	84,770	0	0	0	1,750	9,775	84,770	75,990	112
ATLANTIC INVESTMENT MGMT	040	0	0	0	0	0	21,335	65,008	0	21,335	65,008	94,313	69
BNP PARIBAS SEC	040	0	7,560	13,179	35,145	0	0	0	7,560	13,179	35,145	157,588	22
BTG PACTUAL	040	0	2,850	9,199	24,032	0	0	0	2,850	9,199	24,032	12,781	188
CASTLEROCK	040	0	10,894	14,725	68,459	0	0	0	10,894	14,725	68,459	75,871	90
CATAPULT	040	0	0	0	9,898	0	2,221	13,315	0	2,221	23,214	102,098	23
CATAPULT CAP/DEFRANCO	040	0	0	0	9,298	0	0	1,703	0	0	11,001	65,779	17
CAXTON PART	040	0	0	0	0	0	46,250	92,500	0	46,250	92,500	13,017	711
CLEARBRIDGE	040	0	0	0	0	16,000	16,000	47,600	16,000	16,000	47,600	65,450	73
CLEARLINE CAPITAL LLC	040	0	0	1,200	4,664	0	0	0	0	1,200	4,664	0	0
CYPRESS CAP MGMT LLC	040	0	0	0	2,488	0	0	0	0	0	2,488	7,797	32
DAVIDSON KEMPNER ADVISOR	040	0	0	356	34,649	0	0	0	0	356	34,649	57,232	61
DECADE CAPITAL PARTNERS	040	0	0	0	4,988	0	4,252	4,252	0	4,252	9,240	22,868	40
DELTEC ASSET MGMT.	040	0	1,550	4,835	27,885	0	0	0	1,550	4,835	27,885	37,182	75
ENTRUST CAPITAL-N/C TO MSF CAP	040	0	983	7,011	15,242	0	0	0	983	7,011	15,242	1,439	1059
FARALLON CAP MGMT	040	0	15,489	50,300	138,564	0	0	0	15,489	50,300	138,564	119,348	116
HERRING CREEK CAPITAL MGMT LLC	040	846	5,364	23,066	39,468	0	0	0	5,364	23,066	39,468	0	0
IMPALA ASSET MMT	040	17,308	131,030	132,362	276,704	0	0	0	131,030	132,362	276,704	278,343	99
KEYGROUP/KGLT	040	0	4,000	10,000	25,960	0	0	0	4,000	10,000	25,960	12,560	207
LIONEYE CAPITAL	040	0	0	0	16,010	3,000	6,000	17,000	3,000	6,000	33,010	27,534	120
LOMAS CAPITAL	040	2,406	8,199	20,231	85,691	0	0	0	8,199	20,231	85,691	63,245	135
LONG OAR GLOBAL INV	040	0	1,400	13,023	36,995	0	0	0	1,400	13,023	36,995	45,115	82
MAPLE LANE CAPITAL	040	0	2,000	15,250	15,290	0	0	0	2,000	15,250	15,290	0	0
MAVERICK ADV	040	0	0	0	0	0	32,500	127,000	0	32,500	127,000	163,000	78
NOMURA/ANGEL LANE PRINCIPAL	040	0	7,650	20,700	162,243	0	0	0	7,650	20,700	162,243	76,350	212
OZ MGMT	040	1,443	22,662	54,477	256,864	0	0	0	22,662	54,477	256,864	553,938	46
PALESTRA	040	0	0	0	3,540	0	10,000	15,000	0	10,000	18,540	27,018	69
PARTNER FUND MGMT LP	040	0	0	0	0	0	0	162,312	0	0	162,312	90,116	180
PROVIDENCE EQUITY CAP. MKTS.	040	0	16,750	26,184	93,758	0	0	0	16,750	26,184	93,758	13,056	718
RBC CAPITAL MARKETS	040	0	2,600	2,600	15,959	0	0	0	2,600	2,600	15,959	112,249	14
ROBECO BOSTON PARTNERS	040	0	0	0	0	0	30,000	30,000	0	30,000	30,000	0	0
ROTHSCHILD ASSET	040	0	2,385	14,453	35,505	0	0	0	2,385	14,453	35,505	79,880	44
ROUTE ONE PARTNERS	040	0	0	0	0	0	0	0	0	0	0	15,000	0
ROVER CAPITAL PARTNERS	040	276	1,146	1,921	3,177	0	0	0	1,146	1,921	3,177	0	0
ROYSTONE CAPITAL	040	0	2,100	5,895	6,395	0	0	0	2,100	5,895	6,395	0	0
SAFRA ASSET MGMT.	040	0	0	0	2,250	0	0	0	0	0	2,250	150	1500
SOROBAN CAPITAL	040	0	0	0	0	0	28	26,425	0	28	26,425	128,783	21
SUFFOLK CAPITAL MGMT	040	0	28,622	39,034	107,298	0	0	0	28,622	39,034	107,298	147,308	73
TALPION LLC	040	0	0	12	1,149	0	0	0	0	12	1,149	15,362	7

TRUST CO/COWEN/CALF.	040	0	5,103	12,191	23,765	0	0	0	5,103	12,191	23,765	106,499	22
WEISS PECK/ROBECO/BOSTON PT	040	0	0	29,712	87,461	0	0	18,800	0	29,712	106,261	83,797	127
WESTFACE CAPITAL	040	0	0	0	0	0	0	0	0	0	0	19,650	0
TOTALS:		22,279	282,086	531,688	1,755,565	19,000	168,585	620,916	301,086	700,273	2,376,481		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	09/24	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BASSWOOD PARTNERS	267	0	11,655	32,386	104,026	0	0	0	11,655	32,386	104,026	103,730	0
CATAPULT	283	0	0	0	0	14,644	31,993	31,993	14,644	31,993	31,993	0	0
DAVIDSON KEMPNER ADVISOR	281	0	4,318	29,035	29,035	0	0	0	4,318	29,035	29,035	57,232	61
DELAWARE MANAGEMENT	243	0	0	0	0	0	7,000	7,000	0	7,000	7,000	0	0
KEYGROUP/KGLT	283	0	0	0	0	0	0	0	0	0	0	12,560	207
OSKIE CAPITAL MGMT	224	0	4,000	26,400	54,350	0	0	0	4,000	26,400	54,350	50,768	0
PERIMETER	273	0	0	0	3,797	0	0	0	0	0	3,797	55,952	0
TRUSTCO/SUNTRUST (CEREDEX)	273	0	0	449	35,813	0	10,067	26,995	0	10,516	62,808	2,309	1
WEXFORD CAPITAL	284	0	159	159	23,268	0	0	0	159	159	23,268	2,962	0
TOTALS:		0	20,131	88,430	250,290	14,644	49,060	65,988	34,775	137,490	316,278		

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