



RR Commissions Summary [Ian Miller]

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
BOURGEON CAPITAL	025	0	600	600	600	0	0	0	600	600	600	0	0
BTIG/KDI ADV	025	0	0	0	0	0	12,500	37,500	0	12,500	37,500	50,000	75
CHARTERBRIDGE CAPITAL	025	0	10,570	10,652	32,259	0	0	0	10,570	10,652	32,259	43,000	75
CONIFER	025	0	0	0	960	0	0	0	0	0	960	6,928	14
CONIFER/ISF MANAGEMENT	025	0	0	0	0	0	0	7,000	0	0	7,000	13,840	51
CYRUS CAPITAL	025	0	0	7,500	120,773	0	0	0	0	7,500	120,773	36,516	331
EMINENCE CAPITAL	025	0	0	0	0	0	0	35,000	0	0	35,000	80,000	44
EVERCORE WEALTH MGMT	025	0	0	3,315	3,315	0	0	0	0	3,315	3,315	0	0
FRANKLIN ADVISORY SERVIC	025	0	0	0	0	0	0	17,525	0	0	17,525	20,000	88
G WEISS /IAN	025	0	0	0	0	0	0	0	0	0	0	5,040	0
GABELLI FUNDS	025	0	0	2,304	12,090	0	0	0	0	2,304	12,090	0	0
HAWK RIDGE	025	500	500	500	860	0	0	0	500	500	860	0	0
HOPLITE MGMT	025	0	0	4,000	37,909	0	0	0	0	4,000	37,909	59,717	63
KOLVEN CAPITAL	025	0	60	240	845	0	0	0	60	240	845	30	2818
KORTRIGHT CAPITAL PARTNERS	025	2,500	11,650	16,802	24,701	0	0	0	11,650	16,802	24,701	0	0
MASTERS CAPITAL MANAGE	025	0	11,500	19,500	72,597	0	0	0	11,500	19,500	72,597	48,495	150
NEWLAND CAPITAL MGT	025	0	8,497	12,947	34,834	0	0	0	8,497	12,947	34,834	68,617	51
PALISADE CAPITAL MANAGEMENT LLC	025	0	14,806	16,406	33,348	0	0	0	14,806	16,406	33,348	0	0
PATTEN & PATTEN	025	525	738	874	50,086	0	0	0	738	874	50,086	56,434	89
PAW PARTNERS	025	0	0	0	2,500	0	0	0	0	0	2,500	2,875	87
RIVERPARK CAPITAL	025	0	2,550	2,550	13,916	0	0	0	2,550	2,550	13,916	9,371	149
SAGE ASSET MGMT	025	0	3,673	4,258	27,738	0	0	0	3,673	4,258	27,738	31,923	87
SCOPIA CAPITAL	025	0	5,320	7,963	30,028	0	0	0	5,320	7,963	30,028	0	0
SEVEN LOCKS CAPITAL	025	1,956	4,116	4,806	13,576	0	0	0	4,116	4,806	13,576	11,607	117
SONICA CAPITAL LLC	025	0	1,200	1,200	11,070	0	0	0	1,200	1,200	11,070	4,539	244
SOUTH SHORE CAPITAL	025	0	0	0	0	0	0	500	0	0	500	850	59
WELCH CAPITAL	025	0	1,834	1,834	1,834	0	0	0	1,834	1,834	1,834	0	0
WILLIAMS TRADING/FOX POINT	025	0	4,000	4,000	4,000	0	0	0	4,000	4,000	4,000	9,500	42
TOTALS:		5,481	81,613	122,250	529,840	0	12,500	97,525	81,613	134,750	627,365		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	11/25	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
BASSWOOD PARTNERS	267	2,216	8,543	14,062	118,088	0	0	0	8,543	14,062	118,088	103,730	0
FIR TREE CAPITAL	270	0	0	0	0	0	0	9,000	0	0	9,000	6,500	138
GEORGE WEISS	278	0	1,776	6,006	37,452	20,000	20,000	100,000	21,776	26,006	137,452	0	0
TOTALS:		2,216	10,319	20,068	155,540	20,000	20,000	109,000	30,319	40,068	264,540		

