



RR Commissions Summary [Andrew Sinclair]

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
A. R. SCHMEIDLER & CO.	031	0	1,350	2,360	2,360	0	0	0	1,350	2,360	2,360	0	0
ASSOCIATED	031	0	0	0	0	0	0	0	0	0	0	15,509	0
BARROW HANLEY MEWHINNEY	031	0	6,470	29,202	82,529	0	0	9,000	6,470	29,202	91,529	89,062	103
CASTLE ARK	031	0	0	1,889	90,748	0	0	0	0	1,889	90,748	210,377	43
CHANNING CAPITAL	031	0	0	0	3,976	0	0	0	0	0	3,976	9,924	40
CHILTON CAPITAL MGMT	031	0	0	0	0	0	0	0	0	0	0	4,159	0
COPIA CAPITAL	031	0	0	0	0	0	0	0	0	0	0	16,875	0
CORTEX CAPITAL	031	0	12,390	15,060	15,060	0	0	0	12,390	15,060	15,060	0	0
ESSENCIAL CAPITAL	031	0	0	600	1,765	0	0	0	0	600	1,765	0	0
HAMILTON CAP PART FIN	031	0	0	0	4,020	0	0	0	0	0	4,020	4,520	89
HIGHLAND CAPITAL/PYXIS	031	0	0	0	0	0	0	0	0	0	0	1,828	0
INVESCO	031	0	0	56,480	119,961	0	0	30,834	0	56,480	150,795	114,396	132
JHL CAPITAL	031	0	0	0	0	0	0	0	0	0	0	12,500	0
KLEINHEINZ CAP PART	031	0	0	28,750	78,275	0	0	0	0	28,750	78,275	279,792	28
MAGNETAR FINANCIAL	031	0	0	1,440	1,440	0	0	0	0	1,440	1,440	0	0
MILLENIUM -MICHAEL EHRLICH	031	0	0	0	0	0	0	0	0	0	0	2,541	0
NEW VERNON/SF INVESTMENTS	031	0	4,000	14,500	32,320	0	0	0	4,000	14,500	32,320	13,151	246
NOKOMIS PARTNERS	031	235	2,225	6,917	21,441	0	0	0	2,225	6,917	21,441	24,102	89
PIONEER OAKRIDGE	031	0	0	0	0	0	0	20,000	0	0	20,000	40,272	50
RAIL-SPLITTER	031	0	0	0	0	0	0	8,000	0	0	8,000	19,000	42
ROARING BLUE LION MGMT	031	304	304	5,316	35,627	0	0	0	304	5,316	35,627	17,869	199
ROYCE TRADING	031	0	410	410	53,499	0	0	0	410	410	53,499	101,758	53
SAC CHICAGO ANDREW	031	0	0	0	4,365	0	0	0	0	0	4,365	31,633	14
SANDLER O'NEILL ASSET	031	0	5,955	25,815	142,970	0	0	0	5,955	25,815	142,970	105,074	136
SHEFFIELD ASSET MGMT	031	0	1,320	5,946	22,294	0	0	0	1,320	5,946	22,294	38,713	58
TYVOR CAPITAL LLC	031	0	5,025	18,573	18,573	0	0	0	5,025	18,573	18,573	0	0
UBS OCONNOR	031	0	0	0	16,434	0	0	10,000	0	0	26,434	19,717	134
WANGER ASS	031	0	0	0	0	18,200	18,200	35,700	18,200	18,200	35,700	30,000	119
WOODWAY FINANCIAL	031	2,655	4,259	8,667	18,951	0	0	0	4,259	8,667	18,951	34,268	55
TOTALS:		3,194	43,707	221,926	766,608	18,200	18,200	113,534	61,907	240,126	880,142		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	09/24	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
A.I.M. ADVISORS INC	222	0	0	0	0	0	0	0	0	0	0	0	0
CAISSE DEPOT PLACEMENT Q	295	0	300	300	18,297	0	0	0	300	300	18,297	12,444	0
CITADEL ADV	280	0	0	0	0	0	55,000	110,000	0	55,000	110,000	240,000	46
CITADEL ALPHA LEAGUE	280	0	0	0	0	0	44,789	78,281	0	44,789	78,281	100,035	78
LONE PINE MGMT	257	0	0	0	0	0	0	12,000	0	0	12,000	0	0
LORD ABBETT & COMPANY	098	0	0	0	0	0	0	0	0	0	0	0	0
MOORE CAPITAL	257	0	4,346	43,796	65,038	0	0	0	4,346	43,796	65,038	0	0
SG CAPITAL/CEDAR STREET FUNDS	292	0	0	0	0	3,000	3,000	3,000	3,000	3,000	3,000	0	0
TOTALS:		0	4,646	44,096	83,335	3,000	102,789	203,281	7,646	146,885	286,616		

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