



## RR Commissions Summary [ Andrew Sinclair ]

Trade Date: 01/28/2014

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (PRIMARY)	RR	01/28	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
A. R. SCHMEIDLER & CO.	031	0	0	0	0	0	0	0	0	0	0	2,360	0
BARROW HANLEY MEWHINNEY	031	0	0	0	0	0	0	0	0	0	0	120,063	0
BLUE HILL CAPITAL	031	0	0	0	0	11,608	11,608	11,608	11,608	11,608	11,608	0	0
CARLSON CAPITAL	031	0	0	0	0	5,000	5,000	5,000	5,000	5,000	5,000	5,500	91
CASTLE ARK	031	0	2,452	2,452	2,452	0	0	0	2,452	2,452	2,452	126,348	2
CHANNING CAPITAL	031	0	0	0	0	0	0	0	0	0	0	3,976	0
CHILTON CAPITAL MGMT	031	0	0	0	0	0	0	0	0	0	0	2,078	0
CORTEX CAPITAL	031	0	8,280	8,280	8,280	0	0	0	8,280	8,280	8,280	29,070	28
ESSENCIAL CAPITAL	031	0	0	0	0	0	0	0	0	0	0	2,665	0
HAMILTON CAP PART FIN	031	0	0	0	0	0	0	0	0	0	0	4,020	0
INVESCO	031	0	0	0	0	0	0	0	0	0	0	168,795	0
JHL CAPITAL	031	0	0	0	0	0	0	0	0	0	0	12,500	0
KLEINHEINZ CAP PART	031	0	17,755	17,755	17,755	0	0	0	17,755	17,755	17,755	156,445	11
MAGNETAR FINANCIAL	031	0	1,658	1,658	1,658	0	0	0	1,658	1,658	1,658	6,210	27
NEW VERNON/SF INVESTMENTS	031	0	12,840	12,840	12,840	0	0	0	12,840	12,840	12,840	60,512	21
NOKOMIS PARTNERS	031	0	2,843	2,843	2,843	0	0	0	2,843	2,843	2,843	29,076	10
PIONEER OAKRIDGE	031	0	0	0	0	3,500	3,500	3,500	3,500	3,500	3,500	31,599	11
RAIL-SPLITTER	031	0	0	0	0	0	0	0	0	0	0	14,000	0
ROARING BLUE LION MGMT	031	0	2,080	2,080	2,080	0	0	0	2,080	2,080	2,080	40,443	5
ROYCE TRADING	031	0	5,830	5,830	5,830	0	0	0	5,830	5,830	5,830	56,864	10
SANDLER O'NEILL ASSET	031	0	6,000	6,000	6,000	0	0	0	6,000	6,000	6,000	160,250	4
SAXON WOODS ADVISORS	031	0	0	0	0	0	0	0	0	0	0	5,000	0
SHEFFIELD ASSET MGMT	031	0	7,644	7,644	7,644	0	0	0	7,644	7,644	7,644	46,582	16
TYVOR CAPITAL LLC	031	0	7,104	7,104	7,104	0	0	0	7,104	7,104	7,104	34,956	20
UBS OCONNOR	031	0	0	0	0	0	0	0	0	0	0	27,109	0
WANGER ASS	031	0	0	0	0	0	0	0	0	0	0	35,700	0
WOODWAY FINANCIAL	031	0	0	0	0	0	0	0	0	0	0	26,451	0
<b>TOTALS:</b>		<b>0</b>	<b>74,486</b>	<b>74,486</b>	<b>74,486</b>	<b>20,108</b>	<b>20,108</b>	<b>20,108</b>	<b>94,594</b>	<b>94,594</b>	<b>94,594</b>		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	01/28	MTD	QTD	YTD	MTD	QTD	YTD	MTD	QTD	YTD		of LY
CAISSE DEPOT PLACEMENT Q	295	0	0	0	0	0	0	0	0	0	0	32,897	0
CITADEL ADV	280	0	0	0	0	0	0	0	0	0	0	220,000	0
CITADEL ALPHA LEAGUE	280	0	0	0	0	0	0	0	0	0	0	78,281	0
INVESCO	222	0	0	0	0	0	0	0	0	0	0	0	0
LONE PINE MGMT	257	0	6,733	6,733	6,733	0	0	0	6,733	6,733	6,733	27,000	0

LORD ABBETT & COMPANY	098	0	0	0	0	0	0	0	0	0	0	0	0
MOORE CAPITAL	257	0	0	0	0	0	0	0	0	0	0	130,683	0
NEUBERGER BERMAN	238	0	33,141	33,141	33,141	0	0	0	33,141	33,141	33,141	0	0
SG CAPITAL/CEDAR STREET FUNDS	307	0	0	0	0	3,000	3,000	3,000	3,000	3,000	3,000	3,000	100
<b>TOTALS:</b>		<b>0</b>	<b>39,874</b>	<b>39,874</b>	<b>39,874</b>	<b>3,000</b>	<b>3,000</b>	<b>3,000</b>	<b>42,874</b>	<b>42,874</b>	<b>42,874</b>		

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