



## Report: CHECKS

From : 11/01/2013 to 11/30/2013

Date	Amount	Type	Client	Client Name	Rep.	Rep. #
11/12/2013	46,550.00	Research - Research	ALCA	ALLIANCE BERNSTEIN	SM	070
11/08/2013	5,141.00	Research - Research	ARMA	ARMATURE CAPITAL	CC	041
11/04/2013	19,940.00	Research - Research	ATLI	ATLANTIC INVESTMENT MGMT	DR	040
11/08/2013	3,375.00	Research - Research	BLUA	BLUE ARROW	DR	040
11/08/2013	2,228.13	Research - Research	BLUA	BLUE ARROW	DR	040
11/21/2013	4,845.00	Research - Research	BLUA	BLUE ARROW	DR	040
11/26/2013	10,818.75	Research - Research	BLUA	BLUE ARROW	DR	040
11/04/2013	3,182.51	Research - Research	BOST	THE BOSTON COMPANY	NP	029
11/18/2013	3,182.51	Research - Research	BOST	THE BOSTON COMPANY	NP	029
11/29/2013	10,000.00	Research - Research	BRAN	BRANT POINT CAPITAL	CC	041
11/29/2013	1.00	Other	BRGP	BUCKINGHAM RES GRP PENDING	BRG	091
11/29/2013	-1.00		BRGP	BUCKINGHAM RES GRP PENDING	BRG	091
11/12/2013	5,500.00	Research - Research	CARL	CARLSON CAPITAL	AS	031
11/04/2013	5,062.50	Research - Research	CATJ	CATAPULT - JC	JC DR	283
11/08/2013	5,649.99	Research - Research	CATJ	CATAPULT - JC	JC DR	283
11/18/2013	25,540.00	Research - Research	CLEA	CLEARBRIDGE	DR	040
11/13/2013	33,000.00	Research - Research	COLC	COLUMBUS CIRCLE	ML	036
11/12/2013	3,275.00	Research - Research	CORA	CORTINA ASSET	AF	047
11/04/2013	7,500.00	Research - Research	DEFE	DEFENSOR CAPITAL	BRG	091
11/04/2013	15,000.00	Research - Research	FARA	FARALLON CAP MGMT	DR	040
11/04/2013	14,400.00	Research - Research	FIDE	FIDELITY/M EHRlich	ME	085
11/04/2013	3,294.00	Research - Research	FIDM	FIDELITY/M. SMITH (FLORIDA)	MS	093
11/04/2013	31,517.60	Research - Research	FIDO	FIDELITY MANAGEMENT	MG	030
11/04/2013	828.40	Research - Research	FIDP	FIDELITY/NICK	NP	029
11/04/2013	105.00	Research - Research	GHOS	MILLENNIUM-ICS-SAYAN GHOSH	FM	028
11/20/2013	5,625.00	Research - Research	GHOS	MILLENNIUM-ICS-SAYAN GHOSH	FM	028
11/12/2013	8,000.00	Research - Research	GSIP	GOLDMAN SACHS INVESTMENT PARTNERS	BE	044
11/08/2013	1,875.00	Research - Research	HEIG	HEIGHTS CAPITAL	CC	041
11/29/2013	5,000.00	Research - Research	INVE	INVESCO	AS	031

11/26/2013	5,000.00	Research - Research	ISFM	CONIFER/ISF MANAGEMENT	IM	025
11/21/2013	21,000.00	Research - Research	JENN	JENNISON	SM	070
11/25/2013	12,500.00	Research - Research	JHLC	JHL CAPITAL	AS	031
11/13/2013	2,500.00	Research - Research	MARW	MARSHALL WACE	CC	041
11/26/2013	37,500.00	Research - Research	MAVR	MAVERICK ADV	DR	040
11/13/2013	16,250.00	Research - Research	NORG	NORGES BANK	ME	085
11/18/2013	33,441.00	Research - Research	OPPM	OPPENHEIMER MGMT.	JC	006
11/04/2013	65,750.00	Research - Research	PART	PARTNER FUND MGMT LP	DR	040
11/08/2013	5,500.00	Research - Research	PECK	WEISS PECK/ROBECO/BOSTON PT	DR	040
11/19/2013	6,720.00	Research - Research	PYRA	PYRAMIS GLOBAL	ML NP	231
11/06/2013	3,000.00	Research - Research	RAIL	RAIL-SPLITTER	AS	031
11/26/2013	5,000.00	Research - Research	RBCG	RBC GLOBAL ASSET MGMT	MS	093
11/21/2013	10,000.00	Research - Research	ROBX	ROBERTSON STEVENS	RS	084
11/12/2013	25,000.00	Research - Research	SAML	SAMLYN	FM	028
11/29/2013	1,495.00	Research - Research	SCAB	SCHRODER	ME	085
11/08/2013	14,000.00	Research - Research	SILP	SILVERPOINT	ML	036
11/21/2013	8,000.00	Research - Research	SPAC	STANDARD PACIFIC CAPITAL	RS	084
11/21/2013	2,191.51	Research - Research	THOM	THOMSON/INDEPENDENT		
11/21/2013	10,000.00	Research - Research	TPGA	TPG-AXON	JC	006
11/08/2013	2,635.31	Research - Research	VELA	VELAZQUEZ/MILLENNIUM	CC ME	282
11/08/2013	2,590.28	Research - Research	VELA	VELAZQUEZ/MILLENNIUM	CC ME	282
11/12/2013	2,000.00	Research - Research	WEDG	WEDGE CAPITAL	MS	093
<b>TOTAL:</b>	<b>572,508.49</b>					