



RR Commissions Summary [Andrew Sinclair]

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
A. R. SCHMEIDLER & CO.	031	0	0	0	2,360	0	0	0	0	0	2,360	0	0
ASSOCIATED	031	0	0	0	0	0	0	0	0	0	0	15,509	0
BARROW HANLEY MEWHINNEY	031	0	11,683	11,683	94,212	0	0	9,000	11,683	11,683	103,212	89,062	116
CARLSON CAPITAL	031	0	0	0	0	5,500	5,500	5,500	5,500	5,500	5,500	0	0
CASTLE ARK	031	1,200	6,020	8,957	99,705	0	0	0	6,020	8,957	99,705	210,377	47
CHANNING CAPITAL	031	0	0	0	3,976	0	0	0	0	0	3,976	9,924	40
CHILTON CAPITAL MGMT	031	0	2,078	2,078	2,078	0	0	0	2,078	2,078	2,078	4,159	50
CORTEX CAPITAL	031	720	4,770	8,430	23,490	0	0	0	4,770	8,430	23,490	0	0
ESSENCIAL CAPITAL	031	0	300	900	2,665	0	0	0	300	900	2,665	0	0
HAMILTON CAP PART FIN	031	0	0	0	4,020	0	0	0	0	0	4,020	4,520	89
INVESCO	031	0	0	0	119,961	0	13,000	43,834	0	13,000	163,795	114,396	143
JHL CAPITAL	031	0	0	0	0	12,500	12,500	12,500	12,500	12,500	12,500	12,500	100
KLEINHEINZ CAP PART	031	2,500	17,420	42,420	120,695	0	0	0	17,420	42,420	120,695	279,792	43
MAGNETAR FINANCIAL	031	0	2,221	4,770	6,210	0	0	0	2,221	4,770	6,210	0	0
NEW VERNON/SF INVESTMENTS	031	0	26,942	26,942	59,262	0	0	0	26,942	26,942	59,262	13,151	451
NOKOMIS PARTNERS	031	0	3,869	4,922	26,364	0	0	0	3,869	4,922	26,364	24,102	109
PIONEER OAKRIDGE	031	0	11,599	11,599	11,599	0	0	20,000	11,599	11,599	31,599	40,272	78
RAIL-SPLITTER	031	0	0	0	0	3,000	3,000	11,000	3,000	3,000	11,000	19,000	58
ROARING BLUE LION MGMT	031	0	1,076	3,480	39,107	0	0	0	1,076	3,480	39,107	17,869	219
ROYCE TRADING	031	0	0	265	53,764	0	0	0	0	265	53,764	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	6,734	14,485	157,455	0	0	0	6,734	14,485	157,455	105,074	150
SAXON WOODS ADVISORS	031	0	0	0	0	0	5,000	5,000	0	5,000	5,000	0	0
SHEFFIELD ASSET MGMT	031	0	8,840	14,144	36,438	0	0	0	8,840	14,144	36,438	38,713	94
TYVOR CAPITAL LLC	031	0	5,335	10,545	29,118	0	0	0	5,335	10,545	29,118	0	0
UBS OCONNOR	031	0	675	675	17,109	0	0	10,000	675	675	27,109	19,717	137
WANGER ASS	031	0	0	0	0	0	0	35,700	0	0	35,700	30,000	119
WOODWAY FINANCIAL	031	0	7,500	7,500	26,451	0	0	0	7,500	7,500	26,451	34,268	77
TOTALS:		4,420	117,061	173,795	940,402	21,000	39,000	152,534	138,061	212,795	1,092,936		

"Brokerage Month Basis"		COMMISSIONS				CHECKS			TOTAL			LAST YEAR	%
CLIENT (SHARED)	RR	11/25	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	0	10,050	28,347	0	0	0	0	10,050	28,347	12,444	0
CITADEL ADV		0	0	0	0	55,000	55,000	165,000	55,000	55,000	165,000	240,000	69
CITADEL ALPHA LEAGUE		0	0	0	0	0	0	78,281	0	0	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	600	50,040	69,390	134,428	0	0	0	50,040	69,390	134,428	0	0
NEUBERGER BERMAN	238	0	33,631	45,891	225,266	0	0	0	33,631	45,891	225,266	0	0
SG CAPITAL/CEDAR STREET FUNDS	307	0	0	0	0	0	0	3,000	0	0	3,000	0	0
TOTALS:		600	83,671	125,331	388,040	55,000	55,000	258,281	138,671	180,331	646,321		

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