

COMMISSION STATEMENT

January 31, 2018

JAY SHARTSIS
54 BIRCHWOOD LANEBROKER #: 37
BRANCH: HOME OFFICE

HARTSDALE, NY, NY 10530

COMMISSION STATEMENT for JAY SHARTSIS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
01/18/2018	QGW008799	JT/WROS, RHODA	VERITY CORP COM	S	-25.00	17.24	6.00	11.24	50.0	5.62
01/03/2018	QGW009094	KANTO, WILLIAM	SELECT SECTOR SPDR TRUST SHS BEN IN	S	-74,623.40	125.00	6.00	119.00	50.0	59.50
01/18/2018	QGW009540	CINQUEMANI, FRANK	SANGAMO BIOSCIENCES INC COM	B	17,750.00	80.00	6.00	74.00	50.0	37.00
01/19/2018	QGW009581	PRINDLE DDS	WASHINGTON PRIME GROUP NEW COM	B	45,000.00	722.84	6.00	716.84	50.0	358.42
01/19/2018	QGW009581	PRINDLE DDS	WASHINGTON PRIME GROUP NEW COM	B	-45,000.00	-722.84	-6.00	-716.84	50.0	-358.42
01/19/2018	QGW009581	PRINDLE DDS	WASHINGTON PRIME GROUP NEW COM	B	45,000.00	180.00	6.00	174.00	50.0	87.00
01/19/2018	QGW029514	HUNT, GREGORY	AMAZON.COM INC	S	-115,000.00	80.73	6.00	74.73	50.0	37.37
01/19/2018	QGW029514	HUNT, GREGORY	AMAZON.COM INC	B	120,000.00	80.73	6.00	74.73	50.0	37.37
01/24/2018	QGW031395	KANTO, JULIE	ALPS ETF TR ALERIAN MLP	B	14,217.24	96.00	6.00	90.00	50.0	45.00
01/24/2018	QGW031395	KANTO, JULIE	SPDR S&P 500 ETF TRUST	S	-35,460.44	100.00	6.00	94.00	50.0	47.00
* STOCKS SUBTOTAL *					\$-28,141.60	\$759.70	\$48.00	\$711.70		\$355.86

PRODUCT CATEGORY: OPTIONS

01/09/2018	QGW009094	KANTO, WILLIAM		PUT 100 SELECT SECTOR SPDR TR ENERG	S	-17,430.00	120.00	7.00	113.00	50.0	56.50
01/16/2018	QGW009094	KANTO, WILLIAM		PUT 100 SPDR S&P 500 ETF TR TR UNIT	B	9,300.00	200.00	7.00	193.00	50.0	96.50
01/23/2018	QGW009094	KANTO, WILLIAM		CALL 100 GENERAL ELECTRIC CO COM EX	B	3,624.00	192.08	7.00	185.08	50.0	92.54
01/23/2018	QGW009094	KANTO, WILLIAM		CALL 100 GENERAL ELECTRIC CO COM EX	B	-3,624.00	-192.08	-7.00	-185.08	50.0	-92.54 C
01/23/2018	QGW009094	KANTO, WILLIAM		CALL 100 GENERAL ELECTRIC CO COM EX	B	3,624.00	130.00	7.00	123.00	50.0	61.50
01/05/2018	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP	B	75.00	20.00	7.00	13.00	50.0	6.50
01/04/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 MCDERMOTT INTL INC COM EXP	S	-510.00	50.00	7.00	43.00	50.0	21.50
01/08/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 AXT INC COM EXP 05-18-18@1	S	-850.00	50.00	7.00	43.00	50.0	21.50
01/16/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 BARCLAYS BK PLC IPATH S&P	B	1,245.00	50.00	7.00	43.00	50.0	21.50
01/17/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 BARCLAYS BK PLC IPATH S&P	S	-250.00	50.00	7.00	43.00	50.0	21.50
01/17/2018	QGW009177	-, MICHAEL KRUEGER		PUT 100 KRONOS WORLDWIDE INC COM EX	S	-350.00	50.00	7.00	43.00	50.0	21.50
01/18/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 KEYCORP NEW COM EXP 06-15-	S	-350.00	50.00	7.00	43.00	50.0	21.50
01/19/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 KEYCORP NEW COM EXP 01-19-	B	90.00	50.00	7.00	43.00	50.0	21.50
01/23/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 PROSHARES TR II ULTRA BLOO	S	-300.00	50.00	7.00	43.00	50.0	21.50
01/26/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 BARCLAYS BK PLC IPATH S&P	S	-1,150.00	50.00	7.00	43.00	50.0	21.50
01/29/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 AXT INC COM EXP 03-16-18@1	S	-250.00	50.00	7.00	43.00	50.0	21.50
01/30/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 D R HORTON INC COM EXP 02-	S	-300.00	50.00	7.00	43.00	50.0	21.50
01/03/2018	QGW009581	PRINDLE DDS		CALL 100 RITE AID CORP EXP 01-19-18	B	1,150.00	91.50	7.00	84.50	50.0	42.25

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BROKER TRANSACTIONSPRODUCT CATEGORY: OPTIONS

01/03/2018	QGW029514 HUNT, GREGORY	CALL 100 VANECK VECTORS ETF TR JR G S		-4,260.00	132.37	7.00	125.37	50.0	62.69
01/16/2018	QGW029514 HUNT, GREGORY	CALL 100 BARCLAYS BK PLC IPATH S&P B		3,950.00	129.31	7.00	122.31	50.0	61.16
01/29/2018	QGW029514 HUNT, GREGORY	CALL 100 BARCLAYS BK PLC IPATH S&P B		2,875.00	85.66	7.00	78.66	50.0	39.33
01/29/2018	QGW029514 HUNT, GREGORY	PUT 100 ZAGG INC COM EXP 02-16-18@2 S		-5,210.00	135.00	7.00	128.00	50.0	64.00
01/30/2018	QGW029514 HUNT, GREGORY	CALL 100 BARCLAYS BK PLC IPATH S&P S		-3,940.00	96.21	7.00	89.21	50.0	44.61
* OPTIONS SUBTOTAL *				<u>\$-12,841.00</u>	<u>\$1,690.05</u>	<u>\$147.00</u>	<u>\$1,543.05</u>		<u>\$771.54</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

01/10/2018	75501786 WRIGHTON, BRYAN	**CLEARBRIDGE LARGE CAP VALUE B		0.00	46.12	0.00	46.12	50.0	23.06
01/24/2018	QGW030561 CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B		0.00	0.29	0.00	0.29	50.0	0.15
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$46.41</u>	<u>\$0.00</u>	<u>\$46.41</u>		<u>\$23.21</u>
*** BROKER TRANSACTIONS TOTAL ***				<u>\$-40,982.60</u>	<u>\$2,496.16</u>	<u>\$195.00</u>	<u>\$2,301.16</u>		<u>\$1,150.61</u>

ADJUSTMENTS

01/31/2018	:			0.00	0.00	0.00	0.00		0.00
01/31/2018	OTHER: COMPLIANCE AND TECHNOLOGY			0.00	0.00	0.00	0.00		-20.00
01/31/2018	OTHER: OTHER-360 OFFICE			0.00	0.00	0.00	0.00		-8.00
01/31/2018	OTHER: OTHER--SALARY			0.00	0.00	0.00	0.00		500.00
01/31/2018	OTHER: OTHER-OPTIONS PRICE			0.00	0.00	0.00	0.00		-51.45
01/31/2018	OTHER: OTHER-TELEPHONE			0.00	0.00	0.00	0.00		-25.90
01/31/2018	OTHER: CBOE			0.00	0.00	0.00	0.00		-250.00
01/31/2018	OTHER: EXCHANGE FEES			0.00	0.00	0.00	0.00		-96.36
01/31/2018	OTHER: QUODD			0.00	0.00	0.00	0.00		-65.88
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-17.59</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$1,150.61
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-17.59
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.12
SIPC Assessment	\$-6.24

Check Amount	\$1,123.66
Year-to-date Earnings	\$1,123.66