

COMMISSION STATEMENT

April 30, 2017

PHYLLIS FATTORUSO
89-40 151ST AVENUE
APT 5G
HOWARD BEACH, NY 11414

BROKER #:
BRANCH: HOME OFFICE

COMMISSION STATEMENT for PHYLLIS FATTORUSO

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

03/30/2017	QGW007700	SARNA, MARK	GROW SOLUTIONS HLDGS INC COM	B	5,495.00	50.00	0.00	50.00	52.0	26.00
04/03/2017	QGW007700	SARNA, MARK	GENERAL ELECTRIC CO	S	-59,723.80	100.00	0.00	100.00	52.0	52.00
04/06/2017	QGW007700	SARNA, MARK	ARALEZ PHARMACEUTICALS INC COM ISIN B	B	4,619.70	150.00	0.00	150.00	52.0	78.00
04/18/2017	QGW007700	SARNA, MARK	ANTARES PHARMA INC COM	B	8,140.50	150.00	0.00	150.00	52.0	78.00
04/21/2017	QGW007700	SARNA, MARK	BANK OF AMERICA CORP	B	40,000.00	100.00	0.00	100.00	52.0	52.00
04/21/2017	QGW007700	SARNA, MARK	GENERAL ELECTRIC CO	B	56,000.00	100.00	0.00	100.00	52.0	52.00
04/21/2017	QGW007700	SARNA, MARK	MARATHON OIL CORP	B	28,000.00	100.00	0.00	100.00	52.0	52.00
04/06/2017	QGW007825	SARNA FAMILY LTD	ARALEZ PHARMACEUTICALS INC COM ISIN B	B	4,619.70	150.00	0.00	150.00	52.0	78.00
04/18/2017	QGW007825	SARNA FAMILY LTD	ANTARES PHARMA INC COM	B	8,140.50	150.00	0.00	150.00	52.0	78.00
04/21/2017	QGW007825	SARNA FAMILY LTD	ALCOA CORPORATION COMMON STOCK	B	6,250.00	27.50	0.00	27.50	52.0	14.30
04/21/2017	QGW007825	SARNA FAMILY LTD	ARCONIC INC COM	B	18,750.00	82.50	0.00	82.50	52.0	42.90
04/21/2017	QGW007825	SARNA FAMILY LTD	BANK OF AMERICA CORP	B	60,000.00	150.00	0.00	150.00	52.0	78.00
04/21/2017	QGW007825	SARNA FAMILY LTD	BANK OF AMERICA CORP	B	110,000.00	250.00	0.00	250.00	52.0	130.00
04/21/2017	QGW007825	SARNA FAMILY LTD	CITIGROUP INC COM	B	112,000.00	100.00	0.00	100.00	52.0	52.00
04/21/2017	QGW007825	SARNA FAMILY LTD	EXXON MOBIL CORPORATION	B	155,000.00	100.00	0.00	100.00	52.0	52.00
04/21/2017	QGW007825	SARNA FAMILY LTD	OCCIDENTAL PETE CORP	B	60,000.00	50.00	0.00	50.00	52.0	26.00
04/18/2017	QGW036618	SARNA, MARK	ANTARES PHARMA INC COM	B	5,427.00	100.00	0.00	100.00	52.0	52.00

* STOCKS SUBTOTAL * \$622,718.60 \$1,910.00 \$0.00 \$1,910.00 \$993.20

PRODUCT CATEGORY: OPTIONS

04/10/2017	QGW007700	SARNA, MARK	CALL 100 EXXON MOBIL CORP COM EXP 0 S		-6,737.00	80.00	0.00	80.00	52.0	41.60
04/12/2017	QGW007700	SARNA, MARK	CALL 100 CITIGROUP INC COM NEW ISIN B		5,707.20	60.00	0.00	60.00	52.0	31.20
04/17/2017	QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 05- B		26,000.00	300.00	0.00	300.00	52.0	156.00
04/17/2017	QGW007700	SARNA, MARK	CALL 100 CITIGROUP INC COM NEW ISIN S		-5,140.00	60.00	0.00	60.00	52.0	31.20
04/17/2017	QGW007700	SARNA, MARK	CALL 100 FREEPORT-MCMORAN INC CL B S		-13,480.00	240.00	0.00	240.00	52.0	124.80
04/17/2017	QGW007700	SARNA, MARK	CALL 100 GENERAL ELECTRIC CO COM EX S		-2,650.00	30.00	0.00	30.00	52.0	15.60
04/17/2017	QGW007700	SARNA, MARK	CALL 100 GENERAL ELECTRIC CO COM EX S		-13,200.00	150.00	0.00	150.00	52.0	78.00
04/17/2017	QGW007700	SARNA, MARK	CALL 100 UNITED STS STL CORP NEW CO B		6,151.00	40.00	0.00	40.00	52.0	20.80
04/18/2017	QGW007700	SARNA, MARK	CALL 100 AA FURTHER ADJ (33 ARNC,11 S		-14,000.00	80.00	0.00	80.00	52.0	41.60
04/18/2017	QGW007700	SARNA, MARK	CALL 100 ARCONIC INC COM EXP 04-21- S		-9,300.00	120.00	0.00	120.00	52.0	62.40
04/18/2017	QGW007700	SARNA, MARK	CALL 100 ALCOA CORP COM EXP 05-19-1 B		7,690.00	80.00	0.00	80.00	52.0	41.60

COMMISSION STATEMENT for PHYLLIS FATTORUSO

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
04/18/2017	QGW007700	SARNA, MARK	CALL 100	ARCONIC INC COM EXP 05-19- B	9,280.00	120.00	0.00	120.00	52.0 62.40
04/18/2017	QGW007700	SARNA, MARK	CALL 100	BANK AMER CORP COM EXP 05- B	13,250.00	150.00	0.00	150.00	52.0 78.00
04/18/2017	QGW007700	SARNA, MARK	CALL 100	BANK AMER CORP COM EXP 05- B	8,850.00	150.00	0.00	150.00	52.0 78.00
04/18/2017	QGW007700	SARNA, MARK	CALL 100	EXXON MOBIL CORP COM EXP 0 S	-3,000.00	60.00	0.00	60.00	52.0 31.20
04/18/2017	QGW007700	SARNA, MARK	CALL 100	EXXON MOBIL CORP COM EXP 0 S	-3,950.00	40.00	0.00	40.00	52.0 20.80
04/18/2017	QGW007700	SARNA, MARK	CALL 100	EXXON MOBIL CORP COM EXP 0 B	8,920.00	120.00	0.00	120.00	52.0 62.40
04/18/2017	QGW007700	SARNA, MARK	CALL 100	FREEPORT-MCMORAN INC CL B B	19,560.00	360.00	0.00	360.00	52.0 187.20
04/18/2017	QGW007700	SARNA, MARK	CALL 100	FREEPORT-MCMORAN INC CL B S	-5,920.00	120.00	0.00	120.00	52.0 62.40
04/18/2017	QGW007700	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX S	-5,600.00	60.00	0.00	60.00	52.0 31.20
04/18/2017	QGW007700	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX S	-3,800.00	60.00	0.00	60.00	52.0 31.20
04/18/2017	QGW007700	SARNA, MARK	CALL 100	MARATHON OIL CORP COM EXP B	3,640.00	60.00	0.00	60.00	52.0 31.20
04/21/2017	QGW007700	SARNA, MARK	CALL 100	BANK AMER CORP COM EXP 04- S	-3,900.00	100.00	0.00	100.00	52.0 52.00
04/27/2017	QGW007700	SARNA, MARK	CALL 100	FREEPORT-MCMORAN INC CL B B	2,262.00	30.00	0.00	30.00	52.0 15.60
04/03/2017	QGW007825	SARNA FAMILY LTD	PUT 100	CHIPOTLE MEXICAN GRILL INC B	13,240.00	40.00	0.00	40.00	52.0 20.80
04/03/2017	QGW007825	SARNA FAMILY LTD	PUT 100	TESLA INC EXP 04-21-17 @295 B	10,673.00	40.00	0.00	40.00	52.0 20.80
04/04/2017	QGW007825	SARNA FAMILY LTD	PUT 100	TESLA INC EXP 04-21-17 @310 B	12,520.00	40.00	0.00	40.00	52.0 20.80
04/05/2017	QGW007825	SARNA FAMILY LTD	PUT 100	TESLA INC EXP 04-21-17 @310 S	-17,400.00	40.00	0.00	40.00	52.0 20.80
04/07/2017	QGW007825	SARNA FAMILY LTD	PUT 100	CHIPOTLE MEXICAN GRILL INC S	-14,700.00	40.00	0.00	40.00	52.0 20.80
04/10/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-5,400.00	40.00	0.00	40.00	52.0 20.80
04/10/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC B	51,750.00	40.00	0.00	40.00	52.0 20.80
04/10/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	5,400.00	-40.00	0.00	-40.00	52.0 -20.80 C
04/10/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-5,400.00	40.00	0.00	40.00	52.0 20.80
04/10/2017	QGW007825	SARNA FAMILY LTD	CALL 100	EXXON MOBIL CORP COM EXP 0 S	-6,720.00	80.00	0.00	80.00	52.0 41.60
04/10/2017	QGW007825	SARNA FAMILY LTD	PUT 100	TESLA INC EXP 04-21-17 @320 B	12,600.00	40.00	0.00	40.00	52.0 20.80
04/12/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CITIGROUP INC COM NEW ISIN B	14,268.00	150.00	0.00	150.00	52.0 78.00
04/12/2017	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO B	8,300.00	40.00	0.00	40.00	52.0 20.80
04/12/2017	QGW007825	SARNA FAMILY LTD	PUT 100	TESLA INC EXP 04-21-17 @295 S	-5,200.00	40.00	0.00	40.00	52.0 20.80
04/12/2017	QGW007825	SARNA FAMILY LTD	PUT 100	TESLA INC EXP 04-21-17 @320 S	-24,050.00	40.00	0.00	40.00	52.0 20.80
04/17/2017	QGW007825	SARNA FAMILY LTD	CALL 100	UNITED STS STL CORP NEW CO B	6,151.00	40.00	0.00	40.00	52.0 20.80
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	AA FURTHER ADJ (33 ARNC,11 S	-14,400.00	80.00	0.00	80.00	52.0 41.60
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	ARCONIC INC COM EXP 04-21- S	-4,240.00	60.00	0.00	60.00	52.0 31.20
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-97,675.00	40.00	0.00	40.00	52.0 20.80
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC B	19,200.00	40.00	0.00	40.00	52.0 20.80
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CITIGROUP INC COM NEW ISIN S	-5,280.00	90.00	0.00	90.00	52.0 46.80
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	EXXON MOBIL CORP COM EXP 0 S	-3,160.00	80.00	0.00	80.00	52.0 41.60
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	FREEPORT-MCMORAN INC CL B B	16,800.00	360.00	0.00	360.00	52.0 187.20
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	FREEPORT-MCMORAN INC CL B S	-13,820.40	360.00	0.00	360.00	52.0 187.20
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL ELECTRIC CO COM EX S	-13,000.00	150.00	0.00	150.00	52.0 78.00
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL ELECTRIC CO COM EX S	-16,970.40	360.00	0.00	360.00	52.0 187.20
04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL ELECTRIC CO COM EX B	13,450.00	150.00	0.00	150.00	52.0 78.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: OPTIONS

04/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL ELECTRIC CO COM EX B	21,020.40	360.00	0.00	360.00	52.0	187.20
04/26/2017	QGW007825	SARNA FAMILY LTD	CALL 100	UNITED STS STL CORP NEW CO B	18,250.00	200.00	0.00	200.00	52.0	104.00
04/27/2017	QGW007825	SARNA FAMILY LTD	CALL 100	FREEPORT-MCMORAN INC CL B B	6,786.00	90.00	0.00	90.00	52.0	46.80
04/21/2017	QGW036618	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX S	-2,620.00	30.00	0.00	30.00	52.0	15.60
04/21/2017	QGW036618	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX B	2,710.00	30.00	0.00	30.00	52.0	15.60
04/27/2017	QGW036618	SARNA, MARK	CALL 100	FREEPORT-MCMORAN INC CL B B	2,262.00	30.00	0.00	30.00	52.0	15.60
* OPTIONS SUBTOTAL *					\$5,977.80	\$5,890.00	\$0.00	\$5,890.00		\$3,062.80

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/17/2017	QGW021909	MASSA, MARY	TRANSAMERICA MULTI-MANAGED BALANCED B	0.00	7.55	0.00	7.55	52.0	3.93
04/21/2017	QGW028755	SARNA, MARK	THORNBURG INVESTMENT INCOME BUILDER B	0.00	15.74	0.00	15.74	52.0	8.18
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$23.29	\$0.00	\$23.29		\$12.11
*** BROKER TRANSACTIONS TOTAL ***				\$628,696.40	\$7,823.29	\$0.00	\$7,823.29		\$4,068.11

ADJUSTMENTS

04/30/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
	*** ADJUSTMENTS TOTAL ***	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$-20.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$4,068.11
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-9.78
SIPC Assessment	\$-146.69

Check Amount	\$3,891.64
Year-to-date Earnings	\$17,264.49