

## COMMISSION STATEMENT

December 31, 2017

MARCO CASALE

151 BENNINGTON ROAD

FREEHOLD, NJ 07728

BROKER #: 48

BRANCH: HOME OFFICE

COMMISSION STATEMENT for MARCO CASALE

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

12/15/2017	QGW033474	PILLERA, CHARLES	NIC INC	B	18,200.00	100.00	6.00	94.00	80.0	74.00
12/18/2017	QGW033474	PILLERA, CHARLES	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-12,257.30	200.00	6.00	194.00	80.0	154.00
12/22/2017	QGW033474	PILLERA, CHARLES	MOMO INC ADR	B	16,541.79	200.00	6.00	194.00	80.0	154.00
12/27/2017	QGW033474	PILLERA, CHARLES	CARA THERAPEUTICS INC COM	S	-6,240.00	50.00	6.00	44.00	80.0	34.00
12/27/2017	QGW033474	PILLERA, CHARLES	MYND ANALYTICS INC COMMON STOCK	S	-1,608.88	50.00	6.00	44.00	80.0	34.00
12/27/2017	QGW033474	PILLERA, CHARLES	WTS MYND ANALYTICS INC WARRANT	S	-161.84	25.00	6.00	19.00	80.0	14.00
12/18/2017	QGW033599	PILLERA, CHARLES	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-12,182.90	200.00	6.00	194.00	80.0	154.00
12/19/2017	QGW033599	PILLERA, CHARLES	FREEPORT MCMORAN INC	B	12,096.00	200.00	6.00	194.00	80.0	154.00
12/22/2017	QGW033599	PILLERA, CHARLES	FREEPORT MCMORAN INC	S	-12,664.40	50.00	6.00	44.00	80.0	34.00
12/27/2017	QGW033599	PILLERA, CHARLES	TIM PARTICIPACOE S A SPONSORED ADR B		11,736.00	185.00	6.00	179.00	80.0	142.00
12/14/2017	QGW033631	RAMU, JULIO	GAMCO GLOBAL GOLD NATURAL RESOURCES B		5,166.60	100.00	6.00	94.00	80.0	74.00
12/11/2017	QGW033649	ARLENE M FRANCIS,	MAZOR ROBOTICS LTD SPONSORED ADS	B	26,710.00	175.00	6.00	169.00	80.0	134.00
12/14/2017	QGW033649	ARLENE M FRANCIS,	MAZOR ROBOTICS LTD SPONSORED ADS	S	-27,750.00	100.00	6.00	94.00	80.0	74.00
12/14/2017	QGW033649	ARLENE M FRANCIS,	NIC INC	B	18,375.00	100.00	6.00	94.00	80.0	74.00
12/18/2017	QGW033649	ARLENE M FRANCIS,	UNITED CONTINENTAL HLDGS INC	B	31,978.00	200.00	6.00	194.00	80.0	154.00
12/27/2017	QGW033649	ARLENE M FRANCIS,	TIM PARTICIPACOE S A SPONSORED ADR B		11,720.76	175.00	6.00	169.00	80.0	134.00
12/14/2017	QGW033656	MOONEY, MARY	NIC INC	B	12,897.50	100.00	6.00	94.00	80.0	74.00
12/18/2017	QGW033656	MOONEY, MARY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-12,164.40	200.00	6.00	194.00	80.0	154.00
12/19/2017	QGW033656	MOONEY, MARY	ADVANCED MICRO DEVICES INC	B	8,242.50	165.00	6.00	159.00	80.0	126.00
12/27/2017	QGW033656	MOONEY, MARY	TIM PARTICIPACOE S A SPONSORED ADR B		9,753.45	165.00	6.00	159.00	80.0	126.00
12/27/2017	QGW033656	MOONEY, MARY	WTS MYND ANALYTICS INC WARRANT	S	-333.20	25.00	6.00	19.00	80.0	14.00
12/14/2017	QGW033730	KIM, IN	NIC INC	B	18,425.00	100.00	6.00	94.00	80.0	74.00
11/29/2017	QGW033763	LYONS, SALLY	MOMO INC ADR	B	15,558.00	225.00	6.00	219.00	80.0	174.00
12/18/2017	QGW033763	LYONS, SALLY	MYND ANALYTICS INC COMMON STOCK	S	-3,305.44	75.00	6.00	69.00	80.0	54.00
12/19/2017	QGW033763	LYONS, SALLY	FREEPORT MCMORAN INC	B	8,640.00	165.00	6.00	159.00	80.0	126.00
12/22/2017	QGW033763	LYONS, SALLY	FREEPORT MCMORAN INC	S	-9,046.25	50.00	6.00	44.00	80.0	34.00
12/22/2017	QGW033763	LYONS, SALLY	MOMO INC ADR	B	7,634.10	125.00	6.00	119.00	80.0	94.00
12/11/2017	QGW033805	LYONS, SALLY	CELGENE CORP	S	-11,000.00	50.00	6.00	44.00	80.0	34.00
12/11/2017	QGW033805	LYONS, SALLY	MAZOR ROBOTICS LTD SPONSORED ADS	B	26,710.00	150.00	6.00	144.00	80.0	114.00
12/14/2017	QGW033805	LYONS, SALLY	MAZOR ROBOTICS LTD SPONSORED ADS	S	-27,750.00	100.00	6.00	94.00	80.0	74.00
12/14/2017	QGW033805	LYONS, SALLY	NIC INC	B	18,400.00	100.00	6.00	94.00	80.0	74.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
12/19/2017	QGW033805 LYONS, SALLY	FREEMPORT MCMORAN INC	B	8,640.00	165.00	6.00	159.00	80.0	126.00
12/22/2017	QGW033805 LYONS, SALLY	FREEMPORT MCMORAN INC	S	-9,047.50	50.00	6.00	44.00	80.0	34.00
12/27/2017	QGW033805 LYONS, SALLY	TIM PARTICIPACOE S A SPONSORED ADR	B	9,733.75	165.00	6.00	159.00	80.0	126.00
12/27/2017	QGW033805 LYONS, SALLY	WTS MYND ANALYTICS INC WARRANT	S	-650.37	35.00	6.00	29.00	80.0	22.00
11/30/2017	QGW033813 MILLIGAN, JOAN	GAMCO GLOBAL GOLD NATURAL RESOURCES	S	-3,668.00	50.00	6.00	44.00	80.0	34.00
12/27/2017	QGW033813 MILLIGAN, JOAN	SACHEM CAPITAL CORP COMMON SHARES	B	2,557.43	50.00	6.00	44.00	80.0	34.00
12/14/2017	QGW034761 SYMCZAK, STEPHEN	NIC INC	B	18,500.00	100.00	6.00	94.00	80.0	74.00
12/11/2017	QGW034894 MODDERNO, PATRICIA	WTS MYND ANALYTICS INC WARRANT	S	-400.22	50.00	6.00	44.00	80.0	34.00
12/14/2017	QGW035370 DHIRMALANI, MILDRED	NIC INC	B	18,450.00	100.00	6.00	94.00	80.0	74.00
12/19/2017	QGW035438 RIZZO, GIOVANNI	FREEMPORT MCMORAN INC	B	10,368.00	165.00	6.00	159.00	80.0	126.00
12/22/2017	QGW035438 RIZZO, GIOVANNI	FREEMPORT MCMORAN INC	S	-10,848.90	50.00	6.00	44.00	80.0	34.00
12/27/2017	QGW035438 RIZZO, GIOVANNI	TIM PARTICIPACOE S A SPONSORED ADR	B	9,788.75	165.00	6.00	159.00	80.0	126.00
12/22/2017	QGW036493 ARLENE M FRANCIS,	SELECT SECTOR SPDR TRUST THE FINANC	B	23,281.50	180.00	6.00	174.00	80.0	138.00
12/14/2017	QGW036592 TREIBER, NANCY	MYND ANALYTICS INC COMMON STOCK	S	-6,312.22	65.00	6.00	59.00	80.0	46.00
12/27/2017	QGW036592 TREIBER, NANCY	WTS MYND ANALYTICS INC WARRANT	S	-628.65	35.00	6.00	29.00	80.0	22.00
12/08/2017	QGW036915 CASSERINO, PAULA	WTS MYND ANALYTICS INC WARRANT	S	-476.00	50.00	6.00	44.00	80.0	34.00
12/14/2017	QGW036915 CASSERINO, PAULA	NIC INC	B	11,115.00	100.00	6.00	94.00	80.0	74.00
12/18/2017	QGW036915 CASSERINO, PAULA	VIPSHOP HLDGS LTD SPONS ADR ISIN#US	S	-24,500.40	200.00	6.00	194.00	80.0	154.00
12/19/2017	QGW036915 CASSERINO, PAULA	FREEMPORT MCMORAN INC	B	8,640.00	165.00	6.00	159.00	80.0	126.00
12/22/2017	QGW036915 CASSERINO, PAULA	FREEMPORT MCMORAN INC	S	-9,041.70	50.00	6.00	44.00	80.0	34.00
12/22/2017	QGW036915 CASSERINO, PAULA	MOMO INC ADR	B	25,447.90	250.00	6.00	244.00	80.0	194.00
11/29/2017	QGW038705 SAPIO, ROBERTA	TERRA NITROGEN CO LP COMMON UNITS	B	16,454.00	165.00	6.00	159.00	80.0	126.00
12/19/2017	QGW038705 SAPIO, ROBERTA	TWO HARBORS INVESTMENT CORP COMMON	B	16,640.00	165.00	6.00	159.00	80.0	126.00
11/29/2017	QGW038796 LAPINSKI, CLAIRE	SACHEM CAPITAL CORP COMMON SHARES	B	3,980.00	70.00	6.00	64.00	80.0	50.00
12/14/2017	QGW038796 LAPINSKI, CLAIRE	DYNEX CAP INC COM NEW	B	7,236.60	100.00	6.00	94.00	80.0	74.00
12/19/2017	QGW038796 LAPINSKI, CLAIRE	ADVANCED MICRO DEVICES INC	B	8,792.00	125.00	6.00	119.00	80.0	94.00
11/29/2017	QGW038812 KOHN, ROBERT	NVIDIA CORP	B	19,841.52	125.00	6.00	119.00	80.0	94.00
12/14/2017	QGW038812 KOHN, ROBERT	NIC INC	B	18,550.00	100.00	6.00	94.00	80.0	74.00
12/15/2017	QGW038812 KOHN, ROBERT	CELGENE CORP	S	-10,500.00	80.73	6.00	74.73	80.0	58.58
12/15/2017	QGW038812 KOHN, ROBERT	CHIPOTLE MEXICAN GRILL INC COMMON	S	-29,000.00	80.73	6.00	74.73	80.0	58.58
12/18/2017	QGW038812 KOHN, ROBERT	UNITED CONTINENTAL HLDGS INC	B	31,962.35	200.00	6.00	194.00	80.0	154.00
11/29/2017	QGW038895 DENISI, ANTHONY	SQUARE INC CLASS A COM	B	13,011.00	150.00	6.00	144.00	80.0	114.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$320,235.93</b>	<b>\$7,506.46</b>	<b>\$378.00</b>	<b>\$7,128.46</b>		<b>\$5,627.16</b>
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
12/21/2017	QGW033599 PILLERA, CHARLES	CALL 100 WHITING PETE CORP COM NEW	S	-1,015.00	95.00	6.00	89.00	80.0	70.00
12/27/2017	QGW033599 PILLERA, CHARLES	CALL 100 COHERUS BIOSCIENCES INC CO	S	-1,310.00	65.00	6.00	59.00	80.0	46.00
12/08/2017	QGW033649 ARLENE M FRANCIS,	CALL 100 CHIPOTLE MEXICAN GRILL INC	S	-4,100.00	75.00	6.00	69.00	80.0	54.00
12/08/2017	QGW033649 ARLENE M FRANCIS,	CALL 100 CHIPOTLE MEXICAN GRILL INC	B	2,810.00	50.00	6.00	44.00	80.0	34.00
12/19/2017	QGW033649 ARLENE M FRANCIS,	CALL 100 UNITED CONTL HLDGS INC COM	S	-430.00	50.00	6.00	44.00	80.0	34.00

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BROKER TRANSACTIONS											
PRODUCT CATEGORY: OPTIONS											
12/18/2017	QGW033730	KIM, IN	CALL 100	COHERUS BIOSCIENCES INC CO S	-270.00	50.00	6.00	44.00	80.0	34.00	
12/20/2017	QGW033805	LYONS, SALLY	CALL 100	WHITING PETE CORP COM NEW S	-1,212.00	100.00	6.00	94.00	80.0	74.00	
12/14/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-267.00	50.00	6.00	44.00	80.0	34.00	
12/14/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100	MOMO INC ADR ISIN#US60879B S	-155.00	50.00	6.00	44.00	80.0	34.00	
12/18/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100	COHERUS BIOSCIENCES INC CO S	-360.00	50.00	6.00	44.00	80.0	34.00	
12/11/2017	QGW034894	MODDERNO, PATRICIA	CALL 100	WHITING PETE CORP COM NEW S	-612.00	65.00	6.00	59.00	80.0	46.00	
12/18/2017	QGW034894	MODDERNO, PATRICIA	CALL 100	COHERUS BIOSCIENCES INC CO S	-270.00	50.00	6.00	44.00	80.0	34.00	
12/14/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-259.00	50.00	6.00	44.00	80.0	34.00	
12/14/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	BARCLAYS BK PLC IPATH S&P S	-530.00	50.00	6.00	44.00	80.0	34.00	
12/14/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	MOMO INC ADR ISIN#US60879B S	-140.00	50.00	6.00	44.00	80.0	34.00	
12/18/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	WHITING PETE CORP COM NEW S	-1,340.00	95.00	6.00	89.00	80.0	70.00	
12/19/2017	QGW036493	ARLENE M FRANCIS,	CALL 100	WHITING PETE CORP COM NEW S	-633.00	50.00	6.00	44.00	80.0	34.00	
12/08/2017	QGW036584	TREIBER, NANCY	CALL 100	VIPSHOP HLDGS LTD SPONS AD S	-450.00	50.00	6.00	44.00	80.0	34.00	
12/11/2017	QGW036584	TREIBER, NANCY	CALL 100	NVIDIA CORP COM EXP 01-19- B	5,780.00	150.00	6.00	144.00	80.0	114.00	
12/11/2017	QGW036584	TREIBER, NANCY	CALL 100	NVIDIA CORP COM EXP 06-15- S	-6,180.00	150.00	6.00	144.00	80.0	114.00	
12/19/2017	QGW036584	TREIBER, NANCY	CALL 100	WHITING PETE CORP COM NEW S	-1,275.00	65.00	6.00	59.00	80.0	46.00	
12/08/2017	QGW036592	TREIBER, NANCY	CALL 100	COHERUS BIOSCIENCES INC CO S	-250.00	50.00	6.00	44.00	80.0	34.00	
12/08/2017	QGW036592	TREIBER, NANCY	CALL 100	VIPSHOP HLDGS LTD SPONS AD S	-450.00	50.00	6.00	44.00	80.0	34.00	
12/08/2017	QGW036592	TREIBER, NANCY	CALL 100	WHITING PETE CORP COM NEW S	-975.00	75.00	6.00	69.00	80.0	54.00	
12/14/2017	QGW038705	SAPIO, ROBERTA	CALL 100	MOMO INC ADR ISIN#US60879B S	-100.00	50.00	6.00	44.00	80.0	34.00	
12/15/2017	QGW038705	SAPIO, ROBERTA	CALL 100	CELGENE CORP EXP 12-15-17@ B	395.00	50.00	6.00	44.00	80.0	34.00	
12/15/2017	QGW038705	SAPIO, ROBERTA	CALL 100	CELGENE CORP EXP 03-16-18@ S	-395.00	50.00	6.00	44.00	80.0	34.00	
12/08/2017	QGW038812	KOHN, ROBERT	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-241.00	50.00	6.00	44.00	80.0	34.00	
12/08/2017	QGW038812	KOHN, ROBERT	CALL 100	MOMO INC ADR ISIN#US60879B S	-350.00	50.00	6.00	44.00	80.0	34.00	
12/08/2017	QGW038812	KOHN, ROBERT	CALL 100	NVIDIA CORP COM EXP 02-16- S	-1,110.00	65.00	6.00	59.00	80.0	46.00	
12/18/2017	QGW038812	KOHN, ROBERT	CALL 100	UNITED CONTL HLDGS INC COM S	-295.00	50.00	6.00	44.00	80.0	34.00	
* OPTIONS SUBTOTAL *					\$-15,989.00	\$2,000.00	\$186.00	\$1,814.00		\$1,414.00	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
12/15/2017	QGW037061	ALONSO, ALICE		AMERICAN BALANCED FUND-A	B	0.00	1.54	0.00	1.54	80.0	1.23
12/15/2017	QGW037061	ALONSO, ALICE		NEW PERSPECTIVE FUND-A	B	0.00	1.55	0.00	1.55	80.0	1.24
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$3.09	\$0.00	\$3.09		\$2.47	
*** BROKER TRANSACTIONS TOTAL ***					\$304,246.93	\$9,509.55	\$564.00	\$8,945.55		\$7,043.63	

COMMISSION STATEMENT for MARCO CASALE

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

12/31/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00		-6,682.97
12/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-150.00
12/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
12/31/2017		OTHER: OTHER-STATE REGIST		0.00	0.00	0.00	0.00		-317.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-7,157.97

BROKER COMMISSION TOTALS

Broker Transactions	\$7,043.63
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-7,157.97
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-11.89
SIPC Assessment	\$-23.77

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$-150.00
Year-to-date Earnings	\$35,288.47