

## COMMISSION STATEMENT

September 29, 2017

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 TRANSACTIONSPRODUCT CATEGORY: STOCKS

09/20/2017	QGW008872	CINQUEMANI, FRANK	AGNICO-EAGLE MINES LTD	S	-9,381.89	50.00	6.00	44.00	50.0	22.00
08/31/2017	QGW009094	KANTO, WILLIAM	ISHARES 20 PLUS YEAR TREASURY BOND	S	-106,200.00	98.00	6.00	92.00	50.0	46.00
09/22/2017	QGW009151	KOBOLD, MICHAEL	VIRNETX HOLDING CORPORATION	B	2,050.00	75.52	6.00	69.52	50.0	34.76
09/01/2017	QGW009177	-, MICHAEL KRUEGER	CIENA CORPORATION	B	11,500.00	50.00	6.00	44.00	50.0	22.00
09/05/2017	QGW009177	-, MICHAEL KRUEGER	CIENA CORPORATION	S	-10,787.50	50.00	6.00	44.00	50.0	22.00
09/19/2017	QGW009177	-, MICHAEL KRUEGER	AXT INC COM	B	4,375.00	50.00	6.00	44.00	50.0	22.00
09/19/2017	QGW009177	-, MICHAEL KRUEGER	MCEWEN MINING INC	B	2,197.00	50.00	6.00	44.00	50.0	22.00
09/15/2017	QGW009292	OSTOW, MARK	SEARS HOLDINGS CORP	S	-14,000.00	120.00	6.00	114.00	50.0	57.00
09/15/2017	QGW009292	OSTOW, MARK	SEARS HOLDINGS CORP	B	15,194.00	160.00	6.00	154.00	50.0	77.00
08/29/2017	QGW009367	SCHIFF MINOR, NICOLE	BEST BUY CO INC (MN)	B	11,114.98	50.00	6.00	44.00	50.0	22.00
09/20/2017	QGW009367	SCHIFF MINOR, NICOLE	AGNICO-EAGLE MINES LTD	S	-9,289.00	50.00	6.00	44.00	50.0	22.00
08/29/2017	QGW009490	PARTNERSHIP, 311	BEST BUY CO INC (MN)	B	27,787.45	62.50	6.00	56.50	50.0	28.25
09/20/2017	QGW009490	PARTNERSHIP, 311	AGNICO-EAGLE MINES LTD	S	-46,445.00	125.00	6.00	119.00	50.0	59.50
08/29/2017	QGW009540	CINQUEMANI, FRANK	BEST BUY CO INC (MN)	B	55,574.90	125.00	6.00	119.00	50.0	59.50
09/20/2017	QGW009540	CINQUEMANI, FRANK	AGNICO-EAGLE MINES LTD	S	-46,445.00	125.00	6.00	119.00	50.0	59.50
08/29/2017	QGW021420	CINQUEMANI, FRANK	BEST BUY CO INC (MN)	B	16,672.47	50.00	6.00	44.00	50.0	22.00
09/20/2017	QGW021420	CINQUEMANI, FRANK	AGNICO-EAGLE MINES LTD	S	-46,445.00	125.00	6.00	119.00	50.0	59.50
09/18/2017	QGW021461	BURNS, RHONDIE	WHITING PETROLEUM CORPORATION	B	2,409.95	80.66	6.00	74.66	50.0	37.33
09/19/2017	QGW021461	BURNS, RHONDIE	MANSFIELD-MARTIN EXPL MNG INC COM	S	-1,679.10	75.00	6.00	69.00	50.0	34.50
09/26/2017	QGW021461	BURNS, RHONDIE	TEUCRIUM COMMODITY TR WHEAT FD	B	2,006.40	61.69	6.00	55.69	50.0	27.85
09/27/2017	QGW021461	BURNS, RHONDIE	AMARIN CORPORATION PLC SPONSORED AD	B	1,799.25	71.93	6.00	65.93	50.0	32.97
09/27/2017	QGW021461	BURNS, RHONDIE	NOKIA 654902204	S	-310.77	50.00	6.00	44.00	50.0	22.00
09/27/2017	QGW021461	BURNS, RHONDIE	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	1,753.90	50.00	6.00	44.00	50.0	22.00
08/29/2017	QGW029514	HUNT, GREGORY	SIBANYE GOLD LTD SPONSORED ADR ISIN	S	-6,723.50	80.00	6.00	74.00	50.0	37.00
09/11/2017	QGW029514	HUNT, GREGORY	TAHOE RES INC COM ISIN#CA8738681037	S	-13,040.00	164.00	6.00	158.00	50.0	79.00

* STOCKS SUBTOTAL *					\$-156,311.46	\$2,049.30	\$150.00	\$1,899.30		\$949.66
---------------------	--	--	--	--	---------------	------------	----------	------------	--	----------

PRODUCT CATEGORY: OPTIONS

09/11/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 ISHARES INC MSCI BRAZIL CAP	B	1,140.00	50.00	7.00	43.00	50.0	21.50
09/18/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 ISHARES INC MSCI BRAZIL CAP	S	-720.00	50.00	7.00	43.00	50.0	21.50
09/18/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 KRONOS WORLDWIDE INC COM EX	S	-325.00	50.00	7.00	43.00	50.0	21.50

COMMISSION STATEMENT for JAY SHARTSIS

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: OPTIONS</u></b>									
09/20/2017	QGW009177 - , MICHAEL KRUEGER	PUT 100 PROSHARES TR II ULTRA BLOOM S		-350.00	50.00	7.00	43.00	50.0	21.50
09/18/2017	QGW009292 OSTOW, MARK	CALL 100 SEARS HLDGS CORP COM EXP 1 S		-1,980.00	95.00	7.00	88.00	50.0	44.00
09/18/2017	QGW009292 OSTOW, MARK	CALL 100 SEARS HLDGS CORP COM EXP 1 B		380.00	50.00	7.00	43.00	50.0	21.50
09/20/2017	QGW009292 OSTOW, MARK	CALL 100 HERBALIFE LTD USD COM SHS S		-2,160.00	110.09	7.00	103.09	50.0	51.55
09/20/2017	QGW009292 OSTOW, MARK	CALL 100 HERBALIFE LTD USD COM SHS B		1,100.00	94.93	7.00	87.93	50.0	43.97
09/21/2017	QGW029514 HUNT, GREGORY	CALL 100 HERBALIFE LTD USD COM SHS S		-4,240.00	176.18	7.00	169.18	50.0	84.59
09/21/2017	QGW029514 HUNT, GREGORY	CALL 100 HERBALIFE LTD USD COM SHS B		2,240.00	112.00	7.00	105.00	50.0	52.50
09/21/2017	QGW029514 HUNT, GREGORY	CALL 100 PROSHARES TR ULTRAPRO SHOR B		4,350.00	187.50	7.00	180.50	50.0	90.25
09/25/2017	QGW029514 HUNT, GREGORY	CALL 100 ISHARES INC MSCI BRAZIL CA S		-3,525.00	160.00	7.00	153.00	50.0	76.50
09/25/2017	QGW029514 HUNT, GREGORY	CALL 100 ISHARES INC MSCI BRAZIL CA B		650.00	54.60	7.00	47.60	50.0	23.80
<b>* OPTIONS SUBTOTAL *</b>				<b>\$-3,440.00</b>	<b>\$1,240.30</b>	<b>\$91.00</b>	<b>\$1,149.30</b>		<b>\$574.66</b>
<b><u>PRODUCT CATEGORY: MISCELLANEOUS</u></b>									
09/29/2017	VARIOUS, SHARTSIS	2 TRADES FROM PERSHING NOT RECORDED B		0.00	166.88	10.00	156.88	50.0	78.44
09/29/2017	VARIOUS, SHARTSIS	SALARY	B	0.00	1,000.00	10.00	990.00	50.0	495.00
<b>* MISCELLANEOUS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$1,166.88</b>	<b>\$20.00</b>	<b>\$1,146.88</b>		<b>\$573.44</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
09/12/2017	75501786 WRIGHTON, BRYAN	**CLEARBRIDGE LARGE CAP VALUE	B	0.00	43.46	0.00	43.46	50.0	21.73
09/26/2017	QGW030561 CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B		0.00	0.28	0.00	0.28	50.0	0.14
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$43.74</b>	<b>\$0.00</b>	<b>\$43.74</b>		<b>\$21.87</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$-159,751.46</b>	<b>\$4,500.22</b>	<b>\$261.00</b>	<b>\$4,239.22</b>		<b>\$2,119.63</b>
<b><u>ADJUSTMENTS</u></b>									
09/29/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
09/29/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
09/29/2017		OTHER: OTHER-TELEPHONE		0.00	0.00	0.00	0.00		-25.49
09/29/2017		OTHER: OTHER-OPTIONS PRICE		0.00	0.00	0.00	0.00		-48.18
09/29/2017		OTHER: CBOE		0.00	0.00	0.00	0.00		-250.00
09/29/2017		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-96.36
09/29/2017		OTHER: QUODD		0.00	0.00	0.00	0.00		-60.63
<b>*** ADJUSTMENTS TOTAL ***</b>				<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-508.66</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,119.63
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-508.66
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-4.17
SIPC Assessment	\$-8.33

<b>Check Amount</b>	<b>\$1,598.47</b>
<b>Year-to-date Earnings</b>	<b>\$5,151.22</b>