

COMMISSION STATEMENT

September 29, 2017

EDWARD BYRNE

421 HANOVER CENTER ROAD

ETNA, NH 03750

BROKER #: 23

BRANCH: HOME OFFICE

COMMISSION STATEMENT for EDWARD BYRNE

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|-----------------------------------|-----------|-------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|-------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 09/08/2017 | QGW031809 | SABER, MARK | NEONODE INC COM NEW | S | -6,802.95 | 247.50 | 17.00 | 230.50 | 75.0 168.63 |
| 09/08/2017 | QGW031809 | SABER, MARK | REGULUS THERAPEUTICS INC COM | B | 6,360.00 | 270.00 | 17.00 | 253.00 | 75.0 185.50 |
| 09/08/2017 | QGW031809 | SABER, MARK | REGULUS THERAPEUTICS INC COM | B | -6,360.00 | -270.00 | -17.00 | -253.00 | 75.0 -185.50 C |
| 09/08/2017 | QGW031809 | SABER, MARK | REGULUS THERAPEUTICS INC COM | B | 6,360.00 | 90.00 | 17.00 | 73.00 | 75.0 50.50 |
| 09/27/2017 | QGW031809 | SABER, MARK | REGULUS THERAPEUTICS INC COM | B | 5,439.60 | 130.00 | 17.00 | 113.00 | 75.0 80.50 |
| 09/07/2017 | QGW031817 | HU, CHRISTOPHER | NEONODE INC COM NEW | S | -11,130.30 | 333.91 | 17.00 | 316.91 | 75.0 233.43 |
| 09/07/2017 | QGW031817 | HU, CHRISTOPHER | REGULUS THERAPEUTICS INC COM | B | 9,448.20 | 450.00 | 17.00 | 433.00 | 75.0 320.50 |
| 09/08/2017 | QGW031817 | HU, CHRISTOPHER | REGULUS THERAPEUTICS INC COM | B | 1,060.00 | 20.00 | 17.00 | 3.00 | 75.0 -2.00 |
| 09/08/2017 | QGW031833 | CASSADY REVOCABLE | NEONODE INC COM NEW | S | -6,204.50 | 225.00 | 17.00 | 208.00 | 75.0 151.75 |
| 09/08/2017 | QGW031833 | CASSADY REVOCABLE | NEONODE INC COM NEW | S | 6,204.50 | -225.00 | -17.00 | -208.00 | 75.0 -151.75 C |
| 09/08/2017 | QGW031833 | CASSADY REVOCABLE | NEONODE INC COM NEW | S | -6,204.50 | 75.00 | 17.00 | 58.00 | 75.0 39.25 |
| 09/08/2017 | QGW031833 | CASSADY REVOCABLE | REGULUS THERAPEUTICS INC COM | B | 5,335.50 | 225.00 | 17.00 | 208.00 | 75.0 151.75 |
| 09/07/2017 | QGW031882 | MICKES, THOMAS | REGULUS THERAPEUTICS INC COM | B | 10,498.00 | 450.00 | 17.00 | 433.00 | 75.0 320.50 |
| 09/11/2017 | QGW031882 | MICKES, THOMAS | ENERGOUS CORP COM | S | -14,000.00 | 258.34 | 17.00 | 241.34 | 75.0 176.76 |
| 09/25/2017 | QGW031882 | MICKES, THOMAS | REGULUS THERAPEUTICS INC COM | B | 6,799.50 | 175.00 | 17.00 | 158.00 | 75.0 114.25 |
| 09/18/2017 | QGW031908 | FINNEGAN, MICHAEL | NEONODE INC COM NEW | S | -2,975.00 | 50.00 | 17.00 | 33.00 | 75.0 20.50 |
| 09/18/2017 | QGW031908 | FINNEGAN, MICHAEL | REGULUS THERAPEUTICS INC COM | B | 2,700.00 | 50.00 | 17.00 | 33.00 | 75.0 20.50 |
| 09/12/2017 | QGW031957 | COLE, PHILLIP | REGULUS THERAPEUTICS INC COM | B | 11,425.00 | 200.00 | 17.00 | 183.00 | 75.0 133.00 |
| 09/14/2017 | QGW031957 | COLE, PHILLIP | NEONODE INC COM NEW | S | -4,165.00 | 50.00 | 17.00 | 33.00 | 75.0 20.50 |
| * STOCKS SUBTOTAL * | | | | | <u>\$13,788.05</u> | <u>\$2,804.75</u> | <u>\$255.00</u> | <u>\$2,549.75</u> | <u>\$1,848.57</u> |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | <u>\$13,788.05</u> | <u>\$2,804.75</u> | <u>\$255.00</u> | <u>\$2,549.75</u> | <u>\$1,848.57</u> |

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|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

ADJUSTMENTS

| | | | | | | | | | |
|---------------------------|--|----------------------------------|--|--------|--------|--------|--------|--|----------|
| 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 |
| *** ADJUSTMENTS TOTAL *** | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-28.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$1,848.57 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-28.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-3.51 |
| SIPC Assessment | \$-7.01 |

| | |
|-----------------------|------------|
| Check Amount | \$1,810.05 |
| Year-to-date Earnings | \$5,304.90 |