

## COMMISSION STATEMENT

August 31, 2018

CHRISTOPHER HAMILTON

21 WEST STREET

APT 6J

NEW YORK, NY 10006

BROKER #: I19 K1H R70

BRANCH: HOME OFFICE

## COMMISSION STATEMENT for CHRISTOPHER HAMILTON

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
08/02/2018	75500766	HAMILTON, DOUGLAS	VANGUARD MMR PRIME	B	33,000.00	15.00	10.00	5.00	80.0	4.00
08/15/2018	75501159	EISBERG, JAMES	MATTHEWS ASIA DIVIDEND FUND	S	19,813.31	50.00	10.00	40.00	80.0	32.00
08/02/2018	75502076	LIDSKY, SHAWNA	VANGUARD MMR PRIME	B	29,000.00	15.00	10.00	5.00	80.0	4.00
* MUTUAL FUNDS SUBTOTAL *					\$81,813.31	\$80.00	\$30.00	\$50.00		\$40.00

**PRODUCT CATEGORY: STOCKS**

07/30/2018	75500514	HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	B	70,776.00	0.00	10.00	-10.00	80.0	-8.00
08/01/2018	75500514	HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	S	141,384.00	0.00	10.00	-10.00	80.0	-8.00
08/01/2018	75500514	HAMILTON, CHRISTOPHER	SECTOR SPDR TRUST SBI CONSUMER STAP	B	31,872.00	0.00	10.00	-10.00	80.0	-8.00
08/02/2018	75500514	HAMILTON, CHRISTOPHER	SECTOR SPDR TRUST SBI CONSUMER STAP	S	32,196.00	0.00	10.00	-10.00	80.0	-8.00
08/03/2018	75500514	HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	S	140,544.00	0.00	10.00	-10.00	80.0	-8.00
08/06/2018	75500514	HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	B	139,512.00	0.00	10.00	-10.00	80.0	-8.00
08/07/2018	75500514	HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	B	70,344.00	0.00	10.00	-10.00	80.0	-8.00
08/20/2018	75500514	HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	S	68,797.80	0.00	10.00	-10.00	80.0	-8.00
08/20/2018	75500514	HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	S	137,808.00	0.00	10.00	-10.00	80.0	-8.00
08/20/2018	75500514	HAMILTON, CHRISTOPHER	VANECK VECTORS ETF TR GOLD MINERS E	B	18,796.00	0.00	10.00	-10.00	80.0	-8.00
08/21/2018	75500514	HAMILTON, CHRISTOPHER	VANECK VECTORS ETF TR GOLD MINERS E	S	18,914.00	0.00	10.00	-10.00	80.0	-8.00
08/01/2018	75500529	KALOS, PAUL	SPDR S&P 500 ETF TRUST	B	112,323.96	50.00	10.00	40.00	80.0	32.00
08/01/2018	75500766	HAMILTON, DOUGLAS	KAYNE ANDERSON MLP INVT CO	B	7,531.96	15.00	10.00	5.00	80.0	4.00
08/03/2018	75500796	KARP, BETH	CITIZENS FINANCIAL GROUP INC COM	B	72,610.20	50.00	10.00	40.00	80.0	32.00
08/06/2018	75500796	KARP, BETH	CITIZENS FINANCIAL GROUP INC COM	B	80,256.00	60.00	10.00	50.00	80.0	40.00
08/13/2018	75500796	KARP, BETH	LIVE OAK BANCSHARES INC COM	B	88,800.00	90.00	10.00	80.00	80.0	64.00
08/13/2018	75500796	KARP, BETH	LIVE OAK BANCSHARES INC COM	B	88,650.00	90.00	10.00	80.00	80.0	64.00
08/20/2018	75500796	KARP, BETH	LIVE OAK BANCSHARES INC COM	B	117,800.00	120.00	10.00	110.00	80.0	88.00
08/03/2018	75500829	GRAFSTEIN, ALLEN	ASTRAZENECA PLC EACH ADS REPRESENTI	S	154,600.00	120.00	10.00	110.00	80.0	88.00
08/03/2018	75500829	GRAFSTEIN, ALLEN	PROCTER & GAMBLE CO	S	40,944.80	35.43	10.00	25.43	80.0	20.34
08/06/2018	75500829	GRAFSTEIN, ALLEN	PROCTER & GAMBLE CO	S	16,840.20	14.58	10.00	4.58	80.0	3.66
08/07/2018	75500829	GRAFSTEIN, ALLEN	BP P L C SPONSORED ADR (FRM BP AMOC	S	45,000.00	50.00	10.00	40.00	80.0	32.00
08/08/2018	75500886	STRAUSS, HELENE	CITIZENS FINANCIAL GROUP INC COM	B	12,250.98	50.00	10.00	40.00	80.0	32.00
08/08/2018	75500887	STRAUSS, HELENE	CITIZENS FINANCIAL GROUP INC COM	B	8,167.32	50.00	10.00	40.00	80.0	32.00
08/10/2018	75500913	KARP, RONALD	INSEEGO CORP COMMON STOCK	S	25,604.97	50.00	10.00	40.00	80.0	32.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
08/24/2018	75500913 KARP, RONALD	OPERA LIMITED AMERICAN DEPOSITARY S B		39,900.00	50.00	10.00	40.00	80.0	32.00
08/24/2018	75500913 KARP, RONALD	TAHOE RES INC COM ISIN#CA8738681037 B		19,039.00	50.00	10.00	40.00	80.0	32.00
08/20/2018	75500923 NAGLER, ROBERT	ADM TRONICS UNLIMITED INC	S	320.00	15.00	10.00	5.00	80.0	4.00
08/20/2018	75500923 NAGLER, ROBERT	REVLON INC CL A	S	207.00	15.00	10.00	5.00	80.0	4.00
08/20/2018	75500923 NAGLER, ROBERT	UNION BANKSHARES CORPORATION COM	S	166.72	15.00	10.00	5.00	80.0	4.00
08/20/2018	75500923 NAGLER, ROBERT	UNITED ENERGY CORP-NEV NEW	S	45.00	0.00	10.00	-10.00	80.0	-8.00
08/22/2018	75500926 CONGREGATION DARCHEI	VERISK ANALYTICS INC COM	S	11,727.00	50.00	10.00	40.00	80.0	32.00
08/10/2018	75500931 RON KARP AND/OR	INSEEGO CORP COMMON STOCK	S	16,971.81	50.00	10.00	40.00	80.0	32.00
08/28/2018	75500947 BIEL, LYNN	MACYS INC	S	27,361.03	764.00	10.00	754.00	80.0	603.20
08/28/2018	75500948 BIEL, LYNN	TEVA PHARMACEUTICAL INDUSTRIES LIMIS	S	11,746.00	75.00	10.00	65.00	80.0	52.00
08/03/2018	75501006 GRAFSTEIN, ALLEN	ASTRAZENECA PLC EACH ADS REPRESENTI	S	57,975.00	50.00	10.00	40.00	80.0	32.00
08/03/2018	75501006 GRAFSTEIN, ALLEN	PROCTER & GAMBLE CO	S	22,618.70	50.00	10.00	40.00	80.0	32.00
08/28/2018	75501009 L BIEL & S	HERSHEY COMPANY (THE)	B	38,647.56	424.00	10.00	414.00	80.0	331.20
08/03/2018	75501024 GRAFSTEIN, ALLEN	ASTRAZENECA PLC EACH ADS REPRESENTI	S	57,975.00	50.00	10.00	40.00	80.0	32.00
08/03/2018	75501024 GRAFSTEIN, ALLEN	PROCTER & GAMBLE CO	S	16,840.20	50.00	10.00	40.00	80.0	32.00
08/03/2018	75501192 ALLEN GRAFSTEIN	J P MORGAN CHASE & CO	S	117,100.00	50.00	10.00	40.00	80.0	32.00
08/03/2018	75501192 ALLEN GRAFSTEIN	PROCTER & GAMBLE CO	S	82,550.00	50.00	10.00	40.00	80.0	32.00
08/21/2018	75501192 ALLEN GRAFSTEIN	IONIS PHARMACEUTICALS INC COM	S	104,000.00	50.00	10.00	40.00	80.0	32.00
08/02/2018	75501341 GRAFSTEIN, LEO	KRAFT HEINZ COMPANY (THE) COMMON ST	B	29,319.00	50.00	10.00	40.00	80.0	32.00
07/30/2018	75502076 LIDSKY, SHAWNA	TORTOISE ENERGY INFRASTRUCTURE CORP	B	5,532.80	25.00	10.00	15.00	80.0	12.00
08/03/2018	QGW019903 KARP, SELWYN	CITIZENS FINANCIAL GROUP INC COM	B	72,605.88	50.00	10.00	40.00	80.0	32.00
08/06/2018	QGW019903 KARP, SELWYN	CITIZENS FINANCIAL GROUP INC COM	B	80,233.00	60.00	10.00	50.00	80.0	40.00
08/29/2018	QGW019903 KARP, SELWYN	LIVE OAK BANCSHARES INC COM	B	54,059.40	54.00	10.00	44.00	80.0	35.20
07/30/2018	QGW019929 KARP, JEFFREY	COEUR MINING INC	B	55,347.20	100.00	10.00	90.00	80.0	72.00
08/14/2018	QGW019929 KARP, JEFFREY	GAMESTOP CORP NEW CLASS A	S	-61,778.00	100.00	10.00	90.00	80.0	72.00
08/21/2018	QGW019929 KARP, JEFFREY	ALAMOS GOLD INC COM CL A	B	35,917.60	100.00	10.00	90.00	80.0	72.00
08/21/2018	QGW019929 KARP, JEFFREY	GAMESTOP CORP NEW CLASS A	S	-32,617.00	60.00	10.00	50.00	80.0	40.00
08/21/2018	QGW019929 KARP, JEFFREY	GAMESTOP CORP NEW CLASS A	S	-65,360.40	100.00	10.00	90.00	80.0	72.00
08/22/2018	QGW019929 KARP, JEFFREY	COEUR MINING INC	B	45,008.00	100.00	10.00	90.00	80.0	72.00
08/22/2018	QGW019929 KARP, JEFFREY	GAMESTOP CORP NEW CLASS A	S	-33,961.60	60.00	10.00	50.00	80.0	40.00
08/23/2018	QGW019929 KARP, JEFFREY	AZUL S A SPONSORED ADR REPSTG PFD I	B	32,247.20	50.00	10.00	40.00	80.0	32.00
08/23/2018	QGW019929 KARP, JEFFREY	GAMESTOP CORP NEW CLASS A	S	-34,083.80	60.00	10.00	50.00	80.0	40.00
08/27/2018	QGW019929 KARP, JEFFREY	AZUL S A SPONSORED ADR REPSTG PFD I	B	33,260.00	50.00	10.00	40.00	80.0	32.00
07/30/2018	QGW019937 KARP, BARBARA	COEUR MINING INC	B	55,347.20	100.00	10.00	90.00	80.0	72.00
07/30/2018	QGW019937 KARP, BARBARA	COEUR MINING INC	B	-55,347.20	-100.00	-10.00	-90.00	80.0	-72.00 C
* STOCKS SUBTOTAL *				\$2,583,243.49	\$3,722.01	\$580.00	\$3,142.01		\$2,513.60

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BROKER TRANSACTIONSPRODUCT CATEGORY: OPTIONS

08/08/2018	75500527	KALOS, PAUL	CALL PNC	11/16/18	135	S	13,500.00	50.00	10.00	40.00	80.0	32.00
08/08/2018	75500527	KALOS, PAUL	CALL PNC	08/17/18	135	B	11,440.00	50.00	10.00	40.00	80.0	32.00
08/08/2018	75500528	KALOS, LINDA	CALL OXY	11/16/18	75	S	6,960.00	50.00	10.00	40.00	80.0	32.00
08/08/2018	75500528	KALOS, LINDA	CALL OXY	08/17/18	75	B	5,630.00	50.00	10.00	40.00	80.0	32.00
08/01/2018	75500529	KALOS, PAUL	CALL SPY	08/31/18	277	S	2,476.00	50.00	10.00	40.00	80.0	32.00
* OPTIONS SUBTOTAL *							<u>\$40,006.00</u>	<u>\$250.00</u>	<u>\$50.00</u>	<u>\$200.00</u>		<u>\$160.00</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

08/31/2018		FEE COUNT - 36					0.00	550.13	0.00	550.13	80.0	440.09
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *							<u>\$0.00</u>	<u>\$550.13</u>	<u>\$0.00</u>	<u>\$550.13</u>		<u>\$440.09</u>
*** BROKER TRANSACTIONS TOTAL ***							<u>\$2,705,062.80</u>	<u>\$4,602.14</u>	<u>\$660.00</u>	<u>\$3,942.14</u>		<u>\$3,153.69</u>

ADJUSTMENTS

08/31/2018		COMMISSION INCOME: SULLIVAN OVERRIDE					0.00	0.00	0.00	0.00		369.14
08/31/2018		MISCELLANEOUS: AUG W/O 75500798					0.00	0.00	0.00	0.00		-2.00
08/31/2018		MISCELLANEOUS: AUG W/O 75501095					0.00	0.00	0.00	0.00		-2.00
08/31/2018		MISCELLANEOUS: AUG W/O 75500877					0.00	0.00	0.00	0.00		-2.00
08/31/2018		MISCELLANEOUS: AUG W/O 75500763					0.00	0.00	0.00	0.00		-37.98
08/31/2018		OTHER: FED INS AUG 2018					0.00	0.00	0.00	0.00		-305.28
08/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY					0.00	0.00	0.00	0.00		-20.00
08/31/2018		OTHER: OTHER-360 OFFICE					0.00	0.00	0.00	0.00		-12.00
08/31/2018		OTHER: OTHER-DISABLITY INSURANCE					0.00	0.00	0.00	0.00		-2.04
08/31/2018		OTHER: OTHER-WORKMAN COMP					0.00	0.00	0.00	0.00		-133.34
08/31/2018		OTHER: THOMSON					0.00	0.00	0.00	0.00		-112.86
08/31/2018		OTHER: EXCHANGE FEES					0.00	0.00	0.00	0.00		-55.66
*** ADJUSTMENTS TOTAL ***							<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-316.02</u>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$3,153.69
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-316.02
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-5.75
SIPC Assessment	\$-11.51

<b>Check Amount</b>	<b>\$2,864.39</b>
<b>Year-to-date Earnings</b>	<b>\$29,965.31</b>