

COMMISSION STATEMENT

April 30, 2017

MICHAEL WOLLOCH

43 SECOR RD

SCARSDALE, NY 10583

BROKER #:

BRANCH: HOME OFFICE

COMMISSION STATEMENT for MICHAEL WOLLOCH

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

04/20/2017	QGW016198	BEHETTE, ANTHONY		AGENUS INC	B	4,827.48	90.00	10.00	80.00	45.0	36.00
04/20/2017	QGW016198	BEHETTE, ANTHONY		DARIOHEALTH CORP COM	B	3,852.38	90.00	10.00	80.00	45.0	36.00
04/05/2017	QGW016537	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	B	40,500.00	135.00	10.00	125.00	45.0	56.25
04/12/2017	QGW016537	SYAGE, EDWARD		AURINIA PHARMACEUTICALS INC COM ISI	B	6,980.00	50.00	10.00	40.00	45.0	18.00
04/13/2017	QGW016537	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	S	-44,400.00	135.00	10.00	125.00	45.0	56.25
04/19/2017	QGW016651	C JOHNSTON, BRUCE		AT&T INC	S	-402.10	20.00	10.00	10.00	45.0	4.50
04/19/2017	QGW016651	C JOHNSTON, BRUCE		BRISTOL MYERS SQUIBB CO	S	-21,332.32	70.00	10.00	60.00	45.0	27.00
04/19/2017	QGW016651	C JOHNSTON, BRUCE		CHEMOURS COMPANY (THE) COM	S	-1,422.00	50.00	10.00	40.00	45.0	18.00
04/12/2017	QGW024093	WOLLEMAN, TODD		XEROX CORP	S	-7,012.00	73.00	10.00	63.00	45.0	28.35
04/17/2017	QGW024093	WOLLEMAN, TODD		NEUROTROPE INC COM NEW	B	9,950.00	63.00	10.00	53.00	45.0	23.85
04/07/2017	QGW024259	SYAGE, EDWARD		ACHILLION PHARMACEUTICALS INC	S	-6,768.00	81.00	10.00	71.00	45.0	31.95
04/07/2017	QGW024259	SYAGE, EDWARD		AURINIA PHARMACEUTICALS INC COM ISI	B	7,744.00	50.00	10.00	40.00	45.0	18.00
04/05/2017	QGW024267	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	B	27,000.00	90.00	10.00	80.00	45.0	36.00
04/13/2017	QGW024267	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	S	-29,300.00	90.00	10.00	80.00	45.0	36.00
				* STOCKS SUBTOTAL *		\$-9,782.56	\$1,087.00	\$140.00	\$947.00		\$426.15

PRODUCT CATEGORY: OPTIONS

04/24/2017	QGW016099	WOLLEMAN, TODD		PUT 100 EXXON MOBIL CORP COM EXP 07	B	800.00	73.00	10.00	63.00	45.0	28.35
04/24/2017	QGW016099	WOLLEMAN, TODD		PUT 100 VERIZON COMMUNICATIONS INC	S	-1,090.00	73.00	10.00	63.00	45.0	28.35
04/24/2017	QGW016099	WOLLEMAN, TODD		PUT 100 WALGREENS BOOTS ALLIANCE EX	B	600.00	73.00	10.00	63.00	45.0	28.35
				* OPTIONS SUBTOTAL *		\$310.00	\$219.00	\$30.00	\$189.00		\$85.05

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/18/2017	QGW016115	MAYER, MURRAY		MFS GOVERNMENT SECURITIES FUND CLAS	B	0.00	47.78	0.00	47.78	45.0	21.50
04/21/2017	QGW016123	DEMSKO, DARYL		PUTNAM 746782101	B	0.00	11.28	0.00	11.28	45.0	5.08
04/17/2017	QGW016131	TUERS, ERIC		SELECTED AMERICAN SHARES CLASS S	B	0.00	1.13	0.00	1.13	45.0	0.51
04/17/2017	QGW016149	MIRZOEFF, DANA		SELECTED AMERICAN SHARES CLASS S	B	0.00	6.12	0.00	6.12	45.0	2.75
04/20/2017	QGW016149	MIRZOEFF, DANA		OLSTEIN ALL CAP VALUE FUND CLASS C	B	0.00	56.42	0.00	56.42	45.0	25.39
04/18/2017	QGW016305	PEDDICORD TRUST,		ALLIANCEBERNSTEIN LARGE-CAP GROWTH	B	0.00	20.33	0.00	20.33	45.0	9.15
04/20/2017	QGW016347	AGAR REVOCABLE TRST,		NUVEEN CORE BOND FUND CLASS A	B	0.00	6.23	0.00	6.23	45.0	2.80
04/18/2017	QGW016354	PEDDICORD, JANE		ALLIANCEBERNSTEIN LARGE-CAP GROWTH	B	0.00	13.55	0.00	13.55	45.0	6.10
04/18/2017	QGW016412	MERGED TRUST, CARA		ALLIANCEBERNSTEIN LARGE-CAP GROWTH	B	0.00	13.55	0.00	13.55	45.0	6.10

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
<div>BROKER TRANSACTIONS</div>										
<div>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</div>										
04/18/2017	QGW016511	JASON, LAURIE	THE BOND FUND OF AMERICA-A	B	0.00	0.01	0.00	0.01	45.0	0.00
04/20/2017	QGW016628	KRAUSS, SHARON	FRANKLIN INCOME FUND CLASS C	B	0.00	20.47	0.00	20.47	45.0	9.21
04/17/2017	QGW024150	GORDON, ARLENE	SELECTED AMERICAN SHARES CLASS S	B	0.00	5.07	0.00	5.07	45.0	2.28
04/20/2017	QGW025553	KRAUSS, NANCY	OLSTEIN ALL CAP VALUE FUND CLASS C	B	0.00	44.33	0.00	44.33	45.0	19.95
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$246.27	\$0.00	\$246.27		\$110.82
*** BROKER TRANSACTIONS TOTAL ***					\$-9,472.56	\$1,552.27	\$170.00	\$1,382.27		\$622.02

ADJUSTMENTS

04/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
04/30/2017		OTHER: OTHER-QUEST		0.00	0.00	0.00	0.00		-100.00
04/30/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-5.00
				*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$-125.00

BROKER COMMISSION TOTALS

Broker Transactions	\$622.02
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-125.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.94
SIPC Assessment	\$-29.11

Check Amount	\$465.97
Year-to-date Earnings	\$4,829.72