

## COMMISSION STATEMENT

August 31, 2018

CHARLES WINNICK

970 PARK AVE

NEW YORK, NY 10028

BROKER #: W11

BRANCH: FULCRUM GROUP

## COMMISSION STATEMENT for CHARLES WINNICK

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

08/16/2018	75501342 WINNICK, HILLARY	TIER REIT INC COM	S	94,841.56	20.00	0.00	20.00	55.0	0.00
08/16/2018	75501345 WINNICK, JOELY	TIER REIT INC COM	S	94,703.20	20.00	0.00	20.00	55.0	0.00
08/03/2018	QGV006075 PARTNERS, F/A/O:	ADAMAS PHARMACEUTICALS INC COM	S	-122,500.00	200.00	0.00	200.00	55.0	110.00
08/17/2018	QGV006075 PARTNERS, F/A/O:	NEWELL BRANDS INC SHS	B	53,946.00	100.00	0.00	100.00	55.0	55.00
07/31/2018	QGV006430 JPMORGAN CLEARING	TRIPLE S MGMT CORP CL B	S	-88,801.00	125.00	0.00	125.00	55.0	68.75
08/02/2018	QGV006430 JPMORGAN CLEARING	TRIPLE S MGMT CORP CL B	S	-33,519.97	55.00	0.00	55.00	55.0	30.25
08/03/2018	QGV006430 JPMORGAN CLEARING	TRIPLE S MGMT CORP CL B	S	-31,345.59	58.75	0.00	58.75	55.0	32.31
08/06/2018	QGV006430 JPMORGAN CLEARING	DOVA PHARMACEUTICALS INC COM	B	680,357.34	1,530.00	0.00	1,530.00	55.0	841.50
08/09/2018	QGV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	B	291,497.49	608.60	0.00	608.60	55.0	334.73
08/10/2018	QGV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	B	364,572.80	763.90	0.00	763.90	55.0	420.15
08/17/2018	QGV006430 JPMORGAN CLEARING	LINN ENERGY INC NEW CL A	B	119,204.64	360.00	0.00	360.00	55.0	198.00
08/17/2018	QGV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	B	193,200.00	460.00	0.00	460.00	55.0	253.00
08/22/2018	QGV006430 JPMORGAN CLEARING	LINN ENERGY INC NEW CL A	B	107,107.93	329.50	0.00	329.50	55.0	181.23
08/23/2018	QGV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	B	222,625.00	500.00	0.00	500.00	55.0	275.00
08/24/2018	QGV006430 JPMORGAN CLEARING	LINN ENERGY INC NEW CL A	B	8,250.00	51.00	0.00	51.00	55.0	28.05
08/24/2018	QGV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	B	35,200.00	80.00	0.00	80.00	55.0	44.00
08/27/2018	QGV006430 JPMORGAN CLEARING	LINN ENERGY INC NEW CL A	B	118,119.15	355.00	0.00	355.00	55.0	195.25
07/31/2018	QGV006448 MORGAN STANLEY	TRIPLE S MGMT CORP CL B	S	-88,801.00	125.00	0.00	125.00	55.0	68.75
08/02/2018	QGV006448 MORGAN STANLEY	TRIPLE S MGMT CORP CL B	S	-33,519.97	55.00	0.00	55.00	55.0	30.25
08/03/2018	QGV006448 MORGAN STANLEY	TRIPLE S MGMT CORP CL B	S	-31,345.59	58.75	0.00	58.75	55.0	32.31
08/06/2018	QGV006448 MORGAN STANLEY	DOVA PHARMACEUTICALS INC COM	B	680,357.34	1,530.00	0.00	1,530.00	55.0	841.50
08/09/2018	QGV006448 MORGAN STANLEY	RIVIERA RES INC COM	B	293,892.31	613.60	0.00	613.60	55.0	337.48
08/10/2018	QGV006448 MORGAN STANLEY	RIVIERA RES INC COM	B	364,572.80	763.90	0.00	763.90	55.0	420.15
08/17/2018	QGV006448 MORGAN STANLEY	LINN ENERGY INC NEW CL A	B	119,204.64	360.00	0.00	360.00	55.0	198.00
08/17/2018	QGV006448 MORGAN STANLEY	RIVIERA RES INC COM	B	193,200.00	460.00	0.00	460.00	55.0	253.00
08/22/2018	QGV006448 MORGAN STANLEY	LINN ENERGY INC NEW CL A	B	107,107.93	329.50	0.00	329.50	55.0	181.23
08/23/2018	QGV006448 MORGAN STANLEY	RIVIERA RES INC COM	B	222,625.00	500.00	0.00	500.00	55.0	275.00
08/24/2018	QGV006448 MORGAN STANLEY	LINN ENERGY INC NEW CL A	B	8,250.00	51.00	0.00	51.00	55.0	28.05
08/24/2018	QGV006448 MORGAN STANLEY	RIVIERA RES INC COM	B	35,200.00	80.00	0.00	80.00	55.0	44.00
08/27/2018	QGV006448 MORGAN STANLEY	LINN ENERGY INC NEW CL A	B	118,119.15	355.00	0.00	355.00	55.0	195.25
07/30/2018	QGW031072 KRAFF REVOCABLE	STAAR SURGICAL CO NEW	S	-66,000.00	200.00	0.00	200.00	55.0	110.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
07/30/2018	QGW031080	DEROSA, LYNN	APPLE INC	S	-7,019.75	51.00	0.00	51.00	55.0	28.05
07/30/2018	QGW031080	DEROSA, LYNN	INTREXON CORP COM	S	-12,717.09	51.00	0.00	51.00	55.0	28.05
07/30/2018	QGW031080	DEROSA, LYNN	ZIOPHARM ONCOLOGY INC	S	-282.88	51.00	0.00	51.00	55.0	28.05
08/29/2018	QGW031106	TIMYAN, PHILIP	EMPIRE BANCORP INC COM	B	37,370.00	51.00	0.00	51.00	55.0	28.05
07/31/2018	QGW034852	HOLMES, MEGAN	MIMEDX GROUP INC COM	B	10,625.00	75.00	0.00	75.00	55.0	41.25
08/17/2018	QGW034852	HOLMES, MEGAN	MIMEDX GROUP INC COM	B	25,000.00	561.38	0.00	561.38	55.0	308.76
08/17/2018	QGW034852	HOLMES, MEGAN	ULTRA PETROLEUM CORP REGISTERED SHS	B	14,500.00	358.32	0.00	358.32	55.0	197.08
* STOCKS SUBTOTAL *					\$4,097,796.44	\$12,297.20	\$0.00	\$12,297.20		\$6,741.48

**PRODUCT CATEGORY: OPTIONS**

07/31/2018	QGW034852	HOLMES, MEGAN		CALL 100 MIMEDX GROUP INC COM EXP 0 S		-1,750.00	100.00	0.00	100.00	55.0	55.00
08/29/2018	QGW034852	HOLMES, MEGAN		CALL 100 MIMEDX GROUP INC COM EXP 0 S		-5,500.00	75.00	0.00	75.00	55.0	41.25
				<b>* OPTIONS SUBTOTAL *</b>		<b>\$-7,250.00</b>	<b>\$175.00</b>	<b>\$0.00</b>	<b>\$175.00</b>		<b>\$96.25</b>

**PRODUCT CATEGORY: MISCELLANEOUS**

08/06/2018	VARIOUS, WINNICK			BARON CAPITAL	B	0.00	2,500.00	0.00	2,500.00	55.0	1,375.00
				<b>* MISCELLANEOUS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$2,500.00</b>	<b>\$0.00</b>	<b>\$2,500.00</b>		<b>\$1,375.00</b>
				<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$4,090,546.44</b>	<b>\$14,972.20</b>	<b>\$0.00</b>	<b>\$14,972.20</b>		<b>\$8,212.73</b>

**ADJUSTMENTS**

08/31/2018				COMMISSION INCOME: HEWES		0.00	0.00	0.00	0.00		-3,484.30
				<b>*** ADJUSTMENTS TOTAL ***</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-3,484.30</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$8,212.73
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-3,484.30
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-15.59
SIPC Assessment	\$-31.18

<b>Check Amount</b>	<b>\$4,681.66</b>
<b>Year-to-date Earnings</b>	<b>\$33,239.12</b>