

## COMMISSION STATEMENT

October 31, 2017

CHRISTOPHER HAMILTON

21 WEST STREET

APT 6J

NEW YORK, NY 10006

BROKER #: 14

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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

10/26/2017	75500508	HAMILTON, CHRISTOPHER VANECK VECTORS ETF TR GOLD MINERS E B		17,271.10	0.00	10.00	-10.00	80.0	-8.00
09/28/2017	75500514	HAMILTON, CHRISTOPHER SECTOR SPDR TRUST SBI CONSUMER STAP S		54,053.00	0.00	10.00	-10.00	80.0	-8.00
10/03/2017	75500514	HAMILTON, CHRISTOPHER VANECK VECTORS ETF TR OIL SVCS ETF B		49,106.10	0.00	10.00	-10.00	80.0	-8.00
10/13/2017	75500514	HAMILTON, CHRISTOPHER PROSHARES TR PROSHARES ULTRASHORT T B		34,987.00	0.00	10.00	-10.00	80.0	-8.00
10/18/2017	75500514	HAMILTON, CHRISTOPHER PROSHARES TR PROSHARES ULTRASHORT T S		35,260.00	0.00	10.00	-10.00	80.0	-8.00
10/23/2017	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF B		69,190.44	0.00	10.00	-10.00	80.0	-8.00
10/23/2017	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF B		138,384.00	0.00	10.00	-10.00	80.0	-8.00
10/24/2017	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF S		69,768.00	0.00	10.00	-10.00	80.0	-8.00
10/24/2017	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF S		139,536.00	0.00	10.00	-10.00	80.0	-8.00
10/24/2017	75500514	HAMILTON, CHRISTOPHER SECTOR SPDR TRUST SBI CONSUMER STAP B		53,848.00	0.00	10.00	-10.00	80.0	-8.00
10/25/2017	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF B		138,408.00	0.00	10.00	-10.00	80.0	-8.00
10/25/2017	75500514	HAMILTON, CHRISTOPHER SECTOR SPDR TRUST SBI CONSUMER STAP S		53,520.00	0.00	10.00	-10.00	80.0	-8.00
10/25/2017	75500514	HAMILTON, CHRISTOPHER VANECK VECTORS ETF TR OIL SVCS ETF B		46,796.00	0.00	10.00	-10.00	80.0	-8.00
10/25/2017	75500514	HAMILTON, CHRISTOPHER VANECK VECTORS ETF TR OIL SVCS ETF S		46,400.00	0.00	10.00	-10.00	80.0	-8.00
10/26/2017	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF B		69,576.00	0.00	10.00	-10.00	80.0	-8.00
10/26/2017	75500514	HAMILTON, CHRISTOPHER VANECK VECTORS ETF TR GOLD MINERS E B		24,673.00	0.00	10.00	-10.00	80.0	-8.00
10/27/2017	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF S		70,093.56	0.00	10.00	-10.00	80.0	-8.00
10/27/2017	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF S		140,136.00	0.00	10.00	-10.00	80.0	-8.00
10/24/2017	75500520	FAKLER FAMILY DUKE ENERGY CORPORATION HOLDING COM S		43,718.00	437.00	10.00	427.00	80.0	341.60
10/24/2017	75500520	FAKLER FAMILY SUEZ AMERICAN DEPOSITARY RECEIPTS U B		30,497.50	305.00	10.00	295.00	80.0	236.00
10/13/2017	75500527	KALOS, PAUL PNC FINANCIAL SVCS GROUP INC	S	105,000.00	50.00	10.00	40.00	80.0	32.00
10/16/2017	75500527	KALOS, PAUL PNC FINANCIAL SVCS GROUP INC	B	134,023.20	50.00	10.00	40.00	80.0	32.00
10/26/2017	75500529	KALOS, PAUL VANECK VECTORS ETF TR GOLD MINERS E B		24,673.00	50.00	10.00	40.00	80.0	32.00
10/26/2017	75500767	HAMILTON, DOUGLAS VANECK VECTORS ETF TR GOLD MINERS E B		6,280.40	15.00	10.00	5.00	80.0	4.00
10/04/2017	75500796	KARP, BETH CBAK ENERGY TECHNOLOGY INC COMMON S S		5,250.00	50.00	10.00	40.00	80.0	32.00
10/04/2017	75500814	KARLIN, RONALD CELSION CORP COM PAR NEW	B	4,162.40	75.00	10.00	65.00	80.0	52.00
10/10/2017	75500814	KARLIN, RONALD CELSION CORP COM PAR NEW	B	4,800.94	75.00	10.00	65.00	80.0	52.00
10/26/2017	75500816	KERN, DOUGLAS VANECK VECTORS ETF TR GOLD MINERS E B		36,785.20	50.00	10.00	40.00	80.0	32.00
10/16/2017	75500826	HORN, LAWRENCE CITIGROUP INC COM	S	12,212.82	20.00	10.00	10.00	80.0	8.00
10/16/2017	75500854	LERNER, PETER MANNKIND CORPORATION COMMON STOCK	B	113,528.51	200.00	10.00	190.00	80.0	152.00
10/16/2017	75500854	LERNER, PETER SPARK THERAPEUTICS INC COM	S	120,751.40	50.00	10.00	40.00	80.0	32.00

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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: STOCKS</u></b>									
09/28/2017	75500913 KARP, RONALD	ALCOBRA LTD SHS	B	6,040.00	25.00	10.00	15.00	80.0	12.00
09/28/2017	75500913 KARP, RONALD	ALCOBRA LTD SHS	B	10,500.00	50.01	10.00	40.01	80.0	32.01
09/28/2017	75500913 KARP, RONALD	APTEVO THERAPEUTICS INC COM	B	16,341.00	50.00	10.00	40.00	80.0	32.00
09/28/2017	75500913 KARP, RONALD	TOWNE BANK PORTSMOUTH VA	S	37,128.00	50.00	10.00	40.00	80.0	32.00
09/29/2017	75500913 KARP, RONALD	APTEVO THERAPEUTICS INC COM	B	10,431.90	50.00	10.00	40.00	80.0	32.00
09/29/2017	75500913 KARP, RONALD	BSQUARE CORPORATION	S	10,230.00	50.06	10.00	40.06	80.0	32.05
10/02/2017	75500913 KARP, RONALD	ARBUTUS BIOPHARMA CORP COM	S	14,300.00	50.00	10.00	40.00	80.0	32.00
10/03/2017	75500913 KARP, RONALD	ENDOCYTE INC	S	31,500.00	50.00	10.00	40.00	80.0	32.00
10/03/2017	75500913 KARP, RONALD	ENDOCYTE INC	S	36,540.00	58.00	10.00	48.00	80.0	38.40
10/06/2017	75500913 KARP, RONALD	APTEVO THERAPEUTICS INC COM	B	16,080.00	60.00	10.00	50.00	80.0	40.00
10/17/2017	75500913 KARP, RONALD	AMTECH SYSTEMS INC COM PAR \$0.01	S	88,201.60	58.00	10.00	48.00	80.0	38.40
10/19/2017	75500913 KARP, RONALD	APTEVO THERAPEUTICS INC COM	B	19,644.64	83.24	10.00	73.24	80.0	58.59
10/26/2017	75500921 CZECH, ERIC	VANECK VECTORS ETF TR GOLD MINERS E B	B	12,112.20	25.00	10.00	15.00	80.0	12.00
10/02/2017	75500931 RON KARP AND/OR	ARBUTUS BIOPHARMA CORP COM	S	42,799.80	60.00	10.00	50.00	80.0	40.00
10/17/2017	75500931 RON KARP AND/OR	AMTECH SYSTEMS INC COM PAR \$0.01	S	36,891.65	49.99	10.00	39.99	80.0	31.99
10/27/2017	75500947 BIEL, LYNN	DUKE ENERGY CORPORATION HOLDING COM S	S	21,823.40	567.00	10.00	557.00	80.0	445.60
10/27/2017	75500947 BIEL, LYNN	MACYS INC	B	30,385.50	333.00	10.00	323.00	80.0	258.40
10/27/2017	75501009 L BIEL & S	AT&T INC	B	23,601.79	259.00	10.00	249.00	80.0	199.20
10/27/2017	75501009 L BIEL & S	ENTERGY CORP NEW	S	30,079.28	782.00	10.00	772.00	80.0	617.60
10/02/2017	75501142 OLSEN, ALEXANDER	SOUTHERN CO	B	4,925.72	25.00	10.00	15.00	80.0	12.00
10/02/2017	75501142 OLSEN, ALEXANDER	STRATASYS LTD	B	5,002.87	25.00	10.00	15.00	80.0	12.00
10/02/2017	75501159 EISBERG, JAMES	EATON VANCE TAX MANAGED BUY WRITE O B	B	4,990.77	25.00	10.00	15.00	80.0	12.00
10/27/2017	75501159 EISBERG, JAMES	NOVARTIS AG AMERICAN DEPOSITARY SHA S	S	17,593.73	50.00	10.00	40.00	80.0	32.00
10/06/2017	75501341 GRAFSTEIN, LEO	COSTCO WHOLESALE CORP-NEW	B	78,676.80	50.00	10.00	40.00	80.0	32.00
10/18/2017	75501341 GRAFSTEIN, LEO	KRAFT HEINZ COMPANY (THE) COMMON ST B	B	77,167.00	50.00	10.00	40.00	80.0	32.00
10/02/2017	QGW019903 KARP, SELWYN	GENERAL ELECTRIC CO	B	49,110.00	60.00	10.00	50.00	80.0	40.00
09/29/2017	QGW019929 KARP, JEFFREY	RITE AID CORPORATION	B	10,075.00	75.00	10.00	65.00	80.0	52.00
10/10/2017	QGW019929 KARP, JEFFREY	ENDEAVOUR SILVER CORP	B	20,212.00	80.00	10.00	70.00	80.0	56.00
10/02/2017	QGW019937 KARP, BARBARA	GENERAL ELECTRIC CO	B	49,117.80	60.00	10.00	50.00	80.0	40.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$2,704,192.02</b>	<b>\$4,637.30</b>	<b>\$600.00</b>	<b>\$4,037.30</b>		<b>\$3,229.84</b>
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
10/16/2017	75500527 KALOS, PAUL	CALL PNC 02/16/18 115	S	20,700.00	50.00	10.00	40.00	80.0	32.00
<b>* OPTIONS SUBTOTAL *</b>				<b>\$20,700.00</b>	<b>\$50.00</b>	<b>\$10.00</b>	<b>\$40.00</b>		<b>\$32.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
10/10/2017	75500765 DIMAGGIO, PHILLIP	PIM 018919704	B	0.00	1.73	0.00	1.73	80.0	1.38
10/10/2017	75500765 DIMAGGIO, PHILLIP	PIMCO TOTAL RETURN CLASS A	B	0.00	3.52	0.00	3.52	80.0	2.82
10/25/2017	75500765 DIMAGGIO, PHILLIP	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.77	0.00	0.77	80.0	0.62
10/10/2017	75500766 HAMILTON, DOUGLAS	MFS EMERGING GROWTH FUND CLASS A	B	0.00	23.18	0.00	23.18	80.0	18.54

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
10/10/2017	75500779	DIPRIMA, ANTHONY	ROCH. LIMITED TERM NEW YORK MUNICIP	B	0.00	1.97	0.00	1.97	80.0	1.58
10/10/2017	75500779	DIPRIMA, ANTHONY	ROCHESTER FUND MUNICIPALS A	B	0.00	2.37	0.00	2.37	80.0	1.90
10/25/2017	75500779	DIPRIMA, ANTHONY	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.75	0.00	0.75	80.0	0.60
10/10/2017	75500780	DIPRIMA, ANTHONY	THE GROWTH FUND OF AMERICA-A	B	0.00	2.23	0.00	2.23	80.0	1.78
10/10/2017	75500781	DIPRIMA, ANTHONY	THE GROWTH FUND OF AMERICA-A	B	0.00	3.44	0.00	3.44	80.0	2.75
10/19/2017	75500796	KARP, BETH	**HEARTLAND VALUE FUND INC	B	0.00	124.94	0.00	124.94	80.0	99.95
10/25/2017	75500801	LYONS, MARIA	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.11	0.00	0.11	80.0	0.09
10/10/2017	75500826	HORN, LAWRENCE	**VIRTUS ENHANCED CORE EQUITY	B	0.00	5.52	0.00	5.52	80.0	4.42
10/10/2017	75500826	HORN, LAWRENCE	**VOYA EQUITY TR	B	0.00	5.09	0.00	5.09	80.0	4.07
10/10/2017	75500885	DEFRANCESCO, STEPHEN	ALLIANZ RCM TECHNOLOGY FUND CLASS A	B	0.00	0.93	0.00	0.93	80.0	0.74
10/10/2017	75500885	DEFRANCESCO, STEPHEN	COLUMBIA SELIGMAN COMMUNICATIONS AN	B	0.00	2.02	0.00	2.02	80.0	1.62
10/10/2017	75500885	DEFRANCESCO, STEPHEN	INVESCO AMERICAN FRANCHISE FUND CLA	B	0.00	2.75	0.00	2.75	80.0	2.20
10/25/2017	75500885	DEFRANCESCO, STEPHEN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.53	0.00	0.53	80.0	0.42
10/27/2017	75500885	DEFRANCESCO, STEPHEN	**SARATOGA HEALTH AND	B	0.00	0.23	0.00	0.23	80.0	0.18
10/19/2017	75500886	STRAUSS, HELENE	**HEARTLAND VALUE FUND INC	B	0.00	12.33	0.00	12.33	80.0	9.86
10/10/2017	75500942	KATEN, DOREEN	ALLIANZ RCM TECHNOLOGY FUND CLASS A	B	0.00	3.31	0.00	3.31	80.0	2.65
10/10/2017	75500942	KATEN, DOREEN	CAPITAL APPRECIATION A	B	0.00	3.64	0.00	3.64	80.0	2.91
10/10/2017	75500942	KATEN, DOREEN	FEDERATED INTERNATIONAL SMALL-COMPA	B	0.00	4.24	0.00	4.24	80.0	3.39
10/10/2017	75500942	KATEN, DOREEN	JOHN HANCOCK FDS III STRATEGIC GROW	B	0.00	5.99	0.00	5.99	80.0	4.79
10/10/2017	75500942	KATEN, DOREEN	JOHN HANCOCK FDS II NEW OPPORTUNITI	B	0.00	3.50	0.00	3.50	80.0	2.80
10/25/2017	75500942	KATEN, DOREEN	**VICTORY PORTFOLIOS MUNDER	B	0.00	5.15	0.00	5.15	80.0	4.12
10/27/2017	75500942	KATEN, DOREEN	**SARATOGA HEALTH AND	B	0.00	7.63	0.00	7.63	80.0	6.10
10/10/2017	75500943	KATEN, DOREEN	ALLIANZ RCM TECHNOLOGY FUND CLASS A	B	0.00	0.43	0.00	0.43	80.0	0.34
10/10/2017	75500947	BIEL, LYNN	EHV 27826L322	B	0.00	20.79	0.00	20.79	80.0	16.63
10/10/2017	75500947	BIEL, LYNN	FRANKLIN NEW YORK TAX-FREE INCOME F	B	0.00	19.06	0.00	19.06	80.0	15.25
10/10/2017	75500947	BIEL, LYNN	ROCHESTER FUND MUNICIPALS A	B	0.00	34.19	0.00	34.19	80.0	27.35
10/10/2017	75500947	BIEL, LYNN	WESTERN ASSET NEW YORK MUNICIPALS F	B	0.00	15.47	0.00	15.47	80.0	12.38
10/10/2017	75500965	BLASIUS, MARK	EATON VANCE TAX MANAGED GLOBAL DIVI	B	0.00	15.36	0.00	15.36	80.0	12.29
10/10/2017	75500965	BLASIUS, MARK	STRATEGIC INCOME A	B	0.00	36.55	0.00	36.55	80.0	29.24
10/10/2017	75500965	BLASIUS, MARK	US GLOBAL LEADERS GROWTH A	B	0.00	17.11	0.00	17.11	80.0	13.69
10/10/2017	75501063	GEVARYAHU, GILAD	AIM INTERMEDIATE GOVERNMENT FD - CL	B	0.00	7.02	0.00	7.02	80.0	5.62
10/10/2017	75501070	TAYLOR, ROBERT	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	2.03	0.00	2.03	80.0	1.62
10/10/2017	75501087	MARK & CHARLES	AIM GLOBAL HEALTH CARE FUND CLASS A	B	0.00	31.60	0.00	31.60	80.0	25.28
10/10/2017	75501087	MARK & CHARLES	EHV 277902813	B	0.00	17.40	0.00	17.40	80.0	13.92
10/10/2017	75501087	MARK & CHARLES	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	66.29	0.00	66.29	80.0	53.03
10/25/2017	75501087	MARK & CHARLES	**VICTORY PORTFOLIOS	B	0.00	29.12	0.00	29.12	80.0	23.30
10/10/2017	75501097	CARMAN, JOSEPH	FEDERATED MID CAP GROWTH STRATEGIES	B	0.00	3.29	0.00	3.29	80.0	2.63
10/10/2017	75501097	CARMAN, JOSEPH	FEDERATED INTERNATIONAL SMALL-COMPA	B	0.00	2.80	0.00	2.80	80.0	2.24
10/10/2017	75501118	BYRNE, MARY	PIONEER CULLEN VALUE FUND CLASS A	B	0.00	3.17	0.00	3.17	80.0	2.54
10/10/2017	75501118	BYRNE, MARY	PIONEER HIGH YIELD FUND A	B	0.00	5.09	0.00	5.09	80.0	4.07

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
10/10/2017	75501135 BIJARCHI, T MATTHEW	CALAMOS GROWTH AND INCOME CLASS A	B	0.00	27.41	0.00	27.41	80.0	21.93
10/10/2017	75501135 BIJARCHI, T MATTHEW	CALAMOS GROWTH FUND CLASS A	B	0.00	9.98	0.00	9.98	80.0	7.98
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$592.03</b>	<b>\$0.00</b>	<b>\$592.03</b>		<b>\$473.61</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$2,724,892.02</b>	<b>\$5,279.33</b>	<b>\$610.00</b>	<b>\$4,669.33</b>		<b>\$3,735.45</b>

**ADJUSTMENTS**

10/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
10/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-12.00
10/31/2017	OTHER: OTHER-DISABILITY INSURANCE	0.00	0.00	0.00	0.00	-2.04
10/31/2017	OTHER: OTHER-FICA AND METRO	0.00	0.00	0.00	0.00	-232.60
10/31/2017	OTHER: OTHER-WORKMAN COMP	0.00	0.00	0.00	0.00	-133.34
10/31/2017	OTHER: OTHER-IRENE	0.00	0.00	0.00	0.00	1,807.20
10/31/2017	OTHER: THOMSON	0.00	0.00	0.00	0.00	-112.86
10/31/2017	OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-55.66
<b>*** ADJUSTMENTS TOTAL ***</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$1,238.70</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$3,735.45
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$1,238.70
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-6.60
SIPC Assessment	\$-13.20

<b>Check Amount</b>	<b>\$4,954.35</b>
<b>Year-to-date Earnings</b>	<b>\$15,366.30</b>