

## COMMISSION STATEMENT

February 28, 2018

JOHN HEIDENREICH  
7 EAST 86TH ST  
APT 15B  
NEW YORK, NY 10028

BROKER #: R90 / /42  
BRANCH: HOME OFFICE

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
02/23/2018	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	S	2,000.00	0.00	0.00	0.00	65.0	0.00
02/15/2018	75501309	TOTTEN, ANN	SHORT-TERM BOND FUND OF AMERICA - A	B	45,766.64	0.00	0.00	0.00	65.0	0.00
02/15/2018	75501309	TOTTEN, ANN	THE GROWTH FUND OF AMERICA-A	S	45,766.64	0.00	0.00	0.00	65.0	0.00
02/22/2018	75501316	PIPER, CAROL	AMERICAN HIGH-INCOME TRUST-A	S	29,321.51	0.00	0.00	0.00	65.0	0.00
02/22/2018	75501316	PIPER, CAROL	FEDERATED HIGH INCOME BOND FUND	S	25,376.67	0.00	0.00	0.00	65.0	0.00
02/22/2018	75501316	PIPER, CAROL	FEDERATED TOTAL RETURN SERS INC ULT B	B	25,376.67	0.00	0.00	0.00	65.0	0.00
02/22/2018	75501316	PIPER, CAROL	FRANKLIN/TEMPLETON FUNDS 353612690	B	16,829.55	0.00	0.00	0.00	65.0	0.00
02/22/2018	75501316	PIPER, CAROL	FRK AGE HIGH INC FND - CL A	S	16,829.55	0.00	0.00	0.00	65.0	0.00
02/22/2018	75501316	PIPER, CAROL	SHORT-TERM BOND FUND OF AMERICA - A	B	29,321.51	0.00	0.00	0.00	65.0	0.00
02/22/2018	75501317	PIPER, CAROL	NEW PERSPECTIVE FUND-A	S	16,889.08	0.00	0.00	0.00	65.0	0.00
02/22/2018	75501317	PIPER, CAROL	SHORT-TERM BOND FUND OF AMERICA - A	B	16,889.08	0.00	0.00	0.00	65.0	0.00
02/23/2018	75501317	PIPER, CAROL	INVESCO ENDEAVOR FUND CL A	S	9,271.82	0.00	0.00	0.00	65.0	0.00
02/23/2018	75501317	PIPER, CAROL	INVESCO INVT FD MULT ASSET INCOME F B	B	9,271.82	0.00	0.00	0.00	65.0	0.00
02/07/2018	75501867	PAGAN, VIONA LYNN	DYNAMIC SMALL CAP FUND - A	S	105,030.78	0.00	0.00	0.00	65.0	0.00
02/07/2018	75501867	PAGAN, VIONA LYNN	JPMORGAN INFLATION MANAGED BOND FUN B	B	121,572.83	0.00	0.00	0.00	65.0	0.00
02/07/2018	75501867	PAGAN, VIONA LYNN	JPMORGAN TR II SHORT DURATION BD FD B	B	105,030.78	0.00	0.00	0.00	65.0	0.00
02/07/2018	75501867	PAGAN, VIONA LYNN	U.S. EQUITY FUND - A	S	121,572.83	0.00	0.00	0.00	65.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$742,117.76	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

02/05/2018	75501291	PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT	S	18,240.00	470.12	10.00	460.12	65.0	295.58
02/08/2018	75501291	PRESTON, MARGARITA	MEDICINOVA INC	B	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/15/2018	75501291	PRESTON, MARGARITA	MEDICINOVA INC	S	16,155.00	407.52	10.00	397.52	65.0	254.89
02/02/2018	75501292	JOE, HENRY	KADMON HOLDINGS INC COMMON STOCK \$0	S	7,785.00	225.00	10.00	215.00	65.0	136.25
02/05/2018	75501292	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT	S	21,280.20	300.00	10.00	290.00	65.0	185.00
02/08/2018	75501292	JOE, HENRY	MEDICINOVA INC	B	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/09/2018	75501292	JOE, HENRY	CYPRESS SEMICONDUCTOR CORP	B	12,382.85	200.00	10.00	190.00	65.0	120.00
02/14/2018	75501292	JOE, HENRY	MEDICINOVA INC	S	9,850.00	283.61	10.00	273.61	65.0	174.35
02/14/2018	75501292	JOE, HENRY	TWILIO INC CL A	S	18,864.00	375.82	10.00	365.82	65.0	234.28
02/15/2018	75501292	JOE, HENRY	MEDICINOVA INC	S	5,349.70	125.00	10.00	115.00	65.0	71.25
02/22/2018	75501292	JOE, HENRY	CYPRESS SEMICONDUCTOR CORP	S	13,632.00	280.00	10.00	270.00	65.0	172.00

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: STOCKS											
02/07/2018	75501293	JOE, HENRY		CREDIT SUISSE AG NASSAU BRH VELOCIT B	16,980.00	451.81	10.00	441.81	65.0	283.68	
02/08/2018	75501293	JOE, HENRY		CREDIT SUISSE AG NASSAU BRH VELOCIT S	19,502.60	250.00	10.00	240.00	65.0	152.50	
02/08/2018	75501293	JOE, HENRY		MEDICINOVA INC	B	9,050.00	0.00	10.00	-10.00	65.0	-10.00
02/09/2018	75501293	JOE, HENRY		PROSHARES ULTRA DOW30 ETF	B	24,688.64	210.00	10.00	200.00	65.0	126.50
02/12/2018	75501293	JOE, HENRY		PROSHARES ULTRA DOW30 ETF	S	26,066.00	210.00	10.00	200.00	65.0	126.50
02/14/2018	75501293	JOE, HENRY		MEDICINOVA INC	S	9,876.37	250.00	10.00	240.00	65.0	152.50
02/15/2018	75501293	JOE, HENRY		UNDER ARMOUR INC CLASS C COMMON STO S		13,216.00	200.00	10.00	190.00	65.0	120.00
02/21/2018	75501293	JOE, HENRY		CREDIT SUISSE AG NASSAU BRH VELOCIT B		16,835.30	250.00	10.00	240.00	65.0	152.50
02/07/2018	75501307	TOTTEN, ANN		HAIN CELESTIAL GROUP INC	S	7,110.20	166.28	10.00	156.28	65.0	98.08
02/08/2018	75501307	TOTTEN, ANN		MEDICINOVA INC	B	4,525.00	0.00	10.00	-10.00	65.0	-10.00
02/15/2018	75501307	TOTTEN, ANN		MEDICINOVA INC	S	5,360.00	169.92	10.00	159.92	65.0	100.45
02/15/2018	75501307	TOTTEN, ANN		UNDER ARMOUR INC CLASS C COMMON STO S		4,983.30	138.78	10.00	128.78	65.0	80.21
02/15/2018	75501307	TOTTEN, ANN		WELLS FARGO & CO	S	11,940.20	210.00	10.00	200.00	65.0	126.50
02/05/2018	75501313	HEIDENREICH, ROBERT		ENABLE MIDSTREAM PARTNERS LP COM UN B		14,978.50	250.00	10.00	240.00	65.0	152.50
02/07/2018	75501313	HEIDENREICH, ROBERT		ABERCROMBIE & FITCH CO-CL A	S	21,440.00	350.00	10.00	340.00	65.0	217.50
02/08/2018	75501313	HEIDENREICH, ROBERT		MEDICINOVA INC	B	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/14/2018	75501313	HEIDENREICH, ROBERT		DINEEQUITY INC	S	16,155.00	300.00	10.00	290.00	65.0	185.00
02/14/2018	75501313	HEIDENREICH, ROBERT		UNDER ARMOUR INC CLASS C COMMON STO S		9,684.00	180.00	10.00	170.00	65.0	107.00
02/16/2018	75501313	HEIDENREICH, ROBERT		MEDICINOVA INC	S	10,950.00	250.00	10.00	240.00	65.0	152.50
02/21/2018	75501313	HEIDENREICH, ROBERT		CREDIT SUISSE AG NASSAU BRH VELOCIT B		16,895.16	250.00	10.00	240.00	65.0	152.50
02/22/2018	75501316	PIPER, CAROL		NUVEEN CR OPPORTUNITIES 2022 TRGT T S		9,341.30	276.22	10.00	266.22	65.0	169.54
02/22/2018	75501316	PIPER, CAROL		PROSPECT CAPITAL CORPORATION	S	6,723.00	238.18	10.00	228.18	65.0	144.82
02/23/2018	75501316	PIPER, CAROL		ARMOUR RESIDENTIAL REIT INC COM	S	11,425.00	258.05	10.00	248.05	65.0	157.73
02/23/2018	75501316	PIPER, CAROL		MTGE INVESTMENT CORP COMMON STOCK	S	8,875.00	220.99	10.00	210.99	65.0	133.64
02/15/2018	75501325	ANN S TOTTEN		VOYA GLOBAL EQUITY DIVIDEND AND PRE S		1,700.02	85.00	10.00	75.00	65.0	45.25
02/07/2018	75502119	COHEN, MICHAEL		CREDIT SUISSE AG NASSAU BRH VELOCIT B		17,997.17	466.59	10.00	456.59	65.0	293.28
02/08/2018	75502119	COHEN, MICHAEL		CREDIT SUISSE AG NASSAU BRH VELOCIT S		19,864.84	250.00	10.00	240.00	65.0	152.50
02/09/2018	75502119	COHEN, MICHAEL		CREDIT SUISSE AG NASSAU BRH VELOCIT B		24,519.80	250.00	10.00	240.00	65.0	152.50
02/09/2018	75502119	COHEN, MICHAEL		CREDIT SUISSE AG NASSAU BRH VELOCIT S		13,644.30	150.00	10.00	140.00	65.0	87.50
02/09/2018	75502119	COHEN, MICHAEL		CREDIT SUISSE AG NASSAU BRH VELOCIT S		26,300.00	150.00	10.00	140.00	65.0	87.50
02/16/2018	75502119	COHEN, MICHAEL		CREDIT SUISSE AG NASSAU BRH VELOCIT B		16,117.60	439.28	10.00	429.28	65.0	275.53
02/21/2018	75502119	COHEN, MICHAEL		EXELON CORPORATION	S	15,083.04	314.17	10.00	304.17	65.0	194.21
02/21/2018	75502119	COHEN, MICHAEL		FIRSTENERGY CORP	S	8,054.22	209.22	10.00	199.22	65.0	125.99
02/20/2018	QGW008039	STEFANO, MARGARET		AMERICAN INTERNATIONAL GROUP INC	S	-601.31	50.00	10.00	40.00	65.0	22.50
02/20/2018	QGW008039	STEFANO, MARGARET		AT&T INC	S	-11,026.02	172.93	10.00	162.93	65.0	102.40
02/20/2018	QGW008039	STEFANO, MARGARET		ATLANTIC POWER CORPORATION	S	-1,215.00	68.97	10.00	58.97	65.0	34.83
02/20/2018	QGW008039	STEFANO, MARGARET		COCA COLA COMPANY (THE)	S	-8,802.80	140.63	10.00	130.63	65.0	81.41
02/20/2018	QGW008039	STEFANO, MARGARET		CONSOLIDATED EDISON INC	S	-7,632.10	80.73	10.00	70.73	65.0	42.47
02/20/2018	QGW008039	STEFANO, MARGARET		EXELON CORPORATION	S	-7,530.86	126.41	10.00	116.41	65.0	72.17
02/20/2018	QGW008039	STEFANO, MARGARET		FRONTIER COMMUNICATIONS CORPORATION S		-26.18	5.00	10.00	-5.00	65.0	-6.75

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
02/20/2018	QGW008039	STEFANO, MARGARET	INTERNATIONAL BUSINESS MACHINES COR S	-62,086.72	322.92	10.00	312.92	65.0	199.90
02/20/2018	QGW008039	STEFANO, MARGARET	WTS AMERICAN INTERNATIONAL GROUP IN S	-98.05	20.00	10.00	10.00	65.0	3.00
02/21/2018	QGW008039	STEFANO, MARGARET	BLACKROCK N Y MUN INCOME TR SH BEN S	-5,340.00	116.82	10.00	106.82	65.0	65.93
02/21/2018	QGW008039	STEFANO, MARGARET	GENERAL ELECTRIC CO	S	-5,853.44	122.56	112.56	65.0	69.66
02/21/2018	QGW008039	STEFANO, MARGARET	ISHARES SILVER SHARES	S	-1,562.27	50.00	40.00	65.0	22.50
02/21/2018	QGW008039	STEFANO, MARGARET	J P MORGAN CHASE & CO	S	-11,568.34	80.73	70.73	65.0	42.47
02/21/2018	QGW008039	STEFANO, MARGARET	KELLOGG COMPANY	S	-6,890.71	80.73	70.73	65.0	42.47
02/21/2018	QGW008039	STEFANO, MARGARET	REALTY INCOME CORP	S	-9,798.46	151.76	141.76	65.0	88.64
02/21/2018	QGW008039	STEFANO, MARGARET	VERIZON COMMUNICATIONS	S	-19,524.00	275.37	265.37	65.0	168.99
02/21/2018	QGW008039	STEFANO, MARGARET	WELLTOWER INC COM	S	-10,902.72	161.46	151.46	65.0	94.95
02/22/2018	QGW008039	STEFANO, MARGARET	NUVEEN S&P 500 DYNAMIC OVERWRITE FU S	-7,080.00	136.27	10.00	126.27	65.0	78.58
02/23/2018	QGW008039	STEFANO, MARGARET	NUVEEN INSURED N Y SELECT TAX-FREE S	-2,550.00	62.65	10.00	52.65	65.0	30.72
02/08/2018	QGW030355	GOULD, PETER	MEDICINOVA INC	B	9,050.00	325.80	315.80	65.0	201.77
02/09/2018	QGW030355	GOULD, PETER	PIERIS PHARMACEUTICALS INC COM SHS S	-21,375.00	410.17	10.00	400.17	65.0	256.61
02/08/2018	QGW033367	NAUMOV, GEORGE	MEDICINOVA INC	B	14,480.00	521.28	511.28	65.0	328.83
02/21/2018	QGW033367	NAUMOV, GEORGE	MEDICINOVA INC	S	-17,120.00	250.00	240.00	65.0	152.50
01/30/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-899.30	39.10	29.10	65.0	15.42
01/30/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-2,875.00	125.00	115.00	65.0	71.25
01/31/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,345.70	401.40	391.40	65.0	250.91
01/31/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	6,345.70	-401.40	-391.40	65.0	-250.91 C
01/31/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,345.70	401.40	391.40	65.0	250.91
01/31/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	6,345.70	-401.40	-391.40	65.0	-250.91 C
01/31/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,345.70	300.00	290.00	65.0	185.00
02/06/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-10,736.96	447.28	437.28	65.0	280.73
02/07/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-9,713.46	459.00	449.00	65.0	288.35
02/08/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,803.00	225.00	215.00	65.0	136.25
02/08/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,800.00	225.00	215.00	65.0	136.25
02/12/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-1,425.00	67.50	57.50	65.0	33.88
02/14/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-20,220.40	940.10	930.10	65.0	601.07
02/16/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-5,500.00	250.00	240.00	65.0	152.50
* STOCKS SUBTOTAL *				\$341,772.51	\$16,872.73	\$770.00	\$16,102.73		\$10,197.26

**PRODUCT CATEGORY: OPTIONS**

01/31/2018	75501291	PRESTON, MARGARITA	CALL PFE	02/16/18	36	B	4,290.00	150.00	10.00	140.00	65.0	87.50
02/01/2018	75501291	PRESTON, MARGARITA	CALL SPY	01/20/17	222	B	1,350.00	50.00	10.00	40.00	65.0	22.50
02/02/2018	75501291	PRESTON, MARGARITA	CALL PFE	03/16/18	36	S	3,750.00	150.00	10.00	140.00	65.0	87.50
02/02/2018	75501291	PRESTON, MARGARITA	CALL SPY	01/20/17	222	S	1,800.00	75.00	10.00	65.00	65.0	38.75
02/05/2018	75501291	PRESTON, MARGARITA	CALL PFE	03/16/18	36	B	2,850.00	100.00	10.00	90.00	65.0	55.00
02/05/2018	75501291	PRESTON, MARGARITA	CALL PFE	02/09/18	36	B	1,620.00	75.00	10.00	65.00	65.0	38.75
02/06/2018	75501291	PRESTON, MARGARITA	CALL PFE	02/16/18	35	B	1,350.00	50.00	10.00	40.00	65.0	22.50

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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: OPTIONS</u></b>									
02/06/2018	75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 35	S	2,250.00	75.00	10.00	65.00	65.0	38.75
02/07/2018	75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 35.50	S	1,200.00	50.00	10.00	40.00	65.0	22.50
02/07/2018	75501291 PRESTON, MARGARITA	CALL PFE 02/09/18 36	S	300.00	25.00	10.00	15.00	65.0	6.25
02/09/2018	75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 34	B	1,410.00	60.00	10.00	50.00	65.0	29.00
02/09/2018	75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 34	S	1,860.00	75.00	10.00	65.00	65.0	38.75
02/13/2018	75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 34.50	B	1,800.00	75.00	10.00	65.00	65.0	38.75
02/15/2018	75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 34.50	S	3,150.00	157.50	10.00	147.50	65.0	92.38
02/16/2018	75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 35.50	B	3,000.00	100.00	10.00	90.00	65.0	55.00
02/20/2018	75501291 PRESTON, MARGARITA	CALL PFE 03/16/18 35	S	4,800.00	150.00	10.00	140.00	65.0	87.50
02/27/2018	75501291 PRESTON, MARGARITA	CALL PFE 03/16/18 36	S	3,300.00	150.00	10.00	140.00	65.0	87.50
02/07/2018	QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 02-0 S		-1,050.00	94.22	10.00	84.22	65.0	51.24
02/08/2018	QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 02-0 B		2,500.00	50.00	10.00	40.00	65.0	22.50
<b>* OPTIONS SUBTOTAL *</b>				<b>\$41,530.00</b>	<b>\$1,711.72</b>	<b>\$190.00</b>	<b>\$1,521.72</b>		<b>\$922.62</b>

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

02/09/2018	75501290 PRESTON, MARGARITA	FRANKLIN INCOME FUND CLASS A	B	0.00	2.14	0.00	2.14	65.0	1.39
02/09/2018	75501290 PRESTON, MARGARITA	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	5.80	0.00	5.80	65.0	3.77
02/09/2018	75501290 PRESTON, MARGARITA	THE INCOME FUND OF AMERICA-A	B	0.00	8.60	0.00	8.60	65.0	5.59
02/09/2018	75501290 PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	9.61	0.00	9.61	65.0	6.25
02/09/2018	75501291 PRESTON, MARGARITA	AMERICAN HIGH-INCOME TRUST-A	B	0.00	5.32	0.00	5.32	65.0	3.46
02/09/2018	75501291 PRESTON, MARGARITA	NUVEEN FLAGSHIP MUN TR HIGH YIELD M B		0.00	8.10	0.00	8.10	65.0	5.27
02/09/2018	75501291 PRESTON, MARGARITA	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	19.39	0.00	19.39	65.0	12.60
02/09/2018	75501293 JOE, HENRY	FRK NATURAL RES FND - CL A	B	0.00	0.94	0.00	0.94	65.0	0.61
02/09/2018	75501293 JOE, HENRY	INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	3.94	0.00	3.94	65.0	2.56
02/09/2018	75501305 BUNIN, ARLENE	FRANKLIN INCOME FUND CLASS A	B	0.00	5.85	0.00	5.85	65.0	3.80
02/09/2018	75501305 BUNIN, ARLENE	FRK AGE HIGH INC FND - CL A	B	0.00	11.71	0.00	11.71	65.0	7.61
02/09/2018	75501305 BUNIN, ARLENE	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	34.66	0.00	34.66	65.0	22.53
02/09/2018	75501307 TOTTEN, ANN	FRANKLIN INCOME FUND CLASS A	B	0.00	18.56	0.00	18.56	65.0	12.06
02/09/2018	75501307 TOTTEN, ANN	THE BOND FUND OF AMERICA-A	B	0.00	9.97	0.00	9.97	65.0	6.48
02/09/2018	75501307 TOTTEN, ANN	THE INCOME FUND OF AMERICA-A	B	0.00	15.00	0.00	15.00	65.0	9.75
02/09/2018	75501308 ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A	B	0.00	5.03	0.00	5.03	65.0	3.27
02/09/2018	75501308 ANN S TOTTEN	MUTUAL DISC FND - CL A	B	0.00	4.04	0.00	4.04	65.0	2.63
02/09/2018	75501309 TOTTEN, ANN	FRANKLIN INCOME FUND CLASS A	B	0.00	6.93	0.00	6.93	65.0	4.50
02/09/2018	75501309 TOTTEN, ANN	THE GROWTH FUND OF AMERICA-A	B	0.00	9.72	0.00	9.72	65.0	6.32
02/09/2018	75501309 TOTTEN, ANN	THE NEW ECONOMY FUND-A	B	0.00	9.28	0.00	9.28	65.0	6.03
02/09/2018	75501310 MARGARITA F PRESTON	FRANKLIN INCOME FUND CLASS A	B	0.00	3.40	0.00	3.40	65.0	2.21
02/09/2018	75501310 MARGARITA F PRESTON	MAINSTAY HIGH-YIELD CORPORATE BOND B		0.00	23.00	0.00	23.00	65.0	14.95
02/09/2018	75501310 MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL B		0.00	15.82	0.00	15.82	65.0	10.28
02/09/2018	75501310 MARGARITA F PRESTON	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	13.19	0.00	13.19	65.0	8.57
02/09/2018	75501310 MARGARITA F PRESTON	THE INCOME FUND OF AMERICA-A	B	0.00	7.82	0.00	7.82	65.0	5.08

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
02/09/2018	75501311	HEIDENREICH, CHARLYN	DELAWARE SELECT GROWTH FUND A CLASS B	0.00	2.38	0.00	2.38	65.0	1.55
02/09/2018	75501312	HEIDENREICH, CHARLYN	DELAWARE INVESTMENTS DIVERSIFIED IN B	0.00	1.50	0.00	1.50	65.0	0.98
02/09/2018	75501312	HEIDENREICH, CHARLYN	FRANKLIN U.S. GOVERNMENT SECURITIES B	0.00	0.78	0.00	0.78	65.0	0.51
02/09/2018	75501312	HEIDENREICH, CHARLYN	INTERMEDIATE BOND FUND OF AMERICA-A B	0.00	2.84	0.00	2.84	65.0	1.85
02/09/2018	75501312	HEIDENREICH, CHARLYN	THE INVESTMENT COMPANY OF AMERICA-A B	0.00	3.38	0.00	3.38	65.0	2.20
02/09/2018	75501313	HEIDENREICH, ROBERT	FRANKLIN INCOME FUND CLASS A B	0.00	11.29	0.00	11.29	65.0	7.34
02/09/2018	75501313	HEIDENREICH, ROBERT	FRANKLIN/TEMPLETON FUNDS 353612690 B	0.00	13.79	0.00	13.79	65.0	8.96
02/09/2018	75501313	HEIDENREICH, ROBERT	GOLDMAN SACHS TR SHORT DURATION INC B	0.00	13.47	0.00	13.47	65.0	8.76
02/09/2018	75501313	HEIDENREICH, ROBERT	THE BOND FUND OF AMERICA-A B	0.00	9.63	0.00	9.63	65.0	6.26
02/09/2018	75501314	COHEN, GLADYS	EATON VANCE NATIONAL MUNICIPAL FUND B	0.00	95.05	0.00	95.05	65.0	61.78
02/09/2018	75501314	COHEN, GLADYS	FRANKLIN NEW YORK TAX-FREE INCOME F B	0.00	38.71	0.00	38.71	65.0	25.16
02/09/2018	75501314	COHEN, GLADYS	GOLDMAN SACHS DYNAMIC MUNICIPAL INC B	0.00	91.13	0.00	91.13	65.0	59.23
02/09/2018	75501314	COHEN, GLADYS	GOLDMAN SACHS HIGH YIELD MUNICIPAL B	0.00	54.68	0.00	54.68	65.0	35.54
02/09/2018	75501314	COHEN, GLADYS	ROCH. LIMITED TERM NEW YORK MUNICIP B	0.00	34.74	0.00	34.74	65.0	22.58
02/09/2018	75501314	COHEN, GLADYS	ROCHESTER NATIONAL MUNICIPALS A B	0.00	43.73	0.00	43.73	65.0	28.42
02/09/2018	75501316	PIPER, CAROL	AMERICAN HIGH-INCOME TRUST-A B	0.00	6.32	0.00	6.32	65.0	4.11
02/09/2018	75501316	PIPER, CAROL	FEDERATED HIGH INCOME BOND FUND B	0.00	5.50	0.00	5.50	65.0	3.58
02/09/2018	75501316	PIPER, CAROL	FRANKLIN INCOME FUND CLASS A B	0.00	8.11	0.00	8.11	65.0	5.27
02/09/2018	75501316	PIPER, CAROL	FRK AGE HIGH INC FND - CL A B	0.00	2.19	0.00	2.19	65.0	1.42
02/09/2018	75501316	PIPER, CAROL	GOLDMAN SACHS HIGH YIELD FUND CL A B	0.00	6.75	0.00	6.75	65.0	4.39
02/09/2018	75501317	PIPER, CAROL	FRANKLIN INCOME FUND CLASS A B	0.00	1.25	0.00	1.25	65.0	0.81
02/09/2018	75501317	PIPER, CAROL	NEW PERSPECTIVE FUND-A B	0.00	3.63	0.00	3.63	65.0	2.36
02/09/2018	75501324	HEIDENREICH, CHARLYN	FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	0.00	3.78	0.00	3.78	65.0	2.46
02/09/2018	75501325	ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A B	0.00	2.46	0.00	2.46	65.0	1.60
02/09/2018	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR I B	0.00	6.36	0.00	6.36	65.0	4.13
02/09/2018	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR II B	0.00	26.54	0.00	26.54	65.0	17.25
02/09/2018	75501867	PAGAN, VIONA LYNN	DYNAMIC SMALL CAP FUND - A B	0.00	23.13	0.00	23.13	65.0	15.03
02/09/2018	75501867	PAGAN, VIONA LYNN	FIDELITY ADV TECHNOLOGY CL A B	0.00	13.89	0.00	13.89	65.0	9.03
02/09/2018	75501867	PAGAN, VIONA LYNN	GROWTH AND INCOME FUND - A B	0.00	20.42	0.00	20.42	65.0	13.27
02/09/2018	75501867	PAGAN, VIONA LYNN	SMALL CAP EQUITY FUND - A B	0.00	4.51	0.00	4.51	65.0	2.93
02/09/2018	75501867	PAGAN, VIONA LYNN	U.S. EQUITY FUND - A B	0.00	26.86	0.00	26.86	65.0	17.46
02/09/2018	75502119	COHEN, MICHAEL	ALLIANCEBERNSTEIN MUNI INCOME-NY A B	0.00	39.82	0.00	39.82	65.0	25.88
02/09/2018	75502119	COHEN, MICHAEL	EATON VANCE NATIONAL MUNICIPAL FUND B	0.00	16.19	0.00	16.19	65.0	10.52
02/09/2018	75502119	COHEN, MICHAEL	EHV 27826L322 B	0.00	24.61	0.00	24.61	65.0	16.00
02/09/2018	75502119	COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL B	0.00	32.56	0.00	32.56	65.0	21.16
02/09/2018	75502119	COHEN, MICHAEL	NUVEEN NEW YORK MUNI BOND A B	0.00	58.80	0.00	58.80	65.0	38.22
02/09/2018	75502119	COHEN, MICHAEL	ROCHESTER NATIONAL MUNICIPALS A B	0.00	11.26	0.00	11.26	65.0	7.32
02/09/2018	75502119	COHEN, MICHAEL	ROCHESTER FUND MUNICIPALS A B	0.00	29.81	0.00	29.81	65.0	19.38
02/09/2018	75502119	COHEN, MICHAEL	THE BOND FUND OF AMERICA-A B	0.00	15.84	0.00	15.84	65.0	10.30
02/22/2018	QGW008005	SCHULZ, CARL	ROCH. LIMITED TERM NEW YORK MUNICIP B	0.00	12.87	0.00	12.87	65.0	8.37

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>									
02/22/2018	QGW008005	SCHULZ, CARL		ROCHESTER FUND MUNICIPALS A	B	0.00	70.08	0.00	70.08 65.0 45.55
02/22/2018	QGW008039	STEFANO, MARGARET		ROCHESTER FUND MUNICIPALS A	B	0.00	3.26	0.00	3.26 65.0 2.12
02/16/2018	QGW008047	DOUGHERTY, JANE		HIGH YIELD A	B	0.00	1.12	0.00	1.12 65.0 0.73
02/22/2018	QGW008047	DOUGHERTY, JANE		ROCHESTER NATIONAL MUNICIPALS A	B	0.00	6.69	0.00	6.69 65.0 4.35
02/22/2018	QGW023798	OLSSON, RITA		CAPITAL APPRECIATION A	B	0.00	0.58	0.00	0.58 65.0 0.38
02/21/2018	QGW023814	STEFANO, MARGARET		EUROPACIFIC GROWTH FUND-A	B	0.00	0.59	0.00	0.59 65.0 0.38
02/21/2018	QGW023814	STEFANO, MARGARET		THE GROWTH FUND OF AMERICA-A	B	0.00	2.70	0.00	2.70 65.0 1.76
02/13/2018	QGW023848	BYRNE, GERARD		MFS INTERNTL DIVERSIFICATION FUND-A	B	0.00	2.95	0.00	2.95 65.0 1.92
02/16/2018	QGW030595	COHEN, MICHAEL		GOLDMAN SACHS HIGH YIELD MUNICIPAL	B	0.00	16.93	0.00	16.93 65.0 11.00
02/22/2018	QGW030595	COHEN, MICHAEL		FRANKLIN FEDERAL TAX FREE INCOME FU	B	0.00	4.09	0.00	4.09 65.0 2.66
02/22/2018	QGW030595	COHEN, MICHAEL		FRANKLIN INCOME FUND CLASS A	B	0.00	11.47	0.00	11.47 65.0 7.46
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$1,198.84</b>	<b>\$0.00</b>	<b>\$1,198.84</b>		<b>\$779.25</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$1,125,420.27</b>	<b>\$19,783.29</b>	<b>\$960.00</b>	<b>\$18,823.29</b>		<b>\$11,899.13</b>

**ADJUSTMENTS**

02/28/2018		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00		-3,300.00
02/28/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
02/28/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-12.00
02/28/2018		OTHER: OTHER-EXTRA RBC CHARGES		0.00	0.00	0.00	0.00		-87.50
02/28/2018		OTHER: OTHER--TICKETS CHARGES ON ME		0.00	0.00	0.00	0.00		70.00
02/28/2018		OTHER: OTHER-RBC MEDICINOVA		0.00	0.00	0.00	0.00		977.00
02/28/2018		OTHER: OTHER-PERSHING TOOK 65% OF M		0.00	0.00	0.00	0.00		-127.06
02/28/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
02/28/2018		OTHER: QUODD		0.00	0.00	0.00	0.00		-170.35
02/28/2018		OTHER: WEALTH MANAGEMENT STATION		0.00	0.00	0.00	0.00		-25.00
<b>*** ADJUSTMENTS TOTAL ***</b>				<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-2,749.35</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$11,899.13
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2,749.35
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-24.73
SIPC Assessment	\$-49.46

<b>Check Amount</b>	<b>\$9,075.59</b>
<b>Year-to-date Earnings</b>	<b>\$13,065.45</b>