

## COMMISSION STATEMENT

October 31, 2017

ANDREW STUART SACHS

1 DEVONSHIRE COURT

PLAINVIEW, NY 11803

BROKER #: 5

BRANCH: HOME OFFICE

## COMMISSION STATEMENT for ANDREW STUART SACHS

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

10/25/2017	QGW032013	STROPE, DALE		MOMO INC ADR	S	-8,043.75	50.00	0.00	50.00	82.5	41.25
10/03/2017	QGW032021	JONES, HARVEY		TEVA PHARMACEUTICAL INDUSTRIES LIM B		15,000.00	400.00	0.00	400.00	82.5	330.00
10/24/2017	QGW032047	SHIER, ANDY		FAT BRANDS INC COMMON STOCK	S	-5,150.00	50.00	0.00	50.00	82.5	41.25
10/27/2017	QGW032047	SHIER, ANDY		AXALTA COATING SYSTEMS LTD SHS ISIN S		-30,600.00	385.00	0.00	385.00	82.5	317.63
10/26/2017	QGW032054	PAEGLOW, JOSEPH		GLAXOSMITHKLINE PLC SPONSORED ADR(F B		25,900.00	750.00	0.00	750.00	82.5	618.75
10/02/2017	QGW032104	DAVIDOV, WILLIAM		BOYD GAMING CORP	B	3,900.00	40.00	0.00	40.00	82.5	33.00
10/02/2017	QGW032104	DAVIDOV, WILLIAM		MOMO INC ADR	S	-3,200.00	35.00	0.00	35.00	82.5	28.88
10/05/2017	QGW032104	DAVIDOV, WILLIAM		AMAZON.COM INC	B	2,941.50	40.00	0.00	40.00	82.5	33.00
10/05/2017	QGW032104	DAVIDOV, WILLIAM		APOLLO GLOBAL MANAGEMENT LLC CL A S S		-1,530.00	40.00	0.00	40.00	82.5	33.00
10/05/2017	QGW032104	DAVIDOV, WILLIAM		MACYS INC	B	4,220.00	40.00	0.00	40.00	82.5	33.00
10/05/2017	QGW032104	DAVIDOV, WILLIAM		MGM RESORTS INTL COM	S	-5,899.52	40.00	0.00	40.00	82.5	33.00
10/06/2017	QGW032104	DAVIDOV, WILLIAM		AGILENT TECHNOLOGIES INC	S	-3,945.00	40.00	0.00	40.00	82.5	33.00
10/09/2017	QGW032104	DAVIDOV, WILLIAM		VIRCO MFG CO	S	-2,589.75	20.00	0.00	20.00	82.5	16.50
10/11/2017	QGW032104	DAVIDOV, WILLIAM		SQUARE INC CLASS A COM	B	3,199.00	30.00	0.00	30.00	82.5	24.75
10/13/2017	QGW032104	DAVIDOV, WILLIAM		SMART GLOBAL HLDGS INC SHS	S	-5,395.50	40.00	0.00	40.00	82.5	33.00
10/24/2017	QGW032104	DAVIDOV, WILLIAM		ADVANCED MICRO DEVICES INC	B	2,856.00	35.00	0.00	35.00	82.5	28.88
10/24/2017	QGW032104	DAVIDOV, WILLIAM		MACYS INC	S	-4,280.00	35.00	0.00	35.00	82.5	28.88
10/26/2017	QGW032104	DAVIDOV, WILLIAM		KKR & CO L P DEL COM UNITS	S	-4,070.00	40.00	0.00	40.00	82.5	33.00
10/27/2017	QGW032104	DAVIDOV, WILLIAM		SMART GLOBAL HLDGS INC SHS	S	-4,260.00	50.00	0.00	50.00	82.5	41.25
10/27/2017	QGW032104	DAVIDOV, WILLIAM		SQUARE INC CLASS A COM	B	1,756.00	20.00	0.00	20.00	82.5	16.50
10/25/2017	QGW032112	CIARLO, ANTHONY		MOMO INC ADR	S	-7,525.00	75.00	0.00	75.00	82.5	61.88
10/27/2017	QGW032112	CIARLO, ANTHONY		ALIBABA GROUP HOLDING LTD SPONSORED S		-12,194.00	200.00	0.00	200.00	82.5	165.00
10/06/2017	QGW032120	DAVIDOV, WILLIAM		AGILENT TECHNOLOGIES INC	S	-4,145.40	40.00	0.00	40.00	82.5	33.00
10/09/2017	QGW032120	DAVIDOV, WILLIAM		KEMET CORP COM NEW	B	2,475.00	35.00	0.00	35.00	82.5	28.88
10/11/2017	QGW032120	DAVIDOV, WILLIAM		ZTO EXPRESSCAYMAN INC SPONS ADR	B	1,510.00	25.00	0.00	25.00	82.5	20.63
10/26/2017	QGW032153	LONGWORTH, RICHARD		CAESARS ENTERTAINMENT CORPORATION	S	-5,675.00	150.00	0.00	150.00	82.5	123.75
10/25/2017	QGW032195	NERY, GENEROSO		MOMO INC ADR	S	-8,565.90	75.00	0.00	75.00	82.5	61.88
10/27/2017	QGW032195	NERY, GENEROSO		JD.COM INC SPONSORED ADR REPSTG COM S		-9,965.26	75.00	0.00	75.00	82.5	61.88
10/05/2017	QGW032229	WATSON, ROGER		ADAMIS PHARMACEUTICALS CORP COM NEW B		5,339.30	50.00	0.00	50.00	82.5	41.25
10/05/2017	QGW032229	WATSON, ROGER		MOMO INC ADR	S	-1,553.50	45.00	0.00	45.00	82.5	37.13
10/24/2017	QGW032229	WATSON, ROGER		FAT BRANDS INC COMMON STOCK	S	-4,520.00	50.00	0.00	50.00	82.5	41.25

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
10/26/2017	QGW032229	WATSON, ROGER		MOMO INC ADR	S	-5,860.00	50.00	0.00	50.00 82.5 41.25
10/02/2017	QGW032237	PETERSON, SHAWN		JD.COM INC SPONSORED ADR REPSTG COM	S	-11,700.00	75.00	0.00	75.00 82.5 61.88
10/05/2017	QGW032237	PETERSON, SHAWN		TEVA PHARMACEUTICAL INDUSTRIES LIM	S	-11,060.00	75.00	0.00	75.00 82.5 61.88
10/12/2017	QGW032237	PETERSON, SHAWN		ZTO EXPRESSCAYMAN INC SPONS ADR	B	15,590.00	400.00	0.00	400.00 82.5 330.00
10/25/2017	QGW032237	PETERSON, SHAWN		MOMO INC ADR	S	-9,018.72	75.00	0.00	75.00 82.5 61.88
09/28/2017	QGW032245	D'ADAMO, WILLIAM		KRATOS DEFENSE & SEC SOLUTIONS	B	9,191.00	100.00	0.00	100.00 82.5 82.50
10/03/2017	QGW032260	BRENENBORG, DAVID		TORONTO-DOMINION BANK	S	-9,744.91	200.00	0.00	200.00 82.5 165.00
10/04/2017	QGW032260	BRENENBORG, DAVID		ALIBABA GROUP HOLDING LTD SPONSORED	B	10,017.28	295.00	0.00	295.00 82.5 243.38
10/26/2017	QGW032344	DYKSTRA, JAMES		JD.COM INC SPONSORED ADR REPSTG COM	S	-9,255.75	100.00	0.00	100.00 82.5 82.50
10/25/2017	QGW032468	HUNDLEY, MICHAEL		GILEAD SCIENCES INC	S	-4,762.20	75.00	0.00	75.00 82.5 61.88
10/25/2017	QGW033151	DEROIN, JOHN		MOMO INC ADR	S	-4,938.50	65.00	0.00	65.00 82.5 53.63
10/13/2017	QGW033581	RYKEN, MICHAEL		KINDER MORGAN INC	S	-10,716.00	75.00	0.00	75.00 82.5 61.88
10/13/2017	QGW033870	BROWN, KENNETH		TEVA PHARMACEUTICAL INDUSTRIES LIM	S	-11,512.00	75.00	0.00	75.00 82.5 61.88
10/25/2017	QGW033870	BROWN, KENNETH		MOMO INC ADR	S	-8,712.90	100.00	0.00	100.00 82.5 82.50
10/27/2017	QGW034100	SOMOGYI, ANTHONY		ALIBABA GROUP HOLDING LTD SPONSORED	S	-7,224.00	50.00	0.00	50.00 82.5 41.25
09/29/2017	QGW038580	AYOTTE, BETTY		FORD MOTOR CO PAR \$0.01	S	-7,080.00	75.00	0.00	75.00 82.5 61.88
10/04/2017	QGW038580	AYOTTE, BETTY		APPLE INC	B	8,387.50	120.00	0.00	120.00 82.5 99.00
				<b>* STOCKS SUBTOTAL *</b>		<b>\$-132,409.98</b>	<b>\$5,005.00</b>	<b>\$0.00</b>	<b>\$5,005.00 \$4,129.22</b>
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
10/02/2017	QGW032674	ONESTO, RICHARD		CALL 100 MAZOR ROBOTICS LTD SPONSOR	B	4,250.00	35.00	0.00	35.00 82.5 28.88
10/16/2017	QGW032674	ONESTO, RICHARD		CALL 100 APPLE INC COM EXP 12-15-17	S	-560.00	30.00	0.00	30.00 82.5 24.75
				<b>* OPTIONS SUBTOTAL *</b>		<b>\$3,690.00</b>	<b>\$65.00</b>	<b>\$0.00</b>	<b>\$65.00 \$53.63</b>
<b><u>PRODUCT CATEGORY: MISCELLANEOUS</u></b>									
10/23/2017	VARIOUS, SACHS			RAMPART INSURANCE	B	0.00	40.52	0.00	40.52 82.5 33.43
10/31/2017	VARIOUS, SACHS			RAMPART	B	0.00	40.52	0.00	40.52 82.5 33.43
				<b>* MISCELLANEOUS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$81.04</b>	<b>\$0.00</b>	<b>\$81.04 \$66.86</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
10/12/2017	QGW033185	DEVORE, DOREEN		WELLS FARGO EMERGING MARKETS EQUITY	B	0.00	0.53	0.00	0.53 82.5 0.44
10/13/2017	QGW033185	DEVORE, DOREEN		AIT ARROW DWA BALANCED FUND CLASS C	B	0.00	5.86	0.00	5.86 82.5 4.83
10/23/2017	QGW033383	DEROIN, KATHLEEN		FRK AGE HIGH INC FND - CL A	B	0.00	0.68	0.00	0.68 82.5 0.56
10/23/2017	QGW035305	POORMAN, JEFFREY		FRANKLIN INCOME FUND CLASS A	B	0.00	0.24	0.00	0.24 82.5 0.20
10/23/2017	QGW035305	POORMAN, JEFFREY		MUTUAL SERIES SHARES CLASS A	B	0.00	0.45	0.00	0.45 82.5 0.37
10/19/2017	QGW036923	CHAPMAN, HERBERT		EUROPACIFIC GROWTH FUND-A	B	0.00	0.31	0.00	0.31 82.5 0.26
10/19/2017	QGW036923	CHAPMAN, HERBERT		FUNDAMENTAL INVESTORS-A	B	0.00	0.36	0.00	0.36 82.5 0.30
10/19/2017	QGW036923	CHAPMAN, HERBERT		SMALLCAP WORLD FUND-A	B	0.00	0.17	0.00	0.17 82.5 0.14
10/19/2017	QGW036923	CHAPMAN, HERBERT		THE BOND FUND OF AMERICA-A	B	0.00	0.28	0.00	0.28 82.5 0.23
10/19/2017	QGW036923	CHAPMAN, HERBERT		THE GROWTH FUND OF AMERICA-A	B	0.00	0.37	0.00	0.37 82.5 0.31
10/19/2017	QGW036923	CHAPMAN, HERBERT		THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	0.16	0.00	0.16 82.5 0.13

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ADJUSTMENTS

* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$9.41	\$0.00	\$9.41	\$7.77
*** BROKER TRANSACTIONS TOTAL ***	\$-128,719.98	\$5,160.45	\$0.00	\$5,160.45	\$4,257.48

ADJUSTMENTS

10/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-123.75
10/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
10/31/2017	OTHER: OTHER-FAT BURGER	0.00	0.00	0.00	0.00	3,888.32
10/31/2017	OTHER: OTHER-POSTAGE	0.00	0.00	0.00	0.00	-153.32
	*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$3,603.25

BROKER COMMISSION TOTALS

Broker Transactions	\$4,257.48
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$3,603.25
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-6.35
SIPC Assessment	\$-12.70

Check Amount	\$7,841.68
Year-to-date Earnings	\$31,498.47