

COMMISSION STATEMENT

December 31, 2017

EZRA GRAYMAN
7 EDGEWOOD AVEBROKER #: 27
BRANCH: HOME OFFICE

SPRINGFIELD, NJ 07081

COMMISSION STATEMENT for EZRA GRAYMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
11/30/2017	QGV005713 MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV B		106,200.00	180.00	10.00	170.00	50.0	85.00
12/08/2017	QGV005713 MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV S		-2,122,129.48	3,094.25	10.00	3,084.25	50.0	1,542.13
11/29/2017	QGV006216 LION	INDEPENDENT BK GROUP INC COM	S	-32,750.00	20.00	10.00	10.00	50.0	5.00
11/29/2017	QGV006216 LION	INDEPENDENT BK GROUP INC COM	S	32,750.00	-20.00	-10.00	-10.00	50.0	-5.00 C
11/29/2017	QGV006216 LION	INDEPENDENT BK GROUP INC COM	S	-39,300.00	20.00	10.00	10.00	50.0	5.00
11/29/2017	QGV006216 LION	LEVEL BRANDS INC COM NEW	S	-5,000.00	20.00	10.00	10.00	50.0	5.00
11/30/2017	QGV006216 LION	ADVANCED MICRO DEVICES INC	B	130,920.00	100.00	10.00	90.00	50.0	45.00
11/30/2017	QGV006216 LION	GRAY TELEVISION INC COM	S	-73,794.50	50.00	10.00	40.00	50.0	20.00
11/30/2017	QGV006216 LION	INVESCO HIGH INCOME 2024 TARGET TER S		-300,000.00	100.00	10.00	90.00	50.0	45.00
11/30/2017	QGV006216 LION	MEDPACE HLDGS INC COM	S	-200,558.40	60.00	10.00	50.00	50.0	25.00
11/30/2017	QGV006216 LION	SMART GLOBAL HLDGS INC SHS	S	-63,000.00	20.00	10.00	10.00	50.0	5.00
11/30/2017	QGV006216 LION	TELADOC INC COM	S	-191,700.00	54.00	10.00	44.00	50.0	22.00
11/30/2017	QGV006216 LION	UNIVEST CORP PA COM	S	-116,064.80	40.00	10.00	30.00	50.0	15.00
11/30/2017	QGV006216 LION	VENATOR MATLS PLC SHS ISIN# GB00BF3 S		-51,750.00	23.00	10.00	13.00	50.0	6.50
12/01/2017	QGV006216 LION	BLACKSTONE MORTGAGE TRUST INC	S	-38,040.00	20.00	10.00	10.00	50.0	5.00
12/01/2017	QGV006216 LION	LIMELIGHT NETWORKS INC COM	S	-191,172.00	200.00	10.00	190.00	50.0	95.00
12/01/2017	QGV006216 LION	MEDPACE HLDGS INC COM	B	196,980.00	60.00	10.00	50.00	50.0	25.00
12/01/2017	QGV006216 LION	REGALWOOD GLOBAL ENERGY LTD UNIT 1 S		-25,000.00	25.00	10.00	15.00	50.0	7.50
12/07/2017	QGV006216 LION	TABULA RASA HEALTHCARE INC COM	S	-8,631.00	20.00	10.00	10.00	50.0	5.00
12/08/2017	QGV006216 LION	ADVANCED MICRO DEVICES INC	B	131,263.60	100.00	10.00	90.00	50.0	45.00
12/08/2017	QGV006216 LION	GIGCAPITAL INC UNIT	S	-1,000,000.00	500.00	10.00	490.00	50.0	245.00
12/08/2017	QGV006216 LION	LUTHER BURBANK CORP COM	S	-150,273.28	128.00	10.00	118.00	50.0	59.00
12/08/2017	QGV006216 LION	NATIONAL STORAGE AFFILIATES TR COM	S	-10,368.00	20.00	10.00	10.00	50.0	5.00
12/08/2017	QGV006216 LION	TELLURIAN INC NEW COM	S	-10,250.00	20.00	10.00	10.00	50.0	5.00
12/08/2017	QGV006216 LION	TELLURIAN INC NEW COM	S	-10,250.00	20.00	10.00	10.00	50.0	5.00
12/12/2017	QGV006216 LION	ACER THERAPEUTICS INC COMMON STOCK	S	-7,500.00	20.00	10.00	10.00	50.0	5.00
12/12/2017	QGV006216 LION	NCI BLDG SYS INC COM NEW	B	115,800.00	60.00	10.00	50.00	50.0	25.00
12/12/2017	QGV006216 LION	UNITIL CORP COM	S	-57,900.96	20.00	10.00	10.00	50.0	5.00
12/13/2017	QGV006216 LION	BLUEBIRD BIO INC COM	S	-185,100.00	20.00	10.00	10.00	50.0	5.00
12/13/2017	QGV006216 LION	BLUEPRINT MEDICINES CORP COM	S	-80,690.00	20.00	10.00	10.00	50.0	5.00
12/13/2017	QGV006216 LION	FATE THERAPEUTICS INC COM	S	-107,500.00	150.00	10.00	140.00	50.0	70.00

COMMISSION STATEMENT for EZRA GRAYMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
12/13/2017	QGV006216	LION		HELIOS & MATHESON ANALYTICS INC COM S	-32,500.00	50.00	10.00	40.00	50.0 20.00
12/13/2017	QGV006216	LION		IRON MOUNTAIN INCORPORATED REIT NEW S	-3,795.00	20.00	10.00	10.00	50.0 5.00
12/13/2017	QGV006216	LION		NCI BLDG SYS INC COM NEW S	-136,500.00	70.00	10.00	60.00	50.0 30.00
12/13/2017	QGV006216	LION		NOBLE MIDSTREAM PARTNERS LP COM UNI S	-85,950.00	20.00	10.00	10.00	50.0 5.00
12/14/2017	QGV006216	LION		ARGENX SE SPONS ADS ISIN# US04016X1 S	-618,769.00	300.00	10.00	290.00	50.0 145.00
12/14/2017	QGV006216	LION		ARGENX SE SPONS ADS ISIN# US04016X1 S	618,769.00	-300.00	-10.00	-290.00	50.0 -145.00 C
12/14/2017	QGV006216	LION		ARGENX SE SPONS ADS ISIN# US04016X1 S	-525,953.65	255.00	10.00	245.00	50.0 122.50
12/14/2017	QGV006216	LION		DICERNA PHARMACEUTICALS INC COM S	-83,560.15	115.00	10.00	105.00	50.0 52.50
12/14/2017	QGV006216	LION		PROTEOSTASIS THERAPEUTICS INC COM S	-124,500.00	100.00	10.00	90.00	50.0 45.00
12/15/2017	QGV006216	LION		CHEFS WHSE INC COM S	-48,000.00	25.00	10.00	15.00	50.0 7.50
12/15/2017	QGV006216	LION		GLOBAL BLOOD THERAPEUTICS INC COM S	-18,875.00	20.00	10.00	10.00	50.0 5.00
12/15/2017	QGV006216	LION		GLOBAL BLOOD THERAPEUTICS INC COM S	18,875.00	-20.00	-10.00	-10.00	50.0 -5.00 C
12/21/2017	QGV006216	LION		NET ELEMENT INC COM PAR \$0.0001 B	60,000.00	25.00	10.00	15.00	50.0 7.50
11/29/2017	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC S	-547,500.00	150.00	10.00	140.00	50.0 70.00
11/29/2017	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC B	545,000.00	100.00	10.00	90.00	50.0 45.00
11/29/2017	QGV006224	DAVIS FAMILY OFFICE,		INDEPENDENT BK GROUP INC COM S	-32,750.00	20.00	10.00	10.00	50.0 5.00
11/29/2017	QGV006224	DAVIS FAMILY OFFICE,		INDEPENDENT BK GROUP INC COM S	32,750.00	-20.00	-10.00	-10.00	50.0 -5.00 C
11/29/2017	QGV006224	DAVIS FAMILY OFFICE,		INDEPENDENT BK GROUP INC COM S	-39,300.00	20.00	10.00	10.00	50.0 5.00
11/29/2017	QGV006224	DAVIS FAMILY OFFICE,		RETO ECO-SOLUTIONS INC REGISTERED S S	-4,500.00	20.00	10.00	10.00	50.0 5.00
11/30/2017	QGV006224	DAVIS FAMILY OFFICE,		GRAY TELEVISION INC COM S	-20,662.46	20.00	10.00	10.00	50.0 5.00
11/30/2017	QGV006224	DAVIS FAMILY OFFICE,		SMART GLOBAL HLDGS INC SHS S	-31,500.00	20.00	10.00	10.00	50.0 5.00
11/30/2017	QGV006224	DAVIS FAMILY OFFICE,		UNIVEST CORP PA COM S	-107,359.94	37.00	10.00	27.00	50.0 13.50
11/30/2017	QGV006224	DAVIS FAMILY OFFICE,		VENATOR MATLS PLC SHS ISIN# GB00BF3 S	-6,750.00	20.00	10.00	10.00	50.0 5.00
12/01/2017	QGV006224	DAVIS FAMILY OFFICE,		LIMELIGHT NETWORKS INC COM S	-7,168.95	20.00	10.00	10.00	50.0 5.00
12/01/2017	QGV006224	DAVIS FAMILY OFFICE,		UNIVEST CORP PA COM B	5,690.00	20.00	10.00	10.00	50.0 5.00
12/05/2017	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC S	-99,850.00	100.00	10.00	90.00	50.0 45.00
12/08/2017	QGV006224	DAVIS FAMILY OFFICE,		GIGCAPITAL INC UNIT S	-20,000.00	20.00	10.00	10.00	50.0 5.00
12/08/2017	QGV006224	DAVIS FAMILY OFFICE,		LUTHER BURBANK CORP COM S	-32,872.28	28.00	10.00	18.00	50.0 9.00
12/08/2017	QGV006224	DAVIS FAMILY OFFICE,		TELLURIAN INC NEW COM S	-23,575.00	23.00	10.00	13.00	50.0 6.50
12/14/2017	QGV006224	DAVIS FAMILY OFFICE,		ARGENX SE SPONS ADS ISIN# US04016X1 S	-386,730.63	187.50	10.00	177.50	50.0 88.75
12/14/2017	QGV006224	DAVIS FAMILY OFFICE,		ARGENX SE SPONS ADS ISIN# US04016X1 B	386,884.20	180.00	10.00	170.00	50.0 85.00
12/14/2017	QGV006224	DAVIS FAMILY OFFICE,		ARGENX SE SPONS ADS ISIN# US04016X1 S	-92,815.35	45.00	10.00	35.00	50.0 17.50
12/14/2017	QGV006224	DAVIS FAMILY OFFICE,		DICERNA PHARMACEUTICALS INC COM S	-29,064.40	40.00	10.00	30.00	50.0 15.00
12/15/2017	QGV006224	DAVIS FAMILY OFFICE,		GLOBAL BLOOD THERAPEUTICS INC COM S	-18,875.00	20.00	10.00	10.00	50.0 5.00
11/30/2017	QGV006414	MERRILL LYNCH PROF		FEDERAL NATL MTG ASSN PFD SER S DIV S	-119,700.00	180.00	10.00	170.00	50.0 85.00
12/05/2017	QGV006414	MERRILL LYNCH PROF		VORNADO RLTY TR REDEEMABLE PFD SER B	248,500.00	100.00	10.00	90.00	50.0 45.00
12/06/2017	QGV006414	MERRILL LYNCH PROF		VORNADO RLTY TR REDEEMABLE PFD SER S	-27,459.25	0.00	10.00	-10.00	50.0 -5.00
12/07/2017	QGV006414	MERRILL LYNCH PROF		LADENBG THAL FIN 6.5% NTS FREQ QRTL S	-370,405.50	150.00	10.00	140.00	50.0 70.00
12/08/2017	QGV006414	MERRILL LYNCH PROF		FEDERAL NATL MTG ASSN PFD SER S DIV B	2,140,369.60	2,970.92	10.00	2,960.92	50.0 1,480.46
12/18/2017	QGV006414	MERRILL LYNCH PROF		LADENBG THAL FIN 6.5% NTS FREQ QRTL S	-318,669.44	128.08	10.00	118.08	50.0 59.04

COMMISSION STATEMENT for EZRA GRAYMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
11/29/2017	QGW014847	ALBANESE, JOHN	ENTERCOM COMMUNICATIONS CORP CLASS	S	-90,750.00	450.00	10.00	440.00	220.00
11/29/2017	QGW014847	ALBANESE, JOHN	MACYS INC	S	-23,818.30	60.00	10.00	50.00	25.00
12/04/2017	QGW014847	ALBANESE, JOHN	MACYS INC	S	-51,037.40	120.00	10.00	110.00	55.00
12/05/2017	QGW014847	ALBANESE, JOHN	BIOMARIN PHARMACEUTICAL INC COM	B	249,839.40	180.00	10.00	170.00	85.00
12/05/2017	QGW014847	ALBANESE, JOHN	CELGENE CORP	B	311,552.10	180.00	10.00	170.00	85.00
12/07/2017	QGW014847	ALBANESE, JOHN	NEWLINK GENETICS CORP	B	78,490.00	600.00	10.00	590.00	295.00
12/07/2017	QGW014847	ALBANESE, JOHN	NEWLINK GENETICS CORP	B	-78,490.00	-600.00	-10.00	-590.00	-295.00
12/07/2017	QGW014847	ALBANESE, JOHN	NEWLINK GENETICS CORP	B	156,980.00	1,200.00	10.00	1,190.00	595.00
12/11/2017	QGW014847	ALBANESE, JOHN	BARCLAYS BANK PLC IPATH S&P 500 VIX B	B	294,500.00	600.00	10.00	590.00	295.00
12/11/2017	QGW014847	ALBANESE, JOHN	BIOMARIN PHARMACEUTICAL INC COM	S	-264,000.00	180.00	10.00	170.00	85.00
12/11/2017	QGW014847	ALBANESE, JOHN	CELGENE CORP	S	-329,781.60	180.00	10.00	170.00	85.00
12/11/2017	QGW014847	ALBANESE, JOHN	MACYS INC	S	-51,891.00	120.00	10.00	110.00	55.00
12/11/2017	QGW014847	ALBANESE, JOHN	NEWLINK GENETICS CORP	S	-170,002.00	1,200.00	10.00	1,190.00	595.00
12/13/2017	QGW014847	ALBANESE, JOHN	MACYS INC	S	-324,491.25	750.00	10.00	740.00	370.00
12/14/2017	QGW014847	ALBANESE, JOHN	APACHE CORP COMMON	B	499,250.00	750.00	10.00	740.00	370.00
12/19/2017	QGW014847	ALBANESE, JOHN	APACHE CORP COMMON	S	-510,281.25	750.00	10.00	740.00	370.00
12/20/2017	QGW014847	ALBANESE, JOHN	CHIPOTLE MEXICAN GRILL INC COMMON	S B	626,626.00	120.00	10.00	110.00	55.00
12/26/2017	QGW024606	GOLD, ALAN	GENERAL ELECTRIC CO	B	26,138.55	125.00	10.00	115.00	57.50
12/26/2017	QGW024614	GOLD, SUSAN	GENERAL ELECTRIC CO	B	26,138.55	125.00	10.00	115.00	57.50
12/05/2017	QGW031338	BRAND, MATTHEW	ZVELO INC COM	B	32,000.00	1,000.00	10.00	990.00	495.00
12/08/2017	QGW031338	BRAND, MATTHEW	ZVELO INC COM	B	9,238.50	201.45	10.00	191.45	95.73
12/05/2017	QGW031650	FIBER TECHNOLOGY	FTE NETWORKS INC COM PAR \$0.001 NEW	S	-16,000.00	775.00	10.00	765.00	382.50
12/11/2017	QGW031650	FIBER TECHNOLOGY	FTE NETWORKS INC COM PAR \$0.001 NEW	S	-29,920.00	1,450.00	10.00	1,440.00	720.00
12/05/2017	QGW038432	BRAND, MATTHEW	ZVELO INC COM	S	-32,000.00	25.00	10.00	15.00	7.50
* STOCKS SUBTOTAL *				\$-3,985,591.72	\$20,985.20	\$850.00	\$20,135.20		\$10,067.61
<u>PRODUCT CATEGORY: OPTIONS</u>									
12/04/2017	QGV005713	MORGAN STANLEY	BANK AMER CORP \$30.79 WTS EXP 10/28	S	-488,750.00	5,000.00	10.00	4,990.00	2,495.00
12/04/2017	QGW014847	ALBANESE, JOHN	CALL 100 CBS CORP CL B COM EXP 01-1	S	-86,000.00	350.00	10.00	340.00	170.00
11/30/2017	QGW036352	LAWRENCE ADAMS LTD	CALL 100 BANK OF AMERICA CORPORATIO	B	37,850.00	175.00	10.00	165.00	82.50
12/15/2017	QGW036352	LAWRENCE ADAMS LTD	CALL 100 BANK AMER CORP COM EXP 01-	B	31,800.00	150.00	10.00	140.00	70.00
* OPTIONS SUBTOTAL *				\$-505,100.00	\$5,675.00	\$40.00	\$5,635.00		\$2,817.50
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
12/14/2017	QGW014870	GOLD, ALAN	NUVEEN LIMITED TERM MUNI BOND CLASS	B	0.00	5.26	0.00	5.26	2.63
12/20/2017	QGW014870	GOLD, ALAN	GOLDMAN SACHS SHORT DURATION TAX FR	B	0.00	4.74	0.00	4.74	2.37
12/19/2017	QGW024606	GOLD, ALAN	PIMCO COMMODITY REAL RETURN STRATEG	B	0.00	3.94	0.00	3.94	1.97
12/19/2017	QGW024614	GOLD, SUSAN	PIMCO COMMODITY REAL RETURN STRATEG	B	0.00	2.27	0.00	2.27	1.14
12/13/2017	QGW024622	GOLD, ALAN	COLUMBIA SHORT TERM BOND FUND CLASS	B	0.00	28.26	0.00	28.26	14.13
12/19/2017	QGW024622	GOLD, ALAN	PIMCO COMMODITY REAL RETURN STRATEG	B	0.00	1.69	0.00	1.69	0.85

COMMISSION STATEMENT for EZRA GRAYMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/13/2017	QGW024630	GOLD, SUSAN	COLUMBIA SHORT TERM BOND FUND CLASS B	0.00	13.96	0.00	13.96	50.0	6.98
12/19/2017	QGW024630	GOLD, SUSAN	PIMCO COMMODITY REAL RETURN STRATEG B	0.00	1.69	0.00	1.69	50.0	0.85
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$61.81	\$0.00	\$61.81		\$30.92
*** BROKER TRANSACTIONS TOTAL ***				\$-4,490,691.72	\$26,722.01	\$890.00	\$25,832.01		\$12,916.03

ADJUSTMENTS

12/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00			-20.00
12/31/2017		OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00			-8.00
12/31/2017		OTHER: OTHER-EXCHANGE FEES	0.00	0.00	0.00	0.00			-108.77
12/31/2017		OTHER: OTHER-CORE TECH	0.00	0.00	0.00	0.00			-119.80
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-256.57

BROKER COMMISSION TOTALS

Broker Transactions	\$12,916.03
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-256.57
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-716.60
FINRA Assessment	\$-33.40
SIPC Assessment	\$-66.81

Check Amount	\$11,842.65
Year-to-date Earnings	\$42,576.94