

## COMMISSION STATEMENT

February 28, 2018

MARCO CASALE

151 BENNINGTON ROAD

FREEHOLD, NJ 07728

BROKER #: 48

BRANCH: HOME OFFICE

## COMMISSION STATEMENT for MARCO CASALE

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

## PRODUCT CATEGORY: STOCKS

02/05/2018	QGW033466	CUSTODIAN, EMILY	DATA I O CORP COM	S	-5,480.00	75.00	6.00	69.00	80.0	54.00
02/08/2018	QGW033466	CUSTODIAN, EMILY	JD.COM INC SPONSORED ADR REPSTG COM B		4,371.65	109.00	6.00	103.00	80.0	81.20
02/23/2018	QGW033466	CUSTODIAN, EMILY	JD.COM INC SPONSORED ADR REPSTG COM S		-4,822.00	50.00	6.00	44.00	80.0	34.00
02/07/2018	QGW033599	PILLERA, CHARLES	AXON ENTERPRISE INC COM STOCK	S	-7,618.20	100.00	6.00	94.00	80.0	74.00
02/12/2018	QGW033599	PILLERA, CHARLES	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B		10,857.00	175.00	6.00	169.00	80.0	134.00
02/23/2018	QGW033599	PILLERA, CHARLES	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-12,845.00	210.00	6.00	204.00	80.0	162.00
02/05/2018	QGW033631	RAMU, JULIO	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B		8,108.20	200.00	6.00	194.00	80.0	154.00
02/06/2018	QGW033631	RAMU, JULIO	DATA I O CORP COM	S	-10,210.00	100.00	6.00	94.00	80.0	74.00
02/06/2018	QGW033631	RAMU, JULIO	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-7,440.00	100.00	6.00	94.00	80.0	74.00
02/09/2018	QGW033631	RAMU, JULIO	MOMO INC ADR	B	13,590.45	200.00	6.00	194.00	80.0	154.00
02/14/2018	QGW033631	RAMU, JULIO	MOMO INC ADR	S	-14,590.00	100.00	6.00	94.00	80.0	74.00
02/15/2018	QGW033631	RAMU, JULIO	SALESFORCE.COM INC	B	19,064.89	180.00	6.00	174.00	80.0	138.00
02/07/2018	QGW033649	ARLENE M FRANCIS,	WTS MYND ANALYTICS INC WARRANT	S	-704.85	50.00	6.00	44.00	80.0	34.00
02/16/2018	QGW033649	ARLENE M FRANCIS,	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-10,000.00	213.62	6.00	207.62	80.0	164.90
02/08/2018	QGW033656	MOONEY, MARY	MYND ANALYTICS INC COMMON STOCK	S	-2,684.74	50.00	6.00	44.00	80.0	34.00
02/15/2018	QGW033656	MOONEY, MARY	CENTURYTEL INC	S	-9,440.00	150.00	6.00	144.00	80.0	114.00
02/23/2018	QGW033656	MOONEY, MARY	ATHENEX INC COM	B	9,690.00	150.00	6.00	144.00	80.0	114.00
02/09/2018	QGW033805	LYONS, SALLY	MOMO INC ADR	B	12,975.24	200.00	6.00	194.00	80.0	154.00
02/14/2018	QGW033805	LYONS, SALLY	MOMO INC ADR	S	-14,250.00	100.00	6.00	94.00	80.0	74.00
02/20/2018	QGW033805	LYONS, SALLY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-18,050.00	75.00	6.00	69.00	80.0	54.00
02/23/2018	QGW033805	LYONS, SALLY	ATHENEX INC COM	B	16,146.00	200.00	6.00	194.00	80.0	154.00
02/02/2018	QGW034761	SYMCZAK, STEPHEN	MOMO INC ADR	S	-14,250.00	223.87	6.00	217.87	80.0	173.10
02/12/2018	QGW034761	SYMCZAK, STEPHEN	MOMO INC ADR	B	21,247.50	200.00	6.00	194.00	80.0	154.00
02/16/2018	QGW034761	SYMCZAK, STEPHEN	MOMO INC ADR	S	-23,512.50	150.00	6.00	144.00	80.0	114.00
02/23/2018	QGW034761	SYMCZAK, STEPHEN	SALESFORCE.COM INC	B	22,615.00	200.00	6.00	194.00	80.0	154.00
02/13/2018	QGW034894	MODDERNO, PATRICIA	TERRA NITROGEN CO LP COMMON UNITS	S	-18,818.80	150.00	6.00	144.00	80.0	114.00
02/15/2018	QGW034894	MODDERNO, PATRICIA	SALESFORCE.COM INC	B	22,367.28	200.00	6.00	194.00	80.0	154.00
01/31/2018	QGW035370	DHIRMALANI, MILDRED	DATA I O CORP COM	B	9,607.72	150.00	6.00	144.00	80.0	114.00
02/20/2018	QGW035370	DHIRMALANI, MILDRED	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-18,050.00	75.00	6.00	69.00	80.0	54.00
02/23/2018	QGW035370	DHIRMALANI, MILDRED	ATHENEX INC COM	B	16,146.00	150.00	6.00	144.00	80.0	114.00
02/06/2018	QGW035438	RIZZO, GIOVANNI	BARCLAYS BANK PLC IPATH S&P 500 VIX S		-2,705.50	100.00	6.00	94.00	80.0	74.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
02/12/2018	QGW035438	RIZZO, GIOVANNI	MYND ANALYTICS INC COMMON STOCK	S	-4,591.05	50.00	6.00	44.00	80.0	34.00
02/13/2018	QGW035438	RIZZO, GIOVANNI	MOMO INC ADR	S	-14,576.55	180.00	6.00	174.00	80.0	138.00
02/14/2018	QGW035438	RIZZO, GIOVANNI	JD.COM INC SPONSORED ADR REPSTG COM B		22,420.00	200.00	6.00	194.00	80.0	154.00
02/16/2018	QGW035438	RIZZO, GIOVANNI	BARCLAYS BANK PLC IPATH S&P 500 VIX S		-6,200.00	111.53	6.00	105.53	80.0	83.22
02/16/2018	QGW035438	RIZZO, GIOVANNI	JD.COM INC SPONSORED ADR REPSTG COM S		-23,630.05	100.00	6.00	94.00	80.0	74.00
02/20/2018	QGW035438	RIZZO, GIOVANNI	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-18,050.00	75.00	6.00	69.00	80.0	54.00
02/23/2018	QGW035438	RIZZO, GIOVANNI	ATHENEX INC COM	B	16,150.00	200.00	6.00	194.00	80.0	154.00
02/23/2018	QGW035438	RIZZO, GIOVANNI	SALESFORCE.COM INC	B	22,655.24	210.00	6.00	204.00	80.0	162.00
02/09/2018	QGW036519	SINGH, BHUPINDER	MOMO INC ADR	B	13,724.95	200.00	6.00	194.00	80.0	154.00
02/13/2018	QGW036519	SINGH, BHUPINDER	TERRA NITROGEN CO LP COMMON UNITS	S	-17,108.12	150.00	6.00	144.00	80.0	114.00
02/14/2018	QGW036519	SINGH, BHUPINDER	MOMO INC ADR	S	-15,000.00	150.00	6.00	144.00	80.0	114.00
02/16/2018	QGW036519	SINGH, BHUPINDER	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-5,000.00	106.70	6.00	100.70	80.0	79.36
02/23/2018	QGW036519	SINGH, BHUPINDER	ATHENEX INC COM	B	16,150.00	200.00	6.00	194.00	80.0	154.00
02/06/2018	QGW036584	TREIBER, NANCY	BARCLAYS BANK PLC IPATH S&P 500 VIX S		-2,705.50	100.00	6.00	94.00	80.0	74.00
02/13/2018	QGW036584	TREIBER, NANCY	TERRA NITROGEN CO LP COMMON UNITS	S	-12,852.00	150.00	6.00	144.00	80.0	114.00
02/16/2018	QGW036584	TREIBER, NANCY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-9,000.00	202.45	6.00	196.45	80.0	155.96
02/16/2018	QGW036592	TREIBER, NANCY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-9,000.00	202.45	6.00	196.45	80.0	155.96
02/20/2018	QGW036592	TREIBER, NANCY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-18,050.00	75.00	6.00	69.00	80.0	54.00
02/23/2018	QGW036592	TREIBER, NANCY	ATHENEX INC COM	B	16,129.10	200.00	6.00	194.00	80.0	154.00
01/31/2018	QGW036915	CASSERINO, PAULA	DUNKIN BRANDS GROUP INC	B	13,206.00	165.00	6.00	159.00	80.0	126.00
02/06/2018	QGW037020	HENNESSY, DAINEL	MOMO INC ADR	S	-10,852.00	100.00	6.00	94.00	80.0	74.00
02/02/2018	QGW038812	KOHN, ROBERT	ALIBABA GROUP HOLDING LTD SPONSORED S		-18,792.01	100.00	6.00	94.00	80.0	74.00
02/05/2018	QGW038812	KOHN, ROBERT	MOMO INC ADR	S	-14,648.40	175.00	6.00	169.00	80.0	134.00
02/12/2018	QGW038812	KOHN, ROBERT	MOMO INC ADR	B	14,165.00	150.00	6.00	144.00	80.0	114.00
02/16/2018	QGW038812	KOHN, ROBERT	NVIDIA CORP	S	-20,000.00	80.73	6.00	74.73	80.0	58.58
02/20/2018	QGW038812	KOHN, ROBERT	MOMO INC ADR	S	-15,455.00	150.00	6.00	144.00	80.0	114.00
02/20/2018	QGW038812	KOHN, ROBERT	VIPSHOP HLDGS LTD SPONS ADR ISIN#US S		-18,050.00	75.00	6.00	69.00	80.0	54.00
02/23/2018	QGW038812	KOHN, ROBERT	ATHENEX INC COM	B	16,137.20	150.00	6.00	144.00	80.0	114.00
02/23/2018	QGW038812	KOHN, ROBERT	SALESFORCE.COM INC	B	22,726.00	210.00	6.00	204.00	80.0	162.00
01/31/2018	QGW038895	DENISI, ANTHONY	DATA I O CORP COM	B	11,326.90	165.00	6.00	159.00	80.0	126.00
02/06/2018	QGW038895	DENISI, ANTHONY	DATA I O CORP COM	S	-10,210.00	100.00	6.00	94.00	80.0	74.00
02/05/2018	QGW039158	MASTERSON, PATRICIA	CENTURYTEL INC	B	9,727.85	150.00	6.00	144.00	80.0	114.00
02/23/2018	QGW039158	MASTERSON, PATRICIA	SALESFORCE.COM INC	B	22,726.00	210.00	6.00	204.00	80.0	162.00
02/08/2018	QGW039166	WOZNEY, DEBRA	DATA I O CORP COM	B	5,177.60	109.00	6.00	103.00	80.0	81.20
02/13/2018	QGW039166	WOZNEY, DEBRA	CENTURYTEL INC	B	7,459.02	150.00	6.00	144.00	80.0	114.00
02/15/2018	QGW039166	WOZNEY, DEBRA	CENTURYTEL INC	S	-8,496.00	150.00	6.00	144.00	80.0	114.00
02/23/2018	QGW039166	WOZNEY, DEBRA	ATHENEX INC COM	B	9,690.00	150.00	6.00	144.00	80.0	114.00
* STOCKS SUBTOTAL *					\$-41,380.48	\$9,789.35	\$408.00	\$9,381.35		\$7,423.48

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: BONDS</u></b>									
02/07/2018	QGW039158	MASTERSON, PATRICIA	FINANCING CORP CPN FICO STRIPS STRI S	-5,820.00	100.00	7.50	92.50	80.0	72.50
02/15/2018	QGW039158	MASTERSON, PATRICIA	SOCIETE GENERALE LKD TO MU	B 5,000.00	75.00	7.50	67.50	80.0	52.50
<b>* BONDS SUBTOTAL *</b>				<b>\$-820.00</b>	<b>\$175.00</b>	<b>\$15.00</b>	<b>\$160.00</b>		<b>\$125.00</b>
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
02/23/2018	QGW033599	PILLERA, CHARLES	CALL 100 WHITING PETE CORP COM NEW S	-425.00	50.00	6.00	44.00	80.0	34.00
02/07/2018	QGW033649	ARLENE M FRANCIS,	CALL 100 CHIPOTLE MEXICAN GRILL INC B	1,040.00	50.00	6.00	44.00	80.0	34.00
02/07/2018	QGW033649	ARLENE M FRANCIS,	CALL 100 CHIPOTLE MEXICAN GRILL INC S	-2,351.00	75.00	6.00	69.00	80.0	54.00
02/07/2018	QGW033649	ARLENE M FRANCIS,	CALL 100 TRANSOCEAN LTD REG SHS ISI S	-125.00	50.00	6.00	44.00	80.0	34.00
02/21/2018	QGW033649	ARLENE M FRANCIS,	CALL 100 SQUARE INC CL A EXP 03-16- S	-955.00	75.00	6.00	69.00	80.0	54.00
02/21/2018	QGW033649	ARLENE M FRANCIS,	CALL 100 TIM PARTICIPACOES S A SPON S	-60.00	50.00	6.00	44.00	80.0	34.00
02/07/2018	QGW033805	LYONS, SALLY	CALL 100 WHITING PETE CORP COM NEW B	1,734.00	100.00	6.00	94.00	80.0	74.00
02/23/2018	QGW033805	LYONS, SALLY	CALL 100 WHITING PETE CORP COM NEW S	-510.00	50.00	6.00	44.00	80.0	34.00
02/21/2018	QGW035370	DHIRMALANI, MILDRED	CALL 100 MOMO INC ADR ISIN#US60879B S	-1,036.00	75.00	6.00	69.00	80.0	54.00
02/21/2018	QGW035370	DHIRMALANI, MILDRED	CALL 100 NIC INC COM EXP 07-20-18@1 S	-200.00	50.00	6.00	44.00	80.0	34.00
02/16/2018	QGW035438	RIZZO, GIOVANNI	CALL 100 COHERUS BIOSCIENCES INC CO S	-480.00	75.00	6.00	69.00	80.0	54.00
01/31/2018	QGW036584	TREIBER, NANCY	CALL 100 BARCLAYS BK PLC IPATH S&P S	-820.00	70.00	6.00	64.00	80.0	50.00
02/08/2018	QGW036584	TREIBER, NANCY	CALL 100 NVIDIA CORP COM EXP 01-18- S	-13,150.00	100.00	6.00	94.00	80.0	74.00
02/08/2018	QGW036584	TREIBER, NANCY	CALL 100 NVIDIA CORP COM EXP 06-15- B	12,534.00	100.00	6.00	94.00	80.0	74.00
02/07/2018	QGW036592	TREIBER, NANCY	CALL 100 WHITING PETE CORP COM NEW B	915.00	50.00	6.00	44.00	80.0	34.00
02/07/2018	QGW036592	TREIBER, NANCY	CALL 100 WHITING PETE CORP COM NEW S	-1,221.00	50.00	6.00	44.00	80.0	34.00
02/02/2018	QGW038812	KOHN, ROBERT	CALL 100 ALIBABA GROUP HLDG LTD SPO B	275.00	50.00	6.00	44.00	80.0	34.00
02/07/2018	QGW039158	MASTERSON, PATRICIA	CALL 100 CENTURYLINK INC COM EXP 04 S	-235.00	50.00	6.00	44.00	80.0	34.00
02/08/2018	QGW039158	MASTERSON, PATRICIA	CALL 100 SUNOCO LP EXP 06-15-18 @32 S	-189.00	50.00	6.00	44.00	80.0	34.00
<b>* OPTIONS SUBTOTAL *</b>				<b>\$-5,259.00</b>	<b>\$1,220.00</b>	<b>\$114.00</b>	<b>\$1,106.00</b>		<b>\$862.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
02/21/2018	QGW037061	ALONSO, ALICE	AMERICAN BALANCED FUND-A	B 0.00	1.61	0.00	1.61	80.0	1.29
02/21/2018	QGW037061	ALONSO, ALICE	NEW PERSPECTIVE FUND-A	B 0.00	1.69	0.00	1.69	80.0	1.35
02/16/2018	QGW039133	MASTERSON, PATRICIA	DELAWARE VALUE FUND CLASS C	B 0.00	5.78	0.00	5.78	80.0	4.62
02/20/2018	QGW039133	MASTERSON, PATRICIA	THORNBURG INVESTMENT INCOME BUILDER B	0.00	1.39	0.00	1.39	80.0	1.11
02/13/2018	QGW039158	MASTERSON, PATRICIA	MFS INTERNATIONAL NEW DISCOVERY FUN B	0.00	0.07	0.00	0.07	80.0	0.06
02/21/2018	QGW039158	MASTERSON, PATRICIA	AMCAP FUND CLASS F-1	B 0.00	0.34	0.00	0.34	80.0	0.27
02/21/2018	QGW039158	MASTERSON, PATRICIA	NEW PERSPECTIVE FUND INC CL F1	B 0.00	0.44	0.00	0.44	80.0	0.35
02/23/2018	QGW039158	MASTERSON, PATRICIA	FIRST EAGLE GLOBAL FUND CLASS A	B 0.00	0.69	0.00	0.69	80.0	0.55
02/27/2018	QGW039158	MASTERSON, PATRICIA	JANUS HENDERSON FLEXIBLE BOND FUND B	0.00	0.96	0.00	0.96	80.0	0.77
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$12.97</b>	<b>\$0.00</b>	<b>\$12.97</b>		<b>\$10.37</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$-47,459.48</b>	<b>\$11,197.32</b>	<b>\$537.00</b>	<b>\$10,660.32</b>		<b>\$8,420.85</b>

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

02/28/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-150.00
02/28/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
02/28/2018		OTHER: OTHER-EXTRA PERSHING CHARGES		0.00	0.00	0.00	0.00		-16.15
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-174.15

BROKER COMMISSION TOTALS

Broker Transactions	\$8,420.85
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-174.15
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-14.00
SIPC Assessment	\$-27.99

Check Amount	\$8,204.71
Year-to-date Earnings	\$18,615.43