

COMMISSION STATEMENT

March 31, 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
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
03/06/2018	75502178	MICHAEL COHEN PERS	EATON VANCE NATIONAL MUNICIPAL FUND S	442,394.83	0.00	0.00	0.00	65.0	0.00
03/06/2018	75502178	MICHAEL COHEN PERS	FRANKLIN NEW YORK TAX-FREE INCOME F S	20,000.00	0.00	0.00	0.00	65.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$462,394.83	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: STOCKS									
03/20/2018	75501291	PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT B	15,737.73	250.00	10.00	240.00	65.0	152.50
03/22/2018	75501291	PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT S	18,660.00	476.22	10.00	466.22	65.0	299.54
03/26/2018	75501291	PRESTON, MARGARITA	AGNC INVESTMENT CORP COMMON STOCK S	37,726.80	634.49	10.00	624.49	65.0	402.42
03/26/2018	75501291	PRESTON, MARGARITA	PROSPECT CAPITAL CORPORATION S	33,057.00	798.12	10.00	788.12	65.0	508.78
03/21/2018	75501292	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT B	14,876.20	421.24	10.00	411.24	65.0	263.81
03/22/2018	75501292	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT S	19,200.20	484.07	10.00	474.07	65.0	304.65
03/01/2018	75501293	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT S	19,720.20	50.00	10.00	40.00	65.0	22.50
03/01/2018	75501293	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT B	-19,720.20	-50.00	-10.00	-40.00	65.0	-22.50 C
03/01/2018	75501293	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT S	19,720.20	250.00	10.00	240.00	65.0	152.50
02/27/2018	75501307	TOTTEN, ANN	BANK OF AMERICA CORP S	16,232.00	327.89	10.00	317.89	65.0	203.13
03/21/2018	75501310	MARGARITA F PRESTON	NUVEEN CR OPPORTUNITIES 2022 TRGT T S	19,770.00	498.81	10.00	488.81	65.0	314.23
03/22/2018	75501310	MARGARITA F PRESTON	PROSPECT CAPITAL CORPORATION S	20,280.00	564.70	10.00	554.70	65.0	357.06
03/23/2018	75501310	MARGARITA F PRESTON	NUVEEN CR OPPORTUNITIES 2022 TRGT T S	3,772.00	131.21	10.00	121.21	65.0	75.29
03/26/2018	75501310	MARGARITA F PRESTON	ALPINE GLOBAL PREMIER PPTYS FD SHS S	12,404.00	385.32	10.00	375.32	65.0	240.46
03/06/2018	75501313	HEIDENREICH, ROBERT	MEDICINOVA INC S	5,665.00	125.00	10.00	115.00	65.0	71.25
03/14/2018	75501313	HEIDENREICH, ROBERT	NUVEEN PREFERRED AND INCOME 2022 TE S	12,370.00	100.00	10.00	90.00	65.0	55.00
03/01/2018	75502119	COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCIT S	18,002.60	250.00	10.00	240.00	65.0	152.50
03/22/2018	75502119	COHEN, MICHAEL	AMAZON.COM INC S	15,450.00	200.00	10.00	190.00	65.0	120.00
03/22/2018	75502119	COHEN, MICHAEL	FACEBOOK INC CL A S	8,284.63	105.00	10.00	95.00	65.0	58.25
02/28/2018	75502178	MICHAEL COHEN PERS	ALPINE GLOBAL PREMIER PPTYS FD SHS S	19,056.00	546.57	10.00	536.57	65.0	345.27
02/28/2018	75502178	MICHAEL COHEN PERS	MFS HIGH INCOME MUNICIPAL TRUST S	19,720.00	620.82	10.00	610.82	65.0	393.53
02/28/2018	75502178	MICHAEL COHEN PERS	PSIVIDA CORP S	2,155.28	75.00	10.00	65.00	65.0	38.75
02/28/2018	75502178	MICHAEL COHEN PERS	VIRTUS GLOBAL DIVIDEND & INCOME FUN S	11,657.82	311.07	10.00	301.07	65.0	192.20
03/06/2018	75502178	MICHAEL COHEN PERS	ARMOUR RESIDENTIAL REIT INC COM S	11,183.02	254.53	10.00	244.53	65.0	155.44
03/06/2018	75502178	MICHAEL COHEN PERS	ORCHID ISLAND CAPITAL INC S	7,521.40	249.78	10.00	239.78	65.0	152.36
03/06/2018	75502184	PRESTON, ROBERT	AT&T INC B	11,201.43	0.00	10.00	-10.00	65.0	-10.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
03/06/2018	75502184 PRESTON, ROBERT	CISCO SYS INC	B	13,918.55	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	EXXON MOBIL CORPORATION	B	14,049.61	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	GENERAL ELECTRIC CO	B	14,143.59	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	HAIN CELESTIAL GROUP INC	B	8,399.00	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	INTEL CORP	B	14,212.98	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	JOHNSON & JOHNSON	B	13,848.11	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	KIMBERLY CLARK CORP	B	11,253.83	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	MERCK & CO INC	B	13,882.27	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	PAYCHEX INC	B	11,118.08	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	PROCTER & GAMBLE CO	B	13,882.87	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	SACHEM CAPITAL CORP COMMON SHARES	B	8,578.20	0.00	10.00	-10.00	65.0	-10.00
03/06/2018	75502184 PRESTON, ROBERT	UNITED TECHNOLOGIES CORP	B	13,922.81	0.00	10.00	-10.00	65.0	-10.00
03/07/2018	75502184 PRESTON, ROBERT	3M COMPANY	B	13,848.00	0.00	10.00	-10.00	65.0	-10.00
03/07/2018	75502184 PRESTON, ROBERT	BERKSHIRE HATHAWAY INC DEL CL B	B	13,938.69	0.00	10.00	-10.00	65.0	-10.00
03/07/2018	75502184 PRESTON, ROBERT	CYPRESS SEMICONDUCTOR CORP	B	8,468.04	0.00	10.00	-10.00	65.0	-10.00
03/07/2018	75502184 PRESTON, ROBERT	ENABLE MIDSTREAM PARTNERS LP COM UN B	B	8,330.80	0.00	10.00	-10.00	65.0	-10.00
03/07/2018	75502184 PRESTON, ROBERT	HI-CRUSH PARTNERS LP COM UNIT PARTN B	B	8,170.05	0.00	10.00	-10.00	65.0	-10.00
03/07/2018	75502184 PRESTON, ROBERT	SHAKE SHACK INC CL A	B	816.00	0.00	10.00	-10.00	65.0	-10.00
03/07/2018	75502184 PRESTON, ROBERT	UNDER ARMOUR INC CLASS C COMMON STO B	B	8,343.00	0.00	10.00	-10.00	65.0	-10.00
03/15/2018	75502184 PRESTON, ROBERT	CONAGRA FOODS INC	B	10,916.48	0.00	10.00	-10.00	65.0	-10.00
03/19/2018	75502184 PRESTON, ROBERT	SHAKE SHACK INC CL A	B	7,548.00	0.00	10.00	-10.00	65.0	-10.00
03/20/2018	QGW007973 CAPUANO CASELLA,	BANCO BRADESCO S A SPONSORED ADR RE S	S	-386.65	50.00	10.00	40.00	65.0	22.50
03/05/2018	QGW029084 CHAPINSKI, HALINA	VECTOR GROUP LTD	S	-80.41	50.00	10.00	40.00	65.0	22.50
03/20/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-31,215.00	1,500.00	10.00	1,490.00	65.0	965.00
03/21/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-20,952.00	1,000.00	10.00	990.00	65.0	640.00
03/22/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-5,200.00	250.00	10.00	240.00	65.0	152.50
* STOCKS SUBTOTAL *				\$547,458.21	\$10,909.84	\$500.00	\$10,409.84		\$6,591.42
<u>PRODUCT CATEGORY: BONDS</u>									
03/09/2018	75502184 PRESTON, ROBERT	UNITED STATES TREASURY NOTE	B	24,889.28	0.00	10.00	-10.00	65.0	-10.00
03/09/2018	75502184 PRESTON, ROBERT	UNITED STATES TREASURY NOTE	B	24,810.16	0.00	10.00	-10.00	65.0	-10.00
03/12/2018	75502184 PRESTON, ROBERT	ONEIDA CNTY NY (FOR ISSUES GENERAL B	B	10,120.00	0.00	10.00	-10.00	65.0	-10.00
03/12/2018	75502184 PRESTON, ROBERT	UNITED STATES TREAS NTS 2.000% 02/1 B	B	24,532.29	0.00	10.00	-10.00	65.0	-10.00
03/12/2018	75502184 PRESTON, ROBERT	UNITED STATES TREASURY NOTE	B	25,077.79	0.00	10.00	-10.00	65.0	-10.00
03/12/2018	75502184 PRESTON, ROBERT	UNITED STATES TREASURY NOTE	B	24,970.26	0.00	10.00	-10.00	65.0	-10.00
03/12/2018	75502184 PRESTON, ROBERT	UNITED STATES TREASURY NOTE INVESTM B	B	25,016.09	0.00	10.00	-10.00	65.0	-10.00
03/12/2018	75502184 PRESTON, ROBERT	UNITED STATES TREASURY NOTE	B	24,892.77	0.00	10.00	-10.00	65.0	-10.00
03/12/2018	75502184 PRESTON, ROBERT	UNITED STATES TREASURY NOTE	B	24,694.44	0.00	10.00	-10.00	65.0	-10.00
03/13/2018	75502184 PRESTON, ROBERT	EAST HAMPTON TWN N Y VARIOUS GENERA B	B	10,130.40	0.00	10.00	-10.00	65.0	-10.00
03/13/2018	75502184 PRESTON, ROBERT	NEW YORK N Y CITY INDL DEV YANKEE S B	B	8,239.60	0.00	10.00	-10.00	65.0	-10.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: BONDS										
03/13/2018	75502184	PRESTON, ROBERT		NEW YORK ST TWY AUTH ST PERS STREET B	10,219.50	0.00	10.00	-10.00	65.0	-10.00
03/13/2018	75502184	PRESTON, ROBERT		NEW YORK ST HSG FIN AGY REV MULTI-F B	5,068.25	0.00	10.00	-10.00	65.0	-10.00
03/13/2018	75502184	PRESTON, ROBERT		NEW YORK ST HSG FIN AGY REV SINGLE- B	9,984.20	0.00	10.00	-10.00	65.0	-10.00
03/13/2018	75502184	PRESTON, ROBERT		NEW YORK ST DORM AUTH REVS NEW YORK B	4,940.05	0.00	10.00	-10.00	65.0	-10.00
03/13/2018	75502184	PRESTON, ROBERT		OYSTER BAY N Y PUB IMPT BDS GENERAL B	5,077.55	0.00	10.00	-10.00	65.0	-10.00
03/13/2018	75502184	PRESTON, ROBERT		TRIBOROUGH BRDG & TUNL AUTH BRIDGES B	5,091.70	0.00	10.00	-10.00	65.0	-10.00
03/13/2018	75502184	PRESTON, ROBERT		WESTCHESTER CNTY N Y GO BDS GENERAL B	10,050.10	0.00	10.00	-10.00	65.0	-10.00
03/14/2018	75502184	PRESTON, ROBERT		SAG HARBOR N Y UN FREE SCH PRIMARY/ B	5,051.90	0.00	10.00	-10.00	65.0	-10.00
03/15/2018	75502184	PRESTON, ROBERT		HARRISON N Y FOR FUTURE ISSU GENERA B	5,055.20	0.00	10.00	-10.00	65.0	-10.00
03/20/2018	75502184	PRESTON, ROBERT		POUGHKEEPSIE N Y CITY SCH PRIMARY/S B	10,055.60	0.00	10.00	-10.00	65.0	-10.00
03/22/2018	75502184	PRESTON, ROBERT		RIVERHEAD N Y CENT SCH DIST PRIMARY B	5,072.35	0.00	10.00	-10.00	65.0	-10.00
03/22/2018	75502184	PRESTON, ROBERT		WESTCHESTER CNTY N Y GO GENERAL PUR B	5,081.35	0.00	10.00	-10.00	65.0	-10.00
03/26/2018	75502184	PRESTON, ROBERT		NEW YORK N Y CITY HSG DEV MULTI-FAM B	4,929.25	0.00	10.00	-10.00	65.0	-10.00
* BONDS SUBTOTAL *					\$313,050.08	\$0.00	\$240.00	\$-240.00		\$-240.00
PRODUCT CATEGORY: OPTIONS										
03/14/2018	75501291	PRESTON, MARGARITA		CALL PFE 04/20/18 35 S	3,400.00	100.00	10.00	90.00	65.0	55.00
03/16/2018	75501291	PRESTON, MARGARITA		CALL PFE 03/16/18 35 B	5,700.00	150.00	10.00	140.00	65.0	87.50
03/16/2018	75501291	PRESTON, MARGARITA		CALL PFE 03/16/18 36 B	2,729.00	75.00	10.00	65.00	65.0	38.75
03/19/2018	75501291	PRESTON, MARGARITA		CALL PFE 04/20/18 36 S	3,150.00	125.00	10.00	115.00	65.0	71.25
03/26/2018	75501291	PRESTON, MARGARITA		CALL PFE 04/20/18 35 B	1,200.00	50.00	10.00	40.00	65.0	22.50
03/28/2018	75501291	PRESTON, MARGARITA		CALL PFE 04/20/18 35 S	2,880.00	125.00	10.00	115.00	65.0	71.25
* OPTIONS SUBTOTAL *					\$19,059.00	\$625.00	\$60.00	\$565.00		\$346.25
PRODUCT CATEGORY: RIA										
03/07/2018	75502184	PRESTON, ROBERT		FAS FEES PT. I/III B	-166.27	144.65	10.00	134.65	65.0	84.02
03/07/2018	75502184	PRESTON, ROBERT		FAS FEES PT. II/III B	-166.27	144.65	10.00	134.65	65.0	84.02
03/07/2018	75502184	PRESTON, ROBERT		FAS FEES PT. III/III B	-166.27	144.65	10.00	134.65	65.0	84.02
03/21/2018	75502186	DOLE, VIVIAN		FAS FEES PT. I/III B	-40.81	34.93	10.00	24.93	65.0	12.70
03/21/2018	75502186	DOLE, VIVIAN		FAS FEES PT. II/III B	-40.81	34.93	10.00	24.93	65.0	12.70
03/21/2018	75502186	DOLE, VIVIAN		FAS FEES PT. III/III B	-40.81	34.93	10.00	24.93	65.0	12.70
* RIA SUBTOTAL *					\$-621.24	\$538.74	\$60.00	\$478.74		\$290.16
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
03/31/2018				FEE COUNT - 89	0.00	1,069.66	0.00	1,069.66	65.0	695.29
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,069.66	\$0.00	\$1,069.66		\$695.29
*** BROKER TRANSACTIONS TOTAL ***					\$1,341,340.88	\$13,143.24	\$860.00	\$12,283.24		\$7,683.12

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
03/31/2018		DEMNL:MANUAL PROCESS FEE (LPFS): MA		0.00	0.00	0.00	0.00		-10.00
03/31/2018		MISCELLANEOUS: CLEARING REBATE -BON		0.00	0.00	0.00	0.00		240.00
03/31/2018		MISCELLANEOUS: CLEARING REBATE-STOC		0.00	0.00	0.00	0.00		200.00
03/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
03/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-12.00
03/31/2018		OTHER: RBC -WEALTH STATION		0.00	0.00	0.00	0.00		-25.00
03/31/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
03/31/2018		OTHER: QUODD		0.00	0.00	0.00	0.00		-170.35
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$148.21

BROKER COMMISSION TOTALS

Broker Transactions	\$7,683.12
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$148.21
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-16.43
SIPC Assessment	\$-32.86

Check Amount	\$7,782.04
Year-to-date Earnings	\$20,847.49