

## COMMISSION STATEMENT

September 29, 2017

CHARLES WINNICK

970 PARK AVE

NEW YORK, NY 10028

BROKER #: 11

BRANCH: HOME OFFICE

## COMMISSION STATEMENT for CHARLES WINNICK

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: STOCKS</b>									
08/30/2017	QGV006075	PARTNERS, F/A/O:	B	40,000.00	100.00	0.00	100.00	55.0	55.00
09/07/2017	QGV006075	PARTNERS, F/A/O:	S	-15,000.00	60.00	0.00	60.00	55.0	33.00
09/08/2017	QGV006117	UBS SECURITIES LLC	B	16,000.00	250.00	0.00	250.00	55.0	137.50
09/08/2017	QGV006117	UBS SECURITIES LLC	S	-113,152.78	1,885.00	0.00	1,885.00	55.0	1,036.75
09/08/2017	QGV006117	UBS SECURITIES LLC	B	260,777.00	250.00	0.00	250.00	55.0	137.50
09/08/2017	QGV006182	NATIONAL FINANCIAL	S	-1,608,039.00	1,350.00	0.00	1,350.00	55.0	742.50
09/21/2017	QGV006182	NATIONAL FINANCIAL	B	862,866.00	450.00	0.00	450.00	55.0	247.50
09/21/2017	QGV006182	NATIONAL FINANCIAL	B	115,230.76	550.08	0.00	550.08	55.0	302.54
09/21/2017	QGV006182	NATIONAL FINANCIAL	S	-355,925.00	750.00	0.00	750.00	55.0	412.50
09/21/2017	QGV006182	NATIONAL FINANCIAL	S	-654,109.00	2,550.00	0.00	2,550.00	55.0	1,402.50
09/25/2017	QGV006182	NATIONAL FINANCIAL	S	-393,415.33	231.00	0.00	231.00	55.0	127.05
09/01/2017	QGV006430	JPMORGAN CLEARING	B	32,769.00	306.90	0.00	306.90	55.0	168.80
09/01/2017	QGV006430	JPMORGAN CLEARING	B	38,065.00	356.50	0.00	356.50	55.0	196.08
09/01/2017	QGV006430	JPMORGAN CLEARING	B	38,065.00	356.50	0.00	356.50	55.0	196.08
09/01/2017	QGV006430	JPMORGAN CLEARING	B	32,769.00	306.90	0.00	306.90	55.0	168.80
09/01/2017	QGV006430	JPMORGAN CLEARING	B	-32,769.00	-306.90	0.00	-306.90	55.0	-168.80 C
09/01/2017	QGV006430	JPMORGAN CLEARING	B	-38,065.00	-356.50	0.00	-356.50	55.0	-196.08 C
09/01/2017	QGV006430	JPMORGAN CLEARING	B	-38,065.00	-356.50	0.00	-356.50	55.0	-196.08 C
09/01/2017	QGV006430	JPMORGAN CLEARING	B	-32,769.00	-306.90	0.00	-306.90	55.0	-168.80 C
09/01/2017	QGV006430	JPMORGAN CLEARING	B	38,065.00	287.50	0.00	287.50	55.0	158.13
09/01/2017	QGV006430	JPMORGAN CLEARING	B	32,769.00	247.50	0.00	247.50	55.0	136.13
09/05/2017	QGV006430	JPMORGAN CLEARING	B	260,099.19	2,429.33	0.00	2,429.33	55.0	1,336.13
09/05/2017	QGV006430	JPMORGAN CLEARING	B	-260,099.19	-2,429.33	0.00	-2,429.33	55.0	-1,336.13 C
09/05/2017	QGV006430	JPMORGAN CLEARING	B	260,099.19	2,429.33	0.00	2,429.33	55.0	1,336.13
09/05/2017	QGV006430	JPMORGAN CLEARING	B	-260,099.19	-2,429.33	0.00	-2,429.33	55.0	-1,336.13 C
09/05/2017	QGV006430	JPMORGAN CLEARING	B	260,099.19	1,965.00	0.00	1,965.00	55.0	1,080.75
09/01/2017	QGV006448	MORGAN STANLEY	B	38,065.00	356.50	0.00	356.50	55.0	196.08
09/01/2017	QGV006448	MORGAN STANLEY	B	32,769.00	306.90	0.00	306.90	55.0	168.80
09/01/2017	QGV006448	MORGAN STANLEY	B	32,769.00	247.50	0.00	247.50	55.0	136.13
09/01/2017	QGV006448	MORGAN STANLEY	B	-38,065.00	-356.50	0.00	-356.50	55.0	-196.08 C
09/01/2017	QGV006448	MORGAN STANLEY	B	38,065.00	287.50	0.00	287.50	55.0	158.13

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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: STOCKS</u></b>									
09/01/2017	QGV006448	MORGAN STANLEY	PURE INDL REAL ESTATE TR TR UNIT IS B	-32,769.00	-306.90	0.00	-306.90	55.0	-168.80 C
09/05/2017	QGV006448	MORGAN STANLEY	PURE INDL REAL ESTATE TR TR UNIT IS B	260,099.19	2,429.33	0.00	2,429.33	55.0	1,336.13
09/05/2017	QGV006448	MORGAN STANLEY	PURE INDL REAL ESTATE TR TR UNIT IS B	-260,099.19	-2,429.33	0.00	-2,429.33	55.0	-1,336.13 C
09/05/2017	QGV006448	MORGAN STANLEY	PURE INDL REAL ESTATE TR TR UNIT IS B	260,099.19	1,965.00	0.00	1,965.00	55.0	1,080.75
09/08/2017	QGW031072	KRAFF REVOCABLE	OTONOMY INC COM B	92,500.00	1,750.00	0.00	1,750.00	55.0	962.50
09/14/2017	QGW034852	HOLMES, MEGAN	MGT CAP INVTS INC COM NEW B	9,250.00	100.00	0.00	100.00	55.0	55.00
09/15/2017	QGW034852	HOLMES, MEGAN	PBF ENERGY INC CL A S	-69,000.00	693.04	0.00	693.04	55.0	381.17
09/26/2017	QGW034852	HOLMES, MEGAN	RELMADA THERAPEUTICS INC COM NEW B	4,949.50	75.00	0.00	75.00	55.0	41.25
<b>* STOCKS SUBTOTAL *</b>				<b>\$-1,145,201.47</b>	<b>\$16,044.12</b>	<b>\$0.00</b>	<b>\$16,044.12</b>		<b>\$8,824.28</b>

**PRODUCT CATEGORY: OPTIONS**

09/05/2017	QGW034852	HOLMES, MEGAN	CALL 100 NEW GOLD INC CDA COM ISIN# B	6,100.00	150.00	0.00	150.00	55.0	82.50
<b>* OPTIONS SUBTOTAL *</b>				<b>\$6,100.00</b>	<b>\$150.00</b>	<b>\$0.00</b>	<b>\$150.00</b>		<b>\$82.50</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$-1,139,101.47</b>	<b>\$16,194.12</b>	<b>\$0.00</b>	<b>\$16,194.12</b>		<b>\$8,906.78</b>

**ADJUSTMENTS**

09/29/2017	OTHER: OTHER-FOREIGN TRADES WERE PO	0.00	0.00	0.00	0.00	-755.00
09/29/2017	OTHER: OTHER-FOREIGN TRADE EXPENSES	0.00	0.00	0.00	0.00	-237.52
<b>*** ADJUSTMENTS TOTAL ***</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$-992.52</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$8,906.78
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-992.52
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-20.24
SIPC Assessment	\$-40.49

Check Amount	\$7,853.53
Year-to-date Earnings	\$16,842.69