

## COMMISSION STATEMENT

January 31, 2018

DANIEL SIEGEL  
99 WINGED FOOT DRIVE

BROKER #: 20  
BRANCH: HOME OFFICE

LIVINGSTON, NJ 07039

COMMISSION STATEMENT for DANIEL SIEGEL

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

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

|            |           |                     |                                       |   |            |        |      |        |      |        |
|------------|-----------|---------------------|---------------------------------------|---|------------|--------|------|--------|------|--------|
| 01/10/2018 | QGW001497 | KLUGMAN, ROBERT     | VIRTU FINL INC CL A                   | S | -5,610.99  | 115.00 | 0.00 | 115.00 | 80.0 | 92.00  |
| 01/16/2018 | QGW001497 | KLUGMAN, ROBERT     | INVESCO LTD ORD SHS ISIN#BMG491BT11   | S | -9,452.33  | 138.00 | 0.00 | 138.00 | 80.0 | 110.40 |
| 01/17/2018 | QGW001497 | KLUGMAN, ROBERT     | SELECT SECTOR SPDR TRUST THE HEALTH B |   | 8,810.99   | 133.00 | 0.00 | 133.00 | 80.0 | 106.40 |
| 01/05/2018 | QGW009805 | KELLY, ROBERT       | APPLE INC                             | B | 6,991.05   | 109.00 | 0.00 | 109.00 | 80.0 | 87.20  |
| 01/10/2018 | QGW009805 | KELLY, ROBERT       | VIRTU FINL INC CL A                   | S | -5,610.99  | 115.00 | 0.00 | 115.00 | 80.0 | 92.00  |
| 01/16/2018 | QGW009805 | KELLY, ROBERT       | INVESCO LTD ORD SHS ISIN#BMG491BT11   | S | -9,452.33  | 138.00 | 0.00 | 138.00 | 80.0 | 110.40 |
| 01/17/2018 | QGW009805 | KELLY, ROBERT       | SELECT SECTOR SPDR TRUST THE HEALTH B |   | 8,810.99   | 133.00 | 0.00 | 133.00 | 80.0 | 106.40 |
| 01/10/2018 | QGW009821 | SUGARMAN, GAIL      | VIRTU FINL INC CL A                   | S | -3,647.14  | 95.00  | 0.00 | 95.00  | 80.0 | 76.00  |
| 01/04/2018 | QGW009847 | LEICHER, MARVIN     | CISCO SYS INC                         | S | -19,735.05 | 209.00 | 0.00 | 209.00 | 80.0 | 167.20 |
| 01/04/2018 | QGW009847 | LEICHER, MARVIN     | SELECT SECTOR SPDR TRUST THE FINANC S |   | -7,087.53  | 127.00 | 0.00 | 127.00 | 80.0 | 101.60 |
| 01/05/2018 | QGW009847 | LEICHER, MARVIN     | APPLE INC                             | B | 26,216.45  | 55.00  | 0.00 | 55.00  | 80.0 | 44.00  |
| 01/16/2018 | QGW009847 | LEICHER, MARVIN     | CARLYLE GROUP L P COM UNITS REPSTG S  |   | -10,240.00 | 148.00 | 0.00 | 148.00 | 80.0 | 118.40 |
| 01/22/2018 | QGW009847 | LEICHER, MARVIN     | FORD MOTOR CO PAR \$0.01              | S | -16,800.00 | 299.00 | 0.00 | 299.00 | 80.0 | 239.20 |
| 01/02/2018 | QGW009862 | KANTOR MINOR, JAIME | ENERGY TRANSFER PARTNERS L P          | S | -3,776.00  | 75.00  | 0.00 | 75.00  | 80.0 | 60.00  |
| 01/02/2018 | QGW009896 | GREENBURG, JON      | ENERGY TRANSFER PARTNERS L P          | S | -7,552.00  | 50.00  | 0.00 | 50.00  | 80.0 | 40.00  |
| 01/04/2018 | QGW009896 | GREENBURG, JON      | CARLYLE GROUP L P COM UNITS REPSTG S  |   | -11,884.65 | 62.00  | 0.00 | 62.00  | 80.0 | 49.60  |
| 01/05/2018 | QGW009896 | GREENBURG, JON      | APPLE INC                             | B | 34,955.26  | 50.00  | 0.00 | 50.00  | 80.0 | 40.00  |
| 01/10/2018 | QGW009896 | GREENBURG, JON      | VIRTU FINL INC CL A                   | S | -7,481.32  | 50.00  | 0.00 | 50.00  | 80.0 | 40.00  |
| 01/16/2018 | QGW009896 | GREENBURG, JON      | INVESCO LTD ORD SHS ISIN#BMG491BT11   | S | -15,123.72 | 50.00  | 0.00 | 50.00  | 80.0 | 40.00  |
| 01/17/2018 | QGW009896 | GREENBURG, JON      | SELECT SECTOR SPDR TRUST THE HEALTH B |   | 17,621.98  | 50.00  | 0.00 | 50.00  | 80.0 | 40.00  |
| 01/02/2018 | QGW020919 | KELLY, ROBERT       | ENERGY TRANSFER PARTNERS L P          | S | -7,552.00  | 133.00 | 0.00 | 133.00 | 80.0 | 106.40 |
| 01/04/2018 | QGW020919 | KELLY, ROBERT       | CARLYLE GROUP L P COM UNITS REPSTG S  |   | -9,507.72  | 144.00 | 0.00 | 144.00 | 80.0 | 115.20 |
| 01/02/2018 | QGW021271 | KLUGMAN, ROBERT     | ENERGY TRANSFER PARTNERS L P          | S | -7,552.00  | 133.00 | 0.00 | 133.00 | 80.0 | 106.40 |
| 01/04/2018 | QGW021271 | KLUGMAN, ROBERT     | CARLYLE GROUP L P COM UNITS REPSTG S  |   | -9,507.72  | 144.00 | 0.00 | 144.00 | 80.0 | 115.20 |
| 01/05/2018 | QGW021271 | KLUGMAN, ROBERT     | APPLE INC                             | B | 6,991.05   | 109.00 | 0.00 | 109.00 | 80.0 | 87.20  |
| 01/16/2018 | QGW022048 | LEICHER, MARVIN     | ROCHE HOLDING LTD SPONSORED ADR REP S |   | -6,736.73  | 121.00 | 0.00 | 121.00 | 80.0 | 96.80  |
| 01/02/2018 | QGW022246 | SUGARMAN, GAIL      | ENERGY TRANSFER PARTNERS L P          | S | -7,552.00  | 133.00 | 0.00 | 133.00 | 80.0 | 106.40 |
| 01/04/2018 | QGW022246 | SUGARMAN, GAIL      | CARLYLE GROUP L P COM UNITS REPSTG S  |   | -7,130.79  | 128.00 | 0.00 | 128.00 | 80.0 | 102.40 |
| 01/05/2018 | QGW022246 | SUGARMAN, GAIL      | APPLE INC                             | B | 6,991.05   | 109.00 | 0.00 | 109.00 | 80.0 | 87.20  |
| 01/02/2018 | QGW023772 | PATRICK E OBRIEN,   | ENERGY TRANSFER PARTNERS L P          | S | -7,552.00  | 133.00 | 0.00 | 133.00 | 80.0 | 106.40 |
| 01/04/2018 | QGW023772 | PATRICK E OBRIEN,   | CARLYLE GROUP L P COM UNITS REPSTG S  |   | -9,507.72  | 144.00 | 0.00 | 144.00 | 80.0 | 115.20 |

COMMISSION STATEMENT for DANIEL SIEGEL

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

BROKER TRANSACTIONS

PRODUCT CATEGORY: STOCKS

|                     |           |                   |                                       |   |              |            |        |            |      |            |
|---------------------|-----------|-------------------|---------------------------------------|---|--------------|------------|--------|------------|------|------------|
| 01/05/2018          | QGW023772 | PATRICK E OBRIEN, | APPLE INC                             | B | 6,991.05     | 109.00     | 0.00   | 109.00     | 80.0 | 87.20      |
| 01/10/2018          | QGW023772 | PATRICK E OBRIEN, | VIRTU FINL INC CL A                   | S | -5,610.99    | 115.00     | 0.00   | 115.00     | 80.0 | 92.00      |
| 01/16/2018          | QGW023772 | PATRICK E OBRIEN, | INVESCO LTD ORD SHS ISIN#BMG491BT11   | S | -9,452.33    | 138.00     | 0.00   | 138.00     | 80.0 | 110.40     |
| 01/17/2018          | QGW023772 | PATRICK E OBRIEN, | SELECT SECTOR SPDR TRUST THE HEALTH B |   | 8,810.99     | 133.00     | 0.00   | 133.00     | 80.0 | 106.40     |
| * STOCKS SUBTOTAL * |           |                   |                                       |   | \$-87,925.19 | \$4,127.00 | \$0.00 | \$4,127.00 |      | \$3,301.60 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

|                                      |           |                 |        |   |              |            |        |            |      |            |
|--------------------------------------|-----------|-----------------|--------|---|--------------|------------|--------|------------|------|------------|
| 01/19/2018                           | QGW009847 | LEICHER, MARVIN | BOND A | B | 0.00         | 5.79       | 0.00   | 5.79       | 80.0 | 4.63       |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * |           |                 |        |   | \$0.00       | \$5.79     | \$0.00 | \$5.79     |      | \$4.63     |
| *** BROKER TRANSACTIONS TOTAL ***    |           |                 |        |   | \$-87,925.19 | \$4,132.79 | \$0.00 | \$4,132.79 |      | \$3,306.23 |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$3,306.23 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$-5.17    |
| SIPC Assessment       | \$-10.33   |

|                       |            |
|-----------------------|------------|
| Check Amount          | \$3,290.73 |
| Year-to-date Earnings | \$3,290.73 |