

COMMISSION STATEMENT

October 31, 2017

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
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
09/29/2017	QGW033474	PILLERA, CHARLES	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	4,605.00	103.00	6.00	97.00	80.0	76.40
10/09/2017	QGW033474	PILLERA, CHARLES	ATHENEX INC COM S	-9,447.10	50.00	6.00	44.00	80.0	34.00
10/20/2017	QGW033474	PILLERA, CHARLES	ATHENEX INC COM B	10,348.50	188.00	6.00	182.00	80.0	144.40
10/20/2017	QGW033474	PILLERA, CHARLES	WHITING PETROLEUM CORPORATION S	-7,500.00	210.52	6.00	204.52	80.0	162.42
10/03/2017	QGW033631	RAMU, JULIO	BARCLAYS BANK PLC IPATH S&P 500 VIX S	-9,512.50	167.00	6.00	161.00	80.0	127.60
10/03/2017	QGW033631	RAMU, JULIO	COHERUS BIOSCIENCES INC COM S	-13,750.00	250.00	6.00	244.00	80.0	194.00
10/03/2017	QGW033631	RAMU, JULIO	WHITING PETROLEUM CORPORATION S	-10,760.00	272.00	6.00	266.00	80.0	211.60
10/24/2017	QGW033631	RAMU, JULIO	NVIDIA CORP B	19,628.86	200.00	6.00	194.00	80.0	154.00
10/06/2017	QGW033649	ARLENE M FRANCIS,	CATERPILLAR INC S	-62,500.00	403.65	6.00	397.65	80.0	316.92
10/09/2017	QGW033649	ARLENE M FRANCIS,	ATHENEX INC COM S	-9,429.80	50.00	6.00	44.00	80.0	34.00
10/16/2017	QGW033649	ARLENE M FRANCIS,	CHIPOTLE MEXICAN GRILL INC COMMON S B	32,716.00	150.00	6.00	144.00	80.0	114.00
10/16/2017	QGW033649	ARLENE M FRANCIS,	MOMO INC ADR B	16,811.95	150.00	6.00	144.00	80.0	114.00
10/19/2017	QGW033649	ARLENE M FRANCIS,	ATHENEX INC COM B	17,108.00	100.00	6.00	94.00	80.0	74.00
10/20/2017	QGW033649	ARLENE M FRANCIS,	FAT BRANDS INC COMMON STOCK B	12,000.00	0.00	6.00	-6.00	80.0	-6.00
10/20/2017	QGW033649	ARLENE M FRANCIS,	NVIDIA CORP S	-37,500.00	161.46	6.00	155.46	80.0	123.17
10/23/2017	QGW033649	ARLENE M FRANCIS,	FAT BRANDS INC COMMON STOCK S	-13,306.00	150.00	6.00	144.00	80.0	114.00
09/29/2017	QGW033656	MOONEY, MARY	SACHEM CAPITAL CORP COMMON SHARES B	4,600.00	136.00	6.00	130.00	80.0	102.80
10/06/2017	QGW033656	MOONEY, MARY	ATHENEX INC COM S	-9,404.25	50.00	6.00	44.00	80.0	34.00
10/03/2017	QGW033805	LYONS, SALLY	TEVA PHARMACEUTICAL INDUSTRIES LIM B	18,880.00	309.00	6.00	303.00	80.0	241.20
10/06/2017	QGW033805	LYONS, SALLY	ATHENEX INC COM S	-8,460.00	50.00	6.00	44.00	80.0	34.00
10/06/2017	QGW033805	LYONS, SALLY	ATHENEX INC COM S	8,460.00	-50.00	-6.00	-44.00	80.0	-34.00 C
10/06/2017	QGW033805	LYONS, SALLY	ATHENEX INC COM S	-8,460.00	50.00	6.00	44.00	80.0	34.00
10/20/2017	QGW033805	LYONS, SALLY	AMERICAN AIRLINES GROUP INC S	-24,000.00	317.95	6.00	311.95	80.0	248.36
10/24/2017	QGW033805	LYONS, SALLY	NVIDIA CORP B	19,694.94	175.00	6.00	169.00	80.0	134.00
09/29/2017	QGW034761	SYMCZAK, STEPHEN	ATHENEX INC COM B	7,000.00	134.00	6.00	128.00	80.0	101.20
10/09/2017	QGW034761	SYMCZAK, STEPHEN	ATHENEX INC COM S	-7,558.00	50.00	6.00	44.00	80.0	34.00
10/20/2017	QGW034761	SYMCZAK, STEPHEN	FAT BRANDS INC COMMON STOCK B	6,000.00	0.00	6.00	-6.00	80.0	-6.00
10/20/2017	QGW034761	SYMCZAK, STEPHEN	WHITING PETROLEUM CORPORATION S	-9,000.00	252.13	6.00	246.13	80.0	195.70
10/23/2017	QGW034761	SYMCZAK, STEPHEN	FAT BRANDS INC COMMON STOCK S	-6,646.80	75.00	6.00	69.00	80.0	54.00
10/24/2017	QGW034761	SYMCZAK, STEPHEN	FAT BRANDS INC COMMON STOCK B	5,527.30	75.00	6.00	69.00	80.0	54.00
10/27/2017	QGW034761	SYMCZAK, STEPHEN	NVIDIA CORP S	-18,500.00	80.73	6.00	74.73	80.0	58.58

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
10/06/2017	QGW035370	DHIRMALANI, MILDRED	ATHENEX INC COM	S	-9,401.75	50.00	6.00	44.00	80.0	34.00
10/06/2017	QGW035370	DHIRMALANI, MILDRED	NVIDIA CORP	B	18,092.70	100.00	6.00	94.00	80.0	74.00
10/19/2017	QGW035370	DHIRMALANI, MILDRED	MOMO INC ADR	B	23,075.57	100.00	6.00	94.00	80.0	74.00
10/19/2017	QGW035370	DHIRMALANI, MILDRED	NVIDIA CORP	S	-19,719.01	150.00	6.00	144.00	80.0	114.00
10/20/2017	QGW035370	DHIRMALANI, MILDRED	FAT BRANDS INC COMMON STOCK	B	12,000.00	0.00	6.00	-6.00	80.0	-6.00
10/23/2017	QGW035370	DHIRMALANI, MILDRED	FAT BRANDS INC COMMON STOCK	S	-13,302.20	150.00	6.00	144.00	80.0	114.00
10/24/2017	QGW035370	DHIRMALANI, MILDRED	NVIDIA CORP	B	19,747.50	150.00	6.00	144.00	80.0	114.00
10/09/2017	QGW035438	RIZZO, GIOVANNI	NVIDIA CORP	B	18,646.92	100.00	6.00	94.00	80.0	74.00
10/20/2017	QGW035438	RIZZO, GIOVANNI	NVIDIA CORP	S	-19,895.00	100.00	6.00	94.00	80.0	74.00
10/27/2017	QGW036519	SINGH, BHUPINDER	NVIDIA CORP	S	-18,000.00	80.73	6.00	74.73	80.0	58.58
10/20/2017	QGW036576	GANG, ADAM	FAT BRANDS INC COMMON STOCK	B	6,000.00	0.00	6.00	-6.00	80.0	-6.00
10/09/2017	QGW036915	CASSERINO, PAULA	ATHENEX INC COM	S	-9,463.50	50.00	6.00	44.00	80.0	34.00
10/20/2017	QGW036915	CASSERINO, PAULA	FAT BRANDS INC COMMON STOCK	B	6,000.00	0.00	6.00	-6.00	80.0	-6.00
10/23/2017	QGW036915	CASSERINO, PAULA	FAT BRANDS INC COMMON STOCK	S	-6,662.00	75.00	6.00	69.00	80.0	54.00
10/20/2017	QGW038689	KRUPP, JOHN	FAT BRANDS INC COMMON STOCK	B	6,000.00	0.00	6.00	-6.00	80.0	-6.00
10/27/2017	QGW038697	KOHN, SUSAN	WESTERN DIGITAL CORP	B	12,216.40	75.00	6.00	69.00	80.0	54.00
10/09/2017	QGW038705	SAPIO, ROBERTA	ANDEAVOR COM	S	-2,134.21	35.00	6.00	29.00	80.0	22.00
10/09/2017	QGW038705	SAPIO, ROBERTA	CVR REFINING LP COM UNIT REPSTG LTD S	S	-1,575.00	100.00	6.00	94.00	80.0	74.00
10/09/2017	QGW038705	SAPIO, ROBERTA	DUNKIN BRANDS GROUP INC	S	-12,127.15	100.00	6.00	94.00	80.0	74.00
10/09/2017	QGW038705	SAPIO, ROBERTA	NEW YORK MTG TR INC SER B CUM PFD D S	S	-8,757.67	75.00	6.00	69.00	80.0	54.00
10/09/2017	QGW038705	SAPIO, ROBERTA	NVIDIA CORP	B	18,646.26	100.00	6.00	94.00	80.0	74.00
10/12/2017	QGW038705	SAPIO, ROBERTA	GAMCO GLOBAL GOLD NATURAL RESOURCES B	B	11,314.60	278.00	6.00	272.00	80.0	216.40
10/12/2017	QGW038705	SAPIO, ROBERTA	SACHEM CAPITAL CORP COMMON SHARES	B	10,076.00	275.00	6.00	269.00	80.0	214.00
10/20/2017	QGW038705	SAPIO, ROBERTA	FAT BRANDS INC COMMON STOCK	B	6,000.00	0.00	6.00	-6.00	80.0	-6.00
10/23/2017	QGW038705	SAPIO, ROBERTA	FAT BRANDS INC COMMON STOCK	S	-6,625.05	75.00	6.00	69.00	80.0	54.00
10/24/2017	QGW038705	SAPIO, ROBERTA	CELGENE CORP	B	12,067.50	150.00	6.00	144.00	80.0	114.00
10/24/2017	QGW038804	LOSAPIO, VONCENT	GAMCO GLOBAL GOLD NATURAL RESOURCES B	B	5,550.00	125.00	6.00	119.00	80.0	94.00
10/24/2017	QGW038804	LOSAPIO, VONCENT	SACHEM CAPITAL CORP COMMON SHARES	B	4,978.75	140.00	6.00	134.00	80.0	106.00
10/20/2017	QGW038895	DENISI, ANTHONY	FAT BRANDS INC COMMON STOCK	B	12,000.00	0.00	6.00	-6.00	80.0	-6.00
10/23/2017	QGW038895	DENISI, ANTHONY	FAT BRANDS INC COMMON STOCK	S	-13,272.50	150.00	6.00	144.00	80.0	114.00
* STOCKS SUBTOTAL *					\$-20,876.74	\$7,094.17	\$354.00	\$6,740.17		\$5,321.33
PRODUCT CATEGORY: BONDS										
10/10/2017	QGW038705	SAPIO, ROBERTA	AMERICAN FINL GROUP INC OHIO FXD RT S	S	-29,062.50	750.00	7.50	742.50	80.0	592.50
10/10/2017	QGW038705	SAPIO, ROBERTA	EXPRESS SCRIPTS HLDG CO GTD FXD RT S	S	-23,937.50	625.00	7.50	617.50	80.0	492.50
* BONDS SUBTOTAL *					\$-53,000.00	\$1,375.00	\$15.00	\$1,360.00		\$1,085.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: OPTIONS										
10/20/2017	QGW033599	PILLERA, CHARLES	CALL 100	WHITING PETE CORP COM EXP B	100.00	50.00	6.00	44.00	80.0	34.00
10/02/2017	QGW033649	ARLENE M FRANCIS,	CALL 100	CATERPILLAR INC COM EXP 10 S	-275.00	50.00	6.00	44.00	80.0	34.00
10/02/2017	QGW033649	ARLENE M FRANCIS,	CALL 100	NVIDIA CORP COM EXP 10-20- S	-550.00	50.00	6.00	44.00	80.0	34.00
10/02/2017	QGW033649	ARLENE M FRANCIS,	CALL 100	WHITING PETE CORP COM EXP S	-250.00	65.00	6.00	59.00	80.0	46.00
10/20/2017	QGW033649	ARLENE M FRANCIS,	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-840.00	100.00	6.00	94.00	80.0	74.00
10/27/2017	QGW033649	ARLENE M FRANCIS,	CALL 100	WHITING PETE CORP COM EXP B	320.00	50.00	6.00	44.00	80.0	34.00
10/02/2017	QGW033730	KIM, IN	CALL 100	WHITING PETE CORP COM EXP S	-168.00	50.00	6.00	44.00	80.0	34.00
10/20/2017	QGW033730	KIM, IN	CALL 100	WHITING PETE CORP COM EXP B	648.00	50.00	6.00	44.00	80.0	34.00
10/23/2017	QGW033730	KIM, IN	CALL 100	COHERUS BIOSCIENCES INC CO S	-620.00	50.00	6.00	44.00	80.0	34.00
10/23/2017	QGW033730	KIM, IN	CALL 100	WHITING PETE CORP COM EXP S	-500.00	75.00	6.00	69.00	80.0	54.00
10/20/2017	QGW033763	LYONS, SALLY	CALL 100	WHITING PETE CORP COM EXP S	-357.00	75.00	6.00	69.00	80.0	54.00
10/27/2017	QGW033805	LYONS, SALLY	CALL 100	WHITING PETE CORP COM EXP B	825.00	75.00	6.00	69.00	80.0	54.00
10/23/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100	COHERUS BIOSCIENCES INC CO S	-710.00	75.00	6.00	69.00	80.0	54.00
10/23/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100	VIPSHOP HLDGS LTD SPONS AD S	-140.00	50.00	6.00	44.00	80.0	34.00
10/02/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	SPIRIT AIRLS INC COM EXP 1 S	-705.00	50.00	6.00	44.00	80.0	34.00
10/02/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	WHITING PETE CORP COM EXP S	-400.00	75.00	6.00	69.00	80.0	54.00
10/23/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	BARCLAYS BK PLC IPATH S&P S	-200.00	50.00	6.00	44.00	80.0	34.00
10/23/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	COHERUS BIOSCIENCES INC CO S	-700.00	75.00	6.00	69.00	80.0	54.00
10/23/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	WHITING PETE CORP COM EXP S	-240.00	75.00	6.00	69.00	80.0	54.00
10/20/2017	QGW036519	SINGH, BHUPINDER	CALL 100	VIPSHOP HLDGS LTD SPONS AD S	-75.00	50.00	6.00	44.00	80.0	34.00
10/20/2017	QGW036592	TREIBER, NANCY	CALL 100	WHITING PETE CORP COM EXP B	135.00	50.00	6.00	44.00	80.0	34.00
10/27/2017	QGW036592	TREIBER, NANCY	CALL 100	WHITING PETE CORP COM EXP S	-465.00	65.00	6.00	59.00	80.0	46.00
10/10/2017	QGW038705	SAPIO, ROBERTA	CALL 100	NVIDIA CORP COM EXP 11-03- S	-646.00	50.00	6.00	44.00	80.0	34.00
* OPTIONS SUBTOTAL *					\$-5,813.00	\$1,405.00	\$138.00	\$1,267.00		\$986.00
PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS										
10/09/2017	QGW038705	SAPIO, ROBERTA	FT UNIT 6543	CAP STRENGTH PORTFOLIO S	-33,261.21	100.00	6.00	94.00	80.0	74.00
* UNIT INVESTMENT TRUSTS SUBTOTAL *					\$-33,261.21	\$100.00	\$6.00	\$94.00		\$74.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
10/19/2017	QGW037061	ALONSO, ALICE	AMERICAN BALANCED FUND-A	B	0.00	1.51	0.00	1.51	80.0	1.21
10/19/2017	QGW037061	ALONSO, ALICE	NEW PERSPECTIVE FUND-A	B	0.00	1.48	0.00	1.48	80.0	1.18
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$2.99	\$0.00	\$2.99		\$2.39
*** BROKER TRANSACTIONS TOTAL ***					\$-112,950.95	\$9,977.16	\$513.00	\$9,464.16		\$7,468.72

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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ADJUSTMENTS

10/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-150.00
10/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
10/31/2017		OTHER: OTHER-TICKET CHARGES		0.00	0.00	0.00	0.00		0.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-158.00

BROKER COMMISSION TOTALS

Broker Transactions	\$7,468.72
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-158.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-12.47
SIPC Assessment	\$-24.94

Check Amount	\$7,273.31
Year-to-date Earnings	\$27,440.08