

COMMISSION STATEMENT

April 03, 2017

MICHAEL WOLLOCH

43 SECOR RD

SCARSDALE, NY 10583

BROKER #:

BRANCH: HOME OFFICE

COMMISSION STATEMENT for MICHAEL WOLLOCH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

03/21/2017	QGW016214	MAIMAN, JUDITH		ARRAY BIOPHARMA INC	S	-4,752.50	38.00	10.00	28.00	45.0	12.60
03/24/2017	QGW016214	MAIMAN, JUDITH		ADVANSIX INC COMMON STOCK	S	-268.31	20.00	10.00	10.00	45.0	4.50
03/24/2017	QGW016214	MAIMAN, JUDITH		AT&T INC	B	3,140.18	38.00	10.00	28.00	45.0	12.60
03/24/2017	QGW016214	MAIMAN, JUDITH		MADRIGAL PHARMACEUTICALS INC COM	S	-210.62	20.00	10.00	10.00	45.0	4.50
02/28/2017	QGW016537	SYAGE, EDWARD		KITE PHARMA INC COM	S	-70,034.00	50.00	10.00	40.00	45.0	18.00
03/07/2017	QGW016537	SYAGE, EDWARD		AURINIA PHARMACEUTICALS INC COM ISI B		29,119.20	180.00	10.00	170.00	45.0	76.50
03/07/2017	QGW016537	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	B	41,250.00	130.00	10.00	120.00	45.0	54.00
03/08/2017	QGW016537	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	S	-43,200.00	130.00	10.00	120.00	45.0	54.00
03/09/2017	QGW016537	SYAGE, EDWARD		AURINIA PHARMACEUTICALS INC COM ISI S		-29,640.00	180.00	10.00	170.00	45.0	76.50
03/13/2017	QGW016537	SYAGE, EDWARD		FATE THERAPEUTICS INC COM	B	26,250.00	225.00	10.00	215.00	45.0	96.75
03/27/2017	QGW016537	SYAGE, EDWARD		AURINIA PHARMACEUTICALS INC COM ISI B		23,100.00	135.00	10.00	125.00	45.0	56.25
03/06/2017	QGW018384	BEST GREEN		ECO TEK 360 INC COM	S	-3.75	0.00	10.00	-10.00	45.0	-4.50
02/27/2017	QGW024093	WOLLEMAN, TODD		FLOWERS FOODS INC COM	B	9,613.25	63.00	10.00	53.00	45.0	23.85
03/09/2017	QGW024093	WOLLEMAN, TODD		JOHNSON & JOHNSON	S	-25,335.55	58.00	10.00	48.00	45.0	21.60
03/09/2017	QGW024093	WOLLEMAN, TODD		XEROX CORP	B	7,459.50	73.00	10.00	63.00	45.0	28.35
02/27/2017	QGW024267	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	S	-29,700.00	90.00	10.00	80.00	45.0	36.00
03/07/2017	QGW024267	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	B	27,500.00	90.00	10.00	80.00	45.0	36.00
03/08/2017	QGW024267	SYAGE, EDWARD		HERON THERAPEUTICS INC COM	S	-28,600.00	90.00	10.00	80.00	45.0	36.00
				* STOCKS SUBTOTAL *		\$-64,312.60	\$1,610.00	\$180.00	\$1,430.00		\$643.50

PRODUCT CATEGORY: OPTIONS

02/28/2017	QGW016099	WOLLEMAN, TODD		PUT 100 VALERO ENERGY CORP NEW COM B		1,200.00	73.00	10.00	63.00	45.0	28.35
03/20/2017	QGW016099	WOLLEMAN, TODD		PUT 100 EXXON MOBIL CORP COM EXP 07 S		-1,060.00	73.00	10.00	63.00	45.0	28.35
03/15/2017	QGW024093	WOLLEMAN, TODD		CALL 100 INTEL CORP COM EXP 07-21-1 B		200.00	50.00	10.00	40.00	45.0	18.00
03/16/2017	QGW024093	WOLLEMAN, TODD		CALL 100 INTEL CORP COM EXP 07-21-1 S		-590.00	53.00	10.00	43.00	45.0	19.35
				* OPTIONS SUBTOTAL *		\$-250.00	\$249.00	\$40.00	\$209.00		\$94.05

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/09/2017	QGW016115	MAYER, MURRAY		MFS GOVERNMENT SECURITIES FUND CLAS B		0.00	43.32	0.00	43.32	45.0	19.49
03/17/2017	QGW016123	DEMSKO, DARYL		PUTNAM 746782101	B	0.00	10.25	0.00	10.25	45.0	4.61
03/13/2017	QGW016131	TUERS, ERIC		SELECTED AMERICAN SHARES CLASS S	B	0.00	1.02	0.00	1.02	45.0	0.46
03/13/2017	QGW016149	MIRZOEFF, DANA		SELECTED AMERICAN SHARES CLASS S	B	0.00	5.49	0.00	5.49	45.0	2.47

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
03/09/2017	QGW016305	PEDDICORD TRUST, ALLIANCEBERNSTEIN LARGE-CAP GROWTH	B	0.00	17.95	0.00	17.95	45.0	8.08
03/23/2017	QGW016347	AGAR REVOCABLE TRST, NUVEEN CORE BOND FUND CLASS A	B	0.00	5.65	0.00	5.65	45.0	2.54
03/09/2017	QGW016354	PEDDICORD, JANE ALLIANCEBERNSTEIN LARGE-CAP GROWTH	B	0.00	11.97	0.00	11.97	45.0	5.39
03/09/2017	QGW016412	MERGED TRUST, CARA ALLIANCEBERNSTEIN LARGE-CAP GROWTH	B	0.00	11.97	0.00	11.97	45.0	5.39
03/15/2017	QGW016511	JASON, LAURIE THE BOND FUND OF AMERICA-A	B	0.00	0.01	0.00	0.01	45.0	0.00
03/13/2017	QGW016628	KRAUSS, SHARON FRANKLIN INCOME FUND CLASS C	B	0.00	18.39	0.00	18.39	45.0	8.28
03/13/2017	QGW024150	GORDON, ARLENE SELECTED AMERICAN SHARES CLASS S	B	0.00	4.55	0.00	4.55	45.0	2.05
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$130.57	\$0.00	\$130.57		\$58.76
*** BROKER TRANSACTIONS TOTAL ***				\$-64,562.60	\$1,989.57	\$220.00	\$1,769.57		\$796.31

ADJUSTMENTS

04/03/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
	*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$-20.00

BROKER COMMISSION TOTALS

Broker Transactions	\$796.31
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.49
SIPC Assessment	\$-37.30

Check Amount	\$736.52
Year-to-date Earnings	\$4,363.75