

COMMISSION STATEMENT

October 31, 2017

PHYLLIS FATTORUSO
89-40 151ST AVENUE
APT 5G
HOWARD BEACH, NY 11414

BROKER #: 53
BRANCH: HOME OFFICE

COMMISSION STATEMENT for PHYLLIS FATTORUSO

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

09/28/2017	QGW007700	SARNA, MARK		ALCOA CORPORATION COMMON STOCK	S	-23,071.00	250.00	0.00	250.00	52.0	130.00
09/28/2017	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-25,472.10	50.00	0.00	50.00	52.0	26.00
10/03/2017	QGW007700	SARNA, MARK		ALCOA CORPORATION COMMON STOCK	S	-24,120.10	25.00	0.00	25.00	52.0	13.00
10/09/2017	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	11,458.20	150.00	0.00	150.00	52.0	78.00
10/12/2017	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	11,319.00	150.00	0.00	150.00	52.0	78.00
10/13/2017	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	6,896.40	150.00	0.00	150.00	52.0	78.00
10/16/2017	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	4,220.00	100.00	0.00	100.00	52.0	52.00
10/20/2017	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	B	84,000.00	200.00	0.00	200.00	52.0	104.00
10/20/2017	QGW007700	SARNA, MARK		FREEPORT MCMORAN INC	B	39,000.00	150.00	0.00	150.00	52.0	78.00
09/28/2017	QGW007825	SARNA FAMILY LTD		SCHLUMBERGER LTD	S	-69,161.40	50.00	0.00	50.00	52.0	26.00
10/05/2017	QGW007825	SARNA FAMILY LTD		GOLDMAN SACHS GROUP INC	S	-246,200.00	50.00	0.00	50.00	52.0	26.00
10/12/2017	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	11,336.70	150.00	0.00	150.00	52.0	78.00
10/13/2017	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	6,896.40	150.00	0.00	150.00	52.0	78.00
10/16/2017	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	6,330.00	150.00	0.00	150.00	52.0	78.00
10/20/2017	QGW007825	SARNA FAMILY LTD		BANK OF AMERICA CORP	B	126,000.00	300.00	0.00	300.00	52.0	156.00
10/20/2017	QGW007825	SARNA FAMILY LTD		CHIPOTLE MEXICAN GRILL INC COMMON S B		290,000.00	50.00	0.00	50.00	52.0	26.00
10/20/2017	QGW007825	SARNA FAMILY LTD		FREEPORT MCMORAN INC	B	65,000.00	250.00	0.00	250.00	52.0	130.00
10/25/2017	QGW007825	SARNA FAMILY LTD		CHIPOTLE MEXICAN GRILL INC COMMON S B		285,778.80	50.00	0.00	50.00	52.0	26.00
				* STOCKS SUBTOTAL *		\$560,210.90	\$2,425.00	\$0.00	\$2,425.00		\$1,261.00

PRODUCT CATEGORY: OPTIONS

10/09/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 11- B		15,725.00	200.00	0.00	200.00	52.0	104.00
10/09/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 11- B		15,300.00	200.00	0.00	200.00	52.0	104.00
10/12/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 11- B		10,650.00	120.00	0.00	120.00	52.0	62.40
10/16/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 10- S		-4,250.00	40.00	0.00	40.00	52.0	20.80
10/16/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 10- S		-4,250.00	40.00	0.00	40.00	52.0	20.80
10/16/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 10- S		4,250.00	-40.00	0.00	-40.00	52.0	-20.80 C
10/19/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 10- S		-4,550.00	40.00	0.00	40.00	52.0	20.80
10/20/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 10- S		-6,150.00	40.00	0.00	40.00	52.0	20.80
10/24/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 11- S		-14,550.00	120.00	0.00	120.00	52.0	62.40
09/29/2017	QGW007825	SARNA FAMILY LTD		CALL 100 CHIPOTLE MEXICAN GRILL INC B		22,252.00	40.00	0.00	40.00	52.0	20.80

COMMISSION STATEMENT for PHYLLIS FATTORUSO

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
10/06/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC B	18,160.00	40.00	0.00	40.00	52.0 20.80
10/09/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 11- B	15,300.00	200.00	0.00	200.00	52.0 104.00
10/09/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 11- B	15,725.00	200.00	0.00	200.00	52.0 104.00
10/12/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 11- B	10,650.00	120.00	0.00	120.00	52.0 62.40
10/12/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-5,000.00	40.00	0.00	40.00	52.0 20.80
10/13/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-6,100.00	40.00	0.00	40.00	52.0 20.80
10/16/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 10- S	-8,500.00	80.00	0.00	80.00	52.0 41.60
10/16/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 10- S	-8,500.00	80.00	0.00	80.00	52.0 41.60
10/16/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 10- S	8,500.00	-80.00	0.00	-80.00	52.0 -41.60 C
10/17/2017	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO B	12,382.00	40.00	0.00	40.00	52.0 20.80
10/19/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 10- S	-13,650.00	120.00	0.00	120.00	52.0 62.40
10/20/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 10- S	-12,300.00	80.00	0.00	80.00	52.0 41.60
10/20/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-35,000.00	40.00	0.00	40.00	52.0 20.80
10/20/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC B	10,600.00	40.00	0.00	40.00	52.0 20.80
10/20/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC B	3,495.00	40.00	0.00	40.00	52.0 20.80
10/20/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-9,500.00	40.00	0.00	40.00	52.0 20.80
10/20/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	9,500.00	-40.00	0.00	-40.00	52.0 -20.80 C
10/20/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-9,500.00	40.00	0.00	40.00	52.0 20.80
10/23/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC B	27,340.00	40.00	0.00	40.00	52.0 20.80
10/24/2017	QGW007825	SARNA FAMILY LTD	CALL 100	BANK AMER CORP COM EXP 11- S	-14,550.00	120.00	0.00	120.00	52.0 62.40
10/25/2017	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC B	22,290.00	40.00	0.00	40.00	52.0 20.80
* OPTIONS SUBTOTAL *				\$65,769.00	\$2,120.00	\$0.00	\$2,120.00		\$1,102.40
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/16/2017	QGW021909	MASSA, MARY	TRANSAMERICA MULTI-MANAGED BALANCED B	0.00	7.64	0.00	7.64	52.0	3.97
10/16/2017	QGW028755	SARNA, MARK	THORNBURG INVESTMENT INCOME BUILDER B	0.00	16.13	0.00	16.13	52.0	8.39
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$23.77	\$0.00	\$23.77		\$12.36
*** BROKER TRANSACTIONS TOTAL ***				\$625,979.90	\$4,568.77	\$0.00	\$4,568.77		\$2,375.76
<u>ADJUSTMENTS</u>									
10/31/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00		-2,800.00
10/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-2,820.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,375.76
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2,820.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$73.44
FINRA Assessment	\$-5.71
SIPC Assessment	\$-11.42

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$-387.93
Year-to-date Earnings	\$2,422.91