

## COMMISSION STATEMENT

August 31, 2017

DAVID REILLY  
8 ACRON TERRACEBROKER #: 21  
BRANCH: HOME OFFICE

NEW CITY, NY 10956

COMMISSION STATEMENT for DAVID REILLY

| TRADE DATE  | CLIENT    | INVESTMENT        | B/S | INVESTMENT<br>AMOUNT                        | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE          | BROKER<br>COMMISSION     |
|---|-----------|-------------------|-----|---|---------------------|--------------------|-------------------|---------------|--------------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |           |                   |     |   |                     |                    |                   |               |                          |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                  |           |                   |     |   |                     |                    |                   |               |                          |
| 08/14/2017  | QGW008047 | DOUGHERTY, JANE   |     | ASHFORD INC COM                             | S                   | -159.00            | 12.50             | 0.00          | 12.50 45.0 5.63          |
| 08/14/2017  | QGW008047 | DOUGHERTY, JANE   |     | ATLANTIC POWER CORPORATION                  | S                   | -1,212.50          | 25.00             | 0.00          | 25.00 45.0 11.25         |
| 08/14/2017  | QGW008047 | DOUGHERTY, JANE   |     | RMR GROUP INC (THE) CLASS A                 | S                   | -47.30             | 10.00             | 0.00          | 10.00 45.0 4.50          |
| 08/15/2017  | QGW008047 | DOUGHERTY, JANE   |     | DRIVE SHACK INC COM                         | S                   | -41.28             | 2.50              | 0.00          | 2.50 45.0 1.13           |
| 08/15/2017  | QGW008047 | DOUGHERTY, JANE   |     | FRONTIER COMMUNICATIONS CORPORATION         | B                   | 1,393.92           | 27.50             | 0.00          | 27.50 45.0 12.38         |
| 08/15/2017  | QGW008047 | DOUGHERTY, JANE   |     | QUATERRA RESOURCES INC                      | S                   | -155.60            | 10.00             | 0.00          | 10.00 45.0 4.50          |
| 08/14/2017  | QGW023848 | BYRNE, GERARD     |     | ADVANCED MICRO DEVICES INC                  | B                   | 6,364.95           | 75.00             | 0.00          | 75.00 45.0 33.75         |
| 08/23/2017  | QGW030041 | THOMAS, JACK      |     | MARATHON OIL CORP                           | B                   | 11,025.00          | 112.54            | 0.00          | 112.54 45.0 50.64        |
| 08/28/2017  | QGW030041 | THOMAS, JACK      |     | OMEROS CORPORATION                          | B                   | 3,930.00           | 38.15             | 0.00          | 38.15 45.0 17.17         |
|   |           |                   |     | <b>* STOCKS SUBTOTAL *</b>                  |                     | <b>\$21,098.19</b> | <b>\$313.19</b>   | <b>\$0.00</b> | <b>\$313.19 \$140.95</b> |
| <b><u>PRODUCT CATEGORY: OPTIONS</u></b>                 |           |                   |     |   |                     |                    |                   |               |                          |
| 08/07/2017  | QGW023848 | BYRNE, GERARD     |     | CALL 100 CELGENE CORP EXP 09-15-17@         | S                   | -490.00            | 25.00             | 0.00          | 25.00 45.0 11.25         |
| 08/18/2017  | QGW030041 | THOMAS, JACK      |     | CALL 100 OMEROS CORP COM EXP 08-18-         | B                   | 650.00             | 25.00             | 0.00          | 25.00 45.0 11.25         |
|   |           |                   |     | <b>* OPTIONS SUBTOTAL *</b>                 |                     | <b>\$160.00</b>    | <b>\$50.00</b>    | <b>\$0.00</b> | <b>\$50.00 \$22.50</b>   |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |           |                   |     |   |                     |                    |                   |               |                          |
| 08/21/2017  | QGW008005 | SCHULZ, CARL      |     | ROCH. LIMITED TERM NEW YORK MUNICIP         | B                   | 0.00               | 6.72              | 0.00          | 6.72 45.0 3.02           |
| 08/21/2017  | QGW008005 | SCHULZ, CARL      |     | ROCHESTER FUND MUNICIPALS A                 | B                   | 0.00               | 35.85             | 0.00          | 35.85 45.0 16.13         |
| 08/21/2017  | QGW008039 | STEFANO, MARGARET |     | ROCHESTER FUND MUNICIPALS A                 | B                   | 0.00               | 1.66              | 0.00          | 1.66 45.0 0.75           |
| 08/18/2017  | QGW008047 | DOUGHERTY, JANE   |     | HIGH YIELD A                                | B                   | 0.00               | 0.56              | 0.00          | 0.56 45.0 0.25           |
| 08/21/2017  | QGW008047 | DOUGHERTY, JANE   |     | ROCHESTER NATIONAL MUNICIPALS A             | B                   | 0.00               | 3.39              | 0.00          | 3.39 45.0 1.53           |
| 08/21/2017  | QGW023798 | OLSSON, RITA      |     | CAPITAL APPRECIATION A                      | B                   | 0.00               | 0.25              | 0.00          | 0.25 45.0 0.11           |
| 08/15/2017  | QGW023814 | STEFANO, MARGARET |     | EUROPACIFIC GROWTH FUND-A                   | B                   | 0.00               | 0.26              | 0.00          | 0.26 45.0 0.12           |
| 08/15/2017  | QGW023814 | STEFANO, MARGARET |     | THE GROWTH FUND OF AMERICA-A                | B                   | 0.00               | 1.17              | 0.00          | 1.17 45.0 0.53           |
| 08/17/2017  | QGW023848 | BYRNE, GERARD     |     | MFS INTERNTL DIVERSIFICATION FUND-A         | B                   | 0.00               | 1.29              | 0.00          | 1.29 45.0 0.58           |
|   |           |                   |     | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> |                     | <b>\$0.00</b>      | <b>\$51.15</b>    | <b>\$0.00</b> | <b>\$51.15 \$23.02</b>   |
|   |           |                   |     | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    |                     | <b>\$21,258.19</b> | <b>\$414.34</b>   | <b>\$0.00</b> | <b>\$414.34 \$186.47</b> |

COMMISSION STATEMENT for DAVID REILLY

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

ADJUSTMENTS

|                           |  |                                  |  |        |        |        |        |  |           |
|---------------------------|--|----------------------------------|--|--------|--------|--------|--------|--|-----------|
| 08/31/2017                |  | ADVANCE: ADVANCE                 |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -150.00   |
| 08/31/2017                |  | OTHER: COMPLIANCE AND TECHNOLOGY |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -20.00    |
| *** ADJUSTMENTS TOTAL *** |  |                                  |  | \$0.00 | \$0.00 | \$0.00 | \$0.00 |  | \$-170.00 |

BROKER COMMISSION TOTALS

|                       |           |
|-----------------------|-----------|
| Broker Transactions   | \$186.47  |
| Split Transactions    | \$0.00    |
| Override Transactions | \$0.00    |
| Adjustments           | \$-170.00 |
| Payroll Draw          | \$0.00    |
| Base Salary           | \$0.00    |
| Prior Period Balance  | \$0.00    |
| FINRA Assessment      | \$-0.52   |
| SIPC Assessment       | \$-1.04   |

|                       |          |
|-----------------------|----------|
| Check Amount          | \$14.91  |
| Year-to-date Earnings | \$451.34 |