

COMMISSION STATEMENT

April 03, 2017

EZRA GRAYMAN
7 EDGEWOOD AVEBROKER #:
BRANCH: HOME OFFICE

SPRINGFIELD, NJ 07081

COMMISSION STATEMENT for EZRA GRAYMAN

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>									
02/24/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER T DIV B	557,002.50	750.00	10.00	740.00	80.0	592.00
02/24/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER S DIV S	-560,250.00	750.00	10.00	740.00	80.0	592.00
02/24/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER T DIV B	-557,002.50	-750.00	-10.00	-740.00	80.0	-592.00 C
02/24/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER T DIV B	557,002.50	750.00	10.00	740.00	80.0	592.00
02/28/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER T DIV B	146,934.00	180.00	10.00	170.00	80.0	136.00
02/28/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER S DIV S	-148,500.00	180.00	10.00	170.00	80.0	136.00
02/28/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER T DIV B	-146,934.00	-180.00	-10.00	-170.00	80.0	-136.00 C
03/09/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER S DIV S	-144,180.00	200.00	10.00	190.00	80.0	152.00
03/15/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER S DIV S	-80,346.00	105.00	10.00	95.00	80.0	76.00
03/16/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER S DIV S	-72,500.00	100.00	10.00	90.00	80.0	72.00
03/27/2017	QGV001944	MERRILL LYNCH PROF	FEDERAL NATL MTG ASSN PFD SER S DIV S	-123,375.00	175.00	10.00	165.00	80.0	132.00
02/24/2017	QGV005713	MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV B	557,002.50	750.00	10.00	740.00	80.0	592.00
02/24/2017	QGV005713	MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV B	-557,002.50	-750.00	-10.00	-740.00	80.0	-592.00 C
02/28/2017	QGV005713	MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV B	146,934.00	180.00	10.00	170.00	80.0	136.00
03/06/2017	QGV005713	MORGAN STANLEY	R1 RCM INC COM	B 601,600.00	5,000.00	10.00	4,990.00	80.0	3,992.00
03/08/2017	QGV005713	MORGAN STANLEY	BIONIK LABORATORIES CORP	B 103,815.00	1,500.00	10.00	1,490.00	80.0	1,192.00
03/08/2017	QGV005713	MORGAN STANLEY	BIONIK LABORATORIES CORP	B -103,815.00	-1,500.00	-10.00	-1,490.00	80.0	-1,192.00 C
03/09/2017	QGV005713	MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV B	142,500.00	200.00	10.00	190.00	80.0	152.00
03/13/2017	QGV005713	MORGAN STANLEY	COMSCORE INC COM	S -1,061,530.00	1,500.00	10.00	1,490.00	80.0	1,192.00
03/15/2017	QGV005713	MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV B	78,225.00	105.00	10.00	95.00	80.0	76.00
03/16/2017	QGV005713	MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV B	71,500.00	100.00	10.00	90.00	80.0	72.00
03/27/2017	QGV005713	MORGAN STANLEY	FEDERAL NATL MTG ASSN PFD SER T DIV B	120,225.00	175.00	10.00	165.00	80.0	132.00
03/08/2017	QGV005937	BARCLAYS CAPITAL INC	BIONIK LABORATORIES CORP	B 103,815.00	1,500.00	10.00	1,490.00	80.0	1,192.00
03/15/2017	QGV005937	BARCLAYS CAPITAL INC	TANGOE INC COMMON STOCK	B 231,500.00	0.00	10.00	-10.00	80.0	-8.00
03/15/2017	QGV005937	BARCLAYS CAPITAL INC	TANGOE INC COMMON STOCK	B -231,500.00	0.00	-10.00	10.00	80.0	8.00 C
03/15/2017	QGV005937	BARCLAYS CAPITAL INC	TANGOE INC COMMON STOCK	B 231,500.00	500.00	10.00	490.00	80.0	392.00
03/15/2017	QGV006190	MCGREGOR CAPITAL LLC	ZOSANO PHARMA CORP COM	S -21,798.00	100.00	10.00	90.00	80.0	72.00
03/16/2017	QGV006190	MCGREGOR CAPITAL LLC	CANADA GOOSE HLDGS INC COM SHS SUB	S -59,150.00	70.00	10.00	60.00	80.0	48.00
03/16/2017	QGV006190	MCGREGOR CAPITAL LLC	CANADA GOOSE HLDGS INC COM SHS SUB	B 58,100.00	70.00	10.00	60.00	80.0	48.00
03/28/2017	QGV006190	MCGREGOR CAPITAL LLC	ATHENE HLDG LTD CL A ISIN# BMG0684D	S -248,951.00	50.00	10.00	40.00	80.0	32.00
02/24/2017	QGV006216	MCGREGOR CAPITAL LLC	BLACKROCK 2022 GLOBAL INCOME OPPORT	S -1,008,000.00	500.00	10.00	490.00	80.0	392.00

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
02/24/2017	QGV006216	MCGREGOR CAPITAL LLC CHIMERA INVT CORP PFD SER B FIXED F S		-1,189,522.12	478.00	10.00	468.00	80.0	374.40
02/24/2017	QGV006216	MCGREGOR CAPITAL LLC HI-CRUSH PARTNERS LP COM UNIT PARTN S		-120,600.00	67.00	10.00	57.00	80.0	45.60
02/24/2017	QGV006216	MCGREGOR CAPITAL LLC PLAINS GP HLDGS L P LTD PARTNER INT S		-56,502.00	20.00	10.00	10.00	80.0	8.00
02/27/2017	QGV006216	MCGREGOR CAPITAL LLC CHIMERA INVT CORP PFD SER B FIXED F S		-1,050,780.00	422.00	10.00	412.00	80.0	329.60
02/28/2017	QGV006216	MCGREGOR CAPITAL LLC REALTY INCOME CORP	S	-30,750.00	20.00	10.00	10.00	80.0	8.00
02/28/2017	QGV006216	MCGREGOR CAPITAL LLC THE TRADE DESK INC COM CL A	S	-7,622.00	20.00	10.00	10.00	80.0	8.00
03/01/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	22,134.00	20.00	10.00	10.00	80.0	8.00
03/01/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-348,977.35	150.00	10.00	140.00	80.0	112.00
03/01/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	346,766.00	150.00	10.00	140.00	80.0	112.00
03/01/2017	QGV006216	MCGREGOR CAPITAL LLC AMERIS BANCORP COM	S	-311,421.50	65.00	10.00	55.00	80.0	44.00
03/01/2017	QGV006216	MCGREGOR CAPITAL LLC HAMILTON LANE INC CL A	S	-1,785.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-424,449.00	100.00	10.00	90.00	80.0	72.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-211,950.00	100.00	10.00	90.00	80.0	72.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	429,000.00	100.00	10.00	90.00	80.0	72.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC ARES MGMT L P COM UNIT REPSTG LTD P S		-252,800.00	128.00	10.00	118.00	80.0	94.40
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC ASHFORD HOSPITALITY PRIME INC	S	-35,550.00	30.00	10.00	20.00	80.0	16.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC AXT INC COM	S	-13,500.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC COLONY STARWOOD HOMES COM	S	-13,184.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC DERMIRA INC COM	S	-1,048,350.00	300.00	10.00	290.00	80.0	232.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC IBERIABANK CORP COM	S	-278,050.00	33.50	10.00	23.50	80.0	18.80
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC KRATOS DEFENSE & SEC SOLUTIONS	S	-68,420.70	90.00	10.00	80.00	80.0	64.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC SNAP INC CLASS A COMMON STOCK	S	-2,400.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006216	MCGREGOR CAPITAL LLC SNAP INC CLASS A COMMON STOCK	S	-2,400.00	20.00	10.00	10.00	80.0	8.00
03/03/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	520,952.00	200.00	10.00	190.00	80.0	152.00
03/03/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	306,059.30	200.00	10.00	190.00	80.0	152.00
03/03/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-525,032.00	200.00	10.00	190.00	80.0	152.00
03/06/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-974,775.00	350.00	10.00	340.00	80.0	272.00
03/06/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	970,852.50	350.00	10.00	340.00	80.0	272.00
03/08/2017	QGV006216	MCGREGOR CAPITAL LLC COTIVITI HLDGS INC COM	S	-61,723.75	20.00	10.00	10.00	80.0	8.00
03/08/2017	QGV006216	MCGREGOR CAPITAL LLC HEALTH INS INNOVATIONS INC COM CL A S		-76,500.00	50.00	10.00	40.00	80.0	32.00
03/09/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-264,800.00	100.00	10.00	90.00	80.0	72.00
03/09/2017	QGV006216	MCGREGOR CAPITAL LLC BEYONDSRING INC REGISTERED SHS ISI S		-2,000.00	20.00	10.00	10.00	80.0	8.00
03/09/2017	QGV006216	MCGREGOR CAPITAL LLC EQUINIX INC COM PAR \$0 001	B	466,937.51	63.75	10.00	53.75	80.0	43.00
03/09/2017	QGV006216	MCGREGOR CAPITAL LLC EQUINIX INC COM PAR \$0 001	S	-646,443.75	86.25	10.00	76.25	80.0	61.00
03/09/2017	QGV006216	MCGREGOR CAPITAL LLC J JILL INC COM	S	-208,717.50	163.70	10.00	153.70	80.0	122.96
03/09/2017	QGV006216	MCGREGOR CAPITAL LLC PATRICK IND INC	S	-7,536.67	20.00	10.00	10.00	80.0	8.00
03/09/2017	QGV006216	MCGREGOR CAPITAL LLC SINCLAIR BROADCAST GROUP INC CL A	S	-1,267,353.00	300.00	10.00	290.00	80.0	232.00
03/09/2017	QGV006216	MCGREGOR CAPITAL LLC TG THERAPEUTICS INC COM	S	-10,650.00	20.00	10.00	10.00	80.0	8.00
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC ALEXANDRIA REAL ESTATE EQUITIES INC S		-652,099.80	60.00	10.00	50.00	80.0	40.00
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC MATLIN & PARTNERS ACQUISITION CORP S		-1,000.00	20.00	10.00	10.00	80.0	8.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC MATLIN & PARTNERS ACQUISITION CORP	S	-200,000.00	100.00	10.00	90.00	80.0	72.00
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC MATLIN & PARTNERS ACQUISITION CORP	S	1,000.00	-20.00	-10.00	-10.00	80.0	-8.00 C
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC MATLIN & PARTNERS ACQUISITION CORP	S	200,000.00	-100.00	-10.00	-90.00	80.0	-72.00 C
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC MEETME INC COM	S	-18,480.00	35.00	10.00	25.00	80.0	20.00
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC NY COMMUNITY BANCORP INC PFD FXD TO	S	-249,200.00	200.00	10.00	190.00	80.0	152.00
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC OOMA INC COM	S	-4,500.00	20.00	10.00	10.00	80.0	8.00
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC PRESIDIO INC COM	S	-110,700.00	82.00	10.00	72.00	80.0	57.60
03/10/2017	QGV006216	MCGREGOR CAPITAL LLC SINCLAIR BROADCAST GROUP INC CL A	B	1,248,651.00	300.00	10.00	290.00	80.0	232.00
03/13/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-361,000.00	150.00	10.00	140.00	80.0	112.00
03/13/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	862,038.00	250.00	10.00	240.00	80.0	192.00
03/14/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	693,000.00	200.00	10.00	190.00	80.0	152.00
03/14/2017	QGV006216	MCGREGOR CAPITAL LLC AURINIA PHARMACEUTICALS INC COM ISI	S	-407,500.00	500.00	10.00	490.00	80.0	392.00
03/14/2017	QGV006216	MCGREGOR CAPITAL LLC VALEANT PHARMACEUTICALS INTERNATION	B	1,457,824.50	500.00	10.00	490.00	80.0	392.00
03/14/2017	QGV006216	MCGREGOR CAPITAL LLC VALEANT PHARMACEUTICALS INTERNATION	S	-379,851.50	150.00	10.00	140.00	80.0	112.00
03/15/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-206,250.00	100.00	10.00	90.00	80.0	72.00
03/15/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	204,750.00	100.00	10.00	90.00	80.0	72.00
03/15/2017	QGV006216	MCGREGOR CAPITAL LLC ARDAGH GROUP SA CL A ISIN# LU156528	S	-13,170.00	20.00	10.00	10.00	80.0	8.00
03/15/2017	QGV006216	MCGREGOR CAPITAL LLC VALEANT PHARMACEUTICALS INTERNATION	B	324,501.00	200.00	10.00	190.00	80.0	152.00
03/15/2017	QGV006216	MCGREGOR CAPITAL LLC VALEANT PHARMACEUTICALS INTERNATION	S	-327,501.00	200.00	10.00	190.00	80.0	152.00
03/15/2017	QGV006216	MCGREGOR CAPITAL LLC ZOSANO PHARMA CORP COM	S	-50,800.24	100.00	10.00	90.00	80.0	72.00
03/16/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	686,100.00	200.00	10.00	190.00	80.0	152.00
03/16/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-207,750.00	100.00	10.00	90.00	80.0	72.00
03/16/2017	QGV006216	MCGREGOR CAPITAL LLC CANADA GOOSE HLDGS INC COM SHS SUB	S	-18,000.00	20.00	10.00	10.00	80.0	8.00
03/16/2017	QGV006216	MCGREGOR CAPITAL LLC TALEND S A AMERN DEPOSITARY SH ISIN	S	-6,000.00	20.00	10.00	10.00	80.0	8.00
03/16/2017	QGV006216	MCGREGOR CAPITAL LLC ZOSANO PHARMA CORP COM	B	39,618.50	233.05	10.00	223.05	80.0	178.44
03/17/2017	QGV006216	MCGREGOR CAPITAL LLC EDITAS MEDICINE INC COM	S	-57,500.00	25.00	10.00	15.00	80.0	12.00
03/17/2017	QGV006216	MCGREGOR CAPITAL LLC INVESTAR HLDG CORP COM	S	-22,250.00	20.00	10.00	10.00	80.0	8.00
03/17/2017	QGV006216	MCGREGOR CAPITAL LLC MIDWESTONE FINL GROUP INC NEW COM	S	-789,500.30	230.00	10.00	220.00	80.0	176.00
03/17/2017	QGV006216	MCGREGOR CAPITAL LLC MULESOFT INC CL A	S	-2,425.00	20.00	10.00	10.00	80.0	8.00
03/17/2017	QGV006216	MCGREGOR CAPITAL LLC TRI POINTE HOMES INC COM	S	-11,610.00	20.00	10.00	10.00	80.0	8.00
03/17/2017	QGV006216	MCGREGOR CAPITAL LLC VIVEVE MED INC COM NEW	S	-114,665.00	250.00	10.00	240.00	80.0	192.00
03/20/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	S	-846,126.00	250.00	10.00	240.00	80.0	192.00
03/20/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	347,750.00	100.00	10.00	90.00	80.0	72.00
03/21/2017	QGV006216	MCGREGOR CAPITAL LLC AXSOME THERAPEUTICS INC COM	B	21,454.42	59.73	10.00	49.73	80.0	39.78
03/21/2017	QGV006216	MCGREGOR CAPITAL LLC MERIT MEDICAL SYS INC	S	-137,200.05	45.00	10.00	35.00	80.0	28.00
03/21/2017	QGV006216	MCGREGOR CAPITAL LLC MERIT MEDICAL SYS INC	B	75,000.00	25.00	10.00	15.00	80.0	12.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC ADAPT IMMUNE THERAPEUTICS PLC SPONSO	S	-4,565.00	20.00	10.00	10.00	80.0	8.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	682,500.00	150.00	10.00	140.00	80.0	112.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC CALITHERA BIOSCIENCES INC COMMON ST	S	-730,513.00	350.00	10.00	340.00	80.0	272.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC CALITHERA BIOSCIENCES INC COMMON ST	B	204,866.00	150.00	10.00	140.00	80.0	112.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC EASTERLY GOVT PPTYS INC COM	S	-27,230.56	20.00	10.00	10.00	80.0	8.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC KEYSIGHT TECHNOLOGIES INC COM	S	-542,608.50	150.00	10.00	140.00	80.0	112.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC MERIT MEDICAL SYS INC	S	-441,250.50	150.00	10.00	140.00	80.0	112.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC TAYLOR MORRISON HOME CORP CL A	S	-8,400.00	20.00	10.00	10.00	80.0	8.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC VITAL THERAPIES INC COM	S	-61,156.80	155.00	10.00	145.00	80.0	116.00
03/22/2017	QGV006216	MCGREGOR CAPITAL LLC VITAL THERAPIES INC COM	S	61,156.80	-155.00	-10.00	-145.00	80.0	-116.00 C
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC AXSOME THERAPEUTICS INC COM	S	-82,398.75	150.00	10.00	140.00	80.0	112.00
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC AXSOME THERAPEUTICS INC COM	S	82,398.75	-150.00	-10.00	-140.00	80.0	-112.00 C
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC AXSOME THERAPEUTICS INC COM	S	-74,898.75	150.00	10.00	140.00	80.0	112.00
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC BELLICUM PHARMACEUTICALS INC COM	S	-142,887.68	104.00	10.00	94.00	80.0	75.20
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC CHERRY HILL MTG INVT CORP COM	S	-269,553.87	154.14	10.00	144.14	80.0	115.31
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC KEYSIGHT TECHNOLOGIES INC COM	B	536,500.50	150.00	10.00	140.00	80.0	112.00
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC LA JOLLA PHARMACEUTICAL CO COM PAR	S	-367,763.55	105.00	10.00	95.00	80.0	76.00
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC LSC COMMUNICATIONS INC COM	S	-9,053.96	20.00	10.00	10.00	80.0	8.00
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC MERIT MEDICAL SYS INC	B	487,500.50	170.00	10.00	160.00	80.0	128.00
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC QUICKLOGIC CORP	S	-400,725.00	250.00	10.00	240.00	80.0	192.00
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC TANDEM DIABETES CARE INC COM	S	-434,808.00	400.00	10.00	390.00	80.0	312.00
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC TANDEM DIABETES CARE INC COM	S	434,808.00	-400.00	-10.00	-390.00	80.0	-312.00 C
03/23/2017	QGV006216	MCGREGOR CAPITAL LLC TANDEM DIABETES CARE INC COM	S	-438,431.40	400.00	10.00	390.00	80.0	312.00
03/24/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	699,000.00	100.00	10.00	90.00	80.0	72.00
03/24/2017	QGV006216	MCGREGOR CAPITAL LLC ALTERYX INC COM CL A	S	-6,900.00	20.00	10.00	10.00	80.0	8.00
03/24/2017	QGV006216	MCGREGOR CAPITAL LLC BELLICUM PHARMACEUTICALS INC COM	B	134,878.64	104.00	10.00	94.00	80.0	75.20
03/24/2017	QGV006216	MCGREGOR CAPITAL LLC CALITHERA BIOSCIENCES INC COMMON ST S	S	-156,499.50	150.00	10.00	140.00	80.0	112.00
03/24/2017	QGV006216	MCGREGOR CAPITAL LLC CHERRY HILL MTG INVT CORP COM	B	254,331.00	154.14	10.00	144.14	80.0	115.31
03/24/2017	QGV006216	MCGREGOR CAPITAL LLC CONDOR HOSPITALITY TR INC COM NEW	S	-31,200.00	30.00	10.00	20.00	80.0	16.00
03/24/2017	QGV006216	MCGREGOR CAPITAL LLC SILVER RUN ACQUISITION CORP II UNIT S	S	-9,189.00	20.00	10.00	10.00	80.0	8.00
03/24/2017	QGV006216	MCGREGOR CAPITAL LLC TANDEM DIABETES CARE INC COM	S	-152,089.43	100.00	10.00	90.00	80.0	72.00
03/27/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	1,215,675.00	450.00	10.00	440.00	80.0	352.00
03/27/2017	QGV006216	MCGREGOR CAPITAL LLC CALITHERA BIOSCIENCES INC COMMON ST S	S	-105,130.00	100.00	10.00	90.00	80.0	72.00
03/27/2017	QGV006216	MCGREGOR CAPITAL LLC TANDEM DIABETES CARE INC COM	S	-74,538.00	100.00	10.00	90.00	80.0	72.00
03/28/2017	QGV006216	MCGREGOR CAPITAL LLC ADVANCED MICRO DEVICES INC	B	341,600.00	150.00	10.00	140.00	80.0	112.00
03/28/2017	QGV006216	MCGREGOR CAPITAL LLC ATHENE HLDG LTD CL A ISIN# BMG0684D S	S	-995,804.00	200.00	10.00	190.00	80.0	152.00
03/28/2017	QGV006216	MCGREGOR CAPITAL LLC CRYOPORT INC COM PAR \$0 001	S	-413,140.00	500.00	10.00	490.00	80.0	392.00
03/28/2017	QGV006216	MCGREGOR CAPITAL LLC STORE CAP CORP COM	S	-7,096.77	20.00	10.00	10.00	80.0	8.00
02/23/2017	QGV006224	DAVIS FAMILY OFFICE, CLOUD PEAK ENERGY INC COM	S	-2,100.00	20.00	10.00	10.00	80.0	8.00
02/23/2017	QGV006224	DAVIS FAMILY OFFICE, CLOUD PEAK ENERGY INC COM	S	2,100.00	-20.00	-10.00	-10.00	80.0	-8.00 C
02/24/2017	QGV006224	DAVIS FAMILY OFFICE, HI-CRUSH PARTNERS LP COM UNIT PARTN S	S	-36,000.00	40.00	10.00	30.00	80.0	24.00
02/27/2017	QGV006224	DAVIS FAMILY OFFICE, CHIMERA INVT CORP PFD SER B FIXED F S	S	-249,000.00	100.00	10.00	90.00	80.0	72.00
03/01/2017	QGV006224	DAVIS FAMILY OFFICE, AMERIS BANCORP COM	S	-364,123.60	76.00	10.00	66.00	80.0	52.80
03/01/2017	QGV006224	DAVIS FAMILY OFFICE, AMERIS BANCORP COM	B	310,170.25	65.00	10.00	55.00	80.0	44.00

COMMISSION STATEMENT for EZRA GRAYMAN

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>									
03/01/2017	QGV006224	DAVIS FAMILY OFFICE, HAMILTON LANE INC CL A	S	-3,570.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006224	DAVIS FAMILY OFFICE, ARES MGMT L P COM UNIT REPSTG LTD P S		-25,675.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006224	DAVIS FAMILY OFFICE, ASHFORD HOSPITALITY PRIME INC	S	-11,850.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006224	DAVIS FAMILY OFFICE, COLONY STARWOOD HOMES COM	S	-13,184.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006224	DAVIS FAMILY OFFICE, IBERIABANK CORP COM	S	-33,200.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006224	DAVIS FAMILY OFFICE, IBERIABANK CORP COM	S	-12,450.00	20.00	10.00	10.00	80.0	8.00
03/02/2017	QGV006224	DAVIS FAMILY OFFICE, SNAP INC CLASS A COMMON STOCK	S	-2,400.00	20.00	10.00	10.00	80.0	8.00
03/08/2017	QGV006224	DAVIS FAMILY OFFICE, COTIVITI HLDGS INC COM	S	-33,165.00	20.00	10.00	10.00	80.0	8.00
03/09/2017	QGV006224	DAVIS FAMILY OFFICE, EQUINIX INC COM PAR \$0 001	S	-112,425.00	20.00	10.00	10.00	80.0	8.00
03/09/2017	QGV006224	DAVIS FAMILY OFFICE, EQUINIX INC COM PAR \$0 001	S	-65,581.25	20.00	10.00	10.00	80.0	8.00
03/09/2017	QGV006224	DAVIS FAMILY OFFICE, J JILL INC COM	S	-6,056.25	20.00	10.00	10.00	80.0	8.00
03/09/2017	QGV006224	DAVIS FAMILY OFFICE, J JILL INC COM	S	-2,550.00	20.00	10.00	10.00	80.0	8.00
03/09/2017	QGV006224	DAVIS FAMILY OFFICE, PATRICK IND INC	S	-3,768.34	20.00	10.00	10.00	80.0	8.00
03/10/2017	QGV006224	DAVIS FAMILY OFFICE, ALEXANDRIA REAL ESTATE EQUITIES INC S		-815,124.75	75.00	10.00	65.00	80.0	52.00
03/10/2017	QGV006224	DAVIS FAMILY OFFICE, MATLIN & PARTNERS ACQUISITION CORP S		-1,000.00	20.00	10.00	10.00	80.0	8.00
03/10/2017	QGV006224	DAVIS FAMILY OFFICE, MATLIN & PARTNERS ACQUISITION CORP S		-200,000.00	100.00	10.00	90.00	80.0	72.00
03/10/2017	QGV006224	DAVIS FAMILY OFFICE, PRESIDIO INC COM	S	-14,850.00	20.00	10.00	10.00	80.0	8.00
03/16/2017	QGV006224	DAVIS FAMILY OFFICE, CANADA GOOSE HLDGS INC COM SHS SUB S		-1,350.00	20.00	10.00	10.00	80.0	8.00
03/17/2017	QGV006224	DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC	B	884,039.00	250.00	10.00	240.00	80.0	192.00
03/17/2017	QGV006224	DAVIS FAMILY OFFICE, MIDWESTONE FINL GROUP INC NEW COM S		-75,517.42	22.00	10.00	12.00	80.0	9.60
03/17/2017	QGV006224	DAVIS FAMILY OFFICE, MULESOFT INC CL A	S	-2,425.00	20.00	10.00	10.00	80.0	8.00
03/17/2017	QGV006224	DAVIS FAMILY OFFICE, VIVEVE MED INC COM NEW S		-4,586.60	20.00	10.00	10.00	80.0	8.00
03/20/2017	QGV006224	DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC	S	-916,636.50	250.00	10.00	240.00	80.0	192.00
03/22/2017	QGV006224	DAVIS FAMILY OFFICE, VITAL THERAPIES INC COM S		-61,156.80	155.00	10.00	145.00	80.0	116.00
03/23/2017	QGV006224	DAVIS FAMILY OFFICE, AXSOME THERAPEUTICS INC COM S		-7,500.00	20.00	10.00	10.00	80.0	8.00
03/23/2017	QGV006224	DAVIS FAMILY OFFICE, LSC COMMUNICATIONS INC COM S		-3,961.11	20.00	10.00	10.00	80.0	8.00
03/23/2017	QGV006224	DAVIS FAMILY OFFICE, LSC COMMUNICATIONS INC COM S		-22,634.90	20.00	10.00	10.00	80.0	8.00
03/23/2017	QGV006224	DAVIS FAMILY OFFICE, TANDEM DIABETES CARE INC COM S		-12,078.00	100.00	10.00	90.00	80.0	72.00
03/23/2017	QGV006224	DAVIS FAMILY OFFICE, TANDEM DIABETES CARE INC COM S		12,078.00	-100.00	-10.00	-90.00	80.0	-72.00 C
03/23/2017	QGV006224	DAVIS FAMILY OFFICE, TANDEM DIABETES CARE INC COM S		-8,454.60	100.00	10.00	90.00	80.0	72.00
03/24/2017	QGV006224	DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC	B	1,042,792.50	100.00	10.00	90.00	80.0	72.00
03/24/2017	QGV006224	DAVIS FAMILY OFFICE, ALTERYX INC COM CL A	S	-3,450.00	20.00	10.00	10.00	80.0	8.00
03/28/2017	QGV006224	DAVIS FAMILY OFFICE, CRYOPORT INC COM PAR \$0 001 S		-10,328.50	50.00	10.00	40.00	80.0	32.00
03/28/2017	QGV006224	DAVIS FAMILY OFFICE, STORE CAP CORP COM S		-75,698.88	32.00	10.00	22.00	80.0	17.60
03/09/2017	QGV006257	MCGREGOR CAPITAL LLC EQUINIX INC COM PAR \$0 001 S		-262,325.00	35.00	10.00	25.00	80.0	20.00
03/09/2017	QGV006257	MCGREGOR CAPITAL LLC J JILL INC COM S		-21,675.00	20.00	10.00	10.00	80.0	8.00
02/28/2017	QGW001133	BRAND, MATTHEW ZVELO INC COM	B	33,310.40	350.00	10.00	340.00	80.0	272.00
03/14/2017	QGW014847	ALBANESE, JOHN VALEANT PHARMACEUTICALS INTERNATION B		132,103.20	720.00	10.00	710.00	80.0	568.00
03/20/2017	QGW014847	ALBANESE, JOHN OPHTHOTECH CORPORATION COM S		-35,557.00	600.00	10.00	590.00	80.0	472.00
03/01/2017	QGW014870	GOLD, ALAN GABELLI GLOBAL SMALL & MID CAP VALU S		-225.68	50.00	10.00	40.00	80.0	32.00

COMMISSION STATEMENT for EZRA GRAYMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
02/24/2017	QGW014888	RINGER, DENNIS	AUXILIO INC COM NEW	S	-3,750.00	75.00	10.00	65.00	80.0	52.00
03/08/2017	QGW014888	RINGER, DENNIS	AUXILIO INC COM NEW	S	-5,097.00	100.00	10.00	90.00	80.0	72.00
03/10/2017	QGW014888	RINGER, DENNIS	AUXILIO INC COM NEW	S	-2,379.75	75.00	10.00	65.00	80.0	52.00
03/13/2017	QGW014888	RINGER, DENNIS	AUXILIO INC COM NEW	S	-2,750.00	75.00	10.00	65.00	80.0	52.00
02/28/2017	QGW015075	RARE COIN GALLERIES, VALEANT PHARMACEUTICALS INTERNATION	S	-81,625.00	300.00	10.00	290.00	80.0	232.00	
03/13/2017	QGW015075	RARE COIN GALLERIES, ARATANA THERAPEUTICS INC COM	B	35,119.00	300.00	10.00	290.00	80.0	232.00	
03/14/2017	QGW015075	RARE COIN GALLERIES, VALEANT PHARMACEUTICALS INTERNATION	B	84,788.80	480.00	10.00	470.00	80.0	376.00	
03/28/2017	QGW015174	MINTEER, JAMES	MGM RESORTS INTL COM	S	-32,196.00	75.00	10.00	65.00	80.0	52.00
03/28/2017	QGW015174	MINTEER, JAMES	MGM RESORTS INTL COM	S	32,196.00	-75.00	-10.00	-65.00	80.0	-52.00 C
03/28/2017	QGW015174	MINTEER, JAMES	MGM RESORTS INTL COM	S	-32,196.00	75.00	10.00	65.00	80.0	52.00
03/01/2017	QGW024606	GOLD, ALAN	CHEMOURS COMPANY (THE) COM	S	-700.60	50.00	10.00	40.00	80.0	32.00
03/01/2017	QGW024606	GOLD, ALAN	DELL TECHNOLOGIES INC CLASS V COMMO	S	-2,116.88	50.00	10.00	40.00	80.0	32.00
03/01/2017	QGW024614	GOLD, SUSAN	CHEMOURS COMPANY (THE) COM	S	-699.81	50.00	10.00	40.00	80.0	32.00
03/01/2017	QGW024614	GOLD, SUSAN	DELL TECHNOLOGIES INC CLASS V COMMO	S	-2,117.37	50.00	10.00	40.00	80.0	32.00
03/01/2017	QGW024622	GOLD, ALAN	CHEMOURS COMPANY (THE) COM	S	-700.60	50.00	10.00	40.00	80.0	32.00
03/01/2017	QGW024630	GOLD, SUSAN	CHEMOURS COMPANY (THE) COM	S	-699.61	50.00	10.00	40.00	80.0	32.00
02/28/2017	QGW031338	BRAND, MATTHEW	HOMEFED CORP COM PAR \$.01	B	19,100.00	100.00	10.00	90.00	80.0	72.00
03/07/2017	QGW031338	BRAND, MATTHEW	HOMEFED CORP COM PAR \$.01	B	22,907.50	125.00	10.00	115.00	80.0	92.00
03/22/2017	QGW031650	FIBER TECHNOLOGY	FTE NETWORKS INC COM PAR\$.001	S	-22,018.56	1,075.00	10.00	1,065.00	80.0	852.00
03/24/2017	QGW031650	FIBER TECHNOLOGY	FTE NETWORKS INC COM PAR\$.001	S	-16,100.00	790.00	10.00	780.00	80.0	624.00
03/17/2017	QGW036352	LAWRENCE ADAMS LTD	VALIDIAN CORPORATION	S	-12,191.41	182.00	10.00	172.00	80.0	137.60
03/20/2017	QGW036352	LAWRENCE ADAMS LTD	BANK OF AMERICA CORP	S	-123,211.00	150.00	10.00	140.00	80.0	112.00
03/20/2017	QGW036352	LAWRENCE ADAMS LTD	VALIDIAN CORPORATION	S	-1,140.00	75.00	10.00	65.00	80.0	52.00
03/21/2017	QGW036352	LAWRENCE ADAMS LTD	BANK OF AMERICA CORP	S	-230,211.00	300.00	10.00	290.00	80.0	232.00
03/21/2017	QGW036352	LAWRENCE ADAMS LTD	BANK OF AMERICA CORP	S	-188,897.60	240.00	10.00	230.00	80.0	184.00
03/21/2017	QGW036352	LAWRENCE ADAMS LTD	VALIDIAN CORPORATION	S	-2,737.50	75.00	10.00	65.00	80.0	52.00
03/22/2017	QGW036352	LAWRENCE ADAMS LTD	VALIDIAN CORPORATION	S	-200.00	75.00	10.00	65.00	80.0	52.00
03/22/2017	QGW036352	LAWRENCE ADAMS LTD	VALIDIAN CORPORATION	S	200.00	-75.00	-10.00	-65.00	80.0	-52.00 C
03/22/2017	QGW036352	LAWRENCE ADAMS LTD	VALIDIAN CORPORATION	S	-3,750.00	75.00	10.00	65.00	80.0	52.00
03/24/2017	QGW036352	LAWRENCE ADAMS LTD	VALIDIAN CORPORATION	S	-3,579.62	75.00	10.00	65.00	80.0	52.00
* STOCKS SUBTOTAL *				\$-9,448,825.67	\$35,015.26	\$1,930.00	\$33,085.26		\$26,468.20	

PRODUCT CATEGORY: BONDS

03/17/2017	QGV006216	MCGREGOR CAPITAL LLC	TESLA MTRS INC FXD RT SR NT CONV 2. S		-10,000.00	0.00	10.00	-10.00	80.0	-8.00
* BONDS SUBTOTAL *					\$-10,000.00	\$0.00	\$10.00	\$-10.00		\$-8.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/15/2017	QGW014870	GOLD, ALAN	GOLDMAN SACHS SHORT DURATION TAX FR B		0.00	4.38	0.00	4.38	80.0	3.50
03/23/2017	QGW014870	GOLD, ALAN	NUVEEN LIMITED TERM MUNI BOND CLASS B		0.00	4.81	0.00	4.81	80.0	3.85
03/24/2017	QGW024606	GOLD, ALAN	PIMCO COMMODITY REAL RETURN STRATEG B		0.00	3.71	0.00	3.71	80.0	2.97

COMMISSION STATEMENT for EZRA GRAYMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/24/2017	QGW024614	GOLD, SUSAN	PIMCO COMMODITY REAL RETURN STRATEG B	0.00	2.13	0.00	2.13	80.0	1.70
03/20/2017	QGW024622	GOLD, ALAN	COLUMBIA SHORT TERM BOND FUND CLASS B	0.00	26.43	0.00	26.43	80.0	21.14
03/24/2017	QGW024622	GOLD, ALAN	PIMCO COMMODITY REAL RETURN STRATEG B	0.00	1.59	0.00	1.59	80.0	1.27
03/20/2017	QGW024630	GOLD, SUSAN	COLUMBIA SHORT TERM BOND FUND CLASS B	0.00	13.06	0.00	13.06	80.0	10.45
03/24/2017	QGW024630	GOLD, SUSAN	PIMCO COMMODITY REAL RETURN STRATEG B	0.00	1.59	0.00	1.59	80.0	1.27
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$57.70	\$0.00	\$57.70		\$46.15
*** BROKER TRANSACTIONS TOTAL ***				\$-9,458,825.67	\$35,072.96	\$1,940.00	\$33,132.96		\$26,506.35

ADJUSTMENTS

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

BROKER COMMISSION TOTALS

Broker Transactions	\$26,506.35
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	\$-43.84
SIPC Assessment	\$-657.62

Check Amount	\$25,784.89
Year-to-date Earnings	\$51,073.15