

## COMMISSION STATEMENT

September 29, 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
<b><u>BROKER TRANSACTIONS</u></b>									
<b>PRODUCT CATEGORY: STOCKS</b>									
08/31/2017	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	9,060.00	150.00	0.00	150.00 52.0 78.00
09/15/2017	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	B	110,000.00	250.00	0.00	250.00 52.0 130.00
09/15/2017	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	B	115,000.00	250.00	0.00	250.00 52.0 130.00
09/18/2017	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-24,680.00	50.00	0.00	50.00 52.0 26.00
09/18/2017	QGW007700	SARNA, MARK		FREEPORT MCMORAN INC	S	-14,130.00	50.00	0.00	50.00 52.0 26.00
09/20/2017	QGW007700	SARNA, MARK		ALCOA CORPORATION COMMON STOCK	S	-47,471.30	50.00	0.00	50.00 52.0 26.00
08/31/2017	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	15,100.00	250.00	0.00	250.00 52.0 130.00
09/15/2017	QGW007825	SARNA FAMILY LTD		BANK OF AMERICA CORP	B	110,000.00	250.00	0.00	250.00 52.0 130.00
09/15/2017	QGW007825	SARNA FAMILY LTD		BANK OF AMERICA CORP	B	115,000.00	250.00	0.00	250.00 52.0 130.00
09/15/2017	QGW007825	SARNA FAMILY LTD		GOLDMAN SACHS GROUP INC	B	410,000.00	100.00	0.00	100.00 52.0 52.00
09/15/2017	QGW007825	SARNA FAMILY LTD		SCHLUMBERGER LTD	B	180,000.00	150.00	0.00	150.00 52.0 78.00
09/25/2017	QGW007825	SARNA FAMILY LTD		SCHLUMBERGER LTD	S	-69,973.40	50.00	0.00	50.00 52.0 26.00
09/07/2017	QGW020927	KNIGHT, DAVID		DIREXION SHARES ETF TRUST DAILY FIN B		6,895.08	50.00	0.00	50.00 52.0 26.00
09/14/2017	QGW020927	KNIGHT, DAVID		BALLARD PWR SYS INC NEW COM ISIN#CA B		1,369.95	50.00	0.00	50.00 52.0 26.00
09/27/2017	QGW020927	KNIGHT, DAVID		DIREXION SHARES ETF TRUST DAILY FIN S		-5,950.00	50.00	0.00	50.00 52.0 26.00
08/31/2017	QGW028755	SARNA, MARK		ANTARES PHARMA INC COM	B	6,040.00	100.00	0.00	100.00 52.0 52.00
08/31/2017	QGW029993	SARNA, MARK		ANTARES PHARMA INC COM	B	6,040.00	100.00	0.00	100.00 52.0 52.00
08/31/2017	QGW036618	SARNA, MARK		ANTARES PHARMA INC COM	B	6,040.00	100.00	0.00	100.00 52.0 52.00
09/15/2017	QGW036618	SARNA, MARK		BANK OF AMERICA CORP	B	22,000.00	50.00	0.00	50.00 52.0 26.00
				<b>* STOCKS SUBTOTAL *</b>		<b>\$950,340.33</b>	<b>\$2,350.00</b>	<b>\$0.00</b>	<b>\$2,350.00 \$1,222.00</b>

**PRODUCT CATEGORY: OPTIONS**

09/05/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 10- B		7,530.00	90.00	0.00	90.00 52.0 46.80
09/07/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 10- B		4,400.00	60.00	0.00	60.00 52.0 31.20
09/11/2017	QGW007700	SARNA, MARK		CALL 100 AA FURTHER ADJ (33 ARNC,11 S		-8,100.00	40.00	0.00	40.00 52.0 20.80
09/12/2017	QGW007700	SARNA, MARK		CALL 100 MARATHON OIL CORP COM EXP S		-2,650.00	30.00	0.00	30.00 52.0 15.60
09/13/2017	QGW007700	SARNA, MARK		CALL 100 EXXON MOBIL CORP COM EXP 0 S		-2,190.00	30.00	0.00	30.00 52.0 15.60
09/13/2017	QGW007700	SARNA, MARK		CALL 100 MARATHON OIL CORP COM EXP S		-2,950.00	30.00	0.00	30.00 52.0 15.60
09/15/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 09- S		-6,780.00	90.00	0.00	90.00 52.0 46.80
09/15/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 09- S		-3,780.00	90.00	0.00	90.00 52.0 46.80
09/15/2017	QGW007700	SARNA, MARK		CALL 100 MARATHON OIL CORP COM EXP B		5,910.00	90.00	0.00	90.00 52.0 46.80

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

09/15/2017	QGW007700	SARNA, MARK	CALL 100 MARATHON OIL CORP COM EXP S	-5,800.00	60.00	0.00	60.00	52.0	31.20
09/25/2017	QGW007700	SARNA, MARK	CALL 100 MARATHON OIL CORP COM EXP S	-3,200.00	40.00	0.00	40.00	52.0	20.80
09/26/2017	QGW007700	SARNA, MARK	CALL 100 MARATHON OIL CORP COM EXP S	-3,350.00	40.00	0.00	40.00	52.0	20.80
09/27/2017	QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 10- S	-3,460.00	40.00	0.00	40.00	52.0	20.80
09/27/2017	QGW007700	SARNA, MARK	CALL 100 MARATHON OIL CORP COM EXP S	-3,710.00	40.00	0.00	40.00	52.0	20.80
09/28/2017	QGW007700	SARNA, MARK	CALL 100 AA FURTHER ADJ (33 ARNC,11 S	-17,500.00	80.00	0.00	80.00	52.0	41.60
09/05/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 10- B	12,550.00	150.00	0.00	150.00	52.0	78.00
09/05/2017	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	18,557.00	80.00	0.00	80.00	52.0	41.60
09/07/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 10- B	6,600.00	90.00	0.00	90.00	52.0	46.80
09/07/2017	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	22,394.00	80.00	0.00	80.00	52.0	41.60
09/08/2017	QGW007825	SARNA FAMILY LTD	CALL 100 CHIPOTLE MEXICAN GRILL INC B	12,100.00	40.00	0.00	40.00	52.0	20.80
09/11/2017	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO S	-11,500.00	40.00	0.00	40.00	52.0	20.80
09/12/2017	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO S	-15,600.00	40.00	0.00	40.00	52.0	20.80
09/12/2017	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO S	-2,400.00	30.00	0.00	30.00	52.0	15.60
09/12/2017	QGW007825	SARNA FAMILY LTD	CALL 100 SCHLUMBERGER LTD COM ISIN# S	-13,100.00	80.00	0.00	80.00	52.0	41.60
09/13/2017	QGW007825	SARNA FAMILY LTD	CALL 100 EXXON MOBIL CORP COM EXP 0 S	-2,190.00	30.00	0.00	30.00	52.0	15.60
09/13/2017	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	2,250.00	30.00	0.00	30.00	52.0	15.60
09/14/2017	QGW007825	SARNA FAMILY LTD	CALL 100 EXXON MOBIL CORP COM EXP 0 S	-2,550.00	30.00	0.00	30.00	52.0	15.60
09/14/2017	QGW007825	SARNA FAMILY LTD	CALL 100 SCHLUMBERGER LTD COM ISIN# S	-7,700.00	40.00	0.00	40.00	52.0	20.80
09/15/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 09- S	-6,780.00	90.00	0.00	90.00	52.0	46.80
09/15/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 09- S	-3,780.00	90.00	0.00	90.00	52.0	46.80
09/15/2017	QGW007825	SARNA FAMILY LTD	CALL 100 CHIPOTLE MEXICAN GRILL INC S	-24,500.00	40.00	0.00	40.00	52.0	20.80
09/15/2017	QGW007825	SARNA FAMILY LTD	CALL 100 CHIPOTLE MEXICAN GRILL INC S	-14,000.00	40.00	0.00	40.00	52.0	20.80
* OPTIONS SUBTOTAL *				\$-75,279.00	\$1,870.00	\$0.00	\$1,870.00		\$972.40

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/18/2017	QGW021909	MASSA, MARY	TRANSAMERICA MULTI-MANAGED BALANCED B	0.00	7.80	0.00	7.80	52.0	4.06
09/26/2017	QGW028755	SARNA, MARK	THORNBURG INVESTMENT INCOME BUILDER B	0.00	16.51	0.00	16.51	52.0	8.59
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$24.31	\$0.00	\$24.31		\$12.65
*** BROKER TRANSACTIONS TOTAL ***				\$875,061.33	\$4,244.31	\$0.00	\$4,244.31		\$2,207.05

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

09/29/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00		-2,097.68
09/29/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-2,117.68

BROKER COMMISSION TOTALS

Broker Transactions	\$2,207.05
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2,117.68
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-5.31
SIPC Assessment	\$-10.61

Check Amount	\$73.45
Year-to-date Earnings	\$2,884.28