

COMMISSION STATEMENT

October 31, 2017

JAY SHARTSIS

54 BIRCHWOOD LANE

HARTSDALE, NY, NY 10530

BROKER #: 37

BRANCH: HOME OFFICE

COMMISSION STATEMENT for JAY SHARTSIS

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>									
10/20/2017	75501319	GILBERTSON, JAY	CHEVRON CORPORATION	B	99,438.11	500.00	10.00	490.00	50.0 245.00
10/20/2017	75501319	GILBERTSON, JAY	MERCK & CO INC	B	99,344.29	500.00	10.00	490.00	50.0 245.00
10/20/2017	75501319	GILBERTSON, JAY	VERIZON COMMUNICATIONS	B	99,823.18	500.00	10.00	490.00	50.0 245.00
10/20/2017	75501319	GILBERTSON, JAY	WESTERN GAS EQUITY PARTNERS LP COM	B	99,609.09	500.00	10.00	490.00	50.0 245.00
10/11/2017	QGW008872	CINQUEMANI, FRANK	BHP BILLITON LTD SPONSORED ADR	S	-8,587.19	50.00	6.00	44.00	50.0 22.00
10/18/2017	QGW008872	CINQUEMANI, FRANK	UNITED STATES OIL FUND LP UNITS ETF	S	-5,236.75	62.50	6.00	56.50	50.0 28.25
10/18/2017	QGW008872	CINQUEMANI, FRANK	VANTIV INC CL A	S	-13,790.20	50.00	6.00	44.00	50.0 22.00
10/25/2017	QGW008872	CINQUEMANI, FRANK	SANGAMO BIOSCIENCES INC COM	S	-1,273.89	50.00	6.00	44.00	50.0 22.00
10/02/2017	QGW009151	KOBOLD, MICHAEL	VIRNETX HOLDING CORPORATION	B	2,625.00	83.19	6.00	77.19	50.0 38.60
10/09/2017	QGW009151	KOBOLD, MICHAEL	VIRNETX HOLDING CORPORATION	B	3,375.44	84.02	6.00	78.02	50.0 39.01
10/09/2017	QGW009177	-, MICHAEL KRUEGER	INTEST CORP COM	S	-4,725.00	50.00	6.00	44.00	50.0 22.00
10/20/2017	QGW009177	-, MICHAEL KRUEGER	PROSHARES TR II ULTRA BLOOMBERG NAT	B	9,000.00	50.00	6.00	44.00	50.0 22.00
10/27/2017	QGW009177	-, MICHAEL KRUEGER	AXT INC COM	S	-4,700.00	50.00	6.00	44.00	50.0 22.00
10/20/2017	QGW009292	OSTOW, MARK	HERBALIFE LTD COMMON STOCK	S	-67,500.00	586.22	6.00	580.22	50.0 290.11
10/20/2017	QGW009292	OSTOW, MARK	HERBALIFE LTD COMMON STOCK	B	70,000.00	598.64	6.00	592.64	50.0 296.32
10/20/2017	QGW009292	OSTOW, MARK	HERBALIFE LTD COMMON STOCK	S	67,500.00	-586.22	-6.00	-580.22	50.0 -290.11 C
10/20/2017	QGW009292	OSTOW, MARK	HERBALIFE LTD COMMON STOCK	S	-67,500.00	125.00	6.00	119.00	50.0 59.50
10/20/2017	QGW009292	OSTOW, MARK	HERBALIFE LTD COMMON STOCK	B	-70,000.00	-598.64	-6.00	-592.64	50.0 -296.32 C
10/20/2017	QGW009292	OSTOW, MARK	HERBALIFE LTD COMMON STOCK	B	70,000.00	125.00	6.00	119.00	50.0 59.50
10/10/2017	QGW009367	SCHIFF MINOR, NICOLE	BEST BUY CO INC (MN)	S	-11,406.02	50.00	6.00	44.00	50.0 22.00
10/11/2017	QGW009367	SCHIFF MINOR, NICOLE	BHP BILLITON LTD SPONSORED ADR	S	-16,356.32	50.00	6.00	44.00	50.0 22.00
10/18/2017	QGW009367	SCHIFF MINOR, NICOLE	UNITED STATES OIL FUND LP UNITS ETF	S	-5,236.70	62.50	6.00	56.50	50.0 28.25
10/18/2017	QGW009367	SCHIFF MINOR, NICOLE	VANTIV INC CL A	S	-13,780.90	50.00	6.00	44.00	50.0 22.00
10/25/2017	QGW009367	SCHIFF MINOR, NICOLE	SANGAMO BIOSCIENCES INC COM	S	-1,273.89	50.00	6.00	44.00	50.0 22.00
10/10/2017	QGW009490	PARTNERSHIP, 311	BEST BUY CO INC (MN)	S	-28,515.85	62.50	6.00	56.50	50.0 28.25
10/11/2017	QGW009490	PARTNERSHIP, 311	BHP BILLITON LTD SPONSORED ADR	S	-40,893.20	125.00	6.00	119.00	50.0 59.50
10/18/2017	QGW009490	PARTNERSHIP, 311	UNITED STATES OIL FUND LP UNITS ETF	S	-10,482.50	125.00	6.00	119.00	50.0 59.50
10/10/2017	QGW009540	CINQUEMANI, FRANK	BEST BUY CO INC (MN)	S	-57,031.20	125.00	6.00	119.00	50.0 59.50
10/11/2017	QGW009540	CINQUEMANI, FRANK	BHP BILLITON LTD SPONSORED ADR	S	-40,891.10	125.00	6.00	119.00	50.0 59.50
10/18/2017	QGW009540	CINQUEMANI, FRANK	UNITED STATES OIL FUND LP UNITS ETF	S	-10,482.50	125.00	6.00	119.00	50.0 59.50
10/25/2017	QGW009540	CINQUEMANI, FRANK	SANGAMO BIOSCIENCES INC COM	S	-25,477.80	140.00	6.00	134.00	50.0 67.00

COMMISSION STATEMENT for JAY SHARTSIS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
10/09/2017	QGW009581	PRINDLE DDS	WASHINGTON PRIME GROUP NEW COM	B	40,000.00	120.00	6.00	114.00	57.00
10/13/2017	QGW009581	PRINDLE DDS	WASHINGTON PRIME GROUP NEW COM	B	4,000.00	75.00	6.00	69.00	34.50
10/20/2017	QGW009581	PRINDLE DDS	WASHINGTON PRIME GROUP NEW COM	B	6,000.00	139.10	6.00	133.10	66.55
10/10/2017	QGW021420	CINQUEMANI, FRANK	BEST BUY CO INC (MN)	S	-17,109.03	50.00	6.00	44.00	22.00
10/11/2017	QGW021420	CINQUEMANI, FRANK	BHP BILLITON LTD SPONSORED ADR	S	-40,891.00	125.00	6.00	119.00	59.50
10/18/2017	QGW021420	CINQUEMANI, FRANK	UNITED STATES OIL FUND LP UNITS ETF	S	-5,246.75	62.50	6.00	56.50	28.25
10/06/2017	QGW021461	BURNS, RHONDIE	KIRKLAND LAKE GOLD LTD COM ISIN# CA B		1,393.78	50.00	6.00	44.00	22.00
10/20/2017	QGW021461	BURNS, RHONDIE	HERTZ GLOBAL HLDGS INC NEW COM	S	-3,500.00	72.05	6.00	66.05	33.03
10/20/2017	QGW029514	HUNT, GREGORY	HERBALIFE LTD COMMON STOCK	S	-135,000.00	971.24	6.00	965.24	482.62
10/20/2017	QGW029514	HUNT, GREGORY	HERBALIFE LTD COMMON STOCK	B	140,000.00	996.08	6.00	990.08	495.04
10/20/2017	QGW029514	HUNT, GREGORY	HERBALIFE LTD COMMON STOCK	S	135,000.00	-971.24	-6.00	-965.24	-482.62 C
10/20/2017	QGW029514	HUNT, GREGORY	HERBALIFE LTD COMMON STOCK	S	-135,000.00	125.00	6.00	119.00	59.50
10/20/2017	QGW029514	HUNT, GREGORY	HERBALIFE LTD COMMON STOCK	B	-140,000.00	-996.08	-6.00	-990.08	-495.04 C
10/20/2017	QGW029514	HUNT, GREGORY	HERBALIFE LTD COMMON STOCK	B	140,000.00	125.00	6.00	119.00	59.50
* STOCKS SUBTOTAL *					\$105,221.10	\$4,813.36	\$238.00	\$4,575.36	\$2,287.69

PRODUCT CATEGORY: OPTIONS

10/19/2017	QGW009094	KANTO, WILLIAM		CALL 100 ISHARES TR BARCLAYS 20+ YR S		-7,970.00	98.00	7.00	91.00 50.0 45.50
10/19/2017	QGW009094	KANTO, WILLIAM		CALL 100 ISHARES TR BARCLAYS 20+ YR B		4,584.00	75.00	7.00	68.00 50.0 34.00
09/29/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP B		700.00	58.80	7.00	51.80 50.0 25.90
10/02/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP S		-2,250.00	111.38	7.00	104.38 50.0 52.19
10/02/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP S		-1,150.00	95.65	7.00	88.65 50.0 44.33
10/02/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP S		1,150.00	-95.65	-7.00	-88.65 50.0 -44.33 C
10/02/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP S		-1,150.00	57.50	7.00	50.50 50.0 25.25
10/03/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP S		-975.00	81.90	7.00	74.90 50.0 37.45
10/03/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP S		975.00	-81.90	-7.00	-74.90 50.0 -37.45 C
10/03/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP S		-975.00	81.90	7.00	74.90 50.0 37.45
10/05/2017	QGW009151	KOBOLD, MICHAEL		PUT 100 VIRNETX HLDG CORP COM EXP 1 B		800.00	67.20	7.00	60.20 50.0 30.10
10/06/2017	QGW009151	KOBOLD, MICHAEL		PUT 100 VIRNETX HLDG CORP COM EXP 1 S		-1,014.80	84.74	7.00	77.74 50.0 38.87
10/09/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP B		3,840.00	115.00	7.00	108.00 50.0 54.00
10/10/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP S		-3,800.00	115.00	7.00	108.00 50.0 54.00
10/11/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP B		5,400.00	180.00	7.00	173.00 50.0 86.50
10/16/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP B		3,200.00	120.00	7.00	113.00 50.0 56.50
10/17/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP B		900.00	75.60	7.00	68.60 50.0 34.30
10/17/2017	QGW009151	KOBOLD, MICHAEL		CALL 100 VIRNETX HLDG CORP COM EXP B		300.00	50.00	7.00	43.00 50.0 21.50
10/04/2017	QGW009177	-, MICHAEL KRUEGER		PUT 100 ISHARES INC MSCI BRAZIL CAP B		700.00	50.00	7.00	43.00 50.0 21.50
10/09/2017	QGW009177	-, MICHAEL KRUEGER		PUT 100 ISHARES INC MSCI BRAZIL CAP S		-1,430.00	50.00	7.00	43.00 50.0 21.50
10/25/2017	QGW009177	-, MICHAEL KRUEGER		CALL 100 PROSHARES TR II ULTRA BLOO S		-700.00	50.00	7.00	43.00 50.0 21.50
10/26/2017	QGW009177	-, MICHAEL KRUEGER		PUT 100 ULTRA CLEAN HLDGS INC COM E S		-325.00	50.00	7.00	43.00 50.0 21.50
10/27/2017	QGW009177	-, MICHAEL KRUEGER		CALL 100 DIREXION SHS ETF TR DAILY B		800.00	50.00	7.00	43.00 50.0 21.50

COMMISSION STATEMENT for JAY SHARTSIS

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>									
10/27/2017	QGW009177 - , MICHAEL KRUEGER	CALL 100 DIREXION SHS ETF TR DAILY B		520.00	50.00	7.00	43.00	50.0	21.50
10/06/2017	QGW009292 OSTOW, MARK	CALL 100 DIREXION SHS ETF TR DAILY B		3,300.00	210.87	7.00	203.87	50.0	101.94
09/29/2017	QGW009581 PRINDLE DDS	CALL 100 RITE AID CORP EXP 01-19-18 S		-1,300.00	99.00	7.00	92.00	50.0	46.00
09/29/2017	QGW009581 PRINDLE DDS	CALL 100 RITE AID CORP EXP 10-27-17 S		-480.00	50.00	7.00	43.00	50.0	21.50
10/19/2017	QGW029514 HUNT, GREGORY	CALL 100 ISHARES INC MSCI BRAZIL CA B		1,325.00	75.00	7.00	68.00	50.0	34.00
10/25/2017	QGW029514 HUNT, GREGORY	PUT 100 BARCLAYS BK PLC IPATH S&P 5 B		1,340.10	101.01	7.00	94.01	50.0	47.01
10/25/2017	QGW029514 HUNT, GREGORY	PUT 100 BARCLAYS BK PLC IPATH S&P 5 S		-8,700.00	140.00	7.00	133.00	50.0	66.50
* OPTIONS SUBTOTAL *				\$-2,385.70	\$2,266.00	\$182.00	\$2,084.00		\$1,042.01
<u>PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT</u>									
10/19/2017	75501320 GILBERTSON, JAY	BANKUNITED NATL ASSN CD 1.3 C/D FDI B		133,000.00	66.50	10.00	56.50	50.0	28.25
10/19/2017	75501320 GILBERTSON, JAY	BARCLAYS BK DEL RETAIL C/D FDIC INS B		134,113.89	133.99	10.00	123.99	50.0	62.00
10/19/2017	75501320 GILBERTSON, JAY	ENTERPRISE BK & TR LOWELL CD C/D FDB		133,000.00	33.25	10.00	23.25	50.0	11.63
* CERTIFICATES OF DEPOSIT SUBTOTAL *				\$400,113.89	\$233.74	\$30.00	\$203.74		\$101.88
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/10/2017	75501786 WRIGHTON, BRYAN	**CLEARBRIDGE LARGE CAP VALUE B		0.00	42.37	0.00	42.37	50.0	21.19
10/27/2017	QGW030561 CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B		0.00	0.27	0.00	0.27	50.0	0.14
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$42.64	\$0.00	\$42.64		\$21.33
*** BROKER TRANSACTIONS TOTAL ***				\$502,949.29	\$7,355.74	\$450.00	\$6,905.74		\$3,452.91
<u>ADJUSTMENTS</u>									
10/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
10/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
10/31/2017		OTHER: OTHER--SALARY		0.00	0.00	0.00	0.00		500.00
10/31/2017		OTHER: OTHER--TELEPHONE		0.00	0.00	0.00	0.00		-25.87
10/31/2017		OTHER: CBOE		0.00	0.00	0.00	0.00		-250.00
10/31/2017		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-96.36
10/31/2017		OTHER: QUODD		0.00	0.00	0.00	0.00		-65.88
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$33.89

BROKER COMMISSION TOTALS

Broker Transactions	\$3,452.91
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$33.89
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-9.19
SIPC Assessment	\$-18.39

Check Amount	\$3,459.22
Year-to-date Earnings	\$8,610.44