

STATEMENT

July 20, 2018

GLENN GERSON
11190 SW Springtree Terrace
SUITE 205
Port St. Lucie, FL 34987

BROKER #: U01
BRANCH: LU BRANCH

COMMISSION STATEMENT for GLENN GERSON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
05/31/2018 #	GRABEL, GARY	CAPRICOR THERAPEUTICS INC	645.30	32.27	90.0	0.00	29.04	19.95	9.09
05/31/2018 #	GRABEL, GARY	CAPRICOR THERAPEUTICS INC	12,759.48	303.75	90.0	20.00	293.38	19.95	273.43
05/31/2018 #	GRABEL, GARY	MADRIGAL PHARMACEUTICALS INC COM	74,102.25	315.00	90.0	20.00	303.50	19.95	283.55
06/04/2018 #	GRABEL, ROSANNA	CAPRICOR THERAPEUTICS INC	13,200.00	330.00	90.0	20.00	317.00	19.95	297.05
06/08/2018 #	GRABEL, GARY	***AMARIN CORPORATION PLC	674.00	50.00	90.0	20.00	65.00	19.95	45.05
06/13/2018 #	GRABEL, GARY	***AMARIN CORPORATION PLC	16,080.00	619.61	90.0	20.00	577.65	19.95	557.70
06/15/2018 #	GRABEL, ROSANNA	***AMARIN CORPORATION PLC	16,393.00	637.08	90.0	20.00	593.37	19.95	573.42
06/20/2018 #	FANG, MING	***AMARIN CORPORATION PLC	16,243.00	634.90	90.0	20.00	591.41	19.95	571.46
06/25/2018 #	GRABEL, GARY	GERON CORP	16,581.60	620.44	90.0	20.00	578.40	19.95	558.45
06/25/2018 #	GRABEL, ROSANNA	ZIOPHARM ONCOLOGY INC	10,780.00	458.62	90.0	20.00	432.76	19.95	412.81
06/26/2018 #	FANG, MING	BRISTOL MYERS SQUIBB CO	54,950.00	681.15	90.0	20.00	633.04	19.95	613.09
06/27/2018 #	GRABEL, GARY	VODAFONE GROUP PLC SPONSORED ADR NO	36,400.00	587.15	90.0	20.00	548.44	19.95	528.49
* STOCKS SUBTOTAL *			\$268,808.63	\$5,269.97		\$220.00	\$4,962.99	\$239.40	\$4,723.59
<u>PRODUCT CATEGORY: OPTIONS</u>									
06/01/2018 #	GRABEL, GARY	CALL CECO 10/19/18 17	8,500.00	425.00	90.0	20.00	402.50	109.95	292.55
06/14/2018 #	GRABEL, GARY	CALL CPB 01/18/19 45	4,000.00	200.00	90.0	20.00	200.00	64.95	135.05
06/15/2018 #	GRABEL, GARY	CALL AMRN 09/21/18 4	4,200.00	210.00	90.0	20.00	209.00	64.95	144.05
06/15/2018 #	GRABEL, ROSANNA	CALL AMRN 09/21/18 6	5,050.00	252.50	90.0	20.00	247.25	64.95	182.30
06/18/2018 #	GRABEL, GARY	PUT AMAT 10/19/18 39	3,000.00	150.00	90.0	20.00	155.00	64.95	90.05
06/19/2018 #	GRABEL, GARY	CALL ARWR 08/17/18 19	3,500.00	175.00	90.0	20.00	177.50	64.95	112.55
06/19/2018 #	GRABEL, GARY	PUT ZIOP 10/19/18 3.50	3,250.00	162.50	90.0	20.00	166.25	64.95	101.30
06/20/2018 #	FANG, MING	CALL AMRN 09/21/18 6	5,100.00	255.00	90.0	20.00	249.50	64.95	184.55
06/20/2018 #	GRABEL, GARY	CALL AMRN 12/21/18 6	5,525.00	276.25	90.0	20.00	268.63	96.45	172.18
06/25/2018 #	GRABEL, GARY	CALL GERN 12/21/18 5.50	4,277.00	213.85	90.0	20.00	212.47	62.25	150.22
* OPTIONS SUBTOTAL *			\$46,402.00	\$2,320.10		\$200.00	\$2,288.10	\$723.30	\$1,564.80

COMMISSION STATEMENT for GLENN GERSON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	POSTAGE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
06/11/2018 # WEI, HONG SHENG		DAIN TRAILER	0.00	15.30	90.0	0.00	13.77	0.00	13.77
06/11/2018 # LIANG, YUN PING		DAIN TRAILER	0.00	0.67	90.0	0.00	0.60	0.00	0.60
06/11/2018 # PAN, CHIN YI		DAIN TRAILER	0.00	0.42	90.0	0.00	0.38	0.00	0.38
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$16.39		\$0.00	\$14.75	\$0.00	\$14.75
*** BROKER TRANSACTIONS TOTAL ***			\$315,210.63	\$7,606.46		\$420.00	\$7,265.84	\$962.70	\$6,303.14
<u>OVERRIDE TRANSACTIONS</u>									
		PARKIH, DHRUMIL		4,523.79					452.47
		PRASAD, ABHISHEK		10,035.91					1,003.66
*** OVERRIDE TRANSACTIONS TOTAL ***				\$14,559.70					\$1,456.13
<u>ADJUSTMENTS</u>									
07/20/2018		BETA BACK OFFICE: ADMIN FEE							-390.00
07/20/2018		E & O INSURANCE: E & O INSURANCE							-249.00
07/20/2018		MWWOD:MISCELLANEOUS: WRITE-OFF							-2.00
		DEBIT BALANCE							
07/20/2018		MWWOD:MISCELLANEOUS: WRITE-OFF							-2.00
		DEBIT BALANCE							
07/20/2018		MWWOD:MISCELLANEOUS: WRITE-OFF							-1.96
		DEBIT BALANCE							
07/20/2018		MWWOD:MISCELLANEOUS: WRITE-OFF							-2.00
		DEBIT BALANCE							
*** ADJUSTMENTS TOTAL ***									\$-646.96

BROKER COMMISSION TOTALS

Broker Transactions	\$6,303.14
Split Transactions	\$0.00
Override Transactions	\$1,456.13
Adjustments	\$-646.96
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7,112.31
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