

COMMISSION STATEMENT

August 31, 2017

ANDREW STUART SACHS

1 DEVONSHIRE COURT

PLAINVIEW, NY 11803

BROKER #: 5

BRANCH: HOME OFFICE

COMMISSION STATEMENT for ANDREW STUART SACHS

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

08/16/2017	QGW032013	STROPE, DALE	ICICI BANK LTD SPONSORED ADR	S	-12,038.40	75.00	0.00	75.00	82.5	61.88
08/18/2017	QGW032013	STROPE, DALE	CENTURYTEL INC	S	-9,350.00	75.00	0.00	75.00	82.5	61.88
08/18/2017	QGW032047	SHIER, ANDY	CENTURYTEL INC	S	-9,636.50	75.00	0.00	75.00	82.5	61.88
08/08/2017	QGW032054	PAEGLOW, JOSEPH	INTERNATIONAL BUSINESS MACHINES COR S	S	-14,211.01	100.00	0.00	100.00	82.5	82.50
08/09/2017	QGW032054	PAEGLOW, JOSEPH	AMERICAN EXPRESS COMPANY (N.Y)	B	25,764.00	650.00	0.00	650.00	82.5	536.25
08/11/2017	QGW032054	PAEGLOW, JOSEPH	VODAFONE GROUP PLC SPONSORED ADR NO S	S	-14,551.50	120.00	0.00	120.00	82.5	99.00
08/18/2017	QGW032054	PAEGLOW, JOSEPH	CENTURYTEL INC	S	-9,251.50	75.00	0.00	75.00	82.5	61.88
08/11/2017	QGW032096	YALINEWITZ, BOAZ	VODAFONE GROUP PLC SPONSORED ADR NO S	S	-8,724.90	120.00	0.00	120.00	82.5	99.00
08/18/2017	QGW032096	YALINEWITZ, BOAZ	JD.COM INC SPONSORED ADR REPSTG COM S	S	-12,183.30	75.00	0.00	75.00	82.5	61.88
07/27/2017	QGW032104	DAVIDOV, WILLIAM	NRG ENERGY INC	B	2,470.00	40.00	0.00	40.00	82.5	33.00
08/02/2017	QGW032104	DAVIDOV, WILLIAM	OCLARO INC COM NEW	S	-2,700.00	40.00	0.00	40.00	82.5	33.00
08/04/2017	QGW032104	DAVIDOV, WILLIAM	ILG INC COM	S	-3,945.00	20.00	0.00	20.00	82.5	16.50
08/04/2017	QGW032104	DAVIDOV, WILLIAM	KKR & CO L P DEL COM UNITS	B	3,903.90	40.00	0.00	40.00	82.5	33.00
08/11/2017	QGW032104	DAVIDOV, WILLIAM	ICICI BANK LTD SPONSORED ADR	S	-3,921.94	40.00	0.00	40.00	82.5	33.00
08/18/2017	QGW032104	DAVIDOV, WILLIAM	ADVANCED MICRO DEVICES INC	S	-3,723.90	40.00	0.00	40.00	82.5	33.00
08/25/2017	QGW032104	DAVIDOV, WILLIAM	ELECTRO SCIENTIFIC INDS INC COM	B	1,198.00	25.00	0.00	25.00	82.5	20.63
08/25/2017	QGW032104	DAVIDOV, WILLIAM	TWITTER INC	B	3,336.00	40.00	0.00	40.00	82.5	33.00
08/14/2017	QGW032112	CIARLO, ANTHONY	VODAFONE GROUP PLC SPONSORED ADR NO S	S	-5,840.00	75.00	0.00	75.00	82.5	61.88
07/27/2017	QGW032120	DAVIDOV, WILLIAM	COMMERCIAL METALS CO	B	3,860.00	40.00	0.00	40.00	82.5	33.00
08/02/2017	QGW032120	DAVIDOV, WILLIAM	CHEMOURS COMPANY (THE) COM	B	4,794.76	40.00	0.00	40.00	82.5	33.00
08/07/2017	QGW032195	NERY, GENEROSO	GILEAD SCIENCES INC	S	-8,700.00	40.00	0.00	40.00	82.5	33.00
07/27/2017	QGW032203	SHIPLEY, CRAIG	PATTERN ENERGY GROUP INC CL A	B	5,000.00	120.00	0.00	120.00	82.5	99.00
07/27/2017	QGW032203	SHIPLEY, CRAIG	WEYERHAEUSER CO	S	-3,400.00	75.00	0.00	75.00	82.5	61.88
08/02/2017	QGW032229	WATSON, ROGER	ALIBABA GROUP HOLDING LTD SPONSORED S	S	-4,511.85	50.00	0.00	50.00	82.5	41.25
07/31/2017	QGW032237	PETERSON, SHAWN	DINEEQUITY INC	S	-28,476.00	100.00	0.00	100.00	82.5	82.50
08/02/2017	QGW032237	PETERSON, SHAWN	ALIBABA GROUP HOLDING LTD SPONSORED S	S	-30,016.60	500.00	0.00	500.00	82.5	412.50
08/08/2017	QGW032237	PETERSON, SHAWN	COHERUS BIOSCIENCES INC COM	S	-4,470.00	50.00	0.00	50.00	82.5	41.25
08/09/2017	QGW032237	PETERSON, SHAWN	AMERICAN EXPRESS COMPANY (N.Y)	B	25,710.00	650.00	0.00	650.00	82.5	536.25
08/15/2017	QGW032237	PETERSON, SHAWN	TARGET CORP	B	16,320.00	400.00	0.00	400.00	82.5	330.00
08/16/2017	QGW032237	PETERSON, SHAWN	CENTURYTEL INC	S	-10,390.00	75.00	0.00	75.00	82.5	61.88
08/25/2017	QGW032237	PETERSON, SHAWN	FACEBOOK INC CL A	B	16,688.00	465.00	0.00	465.00	82.5	383.63

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
08/16/2017	QGW032245	D'ADAMO, WILLIAM	ALIBABA GROUP HOLDING LTD SPONSORED B	15,955.24	150.00	0.00	150.00	82.5	123.75
08/16/2017	QGW032245	D'ADAMO, WILLIAM	INTERNATIONAL BUSINESS MACHINES COR S	-11,405.81	75.00	0.00	75.00	82.5	61.88
08/16/2017	QGW032245	D'ADAMO, WILLIAM	STARBUCKS CORP S	-21,432.28	75.00	0.00	75.00	82.5	61.88
08/16/2017	QGW032245	D'ADAMO, WILLIAM	TWITTER INC S	-3,992.53	75.00	0.00	75.00	82.5	61.88
08/18/2017	QGW032302	CHEN, PETER	JD.COM INC SPONSORED ADR REPSTG COM S	-11,146.99	75.00	0.00	75.00	82.5	61.88
07/27/2017	QGW032344	DYKSTRA, JAMES	JD.COM INC SPONSORED ADR REPSTG COM B	11,450.00	300.00	0.00	300.00	82.5	247.50
08/21/2017	QGW032351	COLLINS, DONNIE	ICICI BANK LTD SPONSORED ADR S	-5,060.00	55.00	0.00	55.00	82.5	45.38
08/07/2017	QGW032484	SILVER, THEODORE	APPLE INC B	14,195.69	140.00	0.00	140.00	82.5	115.50
08/07/2017	QGW032484	SILVER, THEODORE	INTERNATIONAL BUSINESS MACHINES COR S	-14,335.90	100.00	0.00	100.00	82.5	82.50
08/07/2017	QGW032484	SILVER, THEODORE	RITE AID CORPORATION S	-243.24	50.00	0.00	50.00	82.5	41.25
08/10/2017	QGW032534	RAY, DAVID	GAMCO GLOBAL GOLD NATURAL RESOURCES B	1,127.00	35.00	0.00	35.00	82.5	28.88
08/24/2017	QGW032542	CHRIST, PHILIP	VODAFONE GROUP PLC SPONSORED ADR NO S	-858.60	35.00	0.00	35.00	82.5	28.88
07/27/2017	QGW033102	SHIPLEY, CRAIG	TARGET CORP B	8,325.00	175.00	0.00	175.00	82.5	144.38
08/10/2017	QGW033227	WHITE, CLARENCE	APPLE INC B	8,890.56	235.00	0.00	235.00	82.5	193.88
08/10/2017	QGW033227	WHITE, CLARENCE	GLAXOSMITHKLINE PLC SPONSORED ADR(F S	-5,865.53	100.00	0.00	100.00	82.5	82.50
08/10/2017	QGW033862	RAY, DAVID	AT&T INC B	1,723.50	50.00	0.00	50.00	82.5	41.25
08/01/2017	QGW034100	SOMOGYI, ANTHONY	NETFLIX COM INC S	-6,380.15	100.00	0.00	100.00	82.5	82.50
08/11/2017	QGW034100	SOMOGYI, ANTHONY	ALIBABA GROUP HOLDING LTD SPONSORED B	6,295.38	140.00	0.00	140.00	82.5	115.50
08/10/2017	QGW037228	VARAGANTI, PRAVEEN	APPLE INC B	3,336.90	100.00	0.00	100.00	82.5	82.50
08/24/2017	QGW038507	ARGUIN, MICHAEL	ALIBABA GROUP HOLDING LTD SPONSORED B	9,808.40	50.00	0.00	50.00	82.5	41.25
* STOCKS SUBTOTAL *				\$-90,611.10	\$6,445.00	\$0.00	\$6,445.00		\$5,317.22
<u>PRODUCT CATEGORY: OPTIONS</u>									
08/01/2017	QGW032047	SHIER, ANDY	PUT 100 AXALTA COATING SYSTEMS LTD B	315.00	30.00	0.00	30.00	82.5	24.75
08/18/2017	QGW032047	SHIER, ANDY	PUT 100 AXALTA COATING SYSTEMS LTD S	-1,485.00	35.00	0.00	35.00	82.5	28.88
08/02/2017	QGW032674	ONESTO, RICHARD	PUT 100 ALIBABA GROUP HLDG LTD SPON B	45.00	5.00	0.00	5.00	82.5	4.13
08/03/2017	QGW032674	ONESTO, RICHARD	PUT 100 TESLA INC EXP 09-15-17 @300 B	340.00	20.00	0.00	20.00	82.5	16.50
08/09/2017	QGW032674	ONESTO, RICHARD	PUT 100 APPLE INC COM EXP 09-22-17@ S	-485.00	20.00	0.00	20.00	82.5	16.50
08/28/2017	QGW032674	ONESTO, RICHARD	CALL 100 MAZOR ROBOTICS LTD SPONSOR S	-4,080.00	35.00	0.00	35.00	82.5	28.88
08/28/2017	QGW032674	ONESTO, RICHARD	CALL 100 MAZOR ROBOTICS LTD SPONSOR B	1,440.00	25.00	0.00	25.00	82.5	20.63
* OPTIONS SUBTOTAL *				\$-3,910.00	\$170.00	\$0.00	\$170.00		\$140.27
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
08/14/2017	QGW033185	DEVORE, DOREEN	AIT ARROW DWA BALANCED FUND CLASS C B	0.00	5.98	0.00	5.98	82.5	4.93
08/14/2017	QGW033185	DEVORE, DOREEN	WELLS FARGO EMERGING MARKETS EQUITY B	0.00	0.52	0.00	0.52	82.5	0.43
08/14/2017	QGW033383	DEROIN, KATHLEEN	FRK AGE HIGH INC FND - CL A B	0.00	0.70	0.00	0.70	82.5	0.58
08/14/2017	QGW035305	POORMAN, JEFFREY	FRANKLIN INCOME FUND CLASS A B	0.00	0.25	0.00	0.25	82.5	0.21
08/14/2017	QGW035305	POORMAN, JEFFREY	MUTUAL SERIES SHARES CLASS A B	0.00	0.48	0.00	0.48	82.5	0.40
08/15/2017	QGW036923	CHAPMAN, HERBERT	EUROPACIFIC GROWTH FUND-A B	0.00	0.31	0.00	0.31	82.5	0.26
08/15/2017	QGW036923	CHAPMAN, HERBERT	FUNDAMENTAL INVESTORS-A B	0.00	0.36	0.00	0.36	82.5	0.30

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
08/15/2017	QGW036923	CHAPMAN, HERBERT	SMALLCAP WORLD FUND-A	B	0.00	0.17	0.00	0.17	82.5	0.14
08/15/2017	QGW036923	CHAPMAN, HERBERT	THE BOND FUND OF AMERICA-A	B	0.00	0.29	0.00	0.29	82.5	0.24
08/15/2017	QGW036923	CHAPMAN, HERBERT	THE GROWTH FUND OF AMERICA-A	B	0.00	0.38	0.00	0.38	82.5	0.31
08/15/2017	QGW036923	CHAPMAN, HERBERT	THE INVESTMENT COMPANY OF AMERICA-A B		0.00	0.16	0.00	0.16	82.5	0.13
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$9.60	\$0.00	\$9.60		\$7.93
*** BROKER TRANSACTIONS TOTAL ***					\$-94,521.10	\$6,624.60	\$0.00	\$6,624.60		\$5,465.42

ADJUSTMENTS

08/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-123.75
08/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
08/31/2017	OTHER: OTHER-POSTAGE	0.00	0.00	0.00	0.00	-30.81
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-162.56

BROKER COMMISSION TOTALS

Broker Transactions	\$5,465.42
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-162.56
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-8.28
SIPC Assessment	\$-16.56

Check Amount	\$5,278.02
Year-to-date Earnings	\$17,775.84