

COMMISSION STATEMENT

June 30, 2018

RICHARD BELZ
40 Wall Street

New York, NY 10005

BROKER #: C40 C42
BRANCH: HOME OFFICE

COMMISSION STATEMENT for RICHARD BELZ

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

BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | |
|-----------------------------|-----------------------|---------------------------------------|---|--------|-------|------|-------|------|-------|
| 06/19/2018 (None) | VARIOUS, BELZ RICHARD | BALANCED A | B | 0.00 | 1.26 | 0.00 | 1.26 | 90.0 | 1.13 |
| 06/05/2018 000000000055499 | SAVELIS, LAILA | FRANKLIN/TEMPLETON FUNDS 353533763 | B | 387.50 | 13.80 | 0.00 | 13.80 | 90.0 | 12.42 |
| 06/19/2018 000000000055499 | SAVELIS, LAILA | FRANKLIN/TEMPLETON FUNDS 353533763 | B | 387.50 | 13.80 | 0.00 | 13.80 | 90.0 | 12.42 |
| 06/05/2018 0000000000591610 | VARIOUS, BELZ | FRANKLIN TEMPLETON | B | 680.00 | 12.92 | 0.00 | 12.92 | 90.0 | 11.63 |
| 06/19/2018 0000000000591610 | VARIOUS, BELZ | FRANKLIN TEMPLETON | B | 680.00 | 12.92 | 0.00 | 12.92 | 90.0 | 11.63 |
| 05/29/2018 0000000000888774 | COLEMAN, | FRK AGGRESSIVE GRWTH - CL A | B | 108.75 | 2.90 | 0.00 | 2.90 | 90.0 | 2.61 |
| 06/11/2018 0000000000888774 | COLEMAN, | FRK AGGRESSIVE GRWTH - CL A | B | 108.75 | 2.90 | 0.00 | 2.90 | 90.0 | 2.61 |
| 06/05/2018 0000000002577132 | OTTO, DAVID | FRANKLIN SMALL-MID CAP GROWTH FUND | B | 500.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 06/19/2018 0000000002577132 | OTTO, DAVID | FRANKLIN SMALL-MID CAP GROWTH FUND | B | 500.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 05/29/2018 0000000004328098 | COLEMAN, | FRK TEMP FOUNDING FUNDS ALLOC FND C B | B | 362.50 | 9.64 | 0.00 | 9.64 | 90.0 | 8.68 |
| 06/11/2018 0000000004328098 | COLEMAN, | FRK TEMP FOUNDING FUNDS ALLOC FND C B | B | 362.50 | 9.64 | 0.00 | 9.64 | 90.0 | 8.68 |
| 05/29/2018 0000000004468094 | COLEMAN, | MUTUAL DISC FND - CL A | B | 145.00 | 3.86 | 0.00 | 3.86 | 90.0 | 3.47 |
| 06/11/2018 0000000004468094 | COLEMAN, | MUTUAL DISC FND - CL A | B | 145.00 | 3.86 | 0.00 | 3.86 | 90.0 | 3.47 |
| 06/05/2018 0000000005055304 | SULLIVAN, | MUTUAL DISC FND - CL A | B | 125.00 | 5.94 | 0.00 | 5.94 | 90.0 | 5.35 |
| 06/19/2018 0000000005055304 | SULLIVAN, | MUTUAL DISC FND - CL A | B | 125.00 | 5.94 | 0.00 | 5.94 | 90.0 | 5.35 |
| 06/05/2018 000010186458322 | VARIOUS, BELZ | FRANKLIN U.S. GOVERNMENT SECURITIES | B | 170.00 | 3.23 | 0.00 | 3.23 | 90.0 | 2.91 |
| 06/19/2018 000010186458322 | VARIOUS, BELZ | FRANKLIN U.S. GOVERNMENT SECURITIES | B | 170.00 | 3.23 | 0.00 | 3.23 | 90.0 | 2.91 |
| 06/05/2018 000015813591680 | SAVELIS, LAILA | FRANKLIN RISING DIVIDENDS FD CLASS | B | 387.50 | 13.80 | 0.00 | 13.80 | 90.0 | 12.42 |
| 06/19/2018 000015813591680 | SAVELIS, LAILA | FRANKLIN RISING DIVIDENDS FD CLASS | B | 387.50 | 13.80 | 0.00 | 13.80 | 90.0 | 12.42 |
| 05/29/2018 000019411906629 | COLEMAN, | FRK STRAT INC FND - CL A | B | 108.75 | 2.90 | 0.00 | 2.90 | 90.0 | 2.61 |
| 06/11/2018 000019411906629 | COLEMAN, | FRK STRAT INC FND - CL A | B | 108.75 | 2.90 | 0.00 | 2.90 | 90.0 | 2.61 |
| 06/05/2018 000090230176100 | SULLIVAN, | FRANKLIN INCOME FUND CLASS A | B | 125.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 06/19/2018 000090230176100 | SULLIVAN, | FRANKLIN INCOME FUND CLASS A | B | 125.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 06/04/2018 00056956375 | FERRADO, MICHAEL | AMCAP FUND-A | B | 400.00 | 16.15 | 0.00 | 16.15 | 90.0 | 14.54 |
| 06/20/2018 00056956375 | FERRADO, MICHAEL | AMCAP FUND-A | B | 200.00 | 8.07 | 0.00 | 8.07 | 90.0 | 7.26 |
| 06/21/2018 00063004460 | SCHENK, STEVEN | WASHINGTON MUTUAL INVESTORS FUND-A | B | 125.00 | 4.46 | 0.00 | 4.46 | 90.0 | 4.01 |
| 06/13/2018 00064802351 | SCHENK, ERIC | THE GROWTH FUND OF AMERICA-A | B | 30.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 06/13/2018 00064818808 | SCHENK, ERIC | AMCAP FUND-A | B | 25.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.80 |
| 05/29/2018 00075280585 | MILLER, SAMANTHA | AMERICAN BALANCED FUND-A | B | 225.00 | 5.88 | 0.00 | 5.88 | 90.0 | 5.29 |
| 05/29/2018 00075280585 | MILLER, SAMANTHA | THE GROWTH FUND OF AMERICA-A | B | 225.00 | 5.88 | 0.00 | 5.88 | 90.0 | 5.29 |
| 06/11/2018 00075280585 | MILLER, SAMANTHA | AMERICAN BALANCED FUND-A | B | 225.00 | 5.88 | 0.00 | 5.88 | 90.0 | 5.29 |

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| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | |
|--------------------------------|-------------|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | | |
| 06/11/2018 | 00075280585 | MILLER, SAMANTHA | THE GROWTH FUND OF AMERICA-A | B | 225.00 | 5.88 | 0.00 | 5.88 | 90.0 | 5.29 |
| 06/15/2018 | 00084040075 | WILLIAMS, ALYSSA | CAPITAL WORLD GROWTH AND INCOME FUN | B | 100.00 | 4.04 | 0.00 | 4.04 | 90.0 | 3.64 |
| 06/15/2018 | 00084040075 | WILLIAMS, ALYSSA | WASHINGTON MUTUAL INVESTORS FUND-A | B | 100.00 | 4.04 | 0.00 | 4.04 | 90.0 | 3.64 |
| 06/15/2018 | 00088094822 | WILLIAMS, ALYSSA | GLOBAL BALANCED FUND-C | B | 50.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.42 |
| 05/29/2018 | 00453533309 | BURNS, KATHLEEN | PUTNAM 746933100 | B | 150.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 05/29/2018 | 00453533309 | BURNS, KATHLEEN | PUTNAM GLOBAL CUSTOMER FUND CLASS A | B | 150.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 06/11/2018 | 00453533309 | BURNS, KATHLEEN | PUTNAM 746933100 | B | 150.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 06/11/2018 | 00453533309 | BURNS, KATHLEEN | PUTNAM GLOBAL CUSTOMER FUND CLASS A | B | 150.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 06/11/2018 | 00487862253 | PERUGINI, MILDRED | PUTNAM 746745108 | B | 100.00 | 2.61 | 0.00 | 2.61 | 90.0 | 2.35 |
| 06/11/2018 | 00487862253 | PERUGINI, MILDRED | PUTNAM 746802800 | B | 150.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 06/11/2018 | 00487862253 | PERUGINI, MILDRED | PUTNAM NEW OPPORTUNITIES FUND CLASS | B | 150.00 | 3.92 | 0.00 | 3.92 | 90.0 | 3.53 |
| 06/04/2018 | 00501256730 | KUNSCH, STEPHEN | PUTNAM 746802800 | B | 100.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 05/22/2018 | 00503977532 | SCHAEFER, DOREEN | PUTNAM 746809102 | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 05/22/2018 | 00503977532 | SCHAEFER, DOREEN | PUTNAM GLOBAL EQUITY FUND CLASS A | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 06/04/2018 | 00503977532 | SCHAEFER, DOREEN | PUTNAM 746809102 | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 06/04/2018 | 00503977532 | SCHAEFER, DOREEN | PUTNAM GLOBAL EQUITY FUND CLASS A | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 05/29/2018 | 00514953902 | STELLATO, BRIAN | PUTNAM 746809102 | B | 100.00 | 3.56 | 0.00 | 3.56 | 90.0 | 3.20 |
| 05/29/2018 | 00514953902 | STELLATO, BRIAN | PUTNAM GLOBAL EQUITY FUND CLASS A | B | 100.00 | 3.56 | 0.00 | 3.56 | 90.0 | 3.20 |
| 06/11/2018 | 00514953902 | STELLATO, BRIAN | PUTNAM 746809102 | B | 100.00 | 3.56 | 0.00 | 3.56 | 90.0 | 3.20 |
| 06/11/2018 | 00514953902 | STELLATO, BRIAN | PUTNAM GLOBAL EQUITY FUND CLASS A | B | 100.00 | 3.56 | 0.00 | 3.56 | 90.0 | 3.20 |
| 05/22/2018 | 00515030771 | ONORATO, LAURA | PUTNAM 746933100 | B | 301.00 | 7.87 | 0.00 | 7.87 | 90.0 | 7.08 |
| 05/22/2018 | 00515030771 | ONORATO, LAURA | PUTNAM GLOBAL CUSTOMER FUND CLASS A | B | 203.00 | 5.30 | 0.00 | 5.30 | 90.0 | 4.77 |
| 05/22/2018 | 00515030771 | ONORATO, LAURA | PUTNAM-746764109 | B | 196.00 | 5.12 | 0.00 | 5.12 | 90.0 | 4.61 |
| 06/04/2018 | 00515030771 | ONORATO, LAURA | PUTNAM 746933100 | B | 301.00 | 7.87 | 0.00 | 7.87 | 90.0 | 7.08 |
| 06/04/2018 | 00515030771 | ONORATO, LAURA | PUTNAM GLOBAL CUSTOMER FUND CLASS A | B | 203.00 | 5.30 | 0.00 | 5.30 | 90.0 | 4.77 |
| 06/04/2018 | 00515030771 | ONORATO, LAURA | PUTNAM-746764109 | B | 196.00 | 5.12 | 0.00 | 5.12 | 90.0 | 4.61 |
| 05/29/2018 | 00551218283 | C GARRUPPO, | PUTNAM 746802800 | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 05/29/2018 | 00551218283 | C GARRUPPO, | PUTNAM 746763200 | B | 50.00 | 2.37 | 0.00 | 2.37 | 90.0 | 2.13 |
| 05/29/2018 | 00551218283 | C GARRUPPO, | PUTNAM-746764109 | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 06/11/2018 | 00551218283 | C GARRUPPO, | PUTNAM 746802800 | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 06/11/2018 | 00551218283 | C GARRUPPO, | PUTNAM 746763200 | B | 50.00 | 2.37 | 0.00 | 2.37 | 90.0 | 2.13 |
| 06/11/2018 | 00551218283 | C GARRUPPO, | PUTNAM-746764109 | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 05/22/2018 | 00551279988 | AZZATO, JOSEPH | PUTNAM 746745108 | B | 125.00 | 5.94 | 0.00 | 5.94 | 90.0 | 5.35 |
| 05/22/2018 | 00551279988 | AZZATO, JOSEPH | PUTNAM 746933100 | B | 100.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 05/22/2018 | 00551279988 | AZZATO, JOSEPH | PUTNAM 746802800 | B | 125.00 | 5.94 | 0.00 | 5.94 | 90.0 | 5.35 |
| 05/22/2018 | 00551279988 | AZZATO, JOSEPH | PUTNAM-746764109 | B | 150.00 | 7.12 | 0.00 | 7.12 | 90.0 | 6.41 |
| 06/04/2018 | 00551279988 | AZZATO, JOSEPH | PUTNAM 746745108 | B | 125.00 | 5.94 | 0.00 | 5.94 | 90.0 | 5.35 |
| 06/04/2018 | 00551279988 | AZZATO, JOSEPH | PUTNAM 746933100 | B | 100.00 | 4.75 | 0.00 | 4.75 | 90.0 | 4.28 |
| 06/04/2018 | 00551279988 | AZZATO, JOSEPH | PUTNAM 746802800 | B | 125.00 | 5.94 | 0.00 | 5.94 | 90.0 | 5.35 |
| 06/04/2018 | 00551279988 | AZZATO, JOSEPH | PUTNAM-746764109 | B | 150.00 | 7.12 | 0.00 | 7.12 | 90.0 | 6.41 |

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|--------------------------------|-------------|---------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------------|----------------------|--------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | | |
| 05/29/2018 | 00551371986 | ROSSO, RONALD | PUTNAM 746747104 | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 05/29/2018 | 00551371986 | ROSSO, RONALD | PUTNAM 746802800 | B | 40.00 | 1.90 | 0.00 | 1.90 | 90.0 | 1.71 |
| 05/29/2018 | 00551371986 | ROSSO, RONALD | PUTNAM SMALL CAP GROWTH FUND CLASS | B | 35.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 06/11/2018 | 00551371986 | ROSSO, RONALD | PUTNAM 746747104 | B | 25.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 06/11/2018 | 00551371986 | ROSSO, RONALD | PUTNAM 746802800 | B | 40.00 | 1.90 | 0.00 | 1.90 | 90.0 | 1.71 |
| 06/11/2018 | 00551371986 | ROSSO, RONALD | PUTNAM SMALL CAP GROWTH FUND CLASS | B | 35.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 06/13/2018 | 01000144893 | VARIOUS, BELZ | OPPENHEIMER 683793400 | B | 0.00 | 1,095.35 | 0.00 | 1,095.35 | 90.0 | 985.82 |
| 06/26/2018 | 01000144893 | VARIOUS, BELZ | OPPENHEIMER 683793400 | B | 0.00 | 1,041.89 | 0.00 | 1,041.89 | 90.0 | 937.70 |
| * MUTUAL FUNDS SUBTOTAL * | | | | | \$12,530.00 | \$2,511.15 | \$0.00 | \$2,511.15 | \$2,260.07 | |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | | |
|------------|-----------|--------------------|---------------------------------------|---|------------|--------|-------|--------|------|--------|
| 06/22/2018 | QGW034027 | HALL, JONATHAN | ARCONIC INC COM | S | -19,975.68 | 175.75 | 11.40 | 164.35 | 90.0 | 146.78 |
| 06/13/2018 | QGW035404 | RICCA, MARIA | NEW RESIDENTIAL INVESTMENT CORP | B | 25,368.00 | 308.75 | 11.40 | 297.35 | 90.0 | 266.48 |
| 05/30/2018 | QGW035412 | AMENITA, PATRICIA | KRATOS DEFENSE & SEC SOLUTIONS | S | -22,480.00 | 213.75 | 11.40 | 202.35 | 90.0 | 180.98 |
| 06/15/2018 | QGW035545 | KMIECIAK, INES | TWITTER INC | S | -79,200.00 | 466.49 | 11.40 | 455.09 | 90.0 | 408.44 |
| 06/15/2018 | QGW035644 | MONGELUZZI, LINDA | OPKO HEALTH INC | S | -12,000.00 | 147.06 | 11.40 | 135.66 | 90.0 | 120.95 |
| 06/15/2018 | QGW035644 | MONGELUZZI, LINDA | PAYPAL HOLDINGS INC COM | S | -85,000.00 | 500.65 | 11.40 | 489.25 | 90.0 | 439.19 |
| 06/11/2018 | QGW035651 | YONGE, DAVID | SACHEM CAPITAL CORP COMMON SHARES | S | -18,612.00 | 19.00 | 11.40 | 7.60 | 90.0 | 5.70 |
| 06/15/2018 | QGW035768 | MASSA, PATRICIA | OPKO HEALTH INC | S | -56,000.00 | 329.84 | 11.40 | 318.44 | 90.0 | 285.46 |
| 06/13/2018 | QGW035834 | CHAUDHRY, JAHANZEB | BUCKEYE PARTNERS LP UNITS LTD PARTN S | S | -18,359.75 | 80.75 | 11.40 | 69.35 | 90.0 | 61.28 |
| 06/15/2018 | QGW035834 | CHAUDHRY, JAHANZEB | OPKO HEALTH INC | S | -36,000.00 | 300.96 | 11.40 | 289.56 | 90.0 | 259.46 |
| 06/27/2018 | QGW035883 | BUDKEVICS, YANA | SACHEM CAPITAL CORP COMMON SHARES | B | 8,100.00 | 247.00 | 11.40 | 235.60 | 90.0 | 210.90 |
| 06/11/2018 | QGW035917 | BOVE, DOMINICK | NEW RESIDENTIAL INVESTMENT CORP | B | 36,340.00 | 378.10 | 11.40 | 366.70 | 90.0 | 328.89 |
| 06/13/2018 | QGW035917 | BOVE, DOMINICK | SACHEM CAPITAL CORP COMMON SHARES | B | 39,593.00 | 950.00 | 11.40 | 938.60 | 90.0 | 843.60 |
| 06/08/2018 | QGW035982 | PANASUK, JOHN | WALT DISNEY CO | B | 41,290.44 | 365.75 | 11.40 | 354.35 | 90.0 | 317.78 |
| 06/27/2018 | QGW035982 | PANASUK, JOHN | NEW RESIDENTIAL INVESTMENT CORP | B | 17,970.00 | 156.75 | 11.40 | 145.35 | 90.0 | 129.68 |
| 06/15/2018 | QGW036030 | BALLO, CATHERINE | OPKO HEALTH INC | S | -38,000.00 | 317.68 | 11.40 | 306.28 | 90.0 | 274.51 |
| 06/15/2018 | QGW036055 | MATACOTTA, CORINNA | TWITTER INC | S | -36,000.00 | 300.96 | 11.40 | 289.56 | 90.0 | 259.46 |
| 06/15/2018 | QGW036386 | FRANCK, RACHEL | TWITTER INC | S | -36,000.00 | 300.96 | 11.40 | 289.56 | 90.0 | 259.46 |
| 06/04/2018 | QGW036980 | MARCOLINI, COREY | CHARTER COMMUNICATIONS INC NEW CL A S | S | -1,333.16 | 46.55 | 11.40 | 35.15 | 90.0 | 30.50 |
| 06/04/2018 | QGW036980 | MARCOLINI, COREY | TELLURIAN INC NEW COM | S | -1,359.38 | 56.05 | 11.40 | 44.65 | 90.0 | 39.05 |
| 06/04/2018 | QGW036980 | MARCOLINI, COREY | TIME WARNER INC | S | -4,677.19 | 56.05 | 11.40 | 44.65 | 90.0 | 39.05 |
| 06/11/2018 | QGW037103 | BURNS, KATHLEEN | NEW RESIDENTIAL INVESTMENT CORP | B | 25,480.00 | 270.75 | 11.40 | 259.35 | 90.0 | 232.28 |
| 06/15/2018 | QGW037103 | BURNS, KATHLEEN | OPKO HEALTH INC | S | -24,000.00 | 250.80 | 11.40 | 239.40 | 90.0 | 214.32 |
| 06/15/2018 | QGW038556 | LAPINTA, LEONARD | PAYPAL HOLDINGS INC COM | S | -85,000.00 | 500.65 | 11.40 | 489.25 | 90.0 | 439.19 |
| 06/25/2018 | QGW038960 | ROMANO, LOUIS | SACHEM CAPITAL CORP COMMON SHARES | B | 41,300.00 | 950.00 | 11.40 | 938.60 | 90.0 | 843.60 |
| 06/19/2018 | QGW039083 | SIMMONS, RICHARD | SACHEM CAPITAL CORP COMMON SHARES | B | 30,087.50 | 688.75 | 11.40 | 677.35 | 90.0 | 608.48 |
| 06/11/2018 | QGW039216 | MCCARTHY, MARCIA | NEW RESIDENTIAL INVESTMENT CORP | B | 36,300.00 | 368.60 | 11.40 | 357.20 | 90.0 | 320.34 |
| 06/27/2018 | QGW039471 | MARTINEZ, MARY | SACHEM CAPITAL CORP COMMON SHARES | B | 16,200.00 | 380.00 | 11.40 | 368.60 | 90.0 | 330.60 |
| 06/19/2018 | QGW039752 | RICCA, CARLO | SACHEM CAPITAL CORP COMMON SHARES | B | 22,410.00 | 513.00 | 11.40 | 501.60 | 90.0 | 450.30 |

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|--|-----------|---------------------------------------|-----|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 06/12/2018 | QGW039794 | OF JULIE LEONARD, | | | | | | | |
| | | GWG HLDGS INC COM | S | -7,750.00 | 114.00 | 11.40 | 102.60 | 90.0 | 91.20 |
| 06/13/2018 | QGW039794 | OF JULIE LEONARD, | | | | | | | |
| | | SACHEM CAPITAL CORP COMMON SHARES | S | -36,828.00 | 0.09 | 11.40 | -11.31 | 90.0 | -11.32 |
| 06/13/2018 | QGW039794 | OF JULIE LEONARD, | | | | | | | |
| | | SACHEM CAPITAL CORP COMMON SHARES | S | 36,828.00 | -0.09 | -11.40 | 11.31 | 90.0 | 11.32 C |
| 06/13/2018 | QGW039794 | OF JULIE LEONARD, | | | | | | | |
| | | SACHEM CAPITAL CORP COMMON SHARES | S | -36,828.00 | 795.15 | 11.40 | 783.75 | 90.0 | 704.24 |
| 06/14/2018 | QGW039794 | OF JULIE LEONARD, | | | | | | | |
| | | GWG HLDGS INC COM | S | -11,792.85 | 171.00 | 11.40 | 159.60 | 90.0 | 142.50 |
| 06/08/2018 | QGW039869 | OHARA, JOHN | | | | | | | |
| | | PAYPAL HOLDINGS INC COM | B | 25,098.66 | 265.05 | 11.40 | 253.65 | 90.0 | 227.15 |
| 06/08/2018 | QGW039869 | OHARA, JOHN | | | | | | | |
| | | SACHEM CAPITAL CORP COMMON SHARES | B | 10,584.00 | 230.85 | 11.40 | 219.45 | 90.0 | 196.37 |
| 05/30/2018 | QGW039885 | CORTESE, ROCCO | | | | | | | |
| | | WALT DISNEY CO | B | 39,904.00 | 312.55 | 11.40 | 301.15 | 90.0 | 269.90 |
| 06/04/2018 | QGW039885 | CORTESE, ROCCO | | | | | | | |
| | | HEICO CORPORATION | B | 28,176.60 | 235.60 | 11.40 | 224.20 | 90.0 | 200.64 |
| 06/11/2018 | QGW039885 | CORTESE, ROCCO | | | | | | | |
| | | VERIZON COMMUNICATIONS | B | 39,576.00 | 356.25 | 11.40 | 344.85 | 90.0 | 309.23 |
| 06/12/2018 | QGW039885 | CORTESE, ROCCO | | | | | | | |
| | | NEW RESIDENTIAL INVESTMENT CORP | B | 36,200.00 | 375.25 | 11.40 | 363.85 | 90.0 | 326.33 |
| 05/30/2018 | QGW039893 | COLON, JORGE | | | | | | | |
| | | BUCKEYE PARTNERS LP UNITS LTD PARTN B | | 7,247.28 | 94.05 | 11.40 | 82.65 | 90.0 | 73.25 |
| 06/27/2018 | QGW039943 | NESTOR, MARYLOU | | | | | | | |
| | | GROUPON INC COM CL A | S | -854.68 | 52.25 | 11.40 | 40.85 | 90.0 | 35.63 |
| 06/27/2018 | QGW039943 | NESTOR, MARYLOU | | | | | | | |
| | | LG DISPLAY CO LTD SPONSORED ADR REP S | | -3,245.44 | 47.50 | 11.40 | 36.10 | 90.0 | 31.35 |
| 06/27/2018 | QGW039943 | NESTOR, MARYLOU | | | | | | | |
| | | NEW RESIDENTIAL INVESTMENT CORP | B | 18,020.00 | 185.25 | 11.40 | 173.85 | 90.0 | 155.33 |
| * STOCKS SUBTOTAL * | | | | \$-89,222.65 | \$12,876.15 | \$478.80 | \$12,397.35 | | \$11,109.83 |

PRODUCT CATEGORY: OPTIONS

| | | | | | | | | | |
|------------|-----------|--|--|-----------|-------|-------|-------|------|-------|
| 06/13/2018 | QGW031783 | JACKSON, FRANK | | | | | | | |
| | | CALL 100 SNAP INC CL A EXP 08-17-18 S | | -450.00 | 46.55 | 12.82 | 33.73 | 90.0 | 29.08 |
| 06/21/2018 | QGW033441 | MURPHY, BREANNE | | | | | | | |
| | | PUT 100 VUZIX CORP COM NEW EXP 10-1 S | | -800.00 | 65.55 | 16.15 | 49.40 | 90.0 | 42.85 |
| 05/31/2018 | QGW034415 | CHAIMOVITCH, BERNARD | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 10- S | | -1,200.00 | 94.05 | 16.15 | 77.90 | 90.0 | 68.50 |
| 05/31/2018 | QGW035172 | O'NEILL, RORY | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 07- S | | -500.00 | 47.50 | 16.15 | 31.35 | 90.0 | 26.60 |
| 06/13/2018 | QGW035180 | PUE, MARYANN | | | | | | | |
| | | CALL 100 SNAP INC CL A EXP 08-17-18 S | | -693.00 | 66.50 | 13.54 | 52.96 | 90.0 | 46.31 |
| 05/31/2018 | QGW035198 | WULFF, HANS | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 07- S | | -500.00 | 47.50 | 16.15 | 31.35 | 90.0 | 26.60 |
| 05/31/2018 | QGW035198 | WULFF, HANS | | | | | | | |
| | | PUT 100 VUZIX CORP COM NEW EXP 07-2 S | | -600.00 | 58.90 | 18.52 | 40.38 | 90.0 | 34.49 |
| 06/18/2018 | QGW035198 | WULFF, HANS | | | | | | | |
| | | CALL 100 COHERUS BIOSCIENCES INC CO S | | -1,900.00 | 94.05 | 16.15 | 77.90 | 90.0 | 68.50 |
| 05/31/2018 | QGW035206 | SKAHILL, ROBERT | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 10- S | | -1,200.00 | 94.05 | 16.15 | 77.90 | 90.0 | 68.50 |
| 05/31/2018 | QGW035255 | BROCHARD, MARIA | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 10- S | | -1,200.00 | 94.05 | 16.15 | 77.90 | 90.0 | 68.50 |
| 06/07/2018 | QGW035255 | BROCHARD, MARIA | | | | | | | |
| | | PUT 100 ENERGIOUS CORP COM EXP 07-20 S | | -1,100.00 | 94.05 | 13.77 | 80.28 | 90.0 | 70.88 |
| 05/31/2018 | QGW035297 | SIERRA, KATHLEEN | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 10- S | | -1,200.00 | 94.05 | 16.15 | 77.90 | 90.0 | 68.50 |
| 06/15/2018 | QGW035347 | MODUGNO, ROCCO | | | | | | | |
| | | CALL 100 SNAP INC CL A EXP 08-17-18 S | | -770.00 | 71.25 | 13.77 | 57.48 | 90.0 | 50.36 |
| 06/22/2018 | QGW035347 | MODUGNO, ROCCO | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 10- S | | -875.00 | 56.05 | 17.34 | 38.71 | 90.0 | 33.11 |
| 05/31/2018 | QGW035511 | LYDEN, MARY | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 07- S | | -625.00 | 51.30 | 17.34 | 33.96 | 90.0 | 28.83 |
| 06/08/2018 | QGW035511 | LYDEN, MARY | | | | | | | |
| | | CALL 100 COHERUS BIOSCIENCES INC CO S | | -900.00 | 86.45 | 16.15 | 70.30 | 90.0 | 61.66 |
| 06/12/2018 | QGW035511 | LYDEN, MARY | | | | | | | |
| | | CALL 100 SNAP INC CL A EXP 07-20-18 S | | -390.00 | 39.90 | 14.96 | 24.94 | 90.0 | 20.95 |
| 06/14/2018 | QGW035537 | LYDEN, MARY | | | | | | | |
| | | PUT 100 ENERGIOUS CORP COM EXP 07-20 S | | -1,350.00 | 94.05 | 14.96 | 79.09 | 90.0 | 69.69 |
| 05/31/2018 | QGW035552 | KMIECIAK, ZBIGNIEW | | | | | | | |
| | | CALL 100 VUZIX CORP COM NEW EXP 07- S | | -500.00 | 47.50 | 16.15 | 31.35 | 90.0 | 26.60 |
| 05/31/2018 | QGW035552 | KMIECIAK, ZBIGNIEW | | | | | | | |
| | | PUT 100 VUZIX CORP COM NEW EXP 07-2 S | | -800.00 | 77.90 | 20.90 | 57.00 | 90.0 | 49.21 |
| 06/18/2018 | QGW035552 | KMIECIAK, ZBIGNIEW | | | | | | | |
| | | CALL 100 COHERUS BIOSCIENCES INC CO S | | -900.00 | 85.50 | 13.77 | 71.73 | 90.0 | 63.18 |
| 06/20/2018 | QGW035552 | KMIECIAK, ZBIGNIEW | | | | | | | |
| | | CALL 100 PAYPAL HLDGS INC COM EXP 0 S | | -354.00 | 34.20 | 12.11 | 22.09 | 90.0 | 18.67 |

COMMISSION STATEMENT for RICHARD BELZ

| 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> | | | | | | | | | |
| 06/21/2018 | QGW035552 | KMIECIAK, ZBIGNIEW | CALL 100 | ENERGOUS CORP COM EXP 07-2 S | -700.00 | 64.60 | 13.77 | 50.83 | 90.0 44.37 |
| 06/08/2018 | QGW035594 | DUSATKO, ANNE | CALL 100 | COHERUS BIOSCIENCES INC CO S | -450.00 | 43.70 | 13.77 | 29.93 | 90.0 25.56 |
| 06/13/2018 | QGW035594 | DUSATKO, ANNE | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -1,080.00 | 94.05 | 14.25 | 79.80 | 90.0 70.40 |
| 06/15/2018 | QGW035594 | DUSATKO, ANNE | CALL 100 | SNAP INC CL A EXP 08-17-18 S | -924.00 | 90.25 | 14.25 | 76.00 | 90.0 66.98 |
| 06/07/2018 | QGW035644 | MONGELUZZI, LINDA | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -1,100.00 | 94.05 | 13.77 | 80.28 | 90.0 70.88 |
| 06/13/2018 | QGW035644 | MONGELUZZI, LINDA | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -2,400.00 | 94.05 | 13.77 | 80.28 | 90.0 70.88 |
| 05/31/2018 | QGW035669 | KOLLAR, ROBERT | CALL 100 | VUZIX CORP COM NEW EXP 07- S | -500.00 | 48.45 | 16.15 | 32.30 | 90.0 27.46 |
| 06/07/2018 | QGW035669 | KOLLAR, ROBERT | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -1,100.00 | 94.05 | 13.77 | 80.28 | 90.0 70.88 |
| 06/07/2018 | QGW035669 | KOLLAR, ROBERT | PUT 100 | VUZIX CORP COM NEW EXP 10-1 S | -1,100.00 | 94.05 | 16.15 | 77.90 | 90.0 68.50 |
| 06/13/2018 | QGW035669 | KOLLAR, ROBERT | CALL 100 | SNAP INC CL A EXP 08-17-18 S | -770.00 | 74.10 | 13.77 | 60.33 | 90.0 52.92 |
| 06/07/2018 | QGW035685 | EICHENHOLZ, SONDR | CALL 100 | VUZIX CORP COM NEW EXP 10- S | -450.00 | 42.75 | 14.96 | 27.79 | 90.0 23.52 |
| 06/13/2018 | QGW035685 | EICHENHOLZ, SONDR | CALL 100 | ENERGOUS CORP COM EXP 07-2 S | -750.00 | 69.35 | 13.77 | 55.58 | 90.0 48.65 |
| 06/13/2018 | QGW035685 | EICHENHOLZ, SONDR | CALL 100 | SNAP INC CL A EXP 08-17-18 S | -544.00 | 47.50 | 13.30 | 34.20 | 90.0 29.45 |
| 06/20/2018 | QGW035693 | MASSA, WILLIAM | CALL 100 | PAYPAL HLDGS INC COM EXP 0 S | -207.00 | 26.60 | 12.11 | 14.49 | 90.0 11.83 |
| 06/12/2018 | QGW035701 | SZARKA, MICHAEL | CALL 100 | PAYPAL HLDGS INC COM EXP 0 S | -342.00 | 37.05 | 12.11 | 24.94 | 90.0 21.24 |
| 06/14/2018 | QGW035701 | SZARKA, MICHAEL | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -900.00 | 86.45 | 13.77 | 72.68 | 90.0 64.04 |
| 06/07/2018 | QGW035743 | KUDLIK, CHRIS | CALL 100 | VUZIX CORP COM NEW EXP 01- S | -550.00 | 52.25 | 13.77 | 38.48 | 90.0 33.26 |
| 06/08/2018 | QGW035768 | MASSA, PATRICIA | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -1,100.00 | 94.05 | 13.77 | 80.28 | 90.0 70.88 |
| 06/20/2018 | QGW035768 | MASSA, PATRICIA | CALL 100 | PAYPAL HLDGS INC COM EXP 0 S | -210.00 | 26.60 | 12.11 | 14.49 | 90.0 11.83 |
| 05/31/2018 | QGW035776 | ZIMMERMAN, FRANCINE | CALL 100 | VUZIX CORP COM NEW EXP 10- S | -1,200.00 | 94.05 | 16.15 | 77.90 | 90.0 68.50 |
| 06/08/2018 | QGW035776 | ZIMMERMAN, FRANCINE | PUT 100 | BANK OF AMERICA CORPORATION S | -780.00 | 66.50 | 14.96 | 51.54 | 90.0 44.89 |
| 06/08/2018 | QGW035776 | ZIMMERMAN, FRANCINE | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -1,150.00 | 94.05 | 13.77 | 80.28 | 90.0 70.88 |
| 06/12/2018 | QGW035776 | ZIMMERMAN, FRANCINE | CALL 100 | SNAP INC CL A EXP 07-20-18 S | -390.00 | 39.90 | 14.96 | 24.94 | 90.0 20.95 |
| 06/21/2018 | QGW035776 | ZIMMERMAN, FRANCINE | PUT 100 | VUZIX CORP COM NEW EXP 10-1 S | -800.00 | 75.05 | 16.15 | 58.90 | 90.0 51.40 |
| 06/26/2018 | QGW035776 | ZIMMERMAN, FRANCINE | PUT 100 | OPKO HEALTH INC COM EXP 07- S | -1,000.00 | 87.40 | 23.27 | 64.13 | 90.0 55.39 |
| 05/31/2018 | QGW035784 | SHEEHAN, DAVID | CALL 100 | VUZIX CORP COM NEW EXP 10- S | -1,200.00 | 94.05 | 16.15 | 77.90 | 90.0 68.50 |
| 05/31/2018 | QGW035834 | CHAUDHRY, JAHANZEB | PUT 100 | VUZIX CORP COM NEW EXP 07-2 S | -880.00 | 76.00 | 20.90 | 55.10 | 90.0 47.50 |
| 06/13/2018 | QGW035834 | CHAUDHRY, JAHANZEB | CALL 100 | SNAP INC CL A EXP 08-17-18 S | -760.00 | 73.15 | 13.77 | 59.38 | 90.0 52.07 |
| 06/13/2018 | QGW035834 | CHAUDHRY, JAHANZEB | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -2,400.00 | 94.05 | 13.77 | 80.28 | 90.0 70.88 |
| 06/14/2018 | QGW035834 | CHAUDHRY, JAHANZEB | CALL 100 | PAYPAL HLDGS INC COM EXP 0 S | -315.00 | 28.50 | 12.11 | 16.39 | 90.0 13.54 |
| 06/22/2018 | QGW035834 | CHAUDHRY, JAHANZEB | PUT 100 | OPKO HEALTH INC COM EXP 08- S | -1,400.00 | 94.05 | 20.90 | 73.15 | 90.0 63.75 |
| 06/26/2018 | QGW035834 | CHAUDHRY, JAHANZEB | PUT 100 | VUZIX CORP COM NEW EXP 07-2 S | -2,535.00 | 94.05 | 20.66 | 73.39 | 90.0 63.99 |
| 06/13/2018 | QGW035891 | DICKIE, JAYNE | CALL 100 | SNAP INC CL A EXP 08-17-18 S | -432.00 | 42.75 | 12.82 | 29.93 | 90.0 25.66 |
| 06/15/2018 | QGW035891 | DICKIE, JAYNE | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -1,000.00 | 94.05 | 12.35 | 81.70 | 90.0 72.30 |
| 06/15/2018 | QGW035917 | BOVE, DOMINICK | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -900.00 | 85.50 | 13.77 | 71.73 | 90.0 63.18 |
| 06/15/2018 | QGW035917 | BOVE, DOMINICK | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -2,500.00 | 94.05 | 13.77 | 80.28 | 90.0 70.88 |
| 06/27/2018 | QGW035917 | BOVE, DOMINICK | CALL 100 | TRANSOCEAN LTD REG SHS ISI S | -880.00 | 76.95 | 16.15 | 60.80 | 90.0 53.11 |
| 06/13/2018 | QGW035925 | MOTT, LINDA | CALL 100 | SNAP INC CL A EXP 08-17-18 S | -528.00 | 46.55 | 13.30 | 33.25 | 90.0 28.60 |
| 06/08/2018 | QGW035982 | PANASUK, JOHN | PUT 100 | BANK OF AMERICA CORPORATION S | -500.00 | 46.55 | 13.77 | 32.78 | 90.0 28.13 |
| 06/14/2018 | QGW035982 | PANASUK, JOHN | PUT 100 | ENERGOUS CORP COM EXP 07-20 S | -900.00 | 83.60 | 13.77 | 69.83 | 90.0 61.47 |

COMMISSION STATEMENT for RICHARD BELZ

| 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> | | | | | | | | | |
| 06/19/2018 | QGW035982 | PANASUK, JOHN | CALL 100 VUZIX CORP COM NEW EXP 10- S | -2,100.00 | 94.05 | 25.65 | 68.40 | 90.0 | 59.00 |
| 06/19/2018 | QGW035982 | PANASUK, JOHN | PUT 100 OPKO HEALTH INC COM EXP 07- S | -700.00 | 57.00 | 19.71 | 37.29 | 90.0 | 31.59 |
| 06/21/2018 | QGW035982 | PANASUK, JOHN | PUT 100 VUZIX CORP COM NEW EXP 10-1 S | -800.00 | 75.05 | 16.15 | 58.90 | 90.0 | 51.40 |
| 06/15/2018 | QGW035990 | HERDTER, RICHARD | PUT 100 ENERGOUS CORP COM EXP 07-20 S | -2,500.00 | 94.05 | 13.77 | 80.28 | 90.0 | 70.88 |
| 06/20/2018 | QGW035990 | HERDTER, RICHARD | CALL 100 PAYPAL HLDGS INC COM EXP 0 S | -366.00 | 35.15 | 12.11 | 23.04 | 90.0 | 19.53 |
| 06/13/2018 | QGW036030 | BALLO, CATHERINE | PUT 100 ENERGOUS CORP COM EXP 07-20 S | -2,350.00 | 94.05 | 13.77 | 80.28 | 90.0 | 70.88 |
| 06/15/2018 | QGW036030 | BALLO, CATHERINE | CALL 100 SNAP INC CL A EXP 08-17-18 S | -1,170.00 | 94.05 | 14.96 | 79.09 | 90.0 | 69.69 |
| 06/18/2018 | QGW036030 | BALLO, CATHERINE | PUT 100 HEICO CORP NEW COM EXP 07-2 S | -3,500.00 | 94.05 | 13.77 | 80.28 | 90.0 | 70.88 |
| 06/13/2018 | QGW036048 | FITZPATRICK, BARRY | CALL 100 ENERGOUS CORP COM EXP 07-2 S | -750.00 | 71.25 | 13.77 | 57.48 | 90.0 | 50.36 |
| 06/13/2018 | QGW036048 | FITZPATRICK, BARRY | CALL 100 SNAP INC CL A EXP 08-17-18 S | -621.00 | 55.10 | 13.54 | 41.56 | 90.0 | 36.05 |
| 06/27/2018 | QGW036055 | MATACOTTA, CORINNA | PUT 100 ENERGOUS CORP COM EXP 08-17 S | -700.00 | 65.55 | 13.77 | 51.78 | 90.0 | 45.23 |
| 06/22/2018 | QGW036063 | PICCININNI, | CALL 100 VUZIX CORP COM NEW EXP 08- S | -1,125.00 | 94.05 | 14.96 | 79.09 | 90.0 | 69.69 |
| 06/05/2018 | QGW036071 | HENNMANN, DENNIS | PUT 100 VUZIX CORP COM NEW EXP 07-2 S | -400.00 | 37.05 | 16.15 | 20.90 | 90.0 | 17.20 |
| 06/20/2018 | QGW036071 | HENNMANN, DENNIS | CALL 100 PAYPAL HLDGS INC COM EXP 0 S | -360.00 | 34.20 | 12.11 | 22.09 | 90.0 | 18.67 |
| 06/13/2018 | QGW036238 | LENTO, JOHN | CALL 100 SNAP INC CL A EXP 08-17-18 S | -536.00 | 38.95 | 13.30 | 25.65 | 90.0 | 21.76 |
| 06/27/2018 | QGW036279 | MIKO, ARTHUR | PUT 100 ENERGOUS CORP COM EXP 08-17 S | -700.00 | 66.50 | 13.77 | 52.73 | 90.0 | 46.08 |
| 05/31/2018 | QGW036899 | SARLO, JESSICA | CALL 100 VUZIX CORP COM NEW EXP 10- S | -1,020.00 | 94.05 | 15.44 | 78.61 | 90.0 | 69.21 |
| 06/19/2018 | QGW036956 | BROCHARD, THOMAS | CALL 100 VUZIX CORP COM NEW EXP 10- S | -700.00 | 66.50 | 16.15 | 50.35 | 90.0 | 43.70 |
| 06/14/2018 | QGW037004 | STAAB, MARY | PUT 100 ENERGOUS CORP COM EXP 07-20 S | -900.00 | 86.45 | 13.77 | 72.68 | 90.0 | 64.04 |
| 06/19/2018 | QGW037012 | STAAB, MARY | PUT 100 VUZIX CORP COM NEW EXP 08-1 S | -2,100.00 | 94.05 | 16.15 | 77.90 | 90.0 | 68.50 |
| 06/05/2018 | QGW037087 | 01/19/2016, U/A | PUT 100 VUZIX CORP COM NEW EXP 07-2 S | -800.00 | 76.00 | 20.90 | 55.10 | 90.0 | 47.50 |
| 06/13/2018 | QGW037087 | 01/19/2016, U/A | CALL 100 SNAP INC CL A EXP 08-17-18 S | -520.00 | 41.80 | 13.30 | 28.50 | 90.0 | 24.32 |
| 06/19/2018 | QGW037087 | 01/19/2016, U/A | CALL 100 VUZIX CORP COM NEW EXP 07- S | -300.00 | 28.21 | 12.82 | 15.39 | 90.0 | 12.57 |
| 06/22/2018 | QGW037087 | 01/19/2016, U/A | CALL 100 VUZIX CORP COM NEW EXP 07- S | -700.00 | 65.83 | 14.72 | 51.11 | 90.0 | 44.53 |
| 06/12/2018 | QGW037103 | BURNS, KATHLEEN | CALL 100 COHERUS BIOSCIENCES INC CO S | -770.00 | 75.05 | 13.06 | 61.99 | 90.0 | 54.49 |
| 06/14/2018 | QGW038382 | VINCENTI, ROBERT | PUT 100 ENERGOUS CORP COM EXP 07-20 S | -900.00 | 86.45 | 13.77 | 72.68 | 90.0 | 64.04 |
| 06/01/2018 | QGW038556 | LAPINTA, LEONARD | CALL 100 VUZIX CORP COM NEW EXP 10- S | -1,190.00 | 79.94 | 15.44 | 64.50 | 90.0 | 56.51 |
| 06/06/2018 | QGW038556 | LAPINTA, LEONARD | CALL 100 VUZIX CORP COM NEW EXP 10- S | -210.00 | 14.11 | 12.11 | 2.00 | 90.0 | 0.59 |
| 06/07/2018 | QGW038556 | LAPINTA, LEONARD | PUT 100 ENERGOUS CORP COM EXP 07-20 S | -1,050.00 | 94.05 | 13.77 | 80.28 | 90.0 | 70.88 |
| 06/20/2018 | QGW038556 | LAPINTA, LEONARD | PUT 100 HEICO CORP NEW COM EXP 08-1 S | -4,000.00 | 94.05 | 13.30 | 80.75 | 90.0 | 71.35 |
| 06/26/2018 | QGW038960 | ROMANO, LOUIS | PUT 100 DISNEY WALT CO DISNEY COM E S | -856.00 | 73.15 | 12.35 | 60.80 | 90.0 | 53.49 |
| 06/26/2018 | QGW038960 | ROMANO, LOUIS | PUT 100 HEICO CORP NEW COM EXP 07-2 S | -580.00 | 56.05 | 12.35 | 43.70 | 90.0 | 38.10 |
| 06/26/2018 | QGW038960 | ROMANO, LOUIS | PUT 100 VUZIX CORP COM NEW EXP 08-1 S | -600.00 | 58.90 | 20.90 | 38.00 | 90.0 | 32.11 |
| 06/27/2018 | QGW038960 | ROMANO, LOUIS | PUT 100 ENERGOUS CORP COM EXP 08-17 S | -1,200.00 | 94.05 | 14.96 | 79.09 | 90.0 | 69.69 |
| 06/13/2018 | QGW039091 | CITARELLA, FRANK | CALL 100 PAYPAL HLDGS INC COM EXP 0 S | -315.00 | 31.35 | 12.11 | 19.24 | 90.0 | 16.11 |
| 06/15/2018 | QGW039091 | CITARELLA, FRANK | PUT 100 ENERGOUS CORP COM EXP 07-20 S | -900.00 | 85.50 | 13.77 | 71.73 | 90.0 | 63.18 |
| 06/22/2018 | QGW039091 | CITARELLA, FRANK | CALL 100 VUZIX CORP COM NEW EXP 08- S | -1,300.00 | 94.05 | 16.15 | 77.90 | 90.0 | 68.50 |
| 06/22/2018 | QGW039117 | CUPAILOLO, JOSEPH | CALL 100 VUZIX CORP COM NEW EXP 10- S | -665.00 | 64.60 | 15.91 | 48.69 | 90.0 | 42.23 |
| 05/31/2018 | QGW039125 | WHITE, KERRY | PUT 100 VUZIX CORP COM NEW EXP 07-2 S | -600.00 | 57.00 | 18.52 | 38.48 | 90.0 | 32.78 |
| 06/05/2018 | QGW039125 | WHITE, KERRY | PUT 100 VUZIX CORP COM NEW EXP 07-2 S | -200.00 | 19.00 | 13.77 | 5.23 | 90.0 | 3.33 |

COMMISSION STATEMENT for RICHARD BELZ

| 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> | | | | | | | | | |
| 05/31/2018 | QGW039216 MCCARTHY, MARCIA | PUT 100 VUZIX CORP COM NEW EXP 07-2 S | | -800.00 | 77.90 | 20.90 | 57.00 | 90.0 | 49.21 |
| 06/08/2018 | QGW039216 MCCARTHY, MARCIA | CALL 100 VUZIX CORP COM NEW EXP 10- S | | -525.00 | 48.45 | 14.96 | 33.49 | 90.0 | 28.65 |
| 06/08/2018 | QGW039216 MCCARTHY, MARCIA | PUT 100 BANK OF AMERICA CORPORATION S | | -1,060.00 | 94.05 | 16.15 | 77.90 | 90.0 | 68.50 |
| 06/13/2018 | QGW039216 MCCARTHY, MARCIA | PUT 100 ENERGOUS CORP COM EXP 07-20 S | | -2,450.00 | 94.05 | 13.77 | 80.28 | 90.0 | 70.88 |
| 06/21/2018 | QGW039216 MCCARTHY, MARCIA | PUT 100 HEICO CORP NEW COM EXP 08-1 S | | -5,100.00 | 94.05 | 13.77 | 80.28 | 90.0 | 70.88 |
| 06/27/2018 | QGW039471 MARTINEZ, MARY | PUT 100 VUZIX CORP COM NEW EXP 10-1 S | | -1,200.00 | 94.05 | 18.52 | 75.53 | 90.0 | 66.13 |
| 06/27/2018 | QGW039471 MARTINEZ, MARY | PUT 100 VUZIX CORP COM NEW EXP 10-1 S | | 1,200.00 | -94.05 | -18.52 | -75.53 | 90.0 | -66.13 C |
| 06/27/2018 | QGW039471 MARTINEZ, MARY | PUT 100 VUZIX CORP COM NEW EXP 10-1 S | | -1,200.00 | 94.05 | 18.52 | 75.53 | 90.0 | 66.13 |
| 06/08/2018 | QGW039745 LEWIS, THOMAS | PUT 100 BANK OF AMERICA CORPORATION S | | -750.00 | 66.50 | 14.96 | 51.54 | 90.0 | 44.89 |
| 06/20/2018 | QGW039745 LEWIS, THOMAS | CALL 100 PAYPAL HLDGS INC COM EXP 0 S | | -960.00 | 75.05 | 13.30 | 61.75 | 90.0 | 54.25 |
| 06/08/2018 | QGW039752 RICCA, CARLO | PUT 100 BANK OF AMERICA CORPORATION S | | -750.00 | 66.50 | 14.96 | 51.54 | 90.0 | 44.89 |
| 06/08/2018 | QGW039869 OHARA, JOHN | PUT 100 BANK OF AMERICA CORPORATION S | | -500.00 | 45.60 | 13.77 | 31.83 | 90.0 | 27.27 |
| 06/18/2018 | QGW039869 OHARA, JOHN | PUT 100 HEICO CORP NEW COM EXP 07-2 S | | -2,100.00 | 94.05 | 12.82 | 81.23 | 90.0 | 71.83 |
| 06/11/2018 | QGW039885 CORTESE, ROCCO | PUT 100 ENERGOUS CORP COM EXP 07-20 S | | -360.00 | 28.21 | 12.11 | 16.10 | 90.0 | 13.28 |
| 06/13/2018 | QGW039885 CORTESE, ROCCO | PUT 100 BANK OF AMERICA CORPORATION S | | -780.00 | 67.45 | 14.96 | 52.49 | 90.0 | 45.75 |
| 06/07/2018 | QGW039919 FLANAGAN, MATTHEW | PUT 100 ENERGOUS CORP COM EXP 07-20 S | | -1,100.00 | 94.05 | 13.77 | 80.28 | 90.0 | 70.88 |
| * OPTIONS SUBTOTAL * | | | | \$-115,923.00 | \$8,165.90 | \$1,741.08 | \$6,424.82 | | \$5,608.60 |
| <u>PRODUCT CATEGORY: MISCELLANEOUS</u> | | | | | | | | | |
| 06/20/2018 | VARIOUS, BELZ RICHARD | GWG HOLDINGS | B | 0.00 | 2,470.00 | 0.00 | 2,470.00 | 90.0 | 2,223.00 |
| * MISCELLANEOUS SUBTOTAL * | | | | \$0.00 | \$2,470.00 | \$0.00 | \$2,470.00 | | \$2,223.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 06/30/2018 | | FEE COUNT - 28 | | 0.00 | 175.38 | 0.00 | 175.38 | 90.0 | 157.90 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$175.38 | \$0.00 | \$175.38 | | \$157.90 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | \$-192,615.65 | \$26,198.58 | \$2,219.88 | \$23,978.70 | | \$21,359.40 |
| <u>ADJUSTMENTS</u> | | | | | | | | | |
| 06/30/2018 | | COMMISSION INCOME: AMERICAN FDS JUN | | 0.00 | 0.00 | 0.00 | 0.00 | | 943.21 |
| 06/30/2018 | | OTHER: COMPLIANCE AND TECHNOLOGY | | 0.00 | 0.00 | 0.00 | 0.00 | | -20.00 |
| 06/30/2018 | | OTHER: OTHER | | 0.00 | 0.00 | 0.00 | 0.00 | | -150.00 |
| 06/30/2018 | | OTHER: OTHER-TELEPHONE | | 0.00 | 0.00 | 0.00 | 0.00 | | -61.75 |
| *** ADJUSTMENTS TOTAL *** | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$711.46 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$21,359.40 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$711.46 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-29.66 |
| SIPC Assessment | \$-59.32 |

| | |
|------------------------------|---------------------|
| Check Amount | \$21,981.88 |
| Year-to-date Earnings | \$215,595.99 |