

## COMMISSION STATEMENT

March 31, 2018

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>									
03/01/2018	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	13,363.80	300.00	0.00	300.00 52.0 156.00
03/13/2018	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	5,500.00	100.00	0.00	100.00 52.0 52.00
03/16/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	B	56,000.00	100.00	0.00	100.00 52.0 52.00
03/01/2018	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	13,363.80	300.00	0.00	300.00 52.0 156.00
03/02/2018	QGW007825	SARNA FAMILY LTD		FREEPORT MCMORAN INC	B	51,000.00	150.00	0.00	150.00 52.0 78.00
03/13/2018	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	5,500.00	100.00	0.00	100.00 52.0 52.00
03/16/2018	QGW007825	SARNA FAMILY LTD		ALIBABA GROUP HOLDING LTD SPONSORED	B	175,000.00	50.00	0.00	50.00 52.0 26.00
03/16/2018	QGW007825	SARNA FAMILY LTD		APPLE INC	B	155,000.00	50.00	0.00	50.00 52.0 26.00
03/16/2018	QGW007825	SARNA FAMILY LTD		BANK OF AMERICA CORP	B	56,000.00	100.00	0.00	100.00 52.0 52.00
03/16/2018	QGW007825	SARNA FAMILY LTD		FACEBOOK INC CL A	B	170,000.00	50.00	0.00	50.00 52.0 26.00
03/16/2018	QGW007825	SARNA FAMILY LTD		GOLDMAN SACHS GROUP INC	B	235,000.00	50.00	0.00	50.00 52.0 26.00
03/20/2018	QGW007825	SARNA FAMILY LTD		ALIBABA GROUP HOLDING LTD SPONSORED	S	-198,972.90	50.00	0.00	50.00 52.0 26.00
03/22/2018	QGW007825	SARNA FAMILY LTD		APPLE INC	S	-171,082.90	50.00	0.00	50.00 52.0 26.00
03/22/2018	QGW007825	SARNA FAMILY LTD		GOLDMAN SACHS GROUP INC	S	-512,718.80	100.00	0.00	100.00 52.0 52.00
03/22/2018	QGW007825	SARNA FAMILY LTD		MARATHON PETE CORP COM	S	-73,674.70	50.00	0.00	50.00 52.0 26.00
03/23/2018	QGW020927	KNIGHT, DAVID		GERON CORP	B	1,749.00	50.00	0.00	50.00 52.0 26.00
				<b>* STOCKS SUBTOTAL *</b>		<b>\$-18,972.70</b>	<b>\$1,650.00</b>	<b>\$0.00</b>	<b>\$1,650.00 \$858.00</b>

**PRODUCT CATEGORY: OPTIONS**

02/28/2018	QGW007700	SARNA, MARK		CALL 100 GOLDMAN SACHS GROUP INC CO B		1,832.00	30.00	0.00	30.00 52.0 15.60
03/02/2018	QGW007700	SARNA, MARK		CALL 100 FORD MOTOR CO DEL COM PAR B		5,420.00	60.00	0.00	60.00 52.0 31.20
03/05/2018	QGW007700	SARNA, MARK		CALL 100 GOLDMAN SACHS GROUP INC CO S		-29,000.00	40.00	0.00	40.00 52.0 20.80
03/07/2018	QGW007700	SARNA, MARK		CALL 100 FREEPORT-MCMORAN INC CL B B		11,500.00	80.00	0.00	80.00 52.0 41.60
03/07/2018	QGW007700	SARNA, MARK		CALL 100 GOLDMAN SACHS GROUP INC CO B		17,920.00	40.00	0.00	40.00 52.0 20.80
03/08/2018	QGW007700	SARNA, MARK		CALL 100 APPLE INC COM EXP 03-09-18 B		80.00	20.00	0.00	20.00 52.0 10.40
03/08/2018	QGW007700	SARNA, MARK		CALL 100 ALCOA CORP COM EXP 04-13-1 B		8,000.00	80.00	0.00	80.00 52.0 41.60
03/09/2018	QGW007700	SARNA, MARK		CALL 100 APPLE INC COM EXP 03-16-18 S		-24,800.00	40.00	0.00	40.00 52.0 20.80
03/09/2018	QGW007700	SARNA, MARK		CALL 100 FACEBOOK INC CL A EXP 03-1 S		-15,000.00	40.00	0.00	40.00 52.0 20.80
03/13/2018	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 04- B		5,840.00	60.00	0.00	60.00 52.0 31.20
03/13/2018	QGW007700	SARNA, MARK		CALL 100 GOLDMAN SACHS GROUP INC CO B		20,950.00	40.00	0.00	40.00 52.0 20.80
03/14/2018	QGW007700	SARNA, MARK		CALL 100 ALCOA CORP COM EXP 04-20-1 B		7,392.00	80.00	0.00	80.00 52.0 41.60

COMMISSION STATEMENT for PHYLLIS FATTORUSO

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>									
03/14/2018	QGW007700	SARNA, MARK	CALL 100 WYNN RESORTS LTD COM EXP 0 S	-36,650.00	40.00	0.00	40.00	52.0	20.80
03/14/2018	QGW007700	SARNA, MARK	CALL 100 WYNN RESORTS LTD COM EXP 0 B	16,450.00	40.00	0.00	40.00	52.0	20.80
03/16/2018	QGW007700	SARNA, MARK	CALL 100 BANK OF AMERICA CORPORATIO S	-16,682.00	200.00	0.00	200.00	52.0	104.00
03/16/2018	QGW007700	SARNA, MARK	CALL 100 BANK AMER B	10,620.00	120.00	0.00	120.00	52.0	62.40
03/16/2018	QGW007700	SARNA, MARK	CALL 100 FREEPORT-MCMORAN INC CL B S	-2,900.00	60.00	0.00	60.00	52.0	31.20
03/16/2018	QGW007700	SARNA, MARK	CALL 100 GENERAL ELECTRIC CO COM EX S	-870.00	60.00	0.00	60.00	52.0	31.20
03/16/2018	QGW007700	SARNA, MARK	CALL 100 GE B	7,200.00	90.00	0.00	90.00	52.0	46.80
03/19/2018	QGW007700	SARNA, MARK	CALL 100 FACEBOOK INC CL A EXP 04-2 B	12,950.00	40.00	0.00	40.00	52.0	20.80
03/19/2018	QGW007700	SARNA, MARK	CALL 100 GOLDMAN SACHS GROUP INC CO B	15,400.00	40.00	0.00	40.00	52.0	20.80
03/21/2018	QGW007700	SARNA, MARK	CALL 100 FREEPORT-MCMORAN INC CL B S	-10,350.00	80.00	0.00	80.00	52.0	41.60
03/21/2018	QGW007700	SARNA, MARK	CALL 100 GOLDMAN SACHS GROUP INC CO S	-18,200.00	40.00	0.00	40.00	52.0	20.80
03/22/2018	QGW007700	SARNA, MARK	CALL 100 ALIBABA GROUP HLDG LTD SPO B	11,710.00	40.00	0.00	40.00	52.0	20.80
03/22/2018	QGW007700	SARNA, MARK	CALL 100 BANK AMER B	4,740.00	60.00	0.00	60.00	52.0	31.20
02/28/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	1,832.00	30.00	0.00	30.00	52.0	15.60
03/01/2018	QGW007825	SARNA FAMILY LTD	CALL 100 ALIBABA GROUP HLDG LTD SPO B	9,700.00	40.00	0.00	40.00	52.0	20.80
03/01/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	13,900.00	40.00	0.00	40.00	52.0	20.80
03/01/2018	QGW007825	SARNA FAMILY LTD	CALL 100 UNITED STS STL CORP NEW CO S	-1,060.00	30.00	0.00	30.00	52.0	15.60
03/02/2018	QGW007825	SARNA FAMILY LTD	CALL 100 FORD MOTOR CO DEL COM PAR B	13,550.00	150.00	0.00	150.00	52.0	78.00
03/06/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO S	-2,620.00	30.00	0.00	30.00	52.0	15.60
03/07/2018	QGW007825	SARNA FAMILY LTD	CALL 100 FREEPORT-MCMORAN INC CL B B	11,500.00	80.00	0.00	80.00	52.0	41.60
03/07/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	17,940.00	40.00	0.00	40.00	52.0	20.80
03/08/2018	QGW007825	SARNA FAMILY LTD	CALL 100 APPLE INC COM EXP 03-09-18 B	80.00	20.00	0.00	20.00	52.0	10.40
03/08/2018	QGW007825	SARNA FAMILY LTD	CALL 100 ALCOA CORP COM EXP 04-13-1 B	8,000.00	80.00	0.00	80.00	52.0	41.60
03/13/2018	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 04- B	5,860.00	60.00	0.00	60.00	52.0	31.20
03/13/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	20,950.00	40.00	0.00	40.00	52.0	20.80
03/14/2018	QGW007825	SARNA FAMILY LTD	CALL 100 ALCOA CORP COM EXP 04-20-1 B	7,392.00	80.00	0.00	80.00	52.0	41.60
03/14/2018	QGW007825	SARNA FAMILY LTD	CALL 100 WYNN RESORTS LTD COM EXP 0 S	-36,650.00	40.00	0.00	40.00	52.0	20.80
03/14/2018	QGW007825	SARNA FAMILY LTD	CALL 100 WYNN RESORTS LTD COM EXP 0 B	16,450.00	40.00	0.00	40.00	52.0	20.80
03/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100 BANK OF AMERICA CORPORATIO S	-20,018.40	240.00	0.00	240.00	52.0	124.80
03/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER B	14,160.00	160.00	0.00	160.00	52.0	83.20
03/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GENERAL ELECTRIC CO COM EX S	-870.00	60.00	0.00	60.00	52.0	31.20
03/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO S	-18,500.00	40.00	0.00	40.00	52.0	20.80
03/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	420.00	20.00	0.00	20.00	52.0	10.40
03/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GE B	7,200.00	90.00	0.00	90.00	52.0	46.80
03/19/2018	QGW007825	SARNA FAMILY LTD	CALL 100 FACEBOOK INC CL A EXP 04-2 B	12,950.00	40.00	0.00	40.00	52.0	20.80
03/19/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO B	15,400.00	40.00	0.00	40.00	52.0	20.80
03/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100 FREEPORT-MCMORAN INC CL B S	-10,350.00	80.00	0.00	80.00	52.0	41.60
03/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100 GOLDMAN SACHS GROUP INC CO S	-18,200.00	40.00	0.00	40.00	52.0	20.80
03/22/2018	QGW007825	SARNA FAMILY LTD	CALL 100 ALIBABA GROUP HLDG LTD SPO B	11,710.00	40.00	0.00	40.00	52.0	20.80
* OPTIONS SUBTOTAL *				\$84,277.60	\$3,170.00	\$0.00	\$3,170.00		\$1,648.40

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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 TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/31/2018	FEE COUNT - 2			0.00	23.03	0.00	23.03	52.0	11.98
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$23.03	\$0.00	\$23.03		\$11.98
	*** BROKER TRANSACTIONS TOTAL ***			\$65,304.90	\$4,843.03	\$0.00	\$4,843.03		\$2,518.38

ADJUSTMENTS

03/31/2018	OTHER: COMPLIANCE AND TECHNOLOGY			0.00	0.00	0.00	0.00		-20.00
	*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-20.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,518.38
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-6.05
SIPC Assessment	\$-12.11

Check Amount	\$2,480.22
Year-to-date Earnings	\$2,945.34