

COMMISSION STATEMENT

August 31, 2017

MARCO CASALE

151 BENNINGTON ROAD

FREEHOLD, NJ 07728

BROKER #: 48

BRANCH: HOME OFFICE

COMMISSION STATEMENT for MARCO CASALE

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>									
08/22/2017	QGW033466	CUSTODIAN, EMILY							
		CALPINE CORPORATION	S	-4,464.00	50.00	6.00	44.00	80.0	34.00
07/27/2017	QGW033474	PILLERA, CHARLES							
		GILEAD SCIENCES INC	S	-18,731.25	150.00	6.00	144.00	80.0	114.00
08/11/2017	QGW033474	PILLERA, CHARLES							
		MAZOR ROBOTICS LTD SPONSORED ADS	B	22,148.22	312.00	6.00	306.00	80.0	243.60
08/22/2017	QGW033474	PILLERA, CHARLES							
		MAZOR ROBOTICS LTD SPONSORED ADS	S	-22,860.00	200.00	6.00	194.00	80.0	154.00
07/31/2017	QGW033599	PILLERA, CHARLES							
		CALPINE CORPORATION	S	-10,039.96	100.00	6.00	94.00	80.0	74.00
08/11/2017	QGW033599	PILLERA, CHARLES							
		MAZOR ROBOTICS LTD SPONSORED ADS	B	11,034.72	173.00	6.00	167.00	80.0	132.40
08/22/2017	QGW033599	PILLERA, CHARLES							
		MAZOR ROBOTICS LTD SPONSORED ADS	S	-11,430.00	100.00	6.00	94.00	80.0	74.00
07/27/2017	QGW033649	ARLENE M FRANCIS,							
		ALIBABA GROUP HOLDING LTD SPONSORED B	B	15,903.25	150.00	6.00	144.00	80.0	114.00
07/27/2017	QGW033649	ARLENE M FRANCIS,							
		SACHEM CAPITAL CORP COMMON SHARES	S	-5,567.18	55.45	6.00	49.45	80.0	38.36
07/31/2017	QGW033649	ARLENE M FRANCIS,							
		CALPINE CORPORATION	S	-14,353.20	100.00	6.00	94.00	80.0	74.00
08/01/2017	QGW033649	ARLENE M FRANCIS,							
		EAGLE MATERIALS INC	B	28,464.00	243.00	6.00	237.00	80.0	188.40
08/04/2017	QGW033649	ARLENE M FRANCIS,							
		SALESFORCE.COM INC	S	-45,000.00	403.65	6.00	397.65	80.0	316.92
08/04/2017	QGW033649	ARLENE M FRANCIS,							
		SALESFORCE.COM INC	S	45,000.00	-403.65	-6.00	-397.65	80.0	-316.92 C
08/04/2017	QGW033649	ARLENE M FRANCIS,							
		SALESFORCE.COM INC	S	-45,000.00	100.00	6.00	94.00	80.0	74.00
08/08/2017	QGW033649	ARLENE M FRANCIS,							
		MAZOR ROBOTICS LTD SPONSORED ADS	B	18,503.95	272.00	6.00	266.00	80.0	211.60
08/14/2017	QGW033649	ARLENE M FRANCIS,							
		VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	B	11,500.00	230.00	6.00	224.00	80.0	178.00
08/22/2017	QGW033649	ARLENE M FRANCIS,							
		MAZOR ROBOTICS LTD SPONSORED ADS	S	-19,050.00	100.00	6.00	94.00	80.0	74.00
08/28/2017	QGW033649	ARLENE M FRANCIS,							
		COHERUS BIOSCIENCES INC COM	S	-14,775.00	100.00	6.00	94.00	80.0	74.00
08/28/2017	QGW033649	ARLENE M FRANCIS,							
		COHERUS BIOSCIENCES INC COM	S	14,775.00	-100.00	-6.00	-94.00	80.0	-74.00 C
08/28/2017	QGW033649	ARLENE M FRANCIS,							
		COHERUS BIOSCIENCES INC COM	S	-14,775.00	0.00	6.00	-6.00	80.0	-6.00
08/28/2017	QGW033649	ARLENE M FRANCIS,							
		MOMO INC ADR	B	17,011.50	200.00	6.00	194.00	80.0	154.00
08/28/2017	QGW033649	ARLENE M FRANCIS,							
		MOMO INC ADR	B	-17,011.50	-200.00	-6.00	-194.00	80.0	-154.00 C
08/28/2017	QGW033649	ARLENE M FRANCIS,							
		MOMO INC ADR	B	17,011.50	0.00	6.00	-6.00	80.0	-6.00
07/31/2017	QGW033656	MOONEY, MARY							
		CALPINE CORPORATION	S	-19,364.94	150.00	6.00	144.00	80.0	114.00
08/08/2017	QGW033656	MOONEY, MARY							
		MAZOR ROBOTICS LTD SPONSORED ADS	B	18,407.30	271.00	6.00	265.00	80.0	210.80
08/22/2017	QGW033656	MOONEY, MARY							
		MAZOR ROBOTICS LTD SPONSORED ADS	S	-19,199.95	200.00	6.00	194.00	80.0	154.00
07/31/2017	QGW033664	HANNS, RUTH							
		CALPINE CORPORATION	S	-7,175.75	50.00	6.00	44.00	80.0	34.00
08/08/2017	QGW033664	HANNS, RUTH							
		MAZOR ROBOTICS LTD SPONSORED ADS	B	7,397.00	125.00	6.00	119.00	80.0	94.00
08/18/2017	QGW033664	HANNS, RUTH							
		AXON ENTERPRISE INC COM STOCK	S	-4,408.48	75.00	6.00	69.00	80.0	54.00
08/18/2017	QGW033664	HANNS, RUTH							
		MAZOR ROBOTICS LTD SPONSORED ADS	S	-7,430.00	75.00	6.00	69.00	80.0	54.00
07/27/2017	QGW033763	LYONS, SALLY							
		CARA THERAPEUTICS INC COM	S	-7,089.05	50.00	6.00	44.00	80.0	34.00

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
08/18/2017	QGW033763	LYONS, SALLY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	10,049.00	215.00	6.00	209.00	80.0	166.00
07/27/2017	QGW033805	LYONS, SALLY	CARA THERAPEUTICS INC COM	S	-14,115.30	50.00	44.00	80.0	34.00
07/31/2017	QGW033805	LYONS, SALLY	CALPINE CORPORATION	S	-14,366.10	100.00	94.00	80.0	74.00
08/11/2017	QGW033805	LYONS, SALLY	MAZOR ROBOTICS LTD SPONSORED ADS	B	36,937.00	435.00	429.00	80.0	342.00
08/14/2017	QGW033805	LYONS, SALLY	MAZOR ROBOTICS LTD SPONSORED ADS	S	-38,222.10	75.00	69.00	80.0	54.00
08/18/2017	QGW033805	LYONS, SALLY	MAZOR ROBOTICS LTD SPONSORED ADS	B	37,726.50	439.00	433.00	80.0	345.20
08/28/2017	QGW033805	LYONS, SALLY	MAZOR ROBOTICS LTD SPONSORED ADS	S	-41,794.00	459.00	453.00	80.0	361.20
08/28/2017	QGW033805	LYONS, SALLY	MOMO INC ADR	B	16,947.05	200.00	194.00	80.0	154.00
07/27/2017	QGW034761	SYMCZAK, STEPHEN	ALIBABA GROUP HOLDING LTD SPONSORED B	15,938.60	150.00	6.00	144.00	80.0	114.00
08/15/2017	QGW034761	SYMCZAK, STEPHEN	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	11,077.90	226.00	6.00	220.00	80.0	174.80
08/15/2017	QGW034837	PELLEGRINO, DONNA	SACHEM CAPITAL CORP COMMON SHARES	S	-7,360.00	75.00	69.00	80.0	54.00
08/18/2017	QGW035420	HANNS, RUTH	MARATHON OIL CORP	S	-9,535.50	75.00	69.00	80.0	54.00
08/18/2017	QGW035420	HANNS, RUTH	TERRA NITROGEN CO LP COMMON UNITS	S	-11,370.90	75.00	69.00	80.0	54.00
07/27/2017	QGW035438	RIZZO, GIOVANNI	ALIBABA GROUP HOLDING LTD SPONSORED B	15,970.60	150.00	6.00	144.00	80.0	114.00
08/04/2017	QGW036519	SINGH, BHUPINDER	NVIDIA CORP	S	-14,500.00	80.73	74.73	80.0	58.58
08/04/2017	QGW036519	SINGH, BHUPINDER	NVIDIA CORP	S	14,500.00	-80.73	-74.73	80.0	-58.58 C
08/04/2017	QGW036519	SINGH, BHUPINDER	NVIDIA CORP	S	-14,500.00	100.00	94.00	80.0	74.00
08/08/2017	QGW036519	SINGH, BHUPINDER	NVIDIA CORP	S	-8,580.00	100.00	94.00	80.0	74.00
08/11/2017	QGW036519	SINGH, BHUPINDER	NVIDIA CORP	B	15,703.13	100.00	94.00	80.0	74.00
08/14/2017	QGW036519	SINGH, BHUPINDER	NVIDIA CORP	S	-16,621.37	75.00	69.00	80.0	54.00
08/14/2017	QGW036519	SINGH, BHUPINDER	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	5,682.50	130.00	6.00	124.00	80.0	98.00
08/04/2017	QGW036584	TREIBER, NANCY	NVIDIA CORP	S	-15,000.00	80.73	74.73	80.0	58.58
08/04/2017	QGW036584	TREIBER, NANCY	NVIDIA CORP	S	15,000.00	-80.73	-74.73	80.0	-58.58 C
08/04/2017	QGW036584	TREIBER, NANCY	NVIDIA CORP	S	-15,000.00	100.00	94.00	80.0	74.00
08/08/2017	QGW036584	TREIBER, NANCY	CARA THERAPEUTICS INC COM	S	-14,773.30	100.00	94.00	80.0	74.00
08/14/2017	QGW036584	TREIBER, NANCY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	11,462.40	230.00	6.00	224.00	80.0	178.00
08/15/2017	QGW036592	TREIBER, NANCY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	11,260.00	228.00	6.00	222.00	80.0	176.40
07/31/2017	QGW036915	CASSERINO, PAULA	CALPINE CORPORATION	S	-14,365.00	100.00	94.00	80.0	74.00
08/08/2017	QGW036915	CASSERINO, PAULA	NVIDIA CORP	S	-17,116.79	150.00	144.00	80.0	114.00
08/11/2017	QGW036915	CASSERINO, PAULA	NVIDIA CORP	B	15,583.99	100.00	94.00	80.0	74.00
08/14/2017	QGW036915	CASSERINO, PAULA	NVIDIA CORP	S	-16,610.50	100.00	94.00	80.0	74.00
08/14/2017	QGW036915	CASSERINO, PAULA	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	11,500.00	230.00	6.00	224.00	80.0	178.00
08/18/2017	QGW036915	CASSERINO, PAULA	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	10,018.70	215.00	6.00	209.00	80.0	166.00
* STOCKS SUBTOTAL *				\$-109,042.31	\$8,113.45	\$324.00	\$7,789.45		\$6,166.76

PRODUCT CATEGORY: OPTIONS

08/01/2017	QGW033599	PILLERA, CHARLES	CALL 100 WHITING PETE CORP COM EXP	S	-500.00	75.00	69.00	80.0	54.00
07/31/2017	QGW033649	ARLENE M FRANCIS,	CALL 100 ALIBABA GROUP HLDG LTD SPO	S	-433.00	65.00	59.00	80.0	46.00
08/14/2017	QGW033649	ARLENE M FRANCIS,	CALL 100 VIPSHOP HLDGS LTD SPONS AD	S	-390.00	50.00	44.00	80.0	34.00
08/15/2017	QGW033649	ARLENE M FRANCIS,	CALL 100 WHITING PETE CORP COM EXP	S	-230.00	50.00	44.00	80.0	34.00

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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: OPTIONS											
08/22/2017	QGW033649	ARLENE M FRANCIS,	CALL 100	EAGLE MATERIALS INC COM EX S	-480.00	50.00	6.00	44.00	80.0	34.00	
08/08/2017	QGW033656	MOONEY, MARY	CALL 100	WHITING PETE CORP COM EXP S	-240.00	50.00	6.00	44.00	80.0	34.00	
08/21/2017	QGW033805	LYONS, SALLY	CALL 100	WHITING PETE CORP COM EXP S	-800.00	100.00	6.00	94.00	80.0	74.00	
07/31/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-412.00	65.00	6.00	59.00	80.0	46.00	
08/01/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100	WHITING PETE CORP COM EXP S	-500.00	75.00	6.00	69.00	80.0	54.00	
08/08/2017	QGW034894	MODDERNO, PATRICIA	CALL 100	WHITING PETE CORP COM EXP S	-405.00	75.00	6.00	69.00	80.0	54.00	
07/31/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-421.00	65.00	6.00	59.00	80.0	46.00	
08/08/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	BARCLAYS BK PLC IPATH S&P S	-500.00	75.00	6.00	69.00	80.0	54.00	
08/08/2017	QGW035438	RIZZO, GIOVANNI	CALL 100	WHITING PETE CORP COM EXP S	-460.00	100.00	6.00	94.00	80.0	74.00	
08/15/2017	QGW036519	SINGH, BHUPINDER	CALL 100	VIPSHOP HLDGS LTD SPONS AD S	-170.00	50.00	6.00	44.00	80.0	34.00	
08/01/2017	QGW036584	TREIBER, NANCY	CALL 100	NVIDIA CORP COM EXP 01-19- S	-3,700.00	100.00	6.00	94.00	80.0	74.00	
08/01/2017	QGW036584	TREIBER, NANCY	CALL 100	NVIDIA CORP COM EXP 08-04- B	2,808.00	75.00	6.00	69.00	80.0	54.00	
08/08/2017	QGW036584	TREIBER, NANCY	CALL 100	BARCLAYS BK PLC IPATH S&P S	-500.00	75.00	6.00	69.00	80.0	54.00	
08/08/2017	QGW036584	TREIBER, NANCY	CALL 100	WHITING PETE CORP COM EXP S	-460.00	90.00	6.00	84.00	80.0	66.00	
08/14/2017	QGW036584	TREIBER, NANCY	CALL 100	VIPSHOP HLDGS LTD SPONS AD S	-380.00	50.00	6.00	44.00	80.0	34.00	
08/21/2017	QGW036584	TREIBER, NANCY	CALL 100	MACYS INC COM EXP 09-29-17 S	-141.00	50.00	6.00	44.00	80.0	34.00	
08/01/2017	QGW036592	TREIBER, NANCY	CALL 100	WHITING PETE CORP COM EXP S	-375.00	60.00	6.00	54.00	80.0	42.00	
* OPTIONS SUBTOTAL *					\$-8,689.00	\$1,445.00	\$126.00	\$1,319.00		\$1,030.00	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
08/15/2017	QGW037061	ALONSO, ALICE		AMERICAN BALANCED FUND-A	B	0.00	1.53	0.00	1.53	80.0	1.22
08/15/2017	QGW037061	ALONSO, ALICE		NEW PERSPECTIVE FUND-A	B	0.00	1.49	0.00	1.49	80.0	1.19
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$3.02	\$0.00	\$3.02		\$2.41	
*** BROKER TRANSACTIONS TOTAL ***					\$-117,731.31	\$9,561.47	\$450.00	\$9,111.47		\$7,199.17	
ADJUSTMENTS											
08/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-150.00		
08/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00		
08/31/2017		OTHER: OTHER-QUEST		0.00	0.00	0.00	0.00		-100.00		
08/31/2017		OTHER: OTHER-TICKET		0.00	0.00	0.00	0.00		-10.65		
*** ADJUSTMENTS TOTAL ***					\$0.00	\$0.00	\$0.00	\$0.00		\$-268.65	

BROKER COMMISSION TOTALS

Broker Transactions	\$7,199.17
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-268.65
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-11.95
SIPC Assessment	\$-23.90

Check Amount	\$6,894.67
Year-to-date Earnings	\$17,103.68