

**COMMISSION STATEMENT****January 31, 2018**

JOHN HEIDENREICH  
7 EAST 86TH ST  
APT 15B  
NEW YORK, NY 10028

BROKER #: R90 / /42  
BRANCH: HOME OFFICE

**COMMISSION STATEMENT for JOHN HEIDENREICH**

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>									
01/29/2018	75501291 PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT B		6,188.70	230.41	10.00	220.41	65.0	139.77
01/18/2018	75501292 JOE, HENRY	ADVANCED MICRO DEVICES INC	S	15,168.00	180.00	10.00	170.00	65.0	107.00
01/18/2018	75501292 JOE, HENRY	CYPRESS SEMICONDUCTOR CORP	S	9,482.00	137.50	10.00	127.50	65.0	79.38
01/23/2018	75501292 JOE, HENRY	U S SILICA HOLDINGS INC	B	11,241.00	235.99	10.00	225.99	65.0	143.39
01/29/2018	75501292 JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT B		6,118.70	229.39	10.00	219.39	65.0	139.10
01/10/2018	75501293 JOE, HENRY	WORKDAY INC CL A	S	22,644.00	210.00	10.00	200.00	65.0	126.50
01/12/2018	75501293 JOE, HENRY	CATASYS INC COM PAR\$.0001 2017	B	6,490.65	267.10	10.00	257.10	65.0	163.62
01/17/2018	75501293 JOE, HENRY	AKERS BIOSCIENCES INC COM	S	4,418.76	198.85	10.00	188.85	65.0	119.25
01/17/2018	75501293 JOE, HENRY	AKERS BIOSCIENCES INC COM	S	126.25	0.00	10.00	-10.00	65.0	-10.00
01/12/2018	75501307 TOTTEN, ANN	AKERS BIOSCIENCES INC COM	S	3,850.00	150.00	10.00	140.00	65.0	87.50
01/25/2018	75501307 TOTTEN, ANN	BRISTOL MYERS SQUIBB CO	S	19,008.00	315.00	10.00	305.00	65.0	194.75
01/25/2018	75501307 TOTTEN, ANN	ENABLE MIDSTREAM PARTNERS LP COM UN B		12,414.96	301.50	10.00	291.50	65.0	185.98
01/26/2018	75501307 TOTTEN, ANN	HI-CRUSH PARTNERS LP COM UNIT PARTN B		8,160.00	220.29	10.00	210.29	65.0	133.19
01/29/2018	75501313 HEIDENREICH, ROBERT	BRISTOL MYERS SQUIBB CO	S	25,838.00	420.00	10.00	410.00	65.0	263.00
01/29/2018	75501313 HEIDENREICH, ROBERT	HI-CRUSH PARTNERS LP COM UNIT PARTN B		13,250.00	333.01	10.00	323.01	65.0	206.46
01/29/2018	75501313 HEIDENREICH, ROBERT	KAPSTONE PAPER AND PACKAGING CORPOR S		17,230.00	342.39	10.00	332.39	65.0	212.55
01/29/2018	75501313 HEIDENREICH, ROBERT	U S SILICA HOLDINGS INC	B	17,340.00	343.99	10.00	333.99	65.0	213.59
01/03/2018	QGW030041 THOMAS, JACK	OMEROS CORPORATION	B	3,760.00	74.62	10.00	64.62	65.0	38.50
01/08/2018	QGW030041 THOMAS, JACK	ACADIA PHARMACEUTICALS INC COM	B	5,448.00	103.13	10.00	93.13	65.0	57.03
01/08/2018	QGW030041 THOMAS, JACK	FIVE OAKS INVESTMENT CORP COM	S	-7,120.00	231.11	10.00	221.11	65.0	140.22
12/28/2017	QGW030405 KOUKOULIS,	NATIONAL BANK OF GREECE S A AMERICA S		-327.30	30.00	10.00	20.00	65.0	9.50
01/12/2018	QGW030595 COHEN, MICHAEL	OVERSTOCK COM INC DEL COM	B	8,165.00	80.73	10.00	70.73	65.0	42.47
01/25/2018	QGW030595 COHEN, MICHAEL	OVERSTOCK COM INC DEL COM	S	-7,457.50	80.73	10.00	70.73	65.0	42.47
01/29/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-1,380.00	60.00	10.00	50.00	65.0	29.00
01/29/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-5,750.00	250.00	10.00	240.00	65.0	152.50
<b>* STOCKS SUBTOTAL *</b>				<b>\$194,307.22</b>	<b>\$5,025.74</b>	<b>\$250.00</b>	<b>\$4,775.74</b>		<b>\$3,016.72</b>

**PRODUCT CATEGORY: OPTIONS**

01/09/2018	75501291 PRESTON, MARGARITA	CALL PFE	01/19/18	36	S	1,800.00	75.00	10.00	65.00	65.0	38.75
01/18/2018	75501291 PRESTON, MARGARITA	CALL PFE	02/16/18	36	S	3,600.00	150.00	10.00	140.00	65.0	87.50
01/19/2018	75501291 PRESTON, MARGARITA	CALL PFE	01/19/18	36	B	2,766.90	50.00	10.00	40.00	65.0	22.50

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
01/29/2018	75501291	PRESTON, MARGARITA	CALL PFE 02/16/18 39.50	S	1,740.00	75.00	10.00	65.00	38.75
01/03/2018	QGW030355	GOULD, PETER	PUT 100 TESLA INC EXP 01-19-18 @310	B	2,600.00	76.34	10.00	66.34	39.62
01/19/2018	QGW030355	GOULD, PETER	CALL 100 COTY INC COM CL A EXP 01-1	B	4,550.00	135.25	10.00	125.25	77.91
* OPTIONS SUBTOTAL *				\$17,056.90	\$561.59	\$60.00	\$501.59		\$305.03
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
01/10/2018	75501290	PRESTON, MARGARITA	FRANKLIN INCOME FUND CLASS A	B	0.00	2.10	0.00	2.10	1.37
01/10/2018	75501290	PRESTON, MARGARITA	GOLDMAN SACHS HIGH YIELD FUND CL A	B	0.00	5.78	0.00	5.78	3.76
01/10/2018	75501290	PRESTON, MARGARITA	THE INCOME FUND OF AMERICA-A	B	0.00	8.38	0.00	8.38	5.45
01/10/2018	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	9.21	0.00	9.21	5.99
01/10/2018	75501291	PRESTON, MARGARITA	AMERICAN HIGH-INCOME TRUST-A	B	0.00	5.29	0.00	5.29	3.44
01/10/2018	75501291	PRESTON, MARGARITA	INVESCO HIGH YIELD MUNICIPAL FUND C	B	0.00	28.86	0.00	28.86	18.76
01/10/2018	75501291	PRESTON, MARGARITA	NUVEEN FLAGSHIP MUN TR HIGH YIELD M	B	0.00	8.13	0.00	8.13	5.28
01/10/2018	75501291	PRESTON, MARGARITA	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	19.34	0.00	19.34	12.57
01/10/2018	75501293	JOE, HENRY	FRK NATURAL RES FND - CL A	B	0.00	0.85	0.00	0.85	0.55
01/10/2018	75501293	JOE, HENRY	INTERMEDIATE BOND FUND OF AMERICA-A	B	0.00	3.95	0.00	3.95	2.57
01/10/2018	75501305	BUNIN, ARLENE	FRANKLIN INCOME FUND CLASS A	B	0.00	5.73	0.00	5.73	3.72
01/10/2018	75501305	BUNIN, ARLENE	FRK AGE HIGH INC FND - CL A	B	0.00	11.59	0.00	11.59	7.53
01/10/2018	75501305	BUNIN, ARLENE	GOLDMAN SACHS HIGH YIELD FUND CL A	B	0.00	34.53	0.00	34.53	22.44
01/10/2018	75501307	TOTTEN, ANN	FRANKLIN INCOME FUND CLASS A	B	0.00	18.11	0.00	18.11	11.77
01/10/2018	75501307	TOTTEN, ANN	THE BOND FUND OF AMERICA-A	B	0.00	10.02	0.00	10.02	6.51
01/10/2018	75501307	TOTTEN, ANN	THE INCOME FUND OF AMERICA-A	B	0.00	14.56	0.00	14.56	9.46
01/10/2018	75501308	ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A	B	0.00	4.92	0.00	4.92	3.20
01/10/2018	75501308	ANN S TOTTEN	MUTUAL DISC FND - CL A	B	0.00	3.93	0.00	3.93	2.55
01/10/2018	75501309	TOTTEN, ANN	FRANKLIN INCOME FUND CLASS A	B	0.00	6.77	0.00	6.77	4.40
01/10/2018	75501309	TOTTEN, ANN	THE GROWTH FUND OF AMERICA-A	B	0.00	9.14	0.00	9.14	5.94
01/10/2018	75501309	TOTTEN, ANN	THE NEW ECONOMY FUND-A	B	0.00	8.76	0.00	8.76	5.69
01/10/2018	75501310	MARGARITA F PRESTON	FRANKLIN INCOME FUND CLASS A	B	0.00	3.33	0.00	3.33	2.16
01/10/2018	75501310	MARGARITA F PRESTON	MAINSTAY HIGH-YIELD CORPORATE BOND	B	0.00	22.87	0.00	22.87	14.87
01/10/2018	75501310	MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL	B	0.00	15.80	0.00	15.80	10.27
01/10/2018	75501310	MARGARITA F PRESTON	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	13.16	0.00	13.16	8.55
01/10/2018	75501310	MARGARITA F PRESTON	THE INCOME FUND OF AMERICA-A	B	0.00	7.62	0.00	7.62	4.95
01/12/2018	75501311	HEIDENREICH, CHARLYN	DELAWARE SELECT GROWTH FUND A CLASS	B	0.00	2.25	0.00	2.25	1.46
01/10/2018	75501312	HEIDENREICH, CHARLYN	FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	0.78	0.00	0.78	0.51
01/10/2018	75501312	HEIDENREICH, CHARLYN	INTERMEDIATE BOND FUND OF AMERICA-A	B	0.00	2.85	0.00	2.85	1.85
01/10/2018	75501312	HEIDENREICH, CHARLYN	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	3.22	0.00	3.22	2.09
01/12/2018	75501312	HEIDENREICH, CHARLYN	DELAWARE INVESTMENTS DIVERSIFIED IN	B	0.00	1.50	0.00	1.50	0.98
01/10/2018	75501313	HEIDENREICH, ROBERT	AIM SHORT TERM BOND FUND CLASS A	B	0.00	47.32	0.00	47.32	30.76
01/10/2018	75501313	HEIDENREICH, ROBERT	AIM UTILITIES FUND - CLASS A	B	0.00	48.76	0.00	48.76	31.69
01/10/2018	75501313	HEIDENREICH, ROBERT	FRANKLIN INCOME FUND CLASS A	B	0.00	11.02	0.00	11.02	7.16

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
01/10/2018	75501313	HEIDENREICH, ROBERT	FRANKLIN/TEMPLETON FUNDS 353612690	B	0.00	13.79	0.00	13.79	65.0	8.96
01/10/2018	75501313	HEIDENREICH, ROBERT	GOLDMAN SACHS TR SHORT DURATION INC	B	0.00	13.46	0.00	13.46	65.0	8.75
01/10/2018	75501313	HEIDENREICH, ROBERT	INVESCO CONVERTIBLE SECURITIES FUND	B	0.00	49.16	0.00	49.16	65.0	31.95
01/10/2018	75501313	HEIDENREICH, ROBERT	INVESCO SHORT DURATION INFLATION PR	B	0.00	19.27	0.00	19.27	65.0	12.53
01/10/2018	75501313	HEIDENREICH, ROBERT	THE BOND FUND OF AMERICA-A	B	0.00	9.68	0.00	9.68	65.0	6.29
01/10/2018	75501314	COHEN, GLADYS	EATON VANCE NATIONAL MUNICIPAL FUND	B	0.00	95.36	0.00	95.36	65.0	61.98
01/10/2018	75501314	COHEN, GLADYS	FRANKLIN NEW YORK TAX-FREE INCOME F	B	0.00	38.82	0.00	38.82	65.0	25.23
01/10/2018	75501314	COHEN, GLADYS	GOLDMAN SACHS DYNAMIC MUNICIPAL INC	B	0.00	91.03	0.00	91.03	65.0	59.17
01/10/2018	75501314	COHEN, GLADYS	GOLDMAN SACHS HIGH YIELD MUNICIPAL	B	0.00	54.53	0.00	54.53	65.0	35.44
01/10/2018	75501314	COHEN, GLADYS	ROCH. LIMITED TERM NEW YORK MUNICI	B	0.00	34.87	0.00	34.87	65.0	22.67
01/10/2018	75501314	COHEN, GLADYS	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	43.61	0.00	43.61	65.0	28.35
01/10/2018	75501316	PIPER, CAROL	AMERICAN HIGH-INCOME TRUST-A	B	0.00	6.29	0.00	6.29	65.0	4.09
01/10/2018	75501316	PIPER, CAROL	FEDERATED HIGH INCOME BOND FUND	B	0.00	5.48	0.00	5.48	65.0	3.56
01/10/2018	75501316	PIPER, CAROL	FRANKLIN INCOME FUND CLASS A	B	0.00	7.95	0.00	7.95	65.0	5.17
01/10/2018	75501316	PIPER, CAROL	FRK AGE HIGH INC FND - CL A	B	0.00	2.17	0.00	2.17	65.0	1.41
01/10/2018	75501316	PIPER, CAROL	GOLDMAN SACHS HIGH YIELD FUND CL A	B	0.00	6.73	0.00	6.73	65.0	4.37
01/10/2018	75501317	PIPER, CAROL	FRANKLIN INCOME FUND CLASS A	B	0.00	1.22	0.00	1.22	65.0	0.79
01/10/2018	75501317	PIPER, CAROL	INVESCO ENDEAVOR FUND CL A	B	0.00	5.69	0.00	5.69	65.0	3.70
01/10/2018	75501317	PIPER, CAROL	NEW PERSPECTIVE FUND-A	B	0.00	3.43	0.00	3.43	65.0	2.23
01/10/2018	75501324	HEIDENREICH, CHARLYN	AIM SMALL CAP EQUITY FUND - CLASS A	B	0.00	26.90	0.00	26.90	65.0	17.49
01/10/2018	75501324	HEIDENREICH, CHARLYN	FRANKLIN BIOTECHNOLOGY DISCOVERY FU	B	0.00	3.54	0.00	3.54	65.0	2.30
01/10/2018	75501324	HEIDENREICH, CHARLYN	INVESCO AMERICAN FRANCHISE FUND CL	B	0.00	5.05	0.00	5.05	65.0	3.28
01/10/2018	75501325	ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A	B	0.00	2.41	0.00	2.41	65.0	1.57
01/10/2018	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR I	B	0.00	5.97	0.00	5.97	65.0	3.88
01/10/2018	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR II	B	0.00	25.50	0.00	25.50	65.0	16.58
01/10/2018	75501867	PAGAN, VIONA LYNN	DYNAMIC SMALL CAP FUND - A	B	0.00	21.91	0.00	21.91	65.0	14.24
01/10/2018	75501867	PAGAN, VIONA LYNN	FIDELITY ADV TECHNOLOGY CL A	B	0.00	13.08	0.00	13.08	65.0	8.50
01/10/2018	75501867	PAGAN, VIONA LYNN	GROWTH AND INCOME FUND - A	B	0.00	19.53	0.00	19.53	65.0	12.69
01/10/2018	75501867	PAGAN, VIONA LYNN	SMALL CAP EQUITY FUND - A	B	0.00	4.37	0.00	4.37	65.0	2.84
01/10/2018	75501867	PAGAN, VIONA LYNN	U.S. EQUITY FUND - A	B	0.00	25.48	0.00	25.48	65.0	16.56
01/10/2018	75501920	PAGAN, VIONA LYNN	AIM GLOBAL AGGRESSIVE GROWTH FUND C	B	0.00	2.64	0.00	2.64	65.0	1.72
01/10/2018	75501920	PAGAN, VIONA LYNN	INVESCO AMERICAN FRANCHISE FUND CL	B	0.00	16.65	0.00	16.65	65.0	10.82
01/10/2018	75502119	COHEN, MICHAEL	ALLIANCEBERNSTEIN MUNI INCOME-NY	A B	0.00	39.94	0.00	39.94	65.0	25.96
01/10/2018	75502119	COHEN, MICHAEL	EATON VANCE NATIONAL MUNICIPAL FUND	B	0.00	16.24	0.00	16.24	65.0	10.56
01/10/2018	75502119	COHEN, MICHAEL	EHV 27826L322	B	0.00	24.68	0.00	24.68	65.0	16.04
01/10/2018	75502119	COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL	B	0.00	32.48	0.00	32.48	65.0	21.11
01/10/2018	75502119	COHEN, MICHAEL	INVESCO NEW YORK TAX FREE INCOME FU	B	0.00	63.54	0.00	63.54	65.0	41.30
01/10/2018	75502119	COHEN, MICHAEL	NUVEEN NEW YORK MUNI BOND A	B	0.00	59.00	0.00	59.00	65.0	38.35
01/10/2018	75502119	COHEN, MICHAEL	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	11.23	0.00	11.23	65.0	7.30
01/10/2018	75502119	COHEN, MICHAEL	ROCHESTER FUND MUNICIPALS A	B	0.00	29.83	0.00	29.83	65.0	19.39

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
01/10/2018	75502119 COHEN, MICHAEL	THE BOND FUND OF AMERICA-A	B	0.00	15.95	0.00	15.95	65.0	10.37
01/22/2018	QGW008005 SCHULZ, CARL	ROCH. LIMITED TERM NEW YORK MUNICI	B	0.00	12.88	0.00	12.88	65.0	8.37
01/22/2018	QGW008005 SCHULZ, CARL	ROCHESTER FUND MUNICIPALS A	B	0.00	69.89	0.00	69.89	65.0	45.43
01/22/2018	QGW008039 STEFANO, MARGARET	ROCHESTER FUND MUNICIPALS A	B	0.00	3.25	0.00	3.25	65.0	2.11
01/19/2018	QGW008047 DOUGHERTY, JANE	HIGH YIELD A	B	0.00	1.12	0.00	1.12	65.0	0.73
01/22/2018	QGW008047 DOUGHERTY, JANE	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	6.63	0.00	6.63	65.0	4.31
01/22/2018	QGW023798 OLSSON, RITA	CAPITAL APPRECIATION A	B	0.00	0.55	0.00	0.55	65.0	0.36
01/18/2018	QGW023814 STEFANO, MARGARET	EUROPACIFIC GROWTH FUND-A	B	0.00	0.56	0.00	0.56	65.0	0.36
01/18/2018	QGW023814 STEFANO, MARGARET	THE GROWTH FUND OF AMERICA-A	B	0.00	2.55	0.00	2.55	65.0	1.66
01/19/2018	QGW023848 BYRNE, GERARD	MFS INTERNTL DIVERSIFICATION FUND-A	B	0.00	2.80	0.00	2.80	65.0	1.82
01/22/2018	QGW030595 COHEN, MICHAEL	FRANKLIN FEDERAL TAX FREE INCOME FU	B	0.00	4.10	0.00	4.10	65.0	2.67
01/22/2018	QGW030595 COHEN, MICHAEL	FRANKLIN INCOME FUND CLASS A	B	0.00	11.23	0.00	11.23	65.0	7.30
01/23/2018	QGW030595 COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL	B	0.00	17.88	0.00	17.88	65.0	11.62
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$1,502.33</b>	<b>\$0.00</b>	<b>\$1,502.33</b>		<b>\$976.48</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$211,364.12</b>	<b>\$7,089.66</b>	<b>\$310.00</b>	<b>\$6,779.66</b>		<b>\$4,298.23</b>

**ADJUSTMENTS**

01/31/2018	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
01/31/2018	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-12.00
01/31/2018	OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-54.44
01/31/2018	OTHER: QUODD	0.00	0.00	0.00	0.00	-170.35
01/31/2018	OTHER: WEALTH MANAGEMENT STATION	0.00	0.00	0.00	0.00	-25.00
<b>*** ADJUSTMENTS TOTAL ***</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$-281.79</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$4,298.23
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-281.79
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-8.86
SIPC Assessment	\$-17.72

<b>Check Amount</b>	<b>\$3,989.86</b>
<b>Year-to-date Earnings</b>	<b>\$3,989.86</b>