

COMMISSION STATEMENT

April 30, 2017

ERIC BELZ

1802 LITTLE JOHN STREET

MONTGOMERY, TX 77316

BROKER #:

BRANCH: HOME OFFICE

COMMISSION STATEMENT for ERIC BELZ

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

04/21/2017	QGW034415	CHAIMOVITCH, BERNARD	BANK OF AMERICA CORP	B	23,000.00	240.00	17.00	223.00	90.0	199.00
04/19/2017	QGW035040	THUILOT, CHARLES	COHERUS BIOSCIENCES INC COM	B	6,750.00	125.13	17.00	108.13	90.0	95.62
04/21/2017	QGW035040	THUILOT, CHARLES	COHERUS BIOSCIENCES INC COM	B	15,750.00	90.00	17.00	73.00	90.0	64.00
04/21/2017	QGW035040	THUILOT, CHARLES	OPKO HEALTH INC	B	16,000.00	175.00	17.00	158.00	90.0	140.50
04/21/2017	QGW035040	THUILOT, CHARLES	TRANSOCEAN LTD US LISTED	B	26,000.00	175.00	17.00	158.00	90.0	140.50
04/21/2017	QGW035040	THUILOT, CHARLES	TWITTER INC	B	22,500.00	115.00	17.00	98.00	90.0	86.50
04/24/2017	QGW035040	THUILOT, CHARLES	COHERUS BIOSCIENCES INC COM	S	-18,750.00	50.00	17.00	33.00	90.0	28.00
04/21/2017	QGW035172	O'NEILL, RORY	BANK OF AMERICA CORP	B	23,000.00	290.00	17.00	273.00	90.0	244.00
04/21/2017	QGW035248	BELZ, ERIC	YAHOO INC	S	-23,500.00	147.50	17.00	130.50	90.0	115.75
04/21/2017	QGW035248	BELZ, ERIC	YAHOO INC	S	-23,500.00	147.50	17.00	130.50	90.0	115.75
04/24/2017	QGW035248	BELZ, ERIC	YAHOO INC	B	24,009.00	50.00	17.00	33.00	90.0	28.00
04/21/2017	QGW035347	MODUGNO, ROCCO	BANK OF AMERICA CORP	B	23,000.00	240.00	17.00	223.00	90.0	199.00
04/21/2017	QGW035412	AMENITA, PATRICIA	YAHOO INC	S	-30,800.00	290.00	17.00	273.00	90.0	244.00
04/13/2017	QGW035511	LYDEN, MARY	TRANSOCEAN LTD US LISTED	B	19,500.00	344.66	17.00	327.66	90.0	293.19
04/21/2017	QGW035511	LYDEN, MARY	ARCONIC INC COM	S	-25,000.00	160.00	17.00	143.00	90.0	127.00
04/21/2017	QGW035511	LYDEN, MARY	TRANSOCEAN LTD US LISTED	B	6,500.00	110.00	17.00	93.00	90.0	82.00
04/21/2017	QGW035511	LYDEN, MARY	TWITTER INC	B	17,000.00	150.00	17.00	133.00	90.0	118.00
04/21/2017	QGW035545	KMIECIAK, INES	OPKO HEALTH INC	B	16,000.00	195.00	17.00	178.00	90.0	158.50
04/21/2017	QGW035552	KMIECIAK, ZBIGNIEW	ARCONIC INC COM	S	-50,000.00	275.00	17.00	258.00	90.0	230.50
04/21/2017	QGW035578	MUSSLER, LINDA	BANK OF AMERICA CORP	B	16,100.00	140.00	17.00	123.00	90.0	109.00
04/04/2017	QGW035586	MUSSLER, JAMES	ARCONIC INC COM	S	-6,128.11	82.00	17.00	65.00	90.0	56.80
04/21/2017	QGW035594	DUSATKO, ANNE	ARCONIC INC COM	S	-62,500.00	390.00	17.00	373.00	90.0	334.00
04/21/2017	QGW035594	DUSATKO, ANNE	BANK OF AMERICA CORP	B	34,500.00	310.00	17.00	293.00	90.0	262.00
04/13/2017	QGW035610	DAVIS, VICTORIA	TRANSOCEAN LTD US LISTED	B	6,500.00	85.00	17.00	68.00	90.0	59.50
04/21/2017	QGW035644	MONGELUZZI, LINDA	ARCONIC INC COM	S	-52,500.00	395.00	17.00	378.00	90.0	338.50
04/21/2017	QGW035669	KOLLAR, ROBERT	ARCONIC INC COM	S	-25,000.00	185.00	17.00	168.00	90.0	149.50
04/21/2017	QGW035685	EICHENHOLZ, SONDR	ARCONIC INC COM	S	-40,000.00	290.00	17.00	273.00	90.0	244.00
04/13/2017	QGW035701	SZARKA, MICHAEL	TRANSOCEAN LTD US LISTED	B	6,500.00	137.24	17.00	120.24	90.0	106.52
04/21/2017	QGW035701	SZARKA, MICHAEL	ARCONIC INC COM	S	-50,000.00	295.00	17.00	278.00	90.0	248.50
04/21/2017	QGW035701	SZARKA, MICHAEL	BANK OF AMERICA CORP	B	23,000.00	240.00	17.00	223.00	90.0	199.00
04/21/2017	QGW035701	SZARKA, MICHAEL	TRANSOCEAN LTD US LISTED	B	9,100.00	115.00	17.00	98.00	90.0	86.50

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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: STOCKS									
04/21/2017	QGW035727	HERDTER, CYNTHIA		BANK OF AMERICA CORP	B	23,000.00	110.00	17.00	93.00 90.0 82.00
04/21/2017	QGW035735	STELLATO, MICHAEL		BANK OF AMERICA CORP	B	23,000.00	195.00	17.00	178.00 90.0 158.50
04/20/2017	QGW035768	MASSA, PATRICIA		TRANSOCEAN LTD US LISTED	B	26,000.00	190.00	17.00	173.00 90.0 154.00
04/21/2017	QGW035776	ZIMMERMAN, FRANCINE		BANK OF AMERICA CORP	B	23,000.00	240.00	17.00	223.00 90.0 199.00
04/21/2017	QGW035792	NOLTE, DONNA		BANK OF AMERICA CORP	B	23,000.00	240.00	17.00	223.00 90.0 199.00
04/21/2017	QGW035792	NOLTE, DONNA		TRANSOCEAN LTD US LISTED	B	14,300.00	195.00	17.00	178.00 90.0 158.50
04/21/2017	QGW035800	SHEEHAN, MARY		BANK OF AMERICA CORP	B	23,000.00	240.00	17.00	223.00 90.0 199.00
04/13/2017	QGW035917	BOVE, DOMINICK		TRANSOCEAN LTD US LISTED	B	25,000.00	185.00	17.00	168.00 90.0 149.50
04/21/2017	QGW035982	PANASUK, JOHN		ARCONIC INC COM	S	-52,500.00	240.00	17.00	223.00 90.0 199.00
04/21/2017	QGW035982	PANASUK, JOHN		TRANSOCEAN LTD US LISTED	B	26,000.00	295.00	17.00	278.00 90.0 248.50
04/13/2017	QGW035990	HERDTER, RICHARD		TRANSOCEAN LTD US LISTED	B	18,750.00	185.00	17.00	168.00 90.0 149.50
04/21/2017	QGW036006	WALLNER, ERIC		TRANSOCEAN LTD US LISTED	B	14,300.00	195.00	17.00	178.00 90.0 158.50
04/21/2017	QGW036030	BALLO, CATHERINE		ARCONIC INC COM	S	-55,000.00	395.00	17.00	378.00 90.0 338.50
04/21/2017	QGW036030	BALLO, CATHERINE		TRANSOCEAN LTD US LISTED	B	26,000.00	295.00	17.00	278.00 90.0 248.50
04/21/2017	QGW036048	FITZPATRICK, BARRY		TRANSOCEAN LTD US LISTED	B	19,500.00	215.00	17.00	198.00 90.0 176.50
04/21/2017	QGW036105	ARDOLINO, SUSAN		BANK OF AMERICA CORP	B	23,000.00	295.00	17.00	278.00 90.0 248.50
04/21/2017	QGW036147	FRANCO, PETER		ARCONIC INC COM	S	-40,000.00	395.00	17.00	378.00 90.0 338.50
04/21/2017	QGW036329	WOLF, KIM		TRANSOCEAN LTD US LISTED	B	26,000.00	195.00	17.00	178.00 90.0 158.50
04/21/2017	QGW036329	WOLF, KIM		YAHOO INC	S	-47,000.00	340.00	17.00	323.00 90.0 289.00
* STOCKS SUBTOTAL *					\$66,380.89	\$10,674.03	\$850.00	\$9,824.03	\$8,756.63

PRODUCT CATEGORY: OPTIONS

04/26/2017	QGW034415	CHAIMOVITCH, BERNARD	CALL 100 VUZIX CORP COM NEW EXP 06-	S	-500.00	51.00	22.00	29.00 90.0 23.90
04/20/2017	QGW035198	WULFF, HANS	PUT 100 BANK AMER CORP COM EXP 05-1	S	-840.00	81.00	20.75	60.25 90.0 52.15
04/27/2017	QGW035511	LYDEN, MARY	CALL 100 VUZIX CORP COM NEW EXP 06-	S	-500.00	53.00	23.25	29.75 90.0 24.45
04/26/2017	QGW035537	LYDEN, MARY	PUT 100 VUZIX CORP COM NEW EXP 05-1	S	-699.90	65.00	24.50	40.50 90.0 34.00
04/11/2017	QGW035545	KMIECIAK, INES	PUT 100 OPKO HEALTH INC COM EXP 04-	S	-1,100.00	99.00	22.00	77.00 90.0 67.10
04/20/2017	QGW035594	DUSATKO, ANNE	CALL 100 ATLAS AIR WORLDWIDE HLDGS	S	-2,300.00	99.00	19.50	79.50 90.0 69.60
04/26/2017	QGW035594	DUSATKO, ANNE	PUT 100 VUZIX CORP COM NEW EXP 05-1	S	-600.00	52.00	23.25	28.75 90.0 23.55
04/26/2017	QGW035610	DAVIS, VICTORIA	CALL 100 TWITTER INC COM EXP 05-19-	S	-170.00	24.00	19.50	4.50 90.0 2.10
03/31/2017	QGW035776	ZIMMERMAN, FRANCINE	PUT 100 PAYPAL HLDGS INC COM EXP 05	S	-830.00	79.00	19.50	59.50 90.0 51.60
04/19/2017	QGW035776	ZIMMERMAN, FRANCINE	PUT 100 VUZIX CORP COM NEW EXP 05-1	S	-900.00	92.00	24.50	67.50 90.0 58.30
04/26/2017	QGW035792	NOLTE, DONNA	CALL 100 VUZIX CORP COM NEW EXP 06-	S	-500.00	53.00	22.00	31.00 90.0 25.70
04/05/2017	QGW035982	PANASUK, JOHN	CALL 100 TRANSOCEAN LTD REG SHS ISI	S	-740.00	62.00	22.00	40.00 90.0 33.80
04/26/2017	QGW035982	PANASUK, JOHN	CALL 100 OPKO HEALTH INC COM EXP 06	S	-300.00	38.00	22.00	16.00 90.0 12.20
04/27/2017	QGW035982	PANASUK, JOHN	CALL 100 TWITTER INC COM EXP 06-16-	S	-150.00	25.00	19.50	5.50 90.0 3.00
04/27/2017	QGW035982	PANASUK, JOHN	CALL 100 TRANSOCEAN LTD REG SHS ISI	S	-520.00	58.00	27.00	31.00 90.0 25.20
04/20/2017	QGW035990	HERDTER, RICHARD	CALL 100 ATLAS AIR WORLDWIDE HLDGS	S	-1,300.00	99.00	19.50	79.50 90.0 69.60
04/05/2017	QGW036030	BALLO, CATHERINE	CALL 100 TRANSOCEAN LTD REG SHS ISI	S	-740.00	61.00	22.00	39.00 90.0 32.90
04/26/2017	QGW036030	BALLO, CATHERINE	CALL 100 VUZIX CORP COM NEW EXP 06-	S	-500.00	55.00	22.00	33.00 90.0 27.50

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
04/27/2017	QGW036030	BALLO, CATHERINE	CALL 100	TRANSOCEAN LTD REG SHS ISI S	-480.00	55.00	27.00	28.00	90.0 22.50
03/31/2017	QGW036055	MATACOTTA, CORINNA	PUT 100	PAYPAL HLDGS INC COM EXP 05 S	-328.00	31.00	18.00	13.00	90.0 9.90
04/20/2017	QGW036220	KOLLAR, RUTH	CALL 100	ATLAS AIR WORLDWIDE HLDGS S	-504.00	20.00	18.00	2.00	90.0 0.00
04/20/2017	QGW036220	KOLLAR, RUTH	CALL 100	ATLAS AIR WORLDWIDE HLDGS S	504.00	-20.00	-18.00	-2.00	90.0 0.00 C
				* OPTIONS SUBTOTAL *	\$-13,997.90	\$1,232.00	\$439.75	\$792.25	\$669.05

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/13/2017	QGW031783	JACKSON, FRANK	DREYFUS RESH GROWTH FD INC SHS CL A B	0.00	2.67	0.00	2.67	90.0	2.40	
04/20/2017	QGW031783	JACKSON, FRANK	FRANKLIN GROWTH FUND CLASS A	B	0.00	3.65	0.00	3.65	90.0	3.29
04/21/2017	QGW034035	FAMILY 2012 IRREV	PUTNAM 746761204	B	0.00	20.25	0.00	20.25	90.0	18.23
04/21/2017	QGW034035	FAMILY 2012 IRREV	PUTNAM 746802511	B	0.00	9.86	0.00	9.86	90.0	8.87
04/20/2017	QGW035503	SIMPSON, DAVID	GLOBAL OPPORTUNITIES A	B	0.00	0.92	0.00	0.92	90.0	0.83
04/20/2017	QGW036477	MARCOLINI, MARANN	ROCHESTER FUND MUNICIPALS A	B	0.00	12.45	0.00	12.45	90.0	11.21
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$49.80	\$0.00	\$49.80		\$44.83
*** BROKER TRANSACTIONS TOTAL ***					\$52,382.99	\$11,955.83	\$1,289.75	\$10,666.08		\$9,470.51

ADJUSTMENTS

04/30/2017	OTHER: OTHER-QUEST	0.00	0.00	0.00	0.00	-200.00
04/30/2017	OTHER: OTHER-INVESCO	0.00	0.00	0.00	0.00	24.06
04/30/2017	OTHER: OTHER-AMERICAN FUNDS	0.00	0.00	0.00	0.00	39.61
04/30/2017	OTHER: OTHER-ADVISOR GUIDED	0.00	0.00	0.00	0.00	19.30
04/30/2017	OTHER: OTHER-PUTNAM	0.00	0.00	0.00	0.00	1,163.23
04/30/2017	OTHER: OTHER-FRANKLIN	0.00	0.00	0.00	0.00	97.31
04/30/2017	OTHER: OTHER-OPPENHEIMER	0.00	0.00	0.00	0.00	10,526.66
04/30/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-17.00
04/30/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-12.00
04/30/2017	OTHER: TECHNOLOGY	0.00	0.00	0.00	0.00	-300.00
04/30/2017	OTHER: OTHER-JOHN HANCOCK	0.00	0.00	0.00	0.00	0.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$11,341.17

BROKER COMMISSION TOTALS

Broker Transactions	\$9,470.51
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$11,341.17
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-14.94
SIPC Assessment	\$-224.17

Check Amount	\$20,572.57
Year-to-date Earnings	\$45,695.01