

COMMISSION STATEMENT

April 30, 2017

JAY SHARTSIS
54 BIRCHWOOD LANEBROKER #:
BRANCH: HOME OFFICE

HARTSDALE, NY, NY 10530

COMMISSION STATEMENT for JAY SHARTSIS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
04/10/2017	QGW008872	CINQUEMANI, FRANK	KROGER CO (THE)	B	6,021.24	109.53	6.00	103.53	51.77
04/24/2017	QGW009151	KOBOLD, MICHAEL	VIRNETX HOLDING CORPORATION	B	1,459.98	65.12	6.00	59.12	29.56
04/10/2017	QGW009177	-, MICHAEL KRUEGER	BROOKS AUTOMATION INC NEW COM	S	-10,951.20	50.00	6.00	44.00	22.00
04/10/2017	QGW009367	SCHIFF MINOR, NICOLE	KROGER CO (THE)	B	6,021.24	109.53	6.00	103.53	51.77
04/10/2017	QGW009490	PARTNERSHIP, 311	KROGER CO (THE)	B	15,053.10	232.85	6.00	226.85	113.43
04/10/2017	QGW009540	CINQUEMANI, FRANK	KROGER CO (THE)	B	30,106.20	400.45	6.00	394.45	197.23
04/25/2017	QGW009540	CINQUEMANI, FRANK	XILINX INC	B	30,328.10	364.29	6.00	358.29	179.15
04/25/2017	QGW009540	CINQUEMANI, FRANK	XILINX INC	B	-30,328.10	-364.29	-6.00	-358.29	-179.15 C
04/25/2017	QGW009540	CINQUEMANI, FRANK	XILINX INC	B	30,328.10	80.00	6.00	74.00	37.00
04/11/2017	QGW021461	BURNS, RHONDIE	HERTZ GLOBAL HLDGS INC NEW COM	B	3,227.60	69.35	6.00	63.35	31.68
04/11/2017	QGW021461	BURNS, RHONDIE	STUDENT TRANSN INC COM ISIN#CA86388	B	3,004.05	86.94	6.00	80.94	40.47
04/12/2017	QGW021461	BURNS, RHONDIE	VIAVI SOLUTIONS INC COM	S	-1,212.50	50.00	6.00	44.00	22.00
04/06/2017	QGW029514	HUNT, GREGORY	SIBANYE GOLD LTD SPONSORED ADR ISIN S	S	-9,702.80	210.30	6.00	204.30	102.15
04/06/2017	QGW029514	HUNT, GREGORY	SIBANYE GOLD LTD SPONSORED ADR ISIN S	S	9,702.80	-210.30	-6.00	-204.30	-102.15 C
04/06/2017	QGW029514	HUNT, GREGORY	SIBANYE GOLD LTD SPONSORED ADR ISIN S	S	-9,702.80	80.00	6.00	74.00	37.00
04/11/2017	QGW029514	HUNT, GREGORY	HERTZ GLOBAL HLDGS INC NEW COM	B	16,182.00	100.00	6.00	94.00	47.00
04/24/2017	QGW029514	HUNT, GREGORY	SIBANYE GOLD LTD SPONSORED ADR ISIN B	B	8,587.50	197.84	6.00	191.84	95.92
04/24/2017	QGW029514	HUNT, GREGORY	SIBANYE GOLD LTD SPONSORED ADR ISIN B	B	-8,587.50	-197.84	-6.00	-191.84	-95.92 C
04/24/2017	QGW029514	HUNT, GREGORY	SIBANYE GOLD LTD SPONSORED ADR ISIN B	B	8,587.50	90.00	6.00	84.00	42.00
* STOCKS SUBTOTAL *				\$98,124.51	\$1,523.77	\$78.00	\$1,445.77	\$722.91	

PRODUCT CATEGORY: OPTIONS

04/17/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 SIBANYE GOLD LTD SPONSORED	S	-240.00	40.00	6.00	34.00	17.00
04/17/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 SIBANYE GOLD LTD SPONSORED	S	-70.00	10.00	6.00	4.00	2.00
04/24/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 SIBANYE GOLD LTD SPONSORED	S	-375.00	50.00	6.00	44.00	22.00
04/20/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW	S	-340.00	16.67	6.00	10.67	5.34
04/20/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW	S	-300.00	16.66	6.00	10.66	5.33
04/20/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW	S	-340.00	16.67	6.00	10.67	5.34
04/07/2017	QGW021461	BURNS, RHONDIE	PUT 100 DIREXION SHS ETF TR DAILY J	B	1,250.00	97.08	6.00	91.08	45.54
04/12/2017	QGW021461	BURNS, RHONDIE	PUT 100 DIREXION SHS ETF TR DAILY J	S	-2,900.00	118.91	6.00	112.91	56.46
04/18/2017	QGW029514	HUNT, GREGORY	CALL 100 DIREXION SHS ETF TR DAILY	S	-496.00	50.00	6.00	44.00	22.00

COMMISSION STATEMENT for JAY SHARTSIS

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>									
04/24/2017	QGW029514 HUNT, GREGORY	CALL 100 HERTZ GLOBAL HLDGS INC NEW S		-490.00	50.00	6.00	44.00	50.0	22.00
04/24/2017	QGW029514 HUNT, GREGORY	PUT 100 VANECK VECTORS ETF TR JR GO B		1,300.00	99.00	6.00	93.00	50.0	46.50
04/24/2017	QGW029514 HUNT, GREGORY	PUT 100 VANECK VECTORS ETF TR JR GO S		-2,780.00	161.72	6.00	155.72	50.0	77.86
04/24/2017	QGW029514 HUNT, GREGORY	PUT 100 VANECK VECTORS ETF TR JR GO S		2,780.00	-161.72	-6.00	-155.72	50.0	-77.86 C
04/24/2017	QGW029514 HUNT, GREGORY	PUT 100 VANECK VECTORS ETF TR JR GO S		-2,780.00	120.00	6.00	114.00	50.0	57.00
* OPTIONS SUBTOTAL *				\$-5,781.00	\$684.99	\$72.00	\$612.99		\$306.51
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/11/2017	75501786 WRIGHTON, BRYAN	**CLEARBRIDGE LARGE CAP VALUE	B	0.00	42.76	0.00	42.76	50.0	21.38
04/27/2017	QGW030561 CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B		0.00	0.26	0.00	0.26	50.0	0.13
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$43.02	\$0.00	\$43.02		\$21.51
*** BROKER TRANSACTIONS TOTAL ***				\$92,343.51	\$2,251.78	\$150.00	\$2,101.78		\$1,050.93

ADJUSTMENTS

04/30/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
04/30/2017	OTHER: OTHER-INCOME	0.00	0.00	0.00	0.00	625.00
04/30/2017	OTHER: OTHER-OFFICE EXPENSE	0.00	0.00	0.00	0.00	-11.28
04/30/2017	OTHER: OTHER-TELEPHONE	0.00	0.00	0.00	0.00	-52.04
04/30/2017	OTHER: OTHER-QUEST	0.00	0.00	0.00	0.00	-50.00
04/30/2017	OTHER: OTHER-FINRA	0.00	0.00	0.00	0.00	-27.50
04/30/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-5.00
04/30/2017	OTHER: CBOE	0.00	0.00	0.00	0.00	-250.00
04/30/2017	OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-96.36
04/30/2017	OTHER: QUODD	0.00	0.00	0.00	0.00	-60.63
04/30/2017	:	0.00	0.00	0.00	0.00	0.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$52.19

BROKER COMMISSION TOTALS

Broker Transactions	\$1,050.93
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$52.19
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.81
SIPC Assessment	\$-42.22

Check Amount	\$1,058.09
Year-to-date Earnings	\$2,985.75