

COMMISSION STATEMENT

June 09, 2017

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
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
05/25/2017	75501310	MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL S	12,000.00	0.00	10.00	-10.00	65.0	0.00
			* MUTUAL FUNDS SUBTOTAL *	\$12,000.00	\$0.00	\$10.00	\$-10.00		\$0.00
PRODUCT CATEGORY: STOCKS									
05/12/2017	75501290	PRESTON, MARGARITA	ALPINE GLOBAL PREMIER PPTYS FD SHS B	5,987.00	227.48	10.00	217.48	65.0	137.86
04/28/2017	75501291	PRESTON, MARGARITA	TANGOE INC COMMON STOCK S	6,450.00	234.21	10.00	224.21	65.0	142.24
04/28/2017	75501292	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT B	6,193.73	152.96	10.00	142.96	65.0	89.42
04/28/2017	75501292	JOE, HENRY	TANGOE INC COMMON STOCK S	6,450.00	234.21	10.00	224.21	65.0	142.24
05/03/2017	75501293	JOE, HENRY	CATASYS INC COM PAR\$.0001 2017 B	2,425.00	121.25	10.00	111.25	65.0	68.81
05/03/2017	75501293	JOE, HENRY	CATASYS INC COM PAR\$.0001 2017 S	-2,425.00	-121.25	-10.00	-111.25	65.0	-68.81 C
05/03/2017	75501293	JOE, HENRY	CATASYS INC COM PAR\$.0001 2017 B	2,425.00	100.00	10.00	90.00	65.0	55.00
04/28/2017	75501307	TOTTEN, ANN	CREDIT SUISSE AG NASSAU BRH VELOCIT B	12,431.56	262.98	10.00	252.98	65.0	160.94
04/28/2017	75501307	TOTTEN, ANN	TANGOE INC COMMON STOCK S	6,450.00	234.21	10.00	224.21	65.0	142.24
05/03/2017	75501307	TOTTEN, ANN	CATASYS INC COM PAR\$.0001 2017 B	2,475.00	122.30	10.00	112.30	65.0	69.50
05/03/2017	75501307	TOTTEN, ANN	CATASYS INC COM PAR\$.0001 2017 S	-2,475.00	-122.30	-10.00	-112.30	65.0	-69.50 C
05/03/2017	75501307	TOTTEN, ANN	CATASYS INC COM PAR\$.0001 2017 B	2,475.00	100.00	10.00	90.00	65.0	55.00
05/18/2017	75501307	TOTTEN, ANN	BRISTOL MYERS SQUIBB CO B	16,103.70	306.65	10.00	296.65	65.0	189.32
05/18/2017	75501307	TOTTEN, ANN	ORAMED PHARMACEUTICALS INC S	8,120.00	258.47	10.00	248.47	65.0	158.01
05/25/2017	75501310	MARGARITA F PRESTON	ORCHID ISLAND CAPITAL INC B	15,525.00	398.37	10.00	388.37	65.0	248.94
04/28/2017	75501313	HEIDENREICH, ROBERT	TANGOE INC COMMON STOCK S	6,440.00	234.06	10.00	224.06	65.0	142.14
05/04/2017	75501313	HEIDENREICH, ROBERT	CATASYS INC COM PAR\$.0001 2017 B	4,735.30	150.00	10.00	140.00	65.0	87.50
05/04/2017	75501313	HEIDENREICH, ROBERT	MERIDIAN WASTE SOLUTIONS INC COMMON B	636.00	24.00	10.00	14.00	65.0	5.60
05/05/2017	75501313	HEIDENREICH, ROBERT	COTY INC COM CL A S	6,455.84	189.24	10.00	179.24	65.0	113.01
05/08/2017	75501313	HEIDENREICH, ROBERT	MERIDIAN WASTE SOLUTIONS INC COMMON B	1,817.16	90.86	10.00	80.86	65.0	49.06
05/11/2017	75501313	HEIDENREICH, ROBERT	ABERCROMBIE & FITCH CO-CL A B	14,218.30	347.08	10.00	337.08	65.0	215.60
05/15/2017	75501313	HEIDENREICH, ROBERT	COHERUS BIOSCIENCES INC COM B	11,000.00	251.87	10.00	241.87	65.0	153.72
05/18/2017	75501313	HEIDENREICH, ROBERT	BRISTOL MYERS SQUIBB CO B	21,478.80	388.98	10.00	378.98	65.0	242.84
05/18/2017	75501313	HEIDENREICH, ROBERT	EL POLLO LOCO HOLDINGS INC COM S	4,065.00	126.01	10.00	116.01	65.0	71.91
05/18/2017	75501316	PIPER, CAROL	PROSPECT CAPITAL CORPORATION B	8,150.00	258.91	10.00	248.91	65.0	158.29
05/24/2017	75501972	SANCHEZ, FRANCISCO	BAIDU INC SPONSORED ADR REPSTG ORD S	114,424.70	200.00	10.00	190.00	65.0	120.00
05/16/2017	QGW030355	GOULD, PETER	COHERUS BIOSCIENCES INC COM B	10,975.00	187.26	10.00	177.26	65.0	111.72

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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>									
05/16/2017	QGW030355 GOULD, PETER	PIERIS PHARMACEUTICALS INC COM SHS	S	-10,183.00	263.86	10.00	253.86	65.0	161.51
05/16/2017	QGW030355 GOULD, PETER	PIERIS PHARMACEUTICALS INC COM SHS	S	-10,300.00	263.86	10.00	253.86	65.0	161.51
05/16/2017	QGW030355 GOULD, PETER	PIERIS PHARMACEUTICALS INC COM SHS	S	10,300.00	-263.86	-10.00	-253.86	65.0	-161.51 C
05/16/2017	QGW030355 GOULD, PETER	PIERIS PHARMACEUTICALS INC COM SHS	S	-10,300.00	263.86	10.00	253.86	65.0	161.51
05/25/2017	QGW030355 GOULD, PETER	CYTODYN INC COM	S	-14,015.00	600.00	10.00	590.00	65.0	380.00
05/16/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-7,300.00	210.66	10.00	200.66	65.0	126.93
05/16/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-7,350.00	210.66	10.00	200.66	65.0	126.93
05/16/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-14,758.50	421.32	10.00	411.32	65.0	263.86
05/17/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,000.00	180.16	10.00	170.16	65.0	107.10
05/17/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-8,970.00	270.24	10.00	260.24	65.0	165.66
05/17/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-5,980.00	180.16	10.00	170.16	65.0	107.10
05/22/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,200.00	404.01	10.00	394.01	65.0	252.61
05/22/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-8,338.72	221.64	10.00	211.64	65.0	134.07
05/22/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,055.00	404.01	10.00	394.01	65.0	252.61
05/23/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,250.00	390.73	10.00	380.73	65.0	243.97
05/23/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,201.00	390.74	10.00	380.74	65.0	243.98
05/23/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,000.00	390.73	10.00	380.73	65.0	243.97
05/24/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,164.05	186.48	10.00	176.48	65.0	111.21
05/24/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-14,020.85	424.15	10.00	414.15	65.0	265.70
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,200.00	349.02	10.00	339.02	65.0	216.86
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,200.00	349.02	10.00	339.02	65.0	216.86
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,150.50	349.02	10.00	339.02	65.0	216.86
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,200.00	349.02	10.00	339.02	65.0	216.86
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-21,280.00	488.63	10.00	478.63	65.0	307.61
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,066.00	139.60	10.00	129.60	65.0	80.74
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-9,090.30	209.41	10.00	199.41	65.0	126.12
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,250.00	349.02	10.00	339.02	65.0	216.86
05/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-9,090.30	209.41	10.00	199.41	65.0	126.12
* STOCKS SUBTOTAL *				\$-17,606.13	\$13,163.37	\$490.00	\$12,673.37		\$8,066.21

PRODUCT CATEGORY: OPTIONS

05/05/2017	75501291 PRESTON, MARGARITA	CALL PFE	05/05/17	33	B	1,200.00	50.00	10.00	40.00	65.0	22.50
05/05/2017	75501291 PRESTON, MARGARITA	CALL PFE	05/12/17	33	S	1,410.00	60.00	10.00	50.00	65.0	29.00
05/09/2017	75501291 PRESTON, MARGARITA	CALL PFE	05/12/17	33	B	1,200.00	50.00	10.00	40.00	65.0	22.50
05/09/2017	75501291 PRESTON, MARGARITA	CALL PFE	05/19/17	33	B	800.00	50.00	10.00	40.00	65.0	22.50
05/10/2017	75501291 PRESTON, MARGARITA	CALL PFE	05/19/17	31	S	6,150.00	200.00	10.00	190.00	65.0	120.00
05/16/2017	75501291 PRESTON, MARGARITA	CALL PFE	05/19/17	31	B	4,500.00	100.00	10.00	90.00	65.0	55.00
05/23/2017	75501291 PRESTON, MARGARITA	CALL PFE	06/16/17	31	S	3,900.00	195.00	10.00	185.00	65.0	116.75
05/23/2017	75501291 PRESTON, MARGARITA	CALL PFE	06/16/17	31	B	-3,900.00	-195.00	-10.00	-185.00	65.0	-116.75 C
05/23/2017	75501291 PRESTON, MARGARITA	CALL PFE	06/16/17	31	S	3,900.00	150.00	10.00	140.00	65.0	87.50

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
05/17/2017	QGW030355 GOULD, PETER	PUT 100 COHERUS BIOSCIENCES INC COM B		1,125.00	62.29	10.00	52.29	65.0	30.49
		* OPTIONS SUBTOTAL *		\$20,285.00	\$722.29	\$80.00	\$642.29		\$389.49
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
05/09/2017	75501290 PRESTON, MARGARITA	FRANKLIN INCOME FUND CLASS A	B	0.00	2.00	0.00	2.00	65.0	1.30
05/09/2017	75501290 PRESTON, MARGARITA	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	6.69	0.00	6.69	65.0	4.35
05/09/2017	75501290 PRESTON, MARGARITA	THE INCOME FUND OF AMERICA-A	B	0.00	7.60	0.00	7.60	65.0	4.94
05/09/2017	75501290 PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	8.66	0.00	8.66	65.0	5.63
05/09/2017	75501291 PRESTON, MARGARITA	AMERICAN HIGH-INCOME TRUST-A	B	0.00	8.42	0.00	8.42	65.0	5.47
05/09/2017	75501291 PRESTON, MARGARITA	FRANKLIN HIGH-YIELD TAX-FREE INCOME B		0.00	11.85	0.00	11.85	65.0	7.70
05/09/2017	75501291 PRESTON, MARGARITA	FRK AGE HIGH INC FND - CL A	B	0.00	3.79	0.00	3.79	65.0	2.46
05/09/2017	75501291 PRESTON, MARGARITA	NUVEEN FLAGSHIP MUN TR HIGH YIELD M B		0.00	7.59	0.00	7.59	65.0	4.93
05/09/2017	75501291 PRESTON, MARGARITA	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	19.67	0.00	19.67	65.0	12.79
05/09/2017	75501293 JOE, HENRY	FRK NATURAL RES FND - CL A	B	0.00	0.82	0.00	0.82	65.0	0.53
05/09/2017	75501293 JOE, HENRY	INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	3.83	0.00	3.83	65.0	2.49
05/09/2017	75501305 BUNIN, ARLENE	FRANKLIN INCOME FUND CLASS A	B	0.00	5.48	0.00	5.48	65.0	3.56
05/09/2017	75501305 BUNIN, ARLENE	FRK AGE HIGH INC FND - CL A	B	0.00	11.29	0.00	11.29	65.0	7.34
05/09/2017	75501305 BUNIN, ARLENE	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	33.64	0.00	33.64	65.0	21.87
05/09/2017	75501307 TOTTEN, ANN	FRANKLIN INCOME FUND CLASS A	B	0.00	16.71	0.00	16.71	65.0	10.86
05/09/2017	75501307 TOTTEN, ANN	THE BOND FUND OF AMERICA-A	B	0.00	9.56	0.00	9.56	65.0	6.21
05/09/2017	75501307 TOTTEN, ANN	THE INCOME FUND OF AMERICA-A	B	0.00	12.97	0.00	12.97	65.0	8.43
05/09/2017	75501308 ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A	B	0.00	4.70	0.00	4.70	65.0	3.06
05/09/2017	75501308 ANN S TOTTEN	MUTUAL DISC FND - CL A	B	0.00	3.66	0.00	3.66	65.0	2.38
05/09/2017	75501309 TOTTEN, ANN	FRANKLIN INCOME FUND CLASS A	B	0.00	6.25	0.00	6.25	65.0	4.06
05/09/2017	75501309 TOTTEN, ANN	THE GROWTH FUND OF AMERICA-A	B	0.00	7.67	0.00	7.67	65.0	4.99
05/09/2017	75501309 TOTTEN, ANN	THE NEW ECONOMY FUND-A	B	0.00	7.01	0.00	7.01	65.0	4.56
05/09/2017	75501310 MARGARITA F PRESTON	FRANKLIN INCOME FUND CLASS A	B	0.00	3.18	0.00	3.18	65.0	2.07
05/09/2017	75501310 MARGARITA F PRESTON	MAINSTAY HIGH-YIELD CORPORATE BOND B		0.00	22.27	0.00	22.27	65.0	14.48
05/09/2017	75501310 MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL B		0.00	26.67	0.00	26.67	65.0	17.34
05/09/2017	75501310 MARGARITA F PRESTON	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	13.38	0.00	13.38	65.0	8.70
05/09/2017	75501310 MARGARITA F PRESTON	THE INCOME FUND OF AMERICA-A	B	0.00	6.91	0.00	6.91	65.0	4.49
05/10/2017	75501311 HEIDENREICH, CHARLYN	DELAWARE SELECT GROWTH FUND A CLASS B		0.00	1.88	0.00	1.88	65.0	1.22
05/09/2017	75501312 HEIDENREICH, CHARLYN	FRANKLIN U.S. GOVERNMENT SECURITIES B		0.00	0.75	0.00	0.75	65.0	0.49
05/09/2017	75501312 HEIDENREICH, CHARLYN	INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	2.81	0.00	2.81	65.0	1.83
05/09/2017	75501312 HEIDENREICH, CHARLYN	MFS EMERGING GROWTH FUND CLASS A	B	0.00	0.36	0.00	0.36	65.0	0.23
05/09/2017	75501312 HEIDENREICH, CHARLYN	SHORT-TERM BOND FUND OF AMERICA - A B		0.00	1.74	0.00	1.74	65.0	1.13
05/10/2017	75501312 HEIDENREICH, CHARLYN	DELAWARE INVESTMENTS DIVERSIFIED IN B		0.00	1.41	0.00	1.41	65.0	0.92
05/09/2017	75501313 HEIDENREICH, ROBERT	FRANKLIN INCOME FUND CLASS A	B	0.00	10.17	0.00	10.17	65.0	6.61
05/09/2017	75501313 HEIDENREICH, ROBERT	FRANKLIN/TEMPLETON FUNDS 353612690 B		0.00	13.31	0.00	13.31	65.0	8.65
05/09/2017	75501313 HEIDENREICH, ROBERT	GOLDMAN SACHS TR SHORT DURATION INC B		0.00	13.00	0.00	13.00	65.0	8.45

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
05/09/2017	75501313	HEIDENREICH, ROBERT		THE BOND FUND OF AMERICA-A	B	0.00	9.24	0.00	9.24 65.0 6.01
05/09/2017	75501314	COHEN, GLADYS		EATON VANCE NATIONAL MUNICIPAL FUND B	B	0.00	92.02	0.00	92.02 65.0 59.81
05/09/2017	75501314	COHEN, GLADYS		FRANKLIN NEW YORK TAX-FREE INCOME F B	B	0.00	37.98	0.00	37.98 65.0 24.69
05/09/2017	75501314	COHEN, GLADYS		GOLDMAN SACHS DYNAMIC MUNICIPAL INC B	B	0.00	87.33	0.00	87.33 65.0 56.76
05/09/2017	75501314	COHEN, GLADYS		GOLDMAN SACHS HIGH YIELD MUNICIPAL B	B	0.00	52.09	0.00	52.09 65.0 33.86
05/09/2017	75501314	COHEN, GLADYS		ROCH. LIMITED TERM NEW YORK MUNICIP B	B	0.00	36.13	0.00	36.13 65.0 23.48
05/09/2017	75501314	COHEN, GLADYS		ROCHESTER NATIONAL MUNICIPALS A	B	0.00	44.36	0.00	44.36 65.0 28.83
05/09/2017	75501315	COHEN, GLADYS		ALLIANCEBERNSTEIN MUNI INCOME-NY A	B	0.00	38.26	0.00	38.26 65.0 24.87
05/09/2017	75501315	COHEN, GLADYS		EATON VANCE NATIONAL MUNICIPAL FUND B	B	0.00	15.67	0.00	15.67 65.0 10.19
05/09/2017	75501315	COHEN, GLADYS		EHV 27826L322	B	0.00	23.69	0.00	23.69 65.0 15.40
05/09/2017	75501315	COHEN, GLADYS		GOLDMAN SACHS HIGH YIELD MUNICIPAL B	B	0.00	31.02	0.00	31.02 65.0 20.16
05/09/2017	75501315	COHEN, GLADYS		NUVEEN NEW YORK MUNI BOND A	B	0.00	56.70	0.00	56.70 65.0 36.86
05/09/2017	75501315	COHEN, GLADYS		ROCHESTER NATIONAL MUNICIPALS A	B	0.00	11.42	0.00	11.42 65.0 7.42
05/09/2017	75501315	COHEN, GLADYS		ROCHESTER FUND MUNICIPALS A	B	0.00	30.00	0.00	30.00 65.0 19.50
05/09/2017	75501315	COHEN, GLADYS		THE BOND FUND OF AMERICA-A	B	0.00	15.40	0.00	15.40 65.0 10.01
05/09/2017	75501316	PIPER, CAROL		AMERICAN HIGH-INCOME TRUST-A	B	0.00	6.10	0.00	6.10 65.0 3.97
05/09/2017	75501316	PIPER, CAROL		FEDERATED HIGH INCOME BOND FUND	B	0.00	6.47	0.00	6.47 65.0 4.21
05/09/2017	75501316	PIPER, CAROL		FRANKLIN INCOME FUND CLASS A	B	0.00	7.59	0.00	7.59 65.0 4.93
05/09/2017	75501316	PIPER, CAROL		FRK AGE HIGH INC FND - CL A	B	0.00	2.11	0.00	2.11 65.0 1.37
05/09/2017	75501316	PIPER, CAROL		GOLDMAN SACHS HIGH YIELD FUND CL A B	B	0.00	6.56	0.00	6.56 65.0 4.26
05/09/2017	75501317	PIPER, CAROL		FRANKLIN INCOME FUND CLASS A	B	0.00	1.13	0.00	1.13 65.0 0.73
05/09/2017	75501317	PIPER, CAROL		NEW PERSPECTIVE FUND-A	B	0.00	3.28	0.00	3.28 65.0 2.13
05/09/2017	75501324	HEIDENREICH, CHARLYN		FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	B	0.00	3.28	0.00	3.28 65.0 2.13
05/09/2017	75501325	ANN S TOTTEN		FRANKLIN INCOME FUND CLASS A	B	0.00	2.52	0.00	2.52 65.0 1.64
05/09/2017	75501867	PAGAN, VIONA LYNN		**JPMORGAN TR I	B	0.00	5.63	0.00	5.63 65.0 3.66
05/09/2017	75501867	PAGAN, VIONA LYNN		**JPMORGAN TR I	B	0.00	5.17	0.00	5.17 65.0 3.36
05/09/2017	75501867	PAGAN, VIONA LYNN		**JPMORGAN TR II	B	0.00	21.81	0.00	21.81 65.0 14.18
05/09/2017	75501867	PAGAN, VIONA LYNN		DYNAMIC SMALL CAP FUND - A	B	0.00	16.95	0.00	16.95 65.0 11.02
05/09/2017	75501867	PAGAN, VIONA LYNN		FIDELITY ADV TECHNOLOGY CL A	B	0.00	9.97	0.00	9.97 65.0 6.48
05/09/2017	75501867	PAGAN, VIONA LYNN		GROWTH AND INCOME FUND - A	B	0.00	16.48	0.00	16.48 65.0 10.71
05/09/2017	75501867	PAGAN, VIONA LYNN		SMALL CAP EQUITY FUND - A	B	0.00	3.80	0.00	3.80 65.0 2.47
05/09/2017	75501867	PAGAN, VIONA LYNN		U.S. EQUITY FUND - A	B	0.00	21.80	0.00	21.80 65.0 14.17
04/19/2017	QGW030595	COHEN, MICHAEL		GOLDMAN SACHS HIGH YIELD MUNICIPAL B	B	0.00	17.45	0.00	17.45 65.0 11.34
04/19/2017	QGW030595	COHEN, MICHAEL		GOLDMAN SACHS HIGH YIELD MUNICIPAL B	B	0.00	17.45	0.00	17.45 65.0 11.34
04/20/2017	QGW030595	COHEN, MICHAEL		FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	B	0.00	10.70	0.00	10.70 65.0 6.96
04/20/2017	QGW030595	COHEN, MICHAEL		FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	B	0.00	10.70	0.00	10.70 65.0 6.96
04/20/2017	QGW030595	COHEN, MICHAEL		FRANKLIN INCOME FUND CLASS A	B	0.00	11.13	0.00	11.13 65.0 7.23
04/20/2017	QGW030595	COHEN, MICHAEL		FRANKLIN INCOME FUND CLASS A	B	0.00	11.13	0.00	11.13 65.0 7.23
05/11/2017	QGW030595	COHEN, MICHAEL		FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	B	0.00	3.69	0.00	3.69 65.0 2.40
05/11/2017	QGW030595	COHEN, MICHAEL		FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	B	0.00	3.69	0.00	3.69 65.0 2.40

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
05/11/2017	QGW030595	COHEN, MICHAEL	FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	0.00	3.69	0.00	3.69	65.0	2.40
05/11/2017	QGW030595	COHEN, MICHAEL	FRANKLIN FEDERAL TAX FREE INCOME FU B	0.00	2.53	0.00	2.53	65.0	1.64
05/11/2017	QGW030595	COHEN, MICHAEL	FRANKLIN FEDERAL TAX FREE INCOME FU B	0.00	2.53	0.00	2.53	65.0	1.64
05/11/2017	QGW030595	COHEN, MICHAEL	FRANKLIN FEDERAL TAX FREE INCOME FU B	0.00	2.53	0.00	2.53	65.0	1.64
05/11/2017	QGW030595	COHEN, MICHAEL	FRANKLIN INCOME FUND CLASS A B	0.00	10.73	0.00	10.73	65.0	6.97
05/11/2017	QGW030595	COHEN, MICHAEL	FRANKLIN INCOME FUND CLASS A B	0.00	10.73	0.00	10.73	65.0	6.97
05/11/2017	QGW030595	COHEN, MICHAEL	FRANKLIN INCOME FUND CLASS A B	0.00	10.73	0.00	10.73	65.0	6.97
05/17/2017	QGW030595	COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL B	0.00	17.08	0.00	17.08	65.0	11.10
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,186.15	\$0.00	\$1,186.15		\$770.98
*** BROKER TRANSACTIONS TOTAL ***				\$14,678.87	\$15,071.81	\$580.00	\$14,491.81		\$9,226.68

ADJUSTMENTS

06/09/2017		OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
06/09/2017		OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-12.00
06/09/2017		OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-54.44
06/09/2017		OTHER: QUODD	0.00	0.00	0.00	0.00	-170.35
06/09/2017		OTHER: WEALTH MANAGEMENT STATION	0.00	0.00	0.00	0.00	-25.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00	\$-281.79

BROKER COMMISSION TOTALS

Broker Transactions	\$9,226.68
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	\$-18.84
SIPC Assessment	\$-282.60

Check Amount	\$8,643.45
Year-to-date Earnings	\$35,106.11