

COMMISSION STATEMENT**August 31, 2017**

CHARLES LAWRENCE
10729 NORTHRIDGE COURT

BROKER #: 13
BRANCH: HOME OFFICE

TRINITY, FL 34655

COMMISSION STATEMENT for CHARLES LAWRENCE

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONS**PRODUCT CATEGORY: MUTUAL FUNDS**

| | | | | | | | | | |
|----------------------------------|-------------------|---------------------------------------|--|---------------|-------------------|---------------|-------------------|------|-------------------|
| 08/31/2017 (None) | VARIOUS, LAWRENCE | AC ALTERNATIVES DISCIPLINED LONG SH B | | 0.00 | 6,811.00 | 0.00 | 6,811.00 | 60.0 | 4,086.60 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$0.00 | \$6,811.00 | \$0.00 | \$6,811.00 | | \$4,086.60 |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | | |
|------------|----------|-----------------------|------------------------------------|---|-----------|-------|------|-------|------|-------|
| 07/28/2017 | 75501981 | LAWRENCE, VICTORIA | BOSTON BEER CO INC-CL A | S | 15,745.58 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/14/2017 | 75501981 | LAWRENCE, VICTORIA | WYNN RESORTS LTD | S | 12,768.43 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/17/2017 | 75501981 | LAWRENCE, VICTORIA | ALIGN TECHNOLOGY INC | B | 8,557.76 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/24/2017 | 75501986 | LAWRENCE, CHRISTOPHER | SQUARE INC CLASS A COM | B | 8,923.95 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/15/2017 | 75501987 | SCHWARTZ, MARILYN | WYNN RESORTS LTD | S | 13,330.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/02/2017 | 75501988 | LAWRENCE, CHRISTOPHER | COHERUS BIOSCIENCES INC COM | B | 3,100.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/08/2017 | 75501988 | LAWRENCE, CHRISTOPHER | COHERUS BIOSCIENCES INC COM | S | 3,612.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75501988 | LAWRENCE, CHRISTOPHER | COHERUS BIOSCIENCES INC COM | B | 2,962.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75501988 | LAWRENCE, CHRISTOPHER | DIREXION SHARES ETF TRUST DIREXION | S | 6,542.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/14/2017 | 75501988 | LAWRENCE, CHRISTOPHER | WYNN RESORTS LTD | S | 12,765.89 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/21/2017 | 75501988 | LAWRENCE, CHRISTOPHER | COHERUS BIOSCIENCES INC COM | S | 3,225.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/23/2017 | 75501988 | LAWRENCE, CHRISTOPHER | BLUEBIRD BIO INC COM | B | 9,650.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/28/2017 | 75501988 | LAWRENCE, CHRISTOPHER | BLUEBIRD BIO INC COM | S | 10,780.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/01/2017 | 75501989 | BINES, BURTON | NIKE INC CL B | S | 23,762.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/08/2017 | 75501989 | BINES, BURTON | GARTNER INC | B | 18,291.75 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/15/2017 | 75501989 | BINES, BURTON | MOSAIC COMPANY | S | 25,187.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/16/2017 | 75501989 | BINES, BURTON | REGENERON PHARMACEUTICALS INC | B | 23,600.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/23/2017 | 75501989 | BINES, BURTON | NUANCE COMMUNICATIONS INC | B | 23,949.67 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/28/2017 | 75501989 | BINES, BURTON | COSTCO WHOLESALE CORP-NEW | S | 45,765.60 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/02/2017 | 75501990 | LAWRENCE, JEFFREY | COHERUS BIOSCIENCES INC COM | B | 1,857.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/08/2017 | 75501990 | LAWRENCE, JEFFREY | COHERUS BIOSCIENCES INC COM | S | 2,167.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75501990 | LAWRENCE, JEFFREY | COHERUS BIOSCIENCES INC COM | B | 1,777.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75501990 | LAWRENCE, JEFFREY | DIREXION SHARES ETF TRUST DIREXION | S | 3,271.25 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/14/2017 | 75501990 | LAWRENCE, JEFFREY | WYNN RESORTS LTD | S | 7,657.81 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/21/2017 | 75501990 | LAWRENCE, JEFFREY | COHERUS BIOSCIENCES INC COM | S | 1,935.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/23/2017 | 75501990 | LAWRENCE, JEFFREY | BLUEBIRD BIO INC COM | B | 5,790.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/28/2017 | 75501990 | LAWRENCE, JEFFREY | BLUEBIRD BIO INC COM | S | 6,468.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |

COMMISSION STATEMENT for CHARLES LAWRENCE

| 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> | | | | | | | | | |
| 08/09/2017 | 75501991 | NSH 81 LLC | | | | | | | |
| | | GARTNER INC | B | 12,043.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/09/2017 | 75501991 | NSH 81 LLC | | | | | | | |
| | | NIKE INC CL B | S | 7,603.62 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/09/2017 | 75501992 | THE BARBARA & NEAL | | | | | | | |
| | | CROWN CASTLE INTERNATIONAL CORP | S | 4,396.04 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/09/2017 | 75501992 | THE BARBARA & NEAL | | | | | | | |
| | | GARTNER INC | B | 5,206.01 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/09/2017 | 75501992 | THE BARBARA & NEAL | | | | | | | |
| | | HOME DEPOT INC | S | 7,720.63 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/09/2017 | 75501992 | THE BARBARA & NEAL | | | | | | | |
| | | PFIZER INCORPORATED | S | 4,221.65 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/04/2017 | 75502000 | LAWRENCE, WILLIAM | | | | | | | |
| | | BLUEBIRD BIO INC COM | B | 9,527.50 | 105.00 | 0.00 | 105.00 | 60.0 | 63.00 |
| 08/21/2017 | 75502000 | LAWRENCE, WILLIAM | | | | | | | |
| | | AVIANCA HOLDINGS SA SPONSORED ADR | S | 9,350.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/23/2017 | 75502000 | LAWRENCE, WILLIAM | | | | | | | |
| | | E L F BEAUTY INC COM | S | 7,725.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/24/2017 | 75502000 | LAWRENCE, WILLIAM | | | | | | | |
| | | SQUARE INC CLASS A COM | B | 9,565.13 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/28/2017 | 75502000 | LAWRENCE, WILLIAM | | | | | | | |
| | | BLUEBIRD BIO INC COM | S | 10,740.00 | 105.00 | 0.00 | 105.00 | 60.0 | 63.00 |
| 08/28/2017 | 75502000 | LAWRENCE, WILLIAM | | | | | | | |
| | | DIREXION SHARES ETF TRUST DIREXION | S | 6,502.00 | 75.00 | 0.00 | 75.00 | 60.0 | 45.00 |
| 08/28/2017 | 75502000 | LAWRENCE, WILLIAM | | | | | | | |
| | | PROSHARES TRUST ULTRAPRO NASDAQ BIO B | | 9,185.00 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 07/27/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | SAREPTA THERAPEUTICS INC COM | B | 12,195.00 | 125.00 | 0.00 | 125.00 | 60.0 | 75.00 |
| 07/28/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | ALIBABA GROUP HOLDING LTD SPONSORED B | | 11,789.06 | 75.00 | 0.00 | 75.00 | 60.0 | 45.00 |
| 07/28/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | MOSAIC COMPANY | S | 13,507.82 | 75.00 | 0.00 | 75.00 | 60.0 | 45.00 |
| 07/31/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | ALIBABA GROUP HOLDING LTD SPONSORED B | | 11,687.81 | 75.00 | 0.00 | 75.00 | 60.0 | 45.00 |
| 07/31/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | FAIRMOUNT SANTROL HLDGS INC COM | B | 3,421.76 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/02/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | FAIRMOUNT SANTROL HLDGS INC COM | S | 3,452.40 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/04/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | BANK OF AMERICA CORP | S | 14,006.56 | 125.00 | 0.00 | 125.00 | 60.0 | 75.00 |
| 08/04/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | PIONEER NATURAL RESOURCES COMPANY | B | 16,558.63 | 125.00 | 0.00 | 125.00 | 60.0 | 75.00 |
| 08/07/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | PAYPAL HOLDINGS INC COM | S | 15,483.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/07/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | PIONEER NATURAL RESOURCES COMPANY | B | 6,490.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/08/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | SAREPTA THERAPEUTICS INC COM | B | 11,880.00 | 125.00 | 0.00 | 125.00 | 60.0 | 75.00 |
| 08/09/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | PIONEER NATURAL RESOURCES COMPANY | S | 17,100.00 | 125.00 | 0.00 | 125.00 | 60.0 | 75.00 |
| 08/10/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | ALIBABA GROUP HOLDING LTD SPONSORED B | | 11,564.06 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/11/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | PIONEER NATURAL RESOURCES COMPANY | S | 6,724.50 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/11/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | PROSHARES ULTRASHORT QQQ | B | 17,433.82 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/17/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | ALIBABA GROUP HOLDING LTD SPONSORED S | | 12,498.19 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/17/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | SQUARE INC CLASS A COM | B | 9,400.13 | 75.00 | 0.00 | 75.00 | 60.0 | 45.00 |
| 08/18/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | ALIBABA GROUP HOLDING LTD SPONSORED S | | 12,553.69 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/18/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | FAIRMOUNT SANTROL HLDGS INC COM | B | 3,288.36 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/18/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | MARATHON OIL CORP | B | 11,444.82 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/21/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | PROSHARES ULTRASHORT QQQ | S | 17,524.98 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/21/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | SNAP INC CLASS A COMMON STOCK | B | 7,337.93 | 75.00 | 0.00 | 75.00 | 60.0 | 45.00 |
| 08/22/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | ALIBABA GROUP HOLDING LTD SPONSORED S | | 12,885.00 | 75.00 | 0.00 | 75.00 | 60.0 | 45.00 |
| 08/22/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | SQUARE INC CLASS A COM | B | 9,407.51 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/23/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | PROSHARES TRUST ULTRAPRO NASDAQ BIO B | | 11,713.74 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/24/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | DYNEGY INC | B | 10,207.69 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/24/2017 | 75502001 | LAWRENCE, CHARLES | | | | | | | |
| | | MARATHON OIL CORP | S | 11,652.58 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |

COMMISSION STATEMENT for CHARLES LAWRENCE

| 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> | | | | | | | | | |
| 08/25/2017 | 75502001 | LAWRENCE, CHARLES | AKEBIA THERAPEUTICS INC COM | S | 19,848.00 | 100.00 | 0.00 | 100.00 | 60.00 |
| 08/25/2017 | 75502001 | LAWRENCE, CHARLES | MI HOMES INC FORMERLY M I SCHOTTENS | S | 13,704.62 | 55.00 | 0.00 | 55.00 | 60.00 |
| 08/25/2017 | 75502001 | LAWRENCE, CHARLES | PROSHARES TRUST ULTRAPRO NASDAQ BIO B | | 11,884.39 | 125.00 | 0.00 | 125.00 | 60.00 |
| 08/28/2017 | 75502001 | LAWRENCE, CHARLES | ALIBABA GROUP HOLDING LTD SPONSORED B | | 12,609.56 | 105.00 | 0.00 | 105.00 | 60.00 |
| 08/28/2017 | 75502001 | LAWRENCE, CHARLES | JUNO THERAPEUTICS INC COM | S | 9,724.00 | 100.00 | 0.00 | 100.00 | 60.00 |
| 08/28/2017 | 75502001 | LAWRENCE, CHARLES | SNAP INC CLASS A COMMON STOCK | S | 7,944.83 | 75.00 | 0.00 | 75.00 | 60.00 |
| 07/27/2017 | 75502002 | LAWRENCE, WILLIAM | REGENERON PHARMACEUTICALS INC | B | 25,230.00 | 105.00 | 0.00 | 105.00 | 60.00 |
| 07/31/2017 | 75502002 | LAWRENCE, WILLIAM | SAREPTA THERAPEUTICS INC COM | B | 12,545.00 | 125.00 | 0.00 | 125.00 | 60.00 |
| 08/04/2017 | 75502002 | LAWRENCE, WILLIAM | ETSY INC COM | S | 19,375.00 | 100.00 | 0.00 | 100.00 | 60.00 |
| 08/10/2017 | 75502002 | LAWRENCE, WILLIAM | PROSHARES TRUST ULTRAPRO NASDAQ BIO B | | 10,772.89 | 100.00 | 0.00 | 100.00 | 60.00 |
| 08/11/2017 | 75502002 | LAWRENCE, WILLIAM | BLUEBIRD BIO INC COM | S | 11,696.88 | 55.00 | 0.00 | 55.00 | 60.00 |
| 08/14/2017 | 75502002 | LAWRENCE, WILLIAM | PROSHARES TRUST ULTRAPRO NASDAQ BIO S | | 11,245.75 | 55.00 | 0.00 | 55.00 | 60.00 |
| 08/16/2017 | 75502002 | LAWRENCE, WILLIAM | JUNO THERAPEUTICS INC COM | B | 10,481.48 | 125.00 | 0.00 | 125.00 | 60.00 |
| 08/25/2017 | 75502002 | LAWRENCE, WILLIAM | SQUARE INC CLASS A COM | B | 9,422.74 | 100.00 | 0.00 | 100.00 | 60.00 |
| 08/25/2017 | 75502003 | LAWRENCE, SARAH | SAREPTA THERAPEUTICS INC COM | S | 4,528.76 | 51.00 | 0.00 | 51.00 | 60.00 |
| 08/09/2017 | 75502005 | SHEMIN, VICKI | GARTNER INC | B | 5,998.50 | 55.00 | 0.00 | 55.00 | 60.00 |
| 07/27/2017 | 75502006 | SHEMIN, VICKI | NINTENDO CO LTD-ADR NEW | B | 6,445.50 | 55.00 | 0.00 | 55.00 | 60.00 |
| 08/18/2017 | 75502006 | SHEMIN, VICKI | COCA COLA COMPANY (THE) | S | 5,721.88 | 55.00 | 0.00 | 55.00 | 60.00 |
| 08/18/2017 | 75502006 | SHEMIN, VICKI | NIKE INC CL B | S | 4,026.68 | 55.00 | 0.00 | 55.00 | 60.00 |
| 08/07/2017 | 75502008 | DEC, JOHN | THE SCOTTS MIRACLE GRO CO HLDG CO | S | 7,285.69 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/08/2017 | 75502008 | DEC, JOHN | GARTNER INC | B | 6,102.50 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/11/2017 | 75502008 | DEC, JOHN | ETSY INC COM | S | 5,792.50 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/15/2017 | 75502008 | DEC, JOHN | NETEASE INC SPONSORED ADR | B | 13,821.88 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/24/2017 | 75502008 | DEC, JOHN | GASLOG LTD | S | 5,056.11 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/07/2017 | 75502010 | KEETER, LANCE | THE SCOTTS MIRACLE GRO CO HLDG CO | S | 3,399.64 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/08/2017 | 75502010 | KEETER, LANCE | GARTNER INC | B | 3,051.75 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/08/2017 | 75502010 | KEETER, LANCE | WYNN RESORTS LTD | S | 6,522.01 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/10/2017 | 75502010 | KEETER, LANCE | CELGENE CORP | B | 6,537.38 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/15/2017 | 75502010 | KEETER, LANCE | MOSAIC COMPANY | S | 3,018.42 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/15/2017 | 75502010 | KEETER, LANCE | NETEASE INC SPONSORED ADR | B | 6,941.19 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/25/2017 | 75502010 | KEETER, LANCE | COSTCO WHOLESALE CORP-NEW | S | 6,110.40 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/07/2017 | 75502011 | DEC, JANICE | THE SCOTTS MIRACLE GRO CO HLDG CO | S | 4,856.13 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/11/2017 | 75502011 | DEC, JANICE | ETSY INC COM | S | 4,965.00 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/15/2017 | 75502011 | DEC, JANICE | NETEASE INC SPONSORED ADR | B | 6,908.44 | 0.00 | 0.00 | 0.00 | 60.00 |
| 08/24/2017 | 75502011 | DEC, JANICE | GASLOG LTD | S | 5,057.97 | 0.00 | 0.00 | 0.00 | 60.00 |
| 07/27/2017 | 75502012 | DEC, JOHN | AKEBIA THERAPEUTICS INC COM | B | 13,456.00 | 0.00 | 0.00 | 0.00 | 60.00 |
| 07/28/2017 | 75502012 | DEC, JOHN | ETSY INC COM | S | 4,480.65 | 0.00 | 0.00 | 0.00 | 60.00 |
| 07/31/2017 | 75502012 | DEC, JOHN | APPLE INC | B | 22,303.49 | 0.00 | 0.00 | 0.00 | 60.00 |
| 07/31/2017 | 75502012 | DEC, JOHN | BOSTON BEER CO INC-CL A | S | 15,740.00 | 0.00 | 0.00 | 0.00 | 60.00 |
| 07/31/2017 | 75502012 | DEC, JOHN | DYNEGY INC | S | 2,245.00 | 0.00 | 0.00 | 0.00 | 60.00 |

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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: STOCKS | | | | | | | | | | |
| 07/31/2017 | 75502012 | DEC, JOHN | THE SCOTTS MIRACLE GRO CO HLDG CO | S | 14,486.24 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/02/2017 | 75502012 | DEC, JOHN | AKEBIA THERAPEUTICS INC COM | B | 12,854.80 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/08/2017 | 75502012 | DEC, JOHN | ALCOA CORPORATION COMMON STOCK | S | 8,718.02 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/08/2017 | 75502012 | DEC, JOHN | GARTNER INC | B | 30,477.25 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/14/2017 | 75502012 | DEC, JOHN | AKEBIA THERAPEUTICS INC COM | S | 14,650.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/15/2017 | 75502012 | DEC, JOHN | REGENERON PHARMACEUTICALS INC | B | 23,600.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/22/2017 | 75502012 | DEC, JOHN | LENNAR CORP CL A | S | 25,900.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/23/2017 | 75502012 | DEC, JOHN | NUANCE COMMUNICATIONS INC | B | 11,975.25 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/25/2017 | 75502012 | DEC, JOHN | COSTCO WHOLESALE CORP-NEW | S | 30,489.20 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 07/31/2017 | 75502013 | DEC, JOHN | THE SCOTTS MIRACLE GRO CO HLDG CO | S | 4,827.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/01/2017 | 75502013 | DEC, JOHN | NINTENDO CO LTD-ADR NEW | B | 4,210.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/07/2017 | 75502013 | DEC, JOHN | THE SCOTTS MIRACLE GRO CO HLDG CO | S | 2,427.81 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75502013 | DEC, JOHN | GARTNER INC | B | 5,892.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 07/31/2017 | 75502014 | DEC, JOHN | THE SCOTTS MIRACLE GRO CO HLDG CO | S | 4,827.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/01/2017 | 75502014 | DEC, JOHN | NINTENDO CO LTD-ADR NEW | B | 4,209.20 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/07/2017 | 75502014 | DEC, JOHN | THE SCOTTS MIRACLE GRO CO HLDG CO | S | 4,855.63 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75502014 | DEC, JOHN | GARTNER INC | B | 5,892.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/01/2017 | 75502021 | ARCARO, DANIEL | NINTENDO CO LTD-ADR NEW | B | 1,684.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/02/2017 | 75502021 | ARCARO, DANIEL | FIREEYE INC COM | S | 2,273.04 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/08/2017 | 75502021 | ARCARO, DANIEL | WYNN RESORTS LTD | S | 5,218.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75502021 | ARCARO, DANIEL | CELGENE CORP | B | 3,265.44 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/15/2017 | 75502021 | ARCARO, DANIEL | MOSAIC COMPANY | S | 1,007.50 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/15/2017 | 75502021 | ARCARO, DANIEL | NETEASE INC SPONSORED ADR | B | 5,509.15 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/25/2017 | 75502021 | ARCARO, DANIEL | COSTCO WHOLESALE CORP-NEW | S | 3,820.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/28/2017 | 75502021 | ARCARO, DANIEL | NINTENDO CO LTD-ADR NEW | B | 2,109.95 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 07/27/2017 | 75502022 | APPEL, CHARLES | NINTENDO CO LTD-ADR NEW | B | 6,381.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/16/2017 | 75502022 | APPEL, CHARLES | AKEBIA THERAPEUTICS INC COM | S | 6,160.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/18/2017 | 75502022 | APPEL, CHARLES | REDFIN CORP COM | B | 5,275.32 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 07/27/2017 | 75502023 | APPEL, CHARLES | NINTENDO CO LTD-ADR NEW | B | 6,369.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/09/2017 | 75502023 | APPEL, CHARLES | GARTNER INC | B | 8,982.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/16/2017 | 75502023 | APPEL, CHARLES | UNITED STATES STL CORP NEW | S | 3,723.76 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/28/2017 | 75502023 | APPEL, CHARLES | BMC STK HLDGS INC COM | B | 7,895.20 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/10/2017 | 75502035 | ROMANO, LISA | CELGENE CORP | B | 2,632.55 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/15/2017 | 75502035 | ROMANO, LISA | MOSAIC COMPANY | S | 1,609.61 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75502036 | ROMANO, MARK | CELGENE CORP | B | 4,603.11 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/15/2017 | 75502036 | ROMANO, MARK | MOSAIC COMPANY | S | 3,018.42 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 07/31/2017 | 75502070 | HAND, STEPHEN | COTY INC COM CL A | S | 11,330.55 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 07/27/2017 | 75502073 | HAND FAMILY LP | DDR CORP COM | S | 10,600.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 07/31/2017 | 75502073 | HAND FAMILY LP | TEVA PHARMACEUTICAL INDUSTRIES LTD | B | 25,608.00 | 105.00 | 0.00 | 105.00 | 60.0 | 63.00 |
| 07/27/2017 | 75502104 | LAWRENCE, CHARLES | PROOFPOINT INC | B | 5,364.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |

COMMISSION STATEMENT for CHARLES LAWRENCE

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | |
|---|----------|--------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|------------|----------------------|------------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: STOCKS | | | | | | | | | | |
| 07/28/2017 | 75502104 | LAWRENCE, CHARLES | PROOFPOINT INC | S | 5,496.00 | 55.00 | 0.00 | 55.00 | 60.0 | 33.00 |
| 08/01/2017 | 75502104 | LAWRENCE, CHARLES | MOSAIC COMPANY | B | 8,409.11 | 100.00 | 0.00 | 100.00 | 60.0 | 60.00 |
| 08/11/2017 | 75502104 | LAWRENCE, CHARLES | MOSAIC COMPANY | S | 7,724.79 | 51.00 | 0.00 | 51.00 | 60.0 | 30.60 |
| 08/17/2017 | 75502104 | LAWRENCE, CHARLES | SQUARE INC CLASS A COM | B | 9,495.00 | 75.00 | 0.00 | 75.00 | 60.0 | 45.00 |
| 08/15/2017 | 75502113 | BEHAR, RAYMOND | NETEASE INC SPONSORED ADR | B | 6,919.69 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/22/2017 | 75502113 | BEHAR, RAYMOND | WYNN RESORTS LTD | S | 5,512.00 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 07/27/2017 | 75502114 | BEHAR, RAYMOND | CROWN CASTLE INTERNATIONAL CORP | S | 2,396.64 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 07/27/2017 | 75502114 | BEHAR, RAYMOND | HASBRO INC | B | 5,276.38 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75502114 | BEHAR, RAYMOND | EBAY INC | S | 2,766.86 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75502114 | BEHAR, RAYMOND | PFIZER INCORPORATED | S | 2,202.43 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/10/2017 | 75502114 | BEHAR, RAYMOND | UNITED PARCEL SERVICE INC CL B | S | 1,897.20 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/11/2017 | 75502114 | BEHAR, RAYMOND | GLAXOSMITHKLINE PLC SPONSORED ADR(F S | S | 2,142.26 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/11/2017 | 75502114 | BEHAR, RAYMOND | MERCK & CO INC | S | 1,629.23 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/22/2017 | 75502114 | BEHAR, RAYMOND | WYNN RESORTS LTD | S | 9,641.11 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| 08/28/2017 | 75502114 | BEHAR, RAYMOND | 3M COMPANY | S | 3,248.48 | 0.00 | 0.00 | 0.00 | 60.0 | 0.00 |
| * STOCKS SUBTOTAL * | | | | | \$1,496,788.60 | \$5,497.00 | \$0.00 | \$5,497.00 | | \$3,298.20 |
| PRODUCT CATEGORY: BONDS | | | | | | | | | | |
| 07/31/2017 | 75502073 | HAND FAMILY LP | SLM CORP EDNOTES 4% TO 6/06 THEREAF S | | 17,827.74 | 134.64 | 0.00 | 134.64 | 60.0 | 80.78 |
| * BONDS SUBTOTAL * | | | | | \$17,827.74 | \$134.64 | \$0.00 | \$134.64 | | \$80.78 |
| PRODUCT CATEGORY: OPTIONS | | | | | | | | | | |
| 08/04/2017 | 75502124 | HAND, STEPHEN | CALL WMB 01/19/18 33 | B | 1,100.00 | 51.00 | 0.00 | 51.00 | 60.0 | 30.60 |
| * OPTIONS SUBTOTAL * | | | | | \$1,100.00 | \$51.00 | \$0.00 | \$51.00 | | \$30.60 |
| PRODUCT CATEGORY: RIA | | | | | | | | | | |
| 08/16/2017 | 75501992 | THE BARBARA & NEAL | FAS FEES | B | 16.10 | -14.01 | 0.00 | -14.01 | 60.0 | -8.41 |
| * RIA SUBTOTAL * | | | | | \$16.10 | \$-14.01 | \$0.00 | \$-14.01 | | \$-8.41 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | |
| 08/09/2017 | 75502005 | SHEMIN, VICKI | THE INCOME FUND OF AMERICA-A | B | 0.00 | 3.61 | 0.00 | 3.61 | 60.0 | 2.17 |
| 08/09/2017 | 75502022 | APPEL, CHARLES | MFS INTERNTL DIVERSIFICATION FUND-A B | | 0.00 | 5.08 | 0.00 | 5.08 | 60.0 | 3.05 |
| 08/09/2017 | 75502023 | APPEL, CHARLES | **CLEARBRIDGE AGGRESSIVE | B | 0.00 | 9.75 | 0.00 | 9.75 | 60.0 | 5.85 |
| 08/09/2017 | 75502023 | APPEL, CHARLES | JANUS INVT FD GLOBAL LIFE SCIENCES | B | 0.00 | 10.67 | 0.00 | 10.67 | 60.0 | 6.40 |
| 08/09/2017 | 75502023 | APPEL, CHARLES | JANUS INVT FD TRITON FD CL C | B | 0.00 | 16.01 | 0.00 | 16.01 | 60.0 | 9.61 |
| 08/09/2017 | 75502023 | APPEL, CHARLES | JOHN HANCOCK FDS III DISCIPLINED VA B | | 0.00 | 10.31 | 0.00 | 10.31 | 60.0 | 6.19 |
| 08/09/2017 | 75502070 | HAND, STEPHEN | LORD ABBETT SECS TR INTL DIVIDEND I B | | 0.00 | 10.05 | 0.00 | 10.05 | 60.0 | 6.03 |
| 08/09/2017 | 75502070 | HAND, STEPHEN | LORD ABBETT MULTI ASSET INCOME FUND B | | 0.00 | 9.81 | 0.00 | 9.81 | 60.0 | 5.89 |
| 08/09/2017 | 75502070 | HAND, STEPHEN | LORD ABBETT HIGH YIELD FUND CL-C | B | 0.00 | 8.74 | 0.00 | 8.74 | 60.0 | 5.24 |
| 08/09/2017 | 75502070 | HAND, STEPHEN | NUVEEN SYMPHONY CREDIT OPPORTUNITIE B | | 0.00 | 10.96 | 0.00 | 10.96 | 60.0 | 6.58 |
| 08/09/2017 | 75502071 | HAND, STEPHEN | LORD ABBETT MULTI ASSET INCOME FUND B | | 0.00 | 2.45 | 0.00 | 2.45 | 60.0 | 1.47 |

COMMISSION STATEMENT for CHARLES LAWRENCE

| 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

| | | | | | | | | | |
|--------------------------------------|----------|----------------|---------------------------------------|----------------|-------------|--------|-------------|------|------------|
| 08/09/2017 | 75502071 | HAND, STEPHEN | NUVEEN SYMPHONY CREDIT OPPORTUNITIE B | 0.00 | 2.74 | 0.00 | 2.74 | 60.0 | 1.64 |
| 08/09/2017 | 75502073 | HAND FAMILY LP | **AB HIGH INCOME MUNICIPAL B | 0.00 | 178.12 | 0.00 | 178.12 | 60.0 | 106.87 |
| 08/09/2017 | 75502073 | HAND FAMILY LP | LORD ABBETT TAX-FREE INCOME TR HIGH B | 0.00 | 128.18 | 0.00 | 128.18 | 60.0 | 76.91 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$406.48 | \$0.00 | \$406.48 | | \$243.90 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | \$1,515,732.44 | \$12,886.11 | \$0.00 | \$12,886.11 | | \$7,731.67 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$7,731.67 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-16.11 |
| SIPC Assessment | \$-32.22 |

| | |
|-----------------------|-------------|
| Check Amount | \$7,683.34 |
| Year-to-date Earnings | \$24,753.59 |