

COMMISSION STATEMENT

October 31, 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	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
10/25/2017	75501310	MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL S	6,000.00	0.00	0.00	0.00	65.0	0.00	
* MUTUAL FUNDS SUBTOTAL *				\$6,000.00	\$0.00	\$0.00	\$0.00		\$0.00	
PRODUCT CATEGORY: STOCKS										
10/20/2017	75501291	PRESTON, MARGARITA	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501291	PRESTON, MARGARITA	FAT BRANDS INC COMMON STOCK	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501291	PRESTON, MARGARITA	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501291	PRESTON, MARGARITA	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501291	PRESTON, MARGARITA	SACHEM CAPITAL CORP COMMON SHARES	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/25/2017	75501291	PRESTON, MARGARITA	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501293	JOE, HENRY	SACHEM CAPITAL CORP COMMON SHARES	B	8,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501293	JOE, HENRY	SACHEM CAPITAL CORP COMMON SHARES	S	-8,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/25/2017	75501293	JOE, HENRY	SACHEM CAPITAL CORP COMMON SHARES	B	8,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501305	BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	B	12,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501305	BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	S	-12,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501305	BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	B	12,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501305	BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	S	-12,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501305	BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	B	12,000.00	0.00	10.00	-10.00	65.0	-10.00
10/19/2017	75501307	TOTTEN, ANN	NUVEEN PREFERRED AND INCOME 2022 TE S	S	10,208.00	160.00	10.00	150.00	65.0	94.00
10/20/2017	75501307	TOTTEN, ANN	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501307	TOTTEN, ANN	FAT BRANDS INC COMMON STOCK	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501307	TOTTEN, ANN	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501307	TOTTEN, ANN	FAT BRANDS INC COMMON STOCK	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501307	TOTTEN, ANN	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501307	TOTTEN, ANN	NUVEEN PREFERRED AND INCOME 2022 TE S	S	259.20	50.00	10.00	40.00	65.0	22.50
10/25/2017	75501307	TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501307	TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/25/2017	75501307	TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501307	TOTTEN, ANN	STAG INDUSTRIAL INC	S	27,471.50	505.19	10.00	495.19	65.0	318.37
10/19/2017	75501310	MARGARITA F PRESTON	ANNALY CAPITAL MANAGEMENT INC	S	18,420.00	440.43	10.00	430.43	65.0	276.28
10/20/2017	75501310	MARGARITA F PRESTON	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00

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: STOCKS									
10/20/2017	75501310 MARGARITA F PRESTON	FAT BRANDS INC COMMON STOCK	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501310 MARGARITA F PRESTON	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501310 MARGARITA F PRESTON	FAT BRANDS INC COMMON STOCK	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501310 MARGARITA F PRESTON	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/23/2017	75501310 MARGARITA F PRESTON	FAT BRANDS INC COMMON STOCK	S	13,530.05	337.08	10.00	327.08	65.0	209.10
10/25/2017	75501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/25/2017	75501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501313 HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75501313 HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/25/2017	75501313 HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/19/2017	75501316 PIPER, CAROL	WELLS FARGO INCOME OPPORTUNITIES FU S	S	10,299.60	303.06	10.00	293.06	65.0	186.99
10/20/2017	75501316 PIPER, CAROL	FAT BRANDS INC COMMON STOCK	B	7,200.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501316 PIPER, CAROL	FAT BRANDS INC COMMON STOCK	S	-7,200.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501316 PIPER, CAROL	FAT BRANDS INC COMMON STOCK	B	7,200.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501316 PIPER, CAROL	FAT BRANDS INC COMMON STOCK	S	-7,200.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501316 PIPER, CAROL	FAT BRANDS INC COMMON STOCK	B	7,200.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501344 BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	B	3,600.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501344 BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	S	-3,600.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501344 BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	B	3,600.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75501344 BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	S	-3,600.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75501344 BUNIN, ARLENE	FAT BRANDS INC COMMON STOCK	B	3,600.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75502116 BONE, ELIZABETH	SACHEM CAPITAL CORP COMMON SHARES	B	8,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75502116 BONE, ELIZABETH	SACHEM CAPITAL CORP COMMON SHARES	S	-8,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/25/2017	75502116 BONE, ELIZABETH	SACHEM CAPITAL CORP COMMON SHARES	B	8,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75502119 COHEN, MICHAEL	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75502119 COHEN, MICHAEL	FAT BRANDS INC COMMON STOCK	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75502119 COHEN, MICHAEL	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75502119 COHEN, MICHAEL	FAT BRANDS INC COMMON STOCK	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/20/2017	75502119 COHEN, MICHAEL	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/20/2017	75502119 COHEN, MICHAEL	NUVEEN PREFERRED AND INCOME 2022 TE S	S	25,680.00	487.83	10.00	477.83	65.0	307.09
10/23/2017	75502119 COHEN, MICHAEL	FAT BRANDS INC COMMON STOCK	S	13,912.01	342.63	10.00	332.63	65.0	212.71
10/25/2017	75502119 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/25/2017	75502119 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES	S	-24,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/25/2017	75502119 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/03/2017	QGW030355 GOULD, PETER	PIERIS PHARMACEUTICALS INC COM SHS	S	-15,475.25	587.50	10.00	577.50	65.0	371.88
10/20/2017	QGW030355 GOULD, PETER	FAT BRANDS INC COMMON STOCK	B	24,000.00	0.00	10.00	-10.00	65.0	-10.00
10/23/2017	QGW030355 GOULD, PETER	FAT BRANDS INC COMMON STOCK	S	-13,640.00	250.00	10.00	240.00	65.0	152.50
10/26/2017	QGW030355 GOULD, PETER	BIONDVAX PHARMACEUTICALS LTD SPONS	B	7,335.90	183.84	10.00	173.84	65.0	109.50
10/20/2017	QGW033367 NAUMOV, GEORGE	FAT BRANDS INC COMMON STOCK	B	21,600.00	0.00	10.00	-10.00	65.0	-10.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
10/23/2017	QGW033367	NAUMOV, GEORGE	FAT BRANDS INC COMMON STOCK	S	-23,130.00	150.00	10.00	140.00	65.0	87.50
10/18/2017	QGW036428	MCHUGH, KATHLEEN	OPKO HEALTH INC	S	-6,494.10	175.87	10.00	165.87	65.0	104.32
10/19/2017	QGW036428	MCHUGH, KATHLEEN	PULMATRIX INC COM STK	S	-1,472.00	75.00	10.00	65.00	65.0	38.75
10/20/2017	QGW036428	MCHUGH, KATHLEEN	FAT BRANDS INC COMMON STOCK	B	7,200.00	0.00	10.00	-10.00	65.0	-10.00
10/02/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,850.00	325.00	10.00	315.00	65.0	201.25
10/02/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,752.50	325.00	10.00	315.00	65.0	201.25
10/02/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,750.00	325.00	10.00	315.00	65.0	201.25
10/02/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,800.00	325.00	10.00	315.00	65.0	201.25
10/03/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-27,896.00	1,300.00	10.00	1,290.00	65.0	835.00
10/02/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,597.72	218.14	10.00	208.14	65.0	131.79
10/02/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,725.00	227.50	10.00	217.50	65.0	137.88
10/02/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-13,367.09	634.21	10.00	624.21	65.0	402.24
10/02/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-332.91	15.80	10.00	5.80	65.0	0.27
10/02/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,244.40	204.36	10.00	194.36	65.0	122.83
10/09/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-13,515.00	600.00	10.00	590.00	65.0	380.00
10/12/2017	QGW036873	PASTORE, RALPH	MATINAS BIOPHARMA HLDGS INC COM	S	-3,500.00	162.50	10.00	152.50	65.0	95.63
10/20/2017	QGW036873	PASTORE, RALPH	FOG CUTTER CAP GROUP INC COM	B	10,750.00	375.00	10.00	365.00	65.0	233.75
* STOCKS SUBTOTAL *					\$285,924.29	\$9,085.94	\$440.00	\$8,645.94		\$5,465.88
PRODUCT CATEGORY: OPTIONS										
10/20/2017	75501291	PRESTON, MARGARITA	CALL PFE 08/18/17 32	B	10,110.00	250.00	10.00	240.00	65.0	152.50
10/20/2017	75501291	PRESTON, MARGARITA	CALL PFE 11/17/17 34	S	7,140.00	250.00	10.00	240.00	65.0	152.50
10/20/2017	QGW030355	GOULD, PETER	CALL 100 COTY INC COM CL A EXP 10-2	B	850.00	71.40	10.00	61.40	65.0	36.41
10/26/2017	QGW030355	GOULD, PETER	CALL 100 COTY INC COM CL A EXP 11-1	S	-940.00	78.96	10.00	68.96	65.0	41.32
* OPTIONS SUBTOTAL *					\$17,160.00	\$650.36	\$40.00	\$610.36		\$382.73
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
10/10/2017	75501290	PRESTON, MARGARITA	FRANKLIN INCOME FUND CLASS A	B	0.00	2.03	0.00	2.03	65.0	1.32
10/10/2017	75501290	PRESTON, MARGARITA	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	6.70	0.00	6.70	65.0	4.36
10/10/2017	75501290	PRESTON, MARGARITA	THE INCOME FUND OF AMERICA-A	B	0.00	7.87	0.00	7.87	65.0	5.12
10/10/2017	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	8.74	0.00	8.74	65.0	5.68
10/10/2017	75501291	PRESTON, MARGARITA	AMERICAN HIGH-INCOME TRUST-A	B	0.00	8.46	0.00	8.46	65.0	5.50
10/10/2017	75501291	PRESTON, MARGARITA	FRANKLIN HIGH-YIELD TAX-FREE INCOME B		0.00	10.28	0.00	10.28	65.0	6.68
10/10/2017	75501291	PRESTON, MARGARITA	FRK AGE HIGH INC FND - CL A	B	0.00	3.29	0.00	3.29	65.0	2.14
10/10/2017	75501291	PRESTON, MARGARITA	INVESCO HIGH YIELD MUNICIPAL FUND C B		0.00	28.79	0.00	28.79	65.0	18.71
10/10/2017	75501291	PRESTON, MARGARITA	NUVEEN FLAGSHIP MUN TR HIGH YIELD M B		0.00	7.81	0.00	7.81	65.0	5.08
10/10/2017	75501291	PRESTON, MARGARITA	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	19.44	0.00	19.44	65.0	12.64
10/10/2017	75501293	JOE, HENRY	FRK NATURAL RES FND - CL A	B	0.00	0.77	0.00	0.77	65.0	0.50
10/10/2017	75501293	JOE, HENRY	INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	3.86	0.00	3.86	65.0	2.51
10/10/2017	75501305	BUNIN, ARLENE	FRANKLIN INCOME FUND CLASS A	B	0.00	5.55	0.00	5.55	65.0	3.61

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>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/10/2017	75501305	BUNIN, ARLENE	FRK AGE HIGH INC FND - CL A	B	0.00	11.31	0.00	11.31	65.0 7.35
10/10/2017	75501305	BUNIN, ARLENE	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	33.69	0.00	33.69	65.0 21.90
10/10/2017	75501307	TOTTEN, ANN	FRANKLIN INCOME FUND CLASS A	B	0.00	17.30	0.00	17.30	65.0 11.25
10/10/2017	75501307	TOTTEN, ANN	THE BOND FUND OF AMERICA-A	B	0.00	9.74	0.00	9.74	65.0 6.33
10/10/2017	75501307	TOTTEN, ANN	THE INCOME FUND OF AMERICA-A	B	0.00	13.60	0.00	13.60	65.0 8.84
10/10/2017	75501308	ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A	B	0.00	4.76	0.00	4.76	65.0 3.09
10/10/2017	75501308	ANN S TOTTEN	MUTUAL DISC FND - CL A	B	0.00	3.76	0.00	3.76	65.0 2.44
10/10/2017	75501309	TOTTEN, ANN	FRANKLIN INCOME FUND CLASS A	B	0.00	6.46	0.00	6.46	65.0 4.20
10/10/2017	75501309	TOTTEN, ANN	THE GROWTH FUND OF AMERICA-A	B	0.00	8.26	0.00	8.26	65.0 5.37
10/10/2017	75501309	TOTTEN, ANN	THE NEW ECONOMY FUND-A	B	0.00	7.96	0.00	7.96	65.0 5.17
10/10/2017	75501310	MARGARITA F PRESTON	FRANKLIN INCOME FUND CLASS A	B	0.00	3.22	0.00	3.22	65.0 2.09
10/10/2017	75501310	MARGARITA F PRESTON	MAINSTAY HIGH-YIELD CORPORATE BOND B		0.00	22.31	0.00	22.31	65.0 14.50
10/10/2017	75501310	MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL B		0.00	22.24	0.00	22.24	65.0 14.46
10/10/2017	75501310	MARGARITA F PRESTON	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	13.22	0.00	13.22	65.0 8.59
10/10/2017	75501310	MARGARITA F PRESTON	THE INCOME FUND OF AMERICA-A	B	0.00	7.16	0.00	7.16	65.0 4.65
10/11/2017	75501311	HEIDENREICH, CHARLYN	DELAWARE SELECT GROWTH FUND A CLASS B		0.00	2.10	0.00	2.10	65.0 1.37
10/10/2017	75501312	HEIDENREICH, CHARLYN	FRANKLIN U.S. GOVERNMENT SECURITIES B		0.00	0.76	0.00	0.76	65.0 0.49
10/10/2017	75501312	HEIDENREICH, CHARLYN	INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	2.82	0.00	2.82	65.0 1.83
10/10/2017	75501312	HEIDENREICH, CHARLYN	MFS EMERGING GROWTH FUND CLASS A	B	0.00	0.40	0.00	0.40	65.0 0.26
10/10/2017	75501312	HEIDENREICH, CHARLYN	THE INVESTMENT COMPANY OF AMERICA-A B		0.00	2.92	0.00	2.92	65.0 1.90
10/11/2017	75501312	HEIDENREICH, CHARLYN	DELAWARE INVESTMENTS DIVERSIFIED IN B		0.00	1.45	0.00	1.45	65.0 0.94
10/10/2017	75501313	HEIDENREICH, ROBERT	AIM INTERMEDIATE GOVERNMENT FD - CL B		0.00	12.89	0.00	12.89	65.0 8.38
10/10/2017	75501313	HEIDENREICH, ROBERT	AIM SHORT TERM BOND FUND CLASS A	B	0.00	47.29	0.00	47.29	65.0 30.74
10/10/2017	75501313	HEIDENREICH, ROBERT	AIM UTILITIES FUND - CLASS A	B	0.00	34.59	0.00	34.59	65.0 22.48
10/10/2017	75501313	HEIDENREICH, ROBERT	FRANKLIN INCOME FUND CLASS A	B	0.00	10.52	0.00	10.52	65.0 6.84
10/10/2017	75501313	HEIDENREICH, ROBERT	FRANKLIN/TEMPLETON FUNDS 353612690 B		0.00	13.37	0.00	13.37	65.0 8.69
10/10/2017	75501313	HEIDENREICH, ROBERT	GOLDMAN SACHS TR SHORT DURATION INC B		0.00	13.11	0.00	13.11	65.0 8.52
10/10/2017	75501313	HEIDENREICH, ROBERT	INVESCO CONVERTIBLE SECURITIES FUND B		0.00	47.70	0.00	47.70	65.0 31.01
10/10/2017	75501313	HEIDENREICH, ROBERT	INVESCO SHORT DURATION INFLATION PR B		0.00	19.27	0.00	19.27	65.0 12.53
10/10/2017	75501313	HEIDENREICH, ROBERT	THE BOND FUND OF AMERICA-A	B	0.00	9.41	0.00	9.41	65.0 6.12
10/10/2017	75501314	COHEN, GLADYS	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	93.30	0.00	93.30	65.0 60.65
10/10/2017	75501314	COHEN, GLADYS	FRANKLIN NEW YORK TAX-FREE INCOME F B		0.00	37.93	0.00	37.93	65.0 24.65
10/10/2017	75501314	COHEN, GLADYS	GOLDMAN SACHS DYNAMIC MUNICIPAL INC B		0.00	88.65	0.00	88.65	65.0 57.62
10/10/2017	75501314	COHEN, GLADYS	GOLDMAN SACHS HIGH YIELD MUNICIPAL B		0.00	53.23	0.00	53.23	65.0 34.60
10/10/2017	75501314	COHEN, GLADYS	ROCH. LIMITED TERM NEW YORK MUNICI B		0.00	35.66	0.00	35.66	65.0 23.18
10/10/2017	75501314	COHEN, GLADYS	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	43.84	0.00	43.84	65.0 28.50
10/10/2017	75501315	COHEN, GLADYS	INVESCO NEW YORK TAX FREE INCOME FU B		0.00	17.29	0.00	17.29	65.0 11.24
10/10/2017	75501316	PIPER, CAROL	AMERICAN HIGH-INCOME TRUST-A	B	0.00	6.12	0.00	6.12	65.0 3.98
10/10/2017	75501316	PIPER, CAROL	FEDERATED HIGH INCOME BOND FUND	B	0.00	6.53	0.00	6.53	65.0 4.24
10/10/2017	75501316	PIPER, CAROL	FRANKLIN INCOME FUND CLASS A	B	0.00	7.69	0.00	7.69	65.0 5.00

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 FUND 12B1 TRAILS									
10/10/2017	75501316 PIPER, CAROL	FRK AGE HIGH INC FND - CL A	B	0.00	2.12	0.00	2.12	65.0	1.38
10/10/2017	75501316 PIPER, CAROL	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	6.56	0.00	6.56	65.0	4.26
10/10/2017	75501317 PIPER, CAROL	FRANKLIN INCOME FUND CLASS A	B	0.00	1.17	0.00	1.17	65.0	0.76
10/10/2017	75501317 PIPER, CAROL	INVESCO ENDEAVOR FUND CL A	B	0.00	5.33	0.00	5.33	65.0	3.46
10/10/2017	75501317 PIPER, CAROL	NEW PERSPECTIVE FUND-A	B	0.00	3.65	0.00	3.65	65.0	2.37
10/10/2017	75501324 HEIDENREICH, CHARLYN	AIM SMALL CAP EQUITY FUND - CLASS A B		0.00	25.39	0.00	25.39	65.0	16.50
10/10/2017	75501324 HEIDENREICH, CHARLYN	FRANKLIN BIOTECHNOLOGY DISCOVERY FU B		0.00	3.67	0.00	3.67	65.0	2.39
10/10/2017	75501324 HEIDENREICH, CHARLYN	INVESCO AMERICAN FRANCHISE FUND CLA B		0.00	4.89	0.00	4.89	65.0	3.18
10/10/2017	75501325 ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A	B	0.00	2.43	0.00	2.43	65.0	1.58
10/10/2017	75501867 PAGAN, VIONA LYNN	**JPMORGAN TR I	B	0.00	5.56	0.00	5.56	65.0	3.61
10/10/2017	75501867 PAGAN, VIONA LYNN	**JPMORGAN TR I	B	0.00	5.75	0.00	5.75	65.0	3.74
10/10/2017	75501867 PAGAN, VIONA LYNN	**JPMORGAN TR II	B	0.00	22.76	0.00	22.76	65.0	14.79
10/10/2017	75501867 PAGAN, VIONA LYNN	DYNAMIC SMALL CAP FUND - A	B	0.00	19.34	0.00	19.34	65.0	12.57
10/10/2017	75501867 PAGAN, VIONA LYNN	FIDELITY ADV TECHNOLOGY CL A	B	0.00	11.83	0.00	11.83	65.0	7.69
10/10/2017	75501867 PAGAN, VIONA LYNN	GROWTH AND INCOME FUND - A	B	0.00	17.30	0.00	17.30	65.0	11.25
10/10/2017	75501867 PAGAN, VIONA LYNN	SMALL CAP EQUITY FUND - A	B	0.00	3.93	0.00	3.93	65.0	2.55
10/10/2017	75501867 PAGAN, VIONA LYNN	U.S. EQUITY FUND - A	B	0.00	22.90	0.00	22.90	65.0	14.89
10/10/2017	75501920 PAGAN, VIONA LYNN	AIM GLOBAL AGGRESSIVE GROWTH FUND C B		0.00	2.54	0.00	2.54	65.0	1.65
10/10/2017	75501920 PAGAN, VIONA LYNN	INVESCO AMERICAN FRANCHISE FUND CLA B		0.00	16.11	0.00	16.11	65.0	10.47
10/10/2017	75502119 COHEN, MICHAEL	ALLIANCEBERNSTEIN MUNI INCOME-NY A B		0.00	38.87	0.00	38.87	65.0	25.27
10/10/2017	75502119 COHEN, MICHAEL	EATON VANCE NATIONAL MUNICIPAL FUND B		0.00	15.89	0.00	15.89	65.0	10.33
10/10/2017	75502119 COHEN, MICHAEL	EHV 27826L322	B	0.00	24.03	0.00	24.03	65.0	15.62
10/10/2017	75502119 COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL B		0.00	31.70	0.00	31.70	65.0	20.61
10/10/2017	75502119 COHEN, MICHAEL	INVESCO NEW YORK TAX FREE INCOME FU B		0.00	46.48	0.00	46.48	65.0	30.21
10/10/2017	75502119 COHEN, MICHAEL	NUVEEN NEW YORK MUNI BOND A	B	0.00	57.35	0.00	57.35	65.0	37.28
10/10/2017	75502119 COHEN, MICHAEL	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	11.29	0.00	11.29	65.0	7.34
10/10/2017	75502119 COHEN, MICHAEL	ROCHESTER FUND MUNICIPALS A	B	0.00	30.07	0.00	30.07	65.0	19.55
10/10/2017	75502119 COHEN, MICHAEL	THE BOND FUND OF AMERICA-A	B	0.00	15.58	0.00	15.58	65.0	10.13
10/18/2017	QGW030595 COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL B		0.00	17.45	0.00	17.45	65.0	11.34
10/23/2017	QGW030595 COHEN, MICHAEL	FRANKLIN FEDERAL TAX FREE INCOME FU B		0.00	4.00	0.00	4.00	65.0	2.60
10/23/2017	QGW030595 COHEN, MICHAEL	FRANKLIN INCOME FUND CLASS A	B	0.00	10.87	0.00	10.87	65.0	7.07
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,394.23	\$0.00	\$1,394.23		\$906.28
*** BROKER TRANSACTIONS TOTAL ***				\$309,084.29	\$11,130.53	\$480.00	\$10,650.53		\$6,754.89

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
SPLIT TRANSACTIONS										
BROKER: DAVID REILLY #21										
10/20/2017	QGW023848	BYRNE, GERARD		ADVANCED MICRO DEVICES INC	S	-3,250.00	68.62	0.00	68.62	44.60
09/29/2017	QGW023848	BYRNE, GERARD		CALL 100 CELGENE CORP EXP 09-29-17@ B		174.50	25.00	0.00	25.00	16.25
10/02/2017	QGW023848	BYRNE, GERARD		CALL 100 CELGENE CORP EXP 10-20-17@ S		-200.00	25.00	0.00	25.00	16.25
10/11/2017	QGW023848	BYRNE, GERARD		CALL 100 CELGENE CORP EXP 10-20-17@ B		10.00	7.50	0.00	7.50	4.88
10/19/2017	QGW008005	SCHULZ, CARL		ROCH. LIMITED TERM NEW YORK MUNICI B		0.00	6.54	0.00	6.54	4.25
10/19/2017	QGW008005	SCHULZ, CARL		ROCHESTER FUND MUNICIPALS A	B	0.00	34.87	0.00	34.87	22.67
10/19/2017	QGW008039	STEFANO, MARGARET		ROCHESTER FUND MUNICIPALS A	B	0.00	1.62	0.00	1.62	1.05
10/13/2017	QGW008047	DOUGHERTY, JANE		HIGH YIELD A	B	0.00	0.55	0.00	0.55	0.36
10/19/2017	QGW008047	DOUGHERTY, JANE		ROCHESTER NATIONAL MUNICIPALS A	B	0.00	3.29	0.00	3.29	2.14
10/19/2017	QGW023798	OLSSON, RITA		CAPITAL APPRECIATION A	B	0.00	0.25	0.00	0.25	0.16
10/19/2017	QGW023814	STEFANO, MARGARET		EUROPACIFIC GROWTH FUND-A	B	0.00	0.27	0.00	0.27	0.18
10/19/2017	QGW023814	STEFANO, MARGARET		THE GROWTH FUND OF AMERICA-A	B	0.00	1.15	0.00	1.15	0.75
10/16/2017	QGW023848	BYRNE, GERARD		MFS INTERNTL DIVERSIFICATION FUND-A B		0.00	1.30	0.00	1.30	0.85
				* DAVID REILLY SUBTOTAL *		\$-3,265.50	\$175.96	\$0.00	\$175.96	\$114.39
				*** SPLIT TRANSACTIONS TOTAL ***		\$-3,265.50	\$175.96	\$0.00	\$175.96	\$114.39

ADJUSTMENTS

10/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
10/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-12.00
10/31/2017	OTHER: OTHER-TICKET CHARGES FOR REI	0.00	0.00	0.00	0.00	-25.00
10/31/2017	OTHER: OTHER-SACHEM	0.00	0.00	0.00	0.00	2,720.00
10/31/2017	OTHER: OTHER FAT BURGER	0.00	0.00	0.00	0.00	3,624.04
10/31/2017	OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-54.44
10/31/2017	OTHER: QUODD	0.00	0.00	0.00	0.00	-170.35
10/31/2017	OTHER: WEALTH MANAGEMENT STATION	0.00	0.00	0.00	0.00	-25.00
10/31/2017	:	0.00	0.00	0.00	0.00	0.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$6,037.25

BROKER COMMISSION TOTALS

Broker Transactions	\$6,754.89
Split Transactions	\$114.39
Override Transactions	\$0.00
Adjustments	\$6,037.25
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-14.13
SIPC Assessment	\$-28.27

Check Amount	\$12,864.13
Year-to-date Earnings	\$46,369.04