

COMMISSION STATEMENT

August 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
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
08/24/2017	75501290	PRESTON, MARGARITA	XEROX CORPORATION COMMON STOCK	S	8,015.00	209.95	10.00	199.95	65.0 126.47
08/03/2017	75501292	JOE, HENRY	ADVANCED MICRO DEVICES INC	B	7,899.00	216.50	10.00	206.50	65.0 130.73
08/08/2017	75501292	JOE, HENRY	APPLE INC	S	15,926.00	105.00	10.00	95.00	65.0 58.25
08/15/2017	75501292	JOE, HENRY	KADMON HOLDINGS INC COMMON STOCK \$0 B		2,148.70	107.44	10.00	97.44	65.0 59.84
08/15/2017	75501292	JOE, HENRY	KADMON HOLDINGS INC COMMON STOCK \$0 S		-2,148.70	-107.44	-10.00	-97.44	65.0 -59.84 C
08/15/2017	75501292	JOE, HENRY	KADMON HOLDINGS INC COMMON STOCK \$0 B		2,148.70	100.00	10.00	90.00	65.0 55.00
08/28/2017	75501292	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT B		9,995.94	246.97	10.00	236.97	65.0 150.53
08/28/2017	75501292	JOE, HENRY	XEROX CORPORATION COMMON STOCK	S	4,848.00	139.14	10.00	129.14	65.0 80.44
08/16/2017	75501293	JOE, HENRY	DIREXION SHARES ETF TRUST DIREXION	S	1,804.46	74.15	10.00	64.15	65.0 38.20
08/16/2017	75501307	TOTTEN, ANN	CATASYS INC COM PAR\$.0001 2017	B	501.40	20.00	10.00	10.00	65.0 3.00
08/16/2017	75501307	TOTTEN, ANN	HAIN CELESTIAL GROUP INC	S	17,312.00	333.89	10.00	323.89	65.0 207.03
08/16/2017	75501307	TOTTEN, ANN	XEROX CORPORATION COMMON STOCK	S	20,188.25	421.17	10.00	411.17	65.0 263.76
08/17/2017	75501307	TOTTEN, ANN	DIREXION SHARES ETF TRUST DIREXION	S	6,368.52	174.88	10.00	164.88	65.0 103.67
08/15/2017	75501313	HEIDENREICH, ROBERT	DIREXION SHARES ETF TRUST DIREXION	S	1,651.84	57.88	10.00	47.88	65.0 27.62
08/15/2017	75501313	HEIDENREICH, ROBERT	KROGER CO (THE)	B	9,230.64	216.47	10.00	206.47	65.0 130.71
08/15/2017	75502119	COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCIT B		8,475.00	215.18	10.00	205.18	65.0 129.87
08/16/2017	75502119	COHEN, MICHAEL	FIREEYE INC COM	S	5,625.36	164.09	10.00	154.09	65.0 96.66
08/17/2017	75502119	COHEN, MICHAEL	AKERS BIOSCIENCES INC COM	S	864.00	30.00	10.00	20.00	65.0 9.50
08/18/2017	75502119	COHEN, MICHAEL	AKERS BIOSCIENCES INC COM	S	1,296.00	64.80	10.00	54.80	65.0 32.12
08/18/2017	75502119	COHEN, MICHAEL	AKERS BIOSCIENCES INC COM	B	-1,296.00	-64.80	-10.00	-54.80	65.0 -32.12 C
08/18/2017	75502119	COHEN, MICHAEL	AKERS BIOSCIENCES INC COM	S	1,296.00	60.00	10.00	50.00	65.0 29.00
08/18/2017	75502119	COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCIT S		10,635.00	246.57	10.00	236.57	65.0 150.27
08/23/2017	75502119	COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCIT B		8,533.58	216.03	10.00	206.03	65.0 130.42
08/25/2017	75502119	COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCIT B		8,534.48	216.05	10.00	206.05	65.0 130.43
08/01/2017	QGW033367	NAUMOV, GEORGE	COMBIMATRIX CORP DEL COM APR \$0.001 S		-21,900.00	600.00	10.00	590.00	65.0 380.00
08/14/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-25,356.94	1,195.03	10.00	1,185.03	65.0 766.77
08/14/2017	QGW036543	MAT9 LLC	VIEWRAY INC COM	S	-96,944.71	1,538.32	10.00	1,528.32	65.0 989.91
08/15/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-7,150.00	340.00	10.00	330.00	65.0 211.00
08/16/2017	QGW036543	MAT9 LLC	GLOBEIMMUNE INC COM	S	-188.70	20.00	10.00	10.00	65.0 3.00
08/01/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,662.00	277.15	10.00	267.15	65.0 170.15
08/02/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-10,700.00	644.69	10.00	634.69	65.0 409.05

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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										
08/02/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,458.36	271.16	10.00	261.16	65.0	166.25
08/02/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-5,350.50	322.34	10.00	312.34	65.0	199.52
08/03/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-5,800.50	337.13	10.00	327.13	65.0	209.13
08/03/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-928.00	53.94	10.00	43.94	65.0	25.06
08/03/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-5,750.00	337.12	10.00	327.12	65.0	209.13
08/04/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-119.00	50.00	10.00	40.00	65.0	22.50
08/08/2017	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-13,204.00	696.56	10.00	686.56	65.0	442.76
08/03/2017	QGW036873	PASTORE, RALPH	MATINAS BIOPHARMA HLDGS INC COM	S	-113.00	6.74	10.00	-3.26	65.0	-3.26
08/03/2017	QGW036873	PASTORE, RALPH	MATINAS BIOPHARMA HLDGS INC COM	S	-11,088.00	667.43	10.00	657.43	65.0	423.83
08/04/2017	QGW036873	PASTORE, RALPH	MATINAS BIOPHARMA HLDGS INC COM	S	-11,400.00	648.07	10.00	638.07	65.0	411.25
08/04/2017	QGW036873	PASTORE, RALPH	MATINAS BIOPHARMA HLDGS INC COM	S	-12,200.00	648.08	10.00	638.08	65.0	411.25
* STOCKS SUBTOTAL *					\$-87,460.54	\$12,117.68	\$380.00	\$11,737.68		\$7,498.86
PRODUCT CATEGORY: OPTIONS										
07/31/2017	75501291	PRESTON, MARGARITA	CALL PFE 08/04/17 33	S	1,350.00	60.00	10.00	50.00	65.0	29.00
08/01/2017	75501291	PRESTON, MARGARITA	CALL PFE 08/18/17 32	B	3,300.00	150.00	10.00	140.00	65.0	87.50
08/01/2017	75501291	PRESTON, MARGARITA	CALL PFE 08/04/17 33	B	300.00	50.00	10.00	40.00	65.0	22.50
08/03/2017	75501291	PRESTON, MARGARITA	CALL PFE 08/18/17 32	S	4,800.00	180.00	10.00	170.00	65.0	107.00
08/15/2017	75501291	PRESTON, MARGARITA	CALL PFE 08/25/17 32	S	4,500.00	200.00	10.00	190.00	65.0	120.00
08/17/2017	75501291	PRESTON, MARGARITA	CALL PFE 08/18/17 32	B	3,000.00	125.00	10.00	115.00	65.0	71.25
08/18/2017	75501291	PRESTON, MARGARITA	CALL PFE 08/25/17 32	B	2,550.00	115.00	10.00	105.00	65.0	64.75
08/22/2017	75501291	PRESTON, MARGARITA	CALL PFE 09/15/17 32	S	3,810.00	150.00	10.00	140.00	65.0	87.50
08/24/2017	75501291	PRESTON, MARGARITA	CALL PFE 09/15/17 33	S	1,650.00	60.00	10.00	50.00	65.0	29.00
08/15/2017	QGW030355	GOULD, PETER	PUT 100 SNAP INC CL A EXP 09-15-17@ B		1,164.00	50.00	10.00	40.00	65.0	22.50
* OPTIONS SUBTOTAL *					\$26,424.00	\$1,140.00	\$100.00	\$1,040.00		\$641.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
08/09/2017	75501290	PRESTON, MARGARITA	FRANKLIN INCOME FUND CLASS A	B	0.00	2.08	0.00	2.08	65.0	1.35
08/09/2017	75501290	PRESTON, MARGARITA	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	6.93	0.00	6.93	65.0	4.50
08/09/2017	75501290	PRESTON, MARGARITA	THE INCOME FUND OF AMERICA-A	B	0.00	8.01	0.00	8.01	65.0	5.21
08/09/2017	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	8.87	0.00	8.87	65.0	5.77
08/09/2017	75501291	PRESTON, MARGARITA	AMERICAN HIGH-INCOME TRUST-A	B	0.00	8.74	0.00	8.74	65.0	5.68
08/09/2017	75501291	PRESTON, MARGARITA	FRANKLIN HIGH-YIELD TAX-FREE INCOME B		0.00	12.22	0.00	12.22	65.0	7.94
08/09/2017	75501291	PRESTON, MARGARITA	FRK AGE HIGH INC FND - CL A	B	0.00	3.93	0.00	3.93	65.0	2.55
08/09/2017	75501291	PRESTON, MARGARITA	NUVEEN FLAGSHIP MUN TR HIGH YIELD M B		0.00	7.97	0.00	7.97	65.0	5.18
08/09/2017	75501291	PRESTON, MARGARITA	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	20.23	0.00	20.23	65.0	13.15
08/09/2017	75501293	JOE, HENRY	FRK NATURAL RES FND - CL A	B	0.00	0.78	0.00	0.78	65.0	0.51
08/09/2017	75501293	JOE, HENRY	INTERMEDIATE BOND FUND OF AMERICA-A	B	0.00	3.97	0.00	3.97	65.0	2.58
08/09/2017	75501305	BUNIN, ARLENE	FRANKLIN INCOME FUND CLASS A	B	0.00	5.69	0.00	5.69	65.0	3.70
08/09/2017	75501305	BUNIN, ARLENE	FRK AGE HIGH INC FND - CL A	B	0.00	11.71	0.00	11.71	65.0	7.61

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
08/09/2017	75501305	BUNIN, ARLENE		GOLDMAN SACHS HIGH YIELD FUND CL A B	0.00	34.83	0.00	34.83	65.0	22.64
08/09/2017	75501307	TOTTEN, ANN		FRANKLIN INCOME FUND CLASS A B	0.00	17.58	0.00	17.58	65.0	11.43
08/09/2017	75501307	TOTTEN, ANN		THE BOND FUND OF AMERICA-A B	0.00	9.97	0.00	9.97	65.0	6.48
08/09/2017	75501307	TOTTEN, ANN		THE INCOME FUND OF AMERICA-A B	0.00	13.76	0.00	13.76	65.0	8.94
08/09/2017	75501308	ANN S TOTTEN		FRANKLIN INCOME FUND CLASS A B	0.00	4.88	0.00	4.88	65.0	3.17
08/09/2017	75501308	ANN S TOTTEN		MUTUAL DISC FND - CL A B	0.00	3.92	0.00	3.92	65.0	2.55
08/09/2017	75501309	TOTTEN, ANN		FRANKLIN INCOME FUND CLASS A B	0.00	6.57	0.00	6.57	65.0	4.27
08/09/2017	75501309	TOTTEN, ANN		THE GROWTH FUND OF AMERICA-A B	0.00	8.39	0.00	8.39	65.0	5.45
08/09/2017	75501309	TOTTEN, ANN		THE NEW ECONOMY FUND-A B	0.00	7.85	0.00	7.85	65.0	5.10
08/09/2017	75501310	MARGARITA F PRESTON		FRANKLIN INCOME FUND CLASS A B	0.00	3.31	0.00	3.31	65.0	2.15
08/09/2017	75501310	MARGARITA F PRESTON		MAINSTAY HIGH-YIELD CORPORATE BOND B	0.00	23.02	0.00	23.02	65.0	14.96
08/09/2017	75501310	MARGARITA F PRESTON		MAINSTAY UNCONSTRAINED BOND FUND CL B	0.00	24.88	0.00	24.88	65.0	16.17
08/09/2017	75501310	MARGARITA F PRESTON		ROCHESTER NATIONAL MUNICIPALS A B	0.00	13.76	0.00	13.76	65.0	8.94
08/09/2017	75501310	MARGARITA F PRESTON		THE INCOME FUND OF AMERICA-A B	0.00	7.28	0.00	7.28	65.0	4.73
08/11/2017	75501311	HEIDENREICH, CHARLYN		DELAWARE SELECT GROWTH FUND A CLASS B	0.00	2.07	0.00	2.07	65.0	1.35
08/09/2017	75501312	HEIDENREICH, CHARLYN		FRANKLIN U.S. GOVERNMENT SECURITIES B	0.00	0.78	0.00	0.78	65.0	0.51
08/09/2017	75501312	HEIDENREICH, CHARLYN		INTERMEDIATE BOND FUND OF AMERICA-A B	0.00	2.90	0.00	2.90	65.0	1.89
08/09/2017	75501312	HEIDENREICH, CHARLYN		MFS EMERGING GROWTH FUND CLASS A B	0.00	0.41	0.00	0.41	65.0	0.27
08/09/2017	75501312	HEIDENREICH, CHARLYN		SHORT-TERM BOND FUND OF AMERICA - A B	0.00	2.42	0.00	2.42	65.0	1.57
08/09/2017	75501312	HEIDENREICH, CHARLYN		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	0.58	0.00	0.58	65.0	0.38
08/11/2017	75501312	HEIDENREICH, CHARLYN		DELAWARE INVESTMENTS DIVERSIFIED IN B	0.00	1.48	0.00	1.48	65.0	0.96
08/09/2017	75501313	HEIDENREICH, ROBERT		FRANKLIN INCOME FUND CLASS A B	0.00	10.70	0.00	10.70	65.0	6.96
08/09/2017	75501313	HEIDENREICH, ROBERT		FRANKLIN/TEMPLETON FUNDS 353612690 B	0.00	13.80	0.00	13.80	65.0	8.97
08/09/2017	75501313	HEIDENREICH, ROBERT		GOLDMAN SACHS TR SHORT DURATION INC B	0.00	13.51	0.00	13.51	65.0	8.78
08/09/2017	75501313	HEIDENREICH, ROBERT		THE BOND FUND OF AMERICA-A B	0.00	9.63	0.00	9.63	65.0	6.26
08/09/2017	75501314	COHEN, GLADYS		EATON VANCE NATIONAL MUNICIPAL FUND B	0.00	95.70	0.00	95.70	65.0	62.21
08/09/2017	75501314	COHEN, GLADYS		FRANKLIN NEW YORK TAX-FREE INCOME F B	0.00	39.15	0.00	39.15	65.0	25.45
08/09/2017	75501314	COHEN, GLADYS		GOLDMAN SACHS DYNAMIC MUNICIPAL INC B	0.00	90.90	0.00	90.90	65.0	59.09
08/09/2017	75501314	COHEN, GLADYS		GOLDMAN SACHS HIGH YIELD MUNICIPAL B	0.00	54.34	0.00	54.34	65.0	35.32
08/09/2017	75501314	COHEN, GLADYS		ROCH. LIMITED TERM NEW YORK MUNICIP B	0.00	36.84	0.00	36.84	65.0	23.95
08/09/2017	75501314	COHEN, GLADYS		ROCHESTER NATIONAL MUNICIPALS A B	0.00	45.62	0.00	45.62	65.0	29.65
08/09/2017	75501315	COHEN, GLADYS		ALLIANCEBERNSTEIN MUNI INCOME-NY A B	0.00	32.19	0.00	32.19	65.0	20.92
08/09/2017	75501315	COHEN, GLADYS		EATON VANCE NATIONAL MUNICIPAL FUND B	0.00	13.14	0.00	13.14	65.0	8.54
08/09/2017	75501315	COHEN, GLADYS		EHV 27826L322 B	0.00	19.90	0.00	19.90	65.0	12.94
08/09/2017	75501315	COHEN, GLADYS		GOLDMAN SACHS HIGH YIELD MUNICIPAL B	0.00	26.07	0.00	26.07	65.0	16.95
08/09/2017	75501315	COHEN, GLADYS		NUVEEN NEW YORK MUNI BOND A B	0.00	47.59	0.00	47.59	65.0	30.93
08/09/2017	75501315	COHEN, GLADYS		ROCHESTER NATIONAL MUNICIPALS A B	0.00	9.47	0.00	9.47	65.0	6.16
08/09/2017	75501315	COHEN, GLADYS		ROCHESTER FUND MUNICIPALS A B	0.00	25.11	0.00	25.11	65.0	16.32
08/09/2017	75501315	COHEN, GLADYS		THE BOND FUND OF AMERICA-A B	0.00	12.89	0.00	12.89	65.0	8.38
08/09/2017	75501316	PIPER, CAROL		AMERICAN HIGH-INCOME TRUST-A B	0.00	6.33	0.00	6.33	65.0	4.11

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
08/09/2017	75501316	PIPER, CAROL	FEDERATED HIGH INCOME BOND FUND	B	0.00	6.76	0.00	6.76	65.0	4.39
08/09/2017	75501316	PIPER, CAROL	FRANKLIN INCOME FUND CLASS A	B	0.00	7.88	0.00	7.88	65.0	5.12
08/09/2017	75501316	PIPER, CAROL	FRK AGE HIGH INC FND - CL A	B	0.00	2.19	0.00	2.19	65.0	1.42
08/09/2017	75501316	PIPER, CAROL	GOLDMAN SACHS HIGH YIELD FUND CL A B	B	0.00	6.79	0.00	6.79	65.0	4.41
08/09/2017	75501317	PIPER, CAROL	FRANKLIN INCOME FUND CLASS A	B	0.00	1.19	0.00	1.19	65.0	0.77
08/09/2017	75501317	PIPER, CAROL	NEW PERSPECTIVE FUND-A	B	0.00	3.67	0.00	3.67	65.0	2.39
08/09/2017	75501324	HEIDENREICH, CHARLYN	FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	B	0.00	3.58	0.00	3.58	65.0	2.33
08/09/2017	75501325	ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A	B	0.00	2.54	0.00	2.54	65.0	1.65
08/09/2017	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR I	B	0.00	6.24	0.00	6.24	65.0	4.06
08/09/2017	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR I	B	0.00	5.77	0.00	5.77	65.0	3.75
08/09/2017	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR II	B	0.00	23.20	0.00	23.20	65.0	15.08
08/09/2017	75501867	PAGAN, VIONA LYNN	DYNAMIC SMALL CAP FUND - A	B	0.00	19.20	0.00	19.20	65.0	12.48
08/09/2017	75501867	PAGAN, VIONA LYNN	FIDELITY ADV TECHNOLOGY CL A	B	0.00	11.53	0.00	11.53	65.0	7.49
08/09/2017	75501867	PAGAN, VIONA LYNN	GROWTH AND INCOME FUND - A	B	0.00	17.60	0.00	17.60	65.0	11.44
08/09/2017	75501867	PAGAN, VIONA LYNN	SMALL CAP EQUITY FUND - A	B	0.00	4.07	0.00	4.07	65.0	2.65
08/09/2017	75501867	PAGAN, VIONA LYNN	U.S. EQUITY FUND - A	B	0.00	23.35	0.00	23.35	65.0	15.18
08/09/2017	75502119	COHEN, MICHAEL	ALLIANCEBERNSTEIN MUNI INCOME-NY A	B	0.00	7.75	0.00	7.75	65.0	5.04
08/09/2017	75502119	COHEN, MICHAEL	EATON VANCE NATIONAL MUNICIPAL FUND B	B	0.00	3.16	0.00	3.16	65.0	2.05
08/09/2017	75502119	COHEN, MICHAEL	EHV 27826L322	B	0.00	4.79	0.00	4.79	65.0	3.11
08/09/2017	75502119	COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL	B	0.00	6.29	0.00	6.29	65.0	4.09
08/09/2017	75502119	COHEN, MICHAEL	NUVEEN NEW YORK MUNI BOND A	B	0.00	11.45	0.00	11.45	65.0	7.44
08/09/2017	75502119	COHEN, MICHAEL	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	2.28	0.00	2.28	65.0	1.48
08/09/2017	75502119	COHEN, MICHAEL	ROCHESTER FUND MUNICIPALS A	B	0.00	6.04	0.00	6.04	65.0	3.93
08/09/2017	75502119	COHEN, MICHAEL	THE BOND FUND OF AMERICA-A	B	0.00	3.10	0.00	3.10	65.0	2.02
08/14/2017	QGW030595	COHEN, MICHAEL	FRANKLIN FEDERAL TAX FREE INCOME FU B	B	0.00	4.13	0.00	4.13	65.0	2.68
08/14/2017	QGW030595	COHEN, MICHAEL	FRANKLIN INCOME FUND CLASS A	B	0.00	11.14	0.00	11.14	65.0	7.24
08/21/2017	QGW030595	COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL	B	0.00	17.81	0.00	17.81	65.0	11.58
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,118.15	\$0.00	\$1,118.15		\$726.80
*** BROKER TRANSACTIONS TOTAL ***					\$-61,036.54	\$14,375.83	\$480.00	\$13,895.83		\$8,866.66

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									
08/14/2017	QGW008047	DOUGHERTY, JANE	ASHFORD INC COM	S	-79.50	12.50	0.00	12.50	8.13
08/14/2017	QGW008047	DOUGHERTY, JANE	ATLANTIC POWER CORPORATION	S	-606.25	25.00	0.00	25.00	16.25
08/14/2017	QGW008047	DOUGHERTY, JANE	RMR GROUP INC (THE) CLASS A	S	-23.65	10.00	0.00	10.00	6.50
08/15/2017	QGW008047	DOUGHERTY, JANE	DRIVE SHACK INC COM	S	-20.64	2.50	0.00	2.50	1.63
08/15/2017	QGW008047	DOUGHERTY, JANE	FRONTIER COMMUNICATIONS CORPORATION	B	696.96	27.50	0.00	27.50	17.88
08/15/2017	QGW008047	DOUGHERTY, JANE	QUATERRA RESOURCES INC	S	-77.80	10.00	0.00	10.00	6.50
08/14/2017	QGW023848	BYRNE, GERARD	ADVANCED MICRO DEVICES INC	B	3,182.48	75.00	0.00	75.00	48.75
08/23/2017	QGW030041	THOMAS, JACK	MARATHON OIL CORP	B	5,512.50	112.54	0.00	112.54	73.15
08/28/2017	QGW030041	THOMAS, JACK	OMEROS CORPORATION	B	1,965.00	38.16	0.00	38.16	24.80
08/07/2017	QGW023848	BYRNE, GERARD	CALL 100 CELGENE CORP EXP 09-15-17@	S	-245.00	25.00	0.00	25.00	16.25
08/18/2017	QGW030041	THOMAS, JACK	CALL 100 OMEROS CORP COM EXP 08-18-	B	325.00	25.00	0.00	25.00	16.25
08/21/2017	QGW008005	SCHULZ, CARL	ROCH. LIMITED TERM NEW YORK MUNICIP	B	0.00	6.72	0.00	6.72	4.37
08/21/2017	QGW008005	SCHULZ, CARL	ROCHESTER FUND MUNICIPALS A	B	0.00	35.86	0.00	35.86	23.31
08/21/2017	QGW008039	STEFANO, MARGARET	ROCHESTER FUND MUNICIPALS A	B	0.00	1.67	0.00	1.67	1.09
08/18/2017	QGW008047	DOUGHERTY, JANE	HIGH YIELD A	B	0.00	0.57	0.00	0.57	0.37
08/21/2017	QGW008047	DOUGHERTY, JANE	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	3.40	0.00	3.40	2.21
08/21/2017	QGW023798	OLSSON, RITA	CAPITAL APPRECIATION A	B	0.00	0.26	0.00	0.26	0.17
08/15/2017	QGW023814	STEFANO, MARGARET	EUROPACIFIC GROWTH FUND-A	B	0.00	0.27	0.00	0.27	0.18
08/15/2017	QGW023814	STEFANO, MARGARET	THE GROWTH FUND OF AMERICA-A	B	0.00	1.17	0.00	1.17	0.76
08/17/2017	QGW023848	BYRNE, GERARD	MFS INTERNTL DIVERSIFICATION FUND-A	B	0.00	1.30	0.00	1.30	0.85
* DAVID REILLY SUBTOTAL *					\$10,629.10	\$414.42	\$0.00	\$414.42	\$269.40
*** SPLIT TRANSACTIONS TOTAL ***					\$10,629.10	\$414.42	\$0.00	\$414.42	\$269.40

ADJUSTMENTS

08/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
08/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-12.00
08/31/2017	OTHER: OTHER-DAVID REILLY TICKET CH	0.00	0.00	0.00	0.00	-55.00
08/31/2017	OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-54.44
08/31/2017	OTHER: QUODD	0.00	0.00	0.00	0.00	-170.35
08/31/2017	OTHER: WEALTH MANAGEMENT STATION	0.00	0.00	0.00	0.00	-25.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-336.79

BROKER COMMISSION TOTALS

Broker Transactions	\$8,866.66
Split Transactions	\$269.40
Override Transactions	\$0.00
Adjustments	\$-336.79
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-18.49
SIPC Assessment	\$-36.98

Check Amount	\$8,743.80
Year-to-date Earnings	\$23,523.21