

## COMMISSION STATEMENT

July 31, 2018

JOHN HEIDENREICH  
7 EAST 86TH ST  
APT 15B  
NEW YORK, NY 10028

BROKER #: P7H R90 R30 A09  
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
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

07/18/2018	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	S	3,400.00	0.00	0.00	0.00	65.0	0.00
08/02/2018	75501309	TOTTEN, ANN	THE NEW ECONOMY FUND-A	S	7,838.00	0.00	0.00	0.00	65.0	0.00
08/01/2018	75501310	MARGARITA F PRESTON	MAINSTAY HIGH-YIELD CORPORATE BOND	S	1,500.00	0.00	0.00	0.00	65.0	0.00
07/25/2018	75502197	COHEN, MICHAEL	FRANKLIN NEW YORK TAX-FREE INCOME F	S	60,000.00	0.00	0.00	0.00	65.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$72,738.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

02/08/2018	75501291	PRESTON, MARGARITA	MEDICINOVIA INC	B	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/08/2018	75501291	PRESTON, MARGARITA	MEDICINOVIA INC	S	-13,575.00	0.00	-10.00	10.00	65.0	10.00 C
07/18/2018	75501291	PRESTON, MARGARITA	PFIZER INCORPORATED	S	7,000.00	164.68	10.00	154.68	65.0	97.04
07/23/2018	75501291	PRESTON, MARGARITA	SACHEM CAPITAL CORP COMMON SHARES	S	4,220.00	150.00	10.00	140.00	65.0	87.50
07/24/2018	75501291	PRESTON, MARGARITA	SACHEM CAPITAL CORP COMMON SHARES	S	4,240.00	150.00	10.00	140.00	65.0	87.50
08/01/2018	75501291	PRESTON, MARGARITA	PFIZER INCORPORATED	S	107,300.00	725.00	10.00	715.00	65.0	461.25
08/01/2018	75501291	PRESTON, MARGARITA	PFIZER INCORPORATED	S	110,200.00	725.00	10.00	715.00	65.0	461.25
08/10/2018	75501291	PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO	B	9,000.00	0.00	10.00	-10.00	65.0	-10.00
02/08/2018	75501292	JOE, HENRY	MEDICINOVIA INC	B	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/08/2018	75501292	JOE, HENRY	MEDICINOVIA INC	S	-13,575.00	0.00	-10.00	10.00	65.0	10.00 C
07/31/2018	75501292	JOE, HENRY	U S SILICA HOLDINGS INC	S	8,199.00	191.79	10.00	181.79	65.0	114.66
07/31/2018	75501292	JOE, HENRY	WTS ATTIS INDUSTRIES INC WARRANTS	S	180.00	15.00	10.00	5.00	65.0	-0.25
08/02/2018	75501292	JOE, HENRY	THERAPEUTICSMID INC	B	1,530.00	0.00	10.00	-10.00	65.0	-10.00
08/03/2018	75501292	JOE, HENRY	ARLO TECHNOLOGIES INC COMMON STOCK	B	4,800.00	0.00	10.00	-10.00	65.0	-10.00
08/09/2018	75501292	JOE, HENRY	APPLE INC	S	8,387.20	105.00	10.00	95.00	65.0	58.25
08/09/2018	75501292	JOE, HENRY	GRAFTECH INTL LTD COM	B	10,000.00	0.00	10.00	-10.00	65.0	-10.00
08/10/2018	75501292	JOE, HENRY	APPLE INC	S	1,038.20	20.00	10.00	10.00	65.0	3.00
08/10/2018	75501292	JOE, HENRY	ARLO TECHNOLOGIES INC COMMON STOCK	S	19.65	0.00	10.00	-10.00	65.0	-10.00
08/10/2018	75501292	JOE, HENRY	ARLO TECHNOLOGIES INC COMMON STOCK	S	5,875.35	158.31	10.00	148.31	65.0	92.90
08/10/2018	75501292	JOE, HENRY	RESTORATION ROBOTICS INC COMMON STO	B	7,500.00	0.00	10.00	-10.00	65.0	-10.00
02/08/2018	75501293	JOE, HENRY	MEDICINOVIA INC	B	9,050.00	0.00	10.00	-10.00	65.0	-10.00
02/08/2018	75501293	JOE, HENRY	MEDICINOVIA INC	S	-9,050.00	0.00	-10.00	10.00	65.0	10.00 C
07/19/2018	75501293	JOE, HENRY	PINNACLE FOODS INC	S	11,303.84	86.00	10.00	76.00	65.0	45.90
07/25/2018	75501293	JOE, HENRY	PINNACLE FOODS INC	S	8,403.20	64.00	10.00	54.00	65.0	31.60

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
07/26/2018	75501293	JOE, HENRY	BERRY PETE CORP COM	B	7,000.00	0.00	10.00	-10.00	65.0	-10.00
07/26/2018	75501293	JOE, HENRY	BERRY PETE CORP COM	S	-7,000.00	0.00	-10.00	10.00	65.0	10.00 C
07/26/2018	75501293	JOE, HENRY	BERRY PETE CORP COM	B	7,000.00	0.00	10.00	-10.00	65.0	-10.00
08/09/2018	75501293	JOE, HENRY	CENTRAL GARDEN & PET CO CL A NON-VT B		11,100.00	0.00	10.00	-10.00	65.0	-10.00
08/10/2018	75501293	JOE, HENRY	RESTORATION ROBOTICS INC COMMON STO B		7,500.00	0.00	10.00	-10.00	65.0	-10.00
02/08/2018	75501307	TOTTEN, ANN	MEDICINOVA INC	B	4,525.00	0.00	10.00	-10.00	65.0	-10.00
02/08/2018	75501307	TOTTEN, ANN	MEDICINOVA INC	S	-4,525.00	0.00	-10.00	10.00	65.0	10.00 C
07/23/2018	75501307	TOTTEN, ANN	HI-CRUSH PARTNERS LP COM UNIT PARTN S		8,250.00	221.60	10.00	211.60	65.0	134.04
07/25/2018	75501307	TOTTEN, ANN	ENABLE MIDSTREAM PARTNERS LP COM UN S		14,816.00	336.39	10.00	326.39	65.0	208.65
07/26/2018	75501307	TOTTEN, ANN	BERRY PETE CORP COM	B	14,000.00	0.00	10.00	-10.00	65.0	-10.00
07/30/2018	75501307	TOTTEN, ANN	CONAGRA FOODS INC	B	21,888.00	412.32	10.00	402.32	65.0	258.01
07/31/2018	75501307	TOTTEN, ANN	KELLOGG COMPANY	B	21,324.00	315.00	10.00	305.00	65.0	194.75
08/01/2018	75501307	TOTTEN, ANN	MONDELEZ INTERNATIONAL INC COM	B	21,420.00	398.10	10.00	388.10	65.0	248.77
08/09/2018	75501307	TOTTEN, ANN	GRAFTECH INTL LTD COM	B	10,000.00	0.00	10.00	-10.00	65.0	-10.00
08/10/2018	75501307	TOTTEN, ANN	CAMPBELL SOUP CO	B	20,775.00	391.85	10.00	381.85	65.0	244.70
08/10/2018	75501307	TOTTEN, ANN	RESTORATION ROBOTICS INC COMMON STO B		7,500.00	0.00	10.00	-10.00	65.0	-10.00
07/26/2018	75501310	MARGARITA F PRESTON	BERRY PETE CORP COM	B	14,000.00	0.00	10.00	-10.00	65.0	-10.00
08/01/2018	75501310	MARGARITA F PRESTON	HI-CRUSH PARTNERS LP COM UNIT PARTN B		14,950.00	357.71	10.00	347.71	65.0	222.51
02/08/2018	75501313	HEIDENREICH, ROBERT	MEDICINOVA INC	B	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/08/2018	75501313	HEIDENREICH, ROBERT	MEDICINOVA INC	S	-13,575.00	0.00	-10.00	10.00	65.0	10.00 C
07/11/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT B		24,767.94	440.23	10.00	430.23	65.0	276.15
07/25/2018	75501313	HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES S		118.16	2.80	10.00	-7.20	65.0	-8.18
07/27/2018	75501313	HEIDENREICH, ROBERT	GENERAL ELECTRIC CO	B	13,040.00	329.96	10.00	319.96	65.0	204.47
07/27/2018	75501313	HEIDENREICH, ROBERT	PINNACLE FOODS INC	S	19,896.00	225.00	10.00	215.00	65.0	136.25
07/27/2018	75501313	HEIDENREICH, ROBERT	ULTA SALON COSMETICS & FRAGRANCE IN B		12,563.50	105.00	10.00	95.00	65.0	58.25
08/01/2018	75501313	HEIDENREICH, ROBERT	KELLOGG COMPANY	B	21,174.00	315.00	10.00	305.00	65.0	194.75
08/01/2018	75501313	HEIDENREICH, ROBERT	U S SILICA HOLDINGS INC	S	13,510.00	175.00	10.00	165.00	65.0	103.75
08/07/2018	75501313	HEIDENREICH, ROBERT	MONDELEZ INTERNATIONAL INC COM	B	21,440.00	398.29	10.00	388.29	65.0	248.89
08/08/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT S		18,105.24	100.00	10.00	90.00	65.0	55.00
08/08/2018	75501313	HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES S		8,578.20	157.76	10.00	147.76	65.0	92.54
08/09/2018	75501313	HEIDENREICH, ROBERT	CAMPBELL SOUP CO	B	21,140.00	395.39	10.00	385.39	65.0	247.00
08/09/2018	75501313	HEIDENREICH, ROBERT	CENTRAL GARDEN & PET CO CL A NON-VT B		11,100.00	0.00	10.00	-10.00	65.0	-10.00
08/09/2018	75501313	HEIDENREICH, ROBERT	GRAFTECH INTL LTD COM	B	8,000.00	0.00	10.00	-10.00	65.0	-10.00
08/10/2018	75501313	HEIDENREICH, ROBERT	RESTORATION ROBOTICS INC COMMON STO B		7,500.00	0.00	10.00	-10.00	65.0	-10.00
08/10/2018	75502116	BONE, ELIZABETH	RESTORATION ROBOTICS INC COMMON STO B		2,250.00	0.00	10.00	-10.00	65.0	-10.00
08/10/2018	75502186	DOLE, VIVIAN	GENERAL ELECTRIC CO	B	3,516.15	0.00	10.00	-10.00	65.0	-10.00
07/16/2018	QGW008047	DOUGHERTY, JANE	FRONTIER COMMUNICATIONS CORPORATION S		-503.25	50.00	10.00	40.00	65.0	22.50
07/16/2018	QGW008047	DOUGHERTY, JANE	GRANITE PT MTG TR INC COM	S	-520.84	50.00	10.00	40.00	65.0	22.50
07/12/2018	QGW030041	THOMAS, JACK	ABERDEEN GLOBAL PREMIER PROPERTIES S		-9,495.15	150.00	10.00	140.00	65.0	87.50
07/12/2018	QGW030074	WALKER, MARGARET	ACADIA PHARMACEUTICALS INC COM	S	-5,220.69	108.04	10.00	98.04	65.0	60.23

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
07/12/2018	QGW030074	WALKER, MARGARET	MYND ANALYTICS INC COMMON STOCK	S	-1,524.25	99.88	10.00	89.88	65.0	54.92
07/12/2018	QGW030074	WALKER, MARGARET	VERIZON COMMUNICATIONS	S	-5,108.36	80.73	10.00	70.73	65.0	42.47
07/12/2018	QGW030074	WALKER, MARGARET	WTS MYND ANALYTICS INC WARRANT	S	-202.01	50.00	10.00	40.00	65.0	22.50
07/11/2018	QGW033367	NAUMOV, GEORGE	SIMULATIONS PLUS INC COM	B	14,790.00	35.00	10.00	25.00	65.0	12.75
* STOCKS SUBTOTAL *					\$702,634.08	\$8,255.83	\$560.00	\$7,695.83		\$4,806.27
PRODUCT CATEGORY: OPTIONS										
07/20/2018	75501291	PRESTON, MARGARITA	CALL PFE 07/20/18 35	B	6,300.00	280.00	10.00	270.00	65.0	172.00
07/20/2018	75501291	PRESTON, MARGARITA	CALL PFE 07/20/18 36	B	3,750.00	150.00	10.00	140.00	65.0	87.50
07/24/2018	75501291	PRESTON, MARGARITA	CALL PFE 08/17/18 37	S	2,250.00	100.00	10.00	90.00	65.0	55.00
07/30/2018	75501291	PRESTON, MARGARITA	CALL PFE 08/17/18 38	S	2,550.00	100.00	10.00	90.00	65.0	55.00
* OPTIONS SUBTOTAL *					\$14,850.00	\$630.00	\$40.00	\$590.00		\$369.50
PRODUCT CATEGORY: RIA										
07/01/2018	75502184	PRESTON, ROBERT	FAS FEES PT. I/III	B	-1,769.81	518.82	10.00	508.82	65.0	327.23
07/01/2018	75502186	DOLE, VIVIAN	FAS FEES PT. I/III	B	-1,038.00	299.39	10.00	289.39	65.0	184.60
* RIA SUBTOTAL *					\$-2,807.81	\$818.21	\$20.00	\$798.21		\$511.83
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/31/2018			FEE COUNT - 145		0.00	2,219.65	0.00	2,219.65	65.0	1,442.72
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$2,219.65	\$0.00	\$2,219.65		\$1,442.72
*** BROKER TRANSACTIONS TOTAL ***					\$787,414.27	\$11,923.69	\$620.00	\$11,303.69		\$7,130.32
ADJUSTMENTS										
07/31/2018			MISCELLANEOUS: WRITE OFF 75501288		0.00	0.00	0.00	0.00		-2.00
07/31/2018			COMMISSION INCOME: AQST		0.00	0.00	0.00	0.00		5.51
07/31/2018			COMMISSION INCOME: BRY 75501293		0.00	0.00	0.00	0.00		39.82
07/31/2018			COMMISSION INCOME: BRY 75501310		0.00	0.00	0.00	0.00		79.65
07/31/2018			COMMISSION INCOME: BRY 75501307		0.00	0.00	0.00	0.00		79.65
07/31/2018			COMMISSION INCOME: BRY IPO		0.00	0.00	0.00	0.00		88.50
07/31/2018			MISCELLANEOUS: CREDIT CLEARING CHG		0.00	0.00	0.00	0.00		50.00
07/31/2018			: QUODD		0.00	0.00	0.00	0.00		-180.85
07/31/2018			OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
07/31/2018			OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-12.00
07/31/2018			OTHER: RBC -WEALTH STATION		0.00	0.00	0.00	0.00		-25.00
07/31/2018			OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
*** ADJUSTMENTS TOTAL ***					\$0.00	\$0.00	\$0.00	\$0.00		\$48.84

**BROKER COMMISSION TOTALS**

Broker Transactions	\$7,130.32
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$48.84
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-14.90
SIPC Assessment	\$-29.81

<b>Check Amount</b>	<b>\$7,134.45</b>
<b>Year-to-date Earnings</b>	<b>\$66,793.29</b>