

## COMMISSION STATEMENT

August 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
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
08/29/2018	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	S	2,000.00	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	65.0	0.00
08/01/2018	75501310	MARGARITA F PRESTON	MAINSTAY HIGH-YIELD CORPORATE BOND	S	1,500.00	0.00	0.00	65.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$11,338.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>									
02/08/2018	75501291	PRESTON, MARGARITA	MEDICINOVA INC	B	13,575.00	0.00	10.00	65.0	-10.00
02/08/2018	75501291	PRESTON, MARGARITA	MEDICINOVA INC	S	-13,575.00	0.00	-10.00	65.0	10.00 C
08/01/2018	75501291	PRESTON, MARGARITA	PFIZER INCORPORATED	S	107,300.00	725.00	10.00	65.0	461.25
08/01/2018	75501291	PRESTON, MARGARITA	PFIZER INCORPORATED	S	110,200.00	725.00	10.00	65.0	461.25
08/10/2018	75501291	PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO	B	9,000.00	0.00	10.00	65.0	-10.00
08/15/2018	75501291	PRESTON, MARGARITA	GLADSTONE INVESTMENT CORPORATION PR	B	25,000.00	0.00	10.00	65.0	-10.00
08/17/2018	75501291	PRESTON, MARGARITA	SACHEM CAPITAL CORP COMMON SHARES	S	16,800.00	400.00	10.00	65.0	250.00
08/24/2018	75501291	PRESTON, MARGARITA	FAT BRANDS INC COMMON STOCK	S	736.92	50.00	10.00	65.0	22.50
08/27/2018	75501291	PRESTON, MARGARITA	FAT BRANDS INC COMMON STOCK	S	7,543.08	253.32	10.00	65.0	154.66
08/29/2018	75501291	PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO	S	1,910.00	95.50	10.00	65.0	52.08
08/29/2018	75501291	PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO	B	-1,910.00	-95.50	-10.00	65.0	-52.08 C
08/29/2018	75501291	PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO	S	1,910.00	85.50	10.00	65.0	45.58
08/29/2018	75501291	PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO	S	3,760.00	188.00	10.00	65.0	112.20
08/29/2018	75501291	PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO	B	-3,760.00	-188.00	-10.00	65.0	-112.20 C
08/29/2018	75501291	PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO	S	3,760.00	178.80	10.00	65.0	106.22
02/08/2018	75501292	JOE, HENRY	MEDICINOVA INC	B	13,575.00	0.00	10.00	65.0	-10.00
02/08/2018	75501292	JOE, HENRY	MEDICINOVA INC	S	-13,575.00	0.00	-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	65.0	114.66
07/31/2018	75501292	JOE, HENRY	WTS ATTIS INDUSTRIES INC WARRANTS	S	180.00	15.00	10.00	65.0	-0.25
08/02/2018	75501292	JOE, HENRY	THERAPEUTICSMD INC	B	1,530.00	0.00	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	65.0	-10.00
08/09/2018	75501292	JOE, HENRY	APPLE INC	S	8,387.20	105.00	10.00	65.0	58.25
08/09/2018	75501292	JOE, HENRY	GRAFTECH INTL LTD COM	B	10,000.00	0.00	10.00	65.0	-10.00
08/10/2018	75501292	JOE, HENRY	APPLE INC	S	1,038.20	20.00	10.00	65.0	3.00
08/10/2018	75501292	JOE, HENRY	ARLO TECHNOLOGIES INC COMMON STOCK	S	19.65	0.00	10.00	65.0	-10.00

COMMISSION STATEMENT for JOHN HEIDENREICH

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
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
08/29/2018	75501292	JOE, HENRY	RESTORATION ROBOTICS INC COMMON STO	S	4,600.00	100.00	10.00	90.00	65.0 55.00
08/29/2018	75501292	JOE, HENRY	THERAPEUTICSMD INC	S	1,908.00	92.37	10.00	82.37	65.0 50.04
08/29/2018	75501292	JOE, HENRY	THERAPEUTICSMD INC	B	-1,908.00	-92.37	-10.00	-82.37	65.0 -50.04 C
08/29/2018	75501292	JOE, HENRY	THERAPEUTICSMD INC	S	1,908.00	82.37	10.00	72.37	65.0 43.54
02/08/2018	75501293	JOE, HENRY	MEDICINOVA INC	B	9,050.00	0.00	10.00	-10.00	65.0 -10.00
02/08/2018	75501293	JOE, HENRY	MEDICINOVA INC	S	-9,050.00	0.00	-10.00	10.00	65.0 10.00 C
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
08/15/2018	75501293	JOE, HENRY	GLADSTONE INVESTMENT CORPORATION PR	B	12,500.00	0.00	10.00	-10.00	65.0 -10.00
08/21/2018	75501293	JOE, HENRY	SACHEM CAPITAL CORP COMMON SHARES	S	8,520.00	200.00	10.00	190.00	65.0 120.00
08/27/2018	75501293	JOE, HENRY	RESTORATION ROBOTICS INC COMMON STO	S	4,050.00	50.00	10.00	40.00	65.0 22.50
08/29/2018	75501293	JOE, HENRY	BERRY PETE CORP COM	S	7,980.00	207.99	10.00	197.99	65.0 125.19
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
07/30/2018	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
08/15/2018	75501307	TOTTEN, ANN	GLADSTONE INVESTMENT CORPORATION PR	B	12,500.00	0.00	10.00	-10.00	65.0 -10.00
08/29/2018	75501307	TOTTEN, ANN	BERRY PETE CORP COM	S	16,080.00	374.13	10.00	364.13	65.0 233.18
08/29/2018	75501307	TOTTEN, ANN	RESTORATION ROBOTICS INC COMMON STO	S	5,050.00	252.50	10.00	242.50	65.0 154.13
08/29/2018	75501307	TOTTEN, ANN	RESTORATION ROBOTICS INC COMMON STO	B	-5,050.00	-252.50	-10.00	-242.50	65.0 -154.13 C
08/29/2018	75501307	TOTTEN, ANN	RESTORATION ROBOTICS INC COMMON STO	S	5,050.00	242.50	10.00	232.50	65.0 147.63
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
08/20/2018	75501310	MARGARITA F PRESTON	FAT BRANDS INC COMMON STOCK	S	7,850.00	254.55	10.00	244.55	65.0 155.46
08/24/2018	75501310	MARGARITA F PRESTON	BERRY PETE CORP COM	S	15,520.00	366.00	10.00	356.00	65.0 227.90
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
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

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
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
08/14/2018	75501313 HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES S		8,480.00	200.00	10.00	190.00	65.0	120.00
08/24/2018	75501313 HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES S		12.81	0.20	10.00	-9.80	65.0	-9.87
08/27/2018	75501313 HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES S		4,257.19	99.60	10.00	89.60	65.0	54.74
08/27/2018	75501313 HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES S		4,280.00	100.00	10.00	90.00	65.0	55.00
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
08/21/2018	75502116 BONE, ELIZABETH	SACHEM CAPITAL CORP COMMON SHARES S		2,160.62	50.60	10.00	40.60	65.0	22.89
08/22/2018	75502116 BONE, ELIZABETH	SACHEM CAPITAL CORP COMMON SHARES S		6,364.44	149.40	10.00	139.40	65.0	87.11
08/14/2018	75502119 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES S		12,570.20	300.00	10.00	290.00	65.0	185.00
08/14/2018	75502119 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES S		8,440.00	200.00	10.00	190.00	65.0	120.00
08/14/2018	75502119 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES S		4,160.00	100.00	10.00	90.00	65.0	55.00
08/16/2018	75502119 COHEN, MICHAEL	FAT BRANDS INC COMMON STOCK S		7,080.00	243.36	10.00	233.36	65.0	148.18
08/10/2018	75502186 DOLE, VIVIAN	GENERAL ELECTRIC CO B		3,516.15	0.00	10.00	-10.00	65.0	-10.00
08/03/2018	QGW030074 WALKER, MARGARET	IONIS PHARMACEUTICALS INC COM S		-4,405.00	67.81	10.00	57.81	65.0	34.08
08/02/2018	QGW030355 GOULD, PETER	THERAPEUTICSMD INC B		5,100.00	0.00	10.00	-10.00	65.0	-10.00
08/10/2018	QGW030355 GOULD, PETER	RESTORATION ROBOTICS INC COMMON STO B		10,500.00	0.00	10.00	-10.00	65.0	-10.00
08/21/2018	QGW030355 GOULD, PETER	COTY INC COM CL A B		11,080.00	225.70	10.00	215.70	65.0	136.71
08/29/2018	QGW030355 GOULD, PETER	COTY INC COM CL A S		-16,500.00	311.12	10.00	301.12	65.0	192.23
08/15/2018	QGW030595 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES S		-4,110.10	116.55	10.00	106.55	65.0	65.76
08/15/2018	QGW030595 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES S		-6,180.00	174.84	10.00	164.84	65.0	103.65
08/16/2018	QGW030595 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES S		-2,075.00	69.88	10.00	59.88	65.0	35.42
08/16/2018	QGW030595 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES S		-3,202.56	107.35	10.00	97.35	65.0	59.78
08/17/2018	QGW030595 COHEN, MICHAEL	SACHEM CAPITAL CORP COMMON SHARES S		-5,149.76	175.63	10.00	165.63	65.0	104.16
08/10/2018	QGW033367 NAUMOV, GEORGE	BIOLIFE SOLUTIONS INC COM S		-7,395.15	50.00	10.00	40.00	65.0	22.50
08/10/2018	QGW033367 NAUMOV, GEORGE	RESTORATION ROBOTICS INC COMMON STO B		15,000.00	0.00	10.00	-10.00	65.0	-10.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$749,575.68</b>	<b>\$10,943.72</b>	<b>\$720.00</b>	<b>\$10,223.72</b>		<b>\$6,393.43</b>
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
08/17/2018	75501291 PRESTON, MARGARITA	CALL PFE 08/17/18 37 B		511.00	25.00	10.00	15.00	65.0	6.25
08/17/2018	75501291 PRESTON, MARGARITA	CALL PFE 08/17/18 38 B		411.00	25.00	10.00	15.00	65.0	6.25
08/17/2018	75501291 PRESTON, MARGARITA	CALL PFE 09/21/18 40 S		4,600.00	150.00	10.00	140.00	65.0	87.50
08/21/2018	QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 09-2 S		-1,400.00	104.00	10.00	94.00	65.0	57.60
08/24/2018	QGW030355 GOULD, PETER	PUT 100 TESLA INC EXP 09-21-18 @300 B		2,200.00	57.86	10.00	47.86	65.0	27.61
08/30/2018	QGW030355 GOULD, PETER	PUT 100 TESLA INC EXP 09-21-18 @300 S		-2,970.00	66.80	10.00	56.80	65.0	33.42
<b>* OPTIONS SUBTOTAL *</b>				<b>\$3,352.00</b>	<b>\$428.66</b>	<b>\$60.00</b>	<b>\$368.66</b>		<b>\$218.63</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>									
07/01/2018	75502184 PRESTON, ROBERT	FAS FEES PT. II/III B		-1,769.81	510.45	10.00	500.45	65.0	321.79
07/01/2018	75502186 DOLE, VIVIAN	FAS FEES PT. II/III B		-1,038.00	294.57	10.00	284.57	65.0	181.47
<b>* RIA SUBTOTAL *</b>				<b>\$-2,807.81</b>	<b>\$805.02</b>	<b>\$20.00</b>	<b>\$785.02</b>		<b>\$503.26</b>

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
08/31/2018		FEE COUNT - 69		0.00	1,036.26	0.00	1,036.26	65.0	673.56
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		<u>\$0.00</u>	<u>\$1,036.26</u>	<u>\$0.00</u>	<u>\$1,036.26</u>		<u>\$673.56</u>
		*** BROKER TRANSACTIONS TOTAL ***		<u>\$761,457.87</u>	<u>\$13,213.66</u>	<u>\$800.00</u>	<u>\$12,413.66</u>		<u>\$7,788.88</u>

**ADJUSTMENTS**

08/31/2018		MISCELLANEOUS: AUG W/O 75501288		0.00	0.00	0.00	0.00		-2.00
08/31/2018		MISCELLANEOUS: AUG W/O 75501288		0.00	0.00	0.00	0.00		-2.00
08/31/2018		COMMISSION INCOME: HAIR SECONDARY		0.00	0.00	0.00	0.00		630.79
08/31/2018		COMMISSION INCOME: HAIR SECONDARY		0.00	0.00	0.00	0.00		148.84
08/31/2018		COMMISSION INCOME: GAINL PREFERRED		0.00	0.00	0.00	0.00		450.00
08/31/2018		COMMISSION INCOME: GAINL PREFERRED		0.00	0.00	0.00	0.00		50.00
08/31/2018		COMMISSION INCOME: GNL		0.00	0.00	0.00	0.00		123.90
08/31/2018		COMMISSION INCOME: CENTA SECONDARY		0.00	0.00	0.00	0.00		89.17
08/31/2018		COMMISSION INCOME: CENTA SECONDARY		0.00	0.00	0.00	0.00		16.51
08/31/2018		COMMISSION INCOME: EAF SECONDARY		0.00	0.00	0.00	0.00		74.03
08/31/2018		COMMISSION INCOME: EAF SECONDARY		0.00	0.00	0.00	0.00		99.23
08/31/2018		COMMISSION INCOME: ARLO IPO		0.00	0.00	0.00	0.00		45.36
08/31/2018		COMMISSION INCOME: ARLO IPO		0.00	0.00	0.00	0.00		8.40
08/31/2018		COMMISSION INCOME: TMXD SECONDARY		0.00	0.00	0.00	0.00		53.70
08/31/2018		COMMISSION INCOME: TMXD SECONDARY		0.00	0.00	0.00	0.00		22.95
08/31/2018		MISCELLANEOUS: REVERSE RIA CLEARING		0.00	0.00	0.00	0.00		20.00
08/31/2018		: QUODD		0.00	0.00	0.00	0.00		-180.85
08/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
08/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-12.00
08/31/2018		OTHER: RBC -WEALTH STATION		0.00	0.00	0.00	0.00		-25.00
08/31/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
		*** ADJUSTMENTS TOTAL ***		<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$1,536.59</u>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$7,788.88
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$1,536.59
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-16.52
SIPC Assessment	\$-33.03

<b>Check Amount</b>	<b>\$9,279.92</b>
<b>Year-to-date Earnings</b>	<b>\$54,589.16</b>