

COMMISSION STATEMENT**September 29, 2017****HENRY HACKEL**

179 EAST 70TH STREET

APT 6B

NEW YORK, NY 10021

BROKER #: 30

BRANCH: HOME OFFICE

COMMISSION STATEMENT for HENRY HACKEL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUNDS										
09/18/2017	00086531491	DAS, SPANDAN	AMERICAN HIGH-INCOME TRUST-529A	B	100.00	2.75	0.00	2.75	80.0	2.20
09/18/2017	00086531491	DAS, SPANDAN	NEW WORLD FUND-529A	B	100.00	2.75	0.00	2.75	80.0	2.20
09/18/2017	00086531491	DAS, SPANDAN	SMALLCAP WORLD FUND-529A	B	100.00	2.75	0.00	2.75	80.0	2.20
09/18/2017	00086531491	DAS, SPANDAN	THE GROWTH FUND OF AMERICA-529A	B	250.00	6.88	0.00	6.88	80.0	5.50
09/18/2017	00086531491	DAS, SPANDAN	THE INVESTMENT COMPANY OF AMERICA-5	B	200.00	5.50	0.00	5.50	80.0	4.40
09/05/2017	00087121704	JOGLEKAR, SHAYNE	AMERICAN BALANCED FUND-529A	B	500.00	13.75	0.00	13.75	80.0	11.00
09/05/2017	00087122294	JOGLEKAR, SHAYNE	AMERICAN BALANCED FUND-529A	B	500.00	13.75	0.00	13.75	80.0	11.00
09/20/2017	00087149656	CHANDELA, AJAY	AMERICAN BALANCED FUND-529C	B	1,000.00	10.00	0.00	10.00	80.0	8.00
09/20/2017	00087149667	CHANDELA, AJAY	NEW WORLD FUND-529C	B	1,000.00	10.00	0.00	10.00	80.0	8.00
09/20/2017	00087149689	CHANDELA, AJAY	NEW WORLD FUND-529C	B	1,000.00	10.00	0.00	10.00	80.0	8.00
09/20/2017	00087149729	CHANDELA, AJAY	AMERICAN BALANCED FUND-529C	B	1,000.00	10.00	0.00	10.00	80.0	8.00
09/06/2017	00087205674	MORRELL, CHARLES	THE GROWTH FUND OF AMERICA-529A	B	300.00	15.00	0.00	15.00	80.0	12.00
09/15/2017	00089081756	FOSTER, JAKE	AMERICAN FUND-02629M587	B	200.00	7.00	0.00	7.00	80.0	5.60
09/15/2017	00089084643	FOSTER, JAKE	AMERICAN FUND-02629M587	B	200.00	7.00	0.00	7.00	80.0	5.60
09/11/2017	01204161104	PASQUALONE,	THE INVESTMENT COMPANY OF AMERICA-5	B	150.00	7.50	0.00	7.50	80.0	6.00
09/11/2017	01204463227	PASQUALONE,	THE GROWTH FUND OF AMERICA-529A	B	150.00	7.50	0.00	7.50	80.0	6.00
09/11/2017	01205067051	PASQUALONE,	NEW PERSPECTIVE FUND-529A	B	150.00	7.50	0.00	7.50	80.0	6.00
09/20/2017	QGW020687	GRAUBERD, ALLAN	FIDELITY LOW PRICED STOCK FUND	B	1,538.78	35.00	0.00	35.00	80.0	28.00
09/20/2017	QGW022204	GRAUBERD, CAROLINE	FIDELITY LOW PRICED STOCK FUND	B	1,361.82	35.00	0.00	35.00	80.0	28.00
* MUTUAL FUNDS SUBTOTAL *					\$9,800.60	\$209.63	\$0.00	\$209.63		\$167.70

PRODUCT CATEGORY: STOCKS

09/14/2017	75500635	CABO CANYON LLC	KINDER HOLDING CORP	S	500.00	50.00	0.00	50.00	80.0	40.00
09/15/2017	75500635	CABO CANYON LLC	KINDER HOLDING CORP	S	1,015.00	35.00	0.00	35.00	80.0	28.00
09/19/2017	75500635	CABO CANYON LLC	KINDER HOLDING CORP	S	320.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	75501455	HACKEL, HENRY	ENSCO PLC NEW CLASS A ORD	B	80,778.60	0.00	0.00	0.00	80.0	0.00
09/26/2017	75501455	HACKEL, HENRY	SEADRILL LIMITED SHS	B	12,252.80	0.00	0.00	0.00	80.0	0.00
08/29/2017	QGW001018	GRAYMAN, EZRA	ENSCO PLC NEW CLASS A ORD	S	-23,125.00	10.00	0.00	10.00	80.0	8.00
08/30/2017	QGW001018	GRAYMAN, EZRA	ENSCO PLC NEW CLASS A ORD	B	22,000.00	10.00	0.00	10.00	80.0	8.00
09/05/2017	QGW001018	GRAYMAN, EZRA	ENSCO PLC NEW CLASS A ORD	S	-11,600.00	10.00	0.00	10.00	80.0	8.00
09/12/2017	QGW001018	GRAYMAN, EZRA	ENSCO PLC NEW CLASS A ORD	S	-23,500.00	10.00	0.00	10.00	80.0	8.00

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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>									
09/14/2017	QGW001018	GRAYMAN, EZRA							
		OPKO HEALTH INC	B	45,225.00	10.00	0.00	10.00	80.0	8.00
09/20/2017	QGW001018	GRAYMAN, EZRA							
		OPKO HEALTH INC	S	-31,000.00	10.00	0.00	10.00	80.0	8.00
09/25/2017	QGW001018	GRAYMAN, EZRA							
		ENSCO PLC NEW CLASS A ORD	B	39,375.00	10.00	0.00	10.00	80.0	8.00
09/08/2017	QGW001042	GRAYMAN, EZRA							
		SYNERGY PHARMACEUTICALS INC	B	13,850.00	10.00	0.00	10.00	80.0	8.00
09/13/2017	QGW001042	GRAYMAN, EZRA							
		ENSCO PLC NEW CLASS A ORD	S	-12,750.00	10.00	0.00	10.00	80.0	8.00
09/13/2017	QGW001042	GRAYMAN, EZRA							
		OPKO HEALTH INC	S	-16,225.00	10.00	0.00	10.00	80.0	8.00
09/20/2017	QGW001042	GRAYMAN, EZRA							
		ENSCO PLC NEW CLASS A ORD	S	-27,750.00	10.00	0.00	10.00	80.0	8.00
08/31/2017	QGW001166	KOONDEL							
		FORD MOTOR CO PAR \$0.01	S	-17,728.00	23.60	0.00	23.60	80.0	18.88
08/31/2017	QGW001166	KOONDEL							
		OPKO HEALTH INC	S	-8,960.00	21.90	0.00	21.90	80.0	17.52
09/01/2017	QGW001166	KOONDEL							
		ALLIQUA BIOMEDICAL INC COM NEW	S	-1,678.50	52.50	0.00	52.50	80.0	42.00
09/01/2017	QGW001166	KOONDEL							
		AMERIGAS PARTNERS LP UNITS LTD PART B		8,600.00	11.70	0.00	11.70	80.0	9.36
09/01/2017	QGW001166	KOONDEL							
		FORD MOTOR CO PAR \$0.01	S	-11,360.00	18.50	0.00	18.50	80.0	14.80
09/08/2017	QGW001166	KOONDEL							
		ALLIQUA BIOMEDICAL INC COM NEW	S	-905.10	35.50	0.00	35.50	80.0	28.40
09/11/2017	QGW001166	KOONDEL							
		APPLE HOSPITALITY REIT INC COM NEW	S	-5,595.00	12.55	0.00	12.55	80.0	10.04
09/11/2017	QGW001166	KOONDEL							
		FORD MOTOR CO PAR \$0.01	S	-11,440.00	18.50	0.00	18.50	80.0	14.80
09/12/2017	QGW001166	KOONDEL							
		FORD MOTOR CO PAR \$0.01	S	-11,590.00	18.50	0.00	18.50	80.0	14.80
09/15/2017	QGW001166	KOONDEL							
		APPLE HOSPITALITY REIT INC COM NEW	S	-5,649.30	12.55	0.00	12.55	80.0	10.04
09/20/2017	QGW001166	KOONDEL							
		ALLIQUA BIOMEDICAL INC COM NEW	S	-717.15	27.42	0.00	27.42	80.0	21.94
09/20/2017	QGW001166	KOONDEL							
		APPLE HOSPITALITY REIT INC COM NEW	S	-9,350.00	14.25	0.00	14.25	80.0	11.40
09/20/2017	QGW001166	KOONDEL							
		FORD MOTOR CO PAR \$0.01	S	-11,752.60	18.50	0.00	18.50	80.0	14.80
09/21/2017	QGW001166	KOONDEL							
		APPLE HOSPITALITY REIT INC COM NEW	S	-5,634.00	12.55	0.00	12.55	80.0	10.04
09/22/2017	QGW001166	KOONDEL							
		APPLE INC	B	77,500.00	14.25	0.00	14.25	80.0	11.40
09/25/2017	QGW001166	KOONDEL							
		APPLE HOSPITALITY REIT INC COM NEW	S	-3,745.02	11.70	0.00	11.70	80.0	9.36
09/27/2017	QGW001166	KOONDEL							
		APPLE HOSPITALITY REIT INC COM NEW	S	-5,634.99	12.55	0.00	12.55	80.0	10.04
09/27/2017	QGW001166	KOONDEL							
		LADENBURG THALMANN FINL SVCS	S	-283.00	10.85	0.00	10.85	80.0	8.68
09/27/2017	QGW001166	KOONDEL							
		LADENBURG THALMANN FINL SVCS	S	283.00	-10.85	0.00	-10.85	80.0	-8.68 C
09/20/2017	QGW001174	KOONDEL							
		LADENBURG THALMANN FINL SVCS	S	-828.00	12.55	0.00	12.55	80.0	10.04
09/27/2017	QGW001174	KOONDEL							
		LADENBURG THALMANN FINL SVCS	S	-283.00	10.85	0.00	10.85	80.0	8.68
09/27/2017	QGW001174	KOONDEL							
		LADENBURG THALMANN FINL SVCS	S	-566.00	11.70	0.00	11.70	80.0	9.36
09/27/2017	QGW001174	KOONDEL							
		LADENBURG THALMANN FINL SVCS	S	283.00	-10.85	0.00	-10.85	80.0	-8.68 C
09/15/2017	QGW001190	ASSOCIATES, BKI							
		ALPHABET INC CLASS C CAPITAL STOCK	S	-180,000.00	8.36	0.00	8.36	80.0	6.69
09/15/2017	QGW001190	ASSOCIATES, BKI							
		ALPHABET INC CLASS C CAPITAL STOCK	S	-90,000.00	10.85	0.00	10.85	80.0	8.68
09/15/2017	QGW001190	ASSOCIATES, BKI							
		ALPHABET INC CLASS C CAPITAL STOCK	B	176,000.00	11.70	0.00	11.70	80.0	9.36
08/29/2017	QGW001737	HEATH, KIMBERLY							
		ICAD INC COM NEW	B	1,749.95	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW001737	HEATH, KIMBERLY							
		RELM WIRELESS CORP COM	S	-4,200.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW001760	HEATH, KIMBERLY							
		RELM WIRELESS CORP COM	S	-4,200.00	20.00	0.00	20.00	80.0	16.00
09/11/2017	QGW001828	BRIMBERG BIOTECH							
		ASPEN GROUP INC COM NEW	S	-3,431.50	50.00	0.00	50.00	80.0	40.00
09/22/2017	QGW001828	BRIMBERG BIOTECH							
		EXELIXIS INC	S	-36,750.00	25.00	0.00	25.00	80.0	20.00
09/22/2017	QGW001828	BRIMBERG BIOTECH							
		EXELIXIS INC	B	75,549.90	50.00	0.00	50.00	80.0	40.00
09/20/2017	QGW004905	CAPRARO, DAVID							
		INTER PIPELINE LTD COM ISIN#CA45833 B		3,857.00	2.00	0.00	2.00	80.0	1.60

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
09/20/2017	QGW004905	CAPRARO, DAVID		INTER PIPELINE LTD COM ISIN#CA45833 B	1,928.50	1.00	0.00	1.00	0.80
09/20/2017	QGW004905	CAPRARO, DAVID		INTER PIPELINE LTD COM ISIN#CA45833 B	1,928.50	1.00	0.00	1.00	0.80
09/20/2017	QGW004905	CAPRARO, DAVID		INTER PIPELINE LTD COM ISIN#CA45833 B	1,928.50	1.00	0.00	1.00	0.80
09/20/2017	QGW004905	CAPRARO, DAVID		INTER PIPELINE LTD COM ISIN#CA45833 B	1,928.50	1.00	0.00	1.00	0.80
09/20/2017	QGW004905	CAPRARO, DAVID		MARTIN MIDSTREAM PARTNERS L P B	67,028.00	30.00	0.00	30.00	24.00
09/20/2017	QGW004905	CAPRARO, DAVID		MEDICAL PROPERTIES TRUST INC B	25,973.00	20.00	0.00	20.00	16.00
09/20/2017	QGW004905	CAPRARO, DAVID		MPLX LP COM UNIT REPSTG LTD PARTNER B	34,477.00	10.00	0.00	10.00	8.00
09/20/2017	QGW004905	CAPRARO, DAVID		OMEGA HEALTHCARE INVESTORS INC B	81,088.50	30.00	0.00	30.00	24.00
09/20/2017	QGW004905	CAPRARO, DAVID		PBF LOGISTICS LP UNIT LTD PARTNERSH B	84,000.00	40.00	0.00	40.00	32.00
09/21/2017	QGW004905	CAPRARO, DAVID		KINDRED HEALTHCARE INC COM B	93,693.00	150.00	0.00	150.00	120.00
09/26/2017	QGW004905	CAPRARO, DAVID		UNITI GROUP INC COMMON STOCK B	16,170.00	10.00	0.00	10.00	8.00
09/11/2017	QGW005407	JONAS TR, CHARLOTTE		APPLE INC B	9,769.15	50.00	0.00	50.00	40.00
09/07/2017	QGW005456	KISVER, SHERRY		BANK AMER CORP DEP SHS DIV-6.204% F B	5,173.40	30.00	0.00	30.00	24.00
09/08/2017	QGW005894	JT/WROS, MINNA		WALT DISNEY CO S	-9,727.10	80.73	0.00	80.73	64.58
09/06/2017	QGW007445	SMITH, GENE		MARRIOTT INTL INC NEW CL A B	25,650.00	100.00	0.00	100.00	80.00
08/29/2017	QGW009730	SHARTSIS, JAY		COTY INC COM CL A B	16,508.80	20.00	0.00	20.00	16.00
08/29/2017	QGW009730	SHARTSIS, JAY		TAHOE RES INC COM ISIN#CA8738681037 S	-8,481.00	20.00	0.00	20.00	16.00
08/30/2017	QGW009730	SHARTSIS, JAY		CHIPOTLE MEXICAN GRILL INC COMMON S S	-31,052.00	20.00	0.00	20.00	16.00
08/30/2017	QGW009730	SHARTSIS, JAY		COTY INC COM CL A S	-16,070.00	20.00	0.00	20.00	16.00
08/30/2017	QGW009730	SHARTSIS, JAY		TAHOE RES INC COM ISIN#CA8738681037 B	8,979.00	20.00	0.00	20.00	16.00
08/30/2017	QGW009730	SHARTSIS, JAY		WALT DISNEY CO B	103,108.40	20.00	0.00	20.00	16.00
08/31/2017	QGW009730	SHARTSIS, JAY		WALT DISNEY CO S	-102,840.00	20.00	0.00	20.00	16.00
09/01/2017	QGW009730	SHARTSIS, JAY		LULULEMON ATHLETICA INC S	-24,362.00	20.00	0.00	20.00	16.00
09/05/2017	QGW009730	SHARTSIS, JAY		LULULEMON ATHLETICA INC B	24,800.00	20.00	0.00	20.00	16.00
09/05/2017	QGW009730	SHARTSIS, JAY		PETMED EXPRESS INC COMMON STK B	36,855.90	20.00	0.00	20.00	16.00
09/06/2017	QGW009730	SHARTSIS, JAY		CREDIT SUISSE AG NASSAU BRH VELOCIT B	25,363.80	20.00	0.00	20.00	16.00
09/06/2017	QGW009730	SHARTSIS, JAY		POTASH CORP OF SASKATCHEWAN INC CAN B	44,247.25	20.00	0.00	20.00	16.00
09/07/2017	QGW009730	SHARTSIS, JAY		CREDIT SUISSE AG NASSAU BRH VELOCIT S	-25,488.60	20.00	0.00	20.00	16.00
09/07/2017	QGW009730	SHARTSIS, JAY		PETMED EXPRESS INC COMMON STK S	-36,941.00	20.00	0.00	20.00	16.00
09/07/2017	QGW009730	SHARTSIS, JAY		POTASH CORP OF SASKATCHEWAN INC CAN S	-44,601.50	20.00	0.00	20.00	16.00
09/08/2017	QGW009730	SHARTSIS, JAY		AMERICAN OUTDOOR BRANDS CORP COM B	7,255.00	20.00	0.00	20.00	16.00
09/08/2017	QGW009730	SHARTSIS, JAY		BEACON ROOFING SUPPLY INC S	-25,050.00	20.00	0.00	20.00	16.00
09/08/2017	QGW009730	SHARTSIS, JAY		DIREXION SHARES ETF TRUST DIREXION B	17,702.10	20.00	0.00	20.00	16.00
09/08/2017	QGW009730	SHARTSIS, JAY		TWENTY FIRST CENTURY FOX INC CLASS B	25,725.00	20.00	0.00	20.00	16.00
09/11/2017	QGW009730	SHARTSIS, JAY		AMERICAN OUTDOOR BRANDS CORP COM S	-7,255.80	20.00	0.00	20.00	16.00
09/11/2017	QGW009730	SHARTSIS, JAY		BEACON ROOFING SUPPLY INC B	24,003.25	20.00	0.00	20.00	16.00
09/12/2017	QGW009730	SHARTSIS, JAY		TWENTY FIRST CENTURY FOX INC CLASS S	-25,720.10	20.00	0.00	20.00	16.00
09/12/2017	QGW009730	SHARTSIS, JAY		XL GROUP LTD SHS ISIN#BMG982941046 S	-40,168.20	20.00	0.00	20.00	16.00
09/13/2017	QGW009730	SHARTSIS, JAY		SPDR SER TR S&P BIOTECH ETF S	-100,100.00	20.00	0.00	20.00	16.00
09/13/2017	QGW009730	SHARTSIS, JAY		XL GROUP LTD SHS ISIN#BMG982941046 B	20,257.00	20.00	0.00	20.00	16.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
09/14/2017	QGW009730	SHARTSIS, JAY	DIREXION SHS ETF TR DIREXION DAILY S	-26,800.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW009730	SHARTSIS, JAY	DIREXION SHARES ETF TRUST DIREXION S	-5,400.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW009730	SHARTSIS, JAY	PITNEY BOWES INC B	25,635.80	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW009730	SHARTSIS, JAY	SPDR SER TR S&P BIOTECH ETF B	107,939.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW009730	SHARTSIS, JAY	SPDR SER TR S&P BIOTECH ETF S	-15,400.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW009730	SHARTSIS, JAY	TRANSUNION COM B	17,283.88	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW009730	SHARTSIS, JAY	DIREXION SHARES ETF TRUST DIREXION S	-35,000.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW009730	SHARTSIS, JAY	DIREXION SHARES ETF TRUST DIREXION S	-12,600.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW009730	SHARTSIS, JAY	PROSHARES TR II PROSHARES SHORT VIX S	-70,000.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW009730	SHARTSIS, JAY	PROSHARES TR II PROSHARES SHORT VIX B	32,000.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW009730	SHARTSIS, JAY	WALT DISNEY CO B	103,000.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW009730	SHARTSIS, JAY	XL GROUP LTD SHS ISIN#BMG982941046 B	20,000.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW009730	SHARTSIS, JAY	PITNEY BOWES INC S	-25,756.80	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW009730	SHARTSIS, JAY	WALT DISNEY CO S	-98,330.00	20.00	0.00	20.00	80.0	16.00
09/19/2017	QGW009730	SHARTSIS, JAY	MCEWEN MINING INC B	8,760.00	20.00	0.00	20.00	80.0	16.00
09/19/2017	QGW009730	SHARTSIS, JAY	TWITTER INC B	26,653.95	20.00	0.00	20.00	80.0	16.00
09/20/2017	QGW009730	SHARTSIS, JAY	TRANSUNION COM S	-17,384.00	20.00	0.00	20.00	80.0	16.00
09/20/2017	QGW009730	SHARTSIS, JAY	TWITTER INC S	-17,770.00	20.00	0.00	20.00	80.0	16.00
09/21/2017	QGW009730	SHARTSIS, JAY	PITNEY BOWES INC B	26,295.00	20.00	0.00	20.00	80.0	16.00
09/21/2017	QGW009730	SHARTSIS, JAY	PROSHARES TR II VIX ST ETF B	24,073.00	20.00	0.00	20.00	80.0	16.00
09/21/2017	QGW009730	SHARTSIS, JAY	TRUECAR INC COM S	-40,050.00	20.00	0.00	20.00	80.0	16.00
09/21/2017	QGW009730	SHARTSIS, JAY	TRUECAR INC COM B	16,065.00	20.00	0.00	20.00	80.0	16.00
09/22/2017	QGW009730	SHARTSIS, JAY	TRUECAR INC COM B	23,289.00	20.00	0.00	20.00	80.0	16.00
09/25/2017	QGW009730	SHARTSIS, JAY	PITNEY BOWES INC S	-26,963.00	20.00	0.00	20.00	80.0	16.00
09/25/2017	QGW009730	SHARTSIS, JAY	PROSHARES TR PROSHARES ULTRAPRO SHO B	71,699.75	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW011975	RINGER, DENNIS	G-III APPAREL GROUP LTD S	-12,140.00	65.00	0.00	65.00	80.0	52.00
09/21/2017	QGW012718	DEPALMA, RALPH	MGM RESORTS INTL COM B	5,968.17	50.00	0.00	50.00	80.0	40.00
08/31/2017	QGW013104	GRASS, BRIAN	CAMPBELL SOUP CO B	4,776.60	20.00	0.00	20.00	80.0	16.00
08/31/2017	QGW013377	GRASS, PAUL	GENERAL ELECTRIC CO B	3,689.25	20.00	0.00	20.00	80.0	16.00
08/29/2017	QGW013484	HACKEL, DEBBIE	HIBBETT SPORTS INC COM S	-11,602.50	10.00	0.00	10.00	80.0	8.00
08/29/2017	QGW013484	HACKEL, DEBBIE	HIBBETT SPORTS INC COM B	22,800.00	10.00	0.00	10.00	80.0	8.00
08/30/2017	QGW013484	HACKEL, DEBBIE	LIBERTY TAX INC CL A S	-13,600.00	10.00	0.00	10.00	80.0	8.00
08/30/2017	QGW013484	HACKEL, DEBBIE	LIBERTY TAX INC CL A B	13,500.00	10.00	0.00	10.00	80.0	8.00
08/31/2017	QGW013484	HACKEL, DEBBIE	FINISAR CORP COM NEW S	-24,800.00	10.00	0.00	10.00	80.0	8.00
08/31/2017	QGW013484	HACKEL, DEBBIE	FINISAR CORP COM NEW B	24,536.00	10.00	0.00	10.00	80.0	8.00
08/31/2017	QGW013484	HACKEL, DEBBIE	FORTINET INC B	19,150.00	10.00	0.00	10.00	80.0	8.00
08/31/2017	QGW013484	HACKEL, DEBBIE	OCLARO INC COM NEW S	-21,194.00	10.00	0.00	10.00	80.0	8.00
08/31/2017	QGW013484	HACKEL, DEBBIE	OCLARO INC COM NEW B	20,999.50	10.00	0.00	10.00	80.0	8.00
09/01/2017	QGW013484	HACKEL, DEBBIE	FORTINET INC B	19,205.00	10.00	0.00	10.00	80.0	8.00
09/01/2017	QGW013484	HACKEL, DEBBIE	FORTINET INC S	-38,200.00	10.00	0.00	10.00	80.0	8.00

COMMISSION STATEMENT for HENRY HACKEL

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>									
09/06/2017	QGW013484 HACKEL, DEBBIE	FRANCESCAS HOLDINGS CORPORATION COM B		14,541.00	10.00	0.00	10.00	80.0	8.00
09/06/2017	QGW013484 HACKEL, DEBBIE	FRANCESCAS HOLDINGS CORPORATION COM S		-13,880.00	10.00	0.00	10.00	80.0	8.00
09/06/2017	QGW013484 HACKEL, DEBBIE	TRIPADVISOR INC COM	B	30,169.02	10.00	0.00	10.00	80.0	8.00
09/06/2017	QGW013484 HACKEL, DEBBIE	TRIPADVISOR INC COM	S	-30,464.00	10.00	0.00	10.00	80.0	8.00
09/07/2017	QGW013484 HACKEL, DEBBIE	APPLIED OPTOELECTRONICS INC COM	S	-28,010.40	10.00	0.00	10.00	80.0	8.00
09/07/2017	QGW013484 HACKEL, DEBBIE	APPLIED OPTOELECTRONICS INC COM	B	28,090.00	10.00	0.00	10.00	80.0	8.00
09/07/2017	QGW013484 HACKEL, DEBBIE	PIER ONE IMPORTS INC (DEL)	B	22,390.00	10.00	0.00	10.00	80.0	8.00
09/07/2017	QGW013484 HACKEL, DEBBIE	PIER ONE IMPORTS INC (DEL)	S	-21,991.00	10.00	0.00	10.00	80.0	8.00
09/07/2017	QGW013484 HACKEL, DEBBIE	STURM RUGER & CO INC	S	-46,300.00	10.00	0.00	10.00	80.0	8.00
09/08/2017	QGW013484 HACKEL, DEBBIE	STURM RUGER & CO INC	B	46,645.00	10.00	0.00	10.00	80.0	8.00
09/19/2017	QGW013484 HACKEL, DEBBIE	BED BATH & BEYOND INC	S	-23,251.00	10.00	0.00	10.00	80.0	8.00
09/19/2017	QGW013484 HACKEL, DEBBIE	MILLER HERMAN INC	S	-35,425.00	10.00	0.00	10.00	80.0	8.00
09/19/2017	QGW013484 HACKEL, DEBBIE	MILLER HERMAN INC	B	35,000.00	10.00	0.00	10.00	80.0	8.00
09/20/2017	QGW013484 HACKEL, DEBBIE	BED BATH & BEYOND INC	B	23,250.00	10.00	0.00	10.00	80.0	8.00
09/20/2017	QGW013484 HACKEL, DEBBIE	KELLOGG COMPANY	B	32,047.00	10.00	0.00	10.00	80.0	8.00
09/20/2017	QGW013484 HACKEL, DEBBIE	KELLOGG COMPANY	S	-32,478.00	10.00	0.00	10.00	80.0	8.00
09/22/2017	QGW013484 HACKEL, DEBBIE	AUTONATION INC DEL COM	S	-47,394.00	10.00	0.00	10.00	80.0	8.00
09/22/2017	QGW013484 HACKEL, DEBBIE	AUTONATION INC DEL COM	B	47,279.20	10.00	0.00	10.00	80.0	8.00
08/31/2017	QGW013609 WOLLOCH, PSP	CAMPBELL SOUP CO	B	470.63	20.00	0.00	20.00	80.0	16.00
08/29/2017	QGW014391 DARWISH, MENACHEM	SILVER SPRING NETWORKS INC COM	S	-62,750.00	35.00	0.00	35.00	80.0	28.00
09/15/2017	QGW016073 WOLLOCH, HELENE	TACTILE SYS TECHNOLOGY INC COM	B	3,575.00	15.00	0.00	15.00	80.0	12.00
08/30/2017	QGW020513 FORST, BARRY	KRAKEN SONAR INC SHS ISIN#CA50076Y1 B		630.00	20.00	0.00	20.00	80.0	16.00
09/21/2017	QGW020513 FORST, BARRY	KRAKEN SONAR INC SHS ISIN#CA50076Y1 B		745.00	20.00	0.00	20.00	80.0	16.00
09/25/2017	QGW020513 FORST, BARRY	KRAKEN ROBOTICS INC COM ISIN#CA5007 B		765.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW020539 FORST, SHERRIE	KRAKEN ROBOTICS INC COM ISIN#CA5007 B		577.50	7.00	0.00	7.00	80.0	5.60
09/26/2017	QGW020539 FORST, SHERRIE	KRAKEN ROBOTICS INC COM ISIN#CA5007 B		82.50	1.00	0.00	1.00	80.0	0.80
09/26/2017	QGW020539 FORST, SHERRIE	KRAKEN ROBOTICS INC COM ISIN#CA5007 B		990.00	12.00	0.00	12.00	80.0	9.60
08/31/2017	QGW020679 GRASS, ELAINE	CAMPBELL SOUP CO	B	4,714.25	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW021156 SIEGEL, STUART	FORD MOTOR CO PAR \$0.01	S	-4,536.64	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW021156 SIEGEL, STUART	BRISTOL MYERS SQUIBB CO	S	-11,986.60	20.00	0.00	20.00	80.0	16.00
09/11/2017	QGW021156 SIEGEL, STUART	MYND ANALYTICS INC COMMON STOCK	B	1,575.12	20.00	0.00	20.00	80.0	16.00
09/12/2017	QGW021156 SIEGEL, STUART	CARLYLE GROUP L P COM UNITS REPSTG	B	8,730.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW021156 SIEGEL, STUART	CARLYLE GROUP L P COM UNITS REPSTG	S	-9,520.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW021263 KOLENIK, PATRICK	LEGACY ED ALLIANCE INC COM	B	840.00	40.00	0.00	40.00	80.0	32.00
09/15/2017	QGW021743 HANNIGAN, PAMELA	FIRST DATA CORP NEW COM CL A	S	-7,625.10	50.00	0.00	50.00	80.0	40.00
09/07/2017	QGW023731 REILLY, DAVID	APPLE INC	S	-16,188.18	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW024010 MCLAUGHLIN, JEFFREY	PEOPLES UTD FINL INC	B	4,916.97	92.68	0.00	92.68	80.0	74.14
09/05/2017	QGW029019 SHARTSIS, JAY	EMERGE ENERGY SVCS LP COM UNIT REPS B		13,946.60	20.00	0.00	20.00	80.0	16.00
09/07/2017	QGW029019 SHARTSIS, JAY	EROS INTERNATIONAL PLC A ORDINARY S B		5,922.50	20.00	0.00	20.00	80.0	16.00
09/11/2017	QGW029019 SHARTSIS, JAY	XOMA CORP DEL COM NEW	S	-427.86	20.00	0.00	20.00	80.0	16.00

COMMISSION STATEMENT for HENRY HACKEL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
09/13/2017	QGW029019	SHARTSIS, JAY		EROS INTERNATIONAL PLC A ORDINARY S S	-6,650.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW029019	SHARTSIS, JAY		EMERGE ENERGY SVCS LP COM UNIT REPS S	-2,800.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW029019	SHARTSIS, JAY		EMERGE ENERGY SVCS LP COM UNIT REPS S	-11,200.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW029019	SHARTSIS, JAY		PROSHARES TR II PROSHARES SHORT VIX S	-70,000.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW029019	SHARTSIS, JAY		PROSHARES TR II PROSHARES SHORT VIX B	24,000.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW029019	SHARTSIS, JAY		AXOVANT SCIENCES LTD COM ISIN#BMG07 B	3,489.90	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW029019	SHARTSIS, JAY		HIMAX TECHNOLOGIES INC SPONS ADR B	24,555.50	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW029019	SHARTSIS, JAY		HIMAX TECHNOLOGIES INC SPONS ADR S	-24,925.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW030298	CHERNOFF, GLENN		EASTMAN CHEMICAL CO B	34,796.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW030298	CHERNOFF, GLENN		EASTMAN CHEMICAL CO S	-34,069.36	20.00	0.00	20.00	80.0	16.00
09/12/2017	QGW030298	CHERNOFF, GLENN		PRA HEALTH SCIENCES INC COM S	-23,048.19	20.00	0.00	20.00	80.0	16.00
09/20/2017	QGW030298	CHERNOFF, GLENN		TOPBUILD CORP COM B	30,349.95	20.00	0.00	20.00	80.0	16.00
09/21/2017	QGW030298	CHERNOFF, GLENN		HUDSON TECHNOLOGIES INC S	-27,139.80	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW030298	CHERNOFF, GLENN		CARPENTER TECHNOLOGY B	18,652.00	20.00	0.00	20.00	80.0	16.00
08/31/2017	QGW030629	BEGLEY, MICHAEL		DIREXION SHS ETF TR DIREXION DAILY S	-9,781.25	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW030629	BEGLEY, MICHAEL		UNITED STATES STL CORP NEW S	-6,937.50	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW030728	RUDOLPH, MARTIN		DIREXION SHS ETF TR DAILY JR GOLD M S	-23,935.20	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW030728	RUDOLPH, MARTIN		DIREXION SHS ETF TR DAILY JR GOLD M B	23,698.60	20.00	0.00	20.00	80.0	16.00
09/11/2017	QGW030728	RUDOLPH, MARTIN		DIREXION SHS ETF TR DAILY JR GOLD M B	11,468.30	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW030728	RUDOLPH, MARTIN		SKYWEST INC S	-35,000.00	20.00	0.00	20.00	80.0	16.00
08/31/2017	QGW030744	RUDOLPH, CAROL		MOMO INC ADR B	3,744.00	20.00	0.00	20.00	80.0	16.00
08/30/2017	QGW031049	WINNICK, CHARLES		TEVA PHARMACEUTICAL INDUSTRIES LIM S	-76,750.00	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW031049	WINNICK, CHARLES		EMBASSY BANCORP INC B	1,480.00	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW031049	WINNICK, CHARLES		PACIFIC COMM BANCORP COM STOCK B	13,500.00	20.00	0.00	20.00	80.0	16.00
09/07/2017	QGW031049	WINNICK, CHARLES		FNB BANCORP CALIF COM B	63,565.80	20.00	0.00	20.00	80.0	16.00
09/08/2017	QGW031049	WINNICK, CHARLES		RADIAN GROUP INC COM B	52,920.00	20.00	0.00	20.00	80.0	16.00
09/08/2017	QGW031049	WINNICK, CHARLES		RADIAN GROUP INC COM B	-52,920.00	-20.00	0.00	-20.00	80.0	-16.00 C
09/08/2017	QGW031049	WINNICK, CHARLES		RADIAN GROUP INC COM B	64,920.00	20.00	0.00	20.00	80.0	16.00
09/12/2017	QGW031049	WINNICK, CHARLES		ELLIS PERRY INTERNATIONAL INC S	-88,027.33	20.00	0.00	20.00	80.0	16.00
09/13/2017	QGW031049	WINNICK, CHARLES		ELLIS PERRY INTERNATIONAL INC S	-22,496.80	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW031049	WINNICK, CHARLES		CALLON PETROLEUM CO-DEL S	-26,750.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW031049	WINNICK, CHARLES		ELLIS PERRY INTERNATIONAL INC S	-55,210.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW031049	WINNICK, CHARLES		PBF ENERGY INC CL A S	-230,000.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW031049	WINNICK, CHARLES		PDC ENERGY INC COM S	-130,022.40	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW031049	WINNICK, CHARLES		PERMANENT TSB GROUP HOLDINGS PLC SH B	16,784.00	16.81	0.00	16.81	80.0	13.45
09/18/2017	QGW031049	WINNICK, CHARLES		POLARCUS LTD C/A EFF 6/05/17 1 OLD/ B	2,256.00	20.00	0.00	20.00	80.0	16.00
09/22/2017	QGW031049	WINNICK, CHARLES		EURO CURRENCY B	-16,969.90	42.43	0.00	42.43	80.0	33.94
09/25/2017	QGW031049	WINNICK, CHARLES		RADIAN GROUP INC COM S	-70,680.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW031049	WINNICK, CHARLES		PDC ENERGY INC COM S	-147,881.70	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW031049	WINNICK, CHARLES		PROPETRO HLDG CORP COM S	-62,847.00	20.00	0.00	20.00	80.0	16.00

COMMISSION STATEMENT for HENRY HACKEL

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>									
09/27/2017	QGW031049	WINNICK, CHARLES		PROPETRO HLDG CORP COM	S	-63,023.40	20.00	0.00	20.00 80.0 16.00
09/20/2017	QGW033482	CASALE, MARCO		HEALTHWAREHOUSE COM COM NEW	S	-4,125.00	20.00	0.00	20.00 80.0 16.00
09/22/2017	QGW033482	CASALE, MARCO		VIPSHOP HLDGS LTD SPONS ADR ISIN#US B		3,742.60	20.00	0.00	20.00 80.0 16.00
09/18/2017	QGW033516	CUSTODIAN, MARISA		CALPINE CORPORATION	S	-4,414.71	20.00	0.00	20.00 80.0 16.00
09/22/2017	QGW033516	CUSTODIAN, MARISA		VIPSHOP HLDGS LTD SPONS ADR ISIN#US B		4,673.60	20.00	0.00	20.00 80.0 16.00
09/27/2017	QGW035024	PEDROZA, DAVID		BIONIK LABORATORIES CORP	S	-2,400.00	10.00	0.00	10.00 80.0 8.00
09/27/2017	QGW035024	PEDROZA, DAVID		COMSCORE INC COM	S	-53,675.00	10.00	0.00	10.00 80.0 8.00
09/27/2017	QGW035024	PEDROZA, DAVID		COMSCORE INC COM	S	53,675.00	-10.00	0.00	-10.00 80.0 -8.00 C
09/27/2017	QGW035024	PEDROZA, DAVID		COMSCORE INC COM	S	-46,725.50	10.00	0.00	10.00 80.0 8.00
09/22/2017	QGW036410	BELZ, KATHLEEN		TRANSOCEAN LTD US LISTED	S	-27,000.00	20.00	0.00	20.00 80.0 16.00
09/15/2017	QGW036436	BELZ, KATHLEEN		OPKO HEALTH INC	B	17,400.00	20.00	0.00	20.00 80.0 16.00
09/15/2017	QGW036436	BELZ, KATHLEEN		TRANSOCEAN LTD US LISTED	S	-25,500.00	20.00	0.00	20.00 80.0 16.00
09/15/2017	QGW036436	BELZ, KATHLEEN		TWITTER INC	S	-113,750.00	20.00	0.00	20.00 80.0 16.00
08/31/2017	QGW036451	BELZ, RICHARD		AUTONATION INC DEL COM	B	66,390.00	20.00	0.00	20.00 80.0 16.00
09/15/2017	QGW036451	BELZ, RICHARD		AUTONATION INC DEL COM	S	-69,000.00	20.00	0.00	20.00 80.0 16.00
09/15/2017	QGW036451	BELZ, RICHARD		OLLIES BARGAIN OUTLET HLDGS INC COM	S	-45,000.00	20.00	0.00	20.00 80.0 16.00
09/25/2017	QGW036451	BELZ, RICHARD		TRUPANION INC COM	B	72,310.50	20.00	0.00	20.00 80.0 16.00
09/07/2017	QGW036550	FATTORUSO, PHYLLIS		DINEEQUITY INC	S	-7,800.40	20.00	0.00	20.00 80.0 16.00
09/21/2017	QGW036634	KEHOE -, JOANNE		STRATEGIC ENVIRONMENTAL & ENERGY RE S		-100.32	1.01	0.00	1.01 80.0 0.81
09/26/2017	QGW036634	KEHOE -, JOANNE		STRATEGIC ENVIRONMENTAL & ENERGY RE S		-1,936.64	20.00	0.00	20.00 80.0 16.00
09/11/2017	QGW036659	SHARTSIS, JAY		TAHOE RES INC COM ISIN#CA8738681037 S		-19,560.00	20.00	0.00	20.00 80.0 16.00
09/08/2017	QGW036840	MURPHY, DENNIS		APPLE INC	B	7,985.50	35.00	0.00	35.00 80.0 28.00
09/08/2017	QGW036840	MURPHY, DENNIS		BANK AMER CORP DEP SHS DIV-6.204% F B		12,918.50	40.00	0.00	40.00 80.0 32.00
09/08/2017	QGW036840	MURPHY, DENNIS		CAMPBELL SOUP CO	B	4,785.99	35.00	0.00	35.00 80.0 28.00
09/08/2017	QGW036840	MURPHY, DENNIS		WALT DISNEY CO	B	4,844.75	35.00	0.00	35.00 80.0 28.00
09/08/2017	QGW036857	MURPHY, MARYLUISE		APPLE INC	B	7,983.50	35.00	0.00	35.00 80.0 28.00
09/08/2017	QGW036857	MURPHY, MARYLUISE		BANK AMER CORP DEP SHS DIV-6.204% F B		12,919.40	40.00	0.00	40.00 80.0 32.00
09/08/2017	QGW036857	MURPHY, MARYLUISE		CAMPBELL SOUP CO	B	4,782.99	35.00	0.00	35.00 80.0 28.00
09/08/2017	QGW036857	MURPHY, MARYLUISE		WALT DISNEY CO	B	4,843.50	35.00	0.00	35.00 80.0 28.00
09/27/2017	QGW036972	PEDROZA, DAVID		COMSCORE INC COM	S	-6,949.50	10.00	0.00	10.00 80.0 8.00
08/29/2017	QGW037350	HEIBER, JENNIFER		AK STEEL HOLDING CORP	S	-139.00	20.00	0.00	20.00 80.0 16.00
08/29/2017	QGW037368	HEIBER, JENNIFER		AK STEEL HOLDING CORP	S	-222,412.00	20.00	0.00	20.00 80.0 16.00
08/29/2017	QGW037368	HEIBER, JENNIFER		IMPINJ INC COM	B	181,390.00	20.00	0.00	20.00 80.0 16.00
08/31/2017	QGW037368	HEIBER, JENNIFER		INOVIO PHARMACEUTICALS INC COM	B	2,987.05	100.00	0.00	100.00 80.0 80.00
09/06/2017	QGW037368	HEIBER, JENNIFER		MARTIN MARIETTA MATLS INC	B	208,799.90	20.00	0.00	20.00 80.0 16.00
09/06/2017	QGW037368	HEIBER, JENNIFER		USG CORP (NEW) COMMON STOCK	S	-79,753.00	20.00	0.00	20.00 80.0 16.00
09/06/2017	QGW037368	HEIBER, JENNIFER		USG CORP (NEW) COMMON STOCK	B	78,500.00	20.00	0.00	20.00 80.0 16.00
09/07/2017	QGW037368	HEIBER, JENNIFER		USG CORP (NEW) COMMON STOCK	B	16,150.00	20.00	0.00	20.00 80.0 16.00
09/08/2017	QGW037368	HEIBER, JENNIFER		MARTIN MARIETTA MATLS INC	S	-212,000.00	20.00	0.00	20.00 80.0 16.00
09/08/2017	QGW037368	HEIBER, JENNIFER		USG CORP (NEW) COMMON STOCK	B	162,000.00	20.00	0.00	20.00 80.0 16.00

COMMISSION STATEMENT for HENRY HACKEL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: STOCKS											
09/11/2017	QGW037368	HEIBER, JENNIFER		IMPINJ INC COM	S	-60,536.00	20.00	0.00	20.00	80.0	16.00
09/11/2017	QGW037368	HEIBER, JENNIFER		USG CORP (NEW) COMMON STOCK	B	153,750.00	20.00	0.00	20.00	80.0	16.00
09/12/2017	QGW037368	HEIBER, JENNIFER		IMPINJ INC COM	S	-96,197.50	25.00	0.00	25.00	80.0	20.00
09/12/2017	QGW037368	HEIBER, JENNIFER		SNAP INC CLASS A COMMON STOCK	S	-152,000.00	20.00	0.00	20.00	80.0	16.00
09/12/2017	QGW037368	HEIBER, JENNIFER		UQM TECHNOLOGIES INC COM	B	9,396.00	25.00	0.00	25.00	80.0	20.00
09/14/2017	QGW037368	HEIBER, JENNIFER		22ND CENTY GROUP INC COM	B	15,450.00	25.00	0.00	25.00	80.0	20.00
09/20/2017	QGW037368	HEIBER, JENNIFER		BEST INC SPONS ADR ISIN# US08653C10	B	56,750.00	25.00	0.00	25.00	80.0	20.00
09/20/2017	QGW037368	HEIBER, JENNIFER		DELMAR PHARMACEUTICALS INC COM	B	30,499.50	25.00	0.00	25.00	80.0	20.00
09/20/2017	QGW037368	HEIBER, JENNIFER		KINERJAPAY CORP COM	B	1,500.00	25.00	0.00	25.00	80.0	20.00
09/25/2017	QGW037368	HEIBER, JENNIFER		BEST INC SPONS ADR ISIN# US08653C10	S	-63,250.00	20.00	0.00	20.00	80.0	16.00
09/25/2017	QGW037368	HEIBER, JENNIFER		BEST INC SPONS ADR ISIN# US08653C10	B	64,998.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW037368	HEIBER, JENNIFER		BEST INC SPONS ADR ISIN# US08653C10	B	63,250.00	25.00	0.00	25.00	80.0	20.00
09/26/2017	QGW037368	HEIBER, JENNIFER		PROSHARES TRUST II PROSHARES ULTRA	B	113,585.00	25.00	0.00	25.00	80.0	20.00
09/15/2017	QGW038309	HIEBER & JEAN F		FRONTIER COMMUNICATIONS CORPORATION	S	-343.00	50.00	0.00	50.00	80.0	40.00
* STOCKS SUBTOTAL *						\$-456,605.62	\$5,376.84	\$0.00	\$5,376.84		\$4,301.47
PRODUCT CATEGORY: BONDS											
09/14/2017	QGW004863	CARROLL, DAVID		UNITED STATES TREASURY BILL	B	110,126.57	111.00	0.00	111.00	80.0	88.80
* BONDS SUBTOTAL *						\$110,126.57	\$111.00	\$0.00	\$111.00		\$88.80
PRODUCT CATEGORY: OPTIONS											
09/18/2017	75500426	MIGLIORATO, DOMENICK	CALL SPY 11/17/17 252	B	5,140.00	80.00	0.00	80.00	80.0	64.00	
09/18/2017	75500426	MIGLIORATO, DOMENICK	CALL SPY 01/20/17 222	B	1,305.00	50.00	0.00	50.00	80.0	40.00	
09/18/2017	75500426	MIGLIORATO, DOMENICK	CALL SPY 11/17/17 252	S	1,960.00	80.00	0.00	80.00	80.0	64.00	
08/31/2017	QGW001166	KOONDEL	CALL 100 ALPHABET INC CL C EXP 09-0	S	-5,322.03	15.95	0.00	15.95	80.0	12.76	
08/31/2017	QGW001166	KOONDEL	CALL 100 ALPHABET INC CL C EXP 09-0	B	2,285.99	15.95	0.00	15.95	80.0	12.76	
09/05/2017	QGW001166	KOONDEL	CALL 100 APPLE INC COM EXP 02-16-18	B	12,504.01	24.45	0.00	24.45	80.0	19.56	
09/05/2017	QGW001166	KOONDEL	CALL 100 APPLE INC COM EXP 02-16-18	S	-9,574.06	24.45	0.00	24.45	80.0	19.56	
09/05/2017	QGW001166	KOONDEL	CALL 100 BANK AMER CORP COM EXP 04-	B	3,186.04	54.20	0.00	54.20	80.0	43.36	
09/06/2017	QGW001166	KOONDEL	PUT 100 APPLE INC COM EXP 01-19-18@	B	720.00	78.00	0.00	78.00	80.0	62.40	
09/06/2017	QGW001166	KOONDEL	PUT 100 APPLE INC COM EXP 01-19-18@	S	-240.00	44.00	0.00	44.00	80.0	35.20	
09/06/2017	QGW001166	KOONDEL	PUT 100 APPLE INC COM EXP 01-19-18@	S	-160.00	44.00	0.00	44.00	80.0	35.20	
09/07/2017	QGW001166	KOONDEL	CALL 100 BANK AMER CORP COM EXP 04-	B	3,216.18	66.10	0.00	66.10	80.0	52.88	
09/11/2017	QGW001166	KOONDEL	CALL 100 APPLE INC COM EXP 10-20-17	S	-7,448.00	16.80	0.00	16.80	80.0	13.44	
09/11/2017	QGW001166	KOONDEL	CALL 100 APPLE INC COM EXP 10-20-17	B	4,800.00	16.80	0.00	16.80	80.0	13.44	
09/11/2017	QGW001166	KOONDEL	CALL 100 ALPHABET INC CL C EXP 04-2	B	16,366.00	13.40	0.00	13.40	80.0	10.72	
09/11/2017	QGW001166	KOONDEL	CALL 100 ALPHABET INC CL C EXP 04-2	S	-20,154.00	15.10	0.00	15.10	80.0	12.08	
09/11/2017	QGW001166	KOONDEL	PUT 100 APPLE INC COM EXP 01-19-18@	B	560.00	44.00	0.00	44.00	80.0	35.20	
09/11/2017	QGW001166	KOONDEL	PUT 100 APPLE INC COM EXP 01-19-18@	S	-480.00	44.00	0.00	44.00	80.0	35.20	
09/13/2017	QGW001166	KOONDEL	CALL 100 BANK AMER CORP COM EXP 10-	S	-975.00	31.25	0.00	31.25	80.0	25.00	

COMMISSION STATEMENT for HENRY HACKEL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
09/13/2017	QGW001166 KOONDEL	CALL 100 BANK AMER CORP COM EXP 10- S		-850.00	31.25	0.00	31.25	80.0	25.00
09/15/2017	QGW001166 KOONDEL	CALL 100 APPLE INC COM EXP 09-22-17 S		-150.00	14.25	0.00	14.25	80.0	11.40
09/15/2017	QGW001166 KOONDEL	CALL 100 APPLE INC COM EXP 09-29-17 S		-200.00	14.25	0.00	14.25	80.0	11.40
09/15/2017	QGW001166 KOONDEL	PUT 100 APPLE INC COM EXP 09-22-17@ S		-170.00	14.25	0.00	14.25	80.0	11.40
09/15/2017	QGW001166 KOONDEL	PUT 100 APPLE INC COM EXP 09-29-17@ S		-190.00	14.25	0.00	14.25	80.0	11.40
09/25/2017	QGW001166 KOONDEL	CALL 100 APPLE INC COM EXP 02-16-18 B		6,240.93	26.15	0.00	26.15	80.0	20.92
09/25/2017	QGW001166 KOONDEL	CALL 100 APPLE INC COM EXP 02-16-18 S		-4,564.94	26.15	0.00	26.15	80.0	20.92
09/25/2017	QGW001166 KOONDEL	CALL 100 APPLE INC COM EXP 04-20-18 B		9,606.08	23.60	0.00	23.60	80.0	18.88
09/25/2017	QGW001166 KOONDEL	CALL 100 APPLE INC COM EXP 04-20-18 S		-7,492.96	23.60	0.00	23.60	80.0	18.88
09/27/2017	QGW001166 KOONDEL	CALL 100 BANK AMER CORP COM EXP 10- B		1,775.00	31.25	0.00	31.25	80.0	25.00
09/27/2017	QGW001166 KOONDEL	CALL 100 BANK AMER CORP COM EXP 10- S		-2,150.00	31.25	0.00	31.25	80.0	25.00
09/28/2017	QGW001166 KOONDEL	CALL 100 BANK AMER CORP COM EXP 10- B		2,125.00	31.25	0.00	31.25	80.0	25.00
09/28/2017	QGW001166 KOONDEL	CALL 100 BANK OF AMERICA CORPORATIO S		-2,500.00	31.25	0.00	31.25	80.0	25.00
09/28/2017	QGW001166 KOONDEL	PUT 100 APPLE INC COM EXP 01-19-18@ B		400.00	44.00	0.00	44.00	80.0	35.20
09/28/2017	QGW001166 KOONDEL	PUT 100 APPLE INC COM EXP 01-19-18@ S		-280.00	44.00	0.00	44.00	80.0	35.20
09/14/2017	QGW001828 BRIMBERG BIOTECH	CALL 100 EXELIXIS INC COM EXP 10-20 S		-1,300.00	200.00	0.00	200.00	80.0	160.00
09/07/2017	QGW004863 CARROLL, DAVID	CALL 100 BANK AMER CORP COM EXP 12- S		-731.00	50.00	0.00	50.00	80.0	40.00
09/07/2017	QGW004863 CARROLL, DAVID	PUT 100 BANK AMER CORP COM EXP 12-1 S		-3,111.00	50.00	0.00	50.00	80.0	40.00
09/07/2017	QGW004863 CARROLL, DAVID	PUT 100 BANK AMER CORP COM EXP 09-1 B		1,955.00	50.00	0.00	50.00	80.0	40.00
09/19/2017	QGW004863 CARROLL, DAVID	PUT 100 SPDR S&P 500 ETF TR TR UNIT S		-1,428.00	50.00	0.00	50.00	80.0	40.00
09/08/2017	QGW005894 JT/WROS, MINNA	CALL 100 DISNEY WALT CO DISNEY COM S		-3,204.00	95.52	0.00	95.52	80.0	76.42
09/08/2017	QGW005894 JT/WROS, MINNA	PUT 100 DISNEY WALT CO DISNEY COM E B		3,120.00	94.69	0.00	94.69	80.0	75.75
09/11/2017	QGW006371 TRAN, SCOTT	CALL 100 S & P 100 INDEX OPTIONS OE S		-3,600.00	50.00	0.00	50.00	80.0	40.00
09/11/2017	QGW006371 TRAN, SCOTT	CALL 100 S & P 100 INDEX OPTIONS OE B		2,500.00	50.00	0.00	50.00	80.0	40.00
08/31/2017	QGW009730 SHARTSIS, JAY	CALL 100 DISNEY WALT CO DISNEY COM S		-1,140.00	20.00	0.00	20.00	80.0	16.00
08/31/2017	QGW009730 SHARTSIS, JAY	CALL 100 LULULEMON ATHLETICA INC CO B		6,780.00	20.00	0.00	20.00	80.0	16.00
08/31/2017	QGW009730 SHARTSIS, JAY	CALL 100 LULULEMON ATHLETICA INC CO S		-1,800.00	20.00	0.00	20.00	80.0	16.00
08/31/2017	QGW009730 SHARTSIS, JAY	PUT 100 DISNEY WALT CO DISNEY COM E B		1,460.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW009730 SHARTSIS, JAY	CALL 100 AMAZON COM INC EXP 09-15-1 B		909.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW009730 SHARTSIS, JAY	CALL 100 BOEING CO COM EXP 09-15-17 B		2,683.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW009730 SHARTSIS, JAY	CALL 100 DISNEY WALT CO DISNEY COM B		764.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW009730 SHARTSIS, JAY	CALL 100 LULULEMON ATHLETICA INC CO B		1,597.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW009730 SHARTSIS, JAY	PUT 100 BAIDU COM INC SPONS ADR REP S		-1,558.00	20.00	0.00	20.00	80.0	16.00
09/05/2017	QGW009730 SHARTSIS, JAY	PUT 100 CHIPOTLE MEXICAN GRILL INC B		870.00	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW009730 SHARTSIS, JAY	CALL 100 DEVON ENERGY CORP NEW COM S		-4,500.00	20.00	0.00	20.00	80.0	16.00
09/07/2017	QGW009730 SHARTSIS, JAY	PUT 100 DISNEY WALT CO DISNEY COM E S		-625.00	20.00	0.00	20.00	80.0	16.00
09/11/2017	QGW009730 SHARTSIS, JAY	CALL 100 TAHOE RES INC COM ISIN#CA8 S		-1,650.00	20.00	0.00	20.00	80.0	16.00
09/11/2017	QGW009730 SHARTSIS, JAY	PUT 100 ISHARES INC MSCI BRAZIL CAP B		3,600.00	20.00	0.00	20.00	80.0	16.00
09/12/2017	QGW009730 SHARTSIS, JAY	CALL 100 ISHARES INC MSCI BRAZIL CA S		-2,190.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW009730 SHARTSIS, JAY	CALL 100 ISHARES INC MSCI BRAZIL CA B		1,554.00	20.00	0.00	20.00	80.0	16.00

COMMISSION STATEMENT for HENRY HACKEL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: OPTIONS										
09/15/2017	QGW009730	SHARTSIS, JAY	CALL 100	RESOLUTE ENERGY CORP COM N S	-450.00	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW009730	SHARTSIS, JAY	PUT 100	DISNEY WALT CO DISNEY COM E B	2,210.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW009730	SHARTSIS, JAY	CALL 100	APPLE INC COM EXP 10-20-17 S	-2,960.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW009730	SHARTSIS, JAY	CALL 100	APPLE INC COM EXP 10-20-17 B	1,410.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW009730	SHARTSIS, JAY	CALL 100	TWITTER INC COM EXP 10-20- S	-2,220.00	20.00	0.00	20.00	80.0	16.00
09/22/2017	QGW009730	SHARTSIS, JAY	CALL 100	PROSHARES TR II VIX ST ETF S	525.00	-20.00	0.00	-20.00	80.0	-16.00 C
09/22/2017	QGW009730	SHARTSIS, JAY	CALL 100	PROSHARES TR II VIX ST ETF S	-525.00	20.00	0.00	20.00	80.0	16.00
09/25/2017	QGW009730	SHARTSIS, JAY	CALL 100	DISNEY WALT CO DISNEY COM B	1,680.00	20.00	0.00	20.00	80.0	16.00
09/25/2017	QGW009730	SHARTSIS, JAY	CALL 100	PROSHARES TR ULTRAPRO SHOR S	-2,073.00	20.00	0.00	20.00	80.0	16.00
09/25/2017	QGW009730	SHARTSIS, JAY	PUT 100	ISHARES INC MSCI BRAZIL CAP S	-690.00	20.00	0.00	20.00	80.0	16.00
09/27/2017	QGW009730	SHARTSIS, JAY	CALL 100	BASIC ENERGY SVCS INC NEW S	-425.00	20.00	0.00	20.00	80.0	16.00
09/27/2017	QGW009730	SHARTSIS, JAY	CALL 100	DISNEY WALT CO DISNEY COM S	-765.00	20.00	0.00	20.00	80.0	16.00
08/31/2017	QGW014391	DARWISH, MENACHEM	CALL 100	GENERAL ELECTRIC CO COM EX B	23,450.00	35.00	0.00	35.00	80.0	28.00
09/01/2017	QGW014391	DARWISH, MENACHEM	CALL 100	UNITED CONTL HLDGS INC COM B	2,070.00	2.34	0.00	2.34	80.0	1.87
09/01/2017	QGW014391	DARWISH, MENACHEM	CALL 100	UNITED CONTL HLDGS INC COM B	28,700.00	32.66	0.00	32.66	80.0	26.13
09/06/2017	QGW021156	SIEGEL, STUART	CALL 100	BRISTOL MYERS SQUIBB CO CO B	577.78	20.00	0.00	20.00	80.0	16.00
09/15/2017	QGW021743	HANNIGAN, PAMELA	CALL 100	CHEVRON CORP NEW COM EXP 1 B	7,217.00	50.00	0.00	50.00	80.0	40.00
09/06/2017	QGW029019	SHARTSIS, JAY	CALL 100	EMERGE ENERGY SVCS LP COM S	-540.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW029019	SHARTSIS, JAY	CALL 100	MACYS INC COM EXP 10-20-17 B	2,225.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW029019	SHARTSIS, JAY	CALL 100	RED HAT INC COM EXP 10-20- S	-2,026.00	20.00	0.00	20.00	80.0	16.00
09/27/2017	QGW029019	SHARTSIS, JAY	CALL 100	MACYS INC COM EXP 10-20-17 S	-2,475.00	20.00	0.00	20.00	80.0	16.00
09/07/2017	QGW030629	BEGLEY, MICHAEL	CALL 100	HOME DEPOT INC COM EXP 02- B	1,550.00	20.00	0.00	20.00	80.0	16.00
09/12/2017	QGW030629	BEGLEY, MICHAEL	CALL 100	ALIBABA GROUP HLDG LTD SPO B	1,500.00	20.00	0.00	20.00	80.0	16.00
09/13/2017	QGW030629	BEGLEY, MICHAEL	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-2,600.00	20.00	0.00	20.00	80.0	16.00
09/20/2017	QGW030629	BEGLEY, MICHAEL	CALL 100	ALIBABA GROUP HLDG LTD SPO B	1,300.00	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW030702	RUDOLPH, MARTIN	CALL 100	TAHOE RES INC COM ISIN#CA8 S	-410.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW030702	RUDOLPH, MARTIN	CALL 100	DIREXION SHS ETF TR DAILY S	-462.00	20.00	0.00	20.00	80.0	16.00
09/07/2017	QGW030728	RUDOLPH, MARTIN	CALL 100	DIREXION SHS ETF TR DAILY S	-620.00	20.00	0.00	20.00	80.0	16.00
09/08/2017	QGW030728	RUDOLPH, MARTIN	CALL 100	DIREXION SHS ETF TR DAILY B	380.00	20.00	0.00	20.00	80.0	16.00
09/19/2017	QGW030728	RUDOLPH, MARTIN	PUT 100	PHILIP MORRIS INTL INC COM S	-1,200.00	20.00	0.00	20.00	80.0	16.00
09/20/2017	QGW030728	RUDOLPH, MARTIN	CALL 100	DIREXION SHS ETF TR DAILY S	-370.00	20.00	0.00	20.00	80.0	16.00
09/27/2017	QGW030728	RUDOLPH, MARTIN	CALL 100	ENCANA CORP COM SHS ISIN#C S	-1,180.00	20.00	0.00	20.00	80.0	16.00
09/27/2017	QGW030728	RUDOLPH, MARTIN	PUT 100	ENCANA CORP COM SHS ISIN#CA B	1,550.00	20.00	0.00	20.00	80.0	16.00
09/27/2017	QGW030728	RUDOLPH, MARTIN	PUT 100	ENCANA CORP COM SHS ISIN#CA S	-1,530.00	20.00	0.00	20.00	80.0	16.00
09/28/2017	QGW030728	RUDOLPH, MARTIN	PUT 100	ENCANA CORP COM SHS ISIN#CA S	-1,450.00	20.00	0.00	20.00	80.0	16.00
09/19/2017	QGW030793	RUDOLPH, HOWARD	CALL 100	DIREXION SHS ETF TR DAILY S	-452.00	20.00	0.00	20.00	80.0	16.00
09/21/2017	QGW036410	BELZ, KATHLEEN	CALL 100	OPKO HEALTH INC COM EXP 10 S	-800.00	20.00	0.00	20.00	80.0	16.00
09/28/2017	QGW036410	BELZ, KATHLEEN	PUT 100	VUZIX CORP COM NEW EXP 04-2 S	-5,400.00	20.00	0.00	20.00	80.0	16.00
08/31/2017	QGW036436	BELZ, KATHLEEN	PUT 100	PENTAIR PLC SHS ISIN#IE00BL S	-400.00	20.00	0.00	20.00	80.0	16.00
09/06/2017	QGW036436	BELZ, KATHLEEN	CALL 100	TWITTER INC COM EXP 09-15- S	-650.00	20.00	0.00	20.00	80.0	16.00

COMMISSION STATEMENT for HENRY HACKEL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: OPTIONS									
09/12/2017	QGW036436	BELZ, KATHLEEN	CALL 100 BANK AMER CORP COM EXP 10- S	-150.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW036436	BELZ, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 10-2 S	-180.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW036436	BELZ, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 11-1 S	-2,100.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW036436	BELZ, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 10-2 S	180.00	-20.00	0.00	-20.00	80.0	-16.00 C
09/18/2017	QGW036436	BELZ, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 10-2 S	-180.00	20.00	0.00	20.00	80.0	16.00
09/19/2017	QGW036436	BELZ, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 10-2 S	-1,320.00	20.00	0.00	20.00	80.0	16.00
09/19/2017	QGW036436	BELZ, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 10-2 S	1,320.00	-20.00	0.00	-20.00	80.0	-16.00 C
09/19/2017	QGW036436	BELZ, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 10-2 S	-1,320.00	20.00	0.00	20.00	80.0	16.00
09/20/2017	QGW036436	BELZ, KATHLEEN	CALL 100 OPKO HEALTH INC COM EXP 11 S	-1,180.00	20.00	0.00	20.00	80.0	16.00
09/20/2017	QGW036444	BELZ, RICHARD	CALL 100 OPKO HEALTH INC COM EXP 10 S	-1,200.00	20.00	0.00	20.00	80.0	16.00
09/07/2017	QGW036451	BELZ, RICHARD	PUT 100 OPKO HEALTH INC COM EXP 10- S	-750.00	20.00	0.00	20.00	80.0	16.00
09/12/2017	QGW036451	BELZ, RICHARD	CALL 100 BANK AMER CORP COM EXP 10- S	-150.00	20.00	0.00	20.00	80.0	16.00
09/13/2017	QGW036451	BELZ, RICHARD	CALL 100 AUTONATION INC DEL COM EXP S	-675.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW036451	BELZ, RICHARD	PUT 100 OPKO HEALTH INC COM EXP 10- S	-500.00	20.00	0.00	20.00	80.0	16.00
09/18/2017	QGW036451	BELZ, RICHARD	PUT 100 TWITTER INC COM EXP 10-20-1 S	-1,880.00	20.00	0.00	20.00	80.0	16.00
09/19/2017	QGW036451	BELZ, RICHARD	PUT 100 VUZIX CORP COM NEW EXP 04-2 S	-2,600.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW036451	BELZ, RICHARD	CALL 100 TRUPANION INC COM EXP 10-2 S	-1,950.00	20.00	0.00	20.00	80.0	16.00
09/26/2017	QGW036451	BELZ, RICHARD	PUT 100 OPKO HEALTH INC COM EXP 10- S	-1,000.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW038614	BEGLEY, HOLLY	CALL 100 ALIBABA GROUP HLDG LTD SPO B	440.00	20.00	0.00	20.00	80.0	16.00
09/14/2017	QGW038614	BEGLEY, HOLLY	CALL 100 ALIBABA GROUP HLDG LTD SPO S	-2,000.00	20.00	0.00	20.00	80.0	16.00
09/20/2017	QGW038614	BEGLEY, HOLLY	CALL 100 ALIBABA GROUP HLDG LTD SPO B	488.00	20.00	0.00	20.00	80.0	16.00
* OPTIONS SUBTOTAL *				\$37,209.02	\$3,309.41	\$0.00	\$3,309.41	\$2,647.53	

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/01/2017	00058581921	HAMROCK /SEP,		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	63.05	0.00	63.05	80.0	50.44
09/01/2017	00062773949	UNTIL AGE 21,		WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	4.15	0.00	4.15	80.0	3.32
09/01/2017	00062773950	UNTIL AGE 21,		WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	3.71	0.00	3.71	80.0	2.97
09/01/2017	00063363878	NGUYEN, BANG		AMCAP FUND-A B	0.00	0.72	0.00	0.72	80.0	0.58
09/01/2017	00063363878	NGUYEN, BANG		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	0.87	0.00	0.87	80.0	0.70
09/01/2017	00063363878	NGUYEN, BANG		EUROPACIFIC GROWTH FUND-A B	0.00	6.33	0.00	6.33	80.0	5.06
09/01/2017	00063363878	NGUYEN, BANG		FUNDAMENTAL INVESTORS-A B	0.00	2.01	0.00	2.01	80.0	1.61
09/01/2017	00063363878	NGUYEN, BANG		NEW PERSPECTIVE FUND-A B	0.00	1.84	0.00	1.84	80.0	1.47
09/01/2017	00063363878	NGUYEN, BANG		NEW WORLD FUND-A B	0.00	1.94	0.00	1.94	80.0	1.55
09/01/2017	00063363878	NGUYEN, BANG		SMALLCAP WORLD FUND-A B	0.00	1.01	0.00	1.01	80.0	0.81
09/01/2017	00063363878	NGUYEN, BANG		THE GROWTH FUND OF AMERICA-A B	0.00	0.96	0.00	0.96	80.0	0.77
09/01/2017	00063363878	NGUYEN, BANG		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	5.74	0.00	5.74	80.0	4.59
09/01/2017	00063363878	NGUYEN, BANG		THE NEW ECONOMY FUND-A B	0.00	1.04	0.00	1.04	80.0	0.83
09/01/2017	00064558607	BRECKENRIDGE,		EUROPACIFIC GROWTH FUND-A B	0.00	1.41	0.00	1.41	80.0	1.13
09/01/2017	00064558607	BRECKENRIDGE,		NEW PERSPECTIVE FUND-A B	0.00	1.66	0.00	1.66	80.0	1.33
09/01/2017	00064558607	BRECKENRIDGE,		NEW WORLD FUND-A B	0.00	1.71	0.00	1.71	80.0	1.37

COMMISSION STATEMENT for HENRY HACKEL

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>									
09/01/2017	00064558607	BRECKENRIDGE, THE GROWTH FUND OF AMERICA-A	B	0.00	0.01	0.00	0.01	80.0	0.01
09/01/2017	00064558607	BRECKENRIDGE, THE NEW ECONOMY FUND-A	B	0.00	1.71	0.00	1.71	80.0	1.37
09/01/2017	00067057124	SHORT, LAUREN GROWTH FUND OF AMERICA CLASS F	B	0.00	28.11	0.00	28.11	80.0	22.49
09/01/2017	00067057124	SHORT, LAUREN NEW PERSPECTIVE FUND INC CL F1	B	0.00	27.73	0.00	27.73	80.0	22.18
09/01/2017	00067057124	SHORT, LAUREN THE NEW ECONOMY FUND-F1	B	0.00	10.45	0.00	10.45	80.0	8.36
09/01/2017	00067985265	FAZELYAR, JOSEPH THE BOND FUND OF AMERICA-529A	B	0.00	1.00	0.00	1.00	80.0	0.80
09/01/2017	00067985266	FAZELYAR, JOSEPH THE BOND FUND OF AMERICA-529A	B	0.00	1.00	0.00	1.00	80.0	0.80
09/01/2017	00067985267	FAZELYAR, JOSEPH THE BOND FUND OF AMERICA-529A	B	0.00	1.00	0.00	1.00	80.0	0.80
09/01/2017	00069036587	ARDAYFIO, IMANI THE GROWTH FUND OF AMERICA-529A	B	0.00	14.42	0.00	14.42	80.0	11.54
09/01/2017	00069036587	ARDAYFIO, IMANI THE INCOME FUND OF AMERICA-529A	B	0.00	3.83	0.00	3.83	80.0	3.06
09/01/2017	00069275020	CREGAN, KIMBERLY EUROPACIFIC GROWTH FUND-A	B	0.00	4.87	0.00	4.87	80.0	3.90
09/01/2017	00069275020	CREGAN, KIMBERLY THE GROWTH FUND OF AMERICA-A	B	0.00	6.41	0.00	6.41	80.0	5.13
09/01/2017	00069275020	CREGAN, KIMBERLY THE INCOME FUND OF AMERICA-A	B	0.00	5.37	0.00	5.37	80.0	4.30
09/01/2017	00073167825	HARRIS, AROM EUROPACIFIC GROWTH FUND-A	B	0.00	9.07	0.00	9.07	80.0	7.26
09/01/2017	00073167825	HARRIS, AROM THE GROWTH FUND OF AMERICA-A	B	0.00	22.52	0.00	22.52	80.0	18.02
09/01/2017	00073167825	HARRIS, AROM WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	9.41	0.00	9.41	80.0	7.53
09/01/2017	00073356751	PENCE, MADELINE AMERICAN BALANCED FUND-529A	B	0.00	2.00	0.00	2.00	80.0	1.60
09/01/2017	00073356751	PENCE, MADELINE THE BOND FUND OF AMERICA-529A	B	0.00	2.49	0.00	2.49	80.0	1.99
09/01/2017	00073390879	TRIGGS, JOHN AMERICAN BALANCED FUND-A	B	0.00	0.98	0.00	0.98	80.0	0.78
09/01/2017	00073390879	TRIGGS, JOHN NEW PERSPECTIVE FUND-A	B	0.00	2.09	0.00	2.09	80.0	1.67
09/01/2017	00073390879	TRIGGS, JOHN THE BOND FUND OF AMERICA-A	B	0.00	1.35	0.00	1.35	80.0	1.08
09/01/2017	00073390879	TRIGGS, JOHN THE GROWTH FUND OF AMERICA-A	B	0.00	14.36	0.00	14.36	80.0	11.49
09/01/2017	00073390879	TRIGGS, JOHN THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	1.87	0.00	1.87	80.0	1.50
09/01/2017	00074087372	WITTE, AUDRA NEW PERSPECTIVE FUND-529A	B	0.00	0.18	0.00	0.18	80.0	0.14
09/01/2017	00074087372	WITTE, AUDRA THE GROWTH FUND OF AMERICA-529A	B	0.00	4.51	0.00	4.51	80.0	3.61
09/01/2017	00074087372	WITTE, AUDRA THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	2.79	0.00	2.79	80.0	2.23
09/01/2017	00074264410	SUSI, GIANCARLO 529 INTERMEDIATE BOND	B	0.00	28.83	0.00	28.83	80.0	23.06
09/01/2017	00074264410	SUSI, GIANCARLO 529 SMALLCAP WORLD FUND	B	0.00	16.91	0.00	16.91	80.0	13.53
09/01/2017	00074264410	SUSI, GIANCARLO 529 THE NEW ECONOMY FUND CLASS E	B	0.00	49.01	0.00	49.01	80.0	39.21
09/01/2017	00074264410	SUSI, GIANCARLO FUNDAMENTAL INVESTORS-529E	B	0.00	52.93	0.00	52.93	80.0	42.34
09/01/2017	00074264410	SUSI, GIANCARLO THE GROWTH FUND OF AMERICA-529E	B	0.00	17.21	0.00	17.21	80.0	13.77
09/01/2017	00074683116	ARP, JAMES AMERICAN BALANCED FUND-529A	B	0.00	0.47	0.00	0.47	80.0	0.38
09/01/2017	00074683116	ARP, JAMES THE GROWTH FUND OF AMERICA-529A	B	0.00	6.93	0.00	6.93	80.0	5.54
09/01/2017	00074889851	WRAY, RAYMOND AMERICAN BALANCED FUND INC CL F1	B	0.00	0.14	0.00	0.14	80.0	0.11
09/01/2017	00074889957	BOFFETTI, DIANNE AMERICAN BALANCED FUND INC CL F1	B	0.00	3.25	0.00	3.25	80.0	2.60
09/01/2017	00074890025	HUDSON, DEAL AMERICAN BALANCED FUND INC CL F1	B	0.00	15.45	0.00	15.45	80.0	12.36
09/01/2017	00074890025	HUDSON, DEAL GROWTH FUND OF AMERICA CLASS F	B	0.00	18.56	0.00	18.56	80.0	14.85
09/01/2017	00074890807	HUDSON, DEAL AMERICAN BALANCED FUND-C	B	0.00	24.04	0.00	24.04	80.0	19.23
09/01/2017	00074890807	HUDSON, DEAL AMERICAN BALANCED FUND INC CL F1	B	0.00	49.83	0.00	49.83	80.0	39.86
09/01/2017	00074890807	HUDSON, DEAL GROWTH FUND OF AMERICA CLASS F	B	0.00	58.90	0.00	58.90	80.0	47.12

COMMISSION STATEMENT for HENRY HACKEL

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										
09/01/2017	00074890807	HUDSON, DEAL	THE GROWTH FUND OF AMERICA-C	B	0.00	26.17	0.00	26.17	80.0	20.94
09/01/2017	00074890913	WRAY, RAYMOND	AMERICAN BALANCED FUND INC CL F1	B	0.00	5.22	0.00	5.22	80.0	4.18
09/01/2017	00074946171	CABANISS, MARGARET	GROWTH FUND OF AMERICA CLASS F	B	0.00	3.19	0.00	3.19	80.0	2.55
09/01/2017	00074946171	CABANISS, MARGARET	THE GROWTH FUND OF AMERICA-C	B	0.00	49.61	0.00	49.61	80.0	39.69
09/01/2017	00075121937	ROMANOWSKY	GROWTH FUND OF AMERICA CLASS F	B	0.00	1.62	0.00	1.62	80.0	1.30
09/01/2017	00075121970	SAINT-PAUL, BRIAN	CAPITAL WORLD GROWTH & INCOME FUND	B	0.00	3.81	0.00	3.81	80.0	3.05
09/01/2017	00075458097	VANDENHEUVEL, RYAN	EUROPACIFIC GROWTH FUND-A	B	0.00	7.12	0.00	7.12	80.0	5.70
09/01/2017	00075458097	VANDENHEUVEL, RYAN	NEW PERSPECTIVE FUND-A	B	0.00	8.94	0.00	8.94	80.0	7.15
09/01/2017	00075458097	VANDENHEUVEL, RYAN	THE GROWTH FUND OF AMERICA-A	B	0.00	9.50	0.00	9.50	80.0	7.60
09/01/2017	00075458097	VANDENHEUVEL, RYAN	THE INCOME FUND OF AMERICA-A	B	0.00	6.29	0.00	6.29	80.0	5.03
09/01/2017	00075458097	VANDENHEUVEL, RYAN	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	6.99	0.00	6.99	80.0	5.59
09/01/2017	00075490501	TRICARICO, VINCENT	THE BOND FUND OF AMERICA-529C	B	0.00	56.48	0.00	56.48	80.0	45.18
09/01/2017	00075490569	TRICARICO, VINCENT	THE BOND FUND OF AMERICA-529C	B	0.00	33.09	0.00	33.09	80.0	26.47
09/01/2017	00075593923	VANDENHEUVEL, KURT	EUROPACIFIC GROWTH FUND-A	B	0.00	2.03	0.00	2.03	80.0	1.62
09/01/2017	00075593923	VANDENHEUVEL, KURT	THE GROWTH FUND OF AMERICA-A	B	0.00	5.13	0.00	5.13	80.0	4.10
09/01/2017	00075654717	MOUSSELLI, LAYLA	THE GROWTH FUND OF AMERICA-529A	B	0.00	0.80	0.00	0.80	80.0	0.64
09/01/2017	00075654788	MOUSSELLI, LAYLA	THE GROWTH FUND OF AMERICA-529A	B	0.00	2.33	0.00	2.33	80.0	1.86
09/01/2017	00075975643	CRISTE, VINCE	GROWTH FUND OF AMERICA CLASS F	B	0.00	5.17	0.00	5.17	80.0	4.14
09/01/2017	00075975643	CRISTE, VINCE	NEW WORLD FUND-C	B	0.00	6.30	0.00	6.30	80.0	5.04
09/01/2017	00075975643	CRISTE, VINCE	THE GROWTH FUND OF AMERICA-C	B	0.00	60.34	0.00	60.34	80.0	48.27
09/01/2017	00081212157	CARDENAS, ELENA	GROWTH FUND OF AMERICA CLASS F	B	0.00	0.56	0.00	0.56	80.0	0.45
09/01/2017	00081212176	JOPSON, CHRISTINA	GROWTH FUND OF AMERICA CLASS F	B	0.00	0.93	0.00	0.93	80.0	0.74
09/01/2017	00081212176	JOPSON, CHRISTINA	THE GROWTH FUND OF AMERICA-C	B	0.00	6.81	0.00	6.81	80.0	5.45
09/01/2017	00081234263	SAINT-PAUL, BRIAN	GROWTH FUND OF AMERICA CLASS F	B	0.00	3.30	0.00	3.30	80.0	2.64
09/01/2017	00081234263	SAINT-PAUL, BRIAN	THE GROWTH FUND OF AMERICA-C	B	0.00	52.88	0.00	52.88	80.0	42.30
09/01/2017	00081266450	BUTO, ALANA	SMALLCAP WORLD FUND-529C	B	0.00	1.76	0.00	1.76	80.0	1.41
09/01/2017	00081266450	BUTO, ALANA	THE GROWTH FUND OF AMERICA-529C	B	0.00	2.71	0.00	2.71	80.0	2.17
09/01/2017	00081266450	BUTO, ALANA	THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	2.31	0.00	2.31	80.0	1.85
09/01/2017	00081371070	HERD, JACK	AMERICAN BALANCED FUND-529C	B	0.00	2.58	0.00	2.58	80.0	2.06
09/01/2017	00081371070	HERD, JACK	NEW PERSPECTIVE FUND-529C	B	0.00	4.24	0.00	4.24	80.0	3.39
09/01/2017	00081371070	HERD, JACK	SMALLCAP WORLD FUND-529C	B	0.00	4.02	0.00	4.02	80.0	3.22
09/01/2017	00081371070	HERD, JACK	THE GROWTH FUND OF AMERICA-529C	B	0.00	8.62	0.00	8.62	80.0	6.90
09/01/2017	00081371070	HERD, JACK	THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	7.38	0.00	7.38	80.0	5.90
09/01/2017	00081547907	SUSI, GIANCARLO	529 INTERMEDIATE BOND	B	0.00	22.70	0.00	22.70	80.0	18.16
09/01/2017	00081547907	SUSI, GIANCARLO	529 SMALLCAP WORLD FUND	B	0.00	13.32	0.00	13.32	80.0	10.66
09/01/2017	00081547907	SUSI, GIANCARLO	529 THE NEW ECONOMY FUND CLASS E	B	0.00	38.60	0.00	38.60	80.0	30.88
09/01/2017	00081547907	SUSI, GIANCARLO	FUNDAMENTAL INVESTORS-529E	B	0.00	41.68	0.00	41.68	80.0	33.34
09/01/2017	00081547907	SUSI, GIANCARLO	THE GROWTH FUND OF AMERICA-529E	B	0.00	13.55	0.00	13.55	80.0	10.84
09/01/2017	00081809334	SILVER, LORI	THE GROWTH FUND OF AMERICA-A	B	0.00	12.34	0.00	12.34	80.0	9.87
09/01/2017	00082291100	MARIE F EWELL,	AMERICAN BALANCED FUND INC CL F1	B	0.00	13.73	0.00	13.73	80.0	10.98

COMMISSION STATEMENT for HENRY HACKEL

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										
09/01/2017	00082291100	MARIE F EWELL,	CAPITAL WORLD GROWTH & INCOME FUND	B	0.00	11.50	0.00	11.50	80.0	9.20
09/01/2017	00082291100	MARIE F EWELL,	GROWTH FUND OF AMERICA CLASS F	B	0.00	0.57	0.00	0.57	80.0	0.46
09/01/2017	00082839379	WITTE, MAEVE	AMCAP FUND-529A	B	0.00	0.65	0.00	0.65	80.0	0.52
09/01/2017	00082839379	WITTE, MAEVE	THE GROWTH FUND OF AMERICA-529A	B	0.00	1.65	0.00	1.65	80.0	1.32
09/01/2017	00082839379	WITTE, MAEVE	THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	0.67	0.00	0.67	80.0	0.54
09/01/2017	00083286116	SIEGISMUND,	AMERICAN MUTUAL FUND-529E	B	0.00	0.06	0.00	0.06	80.0	0.05
09/01/2017	00083286116	SIEGISMUND,	FUNDAMENTAL INVESTORS-529E	B	0.00	0.14	0.00	0.14	80.0	0.11
09/01/2017	00083287091	SIEGISMUND,	529 SMALLCAP WORLD FUND	B	0.00	0.66	0.00	0.66	80.0	0.53
09/01/2017	00083287091	SIEGISMUND,	NEW PERSPECTIVE FUND-529E	B	0.00	0.70	0.00	0.70	80.0	0.56
09/01/2017	00083391523	TANKEL, LILIANA	529 EUROPACIFIC GROWYH FUND	B	0.00	12.00	0.00	12.00	80.0	9.60
09/01/2017	00083391523	TANKEL, LILIANA	529 THE BOND FUND	B	0.00	5.08	0.00	5.08	80.0	4.06
09/01/2017	00083391523	TANKEL, LILIANA	529 THE INVESTMENT CO	B	0.00	15.60	0.00	15.60	80.0	12.48
09/01/2017	00083391523	TANKEL, LILIANA	CAPITAL INCOME BUILDER-529E	B	0.00	8.99	0.00	8.99	80.0	7.19
09/01/2017	00083391523	TANKEL, LILIANA	NEW WORLD FUND-529E	B	0.00	8.64	0.00	8.64	80.0	6.91
09/01/2017	00083391523	TANKEL, LILIANA	THE GROWTH FUND OF AMERICA-529E	B	0.00	14.02	0.00	14.02	80.0	11.22
09/01/2017	00083494057	BURTON, LINDA	THE GROWTH FUND OF AMERICA-C	B	0.00	13.12	0.00	13.12	80.0	10.50
09/01/2017	00083509409	MALCOLM, ISAAC	529 THE BOND FUND	B	0.00	25.21	0.00	25.21	80.0	20.17
09/01/2017	00083509489	MALCOLM, ISAAC	529 THE BOND FUND	B	0.00	12.38	0.00	12.38	80.0	9.90
09/01/2017	00083570166	OZOG, KATHERINE	AMERICAN BALANCED FUND-529C	B	0.00	112.27	0.00	112.27	80.0	89.82
09/01/2017	00083650929	MATHIS, JACK	AMERICAN BALANCED FUND-529E	B	0.00	37.56	0.00	37.56	80.0	30.05
09/01/2017	00083655410	ROBERTSON, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	34.44	0.00	34.44	80.0	27.55
09/01/2017	00083655410	ROBERTSON, MICHAEL	THE GROWTH FUND OF AMERICA-C	B	0.00	43.58	0.00	43.58	80.0	34.86
09/01/2017	00083714875	MATHIS, JACK	AMERICAN BALANCED FUND-529E	B	0.00	36.82	0.00	36.82	80.0	29.46
09/01/2017	00083792434	VERA, ANDREA	NEW PERSPECTIVE FUND-A	B	0.00	0.43	0.00	0.43	80.0	0.34
09/01/2017	00083792434	VERA, ANDREA	THE GROWTH FUND OF AMERICA-A	B	0.00	0.36	0.00	0.36	80.0	0.29
09/01/2017	00083792434	VERA, ANDREA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	0.24	0.00	0.24	80.0	0.19
09/01/2017	00083863964	HERD, JACK	CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	0.24	0.00	0.24	80.0	0.19
09/01/2017	00083863964	HERD, JACK	SMALLCAP WORLD FUND-529A	B	0.00	0.27	0.00	0.27	80.0	0.22
09/01/2017	00083863964	HERD, JACK	THE GROWTH FUND OF AMERICA-529A	B	0.00	0.31	0.00	0.31	80.0	0.25
09/01/2017	00083863964	HERD, JACK	THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	0.21	0.00	0.21	80.0	0.17
09/01/2017	00083952983	EVANS, LEANNE	AMERICAN BALANCED FUND-529E	B	0.00	14.46	0.00	14.46	80.0	11.57
09/01/2017	00083956221	EVANS, LEANNE	AMERICAN BALANCED FUND-529E	B	0.00	5.62	0.00	5.62	80.0	4.50
09/01/2017	00084022714	KHURANA, KUNAL	AMCAP FUND-529A	B	0.00	3.36	0.00	3.36	80.0	2.69
09/01/2017	00084022714	KHURANA, KUNAL	CAPITAL INCOME BUILDER-529A	B	0.00	2.33	0.00	2.33	80.0	1.86
09/01/2017	00084022714	KHURANA, KUNAL	CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	2.46	0.00	2.46	80.0	1.97
09/01/2017	00084022714	KHURANA, KUNAL	FUNDAMENTAL INVESTORS-529A	B	0.00	3.16	0.00	3.16	80.0	2.53
09/01/2017	00084022714	KHURANA, KUNAL	NEW PERSPECTIVE FUND-529A	B	0.00	2.94	0.00	2.94	80.0	2.35
09/01/2017	00084041069	ARP, JAMES	THE GROWTH FUND OF AMERICA-529A	B	0.00	4.01	0.00	4.01	80.0	3.21
09/01/2017	00084080976	BEAL, MILES	AMERICAN BALANCED FUND-529E	B	0.00	23.27	0.00	23.27	80.0	18.62
09/01/2017	00084080976	BEAL, MILES	THE GROWTH FUND OF AMERICA-529E	B	0.00	0.06	0.00	0.06	80.0	0.05

COMMISSION STATEMENT for HENRY HACKEL

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>									
09/01/2017	00084096413	BEAL, MILES		AMERICAN BALANCED FUND-529E	B	0.00	23.60	0.00	23.60 80.0 18.88
09/01/2017	00084116518	WALKER, BRYAN		AMERICAN BALANCED FUND-529C	B	0.00	2.21	0.00	2.21 80.0 1.77
09/01/2017	00084116518	WALKER, BRYAN		AMERICAN FUNDS	B	0.00	1.74	0.00	1.74 80.0 1.39
09/01/2017	00084116518	WALKER, BRYAN		NEW WORLD FUND-529C	B	0.00	1.55	0.00	1.55 80.0 1.24
09/01/2017	00084116518	WALKER, BRYAN		SMALLCAP WORLD FUND-529C	B	0.00	1.85	0.00	1.85 80.0 1.48
09/01/2017	00084116518	WALKER, BRYAN		THE GROWTH FUND OF AMERICA-529C	B	0.00	3.15	0.00	3.15 80.0 2.52
09/01/2017	00084116518	WALKER, BRYAN		THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	2.87	0.00	2.87 80.0 2.30
09/01/2017	00084116528	WALKER, BRYAN		AMERICAN BALANCED FUND-529C	B	0.00	0.85	0.00	0.85 80.0 0.68
09/01/2017	00084116528	WALKER, BRYAN		AMERICAN FUNDS	B	0.00	0.48	0.00	0.48 80.0 0.38
09/01/2017	00084116528	WALKER, BRYAN		NEW WORLD FUND-529C	B	0.00	0.63	0.00	0.63 80.0 0.50
09/01/2017	00084116528	WALKER, BRYAN		SMALLCAP WORLD FUND-529C	B	0.00	0.58	0.00	0.58 80.0 0.46
09/01/2017	00084116528	WALKER, BRYAN		THE GROWTH FUND OF AMERICA-529C	B	0.00	1.60	0.00	1.60 80.0 1.28
09/01/2017	00084116528	WALKER, BRYAN		THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	1.42	0.00	1.42 80.0 1.14
09/01/2017	00084116532	WALKER, BRYAN		AMERICAN BALANCED FUND-529C	B	0.00	2.86	0.00	2.86 80.0 2.29
09/01/2017	00084116532	WALKER, BRYAN		AMERICAN FUNDS	B	0.00	3.21	0.00	3.21 80.0 2.57
09/01/2017	00084116532	WALKER, BRYAN		NEW WORLD FUND-529C	B	0.00	2.34	0.00	2.34 80.0 1.87
09/01/2017	00084116532	WALKER, BRYAN		SMALLCAP WORLD FUND-529C	B	0.00	2.73	0.00	2.73 80.0 2.18
09/01/2017	00084116532	WALKER, BRYAN		THE GROWTH FUND OF AMERICA-529C	B	0.00	4.14	0.00	4.14 80.0 3.31
09/01/2017	00084116532	WALKER, BRYAN		THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	4.06	0.00	4.06 80.0 3.25
09/01/2017	00084175814	CLEAVES, ELIZABETH		NEW PERSPECTIVE FUND-A	B	0.00	1.53	0.00	1.53 80.0 1.22
09/01/2017	00084175814	CLEAVES, ELIZABETH		THE GROWTH FUND OF AMERICA-A	B	0.00	1.56	0.00	1.56 80.0 1.25
09/01/2017	00084180216	KIMLICK, ELIZABETH		THE GROWTH FUND OF AMERICA-A	B	0.00	0.27	0.00	0.27 80.0 0.22
09/01/2017	00084180216	KIMLICK, ELIZABETH		THE INCOME FUND OF AMERICA-A	B	0.00	0.30	0.00	0.30 80.0 0.24
09/01/2017	00084739455	SHABAZZ, JAHZARA		AMERICAN BALANCED FUND-529C	B	0.00	62.44	0.00	62.44 80.0 49.95
09/01/2017	00084812978	VERA, INES		AMERICAN BALANCED FUND-529A	B	0.00	19.80	0.00	19.80 80.0 15.84
09/01/2017	00084917394	GRIGGS, DUSTIN		AMERICAN HIGH-INCOME TRUST-529A	B	0.00	0.60	0.00	0.60 80.0 0.48
09/01/2017	00084917394	GRIGGS, DUSTIN		CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	0.65	0.00	0.65 80.0 0.52
09/01/2017	00084917394	GRIGGS, DUSTIN		EUROPACIFIC GROWTH FUND-529A	B	0.00	0.56	0.00	0.56 80.0 0.45
09/01/2017	00084917394	GRIGGS, DUSTIN		FUNDAMENTAL INVESTORS-529A	B	0.00	0.80	0.00	0.80 80.0 0.64
09/01/2017	00084917394	GRIGGS, DUSTIN		NEW WORLD FUND-529A	B	0.00	0.54	0.00	0.54 80.0 0.43
09/01/2017	00084917404	GRIGGS, DUSTIN		AMERICAN HIGH-INCOME TRUST-529A	B	0.00	0.60	0.00	0.60 80.0 0.48
09/01/2017	00084917404	GRIGGS, DUSTIN		CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	0.49	0.00	0.49 80.0 0.39
09/01/2017	00084917404	GRIGGS, DUSTIN		EUROPACIFIC GROWTH FUND-529A	B	0.00	0.56	0.00	0.56 80.0 0.45
09/01/2017	00084917404	GRIGGS, DUSTIN		FUNDAMENTAL INVESTORS-529A	B	0.00	0.80	0.00	0.80 80.0 0.64
09/01/2017	00084917404	GRIGGS, DUSTIN		NEW WORLD FUND-529A	B	0.00	0.67	0.00	0.67 80.0 0.54
09/01/2017	00084917420	GRIGGS, DUSTIN		AMERICAN HIGH-INCOME TRUST-529A	B	0.00	0.60	0.00	0.60 80.0 0.48
09/01/2017	00084917420	GRIGGS, DUSTIN		CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	0.65	0.00	0.65 80.0 0.52
09/01/2017	00084917420	GRIGGS, DUSTIN		EUROPACIFIC GROWTH FUND-529A	B	0.00	0.56	0.00	0.56 80.0 0.45
09/01/2017	00084917420	GRIGGS, DUSTIN		FUNDAMENTAL INVESTORS-529A	B	0.00	0.80	0.00	0.80 80.0 0.64
09/01/2017	00084917420	GRIGGS, DUSTIN		NEW WORLD FUND-529A	B	0.00	0.54	0.00	0.54 80.0 0.43

COMMISSION STATEMENT for HENRY HACKEL

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>									
09/01/2017	00084921884	GRIGGS, DUSTIN	529 FUNDAMENTAL	B	0.00	3.20	0.00	3.20	80.0 2.56
09/01/2017	00084921884	GRIGGS, DUSTIN	AMERICAN HIGH-INCOME TRUST-529C	B	0.00	3.54	0.00	3.54	80.0 2.83
09/01/2017	00084921884	GRIGGS, DUSTIN	CAPITAL WORLD BOND FUND-529C	B	0.00	3.35	0.00	3.35	80.0 2.68
09/01/2017	00084921884	GRIGGS, DUSTIN	NEW WORLD FUND-529C	B	0.00	1.06	0.00	1.06	80.0 0.85
09/01/2017	00084989238	BEURMANN, CONNOR	CAPITAL WORLD GROWTH AND INCOME-529	B	0.00	54.02	0.00	54.02	80.0 43.22
09/01/2017	00084989238	BEURMANN, CONNOR	SMALLCAP WORLD FUND-529C	B	0.00	37.95	0.00	37.95	80.0 30.36
09/01/2017	00084989238	BEURMANN, CONNOR	THE BOND FUND OF AMERICA-529C	B	0.00	15.63	0.00	15.63	80.0 12.50
09/01/2017	00084989238	BEURMANN, CONNOR	THE GROWTH FUND OF AMERICA-529C	B	0.00	57.67	0.00	57.67	80.0 46.14
09/01/2017	00084989238	BEURMANN, CONNOR	THE INCOME FUND OF AMERICA-529C	B	0.00	23.10	0.00	23.10	80.0 18.48
09/01/2017	00084989238	BEURMANN, CONNOR	THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	53.55	0.00	53.55	80.0 42.84
09/01/2017	00085019479	KIMLICK, ELIZABETH	THE GROWTH FUND OF AMERICA-A	B	0.00	0.61	0.00	0.61	80.0 0.49
09/01/2017	00085019479	KIMLICK, ELIZABETH	THE INCOME FUND OF AMERICA-A	B	0.00	0.56	0.00	0.56	80.0 0.45
09/01/2017	00085019484	CLEAVES, ELIZABETH	NEW PERSPECTIVE FUND-A	B	0.00	1.19	0.00	1.19	80.0 0.95
09/01/2017	00085019484	CLEAVES, ELIZABETH	THE GROWTH FUND OF AMERICA-A	B	0.00	1.30	0.00	1.30	80.0 1.04
09/01/2017	00085327415	VANDENHEUVEL,	AMCAP FUND-A	B	0.00	3.31	0.00	3.31	80.0 2.65
09/01/2017	00085327415	VANDENHEUVEL,	AMERICAN FUND-45956T105	B	0.00	2.48	0.00	2.48	80.0 1.98
09/01/2017	00085327415	VANDENHEUVEL,	FUNDAMENTAL INVESTORS-A	B	0.00	3.43	0.00	3.43	80.0 2.74
09/01/2017	00085327415	VANDENHEUVEL,	THE GROWTH FUND OF AMERICA-A	B	0.00	3.49	0.00	3.49	80.0 2.79
09/01/2017	00085327415	VANDENHEUVEL,	THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	1.67	0.00	1.67	80.0 1.34
09/01/2017	00085327415	VANDENHEUVEL,	THE NEW ECONOMY FUND-A	B	0.00	1.72	0.00	1.72	80.0 1.38
09/01/2017	00085890289	DAS, SPANDAN	AMERICAN HIGH-INCOME TRUST-529A	B	0.00	5.93	0.00	5.93	80.0 4.74
09/01/2017	00085890289	DAS, SPANDAN	NEW WORLD FUND-529A	B	0.00	8.58	0.00	8.58	80.0 6.86
09/01/2017	00085890289	DAS, SPANDAN	SMALLCAP WORLD FUND-529A	B	0.00	8.90	0.00	8.90	80.0 7.12
09/01/2017	00085890289	DAS, SPANDAN	THE GROWTH FUND OF AMERICA-529A	B	0.00	16.63	0.00	16.63	80.0 13.30
09/01/2017	00085890289	DAS, SPANDAN	THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	13.95	0.00	13.95	80.0 11.16
09/01/2017	00086003298	MATHIS, JACK	AMERICAN BALANCED FUND-529A	B	0.00	12.71	0.00	12.71	80.0 10.17
09/01/2017	00086531491	DAS, SPANDAN	AMERICAN HIGH-INCOME TRUST-529A	B	0.00	3.46	0.00	3.46	80.0 2.77
09/01/2017	00086531491	DAS, SPANDAN	NEW WORLD FUND-529A	B	0.00	3.50	0.00	3.50	80.0 2.80
09/01/2017	00086531491	DAS, SPANDAN	SMALLCAP WORLD FUND-529A	B	0.00	4.16	0.00	4.16	80.0 3.33
09/01/2017	00086531491	DAS, SPANDAN	THE GROWTH FUND OF AMERICA-529A	B	0.00	9.87	0.00	9.87	80.0 7.90
09/01/2017	00086531491	DAS, SPANDAN	THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	8.16	0.00	8.16	80.0 6.53
09/01/2017	00087075485	GRAY, SUSAN	AMCAP FUND-A	B	0.00	3.57	0.00	3.57	80.0 2.86
09/01/2017	00087075485	GRAY, SUSAN	AMERICAN BALANCED FUND-A	B	0.00	1.97	0.00	1.97	80.0 1.58
09/01/2017	00087075485	GRAY, SUSAN	EUROPACIFIC GROWTH FUND-A	B	0.00	1.81	0.00	1.81	80.0 1.45
09/01/2017	00087075485	GRAY, SUSAN	NEW WORLD FUND-A	B	0.00	2.24	0.00	2.24	80.0 1.79
09/01/2017	00087075485	GRAY, SUSAN	THE GROWTH FUND OF AMERICA-A	B	0.00	1.50	0.00	1.50	80.0 1.20
09/01/2017	00087075485	GRAY, SUSAN	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	2.09	0.00	2.09	80.0 1.67
09/01/2017	00087105779	ARP, JAMES	THE GROWTH FUND OF AMERICA-529A	B	0.00	1.85	0.00	1.85	80.0 1.48
09/01/2017	00087121704	JOGLEKAR, SHAYNE	AMERICAN BALANCED FUND-529A	B	0.00	14.90	0.00	14.90	80.0 11.92
09/01/2017	00087122294	JOGLEKAR, SHAYNE	AMERICAN BALANCED FUND-529A	B	0.00	16.29	0.00	16.29	80.0 13.03

COMMISSION STATEMENT for HENRY HACKEL

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>									
09/01/2017	00087149656	CHANDELA, AJAY		AMERICAN BALANCED FUND-529C	B	0.00	131.63	0.00	131.63 80.0 105.30
09/01/2017	00087149667	CHANDELA, AJAY		NEW WORLD FUND-529C	B	0.00	122.60	0.00	122.60 80.0 98.08
09/01/2017	00087149689	CHANDELA, AJAY		NEW WORLD FUND-529C	B	0.00	122.60	0.00	122.60 80.0 98.08
09/01/2017	00087149729	CHANDELA, AJAY		AMERICAN BALANCED FUND-529C	B	0.00	131.63	0.00	131.63 80.0 105.30
09/01/2017	00087205674	MORRELL, CHARLES		THE GROWTH FUND OF AMERICA-529A	B	0.00	3.46	0.00	3.46 80.0 2.77
09/01/2017	00087475325	ARP, EVIE		THE GROWTH FUND OF AMERICA-529A	B	0.00	4.01	0.00	4.01 80.0 3.21
09/01/2017	00087475364	ARP, EVIE		AMERICAN BALANCED FUND-529A	B	0.00	0.47	0.00	0.47 80.0 0.38
09/01/2017	00087475364	ARP, EVIE		THE GROWTH FUND OF AMERICA-529A	B	0.00	6.93	0.00	6.93 80.0 5.54
09/01/2017	00087475376	ARP, EVIE		THE GROWTH FUND OF AMERICA-529A	B	0.00	1.85	0.00	1.85 80.0 1.48
09/01/2017	00087485324	EAKLE, JAMES		THE INVESTMENT COMPANY OF AMERICA-A B		0.00	8.50	0.00	8.50 80.0 6.80
09/01/2017	00087630417	SHABAZZ, JAHZARA		AMERICAN BALANCED FUND-529C	B	0.00	29.96	0.00	29.96 80.0 23.97
09/01/2017	00088306683	MALLAVARAPU,		AMERICAN BALANCED FUND-529A	B	0.00	3.82	0.00	3.82 80.0 3.06
09/01/2017	00088306683	MALLAVARAPU,		AMERICAN HIGH-INCOME TRUST-529A	B	0.00	0.50	0.00	0.50 80.0 0.40
09/01/2017	00088306683	MALLAVARAPU,		CAPITAL INCOME BUILDER-529A	B	0.00	6.85	0.00	6.85 80.0 5.48
09/01/2017	00088306683	MALLAVARAPU,		CAPITAL WORLD GROWTH AND INCOME-529 B		0.00	0.57	0.00	0.57 80.0 0.46
09/01/2017	00088306683	MALLAVARAPU,		EUROPACIFIC GROWTH FUND-529A	B	0.00	0.51	0.00	0.51 80.0 0.41
09/01/2017	00088306683	MALLAVARAPU,		INTERNATIONAL GROWTH AND INCOME-529 B		0.00	0.90	0.00	0.90 80.0 0.72
09/01/2017	00088306683	MALLAVARAPU,		NEW PERSPECTIVE FUND-529A	B	0.00	3.92	0.00	3.92 80.0 3.14
09/01/2017	00088306683	MALLAVARAPU,		NEW WORLD FUND-529A	B	0.00	0.45	0.00	0.45 80.0 0.36
09/01/2017	00088306683	MALLAVARAPU,		THE INVESTMENT COMPANY OF AMERICA-5 B		0.00	0.63	0.00	0.63 80.0 0.50
09/01/2017	00088310922	DABBI, VEER		EUROPACIFIC GROWTH FUND-529A	B	0.00	3.55	0.00	3.55 80.0 2.84
09/01/2017	00088310922	DABBI, VEER		FUNDAMENTAL INVESTORS-529A	B	0.00	4.30	0.00	4.30 80.0 3.44
09/01/2017	00088310922	DABBI, VEER		INTERNATIONAL GROWTH AND INCOME-529 B		0.00	1.60	0.00	1.60 80.0 1.28
09/01/2017	00088311010	DABBI, VEER		AMERICAN BALANCED FUND-529A	B	0.00	3.93	0.00	3.93 80.0 3.14
09/01/2017	00088311010	DABBI, VEER		AMERICAN HIGH-INCOME TRUST-529A	B	0.00	1.72	0.00	1.72 80.0 1.38
09/01/2017	00088311010	DABBI, VEER		CAPITAL INCOME BUILDER-529A	B	0.00	3.66	0.00	3.66 80.0 2.93
09/01/2017	00088311626	DABBI, VEER		NEW PERSPECTIVE FUND-529A	B	0.00	4.01	0.00	4.01 80.0 3.21
09/01/2017	00088311626	DABBI, VEER		SMALLCAP WORLD FUND-529A	B	0.00	1.94	0.00	1.94 80.0 1.55
09/01/2017	00088311626	DABBI, VEER		WASHINGTON MUTUAL INVESTORS FUND-52 B		0.00	4.14	0.00	4.14 80.0 3.31
09/01/2017	00088311652	DABBI, VEER		CAPITAL INCOME BUILDER-529A	B	0.00	3.66	0.00	3.66 80.0 2.93
09/01/2017	00088311652	DABBI, VEER		CAPITAL WORLD GROWTH AND INCOME-529 B		0.00	1.88	0.00	1.88 80.0 1.50
09/01/2017	00088311652	DABBI, VEER		THE INCOME FUND OF AMERICA-529A	B	0.00	3.80	0.00	3.80 80.0 3.04
09/01/2017	00089081756	FOSTER, JAKE		AMERICAN FUND-02629M587	B	0.00	1.55	0.00	1.55 80.0 1.24
09/01/2017	00089084643	FOSTER, JAKE		AMERICAN FUND-02629M587	B	0.00	1.55	0.00	1.55 80.0 1.24
09/01/2017	00089794319	FAWKES, MICHAEL		529 AMERICAN MUTUAL FUND	B	0.00	20.90	0.00	20.90 80.0 16.72
09/01/2017	00089794319	FAWKES, MICHAEL		AMERICAN BALANCED FUND-529A	B	0.00	1.64	0.00	1.64 80.0 1.31
09/01/2017	00089794319	FAWKES, MICHAEL		AMERICAN MUTUAL FUND-529A	B	0.00	4.96	0.00	4.96 80.0 3.97
09/01/2017	00089794319	FAWKES, MICHAEL		CAPITAL INCOME BUILDER-529C	B	0.00	4.42	0.00	4.42 80.0 3.54
09/01/2017	00089794319	FAWKES, MICHAEL		THE INCOME FUND OF AMERICA-529C	B	0.00	64.08	0.00	64.08 80.0 51.26
09/01/2017	00089794403	FAWKES, MICHAEL		529 FUNDAMENTAL	B	0.00	5.43	0.00	5.43 80.0 4.34

COMMISSION STATEMENT for HENRY HACKEL

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										
09/01/2017	00089794403	FAWKES, MICHAEL	CAPITAL INCOME BUILDER-529C	B	0.00	0.04	0.00	0.04	80.0	0.03
09/01/2017	01204161104	PASQUALONE,	THE INVESTMENT COMPANY OF AMERICA-5	B	0.00	3.14	0.00	3.14	80.0	2.51
09/01/2017	01204463227	PASQUALONE,	THE GROWTH FUND OF AMERICA-529A	B	0.00	6.61	0.00	6.61	80.0	5.29
09/01/2017	01205067051	PASQUALONE,	NEW PERSPECTIVE FUND-529A	B	0.00	5.09	0.00	5.09	80.0	4.07
09/01/2017	01229681594	LUMBER 401(K)	PLAN THE INVESTMENT COMPANY OF AMERICA-R	B	0.00	2.36	0.00	2.36	80.0	1.89
09/01/2017	01229986589	LUMBER 401(K)	PLAN THE GROWTH FUND OF AMERICA-R2	B	0.00	2.45	0.00	2.45	80.0	1.96
09/01/2017	01230894562	LUMBER 401(K)	PLAN THE BOND FUND OF AMERICA-R2	B	0.00	0.17	0.00	0.17	80.0	0.14
09/01/2017	01233005681	LUMBER 401(K)	PLAN AMERICAN HIGH-INCOME TRUST-R2	B	0.00	0.18	0.00	0.18	80.0	0.14
09/01/2017	01234513265	LUMBER 401(K)	PLAN SMALLCAP WORLD FUND-R2	B	0.00	2.15	0.00	2.15	80.0	1.72
09/01/2017	01234817201	LUMBER 401(K)	PLAN NEW WORLD FUND-R2	B	0.00	1.46	0.00	1.46	80.0	1.17
09/01/2017	01238449785	TR, 401(K) PP & TR	AMERICAN BALANCED FUND-R3	B	0.00	4.38	0.00	4.38	80.0	3.50
09/01/2017	01239369901	NATIONAL WOODEN	EUROPACIFIC GROWTH FUND-R3	B	0.00	36.61	0.00	36.61	80.0	29.29
09/01/2017	01239370238	ADVANCED COMPUTER	EUROPACIFIC GROWTH FUND-R3	B	0.00	70.79	0.00	70.79	80.0	56.63
09/01/2017	01239376601	TR, 401(K) PP & TR	EUROPACIFIC GROWTH FUND-R3	B	0.00	249.13	0.00	249.13	80.0	199.30
09/01/2017	01239377111	TR, 401(K) PP & TR	EUROPACIFIC GROWTH FUND-R3	B	0.00	14.55	0.00	14.55	80.0	11.64
09/18/2017	QGW005472	KRELL, MOSHE	EUROPACIFIC GROWTH FUND CLASS C	B	0.00	19.30	0.00	19.30	80.0	15.44
09/18/2017	QGW005472	KRELL, MOSHE	PRINCIPAL PREFERRED SECURITIES FUND	B	0.00	19.59	0.00	19.59	80.0	15.67
09/18/2017	QGW005472	KRELL, MOSHE	PRINCIPAL GLOBAL DIVERSIFIED INCOME	B	0.00	41.98	0.00	41.98	80.0	33.58
09/19/2017	QGW005472	KRELL, MOSHE	JANUS HENDERSON GLOBAL EQUITY INCOM	B	0.00	28.91	0.00	28.91	80.0	23.13
09/19/2017	QGW005472	KRELL, MOSHE	MAINSTAY CUSHING MLP PREMIER FUND	C B	0.00	22.84	0.00	22.84	80.0	18.27
09/20/2017	QGW005472	KRELL, MOSHE	COHEN & STEERS GLOBAL REALTY SHARES	B	0.00	34.22	0.00	34.22	80.0	27.38
09/21/2017	QGW005472	KRELL, MOSHE	OPPENHEIMERFUNDS 683940886	B	0.00	15.01	0.00	15.01	80.0	12.01
09/21/2017	QGW005472	KRELL, MOSHE	OPPENHEIMER ROCHESTER LIMITED TERM	B	0.00	36.62	0.00	36.62	80.0	29.30
09/11/2017	QGW006884	VOGEL, NEALA	DAVIS NEW YORK VENTURE CLASS A	B	0.00	3.90	0.00	3.90	80.0	3.12
09/14/2017	QGW006884	VOGEL, NEALA	MFS RESEARCH FUND-A	B	0.00	3.42	0.00	3.42	80.0	2.74
09/14/2017	QGW006884	VOGEL, NEALA	TEMPLETON GROWTH FUND CLASS A	B	0.00	3.22	0.00	3.22	80.0	2.58
09/15/2017	QGW006884	VOGEL, NEALA	COLUMBIA SELIGMAN COMMUNICATIONS AN	B	0.00	5.87	0.00	5.87	80.0	4.70
09/19/2017	QGW006884	VOGEL, NEALA	PUTNAM 746809102	B	0.00	2.57	0.00	2.57	80.0	2.06
09/15/2017	QGW007411	OPPELT, MARION	WELLS FARGO OPPORTUNITY FD ADMIN	B	0.00	1.87	0.00	1.87	80.0	1.50
09/14/2017	QGW008203	MCGOWAN, DIANE	FRK FL TF INC FND - CL A	B	0.00	1.15	0.00	1.15	80.0	0.92
09/21/2017	QGW008203	MCGOWAN, DIANE	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	2.61	0.00	2.61	80.0	2.09
09/15/2017	QGW022154	MANOS, WAYNE	FINANCIAL INDUSTRIES A	B	0.00	5.98	0.00	5.98	80.0	4.78
09/15/2017	QGW022154	MANOS, WAYNE	GOLDMAN SACHS CAPITAL GROWTH FUND	C B	0.00	7.99	0.00	7.99	80.0	6.39
09/19/2017	QGW022154	MANOS, WAYNE	JANUS HENDERSON EUROPEAN FOCUS FUND	B	0.00	10.50	0.00	10.50	80.0	8.40
09/19/2017	QGW022154	MANOS, WAYNE	PUTNAM 746802800	B	0.00	0.64	0.00	0.64	80.0	0.51
09/11/2017	QGW023731	REILLY, DAVID	ALLIANCEBERNSTEIN GROWTH AND INC A	B	0.00	0.74	0.00	0.74	80.0	0.59
09/14/2017	QGW023731	REILLY, DAVID	MFS INTERNATIONAL NEW DISCOVERY FUN	B	0.00	0.26	0.00	0.26	80.0	0.21
09/14/2017	QGW023731	REILLY, DAVID	MFS TOTAL RETURN FUND-A	B	0.00	0.68	0.00	0.68	80.0	0.54
09/14/2017	QGW023731	REILLY, DAVID	TEMP FRGN FND - CL A	B	0.00	0.32	0.00	0.32	80.0	0.26
09/15/2017	QGW023731	REILLY, DAVID	DELAWARE REAL ESTATE INVESTMENT TRU	B	0.00	0.28	0.00	0.28	80.0	0.22

COMMISSION STATEMENT for HENRY HACKEL

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

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/15/2017	QGW023731	REILLY, DAVID	WELLS FARGO ADVANTAGE SMALL-CAP VAL B	0.00	0.51	0.00	0.51	80.0	0.41
09/18/2017	QGW023731	REILLY, DAVID	FIRST EAGLE GLOBAL FUND CLASS A B	0.00	0.59	0.00	0.59	80.0	0.47
09/18/2017	QGW023731	REILLY, DAVID	THE GROWTH FUND OF AMERICA-A B	0.00	1.00	0.00	1.00	80.0	0.80
09/18/2017	QGW023731	REILLY, DAVID	WASHINGTON MUTUAL INVESTORS FUND-A B	0.00	1.14	0.00	1.14	80.0	0.91
09/21/2017	QGW023731	REILLY, DAVID	CAPITAL INCOME A B	0.00	1.92	0.00	1.92	80.0	1.54
09/21/2017	QGW023731	REILLY, DAVID	GLOBAL FUND A B	0.00	0.46	0.00	0.46	80.0	0.37
09/18/2017	QGW028250	SAG LLC	CAPITAL WORLD GROWTH & INCOME FUND B	0.00	23.98	0.00	23.98	80.0	19.18
09/14/2017	QGW031999	HEIDENREICH, CLAIRE	FRANKLIN INCOME FUND CLASS A B	0.00	0.42	0.00	0.42	80.0	0.34
09/13/2017	QGW035065	LIEBERT, JAMES	VAN ECK INTERNATIONAL INVESTORS GOL B	0.00	16.97	0.00	16.97	80.0	13.58
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3,647.50	\$0.00	\$3,647.50		\$2,918.06
*** BROKER TRANSACTIONS TOTAL ***				\$-299,469.43	\$12,654.38	\$0.00	\$12,654.38		\$10,123.56

BROKER COMMISSION TOTALS

Broker Transactions	\$10,123.56
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	\$-15.82
SIPC Assessment	\$-31.64

Check Amount	\$10,076.10
Year-to-date Earnings	\$36,394.03