

COMMISSION STATEMENT

September 29, 2017

MARTIN MCNEILL

25 Pineneck Avenue

Sag Harbor, NY 11963-

BROKER #: 78

BRANCH: HOME OFFICE

COMMISSION STATEMENT for MARTIN MCNEILL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
08/29/2017	QGV001100 AND EDWARD FRENCH	AXOGEN INC COM	B	8,458.00	73.00	0.00	73.00	40.0	29.20
08/29/2017	QGV001100 AND EDWARD FRENCH	EXELIXIS INC	B	13,802.50	73.00	0.00	73.00	40.0	29.20
08/30/2017	QGV001100 AND EDWARD FRENCH	INTRA-CELLULAR THERAPIES INC COM	B	8,715.00	73.00	0.00	73.00	40.0	29.20
08/31/2017	QGV001100 AND EDWARD FRENCH	AXOGEN INC COM	B	8,781.15	73.00	0.00	73.00	40.0	29.20
08/31/2017	QGV001100 AND EDWARD FRENCH	BLUEBIRD BIO INC COM	B	11,985.00	73.00	0.00	73.00	40.0	29.20
08/31/2017	QGV001100 AND EDWARD FRENCH	EXACT SCIENCES CORP	B	8,395.76	73.00	0.00	73.00	40.0	29.20
08/31/2017	QGV001100 AND EDWARD FRENCH	INTRA-CELLULAR THERAPIES INC COM	B	9,188.00	73.00	0.00	73.00	40.0	29.20
08/31/2017	QGV001100 AND EDWARD FRENCH	MAZOR ROBOTICS LTD SPONSORED ADS	B	9,673.48	73.00	0.00	73.00	40.0	29.20
09/01/2017	QGV001100 AND EDWARD FRENCH	ACORN ENERGY INC COM	S	-850.00	73.00	0.00	73.00	40.0	29.20
09/05/2017	QGV001100 AND EDWARD FRENCH	BLUEBIRD BIO INC COM	S	-36,315.00	73.00	0.00	73.00	40.0	29.20
09/06/2017	QGV001100 AND EDWARD FRENCH	EXACT SCIENCES CORP	B	8,573.86	73.00	0.00	73.00	40.0	29.20
09/06/2017	QGV001100 AND EDWARD FRENCH	INTRA-CELLULAR THERAPIES INC COM	B	9,679.00	73.00	0.00	73.00	40.0	29.20
09/06/2017	QGV001100 AND EDWARD FRENCH	MAZOR ROBOTICS LTD SPONSORED ADS	S	-9,250.56	73.00	0.00	73.00	40.0	29.20
09/06/2017	QGV001100 AND EDWARD FRENCH	SHOPIFY INC CL A ISIN#CA82509L1076	B	22,209.92	73.00	0.00	73.00	40.0	29.20
09/07/2017	QGV001100 AND EDWARD FRENCH	BEIGENE LTD SPONSORED ADR ISIN#US07	B	22,796.40	73.00	0.00	73.00	40.0	29.20
09/07/2017	QGV001100 AND EDWARD FRENCH	THE TRADE DESK INC COM CL A	B	11,240.00	73.00	0.00	73.00	40.0	29.20
09/08/2017	QGV001100 AND EDWARD FRENCH	NEKTAR THERAPEUTICS COM	B	11,329.80	73.00	0.00	73.00	40.0	29.20
09/11/2017	QGV001100 AND EDWARD FRENCH	THERAPEUTICSMD INC	B	6,647.40	73.00	0.00	73.00	40.0	29.20
09/12/2017	QGV001100 AND EDWARD FRENCH	AEROVIRONMENT INC COM	B	14,684.37	73.00	0.00	73.00	40.0	29.20
09/14/2017	QGV001100 AND EDWARD FRENCH	BLUEBIRD BIO INC COM	B	26,860.00	73.00	0.00	73.00	40.0	29.20
09/18/2017	QGV001100 AND EDWARD FRENCH	BIOTELEMETRY INC COM	S	-9,540.09	73.00	0.00	73.00	40.0	29.20
09/18/2017	QGV001100 AND EDWARD FRENCH	CARDIOVASCULAR SYS INC DEL COM	S	-28,222.40	73.00	0.00	73.00	40.0	29.20
09/18/2017	QGV001100 AND EDWARD FRENCH	NVIDIA CORP	B	18,698.50	73.00	0.00	73.00	40.0	29.20
09/18/2017	QGV001100 AND EDWARD FRENCH	SQUARE INC CLASS A COM	B	5,767.98	73.00	0.00	73.00	40.0	29.20
09/19/2017	QGV001100 AND EDWARD FRENCH	CHINA LODGING GROUP LTD SPONSORED A	B	24,783.68	73.00	0.00	73.00	40.0	29.20
09/22/2017	QGV001100 AND EDWARD FRENCH	EXELIXIS INC	S	-12,280.05	73.00	0.00	73.00	40.0	29.20
09/22/2017	QGV001100 AND EDWARD FRENCH	KRAKEN ROBOTICS INC COM ISIN#CA5007	B	-1,546.00	-73.00	0.00	-73.00	40.0	-29.20 C
09/22/2017	QGV001100 AND EDWARD FRENCH	KRAKEN SONAR INC SHS ISIN#CA50076Y1	B	1,546.00	73.00	0.00	73.00	40.0	29.20
09/25/2017	QGV001100 AND EDWARD FRENCH	EXELIXIS INC	S	-24,023.60	73.00	0.00	73.00	40.0	29.20
09/26/2017	QGV001100 AND EDWARD FRENCH	BYD CO LTD ADR	B	9,325.00	73.00	0.00	73.00	40.0	29.20
09/27/2017	QGV001100 AND EDWARD FRENCH	AEROVIRONMENT INC COM	B	10,855.92	73.00	0.00	73.00	40.0	29.20

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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>									
09/27/2017	QGV001100 AND EDWARD FRENCH	BYD CO LTD ADR	B	9,975.00	73.00	0.00	73.00	40.0	29.20
09/27/2017	QGV001100 AND EDWARD FRENCH	INSULET CORP COM	S	-17,199.24	73.00	0.00	73.00	40.0	29.20
09/27/2017	QGV001100 AND EDWARD FRENCH	INTRA-CELLULAR THERAPIES INC COM	S	-8,800.10	73.00	0.00	73.00	40.0	29.20
09/15/2017	QGV002439 YALINEWITZ, BOAZ	YY INC ADS REPSTG COM CL A ISIN#US9 B	B	392,378.43	152.70	0.00	152.70	40.0	61.08
09/22/2017	QGW002180 FRENCH, JOHN	KRAKEN ROBOTICS INC COM ISIN#CA5007 B	B	1,546.00	73.00	0.00	73.00	40.0	29.20
09/20/2017	QGW002404 MAHARISHI UNIVERSITY	VANGUARD INDEX FDS VANGUARD SMALL-C S	S	-3,184.77	75.00	0.00	75.00	40.0	30.00
09/01/2017	QGW002701 HIDEAWAY FARM	VANECK VECTORS ETF TR GOLD MINERS E S	S	-12,390.05	75.00	0.00	75.00	40.0	30.00
09/08/2017	QGW002701 HIDEAWAY FARM	VANECK VECTORS ETF TR GOLD MINERS E S	S	-12,552.50	75.00	0.00	75.00	40.0	30.00
09/27/2017	QGW002719 HINDMARCH, JAMES	SILVERCORP METALS INC COM ISIN#CA82 S	S	-6,830.75	90.00	0.00	90.00	40.0	36.00
09/01/2017	QGW002925 BATHRICK, CHARLES	TAHOE RES INC COM ISIN#CA8738681037 S	S	-2,426.50	75.00	0.00	75.00	40.0	30.00
09/06/2017	QGW002925 BATHRICK, CHARLES	ORACLE CORPORATION	B	10,223.30	75.00	0.00	75.00	40.0	30.00
09/08/2017	QGW002925 BATHRICK, CHARLES	SUNPOWER CORPORATION	S	-2,590.05	75.00	0.00	75.00	40.0	30.00
09/11/2017	QGW002925 BATHRICK, CHARLES	INTRA-CELLULAR THERAPIES INC COM	B	4,237.00	75.00	0.00	75.00	40.0	30.00
09/13/2017	QGW002925 BATHRICK, CHARLES	INTEL CORP	B	7,219.00	75.00	0.00	75.00	40.0	30.00
09/14/2017	QGW002925 BATHRICK, CHARLES	HAWAIIAN ELEC INDS INC	B	6,735.20	75.00	0.00	75.00	40.0	30.00
09/14/2017	QGW002925 BATHRICK, CHARLES	INTRA-CELLULAR THERAPIES INC COM	B	5,850.18	75.00	0.00	75.00	40.0	30.00
09/25/2017	QGW002925 BATHRICK, CHARLES	NVIDIA CORP	B	17,346.55	75.00	0.00	75.00	40.0	30.00
09/27/2017	QGW002925 BATHRICK, CHARLES	INTRA-CELLULAR THERAPIES INC COM	S	-8,820.70	75.00	0.00	75.00	40.0	30.00
08/29/2017	QGW002974 CAIN, ANTHONY	AGNICO-EAGLE MINES LTD	B	51,721.00	150.00	0.00	150.00	40.0	60.00
08/29/2017	QGW002974 CAIN, ANTHONY	AGNICO-EAGLE MINES LTD	S	-50,523.30	150.00	0.00	150.00	40.0	60.00
08/29/2017	QGW002974 CAIN, ANTHONY	ALIBABA GROUP HOLDING LTD SPONSORED S	S	-247,425.00	225.00	0.00	225.00	40.0	90.00
08/29/2017	QGW002974 CAIN, ANTHONY	BERKSHIRE HATHAWAY INC DEL CL B	S	-177,615.10	150.00	0.00	150.00	40.0	60.00
08/30/2017	QGW002974 CAIN, ANTHONY	CIENA CORPORATION	S	-49,093.40	250.00	0.00	250.00	40.0	100.00
08/31/2017	QGW002974 CAIN, ANTHONY	AGNICO-EAGLE MINES LTD	B	51,069.60	150.00	0.00	150.00	40.0	60.00
08/31/2017	QGW002974 CAIN, ANTHONY	JD.COM INC SPONSORED ADR REPSTG COM B	B	84,298.40	250.00	0.00	250.00	40.0	100.00
09/07/2017	QGW002974 CAIN, ANTHONY	BAIDU INC SPONSORED ADR REPSTG ORD B	B	114,092.40	200.00	0.00	200.00	40.0	80.00
09/07/2017	QGW002974 CAIN, ANTHONY	NEWMONT MINING CORP (NEW)	B	39,355.00	150.00	0.00	150.00	40.0	60.00
09/08/2017	QGW002974 CAIN, ANTHONY	BAIDU INC SPONSORED ADR REPSTG ORD B	B	114,542.85	200.00	0.00	200.00	40.0	80.00
09/08/2017	QGW002974 CAIN, ANTHONY	BAIDU INC SPONSORED ADR REPSTG ORD S	S	-115,325.70	200.00	0.00	200.00	40.0	80.00
09/11/2017	QGW002974 CAIN, ANTHONY	BAIDU INC SPONSORED ADR REPSTG ORD S	S	-116,790.30	200.00	0.00	200.00	40.0	80.00
09/12/2017	QGW002974 CAIN, ANTHONY	ARRAY BIOPHARMA INC	B	9,985.00	150.00	0.00	150.00	40.0	60.00
09/12/2017	QGW002974 CAIN, ANTHONY	JD.COM INC SPONSORED ADR REPSTG COM S	S	-86,406.40	250.00	0.00	250.00	40.0	100.00
09/12/2017	QGW002974 CAIN, ANTHONY	ORACLE CORPORATION	B	52,665.00	150.00	0.00	150.00	40.0	60.00
09/13/2017	QGW002974 CAIN, ANTHONY	AGNICO-EAGLE MINES LTD	S	-97,001.20	250.00	0.00	250.00	40.0	100.00
09/13/2017	QGW002974 CAIN, ANTHONY	APPLE INC	B	158,835.00	250.00	0.00	250.00	40.0	100.00
09/13/2017	QGW002974 CAIN, ANTHONY	NEWMONT MINING CORP (NEW)	S	-37,921.80	150.00	0.00	150.00	40.0	60.00
09/13/2017	QGW002974 CAIN, ANTHONY	VANECK VECTORS ETF TR GOLD MINERS E S	S	-24,171.50	175.00	0.00	175.00	40.0	70.00
09/13/2017	QGW002974 CAIN, ANTHONY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	B	19,933.00	250.00	0.00	250.00	40.0	100.00
09/14/2017	QGW002974 CAIN, ANTHONY	ARRAY BIOPHARMA INC	B	10,138.80	150.00	0.00	150.00	40.0	60.00
09/14/2017	QGW002974 CAIN, ANTHONY	COCA COLA COMPANY (THE)	B	92,139.80	250.00	0.00	250.00	40.0	100.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
09/14/2017	QGW002974	CAIN, ANTHONY		HAWAIIAN ELEC INDS INC	B	67,494.80	250.00	0.00	250.00 40.0 100.00
09/15/2017	QGW002974	CAIN, ANTHONY		ARRAY BIOPHARMA INC	S	-22,172.60	250.00	0.00	250.00 40.0 100.00
09/15/2017	QGW002974	CAIN, ANTHONY		BLUEBIRD BIO INC COM	B	65,210.00	150.00	0.00	150.00 40.0 60.00
09/15/2017	QGW002974	CAIN, ANTHONY		ORACLE CORPORATION	B	49,535.00	150.00	0.00	150.00 40.0 60.00
09/18/2017	QGW002974	CAIN, ANTHONY		APPLE INC	S	-159,301.70	200.00	0.00	200.00 40.0 80.00
09/18/2017	QGW002974	CAIN, ANTHONY		SINA CORPORATION FORMERLY SINA COM	B	115,055.50	200.00	0.00	200.00 40.0 80.00
09/19/2017	QGW002974	CAIN, ANTHONY		NVIDIA CORP	B	92,654.30	200.00	0.00	200.00 40.0 80.00
09/19/2017	QGW002974	CAIN, ANTHONY		NVIDIA CORP	S	-94,267.00	150.00	0.00	150.00 40.0 60.00
09/19/2017	QGW002974	CAIN, ANTHONY		SINA CORPORATION FORMERLY SINA COM	S	-116,531.70	200.00	0.00	200.00 40.0 80.00
09/19/2017	QGW002974	CAIN, ANTHONY		YY INC ADS REPSTG COM CL A ISIN#US9	B	114,599.10	225.00	0.00	225.00 40.0 90.00
09/20/2017	QGW002974	CAIN, ANTHONY		BLUEBIRD BIO INC COM	S	-65,875.00	150.00	0.00	150.00 40.0 60.00
09/20/2017	QGW002974	CAIN, ANTHONY		COCA COLA COMPANY (THE)	S	-91,264.80	150.00	0.00	150.00 40.0 60.00
09/20/2017	QGW002974	CAIN, ANTHONY		HAWAIIAN ELEC INDS INC	S	-66,628.20	150.00	0.00	150.00 40.0 60.00
09/20/2017	QGW002974	CAIN, ANTHONY		LAS VEGAS SANDS CORP	B	127,195.80	250.00	0.00	250.00 40.0 100.00
09/20/2017	QGW002974	CAIN, ANTHONY		TENCENT HOLDINGS LIMITED UNSPONSORE	B	89,079.20	250.00	0.00	250.00 40.0 100.00
09/20/2017	QGW002974	CAIN, ANTHONY		VIPSHOP HLDGS LTD SPONS ADR ISIN#US	S	-18,867.00	150.00	0.00	150.00 40.0 60.00
09/20/2017	QGW002974	CAIN, ANTHONY		YY INC ADS REPSTG COM CL A ISIN#US9	S	-119,129.40	225.00	0.00	225.00 40.0 90.00
09/25/2017	QGW002974	CAIN, ANTHONY		SINA CORPORATION FORMERLY SINA COM	B	56,579.95	150.00	0.00	150.00 40.0 60.00
09/26/2017	QGW002974	CAIN, ANTHONY		NEUROCRINE BIOSCIENCES INC COM	B	57,377.70	150.00	0.00	150.00 40.0 60.00
09/27/2017	QGW002974	CAIN, ANTHONY		NEUROCRINE BIOSCIENCES INC COM	S	-58,501.80	150.00	0.00	150.00 40.0 60.00
09/27/2017	QGW002974	CAIN, ANTHONY		OCCIDENTAL PETE CORP	B	64,796.30	150.00	0.00	150.00 40.0 60.00
09/27/2017	QGW002974	CAIN, ANTHONY		ROYAL DUTCH SHELL PLC SPONSORED ADR	B	61,636.60	150.00	0.00	150.00 40.0 60.00
09/27/2017	QGW002974	CAIN, ANTHONY		SINA CORPORATION FORMERLY SINA COM	S	-56,381.35	150.00	0.00	150.00 40.0 60.00
09/05/2017	QGW003345	COOKE, ROBERT		IAMGOLD CORP COM ISIN#CA4509131088	B	20,775.00	75.00	0.00	75.00 40.0 30.00
09/22/2017	QGW003345	COOKE, ROBERT		ANADARKO PETROLEUM CORP	S	-14,775.00	75.00	0.00	75.00 40.0 30.00
09/06/2017	QGW003568	SZTELLE, MATTHEW		FIRST MAJESTIC SILVER CORP	B	2,422.17	75.00	0.00	75.00 40.0 30.00
09/08/2017	QGW004392	VALENTINE, OLIVIA		ARCONIC INC COM	S	-48,160.00	250.00	0.00	250.00 40.0 100.00
09/13/2017	QGW004392	VALENTINE, OLIVIA		STRYKER CORP	B	143,512.70	250.00	0.00	250.00 40.0 100.00
09/19/2017	QGW008468	DRUERY, MARIE		WEYERHAEUSER CO	S	-10,807.39	250.00	0.00	250.00 40.0 100.00
09/25/2017	QGW021867	MERGOTT, JONATHAN		MCEWEN MINING INC	B	2,056.20	75.00	0.00	75.00 40.0 30.00
09/05/2017	QGW021990	STEINMETZ, GEORGE		BLACKSTONE GROUP L P (THE) COMMON U	S	-16,000.00	60.00	0.00	60.00 40.0 24.00
09/06/2017	QGW021990	STEINMETZ, GEORGE		ISHARES NASDAQ BIOTECHNOLOGY INDEX	B	18,424.99	60.00	0.00	60.00 40.0 24.00
09/14/2017	QGW021990	STEINMETZ, GEORGE		MOMO INC ADR	B	13,719.56	60.00	0.00	60.00 40.0 24.00
09/15/2017	QGW021990	STEINMETZ, GEORGE		ALPHABET INC CLASS C CAPITAL STOCK	S	-8,276.76	60.00	0.00	60.00 40.0 24.00
09/15/2017	QGW021990	STEINMETZ, GEORGE		FACEBOOK INC CL A	S	-6,846.14	60.00	0.00	60.00 40.0 24.00
09/20/2017	QGW021990	STEINMETZ, GEORGE		CURRENCYSHARES AUSTRALIAN DLR TR A	S	-40,047.40	60.00	0.00	60.00 40.0 24.00
09/20/2017	QGW021990	STEINMETZ, GEORGE		ROYAL CARIBBEAN CRUISES LTD ISIN#LR	B	18,575.68	60.00	0.00	60.00 40.0 24.00
09/06/2017	QGW029290	BAUMHARDT, DANECA		WHEATON PRECIOUS METALS CORP COM	B	10,318.25	75.00	0.00	75.00 40.0 30.00
09/07/2017	QGW029290	BAUMHARDT, DANECA		FRANCO-NEVADA CORPORATION	S	-41,696.55	75.00	0.00	75.00 40.0 30.00
09/25/2017	QGW029290	BAUMHARDT, DANECA		FRANCO-NEVADA CORPORATION	B	39,207.75	75.00	0.00	75.00 40.0 30.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: OPTIONS

* STOCKS SUBTOTAL *	\$513,883.93	\$13,746.70	\$0.00	\$13,746.70	\$5,498.68
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PRODUCT CATEGORY: OPTIONS

08/31/2017 QGW004665 JOSEPH FRY	CALL 100 GLOBAL X FDS GLOBAL X URAN S	-3,850.00	100.00	0.00	100.00	40.0	40.00
* OPTIONS SUBTOTAL *	\$-3,850.00	\$100.00	\$0.00	\$100.00	\$40.00		

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/15/2017 QGW002511 SKELLY, HENRY	COLUMBIA NEW YORK TAX EXEMPT FUND C B	0.00	13.34	0.00	13.34	40.0	5.34
09/20/2017 QGW002776 ROBERTS, JAMES	FEDERATED PRUDENT BEAR FUND CLASS A B	0.00	0.98	0.00	0.98	40.0	0.39
09/25/2017 QGW002776 ROBERTS, JAMES	VOYA GLOBAL EQUITY FUND CLASS A B	0.00	0.46	0.00	0.46	40.0	0.18
09/11/2017 QGW008468 DRUERY, MARIE	LOOMIS SAYLES INVESTMENT GRADE BOND B	0.00	2.10	0.00	2.10	40.0	0.84
09/20/2017 QGW022113 ROBERTS, PAGE	FEDERATED PRUDENT BEAR FUND CLASS A B	0.00	0.45	0.00	0.45	40.0	0.18
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$17.33	\$0.00	\$17.33	\$6.93		
*** BROKER TRANSACTIONS TOTAL ***	\$510,033.93	\$13,864.03	\$0.00	\$13,864.03	\$5,545.61		

ADJUSTMENTS

09/29/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
09/29/2017	OTHER: OTHER-JOHN GILBERT	0.00	0.00	0.00	0.00	-223.75
09/29/2017	OTHER: OTHER-ERROR SUPN	0.00	0.00	0.00	0.00	280.00
*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$36.25	

BROKER COMMISSION TOTALS

Broker Transactions	\$5,545.61
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$36.25
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-17.33
SIPC Assessment	\$-34.66

Check Amount	\$5,529.87
Year-to-date Earnings	\$24,856.59