

COMMISSION STATEMENT

April 30, 2017

ANDREW STUART SACHS

1 DEVONSHIRE COURT

PLAINVIEW, NY 11803

BROKER #:

BRANCH: HOME OFFICE

COMMISSION STATEMENT for ANDREW STUART SACHS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
04/17/2017	QGW032047	SHIER, ANDY		COMMERCIAL METALS CO	S	-14,160.00	75.00	0.00	75.00 82.5 61.88
04/18/2017	QGW032054	PAEGLOW, JOSEPH		INTERNATIONAL BUSINESS MACHINES COR B		16,190.00	250.00	0.00	250.00 82.5 206.25
04/19/2017	QGW032054	PAEGLOW, JOSEPH		COMMERCIAL METALS CO	S	-8,750.00	75.00	0.00	75.00 82.5 61.88
04/17/2017	QGW032070	H OEI, HOWARD		ALIBABA GROUP HOLDING LTD SPONSORED B		11,130.00	350.00	0.00	350.00 82.5 288.75
03/30/2017	QGW032104	DAVIDOV, WILLIAM		SIMULATIONS PLUS INC COM	B	3,420.00	50.00	0.00	50.00 82.5 41.25
04/06/2017	QGW032104	DAVIDOV, WILLIAM		ADVANCED MICRO DEVICES INC	S	-2,600.00	35.00	0.00	35.00 82.5 28.88
04/06/2017	QGW032104	DAVIDOV, WILLIAM		APPLIED MATERIALS INC	S	-3,800.00	35.00	0.00	35.00 82.5 28.88
04/10/2017	QGW032104	DAVIDOV, WILLIAM		INTEVAC INC COM	B	1,950.00	40.00	0.00	40.00 82.5 33.00
04/21/2017	QGW032104	DAVIDOV, WILLIAM		APOLLO GLOBAL MANAGEMENT LLC CL A S B		3,822.00	40.00	0.00	40.00 82.5 33.00
04/25/2017	QGW032104	DAVIDOV, WILLIAM		BARRICK GOLD CORP	S	-2,700.00	35.00	0.00	35.00 82.5 28.88
04/25/2017	QGW032112	CIARLO, ANTHONY		ALIBABA GROUP HOLDING LTD SPONSORED B		8,041.60	235.00	0.00	235.00 82.5 193.88
03/30/2017	QGW032138	AUCHSTETTER, GERALD		MEAD JOHNSON NUTRITION COMPANY COMM B		11,128.75	250.00	0.00	250.00 82.5 206.25
04/11/2017	QGW032245	D'ADAMO, WILLIAM		MICRON TECHNOLOGY INC	S	-13,600.00	150.00	0.00	150.00 82.5 123.75
04/19/2017	QGW032245	D'ADAMO, WILLIAM		INTERNATIONAL BUSINESS MACHINES COR B		12,928.00	275.00	0.00	275.00 82.5 226.88
04/11/2017	QGW032393	VARAGANTI, PRAVEEN		MICRON TECHNOLOGY INC	S	-3,105.00	100.00	0.00	100.00 82.5 82.50
04/12/2017	QGW032393	VARAGANTI, PRAVEEN		ALIBABA GROUP HOLDING LTD SPONSORED B		2,873.00	75.00	0.00	75.00 82.5 61.88
04/18/2017	QGW032484	SILVER, THEODORE		INTERNATIONAL BUSINESS MACHINES COR B		16,190.00	250.00	0.00	250.00 82.5 206.25
04/18/2017	QGW032484	SILVER, THEODORE		INTERNATIONAL BUSINESS MACHINES COR B		-16,190.00	-250.00	0.00	-250.00 82.5 -206.25 C
04/25/2017	QGW032484	SILVER, THEODORE		INTERNATIONAL BUSINESS MACHINES COR B		16,086.00	300.00	0.00	300.00 82.5 247.50
04/05/2017	QGW033102	SHIPLEY, CRAIG		SEADRILL LIMITED SHS	S	-450.00	15.00	0.00	15.00 82.5 12.38
04/06/2017	QGW033227	WHITE, CLARENCE		VODAFONE GROUP PLC SPONSORED ADR NO B		5,160.00	150.00	0.00	150.00 82.5 123.75
04/11/2017	QGW033268	SACHS, STEVEN		TELEFLEX INCORPORATED	S	-6,874.00	10.00	0.00	10.00 82.5 8.25
04/19/2017	QGW033300	SECCHIANO, EMILIA		INTERNATIONAL BUSINESS MACHINES COR B		12,934.40	375.00	0.00	375.00 82.5 309.38
04/19/2017	QGW033318	CUSTODIAN, EMILIA		MAZOR ROBOTICS LTD SPONSORED ADS	B	6,556.00	100.00	0.00	100.00 82.5 82.50
04/07/2017	QGW033334	FERRARO, SARAH		MANNKIND CORPORATION COMMON STOCK	S	-528.00	25.00	0.00	25.00 82.5 20.63
04/06/2017	QGW033581	RYKEN, MICHAEL		MICRON TECHNOLOGY INC	S	-21,093.00	250.00	0.00	250.00 82.5 206.25
				* STOCKS SUBTOTAL *		\$34,559.75	\$3,295.00	\$0.00	\$3,295.00 \$2,718.43

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: BONDS										
04/04/2017	QGW032013	STROPE, DALE		HERTZ CORP SR NT FULLY EXCH FROM 40 B	28,762.50	750.00	0.00	750.00	82.5	618.75
04/11/2017	QGW032039	SANDERS, RALPH		HERTZ CORP SR NT FULLY EXCH FROM 40 B	18,500.00	500.00	0.00	500.00	82.5	412.50
04/04/2017	QGW032047	SHIER, ANDY		HERTZ CORP SR NT FULLY EXCH FROM 40 B	28,762.50	750.00	0.00	750.00	82.5	618.75
04/10/2017	QGW032047	SHIER, ANDY		HERTZ CORP SR NT FULLY EXCH FROM 40 B	18,675.00	500.00	0.00	500.00	82.5	412.50
04/04/2017	QGW032062	SIADÉ, RANDY		HERTZ CORP SR NT FULLY EXCH FROM 40 B	13,422.50	350.00	0.00	350.00	82.5	288.75
04/18/2017	QGW032153	LONGWORTH, RICHARD		HERTZ CORP SR NT FULLY EXCH FROM 40 B	9,350.00	250.00	0.00	250.00	82.5	206.25
04/05/2017	QGW032542	CHRIST, PHILIP		HERTZ CORP SR NT FULLY EXCH FROM 40 B	9,587.50	250.00	0.00	250.00	82.5	206.25
04/04/2017	QGW033102	SHIPLEY, CRAIG		HERTZ CORP SR NT FULLY EXCH FROM 40 B	9,587.50	250.00	0.00	250.00	82.5	206.25
* BONDS SUBTOTAL *					\$136,647.50	\$3,600.00	\$0.00	\$3,600.00		\$2,970.00
PRODUCT CATEGORY: OPTIONS										
04/18/2017	QGW032039	SANDERS, RALPH		PUT 100 QUALCOMM INC EXP 04-28-17@5 B	685.00	30.00	0.00	30.00	82.5	24.75
04/21/2017	QGW032039	SANDERS, RALPH		PUT 100 QUALCOMM INC EXP 04-28-17@5 S	-325.00	15.00	0.00	15.00	82.5	12.38
04/18/2017	QGW032047	SHIER, ANDY		PUT 100 QUALCOMM INC EXP 04-28-17@5 B	625.00	30.00	0.00	30.00	82.5	24.75
04/21/2017	QGW032047	SHIER, ANDY		PUT 100 QUALCOMM INC EXP 04-28-17@5 S	-325.00	15.00	0.00	15.00	82.5	12.38
04/18/2017	QGW032054	PAEGLOW, JOSEPH		PUT 100 QUALCOMM INC EXP 04-28-17@5 B	675.00	30.00	0.00	30.00	82.5	24.75
04/21/2017	QGW032054	PAEGLOW, JOSEPH		PUT 100 QUALCOMM INC EXP 04-28-17@5 S	-325.00	15.00	0.00	15.00	82.5	12.38
04/19/2017	QGW032237	PETERSON, SHAWN		PUT 100 QUALCOMM INC EXP 04-28-17@5 B	500.00	30.00	0.00	30.00	82.5	24.75
04/21/2017	QGW032237	PETERSON, SHAWN		PUT 100 QUALCOMM INC EXP 04-28-17@5 S	-180.00	15.00	0.00	15.00	82.5	12.38
04/26/2017	QGW032674	ONESTO, RICHARD		CALL 100 MAZOR ROBOTICS LTD SPONSOR S	-2,080.00	30.00	0.00	30.00	82.5	24.75
04/26/2017	QGW032674	ONESTO, RICHARD		CALL 100 MAZOR ROBOTICS LTD SPONSOR B	2,480.00	30.00	0.00	30.00	82.5	24.75
04/19/2017	QGW033870	BROWN, KENNETH		PUT 100 QUALCOMM INC EXP 04-28-17@5 B	630.00	30.00	0.00	30.00	82.5	24.75
04/21/2017	QGW033870	BROWN, KENNETH		PUT 100 QUALCOMM INC EXP 04-28-17@5 S	-225.00	15.00	0.00	15.00	82.5	12.38
* OPTIONS SUBTOTAL *					\$2,135.00	\$285.00	\$0.00	\$285.00		\$235.15
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
04/17/2017	QGW033185	DEVORE, DOREEN		AIT ARROW DWA BALANCED FUND CLASS C B	0.00	5.86	0.00	5.86	82.5	4.83
04/18/2017	QGW033185	DEVORE, DOREEN		WELLS FARGO EMERGING MARKETS EQUITY B	0.00	0.47	0.00	0.47	82.5	0.39
04/20/2017	QGW033383	DEROIN, KATHLEEN		FRK AGE HIGH INC FND - CL A B	0.00	0.70	0.00	0.70	82.5	0.58
04/20/2017	QGW035305	POORMAN, JEFFREY		FRANKLIN INCOME FUND CLASS A B	0.00	0.25	0.00	0.25	82.5	0.21
04/20/2017	QGW035305	POORMAN, JEFFREY		MUTUAL SERIES SHARES CLASS A B	0.00	0.47	0.00	0.47	82.5	0.39
04/18/2017	QGW036923	CHAPMAN, HERBERT		EUROPACIFIC GROWTH FUND-A B	0.00	0.28	0.00	0.28	82.5	0.23
04/18/2017	QGW036923	CHAPMAN, HERBERT		FUNDAMENTAL INVESTORS-A B	0.00	0.35	0.00	0.35	82.5	0.29
04/18/2017	QGW036923	CHAPMAN, HERBERT		SMALLCAP WORLD FUND-A B	0.00	0.16	0.00	0.16	82.5	0.13
04/18/2017	QGW036923	CHAPMAN, HERBERT		THE BOND FUND OF AMERICA-A B	0.00	0.28	0.00	0.28	82.5	0.23
04/18/2017	QGW036923	CHAPMAN, HERBERT		THE GROWTH FUND OF AMERICA-A B	0.00	0.35	0.00	0.35	82.5	0.29
04/18/2017	QGW036923	CHAPMAN, HERBERT		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	0.16	0.00	0.16	82.5	0.13
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$9.33	\$0.00	\$9.33		\$7.70
*** BROKER TRANSACTIONS TOTAL ***					\$173,342.25	\$7,189.33	\$0.00	\$7,189.33		\$5,931.28

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
04/30/2017		OTHER: OTHER-TECHNOLOGY		0.00	0.00	0.00	0.00		-123.75
04/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-123.75
04/30/2017		OTHER: OTHER-WILLIAM PENN		0.00	0.00	0.00	0.00		77.14
04/30/2017		OTHER: OTHER-QUEST		0.00	0.00	0.00	0.00		-82.50
04/30/2017		OTHER: OTHER-POSTAGE		0.00	0.00	0.00	0.00		-61.74
04/30/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-5.00
04/30/2017		:		0.00	0.00	0.00	0.00		0.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-319.60

BROKER COMMISSION TOTALS

Broker Transactions	\$5,931.28
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-319.60
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-8.99
SIPC Assessment	\$-134.80

Check Amount	\$5,467.89
Year-to-date Earnings	\$31,634.29