

## COMMISSION STATEMENT

August 31, 2018

PHYLLIS FATTORUSO  
89-40 151ST AVENUE  
APT 5G  
HOWARD BEACH, NY 11414

BROKER #: P80  
BRANCH: HOME OFFICE

## COMMISSION STATEMENT for PHYLLIS FATTORUSO

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b>PRODUCT CATEGORY: STOCKS</b>									
07/30/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-15,671.70	25.00	0.00	25.00 52.0 13.00
08/02/2018	QGW007700	SARNA, MARK		TEVA PHARMACEUTICAL INDUSTRIES LIM	B	22,047.50	50.00	0.00	50.00 52.0 26.00
08/03/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-31,463.00	50.00	0.00	50.00 52.0 26.00
08/03/2018	QGW007700	SARNA, MARK		IQIYI INC SPONS ADR ISIN#US46267X10	B	28,452.90	50.00	0.00	50.00 52.0 26.00
08/06/2018	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	5,458.80	100.00	0.00	100.00 52.0 52.00
08/13/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-61,124.40	100.00	0.00	100.00 52.0 52.00
08/17/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	B	140,000.00	250.00	0.00	250.00 52.0 130.00
08/17/2018	QGW007700	SARNA, MARK		GENERAL ELECTRIC CO	B	24,000.00	100.00	0.00	100.00 52.0 52.00
08/20/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-61,724.20	100.00	0.00	100.00 52.0 52.00
08/21/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-31,213.20	50.00	0.00	50.00 52.0 26.00
08/23/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-61,618.80	50.00	0.00	50.00 52.0 26.00
08/24/2018	QGW007700	SARNA, MARK		TEVA PHARMACEUTICAL INDUSTRIES LIM	S	-23,060.00	50.00	0.00	50.00 52.0 26.00
08/02/2018	QGW007825	SARNA FAMILY LTD		TEVA PHARMACEUTICAL INDUSTRIES LIM	B	22,047.50	50.00	0.00	50.00 52.0 26.00
08/03/2018	QGW007825	SARNA FAMILY LTD		BANK OF AMERICA CORP	S	-31,463.00	50.00	0.00	50.00 52.0 26.00
08/03/2018	QGW007825	SARNA FAMILY LTD		IQIYI INC SPONS ADR ISIN#US46267X10	B	28,450.00	50.00	0.00	50.00 52.0 26.00
08/06/2018	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	8,188.20	150.00	0.00	150.00 52.0 78.00
08/17/2018	QGW007825	SARNA FAMILY LTD		BANK OF AMERICA CORP	B	168,000.00	300.00	0.00	300.00 52.0 156.00
08/17/2018	QGW007825	SARNA FAMILY LTD		GENERAL ELECTRIC CO	B	24,000.00	100.00	0.00	100.00 52.0 52.00
08/20/2018	QGW007825	SARNA FAMILY LTD		BANK OF AMERICA CORP	S	-61,729.20	100.00	0.00	100.00 52.0 52.00
08/21/2018	QGW007825	SARNA FAMILY LTD		GOLDMAN SACHS GROUP INC	S	-239,030.10	50.00	0.00	50.00 52.0 26.00
08/22/2018	QGW007825	SARNA FAMILY LTD		ALIBABA GROUP HOLDING LTD SPONSORED	B	177,119.50	50.00	0.00	50.00 52.0 26.00
08/22/2018	QGW007825	SARNA FAMILY LTD		GOLDMAN SACHS GROUP INC	S	-239,340.00	50.00	0.00	50.00 52.0 26.00
08/29/2018	QGW028755	SARNA, MARK		ANTARES PHARMA INC COM	B	3,699.90	126.83	0.00	126.83 52.0 65.95
08/29/2018	QGW029993	SARNA, MARK		ANTARES PHARMA INC COM	B	3,699.90	126.83	0.00	126.83 52.0 65.95
08/29/2018	QGW036618	SARNA, MARK		ANTARES PHARMA INC COM	B	3,699.90	50.00	0.00	50.00 52.0 26.00
				<b>* STOCKS SUBTOTAL *</b>		<b>\$-198,573.50</b>	<b>\$2,228.66</b>	<b>\$0.00</b>	<b>\$2,228.66 \$1,158.90</b>

**PRODUCT CATEGORY: OPTIONS**

08/03/2018	QGW007700	SARNA, MARK		CALL 100 BANK OF AMERICA CORPORATIO	B	560.00	40.00	0.00	40.00 52.0 20.80
08/03/2018	QGW007700	SARNA, MARK		CALL 100 IQIYI INC SPONS ADR ISIN#U	S	-1,150.00	30.00	0.00	30.00 52.0 15.60
08/07/2018	QGW007700	SARNA, MARK		CALL 100 IQIYI INC SPONS ADR ISIN#U	B	2,150.00	30.00	0.00	30.00 52.0 15.60

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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: OPTIONS</u>									
08/09/2018	QGW007700	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX B	12,100.00	300.00	0.00	300.00	52.0 156.00
08/10/2018	QGW007700	SARNA, MARK	CALL 100	GOLDMAN SACHS GROUP INC CO B	11,700.00	40.00	0.00	40.00	52.0 20.80
08/13/2018	QGW007700	SARNA, MARK	CALL 100	GOLDMAN SACHS GROUP INC CO B	9,850.00	40.00	0.00	40.00	52.0 20.80
08/13/2018	QGW007700	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX B	7,680.00	90.00	0.00	90.00	52.0 46.80
08/15/2018	QGW007700	SARNA, MARK	CALL 100	BANK OF AMERICA CORPORATIO S	-7,530.00	90.00	0.00	90.00	52.0 46.80
08/15/2018	QGW007700	SARNA, MARK	CALL 100	BANK OF AMERICA CORPORATIO B	15,200.00	300.00	0.00	300.00	52.0 156.00
08/15/2018	QGW007700	SARNA, MARK	CALL 100	BANK OF AMERICA CORPORATIO S	-7,050.00	90.00	0.00	90.00	52.0 46.80
08/15/2018	QGW007700	SARNA, MARK	CALL 100	BANK OF AMERICA CORPORATIO S	7,530.00	-90.00	0.00	-90.00	52.0 -46.80 C
08/16/2018	QGW007700	SARNA, MARK	CALL 100	BANK OF AMERICA CORPORATIO S	-5,520.00	60.00	0.00	60.00	52.0 31.20
08/16/2018	QGW007700	SARNA, MARK	CALL 100	BANK OF AMERICA CORPORATIO S	-2,730.00	30.00	0.00	30.00	52.0 15.60
08/17/2018	QGW007700	SARNA, MARK	CALL 100	FREEPORT-MCMORAN INC CL B B	5,760.00	90.00	0.00	90.00	52.0 46.80
08/17/2018	QGW007700	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX S	-1,869.70	140.00	0.00	140.00	52.0 72.80
08/20/2018	QGW007700	SARNA, MARK	CALL 100	GOLDMAN SACHS GROUP INC CO S	-31,552.00	80.00	0.00	80.00	52.0 41.60
08/23/2018	QGW007700	SARNA, MARK	CALL 100	ALIBABA GROUP HLDG LTD SPO B	12,490.00	40.00	0.00	40.00	52.0 20.80
08/23/2018	QGW007700	SARNA, MARK	CALL 100	FREEPORT-MCMORAN INC CL B B	4,660.00	60.00	0.00	60.00	52.0 31.20
08/24/2018	QGW007700	SARNA, MARK	CALL 100	GOLDMAN SACHS GROUP INC CO B	7,450.00	40.00	0.00	40.00	52.0 20.80
08/24/2018	QGW007700	SARNA, MARK	CALL 100	TEVA PHARMACEUTICAL INDUST B	3,260.00	40.00	0.00	40.00	52.0 20.80
08/27/2018	QGW007700	SARNA, MARK	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-16,000.00	40.00	0.00	40.00	52.0 20.80
08/27/2018	QGW007700	SARNA, MARK	CALL 100	GOLDMAN SACHS GROUP INC CO S	-13,400.00	40.00	0.00	40.00	52.0 20.80
08/28/2018	QGW007700	SARNA, MARK	CALL 100	ALIBABA GROUP HLDG LTD SPO B	29,486.00	80.00	0.00	80.00	52.0 41.60
07/31/2018	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC B	18,627.00	40.00	0.00	40.00	52.0 20.80
08/02/2018	QGW007825	SARNA FAMILY LTD	CALL 100	CHIPOTLE MEXICAN GRILL INC S	-30,000.00	40.00	0.00	40.00	52.0 20.80
08/03/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO B	560.00	40.00	0.00	40.00	52.0 20.80
08/03/2018	QGW007825	SARNA FAMILY LTD	CALL 100	IQIYI INC SPONS ADR ISIN#U S	-1,150.00	30.00	0.00	30.00	52.0 15.60
08/06/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO B	10,970.00	40.00	0.00	40.00	52.0 20.80
08/07/2018	QGW007825	SARNA FAMILY LTD	CALL 100	IQIYI INC SPONS ADR ISIN#U B	2,150.00	30.00	0.00	30.00	52.0 15.60
08/08/2018	QGW007825	SARNA FAMILY LTD	CALL 100	FACEBOOK INC CL A EXP 08-1 S	-3,100.00	30.00	0.00	30.00	52.0 15.60
08/08/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL MTRS CO COM EXP 08 S	-5,800.00	60.00	0.00	60.00	52.0 31.20
08/09/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL ELECTRIC CO COM EX B	12,100.00	300.00	0.00	300.00	52.0 156.00
08/10/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-11,800.00	40.00	0.00	40.00	52.0 20.80
08/10/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO B	11,700.00	40.00	0.00	40.00	52.0 20.80
08/13/2018	QGW007825	SARNA FAMILY LTD	CALL 100	FACEBOOK INC CL A EXP 08-1 S	-20,600.00	40.00	0.00	40.00	52.0 20.80
08/13/2018	QGW007825	SARNA FAMILY LTD	CALL 100	FACEBOOK INC CL A EXP 08-1 B	850.00	20.00	0.00	20.00	52.0 10.40
08/14/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO B	12,842.00	40.00	0.00	40.00	52.0 20.80
08/15/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO S	-7,530.00	90.00	0.00	90.00	52.0 46.80
08/15/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO B	15,200.00	300.00	0.00	300.00	52.0 156.00
08/15/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO S	-7,050.00	90.00	0.00	90.00	52.0 46.80
08/15/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO S	7,530.00	-90.00	0.00	-90.00	52.0 -46.80 C
08/15/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO S	-9,800.00	40.00	0.00	40.00	52.0 20.80
08/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO S	-5,520.00	60.00	0.00	60.00	52.0 31.20

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: OPTIONS										
08/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO S	-2,730.00	30.00	0.00	30.00	52.0	15.60
08/17/2018	QGW007825	SARNA FAMILY LTD	CALL 100	FREEPORT-MCMORAN INC CL B B	5,760.00	90.00	0.00	90.00	52.0	46.80
08/17/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO S	-13,450.00	40.00	0.00	40.00	52.0	20.80
08/17/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL ELECTRIC CO COM EX S	-1,869.70	140.00	0.00	140.00	52.0	72.80
08/20/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO S	-15,776.00	40.00	0.00	40.00	52.0	20.80
08/23/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO B	12,490.00	40.00	0.00	40.00	52.0	20.80
08/23/2018	QGW007825	SARNA FAMILY LTD	CALL 100	FREEPORT-MCMORAN INC CL B B	4,660.00	60.00	0.00	60.00	52.0	31.20
08/24/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO B	7,450.00	40.00	0.00	40.00	52.0	20.80
* OPTIONS SUBTOTAL *					\$29,787.60	\$3,460.00	\$0.00	\$3,460.00		\$1,799.20

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

08/31/2018		FEE COUNT - 2		0.00	25.77	0.00	25.77	52.0	13.40
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$25.77</b>	<b>\$0.00</b>	<b>\$25.77</b>		<b>\$13.40</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$-168,785.90</b>	<b>\$5,714.43</b>	<b>\$0.00</b>	<b>\$5,714.43</b>		<b>\$2,971.50</b>

**ADJUSTMENTS**

08/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
<b>*** ADJUSTMENTS TOTAL ***</b>				<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-20.00</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,971.50
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-7.14
SIPC Assessment	\$-14.29

<b>Check Amount</b>	<b>\$2,930.07</b>
<b>Year-to-date Earnings</b>	<b>\$14,454.51</b>