

COMMISSION STATEMENT

November 30, 2017

CHARLES WINNICK

970 PARK AVE

NEW YORK, NY 10028

BROKER #: 11

BRANCH: HOME OFFICE

COMMISSION STATEMENT for CHARLES WINNICK

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
11/01/2017	75501342 WINNICK, HILLARY	PBF ENERGY INC CL A	S	60,056.80	20.00	0.00	20.00	55.0	0.00
11/24/2017	75501342 WINNICK, HILLARY	ENTERCOM COMMUNICATIONS CORP CLASS	S	6,575.40	51.00	0.00	51.00	55.0	28.05
11/01/2017	75501345 WINNICK, JOELY	PBF ENERGY INC CL A	S	60,285.56	20.00	0.00	20.00	55.0	0.00
11/24/2017	75501345 WINNICK, JOELY	ENTERCOM COMMUNICATIONS CORP CLASS	S	6,575.40	51.00	0.00	51.00	55.0	28.05
11/10/2017	QGN005167 F/A/O EVENTIDE	THE TRADE DESK INC COM CL A	B	2,508,780.40	980.00	0.00	980.00	55.0	539.00
11/02/2017	QGV006075 PARTNERS, F/A/O:	WTS GENERAL MOTORS COMPANY	S	-37,686.90	60.00	0.00	60.00	55.0	33.00
11/21/2017	QGV006430 JPMORGAN CLEARING	AMERICAN RAILCAR INDS INC COM	B	159,098.76	211.30	0.00	211.30	55.0	116.22
11/22/2017	QGV006430 JPMORGAN CLEARING	AMERICAN RAILCAR INDS INC COM	B	136,729.60	179.20	0.00	179.20	55.0	98.56
11/24/2017	QGV006430 JPMORGAN CLEARING	SPDR SERIES TRUST SPDR BLOOMBERG BA S	-2,311,456.25	3,125.00	0.00	3,125.00	55.0	1,718.75	
11/24/2017	QGV006430 JPMORGAN CLEARING	SPDR SERIES TRUST SPDR BLOOMBERG BA S	2,311,456.25	-3,125.00	0.00	-3,125.00	55.0	-1,718.75	
11/24/2017	QGV006430 JPMORGAN CLEARING	SPDR SERIES TRUST SPDR BLOOMBERG BA S	-1,155,728.13	1,562.50	0.00	1,562.50	55.0	859.38	
11/27/2017	QGV006430 JPMORGAN CLEARING	AMERICAN RAILCAR INDS INC COM	B	95,031.11	124.15	0.00	124.15	55.0	68.28
11/21/2017	QGV006448 MORGAN STANLEY	AMERICAN RAILCAR INDS INC COM	B	159,098.76	211.30	0.00	211.30	55.0	116.22
11/22/2017	QGV006448 MORGAN STANLEY	AMERICAN RAILCAR INDS INC COM	B	136,729.60	179.20	0.00	179.20	55.0	98.56
11/24/2017	QGV006448 MORGAN STANLEY	SPDR SERIES TRUST SPDR BLOOMBERG BA S	-1,155,728.13	1,562.50	0.00	1,562.50	55.0	859.38	
11/27/2017	QGV006448 MORGAN STANLEY	AMERICAN RAILCAR INDS INC COM	B	95,031.11	124.15	0.00	124.15	55.0	68.28
11/17/2017	QGW031072 KRAFF REVOCABLE	OTONOMY INC COM	S	-139,008.75	2,500.00	0.00	2,500.00	55.0	1,375.00
11/17/2017	QGW031072 KRAFF REVOCABLE	ZIOPHARM ONCOLOGY INC	B	134,145.00	2,500.00	0.00	2,500.00	55.0	1,375.00
11/22/2017	QGW031098 KOPIN, BENJAMIN	ENTERCOM COMMUNICATIONS CORP CLASS	S	-6,603.50	51.00	0.00	51.00	55.0	28.05
10/31/2017	QGW031106 TIMYAN, PHILIP	FORESIGHT FINL GRP INC COM	B	32,482.50	20.00	0.00	20.00	55.0	0.00
11/22/2017	QGW031106 TIMYAN, PHILIP	ENTERCOM COMMUNICATIONS CORP CLASS	S	-6,603.50	51.00	0.00	51.00	55.0	28.05
11/22/2017	QGW031130 KOPIN, BENJAMIN	ENTERCOM COMMUNICATIONS CORP CLASS	S	-6,603.50	51.00	0.00	51.00	55.0	28.05
11/22/2017	QGW031148 KOPIN, ZACHARY	ENTERCOM COMMUNICATIONS CORP CLASS	S	-6,603.50	51.00	0.00	51.00	55.0	28.05
11/22/2017	QGW031155 KOPIN, JOSHUA	ENTERCOM COMMUNICATIONS CORP CLASS	S	-6,603.50	51.00	0.00	51.00	55.0	28.05
11/22/2017	QGW031163 KOPIN, JOSHUA	ENTERCOM COMMUNICATIONS CORP CLASS	S	-6,603.50	51.00	0.00	51.00	55.0	28.05
11/22/2017	QGW031171 KOPIN, ZACHARY	ENTERCOM COMMUNICATIONS CORP CLASS	S	-6,603.50	51.00	0.00	51.00	55.0	28.05
11/03/2017	QGW034852 HOLMES, MEGAN	CBL & ASSOC PPTYS INC	B	29,249.50	300.00	0.00	300.00	55.0	165.00
11/07/2017	QGW034852 HOLMES, MEGAN	NEPTUNE TECHNOLOGIES & BIOSOURCES I S	-24,752.50	100.00	0.00	100.00	55.0	55.00	
11/14/2017	QGW034852 HOLMES, MEGAN	OVERSTOCK COM INC DEL COM	B	106,400.00	100.00	0.00	100.00	55.0	55.00
11/15/2017	QGW034852 HOLMES, MEGAN	ULTRA PETROLEUM CORP REGISTERED SHS S	-50,902.69	235.92	0.00	235.92	55.0	129.76	
11/24/2017	QGW034852 HOLMES, MEGAN	OVERSTOCK COM INC DEL COM	S	-57,500.00	51.00	0.00	51.00	55.0	28.05

COMMISSION STATEMENT for CHARLES WINNICK

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 *	\$1,058,737.90	\$11,500.22	\$0.00	\$11,500.22	\$6,292.14
<u>PRODUCT CATEGORY: OPTIONS</u>									
11/02/2017	QGW034852	HOLMES, MEGAN	PUT 100 OVERSTOCK COM INC DEL COM E S	-1,840.00	75.00	0.00	75.00	55.0	41.25
11/09/2017	QGW034852	HOLMES, MEGAN	PUT 100 OVERSTOCK COM INC DEL COM E S	-9,109.00	75.00	0.00	75.00	55.0	41.25
11/14/2017	QGW034852	HOLMES, MEGAN	CALL 100 OVERSTOCK COM INC DEL COM S	-3,664.00	80.00	0.00	80.00	55.0	44.00
11/20/2017	QGW034852	HOLMES, MEGAN	CALL 100 OVERSTOCK COM INC DEL COM S	-1,534.00	75.00	0.00	75.00	55.0	41.25
11/22/2017	QGW034852	HOLMES, MEGAN	PUT 100 OVERSTOCK COM INC DEL COM E S	-2,050.00	75.00	0.00	75.00	55.0	41.25
11/24/2017	QGW034852	HOLMES, MEGAN	CALL 100 OVERSTOCK COM INC DEL COM S	-1,920.00	106.66	0.00	106.66	55.0	58.66
11/27/2017	QGW034852	HOLMES, MEGAN	PUT 100 OVERSTOCK COM INC DEL COM E S	-2,000.00	75.00	0.00	75.00	55.0	41.25
				* OPTIONS SUBTOTAL *	\$-22,117.00	\$561.66	\$0.00	\$561.66	\$308.91

PRODUCT CATEGORY: MISCELLANEOUS

11/15/2017	VARIOUS, WINNICK	BENCHMARK	B	0.00	1,500.00	0.00	1,500.00	55.0	825.00
11/15/2017	VARIOUS, WINNICK	LIQUIDITY BOOK LLC	B	0.00	1,444.50	0.00	1,444.50	55.0	794.48
11/30/2017	VARIOUS, WINNICK	FIDELITY	B	1,590.00	1,590.00	0.00	1,590.00	55.0	874.50
11/30/2017	VARIOUS, WINNICK	HARD 4 HOLDING	B	0.00	2,999.62	0.00	2,999.62	55.0	1,649.79
				* MISCELLANEOUS SUBTOTAL *	\$1,590.00	\$7,534.12	\$0.00	\$7,534.12	\$4,143.77
				*** BROKER TRANSACTIONS TOTAL ***	\$1,038,210.90	\$19,596.00	\$0.00	\$19,596.00	\$10,744.82

ADJUSTMENTS

11/30/2017	:	HEWES		0.00	0.00	0.00	0.00		-4,275.10
				*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$-4,275.10

BROKER COMMISSION TOTALS

Broker Transactions	\$10,744.82
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-4,275.10
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-15.08
SIPC Assessment	\$-30.15

Check Amount	\$6,424.49
Year-to-date Earnings	\$26,823.99