

COMMISSION STATEMENT

April 30, 2017

JOHN BOYCE
15408 DUNCAN HILL ROADBROKER #:
BRANCH: HOME OFFICE

BULTER, MD 21023

COMMISSION STATEMENT for JOHN BOYCE

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

BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | |
|---------------------------------------|------------------------------|---|-----------|-------------|---------|---------|---------|--------|
| 04/11/2017 75500396 RYAN, LEO PATRICK | THE GROWTH FUND OF AMERICA-A | S | 12,735.65 | 20.00 | 10.00 | 10.00 | 70.0 | 4.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$12,735.65 | \$20.00 | \$10.00 | \$10.00 | \$4.00 |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | |
|--|-------------------------------------|---|------------|---------|--------|---------|------|-----------|
| 04/13/2017 75500360 BOYCE, ANN HAGERTY | PAYSAFE GROUP PLC SHS | B | 11,780.00 | 100.00 | 10.00 | 90.00 | 70.0 | 60.00 |
| 04/13/2017 75500360 BOYCE, ANN HAGERTY | TENCENT HOLDINGS LIMITED UNSPONSORE | B | 2,974.00 | 30.00 | 10.00 | 20.00 | 70.0 | 11.00 |
| 04/25/2017 75500360 BOYCE, ANN HAGERTY | ALPHABET INC CLASS C CAPITAL STOCK | B | 10,375.08 | 20.00 | 10.00 | 10.00 | 70.0 | 4.00 |
| 04/04/2017 75500361 BOYCE, JOHN C | EURONET WORLDWIDE INC | B | 16,911.12 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/13/2017 75500361 BOYCE, JOHN C | INTELLICHECK MOBILISA INC COM NEW | B | 13,860.00 | 44.00 | 10.00 | 34.00 | 70.0 | 20.80 |
| 04/20/2017 75500361 BOYCE, JOHN C | INVITATION HOMES INC COM | B | 4,359.84 | 30.00 | 10.00 | 20.00 | 70.0 | 11.00 |
| 04/21/2017 75500361 BOYCE, JOHN C | NUANCE COMMUNICATIONS INC | S | 15,300.00 | 30.00 | 10.00 | 20.00 | 70.0 | 11.00 |
| 04/24/2017 75500361 BOYCE, JOHN C | BLACKSTONE MORTGAGE TRUST INC | B | 8,772.67 | 30.00 | 10.00 | 20.00 | 70.0 | 11.00 |
| 04/04/2017 75500368 PETR, THOMAS | APPLIED OPTOELECTRONICS INC COM | S | 128,826.00 | 125.00 | 10.00 | 115.00 | 70.0 | 77.50 |
| 04/05/2017 75500368 PETR, THOMAS | APPLIED OPTOELECTRONICS INC COM | S | 119,152.00 | 125.00 | 10.00 | 115.00 | 70.0 | 77.50 |
| 04/17/2017 75500368 PETR, THOMAS | ARCONIC INC COM | S | 125,743.25 | 233.80 | 10.00 | 223.80 | 70.0 | 153.66 |
| 04/25/2017 75500368 PETR, THOMAS | MICRON TECHNOLOGY INC | S | 80,490.00 | 180.00 | 10.00 | 170.00 | 70.0 | 116.00 |
| 04/25/2017 75500368 PETR, THOMAS | WESTERN DIGITAL CORP | B | 87,000.00 | 60.00 | 10.00 | 50.00 | 70.0 | 32.00 |
| 04/05/2017 75500385 HUBARD, JOHN | BRISTOL MYERS SQUIBB CO | B | 21,000.00 | 50.00 | 10.00 | 40.00 | 70.0 | 25.00 |
| 04/13/2017 75500424 JOHN B HUBARD TTEE | SHIP FINANCE INTERNATIONAL LIMITED | B | 6,975.00 | 70.00 | 10.00 | 60.00 | 70.0 | 39.00 |
| 04/24/2017 75500424 JOHN B HUBARD TTEE | ANADARKO PETROLEUM CORP | B | 22,500.00 | 315.00 | 10.00 | 305.00 | 70.0 | 210.50 |
| 04/24/2017 75500424 JOHN B HUBARD TTEE | ANADARKO PETROLEUM CORP | S | -22,500.00 | -315.00 | -10.00 | -305.00 | 70.0 | -210.50 C |
| 04/24/2017 75500424 JOHN B HUBARD TTEE | ANADARKO PETROLEUM CORP | B | 22,500.00 | 75.00 | 10.00 | 65.00 | 70.0 | 42.50 |
| 04/13/2017 75500428 JOHN B HUBARD TTEE | ADIANT PLC ORDINARY SHARES | S | 4,761.98 | 25.00 | 10.00 | 15.00 | 70.0 | 7.50 |
| 04/13/2017 75500428 JOHN B HUBARD TTEE | AT&T INC | B | 73,061.82 | 180.00 | 10.00 | 170.00 | 70.0 | 116.00 |
| 04/13/2017 75500428 JOHN B HUBARD TTEE | DELL TECHNOLOGIES INC CLASS V COMMO | S | 17,144.12 | 30.00 | 10.00 | 20.00 | 70.0 | 11.00 |
| 04/13/2017 75500428 JOHN B HUBARD TTEE | ENBRIDGE ENERGY PARTNERS L P | S | 13,590.08 | 75.00 | 10.00 | 65.00 | 70.0 | 42.50 |
| 04/05/2017 75500443 GOOD, TIMOTHY | FRONTIER COMMUNICATIONS CORP | S | 10,757.00 | 250.00 | 10.00 | 240.00 | 70.0 | 165.00 |
| 04/06/2017 75500443 GOOD, TIMOTHY | TENCENT HOLDINGS LIMITED UNSPONSORE | B | 5,884.00 | 50.00 | 10.00 | 40.00 | 70.0 | 25.00 |
| 04/20/2017 75500445 GOOD, TIMOTHY | ORBCOMM INC | B | 19,298.50 | 140.00 | 10.00 | 130.00 | 70.0 | 88.00 |
| 04/20/2017 75501338 BOYCE, ROGER F | UNITED CONTINENTAL HLDGS INC | B | 4,538.14 | 20.00 | 10.00 | 10.00 | 70.0 | 4.00 |
| 04/10/2017 75502087 BURGHART, ROBIN | AMAZON.COM INC | B | 9,076.10 | 15.00 | 10.00 | 5.00 | 70.0 | 0.50 |

COMMISSION STATEMENT for JOHN BOYCE

| 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> | | | | | | | | | |
| 04/10/2017 | 75502090 | BURGHART, ROBIN | | AMAZON.COM INC | B | 4,537.10 | 15.00 | 10.00 | 5.00 70.0 0.50 |
| 04/10/2017 | 75502091 | BURGHART, ROBIN | | AMAZON.COM INC | B | 13,608.00 | 15.00 | 10.00 | 5.00 70.0 0.50 |
| 04/10/2017 | 75502091 | BURGHART, ROBIN | | GENERAL ELECTRIC CO | S | 1,807.35 | 50.00 | 10.00 | 40.00 70.0 25.00 |
| 04/18/2017 | 75502091 | BURGHART, ROBIN | | CELGENE CORP | S | 12,285.01 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 03/30/2017 | QGV002942 | ASSOCIATES, F/A/O | | EASTGROUP PPTYS INC COM | S | -120,098.55 | 66.00 | 10.00 | 56.00 70.0 36.20 |
| 03/30/2017 | QGV002942 | ASSOCIATES, F/A/O | | MEDEQUITIES REALTY TR INC COM | B | 165,841.90 | 298.86 | 10.00 | 288.86 70.0 199.20 |
| 03/31/2017 | QGV002942 | ASSOCIATES, F/A/O | | CHEVRON CORPORATION | B | 31,237.21 | 11.60 | 10.00 | 1.60 70.0 -1.88 |
| 03/31/2017 | QGV002942 | ASSOCIATES, F/A/O | | MEDEQUITIES REALTY TR INC COM | B | 104,831.72 | 187.34 | 10.00 | 177.34 70.0 121.14 |
| 03/31/2017 | QGV002942 | ASSOCIATES, F/A/O | | ROYAL DUTCH SHELL PLC SPONSORED ADR | B | 32,747.72 | 24.80 | 10.00 | 14.80 70.0 7.36 |
| 04/03/2017 | QGV002942 | ASSOCIATES, F/A/O | | CHEVRON CORPORATION | B | 31,071.70 | 11.60 | 10.00 | 1.60 70.0 -1.88 |
| 04/03/2017 | QGV002942 | ASSOCIATES, F/A/O | | CONCHO RESOURCES INC | B | 40,066.40 | 12.56 | 10.00 | 2.56 70.0 -1.21 |
| 04/03/2017 | QGV002942 | ASSOCIATES, F/A/O | | CURTISS WRIGHT CORP | S | -84,649.07 | 37.36 | 10.00 | 27.36 70.0 16.15 |
| 04/04/2017 | QGV002942 | ASSOCIATES, F/A/O | | HILLENBRAND INC | S | -344,780.68 | 388.00 | 10.00 | 378.00 70.0 261.60 |
| 04/18/2017 | QGV002942 | ASSOCIATES, F/A/O | | MKS INSTRUMENTS INC | S | -392,080.94 | 237.40 | 10.00 | 227.40 70.0 156.18 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | ACI WORLDWIDE INC | B | 88,902.37 | 165.80 | 10.00 | 155.80 70.0 106.06 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | ANALOGIC CORP NEW COM PAR 0.05 | S | -266,555.98 | 152.40 | 10.00 | 142.40 70.0 96.68 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | BABCOCK & WILCOX ENTERPRISES INC | S | -47,385.72 | 103.70 | 10.00 | 93.70 70.0 62.59 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | BRUNSWICK CORP | S | -52,625.30 | 36.40 | 10.00 | 26.40 70.0 15.48 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | CALLON PETROLEUM CO-DEL | B | 25,999.77 | 43.60 | 10.00 | 33.60 70.0 20.52 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | ENBRIDGE ENERGY PARTNERS L P | S | -487,155.60 | 810.00 | 10.00 | 800.00 70.0 557.00 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | ESCO TECHNOLOGIES INC | S | -73,770.06 | 52.00 | 10.00 | 42.00 70.0 26.40 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | FCB FINL HLDGS COM SHS A | B | 34,821.00 | 29.20 | 10.00 | 19.20 70.0 10.44 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | HILLENBRAND INC | S | -209,244.73 | 236.40 | 10.00 | 226.40 70.0 155.48 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | IBERIABANK CORP COM | B | 50,533.25 | 26.20 | 10.00 | 16.20 70.0 8.34 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | INDEPENDENT BANK CORP-MASS | B | 47,250.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | MATADOR RESOURCES COMPANY | B | 29,305.80 | 53.60 | 10.00 | 43.60 70.0 27.52 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | MKS INSTRUMENTS INC | S | -132,266.57 | 77.20 | 10.00 | 67.20 70.0 44.04 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | MURPHY USA INC COM | B | 298,852.18 | 171.40 | 10.00 | 161.40 70.0 109.98 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | QUANEX BLDG PRODS CORP COM | S | -80,174.37 | 122.85 | 10.00 | 112.85 70.0 76.00 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | ROGERS CORP | B | 291,635.72 | 140.40 | 10.00 | 130.40 70.0 88.28 |
| 04/19/2017 | QGV002942 | ASSOCIATES, F/A/O | | SELECTIVE INS GROUP INC COM | B | 341,376.85 | 291.60 | 10.00 | 281.60 70.0 194.12 |
| 04/21/2017 | QGV002942 | ASSOCIATES, F/A/O | | ANALOGIC CORP NEW COM PAR 0.05 | S | -363,000.60 | 204.40 | 10.00 | 194.40 70.0 133.08 |
| 04/24/2017 | QGV002942 | ASSOCIATES, F/A/O | | FCB FINL HLDGS COM SHS A | B | 132,922.90 | 110.00 | 10.00 | 100.00 70.0 67.00 |
| 03/30/2017 | QGV002959 | PERSHING LLC | | EASTGROUP PPTYS INC COM | S | -372,669.44 | 204.80 | 10.00 | 194.80 70.0 133.36 |
| 03/30/2017 | QGV002959 | PERSHING LLC | | MEDEQUITIES REALTY TR INC COM | B | 517,591.42 | 932.74 | 10.00 | 922.74 70.0 642.92 |
| 03/31/2017 | QGV002959 | PERSHING LLC | | CHEVRON CORPORATION | B | 11,848.60 | 4.40 | 10.00 | -5.60 70.0 -6.92 |
| 03/31/2017 | QGV002959 | PERSHING LLC | | MEDEQUITIES REALTY TR INC COM | B | 327,164.04 | 584.66 | 10.00 | 574.66 70.0 399.26 |
| 03/31/2017 | QGV002959 | PERSHING LLC | | ROYAL DUTCH SHELL PLC SPONSORED ADR | B | 12,863.49 | 9.20 | 10.00 | -0.80 70.0 -3.56 |
| 04/03/2017 | QGV002959 | PERSHING LLC | | CHEVRON CORPORATION | B | 120,965.35 | 45.16 | 10.00 | 35.16 70.0 21.61 |
| 04/04/2017 | QGV002959 | PERSHING LLC | | HILLENBRAND INC | S | -565,155.96 | 636.00 | 10.00 | 626.00 70.0 435.20 |

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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: STOCKS | | | | | | | | | |
| 04/18/2017 | QGV002959 | PERSHING LLC | | MKS INSTRUMENTS INC | S | -408,266.25 | 247.20 | 10.00 | 237.20 70.0 163.04 |
| 04/20/2017 | QGV002959 | PERSHING LLC | | ANALOGIC CORP NEW COM PAR 0.05 | S | -158,594.04 | 88.00 | 10.00 | 78.00 70.0 51.60 |
| 04/21/2017 | QGV002959 | PERSHING LLC | | ANALOGIC CORP NEW COM PAR 0.05 | S | -443,983.13 | 250.00 | 10.00 | 240.00 70.0 165.00 |
| 04/24/2017 | QGV002959 | PERSHING LLC | | FCB FINL HLDGS COM SHS A | B | 140,173.24 | 116.00 | 10.00 | 106.00 70.0 71.20 |
| 03/31/2017 | QGV006034 | BANK OF AMERICA | | CHEVRON CORPORATION | B | 3,231.44 | 1.20 | 10.00 | -8.80 70.0 -9.16 |
| 03/31/2017 | QGV006034 | BANK OF AMERICA | | ROYAL DUTCH SHELL PLC SPONSORED ADR B | B | 3,433.23 | 2.60 | 10.00 | -7.40 70.0 -8.18 |
| 04/04/2017 | QGV006034 | BANK OF AMERICA | | HILLENBRAND INC | S | -51,894.82 | 58.40 | 10.00 | 48.40 70.0 30.88 |
| 04/18/2017 | QGV006034 | BANK OF AMERICA | | MKS INSTRUMENTS INC | S | -103,057.50 | 62.40 | 10.00 | 52.40 70.0 33.68 |
| 04/19/2017 | QGV006034 | BANK OF AMERICA | | ENBRIDGE ENERGY PARTNERS L P | S | -46,730.85 | 77.70 | 10.00 | 67.70 70.0 44.39 |
| 04/21/2017 | QGV006034 | BANK OF AMERICA | | ANALOGIC CORP NEW COM PAR 0.05 | S | -33,032.34 | 18.60 | 10.00 | 8.60 70.0 3.02 |
| 04/24/2017 | QGV006034 | BANK OF AMERICA | | FCB FINL HLDGS COM SHS A | B | 6,766.98 | 5.60 | 10.00 | -4.40 70.0 -6.08 |
| * STOCKS SUBTOTAL * | | | | | \$-1,079,370.06 | \$9,615.13 | \$760.00 | \$8,855.13 | \$5,970.59 |
| PRODUCT CATEGORY: OPTIONS | | | | | | | | | |
| 04/05/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | AMZN 01/19/18 900 | S | 13,454.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/05/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | AMZN 01/19/18 820 | B | 7,482.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/11/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | GS 01/19/18 240 | S | 12,515.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/11/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | GS 07/21/17 245 | B | 10,650.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/11/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | NVDA 06/16/17 115 | B | 9,406.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/11/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | NVDA 06/16/17 115 | S | 11,470.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/25/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | GOOG 01/19/18 860 | S | 9,600.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/26/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | GOOG 01/19/18 820 | B | 6,362.00 | 20.00 | 10.00 | 10.00 70.0 4.00 |
| 04/27/2017 | 75500360 | BOYCE, ANN HAGERTY | CALL | GOLD 01/19/18 110 | S | 1,750.00 | 20.00 | 10.00 | 10.00 70.0 4.00 |
| 04/27/2017 | 75500360 | BOYCE, ANN HAGERTY | CALL | PAAS 06/16/17 19 | S | 600.00 | 20.00 | 10.00 | 10.00 70.0 4.00 |
| 04/27/2017 | 75500360 | BOYCE, ANN HAGERTY | PUT | AG 10/20/17 10 | B | 2,550.00 | 20.00 | 10.00 | 10.00 70.0 4.00 |
| 04/04/2017 | 75500361 | BOYCE, JOHN C | PUT | ADBE 01/19/18 105 | B | 1,385.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/04/2017 | 75500361 | BOYCE, JOHN C | PUT | ADBE 01/19/18 125 | S | 3,950.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/18/2017 | 75500361 | BOYCE, JOHN C | CALL | BAC 05/19/17 23 | B | 540.00 | 15.00 | 10.00 | 5.00 70.0 0.50 |
| 04/24/2017 | 75500361 | BOYCE, JOHN C | CALL | BAC 05/19/17 23 | S | 1,000.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/24/2017 | 75500361 | BOYCE, JOHN C | PUT | W 05/19/17 35 | B | 510.00 | 20.00 | 10.00 | 10.00 70.0 4.00 |
| 04/25/2017 | 75500361 | BOYCE, JOHN C | CALL | WDC 07/21/17 85 | B | 1,845.00 | 20.00 | 10.00 | 10.00 70.0 4.00 |
| 04/25/2017 | 75500361 | BOYCE, JOHN C | PUT | BABA 01/19/18 115 | S | 9,550.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/25/2017 | 75500361 | BOYCE, JOHN C | PUT | BABA 01/19/18 100 | B | 4,000.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |
| 04/05/2017 | 75500370 | HUBARD, MARGARET | CALL | BABA 05/19/17 110 | S | 2,445.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/20/2017 | 75500370 | HUBARD, MARGARET | PUT | APC 05/19/17 75 | B | 10,990.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/21/2017 | 75500370 | HUBARD, MARGARET | CALL | BABA 05/19/17 110 | B | 1,228.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/21/2017 | 75500370 | HUBARD, MARGARET | CALL | BABA 05/19/17 105 | B | 4,345.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/21/2017 | 75500370 | HUBARD, MARGARET | PUT | APC 01/19/18 75 | S | 11,900.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/21/2017 | 75500370 | HUBARD, MARGARET | PUT | BABA 01/19/18 110 | S | 4,050.00 | 30.00 | 10.00 | 20.00 70.0 11.00 |
| 04/06/2017 | 75500385 | HUBARD, JOHN | CALL | SPY 01/20/17 222 | S | 132.00 | 25.00 | 10.00 | 15.00 70.0 7.50 |

COMMISSION STATEMENT for JOHN BOYCE

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | | |
|---|--------------------------------|---------------------------------------|----------|----------------------|---------------------|--------------------|-------------------|------------|----------------------|------|------------|
| BROKER TRANSACTIONS | | | | | | | | | | | |
| PRODUCT CATEGORY: OPTIONS | | | | | | | | | | | |
| 04/10/2017 | 75500385 HUBARD, JOHN | PUT GOOG | 01/19/18 | 820 | S | 7,700.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/10/2017 | 75500385 HUBARD, JOHN | PUT GOOG | 09/15/17 | 790 | B | 4,544.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/13/2017 | 75500424 JOHN B HUBARD TTEE | PUT SFL | 01/19/18 | 15 | S | 2,600.00 | 30.00 | 10.00 | 20.00 | 70.0 | 11.00 |
| 04/26/2017 | 75500424 JOHN B HUBARD TTEE | CALL APC | 01/19/18 | 70 | S | 573.00 | 25.00 | 10.00 | 15.00 | 70.0 | 7.50 |
| 04/26/2017 | 75500424 JOHN B HUBARD TTEE | PUT APC | 01/19/18 | 70 | S | 11,100.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/26/2017 | 75500424 JOHN B HUBARD TTEE | PUT APC | 05/19/17 | 75 | B | 10,500.00 | 30.00 | 10.00 | 20.00 | 70.0 | 11.00 |
| 04/26/2017 | 75500424 JOHN B HUBARD TTEE | PUT CVX | 01/19/18 | 120 | S | 16,400.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/26/2017 | 75500424 JOHN B HUBARD TTEE | PUT CVX | 06/16/17 | 120 | B | 14,600.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/05/2017 | 75500443 GOOD, TIMOTHY | CALL COTY | 08/18/17 | 21 | B | 111.00 | 25.00 | 10.00 | 15.00 | 70.0 | 7.50 |
| 04/05/2017 | 75500443 GOOD, TIMOTHY | CALL FTR | 01/19/18 | 4 | B | 400.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/05/2017 | 75500443 GOOD, TIMOTHY | PUT CMG | 01/19/18 | 500 | S | 33,900.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/05/2017 | 75500443 GOOD, TIMOTHY | PUT CMG | 06/16/17 | 500 | B | 26,200.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/21/2017 | 75500443 GOOD, TIMOTHY | PUT PXD | 01/19/18 | 190 | S | 27,000.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/21/2017 | 75500443 GOOD, TIMOTHY | PUT PXD | 06/16/17 | 190 | B | 20,000.00 | 40.00 | 10.00 | 30.00 | 70.0 | 18.00 |
| 04/26/2017 | 75500443 GOOD, TIMOTHY | CALL CMG | 01/19/18 | 540 | S | 2,405.00 | 25.00 | 10.00 | 15.00 | 70.0 | 7.50 |
| * OPTIONS SUBTOTAL * | | | | | | \$321,742.00 | \$1,190.00 | \$410.00 | \$780.00 | | \$423.00 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | | |
| 04/11/2017 | 75500363 BLENCKSTONE, WINSTON | MAINSTAY S&P 500 INDEX FUND CLASS A B | | | | 0.00 | 100.40 | 0.00 | 100.40 | 70.0 | 70.28 |
| 04/11/2017 | 75500378 CLOUGH, CHARLES EVANS | THE INVESTMENT COMPANY OF AMERICA-A B | | | | 0.00 | 46.54 | 0.00 | 46.54 | 70.0 | 32.58 |
| 04/11/2017 | 75500389 STEM, RICHARD | COLUMBIA FDS SER TR II MASS SELIGMA B | | | | 0.00 | 3.40 | 0.00 | 3.40 | 70.0 | 2.38 |
| 04/11/2017 | 75500389 STEM, RICHARD | COLUMBIA SELIGMAN COMMUNICATIONS AN B | | | | 0.00 | 7.10 | 0.00 | 7.10 | 70.0 | 4.97 |
| 04/11/2017 | 75500394 SKELTON, NANCY | CALAMOS GROWTH FUND CLASS A | | | B | 0.00 | 19.31 | 0.00 | 19.31 | 70.0 | 13.52 |
| 04/11/2017 | 75500394 SKELTON, NANCY | NEW WORLD FUND-A | | | B | 0.00 | 4.45 | 0.00 | 4.45 | 70.0 | 3.12 |
| 04/11/2017 | 75500396 RYAN, LEO PATRICK | THE GROWTH FUND OF AMERICA-A | | | B | 0.00 | 2.69 | 0.00 | 2.69 | 70.0 | 1.88 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | | \$0.00 | \$183.89 | \$0.00 | \$183.89 | | \$128.73 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | | \$-744,892.41 | \$11,009.02 | \$1,180.00 | \$9,829.02 | | \$6,526.32 |
| ADJUSTMENTS | | | | | | | | | | | |
| 04/30/2017 | | OTHER: COMPLIANCE AND TECHNOLOGY | | | | 0.00 | 0.00 | 0.00 | 0.00 | | -20.00 |
| 04/30/2017 | | OTHER: OTHER-REFUND ON ERROR CHARGE | | | | 0.00 | 0.00 | 0.00 | 0.00 | | 300.00 |
| 04/30/2017 | | OTHER: OTHER-REIMBURSEMENT OF STATE | | | | 0.00 | 0.00 | 0.00 | 0.00 | | 908.00 |
| 04/30/2017 | | OTHER: OTHER-360 OFFICE | | | | 0.00 | 0.00 | 0.00 | 0.00 | | -5.00 |
| *** ADJUSTMENTS TOTAL *** | | | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$1,183.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$6,526.32 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$1,183.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-13.76 |
| SIPC Assessment | \$-206.42 |

| | |
|------------------------------|--------------------|
| Check Amount | \$7,489.14 |
| Year-to-date Earnings | \$38,930.53 |