

## COMMISSION STATEMENT

October 31, 2017

EDWARD BYRNE

421 HANOVER CENTER ROAD

ETNA, NH 03750

BROKER #: 23

BRANCH: HOME OFFICE

COMMISSION STATEMENT for EDWARD BYRNE

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>									
10/05/2017	QGW031809	SABER, MARK	REGULUS THERAPEUTICS INC COM	B	6,918.50	165.00	17.00	148.00	75.0 106.75
10/06/2017	QGW031809	SABER, MARK	REGULUS THERAPEUTICS INC COM	B	6,749.50	170.00	17.00	153.00	75.0 110.50
10/06/2017	QGW031809	SABER, MARK	REGULUS THERAPEUTICS INC COM	B	-6,749.50	-170.00	-17.00	-153.00	75.0 -110.50 C
10/06/2017	QGW031809	SABER, MARK	REGULUS THERAPEUTICS INC COM	B	6,749.50	170.00	17.00	153.00	75.0 110.50
10/02/2017	QGW031833	CASSADY REVOCABLE	REGULUS THERAPEUTICS INC COM	B	7,250.00	381.60	17.00	364.60	75.0 269.20
10/03/2017	QGW031882	MICKES, THOMAS	REGULUS THERAPEUTICS INC COM	B	7,099.50	175.00	17.00	158.00	75.0 114.25
10/04/2017	QGW031882	MICKES, THOMAS	ENERGIOUS CORP COM	S	-6,725.00	125.00	17.00	108.00	75.0 76.75
10/06/2017	QGW031882	MICKES, THOMAS	ENERGIOUS CORP COM	S	-6,975.00	200.00	17.00	183.00	75.0 133.00
10/09/2017	QGW031882	MICKES, THOMAS	ENERGIOUS CORP COM	S	-7,075.00	200.00	17.00	183.00	75.0 133.00
10/09/2017	QGW031882	MICKES, THOMAS	ENERGIOUS CORP COM	S	-7,075.00	200.00	17.00	183.00	75.0 133.00
10/09/2017	QGW031882	MICKES, THOMAS	ENERGIOUS CORP COM	S	7,075.00	-200.00	-17.00	-183.00	75.0 -133.00 C
10/10/2017	QGW031882	MICKES, THOMAS	REGULUS THERAPEUTICS INC COM	B	7,050.00	200.00	17.00	183.00	75.0 133.00
10/13/2017	QGW031882	MICKES, THOMAS	ENERGIOUS CORP COM	B	5,974.40	150.00	17.00	133.00	75.0 95.50
10/20/2017	QGW031882	MICKES, THOMAS	NEONODE INC COM NEW	S	-13,272.91	100.00	17.00	83.00	75.0 58.00
09/28/2017	QGW031957	COLE, PHILLIP	NEONODE INC COM NEW	S	-3,350.00	189.37	17.00	172.37	75.0 125.03
09/28/2017	QGW031957	COLE, PHILLIP	NEONODE INC COM NEW	S	3,350.00	-189.37	-17.00	-172.37	75.0 -125.03 C
09/28/2017	QGW031957	COLE, PHILLIP	NEONODE INC COM NEW	S	-3,350.00	75.00	17.00	58.00	75.0 39.25
10/06/2017	QGW031957	COLE, PHILLIP	ENERGIOUS CORP COM	S	-6,937.50	200.00	17.00	183.00	75.0 133.00
10/06/2017	QGW031957	COLE, PHILLIP	NEONODE INC COM NEW	S	-2,526.00	30.00	17.00	13.00	75.0 5.50
10/12/2017	QGW031957	COLE, PHILLIP	REGULUS THERAPEUTICS INC COM	B	6,549.50	150.00	17.00	133.00	75.0 95.50
10/23/2017	QGW031957	COLE, PHILLIP	NEONODE INC COM NEW	S	-4,730.00	50.00	17.00	33.00	75.0 20.50
10/24/2017	QGW033680	CRONIN, MICHAEL	NEONODE INC COM NEW	S	-5,400.45	75.00	17.00	58.00	75.0 39.25
10/24/2017	QGW033680	CRONIN, MICHAEL	VUZIX CORP COM NEW	B	5,170.00	115.00	17.00	98.00	75.0 69.25
10/06/2017	QGW896664	RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	329.50	0.00	17.00	-17.00	75.0 -17.00
10/06/2017	QGW896664	RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	330.00	0.00	17.00	-17.00	75.0 -17.00
10/06/2017	QGW896664	RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	330.00	0.00	17.00	-17.00	75.0 -17.00
10/06/2017	QGW896664	RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	660.00	0.00	17.00	-17.00	75.0 -17.00
10/06/2017	QGW896664	RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	412.50	0.00	17.00	-17.00	75.0 -17.00
10/06/2017	QGW896664	RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	330.00	0.00	17.00	-17.00	75.0 -17.00
10/06/2017	QGW896664	RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	330.00	0.00	17.00	-17.00	75.0 -17.00
10/06/2017	QGW896664	RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	330.00	0.00	17.00	-17.00	75.0 -17.00

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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: STOCKS

10/06/2017	QGW896664 RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	330.00	0.00	17.00	-17.00	75.0	-17.00
10/06/2017	QGW896664 RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	248.25	0.00	17.00	-17.00	75.0	-17.00
10/06/2017	QGW896664 RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	331.00	0.00	17.00	-17.00	75.0	-17.00
10/06/2017	QGW896664 RF LAFFERTY & CO	22ND CENTY GROUP INC COM	B	12,566.60	0.00	17.00	-17.00	75.0	-17.00
* STOCKS SUBTOTAL *				<u>\$12,297.39</u>	<u>\$2,561.60</u>	<u>\$493.00</u>	<u>\$2,068.60</u>		<u>\$1,428.20</u>

PRODUCT CATEGORY: OPTIONS

10/05/2017	QGW031809 SABER, MARK	CALL 100 VUZIX CORP COM NEW EXP 04- B		2,125.00	140.25	32.50	107.75	75.0	72.69
* OPTIONS SUBTOTAL *				<u>\$2,125.00</u>	<u>\$140.25</u>	<u>\$32.50</u>	<u>\$107.75</u>		<u>\$72.69</u>
*** BROKER TRANSACTIONS TOTAL ***				<u>\$14,422.39</u>	<u>\$2,701.85</u>	<u>\$525.50</u>	<u>\$2,176.35</u>		<u>\$1,500.89</u>

ADJUSTMENTS

10/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY			0.00	0.00	0.00	0.00		-20.00
10/31/2017	OTHER: OTHER-360 OFFICE			0.00	0.00	0.00	0.00		-8.00
10/31/2017	OTHER: OTHER-FINRA			0.00	0.00	0.00	0.00		-65.00
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-93.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$1,500.89
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-93.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.38
SIPC Assessment	\$-6.75

Check Amount	\$1,397.76
Year-to-date Earnings	\$6,702.66