

COMMISSION STATEMENT

April 30, 2018

JOHN HEIDENREICH
7 EAST 86TH ST
APT 15B
NEW YORK, NY 10028

BROKER #: P7H R90 R30 A09
BRANCH: HOME OFFICE

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

03/29/2018	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	S	2,000.00	0.00	0.00	0.00	65.0	0.00
04/26/2018	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	S	2,500.00	0.00	0.00	0.00	65.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$4,500.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

04/11/2018	75501291	PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT	B	15,102.83	392.23	10.00	382.23	65.0	244.95
04/19/2018	75501291	PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT	B	11,247.90	336.22	10.00	326.22	65.0	208.54
04/26/2018	75501291	PRESTON, MARGARITA	ORCHID ISLAND CAPITAL INC	B	15,196.00	425.89	10.00	415.89	65.0	266.83
04/11/2018	75501292	JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT	B	19,919.80	350.00	10.00	340.00	65.0	217.50
04/13/2018	75501307	TOTTEN, ANN	CREDIT SUISSE AG NASSAU BRH VELOCIT	B	17,417.30	469.85	10.00	459.85	65.0	295.40
04/20/2018	75501307	TOTTEN, ANN	NUVEEN CR OPPORTUNITIES 2022 TRGT T	S	48,100.00	895.30	10.00	885.30	65.0	571.95
04/25/2018	75501307	TOTTEN, ANN	ARMOUR RESIDENTIAL REIT INC COM	S	22,720.00	459.15	10.00	449.15	65.0	288.45
04/26/2018	75501307	TOTTEN, ANN	FIVE OAKS INVESTMENT CORP COM	S	7,063.02	250.20	10.00	240.20	65.0	152.63
04/26/2018	75501307	TOTTEN, ANN	PROSPECT CAPITAL CORPORATION	S	19,123.47	547.55	10.00	537.55	65.0	345.91
03/29/2018	75501310	MARGARITA F PRESTON	AGNC INVESTMENT CORP COMMON STOCK	S	37,920.00	635.73	10.00	625.73	65.0	403.22
03/29/2018	75501310	MARGARITA F PRESTON	FIVE OAKS INVESTMENT CORP COM	S	9,079.02	417.54	10.00	407.54	65.0	261.40
04/24/2018	75501310	MARGARITA F PRESTON	WTS MERIDIAN WASTE SOLUTIONS INC WA	S	322.00	50.00	10.00	40.00	65.0	22.50
04/26/2018	75501310	MARGARITA F PRESTON	CORNERSTONE TOTAL RETURN FUND COMMO	B	15,597.00	367.11	10.00	357.11	65.0	228.62
04/26/2018	75501310	MARGARITA F PRESTON	VIRTUS GLOBAL DIVIDEND & INCOME FUN	B	27,028.00	597.79	10.00	587.79	65.0	378.56
04/02/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT	S	28,164.41	350.00	10.00	340.00	65.0	217.50
04/06/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT	B	19,679.00	250.00	10.00	240.00	65.0	152.50
04/06/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT	S	20,680.20	100.00	10.00	90.00	65.0	55.00
04/12/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT	B	18,440.00	300.00	10.00	290.00	65.0	185.00
04/23/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT	B	14,959.00	250.00	10.00	240.00	65.0	152.50
03/28/2018	75502186	DOLE, VIVIAN	3M COMPANY	B	6,905.60	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186	DOLE, VIVIAN	BERKSHIRE HATHAWAY INC DEL CL B	B	7,050.60	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186	DOLE, VIVIAN	CISCO SYS INC	B	7,002.60	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186	DOLE, VIVIAN	CONAGRA FOODS INC	B	5,645.10	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186	DOLE, VIVIAN	ENABLE MIDSTREAM PARTNERS LP COM UN	B	4,173.75	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186	DOLE, VIVIAN	EXXON MOBIL CORPORATION	B	6,992.00	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186	DOLE, VIVIAN	HAIN CELESTIAL GROUP INC	B	4,134.00	0.00	10.00	-10.00	65.0	-10.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
03/28/2018	75502186 DOLE, VIVIAN	HI-CRUSH PARTNERS LP COM UNIT PARTN B		4,220.00	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	INTEL CORP	B	7,060.24	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	JOHNSON & JOHNSON	B	7,009.75	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	PAYCHEX INC	B	5,638.12	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	UNDER ARMOUR INC CLASS C COMMON STO B		4,266.00	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	UNITED TECHNOLOGIES CORP	B	7,093.08	0.00	10.00	-10.00	65.0	-10.00
04/02/2018	75502186 DOLE, VIVIAN	MERCK & CO INC	B	7,019.76	0.00	10.00	-10.00	65.0	-10.00
04/02/2018	75502186 DOLE, VIVIAN	SACHEM CAPITAL CORP COMMON SHARES	B	2,016.00	0.00	10.00	-10.00	65.0	-10.00
04/26/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-22,639.16	1,000.00	10.00	990.00	65.0	640.00
* STOCKS SUBTOTAL *				\$431,346.39	\$8,444.56	\$350.00	\$8,094.56		\$5,138.96
<u>PRODUCT CATEGORY: BONDS</u>									
03/28/2018	75502184 PRESTON, ROBERT	AUBURN N Y PUB IMPT REF BDS GENERAL B		5,091.80	0.00	10.00	-10.00	65.0	-10.00
04/16/2018	75502184 PRESTON, ROBERT	NEW YORK ST HSG FIN AGY REV MULTI-F B		15,113.70	0.00	10.00	-10.00	65.0	-10.00
04/18/2018	75502184 PRESTON, ROBERT	BINGHAMTON N Y PUB IMPT REF GENERAL B		4,956.45	0.00	10.00	-10.00	65.0	-10.00
04/18/2018	75502184 PRESTON, ROBERT	DORM AUTH OF THE STATE OF NY PRIMAR B		5,029.90	0.00	10.00	-10.00	65.0	-10.00
04/18/2018	75502184 PRESTON, ROBERT	NEW YORK CITY N Y G/O SER E NYC BON B		9,833.10	0.00	10.00	-10.00	65.0	-10.00
04/18/2018	75502184 PRESTON, ROBERT	TRIBOROUGH BRDG & TUNL AUTH BRIDGES B		4,753.90	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	MASSACHUSETTS ST TPK AUTH MET MET H B		4,447.95	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	MASSACHUSETTS ST HSG FIN AGY SINGLE B		10,076.40	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	MASSACHUSETTS BAY TRANSN AUTH MASS/ B		4,332.85	0.00	10.00	-10.00	65.0	-10.00
03/28/2018	75502186 DOLE, VIVIAN	MASSACHUSETTS ST CLGE BLDG PUBLIC H B		8,846.00	0.00	10.00	-10.00	65.0	-10.00
04/02/2018	75502186 DOLE, VIVIAN	UNITED STATES TREASURY NOTE STRIPPE B		14,651.85	0.00	10.00	-10.00	65.0	-10.00
04/02/2018	75502186 DOLE, VIVIAN	UNITED STATES TREAS NTS 2.000% 02/1 B		14,635.53	0.00	10.00	-10.00	65.0	-10.00
04/02/2018	75502186 DOLE, VIVIAN	UNITED STATES TREAS NTS 1.875% 03/3 B		14,657.23	0.00	10.00	-10.00	65.0	-10.00
04/02/2018	75502186 DOLE, VIVIAN	UNITED STATES TREAS NTS 1.500% 04/1 B		14,776.81	0.00	10.00	-10.00	65.0	-10.00
04/02/2018	75502186 DOLE, VIVIAN	UNITED STATES TREAS NTS 1.250% 03/3 B		14,518.31	0.00	10.00	-10.00	65.0	-10.00
04/13/2018	75502186 DOLE, VIVIAN	BOXFORD MASS GO REF BDS 2012 GENERA B		10,018.60	0.00	10.00	-10.00	65.0	-10.00
04/13/2018	75502186 DOLE, VIVIAN	UNITED STATES TREASURY NOTE	B	9,917.72	0.00	10.00	-10.00	65.0	-10.00
04/13/2018	75502186 DOLE, VIVIAN	UNITED STATES TREASURY NOTE	B	15,038.46	0.00	10.00	-10.00	65.0	-10.00
04/16/2018	75502186 DOLE, VIVIAN	MASSACHUSETTS ST DEV FIN AGY BOSTON B		9,978.20	0.00	10.00	-10.00	65.0	-10.00
04/18/2018	75502186 DOLE, VIVIAN	TEWKSBURY MASS GO MUN PURP GENERAL B		14,891.25	0.00	10.00	-10.00	65.0	-10.00
* BONDS SUBTOTAL *				\$205,566.01	\$0.00	\$200.00	\$-200.00		\$-200.00
<u>PRODUCT CATEGORY: OPTIONS</u>									
04/13/2018	75501291 PRESTON, MARGARITA	CALL PFE 05/18/18 35	S	3,300.00	150.00	10.00	140.00	65.0	87.50
04/20/2018	75501291 PRESTON, MARGARITA	CALL PFE 04/20/18 35	B	4,830.00	150.00	10.00	140.00	65.0	87.50
04/20/2018	75501291 PRESTON, MARGARITA	CALL PFE 04/20/18 36	B	1,650.00	100.00	10.00	90.00	65.0	55.00
04/20/2018	75501291 PRESTON, MARGARITA	CALL PFE 05/18/18 35	S	5,430.00	150.00	10.00	140.00	65.0	87.50
* OPTIONS SUBTOTAL *				\$15,210.00	\$550.00	\$40.00	\$510.00		\$317.50

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BROKER TRANSACTIONS

PRODUCT CATEGORY: RIA

04/01/2018	75502184 PRESTON, ROBERT	FAS FEES PT. I/III	B	-1,722.76	499.60	10.00	489.60	65.0	314.74
04/01/2018	75502186 DOLE, VIVIAN	FAS FEES PT. I/III	B	-1,016.24	289.96	10.00	279.96	65.0	178.47
* RIA SUBTOTAL *				\$-2,739.00	\$789.56	\$20.00	\$769.56		\$493.21

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

04/30/2018		FEE COUNT - 81		0.00	1,343.30	0.00	1,343.30	65.0	873.18
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,343.30	\$0.00	\$1,343.30		\$873.18
*** BROKER TRANSACTIONS TOTAL ***				\$653,883.40	\$11,127.42	\$610.00	\$10,517.42		\$6,622.85

ADJUSTMENTS

04/30/2018		MISCELLANEOUS: ADJ V DOLE ADV CLEAR		0.00	0.00	0.00	0.00		150.00
04/30/2018		: QUODD		0.00	0.00	0.00	0.00		0.00
04/30/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
04/30/2018		OTHER: KINGSBURY COMMISSION		0.00	0.00	0.00	0.00		900.00
04/30/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-12.00
04/30/2018		OTHER: RBC -WEALTH STATION		0.00	0.00	0.00	0.00		-25.00
04/30/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$938.56

BROKER COMMISSION TOTALS

Broker Transactions	\$6,622.85
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$938.56
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-13.91
SIPC Assessment	\$-27.82

Check Amount	\$7,519.68
Year-to-date Earnings	\$28,367.17