

COMMISSION STATEMENT

June 09, 2017

JAY SHARTSIS
54 BIRCHWOOD LANEBROKER #: 37
BRANCH: HOME OFFICE

HARTSDALE, NY, NY 10530

COMMISSION STATEMENT for JAY SHARTSIS

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>									
05/03/2017	QGW008872	CINQUEMANI, FRANK	DMC GLOBAL INC COM	S	-2,695.14	50.00	6.00	44.00	50.0 22.00
05/18/2017	QGW009151	KOBOLD, MICHAEL	VIRNETX HOLDING CORPORATION	B	1,673.20	70.13	6.00	64.13	50.0 32.07
04/26/2017	QGW009177	-, MICHAEL KRUEGER	AXT INC COM	B	3,150.00	50.00	6.00	44.00	50.0 22.00
05/03/2017	QGW009177	-, MICHAEL KRUEGER	KEYCORP NEW	B	9,409.95	50.00	6.00	44.00	50.0 22.00
05/03/2017	QGW009177	-, MICHAEL KRUEGER	PC TEL INC COM	B	3,994.45	50.00	6.00	44.00	50.0 22.00
05/11/2017	QGW009177	-, MICHAEL KRUEGER	AXCELIS TECHNOLOGIES INC COM NEW	B	10,425.00	50.00	6.00	44.00	50.0 22.00
05/19/2017	QGW009177	-, MICHAEL KRUEGER	AXT INC COM	S	-3,450.00	50.00	6.00	44.00	50.0 22.00
05/01/2017	QGW009292	OSTOW, MARK	GASLOG PARTNERS LP UNIT LTD PARTNER	B	49,336.80	160.00	6.00	154.00	50.0 77.00
05/03/2017	QGW009367	SCHIFF MINOR, NICOLE	DMC GLOBAL INC COM	S	-2,668.46	50.00	6.00	44.00	50.0 22.00
05/03/2017	QGW009490	PARTNERSHIP, 311	DMC GLOBAL INC COM	S	-6,671.15	80.00	6.00	74.00	50.0 37.00
04/28/2017	QGW009540	CINQUEMANI, FRANK	XILINX INC	S	-31,827.10	80.00	6.00	74.00	50.0 37.00
05/03/2017	QGW009540	CINQUEMANI, FRANK	DMC GLOBAL INC COM	S	-26,684.60	160.00	6.00	154.00	50.0 77.00
05/03/2017	QGW009540	CINQUEMANI, FRANK	DMC GLOBAL INC COM	S	26,684.60	-160.00	-6.00	-154.00	50.0 -77.00 C
05/03/2017	QGW009540	CINQUEMANI, FRANK	DMC GLOBAL INC COM	S	-26,684.60	120.00	6.00	114.00	50.0 57.00
05/15/2017	QGW009540	CINQUEMANI, FRANK	DEBT RESOLVE INC COM NEW	B	1,000.00	50.00	6.00	44.00	50.0 22.00
05/16/2017	QGW009540	CINQUEMANI, FRANK	SINA CORPORATION FORMERLY SINA COM	S	-48,450.50	80.00	6.00	74.00	50.0 37.00
04/26/2017	QGW029514	HUNT, GREGORY	PINNACLE WEST CAP CORP COM	S	-43,121.00	80.00	6.00	74.00	50.0 37.00
04/26/2017	QGW029514	HUNT, GREGORY	PINNACLE WEST CAP CORP COM	B	40,000.00	80.00	6.00	74.00	50.0 37.00
* STOCKS SUBTOTAL *					\$-46,578.55	\$1,150.13	\$96.00	\$1,054.13	\$527.07

PRODUCT CATEGORY: OPTIONS

05/25/2017	QGW009151	KOBOLD, MICHAEL	PUT 100 VIRNETX HLDG CORP COM EXP 0	B	200.00	50.00	6.00	44.00	50.0 22.00
05/01/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 SIBANYE GOLD LTD SPONSORED	S	-550.00	50.00	6.00	44.00	50.0 22.00
05/22/2017	QGW009177	-, MICHAEL KRUEGER	CALL 100 SIBANYE GOLD LTD SPONSORED	B	250.00	50.00	6.00	44.00	50.0 22.00
05/15/2017	QGW009292	OSTOW, MARK	CALL 100 SEARS HLDGS CORP COM EXP 0	S	-3,720.00	121.00	6.00	115.00	50.0 57.50
05/15/2017	QGW009292	OSTOW, MARK	CALL 100 SEARS HLDGS CORP COM EXP 0	B	1,420.00	105.00	6.00	99.00	50.0 49.50
05/01/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW	S	-910.00	50.00	6.00	44.00	50.0 22.00
05/01/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW	S	-1,200.00	50.00	6.00	44.00	50.0 22.00
05/03/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW	S	-500.00	50.00	6.00	44.00	50.0 22.00
05/03/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW	S	-800.00	50.00	6.00	44.00	50.0 22.00
05/12/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW	S	-1,100.00	50.00	6.00	44.00	50.0 22.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
05/12/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	-750.00	50.00	6.00	44.00	50.0	22.00
05/16/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	-950.00	27.78	6.00	21.78	50.0	10.89
05/16/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	-800.00	22.22	6.00	16.22	50.0	8.11
05/17/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	-900.00	50.00	6.00	44.00	50.0	22.00
05/18/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	-900.00	50.00	6.00	44.00	50.0	22.00
05/18/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW S	-1,400.00	50.00	6.00	44.00	50.0	22.00
05/18/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW S	-1,500.00	27.27	6.00	21.27	50.0	10.64
05/18/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW S	-1,250.00	22.73	6.00	16.73	50.0	8.37
05/19/2017	QGW029514	HUNT, GREGORY	PUT 100 VANECK VECTORS ETF TR JR GO B	1,700.00	80.00	6.00	74.00	50.0	37.00
* OPTIONS SUBTOTAL *				\$-13,660.00	\$1,006.00	\$114.00	\$892.00		\$446.01

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

05/09/2017	75501786	WRIGHTON, BRYAN	**CLEARBRIDGE LARGE CAP VALUE B	0.00	40.90	0.00	40.90	50.0	20.45
04/27/2017	QGW030561	CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	0.26	0.00	0.26	50.0	0.13
04/27/2017	QGW030561	CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	0.26	0.00	0.26	50.0	0.13
05/30/2017	QGW030561	CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	0.26	0.00	0.26	50.0	0.13
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$41.68	\$0.00	\$41.68		\$20.84
*** BROKER TRANSACTIONS TOTAL ***				\$-60,238.55	\$2,197.81	\$210.00	\$1,987.81		\$993.92

ADJUSTMENTS

06/09/2017	:			0.00	0.00	0.00	0.00		0.00
06/09/2017	OTHER: COMPLIANCE AND TECHNOLOGY			0.00	0.00	0.00	0.00		-20.00
06/09/2017	OTHER: OTHER-360 OFFICE			0.00	0.00	0.00	0.00		-5.00
06/09/2017	OTHER: CBOE			0.00	0.00	0.00	0.00		-250.00
06/09/2017	OTHER: EXCHANGE FEES			0.00	0.00	0.00	0.00		-96.36
06/09/2017	OTHER: QUODD			0.00	0.00	0.00	0.00		-60.63
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-431.99

BROKER COMMISSION TOTALS

Broker Transactions	\$993.92
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-431.99
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.75
SIPC Assessment	\$-41.21

Check Amount	\$517.97
Year-to-date Earnings	\$3,503.72