

## COMMISSION STATEMENT

November 30, 2017

PHYLLIS FATTORUSO  
89-40 151ST AVENUE  
APT 5G  
HOWARD BEACH, NY 11414

BROKER #: 53  
BRANCH: HOME OFFICE

## COMMISSION STATEMENT for PHYLLIS FATTORUSO

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS</b>									
<b>PRODUCT CATEGORY: STOCKS</b>									
11/01/2017	QGW007700	SARNA, MARK		ALCOA CORPORATION COMMON STOCK	S	-95,407.40	100.00	0.00	100.00 52.0 52.00
11/08/2017	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	5,387.10	150.00	0.00	150.00 52.0 78.00
11/17/2017	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	B	66,000.00	150.00	0.00	150.00 52.0 78.00
11/24/2017	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-53,264.80	100.00	0.00	100.00 52.0 52.00
11/24/2017	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-53,242.60	100.00	0.00	100.00 52.0 52.00
11/08/2017	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	5,387.10	150.00	0.00	150.00 52.0 78.00
11/14/2017	QGW007825	SARNA FAMILY LTD		CHIPOTLE MEXICAN GRILL INC COMMON S	S	-280,372.90	50.00	0.00	50.00 52.0 26.00
11/15/2017	QGW007825	SARNA FAMILY LTD		ALIBABA GROUP HOLDING LTD SPONSORED S	S	-181,217.00	50.00	0.00	50.00 52.0 26.00
11/15/2017	QGW007825	SARNA FAMILY LTD		APPLE INC	S	-169,378.00	50.00	0.00	50.00 52.0 26.00
11/15/2017	QGW007825	SARNA FAMILY LTD		CHIPOTLE MEXICAN GRILL INC COMMON S	S	-285,400.00	50.00	0.00	50.00 52.0 26.00
11/17/2017	QGW007825	SARNA FAMILY LTD		BANK OF AMERICA CORP	B	66,000.00	150.00	0.00	150.00 52.0 78.00
				<b>* STOCKS SUBTOTAL *</b>		<b>\$-975,508.50</b>	<b>\$1,100.00</b>	<b>\$0.00</b>	<b>\$1,100.00 \$572.00</b>

**PRODUCT CATEGORY: OPTIONS**

11/17/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 11-	S	-25,200.00	280.00	0.00	280.00 52.0 145.60
11/17/2017	QGW007700	SARNA, MARK		CALL 100 BANK AMER CORP COM EXP 12-	B	35,300.00	400.00	0.00	400.00 52.0 208.00
11/02/2017	QGW007825	SARNA FAMILY LTD		CALL 100 CHIPOTLE MEXICAN GRILL INC S	S	-6,080.00	40.00	0.00	40.00 52.0 20.80
11/02/2017	QGW007825	SARNA FAMILY LTD		CALL 100 TESLA INC EXP 11-17-17 @28	B	20,640.00	40.00	0.00	40.00 52.0 20.80
11/03/2017	QGW007825	SARNA FAMILY LTD		CALL 100 TESLA INC EXP 11-17-17 @30	S	-9,000.00	40.00	0.00	40.00 52.0 20.80
11/13/2017	QGW007825	SARNA FAMILY LTD		CALL 100 TESLA INC EXP 11-17-17 @30	B	10,300.00	40.00	0.00	40.00 52.0 20.80
11/13/2017	QGW007825	SARNA FAMILY LTD		CALL 100 TESLA INC EXP 11-17-17 @31	B	5,300.00	40.00	0.00	40.00 52.0 20.80
11/13/2017	QGW007825	SARNA FAMILY LTD		CALL 100 TESLA INC EXP 11-17-17 @31	S	-4,931.00	40.00	0.00	40.00 52.0 20.80
11/14/2017	QGW007825	SARNA FAMILY LTD		CALL 100 CHIPOTLE MEXICAN GRILL INC B	B	3,672.00	40.00	0.00	40.00 52.0 20.80
11/15/2017	QGW007825	SARNA FAMILY LTD		CALL 100 CHIPOTLE MEXICAN GRILL INC S	S	-30,000.00	40.00	0.00	40.00 52.0 20.80
11/16/2017	QGW007825	SARNA FAMILY LTD		CALL 100 BANK AMER CORP COM EXP 11-	S	-19,750.00	200.00	0.00	200.00 52.0 104.00
11/16/2017	QGW007825	SARNA FAMILY LTD		CALL 100 GOLDMAN SACHS GROUP INC CO	S	-15,410.00	40.00	0.00	40.00 52.0 20.80
11/16/2017	QGW007825	SARNA FAMILY LTD		CALL 100 TESLA INC EXP 11-17-17 @28	S	-34,000.00	40.00	0.00	40.00 52.0 20.80
11/17/2017	QGW007825	SARNA FAMILY LTD		CALL 100 BANK AMER CORP COM EXP 11-	S	-7,200.00	80.00	0.00	80.00 52.0 41.60
11/17/2017	QGW007825	SARNA FAMILY LTD		CALL 100 BANK AMER CORP COM EXP 12-	B	17,650.00	200.00	0.00	200.00 52.0 104.00
11/17/2017	QGW007825	SARNA FAMILY LTD		CALL 100 GOLDMAN SACHS GROUP INC CO	B	13,800.00	40.00	0.00	40.00 52.0 20.80
11/20/2017	QGW007825	SARNA FAMILY LTD		CALL 100 TESLA INC EXP 12-15-17 @28	B	30,000.00	40.00	0.00	40.00 52.0 20.80

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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 TRANSACTIONS

PRODUCT CATEGORY: OPTIONS

11/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 TESLA INC EXP 12-15-17 @33 S	-5,900.00	40.00	0.00	40.00	52.0	20.80
11/24/2017	QGW007825	SARNA FAMILY LTD	CALL 100 CHIPOTLE MEXICAN GRILL INC B	20,875.00	40.00	0.00	40.00	52.0	20.80
11/24/2017	QGW007825	SARNA FAMILY LTD	CALL 100 TESLA INC EXP 12-15-17 @33 B	3,710.00	40.00	0.00	40.00	52.0	20.80
* OPTIONS SUBTOTAL *				\$3,776.00	\$1,760.00	\$0.00	\$1,760.00		\$915.20

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/16/2017	QGW021909	MASSA, MARY	TRANSAMERICA MULTI-MANAGED BALANCED B	0.00	8.01	0.00	8.01	52.0	4.17
11/27/2017	QGW028755	SARNA, MARK	THORNBURG INVESTMENT INCOME BUILDER B	0.00	16.93	0.00	16.93	52.0	8.80
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$24.94	\$0.00	\$24.94		\$12.97
*** BROKER TRANSACTIONS TOTAL ***				\$-971,732.50	\$2,884.94	\$0.00	\$2,884.94		\$1,500.17

ADJUSTMENTS

11/30/2017		ADVANCE: ADVANCE	0.00	0.00	0.00	0.00			-1,500.00
11/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00			-20.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-1,520.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,500.17
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,520.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-387.93
FINRA Assessment	\$-3.61
SIPC Assessment	\$-7.21

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$-418.58
Year-to-date Earnings	\$2,853.63