

COMMISSION STATEMENT

January 31, 2018

ROBERT HACKEL

206 VAN BUREN

PARAMUS, NJ 07652

BROKER #: 56

BRANCH: HOME OFFICE

COMMISSION STATEMENT for ROBERT HACKEL

| 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> | | | | | | | | | |
| 12/28/2017 | 75500225 | CAPEN, ERNEST | ISHARES 7 TO 10 YEAR TREASURY BOND | B | 21,071.00 | 54.00 | 0.00 | 54.00 | 80.0 43.20 |
| 01/08/2018 | 75500225 | CAPEN, ERNEST | STANDARD & POORS MIDCAP 400 SPDR S& B | | 70,488.60 | 54.00 | 0.00 | 54.00 | 80.0 43.20 |
| 01/08/2018 | 75500225 | CAPEN, ERNEST | STRYKER CORP | B | 32,588.00 | 54.00 | 0.00 | 54.00 | 80.0 43.20 |
| 01/12/2018 | 75500234 | MULLEN, GEORGE | FRANKLIN RESOURCES INC (DEL) | S | 8,890.02 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 01/26/2018 | 75500234 | MULLEN, GEORGE | FRANKLIN RESOURCES INC (DEL) | S | 7,975.63 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500237 | POMFRET SCHOOL | EXXON MOBIL CORPORATION | S | 1,091.48 | 40.00 | 0.00 | 40.00 | 80.0 32.00 |
| 12/29/2017 | 75500237 | POMFRET SCHOOL | IDEXX LABORATORIES CORP | S | 3,483.92 | 40.00 | 0.00 | 40.00 | 80.0 32.00 |
| 01/23/2018 | 75500237 | POMFRET SCHOOL | APPLIED MATERIALS INC | S | 11,224.86 | 53.00 | 0.00 | 53.00 | 80.0 42.40 |
| 12/29/2017 | 75500255 | HOCHBERGER, ELLEN | ALLERGAN PLC | B | 4,107.38 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500255 | HOCHBERGER, ELLEN | BUNGE LTD | B | 3,364.49 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500255 | HOCHBERGER, ELLEN | DEVON ENERGY CORPORATION NEW | S | 4,155.34 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500255 | HOCHBERGER, ELLEN | RIBBON COMMUNICATIONS INC COMMON ST | S | 3,406.70 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 01/03/2018 | 75500255 | HOCHBERGER, ELLEN | ROYAL DUTCH SHELL PLC SPONSORED ADR | S | 2,057.75 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500256 | HOCHBERGER, ELLEN | ALLERGAN PLC | B | 4,107.38 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500256 | HOCHBERGER, ELLEN | BUNGE LTD | B | 3,364.49 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500256 | HOCHBERGER, ELLEN | DEVON ENERGY CORPORATION NEW | S | 4,155.34 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500256 | HOCHBERGER, ELLEN | RIBBON COMMUNICATIONS INC COMMON ST | S | 3,716.40 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 01/03/2018 | 75500256 | HOCHBERGER, ELLEN | ROYAL DUTCH SHELL PLC SPONSORED ADR | S | 1,157.75 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 01/03/2018 | 75500256 | HOCHBERGER, ELLEN | ROYAL DUTCH SHELL PLC SPONSORED ADR | B | -1,157.75 | -35.00 | 0.00 | -35.00 | 80.0 -28.00 C |
| 01/03/2018 | 75500256 | HOCHBERGER, ELLEN | ROYAL DUTCH SHELL PLC SPONSORED ADR | S | 2,057.75 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500257 | HOCHBERGER, ELLEN | ALLERGAN PLC | B | 4,107.38 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/29/2017 | 75500257 | HOCHBERGER, ELLEN | DEVON ENERGY CORPORATION NEW | S | 4,155.34 | 35.00 | 0.00 | 35.00 | 80.0 28.00 |
| 12/28/2017 | 75500651 | MULLEN, REBECCA | FRANKLIN RESOURCES INC (DEL) | S | 6,523.92 | 25.00 | 0.00 | 25.00 | 80.0 20.00 |
| 12/28/2017 | 75501322 | GILBERTSON, JAY | AT&T INC | B | 39.10 | 0.00 | 0.00 | 0.00 | 80.0 0.00 |
| 12/28/2017 | 75501322 | GILBERTSON, JAY | CISCO SYS INC | B | 38.51 | 0.00 | 0.00 | 0.00 | 80.0 0.00 |
| 12/28/2017 | 75501322 | GILBERTSON, JAY | GENERAL ELECTRIC CO | S | 103.92 | 0.00 | 0.00 | 0.00 | 80.0 0.00 |
| 12/28/2017 | 75501322 | GILBERTSON, JAY | SUNTRUST BANKS INC | B | 4,241.89 | 0.00 | 0.00 | 0.00 | 80.0 0.00 |
| 01/08/2018 | 75501322 | GILBERTSON, JAY | ALIGN TECHNOLOGY INC | S | 1,236.46 | 0.00 | 0.00 | 0.00 | 80.0 0.00 |
| 01/08/2018 | 75501322 | GILBERTSON, JAY | ALIGN TECHNOLOGY INC | S | 1,731.04 | 0.00 | 0.00 | 0.00 | 80.0 0.00 |
| 01/09/2018 | 75501322 | GILBERTSON, JAY | DOLLAR TREE INC | S | 876.42 | 0.00 | 0.00 | 0.00 | 80.0 0.00 |
| 01/10/2018 | 75501322 | GILBERTSON, JAY | BANK OF THE OZARKS INC | B | 865.69 | 0.00 | 0.00 | 0.00 | 80.0 0.00 |

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| 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> | | | | | | | | | |
| 01/10/2018 | 75501322 GILBERTSON, JAY | EDWARDS LIFESCIENCES CRP | B | 942.21 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/10/2018 | 75501322 GILBERTSON, JAY | LIVE NATION ENTMT INC COM | B | 959.96 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/12/2018 | 75501322 GILBERTSON, JAY | FACEBOOK INC CL A | S | 1,438.21 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/12/2018 | 75501322 GILBERTSON, JAY | FACEBOOK INC CL A | S | 3,415.74 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/12/2018 | 75501322 GILBERTSON, JAY | FACEBOOK INC CL A | S | 4,314.62 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/16/2018 | 75501322 GILBERTSON, JAY | MICROSOFT CORP | B | 6,404.02 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501322 GILBERTSON, JAY | FACEBOOK INC CL A | S | 1,423.05 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501322 GILBERTSON, JAY | MASTERCARD INCORPORATED | S | 657.10 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501322 GILBERTSON, JAY | QUALCOMM INC | B | 2,179.57 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501322 GILBERTSON, JAY | BANKUNITED INC | S | 1,147.22 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501322 GILBERTSON, JAY | GENPACT LIMITED | B | 813.78 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501322 GILBERTSON, JAY | SOUTHERN CO | B | 2,203.04 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501322 GILBERTSON, JAY | VODAFONE GROUP PLC SPONSORED ADR NO S | | 94.52 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501322 GILBERTSON, JAY | VODAFONE GROUP PLC SPONSORED ADR NO S | | 504.08 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501322 GILBERTSON, JAY | VODAFONE GROUP PLC SPONSORED ADR NO S | | 1,701.28 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501322 GILBERTSON, JAY | WELLTOWER INC COM | B | 1,723.76 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501322 GILBERTSON, JAY | ALLERGAN PLC | B | 1,447.45 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501322 GILBERTSON, JAY | J P MORGAN CHASE & CO | S | 112.99 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501322 GILBERTSON, JAY | J P MORGAN CHASE & CO | S | 1,920.89 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501322 GILBERTSON, JAY | MONDELEZ INTERNATIONAL INC COM | B | 1,013.96 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501322 GILBERTSON, JAY | PRAXAIR INC | S | 2,099.39 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501322 GILBERTSON, JAY | QUALCOMM INC | B | 611.90 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501322 GILBERTSON, JAY | WEC ENERGY GROUP INC | B | 568.34 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501322 GILBERTSON, JAY | CELGENE CORP | S | 625.17 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501322 GILBERTSON, JAY | CELGENE CORP | S | 729.37 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501322 GILBERTSON, JAY | CELGENE CORP | S | 1,041.96 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501322 GILBERTSON, JAY | CELGENE CORP | S | 3,855.24 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501322 GILBERTSON, JAY | CELGENE CORP | S | 5,209.79 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501322 GILBERTSON, JAY | ESTEE LAUDER COMPANIES INC CL A | S | 273.35 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501322 GILBERTSON, JAY | ESTEE LAUDER COMPANIES INC CL A | S | 546.69 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501322 GILBERTSON, JAY | PEPSICO INC | B | 729.84 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/24/2018 | 75501322 GILBERTSON, JAY | BOEING CO | S | 1,680.45 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/24/2018 | 75501322 GILBERTSON, JAY | BOEING CO | S | 2,016.54 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/24/2018 | 75501322 GILBERTSON, JAY | MICROSOFT CORP | S | 2,485.35 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/29/2018 | 75501322 GILBERTSON, JAY | DAVE & BUSTERS ENTERTAINMENT INC CO S | | 192.02 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/29/2018 | 75501322 GILBERTSON, JAY | DAVE & BUSTERS ENTERTAINMENT INC CO S | | 576.05 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/29/2018 | 75501322 GILBERTSON, JAY | SHERWIN WILLIAMS COMPANY | S | 841.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/29/2018 | 75501322 GILBERTSON, JAY | STARBUCKS CORP | S | 114.09 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/29/2018 | 75501322 GILBERTSON, JAY | STARBUCKS CORP | S | 969.77 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 WRIGHTON, BRYAN | 3M COMPANY | S | 236.02 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |

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|--------------------------|----------|-----------------|-----|-------------------------------------|---------------------|--------------------|-------------------|------|----------------------|------|------|
| BROKER TRANSACTIONS | | | | | | | | | | | |
| PRODUCT CATEGORY: STOCKS | | | | | | | | | | | |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | AT&T INC | S | 117.27 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | CHEVRON CORPORATION | S | 125.65 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | CISCO SYS INC | S | 77.01 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | GENERAL ELECTRIC CO | S | 86.60 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | HCP INC | S | 103.84 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | JOHNSON & JOHNSON | S | 280.94 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | MICROSOFT CORP | S | 85.65 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | SIEMENS AG AMERICAN DEPOSITARY SHAR | S | 139.58 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 12/28/2017 | 75501761 | WRIGHTON, BRYAN | | SUNTRUST BANKS INC | B | 2,088.32 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/05/2018 | 75501761 | WRIGHTON, BRYAN | | ENVIROSTAR INC | B | 338.85 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/12/2018 | 75501761 | WRIGHTON, BRYAN | | FACEBOOK INC CL A | S | 719.10 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/12/2018 | 75501761 | WRIGHTON, BRYAN | | FACEBOOK INC CL A | S | 4,314.62 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/16/2018 | 75501761 | WRIGHTON, BRYAN | | MICROSOFT CORP | B | 3,735.68 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/16/2018 | 75501761 | WRIGHTON, BRYAN | | ROGERS CORP | S | 868.84 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | ABBVIE INC | S | 209.02 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | ABBVIE INC | S | 836.07 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | AMGEN INC | B | 4,910.41 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | AT&T INC | B | 1,512.86 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | BOEING CO | S | 14,574.16 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | CHEVRON CORPORATION | B | 132.61 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | CISCO SYS INC | S | 535.64 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | COCA COLA COMPANY (THE) | S | 1,267.70 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | GENERAL ELECTRIC CO | S | 4,910.26 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | GENERAL MOTORS COMPANY | S | 1,057.03 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | INTERNATIONAL BUSINESS MACHINES COR | B | 505.62 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | MERCK & CO INC | B | 4,961.49 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | METLIFE INC | B | 4,676.38 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | PFIZER INCORPORATED | B | 223.89 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | PHILIP MORRIS INTERNATIONAL INC | B | 2,438.44 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | PROCTER & GAMBLE CO | B | 7,244.55 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | ROYAL DUTCH SHELL PLC SPONSORED ADR | S | 1,306.31 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501761 | WRIGHTON, BRYAN | | SOUTHERN CO | S | 314.67 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501761 | WRIGHTON, BRYAN | | VODAFONE GROUP PLC SPONSORED ADR NO | S | 1,386.22 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/18/2018 | 75501761 | WRIGHTON, BRYAN | | WELLTOWER INC COM | B | 237.76 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501761 | WRIGHTON, BRYAN | | AT&T INC | S | 704.19 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501761 | WRIGHTON, BRYAN | | BOEING CO | S | 338.76 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501761 | WRIGHTON, BRYAN | | BOEING CO | S | 1,016.28 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501761 | WRIGHTON, BRYAN | | CONOCOPHILLIPS | S | 1,310.61 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501761 | WRIGHTON, BRYAN | | HSBC HOLDINGS PLC SPONSORED ADR | S | 1,051.08 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501761 | WRIGHTON, BRYAN | | MATADOR RESOURCES COMPANY | S | 252.03 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |

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|---------------------------------|--------------------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 01/19/2018 | 75501761 WRIGHTON, BRYAN | MICROSOFT CORP | S | 2,068.24 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/19/2018 | 75501761 WRIGHTON, BRYAN | ROYAL DUTCH SHELL PLC SPONSORED ADR | S | 1,223.83 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501761 WRIGHTON, BRYAN | CELGENE CORP | S | 625.17 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501761 WRIGHTON, BRYAN | CELGENE CORP | S | 1,146.15 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501761 WRIGHTON, BRYAN | CELGENE CORP | S | 2,083.91 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/23/2018 | 75501761 WRIGHTON, BRYAN | CELGENE CORP | S | 2,604.89 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/24/2018 | 75501761 WRIGHTON, BRYAN | BOEING CO | S | 672.18 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/09/2018 | QGN005027 GOLDSMITH, ELY & | COWEN INC PFD QTRTRY CPN 7.35% CALL B | B | 65,910.00 | 264.00 | 0.00 | 264.00 | 80.0 | 211.20 |
| 01/09/2018 | QGN005027 GOLDSMITH, ELY & | COWEN INC PFD QTRTRY CPN 7.35% CALL B | B | 25,350.00 | 120.00 | 0.00 | 120.00 | 80.0 | 96.00 |
| 01/09/2018 | QGN005027 GOLDSMITH, ELY & | COWEN INC PFD QTRTRY CPN 7.35% CALL B | B | -65,910.00 | -264.00 | 0.00 | -264.00 | 80.0 | -211.20 C |
| 01/19/2018 | QGN005035 MUNN, LINDA | ISHARES NASDAQ BIOTECHNOLOGY INDEX | S | -30,685.88 | 63.00 | 0.00 | 63.00 | 80.0 | 50.40 |
| 01/19/2018 | QGN005035 MUNN, LINDA | SPDR SER TR S&P BIOTECH ETF | S | -22,024.90 | 60.00 | 0.00 | 60.00 | 80.0 | 48.00 |
| 01/09/2018 | QGN005076 BRENNAN, LUCY | COWEN INC PFD QTRTRY CPN 7.35% CALL B | B | 65,910.00 | 264.00 | 0.00 | 264.00 | 80.0 | 211.20 |
| 01/18/2018 | QGN005464 RF LAFFERTY & CO | JOHNSON & JOHNSON | S | -292,300.20 | 210.00 | 0.00 | 210.00 | 80.0 | 168.00 |
| 01/26/2018 | QGN005464 RF LAFFERTY & CO | JOHNSON & JOHNSON | S | -560,121.10 | 376.50 | 0.00 | 376.50 | 80.0 | 301.20 |
| 01/04/2018 | QGN005548 HENRY L THOMPSON | NEXTERA ENERGY INC | B | 76,092.90 | 35.00 | 0.00 | 35.00 | 80.0 | 28.00 |
| 01/04/2018 | QGN005548 HENRY L THOMPSON | WALGREEN BOOTS ALLIANCE INC COM | B | 71,048.10 | 50.00 | 0.00 | 50.00 | 80.0 | 40.00 |
| 01/19/2018 | QGN005548 HENRY L THOMPSON | DOMINION RESOURCES INC VA NEW | B | 74,780.70 | 50.00 | 0.00 | 50.00 | 80.0 | 40.00 |
| 01/04/2018 | QGN005555 HENRY L THOMPSON | NEXTERA ENERGY INC | B | 76,092.90 | 35.00 | 0.00 | 35.00 | 80.0 | 28.00 |
| 01/04/2018 | QGN005555 HENRY L THOMPSON | WALGREEN BOOTS ALLIANCE INC COM | B | 213,144.30 | 150.00 | 0.00 | 150.00 | 80.0 | 120.00 |
| 01/17/2018 | QGN005555 HENRY L THOMPSON | OWENS AND MINOR INC HLDGS CO INC | S | -217,500.00 | 300.00 | 0.00 | 300.00 | 80.0 | 240.00 |
| 01/18/2018 | QGN005555 HENRY L THOMPSON | J P MORGAN CHASE & CO | S | -339,752.10 | 150.00 | 0.00 | 150.00 | 80.0 | 120.00 |
| 01/19/2018 | QGN005555 HENRY L THOMPSON | DOMINION RESOURCES INC VA NEW | B | 224,342.10 | 150.00 | 0.00 | 150.00 | 80.0 | 120.00 |
| 01/24/2018 | QGN005555 HENRY L THOMPSON | JOHNSON & JOHNSON | B | 143,170.00 | 50.00 | 0.00 | 50.00 | 80.0 | 40.00 |
| 01/22/2018 | QGN005654 BENSON ROSE | EXXON MOBIL CORPORATION | S | -8,821.00 | 42.00 | 0.00 | 42.00 | 80.0 | 33.60 |
| 01/05/2018 | QGN005712 DRURY W COOPER TRUST | AMPIO PHARMACEUTICALS INC | B | 5,679.80 | 120.00 | 0.00 | 120.00 | 80.0 | 96.00 |
| 12/28/2017 | QGN005811 MARIAN RUSSEL LARKIN | MERCK & CO INC | S | -45,226.08 | 126.00 | 0.00 | 126.00 | 80.0 | 100.80 |
| 01/23/2018 | QGN005902 WINSTON HAGEN | INTERNATIONAL BUSINESS MACHINES COR | S | -32,931.50 | 54.00 | 0.00 | 54.00 | 80.0 | 43.20 |
| 01/04/2018 | QGN005910 WYNANT D VANDERPOEL | AXOVANT SCIENCES LTD COM ISIN#BMG07 | S | -52,178.00 | 500.00 | 0.00 | 500.00 | 80.0 | 400.00 |
| 01/02/2018 | QGN005928 ROSE JACKSON MILBANK | CHUBB LTD COM | S | -43,026.03 | 66.00 | 0.00 | 66.00 | 80.0 | 52.80 |
| 01/02/2018 | QGN005928 ROSE JACKSON MILBANK | J P MORGAN CHASE & CO | S | -42,932.04 | 78.00 | 0.00 | 78.00 | 80.0 | 62.40 |
| 01/02/2018 | QGN005928 ROSE JACKSON MILBANK | VANGUARD INFO TECH VIPERS | B | 83,190.00 | 90.00 | 0.00 | 90.00 | 80.0 | 72.00 |
| 01/11/2018 | QGN005936 MICHAEL D EISNER | WALT DISNEY CO | S | -142,972.62 | 50.00 | 0.00 | 50.00 | 80.0 | 40.00 |
| 01/04/2018 | QGN006009 THOMPSON, MARY | NEXTERA ENERGY INC | B | 45,655.74 | 35.00 | 0.00 | 35.00 | 80.0 | 28.00 |
| 01/04/2018 | QGN006009 THOMPSON, MARY | WALGREEN BOOTS ALLIANCE INC COM | B | 71,048.10 | 50.00 | 0.00 | 50.00 | 80.0 | 40.00 |
| 01/05/2018 | QGN006249 HAGGIAG FAMILY TR, | INOVALON HOLDINGS INC COM CL A | S | -453,012.00 | 1,800.00 | 0.00 | 1,800.00 | 80.0 | 1,440.00 |
| 01/08/2018 | QGN006249 HAGGIAG FAMILY TR, | INOVALON HOLDINGS INC COM CL A | S | -1,268,091.00 | 5,400.00 | 0.00 | 5,400.00 | 80.0 | 4,320.00 |
| 12/29/2017 | QGN006264 401K, JEREMY | ENERGOUS CORP COM | B | 934.42 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006371 MOZAIC LLC | CVS HEALTH CORPORATION | S | -23,005.62 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006371 MOZAIC LLC | NOVARTIS AG AMERICAN DEPOSITARY SHA | S | -1,287.21 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |

COMMISSION STATEMENT for ROBERT HACKEL

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--------------------------|-----------|-----------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS | | | | | | | | | |
| PRODUCT CATEGORY: STOCKS | | | | | | | | | |
| 01/10/2018 | QGN006371 | MOZAIC LLC | RECKITT BENCKISER PLC SPONSORED ADR S | -1,384.21 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006371 | MOZAIC LLC | VERIZON COMMUNICATIONS S | -40,863.00 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006371 | MOZAIC LLC | WABTEC CORP S | -1,410.38 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006389 | MOZAIC LLC | CVS HEALTH CORPORATION S | -25,251.96 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006389 | MOZAIC LLC | NOVARTIS AG AMERICAN DEPOSITARY SHA S | -1,287.21 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006389 | MOZAIC LLC | RECKITT BENCKISER PLC SPONSORED ADR S | -1,384.21 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006389 | MOZAIC LLC | VERIZON COMMUNICATIONS S | -40,760.20 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006389 | MOZAIC LLC | WABTEC CORP S | -1,410.38 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006397 | MOZAIC LLC | CVS HEALTH CORPORATION S | -24,709.74 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006397 | MOZAIC LLC | NOVARTIS AG AMERICAN DEPOSITARY SHA S | -1,201.39 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006397 | MOZAIC LLC | RECKITT BENCKISER PLC SPONSORED ADR S | -1,290.68 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006397 | MOZAIC LLC | VERIZON COMMUNICATIONS S | -40,863.00 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/10/2018 | QGN006397 | MOZAIC LLC | WABTEC CORP S | -1,327.41 | 20.00 | 0.00 | 20.00 | 80.0 | 16.00 |
| 01/09/2018 | QGW031544 | HEALY, TIMOTHY | COWEN INC PFD QRTRLY CPN 7.35% CALL B | 7,605.00 | 66.00 | 0.00 | 66.00 | 80.0 | 52.80 |
| 01/09/2018 | QGW031544 | HEALY, TIMOTHY | MBIA INC B | 22,074.30 | 300.00 | 0.00 | 300.00 | 80.0 | 240.00 |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | ALLIANCE HLDGS GP LP COM UNITS REPS S | -55,600.00 | 210.00 | 0.00 | 210.00 | 80.0 | 168.00 |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | BARCLAYS BK PLC IPATH BLOOMBERG COM B | 12,324.95 | 90.00 | 0.00 | 90.00 | 80.0 | 72.00 |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | COWEN INC PFD QRTRLY CPN 7.35% CALL S | -7,590.00 | 66.00 | 0.00 | 66.00 | 80.0 | 52.80 |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | EDISON INTERNATIONAL S | -61,842.00 | 120.00 | 0.00 | 120.00 | 80.0 | 96.00 |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | HALLADOR ENERGY COMPANY COM S | -32,712.00 | 300.00 | 0.00 | 300.00 | 80.0 | 240.00 |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | NEW GOLD INC S | -15,750.50 | 200.00 | 0.00 | 200.00 | 80.0 | 160.00 |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | SAFETY INS GROUP INC COM S | -39,750.00 | 90.00 | 0.00 | 90.00 | 80.0 | 72.00 |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | SPDR S&P 500 ETF TRUST B | 139,765.00 | 90.00 | 0.00 | 90.00 | 80.0 | 72.00 |
| 01/23/2018 | QGW031544 | HEALY, TIMOTHY | MBIA INC B | 22,320.00 | 300.00 | 0.00 | 300.00 | 80.0 | 240.00 |
| 01/29/2018 | QGW031544 | HEALY, TIMOTHY | BARCLAYS BK PLC IPATH BLOOMBERG COM B | 12,658.35 | 90.00 | 0.00 | 90.00 | 80.0 | 72.00 |
| 01/29/2018 | QGW031569 | HEALY, TIMOTHY | ALLIANCE RESOURCE PARTNERS LP UNIT B | 21,800.00 | 120.00 | 0.00 | 120.00 | 80.0 | 96.00 |
| 01/29/2018 | QGW031569 | HEALY, TIMOTHY | ANTERO MIDSTREAM GP LP COM SHS REPS S | -21,765.00 | 120.00 | 0.00 | 120.00 | 80.0 | 96.00 |
| 01/09/2018 | QGW038994 | CROWE, PATRICIA | COWEN INC PFD QRTRLY CPN 7.35% CALL B | 12,675.00 | 90.00 | 0.00 | 90.00 | 80.0 | 72.00 |
| * STOCKS SUBTOTAL * | | | | \$-2,209,892.55 | \$13,856.50 | \$0.00 | \$13,856.50 | | \$11,085.20 |
| PRODUCT CATEGORY: BONDS | | | | | | | | | |
| 12/28/2017 | 75500225 | CAPEN, ERNEST | UNITED STATES TREASURY NOTE B | 100,429.91 | 200.00 | 0.00 | 200.00 | 80.0 | 160.00 |
| 01/08/2018 | 75500241 | CAPEN, ERNEST | UNITED STATES TREASURY NOTE B | 99,982.16 | 300.00 | 0.00 | 300.00 | 80.0 | 240.00 |
| 01/03/2018 | 75500278 | ADELE HALL SWEET | UNITED STATES TREASURY BILL B | 1,190,135.64 | 1,500.00 | 0.00 | 1,500.00 | 80.0 | 1,200.00 |
| 01/03/2018 | 75500279 | ADELE HALL SWEET 1932 | UNITED STATES TREASURY BILL B | 198,358.18 | 250.00 | 0.00 | 250.00 | 80.0 | 200.00 |
| * BONDS SUBTOTAL * | | | | \$1,588,905.89 | \$2,250.00 | \$0.00 | \$2,250.00 | | \$1,800.00 |

COMMISSION STATEMENT for ROBERT HACKEL

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | | |
|---------------------------|-----------|-----------------|-----|---------------------------------------|---------------------|--------------------|-------------------|-------------|----------------------|-------------|----------|
| BROKER TRANSACTIONS | | | | | | | | | | | |
| PRODUCT CATEGORY: OPTIONS | | | | | | | | | | | |
| 01/19/2018 | QGW031544 | HEALY, TIMOTHY | | PUT 100 SPDR S&P 500 ETF TR TR UNIT B | 6,950.00 | 40.00 | 0.00 | 40.00 | 80.0 | 32.00 | |
| 01/29/2018 | QGW031544 | HEALY, TIMOTHY | | PUT 100 SPDR S&P 500 ETF TR TR UNIT B | 6,430.00 | 40.00 | 0.00 | 40.00 | 80.0 | 32.00 | |
| 01/29/2018 | QGW031551 | HEALY, TIMOTHY | | CALL 100 WYNN RESORTS LTD COM EXP 0 B | 17,385.00 | 40.00 | 0.00 | 40.00 | 80.0 | 32.00 | |
| 01/30/2018 | QGW031551 | HEALY, TIMOTHY | | CALL 100 CBOE VOLATILITY INDEX - VX S | -950.00 | 40.00 | 0.00 | 40.00 | 80.0 | 32.00 | |
| | | | | * OPTIONS SUBTOTAL * | \$29,815.00 | \$160.00 | \$0.00 | \$160.00 | | \$128.00 | |
| PRODUCT CATEGORY: RIA | | | | | | | | | | | |
| 01/17/2018 | 75501322 | GILBERTSON, JAY | | FAS FEES PT. I/III | B | -2,049.86 | 1,268.35 | 0.00 | 1,268.35 | 80.0 | 1,014.68 |
| 01/17/2018 | 75501761 | WRIGHTON, BRYAN | | FAS FEES PT. I/III | B | -896.32 | 554.09 | 0.00 | 554.09 | 80.0 | 443.27 |
| 01/18/2018 | 75501761 | WRIGHTON, BRYAN | | FAS FEES PT. I/III | B | 13.38 | -8.27 | 0.00 | -8.27 | 80.0 | -6.62 |
| 01/17/2018 | 75502027 | HACKEL, STUART | | FAS FEES PT. I/III | B | 0.00 | 39.64 | 0.00 | 39.64 | 80.0 | 31.71 |
| 01/17/2018 | 75502029 | HACKEL, STUART | | FAS FEES PT. I/III | B | 0.00 | 44.69 | 0.00 | 44.69 | 80.0 | 35.75 |
| 01/17/2018 | 75502030 | RYNN, SUSAN | | FAS FEES PT. I/III | B | 0.00 | 329.39 | 0.00 | 329.39 | 80.0 | 263.51 |
| 01/17/2018 | 75502031 | RYNN, SUSAN | | FAS FEES PT. I/III | B | 0.00 | 7.09 | 0.00 | 7.09 | 80.0 | 5.67 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | 36.33 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | -101.33 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | -319.68 | 247.75 | 0.00 | 247.75 | 80.0 | 198.20 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | 6.62 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | -597.17 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | -19.23 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | 30.23 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | 109.28 | -84.69 | 0.00 | -84.69 | 80.0 | -67.75 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | 203.87 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 01/17/2018 | 75502032 | HACKEL, STUART | | FAS FEES PT. I/III | B | -87.89 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| | | | | * RIA SUBTOTAL * | \$-3,671.77 | \$2,398.04 | \$0.00 | \$2,398.04 | | \$1,918.42 | |
| | | | | *** BROKER TRANSACTIONS TOTAL *** | \$-594,843.43 | \$18,664.54 | \$0.00 | \$18,664.54 | | \$14,931.62 | |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$14,931.62 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-23.33 |
| SIPC Assessment | \$-46.66 |

| | |
|------------------------------|--------------------|
| Check Amount | \$14,861.63 |
| Year-to-date Earnings | \$14,861.63 |