

COMMISSION STATEMENT

December 31, 2017

ANDREW LINDNER
37 GOLDENEYE LANE

BROKER #: 4
BRANCH: HOME OFFICE

PORT MONMOUTH, NJ 07758

COMMISSION STATEMENT for ANDREW LINDNER

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
11/29/2017	QGN005274	OLSTEIN ALL CAP	HIL ROM HLDGS COM	S	-42,255.55	15.00	6.00	9.00	4.50
11/29/2017	QGN005274	OLSTEIN ALL CAP	INTEL CORP	B	264,809.40	180.00	6.00	174.00	87.00
11/30/2017	QGN005274	OLSTEIN ALL CAP	CITIZENS FINANCIAL GROUP INC COM	S	-123,000.00	90.00	6.00	84.00	42.00
11/30/2017	QGN005274	OLSTEIN ALL CAP	LOWES COMPANIES INC	S	-252,750.00	90.00	6.00	84.00	42.00
12/01/2017	QGN005274	OLSTEIN ALL CAP	HIL ROM HLDGS COM	S	-424,714.00	150.00	6.00	144.00	72.00
12/12/2017	QGN005274	OLSTEIN ALL CAP	AMERICAN EXPRESS COMPANY (N.Y)	S	-199,000.00	60.00	6.00	54.00	27.00
12/13/2017	QGN005274	OLSTEIN ALL CAP	CATERPILLAR INC	S	-864,908.08	176.94	6.00	170.94	85.47
12/18/2017	QGN005274	OLSTEIN ALL CAP	AMERICAN EXPRESS COMPANY (N.Y)	S	-200,500.00	60.00	6.00	54.00	27.00
12/26/2017	QGN005274	OLSTEIN ALL CAP	HIL ROM HLDGS COM	S	-338,943.98	119.52	6.00	113.52	56.76
12/27/2017	QGN005274	OLSTEIN ALL CAP	HIL ROM HLDGS COM	S	-140,664.81	49.50	6.00	43.50	21.75
12/27/2017	QGN005274	OLSTEIN ALL CAP	LOWES COMPANIES INC	S	-184,500.00	60.00	6.00	54.00	27.00
11/29/2017	QGN005282	OPPORTUNITIES,	HIL ROM HLDGS COM	S	-33,804.44	12.00	6.00	6.00	3.00
12/01/2017	QGN005282	OPPORTUNITIES,	HIL ROM HLDGS COM	S	-311,485.25	110.01	6.00	104.01	52.01
12/26/2017	QGN005282	OPPORTUNITIES,	HIL ROM HLDGS COM	S	-246,721.27	87.00	6.00	81.00	40.50
12/27/2017	QGN005282	OPPORTUNITIES,	HIL ROM HLDGS COM	S	-102,301.68	36.00	6.00	30.00	15.00
11/28/2017	QGN005308	DIOCESE OF ARLINGTON DISCOVERY COMMUNICATIONS INC COM SE B		S	-9,017.20	-26.31	-6.00	-20.31	-10.16 C
11/28/2017	QGN005308	DIOCESE OF ARLINGTON DISCOVERY COMMUNICATIONS INC COM SE B		S	9,017.20	16.50	6.00	10.50	5.25
12/01/2017	QGN005308	DIOCESE OF ARLINGTON HIL ROM HLDGS COM		S	-16,988.56	6.00	6.00	0.00	0.00
12/26/2017	QGN005308	DIOCESE OF ARLINGTON HIL ROM HLDGS COM		S	-12,761.45	4.50	6.00	-1.50	-0.75
12/27/2017	QGN005308	DIOCESE OF ARLINGTON HIL ROM HLDGS COM		S	-4,347.82	1.53	6.00	-4.47	-2.24
11/30/2017	QGV005689	MERRILL LYNCH PROF	JUNO THERAPEUTICS INC COM	S	-1,097,406.00	800.00	6.00	794.00	397.00
12/26/2017	QGV005689	MERRILL LYNCH PROF	ZIMMER BIOMET HLDGS INC COM	B	6,010,290.00	2,000.00	6.00	1,994.00	997.00
* STOCKS SUBTOTAL *					\$1,678,046.51	\$4,098.19	\$120.00	\$3,978.19	\$1,989.09
PRODUCT CATEGORY: BONDS									
12/21/2017	QGN001067	ASSOCIATION,	UNITED STATES TREAS NTS 1.000% 02/1 S	S	-24,984.38	50.00	5.00	45.00	22.50
12/21/2017	QGN001067	ASSOCIATION,	UNITED STATES TREAS NTS 1.375% 11/3 S	S	-29,887.50	50.00	5.00	45.00	22.50
12/21/2017	QGN001067	ASSOCIATION,	UNITED STATES TREAS NTS 1.000% 06/3 S	S	-49,359.38	50.00	5.00	45.00	22.50
12/27/2017	QGN001141	GREAT NECK TEACHERS	FEDERAL NATL MTG ASSN WITH 10-DAY C B	B	74,925.00	50.00	5.00	45.00	22.50
12/27/2017	QGN001141	GREAT NECK TEACHERS	UNITED STATES TREAS NTS 2.000% 02/2 B	B	99,937.50	50.00	5.00	45.00	22.50
12/27/2017	QGN001141	GREAT NECK TEACHERS	UNITED STATES TREAS NTS 2.250% 11/1 B	B	49,242.19	50.00	5.00	45.00	22.50

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: BONDS</u>									
12/27/2017	QGN001141	GREAT NECK TEACHERS	UNITED STATES TREAS NTS 2.000% 02/1 B	49,484.38	50.00	5.00	45.00	50.0	22.50
12/20/2017	QGN001158	CPA'S, SCHULTHEIS &	UNITED STATES TREAS BDS 2.500% 02/1 S	-46,421.88	50.00	5.00	45.00	50.0	22.50
11/28/2017	QGN001364	LOCAL 300 CIVIL	UNITED STATES TREAS NTS 2.250% 08/1 B	-198,750.00	-50.00	-5.00	-45.00	50.0	-22.50 C
11/28/2017	QGN001364	LOCAL 300 CIVIL	UNITED STATES TREAS NTS 2.250% 08/1 B	198,750.00	62.50	5.00	57.50	50.0	28.75
12/28/2017	QGN001380	TEAMSTERS LOCAL 445	UNITED STATES TREAS BDS 2.500% 02/1 B	33,326.56	50.00	5.00	45.00	50.0	22.50
12/28/2017	QGN001430	WORKERS LOCAL 12,	UNITED STATES TREAS NTS 2.000% 02/1 B	24,875.00	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN001471	SUFFOLK COUNTY	UNITED STATES TREAS NTS 2.000% 02/2 B	9,990.63	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN001596	COLLEGE EMPLOYEES	UNITED STATES TREAS NTS 2.000% 02/2 B	49,953.13	50.00	5.00	45.00	50.0	22.50
12/28/2017	QGN002164	PENSION FUND LOCAL	UNITED STATES TREAS BDS 2.500% 02/1 B	71,320.31	50.00	5.00	45.00	50.0	22.50
12/28/2017	QGN002164	PENSION FUND LOCAL	UNITED STATES TREAS NTS 2.000% 11/1 B	145,031.25	50.00	5.00	45.00	50.0	22.50
12/28/2017	QGN002172	STACEY BRAUN & ASSOC	UNITED STATES TREAS NTS 2.000% 02/1 B	74,625.00	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	AT&T INC FXD RT NT 2.300% 03/11/19 S	-99,800.00	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	BURLINGTON NORTHN SANTA FE CORP DEB S	-64,250.00	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	CVS HEALTH CORP SR NT 4.000% 12/05/ S	-51,650.00	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	EATON CORP OHIO SR NT 4.000% 11/02/ S	-72,100.00	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	LOCKHEED MARTIN CORP FXD RT SER B 4 S	-52,025.00	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	MICROSOFT CORP FXD RT NT 3.500% 02/ S	-102,230.00	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	UNITED STATES TREAS BDS 2.875% 05/1 S	-20,287.50	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	UNITED STATES TREAS NTS 1.250% 01/3 S	-197,187.50	62.50	5.00	57.50	50.0	28.75
12/26/2017	QGN002248	LOCAL 1205 WELFARE	UNITED STATES TREAS NTS 2.625% 08/1 S	-101,625.00	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	UNITED STATES TREAS NTS 2.000% 11/1 S	-348,250.00	109.38	5.00	104.38	50.0	52.19
12/26/2017	QGN002248	LOCAL 1205 WELFARE	UNITED STATES TREAS NTS 1.625% 05/1 S	-46,890.63	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002248	LOCAL 1205 WELFARE	UNITED STATES TREAS NTS 1.000% 08/3 S	-221,625.00	70.31	5.00	65.31	50.0	32.66
12/26/2017	QGN002248	LOCAL 1205 WELFARE	UNITED STATES TREAS NTS 1.625% 11/1 S	-194,406.25	62.50	5.00	57.50	50.0	28.75
12/26/2017	QGN002248	LOCAL 1205 WELFARE	UNITED STATES TREAS NTS 1.625% 10/3 S	-62,562.50	50.00	5.00	45.00	50.0	22.50
12/26/2017	QGN002271	HEALTH AND WELFARE	NATIONAL RURAL UTILS COOP FIN CORP B	34,905.50	50.00	5.00	45.00	50.0	22.50
12/28/2017	QGN002271	HEALTH AND WELFARE	UNITED STATES TREAS NTS 1.750% 09/3 B	74,859.38	50.00	5.00	45.00	50.0	22.50
12/28/2017	QGN002289	RETIREMENT PLAN OF,	UNITED STATES TREAS BDS 2.750% 11/1 B	10,040.63	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN003378	COLLEGE EMPLOYEES	UNITED STATES TREAS NTS 2.000% 02/2 B	9,990.63	50.00	5.00	45.00	50.0	22.50
12/20/2017	QGN003394	CO., OPPENHEIMER &	SOUTHWEST AIRLS CO FXD RT NT 3.000% B	242,162.50	78.13	5.00	73.13	50.0	36.57
12/27/2017	QGN003535	WARDENS/, ASSISTANT	UNITED STATES TREAS NTS 2.000% 02/2 B	49,953.13	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN003550	OF, FARMINGDALE	UNITED STATES TREAS NTS 2.000% 02/2 B	74,929.69	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN003568	TEACHERS, LEVITTOWN	FEDERAL NATL MTG ASSN WITH 10-DAY C B	14,535.00	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN003568	TEACHERS, LEVITTOWN	FEDERAL NATL MTG ASSN WITH 10-DAY C B	49,950.00	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN003568	TEACHERS, LEVITTOWN	UNITED STATES TREAS NTS 2.000% 04/3 B	24,554.69	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN004996	SHORE SCHOOLS	UNITED STATES TREAS NTS 2.000% 02/2 B	24,976.56	50.00	5.00	45.00	50.0	22.50
12/28/2017	QGN005662	OPPENHEIMER & CO	UNITED STATES TREAS NTS 2.000% 02/1 B	4,975.00	50.00	5.00	45.00	50.0	22.50
12/08/2017	QGN005704	ODELL, GISELA	MONTGOMERY MINN GO WTR SWR REV REF B	25,325.75	50.00	5.00	45.00	50.0	22.50
12/27/2017	QGN027005	LOCAL UNION #313	CATERPILLAR FINL SVCS CORP MEDIUM T B	244,125.00	78.13	5.00	73.13	50.0	36.57
12/27/2017	QGN027005	LOCAL UNION #313	CHEVRON CORP NEW NT 2.355% 12/05/22 B	249,225.00	78.13	5.00	73.13	50.0	36.57

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: BONDS									
12/20/2017	QGN027146	LOCAL UNION 43 &		UNITED STATES TREAS BDS 2.500% 02/1 S	-46,421.88	50.00	5.00	45.00	50.0 22.50
11/28/2017	QGN027286	ANNUITY FUND OF		UNITED STATES TREAS NTS 2.250% 08/1 B	-298,125.00	-50.00	-5.00	-45.00	50.0 -22.50 C
11/28/2017	QGN027286	ANNUITY FUND OF		UNITED STATES TREAS NTS 2.250% 08/1 B	298,125.00	93.75	5.00	88.75	50.0 44.38
12/20/2017	QGN027294	UNION LOCAL 731,		UNITED STATES TREAS BDS 2.500% 02/1 S	-92,843.75	50.00	5.00	45.00	50.0 22.50
12/28/2017	QGN027302	BROTHERHOOD OF		UNITED STATES TREAS NTS 2.000% 02/1 B	248,750.00	78.12	5.00	73.12	50.0 36.56
12/26/2017	QGN027351	LOCAL 1205 PENSION		BURLINGTON NORTHN SANTA FE CORP DEB S	-64,250.00	50.00	5.00	45.00	50.0 22.50
12/26/2017	QGN027351	LOCAL 1205 PENSION		CONAGRA BRANDS INC SR NT 3.200% 01/ S	-150,975.00	50.00	5.00	45.00	50.0 22.50
12/26/2017	QGN027351	LOCAL 1205 PENSION		JPMORGAN CHASE & CO SR FIXED RT NT S	-104,500.00	50.00	5.00	45.00	50.0 22.50
12/26/2017	QGN027351	LOCAL 1205 PENSION		MICROSOFT CORP FXD RT NT 3.500% 02/ S	-255,575.00	78.13	5.00	73.13	50.0 36.57
12/26/2017	QGN027351	LOCAL 1205 PENSION		TIME WARNER INC NEW GTD FIXED RT DE S	-163,971.00	50.00	5.00	45.00	50.0 22.50
12/26/2017	QGN027351	LOCAL 1205 PENSION		WELLS FARGO & CO NEW MEDIUM TERM SR S	-211,900.00	62.50	5.00	57.50	50.0 28.75
12/26/2017	QGN027351	LOCAL 1205 PENSION		WELLS FARGO & CO NEW FXD RT NTS 2.5 S	-49,750.00	50.00	5.00	45.00	50.0 22.50
12/28/2017	QGN027674	ASSOCIATION,		UNITED STATES TREAS BDS 2.750% 11/1 B	10,040.63	50.00	5.00	45.00	50.0 22.50
12/28/2017	QGN027674	ASSOCIATION,		UNITED STATES TREAS BDS 2.750% 11/1 B	-10,040.63	-50.00	-5.00	-45.00	50.0 -22.50 C
12/27/2017	QGN027781	THREE VILLAGE		FEDERAL NATL MTG ASSN 2.000% 01/05/ B	54,697.50	50.00	5.00	45.00	50.0 22.50
12/27/2017	QGN027781	THREE VILLAGE		UNITED STATES TREAS NTS 2.000% 02/2 B	49,953.13	50.00	5.00	45.00	50.0 22.50
12/27/2017	QGN027781	THREE VILLAGE		UNITED STATES TREAS NTS 2.125% 02/2 B	49,515.63	50.00	5.00	45.00	50.0 22.50
				* BONDS SUBTOTAL *	\$-705,593.48	\$3,164.08	\$285.00	\$2,879.08	\$1,439.57
				*** BROKER TRANSACTIONS TOTAL ***	\$972,453.03	\$7,262.27	\$405.00	\$6,857.27	\$3,428.66

ADJUSTMENTS

12/31/2017	OTHER: BLOOMBERG	0.00	0.00	0.00	0.00	-996.21
12/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
12/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-15.00
12/31/2017	OTHER: REAL TICK	0.00	0.00	0.00	0.00	-212.50
12/31/2017	OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-54.33
12/31/2017	OTHER: EZ CASTLE	0.00	0.00	0.00	0.00	-55.56
12/31/2017	OTHER: PIVOT	0.00	0.00	0.00	0.00	-68.05
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$-1,421.65

BROKER COMMISSION TOTALS

Broker Transactions	\$3,428.66
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,421.65
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-9.08
SIPC Assessment	\$-18.16

Check Amount	\$1,979.77
Year-to-date Earnings	\$20,010.01