Page No. 1

R.F. Lafferty & Co., Inc.

JOHN HEIDENREICH

COMMISSION STATEMENT

February 28, 2018

BROKER #: R90 / /42
BRANCH: HOME OFFICE

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

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER I	'RANS	ACTIONS					
PRODUCT CA	TEGORY: MUTUAL FUNDS								
02/23/2018 7	5501290 PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-	A S	2,000.00	0.00	0.00	0.00	65.0	0.00
02/15/2018 7	5501309 TOTTEN, ANN	SHORT-TERM BOND FUND OF AMERICA -	AB	45,766.64	0.00	0.00	0.00	65.0	0.00
02/15/2018 7	5501309 TOTTEN, ANN	THE GROWTH FUND OF AMERICA-A	S	45,766.64	0.00	0.00	0.00	65.0	0.00
02/22/2018 7	5501316 PIPER, CAROL	AMERICAN HIGH-INCOME TRUST-A	S	29,321.51	0.00	0.00	0.00	65.0	0.00
02/22/2018 7	5501316 PIPER, CAROL	FEDERATED HIGH INCOME BOND FUND	S	25,376.67	0.00	0.00	0.00	65.0	0.00
02/22/2018 7	5501316 PIPER, CAROL	FEDERATED TOTAL RETURN SERS INC U	ILT B	25,376.67	0.00	0.00	0.00	65.0	0.00
02/22/2018 7	5501316 PIPER, CAROL	FRANKLIN/TEMPLETON FUNDS 35361269	0 B	16,829.55	0.00	0.00	0.00	65.0	0.00
02/22/2018 7	5501316 PIPER, CAROL	FRK AGE HIGH INC FND - CL A	S	16,829.55	0.00	0.00	0.00	65.0	0.00
02/22/2018 7	5501316 PIPER, CAROL	SHORT-TERM BOND FUND OF AMERICA -	AB	29,321.51	0.00	0.00	0.00	65.0	0.00
02/22/2018 7	5501317 PIPER, CAROL	NEW PERSPECTIVE FUND-A	S	16,889.08	0.00	0.00	0.00	65.0	0.00
02/22/2018 7	5501317 PIPER, CAROL	SHORT-TERM BOND FUND OF AMERICA -	AB	16,889.08	0.00	0.00	0.00	65.0	0.00
02/23/2018 7	5501317 PIPER, CAROL	INVESCO ENDEAVOR FUND CL A	S	9,271.82	0.00	0.00	0.00	65.0	0.00
02/23/2018 7	5501317 PIPER, CAROL	INVESCO INVT FD MULT ASSET INCOME	FB	9,271.82	0.00	0.00	0.00	65.0	0.00
02/07/2018 7	5501867 PAGAN, VIONA LYNN	DYNAMIC SMALL CAP FUND - A	S	105,030.78	0.00	0.00	0.00	65.0	0.00
02/07/2018 7	5501867 PAGAN, VIONA LYNN	JPMORGAN INFLATION MANAGED BOND F	'UN B	121,572.83	0.00	0.00	0.00	65.0	0.00
02/07/2018 7	5501867 PAGAN, VIONA LYNN	JPMORGAN TR II SHORT DURATION BD	FD B	105,030.78	0.00	0.00	0.00	65.0	0.00
02/07/2018 7	5501867 PAGAN, VIONA LYNN	U.S. EQUITY FUND - A	S	121,572.83	0.00	0.00	0.00	65.0	0.00
		* MUTUAL FUNDS SUBTOTA	L *	\$742,117.76	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CA	TEGORY: STOCKS								
02/05/2018 7	5501291 PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOC	IT S	18,240.00	470.12	10.00	460.12	65.0	295.58
02/08/2018 7	5501291 PRESTON, MARGARITA	MEDICINOVA INC	В	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/15/2018 7	5501291 PRESTON, MARGARITA	MEDICINOVA INC	S	16,155.00	407.52	10.00	397.52	65.0	254.89
02/02/2018 7	5501292 JOE, HENRY	KADMON HOLDINGS INC COMMON STOCK	\$0 S	7,785.00	225.00	10.00	215.00	65.0	136.25
02/05/2018 7	5501292 JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOC	IT S	21,280.20	300.00	10.00	290.00	65.0	185.00
02/08/2018 7	5501292 JOE, HENRY	MEDICINOVA INC	В	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/09/2018 7	5501292 JOE, HENRY	CYPRESS SEMICONDUCTOR CORP	В	12,382.85	200.00	10.00	190.00	65.0	120.00
02/14/2018 7	5501292 JOE, HENRY	MEDICINOVA INC	S	9,850.00	283.61	10.00	273.61	65.0	174.35
02/14/2018 7	5501292 JOE, HENRY	TWILIO INC CL A	S	18,864.00	375.82	10.00	365.82	65.0	234.28
02/15/2018 7	5501292 JOE, HENRY	MEDICINOVA INC	S	5,349.70	125.00	10.00	115.00	65.0	71.25
02/22/2018 7	5501292 JOE, HENRY	CYPRESS SEMICONDUCTOR CORP	S	13,632.00	280.00	10.00	270.00	65.0	172.00

INVESTMENT

TRADE DATE

CLIENT

	BROKER TRANSA	ACTIONS					
PRODUCT CATEGORY: STOCKS							
02/07/2018 75501293 JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT B	16,980.00	451.81	10.00	441.81	65.0	283.68
02/08/2018 75501293 JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT S	19,502.60	250.00	10.00	240.00	65.0	152.50
02/08/2018 75501293 JOE, HENRY	MEDICINOVA INC B	9,050.00	0.00	10.00	-10.00	65.0	-10.00
02/09/2018 75501293 JOE, HENRY	PROSHARES ULTRA DOW30 ETF B	24,688.64	210.00	10.00	200.00	65.0	126.50
02/12/2018 75501293 JOE, HENRY	PROSHARES ULTRA DOW30 ETF S	26,066.00	210.00	10.00	200.00	65.0	126.50
02/14/2018 75501293 JOE, HENRY	MEDICINOVA INC S	9,876.37	250.00	10.00	240.00	65.0	152.50
02/15/2018 75501293 JOE, HENRY	UNDER ARMOUR INC CLASS C COMMON STO S	13,216.00	200.00	10.00	190.00	65.0	120.00
02/21/2018 75501293 JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT B	16,835.30	250.00	10.00	240.00	65.0	152.50
02/07/2018 75501307 TOTTEN, ANN	HAIN CELESTIAL GROUP INC S	7,110.20	166.28	10.00	156.28	65.0	98.08
02/08/2018 75501307 TOTTEN, ANN	MEDICINOVA INC B	4,525.00	0.00	10.00	-10.00	65.0	-10.00
02/15/2018 75501307 TOTTEN, ANN	MEDICINOVA INC S	5,360.00	169.92	10.00	159.92	65.0	100.45
02/15/2018 75501307 TOTTEN, ANN	UNDER ARMOUR INC CLASS C COMMON STO S	4,983.30	138.78	10.00	128.78	65.0	80.21
02/15/2018 75501307 TOTTEN, ANN	WELLS FARGO & CO S	11,940.20	210.00	10.00	200.00	65.0	126.50
02/05/2018 75501313 HEIDENREICH, ROBERT	ENABLE MIDSTREAM PARTNERS LP COM UN B	14,978.50	250.00	10.00	240.00	65.0	152.50
02/07/2018 75501313 HEIDENREICH, ROBERT	ABERCROMBIE & FITCH CO-CL A S	21,440.00	350.00	10.00	340.00	65.0	217.50
02/08/2018 75501313 HEIDENREICH, ROBERT	MEDICINOVA INC B	13,575.00	0.00	10.00	-10.00	65.0	-10.00
02/14/2018 75501313 HEIDENREICH, ROBERT	DINEEQUITY INC S	16,155.00	300.00	10.00	290.00	65.0	185.00
02/14/2018 75501313 HEIDENREICH, ROBERT	UNDER ARMOUR INC CLASS C COMMON STO S	9,684.00	180.00	10.00	170.00	65.0	107.00
02/16/2018 75501313 HEIDENREICH, ROBERT	MEDICINOVA INC S	10,950.00	250.00	10.00	240.00	65.0	152.50
02/21/2018 75501313 HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT B	16,895.16	250.00	10.00	240.00	65.0	152.50
02/22/2018 75501316 PIPER, CAROL	NUVEEN CR OPPORTUNITIES 2022 TRGT T S	9,341.30	276.22	10.00	266.22	65.0	169.54
02/22/2018 75501316 PIPER, CAROL	PROSPECT CAPITAL CORPORATION S	6,723.00	238.18	10.00	228.18	65.0	144.82
02/23/2018 75501316 PIPER, CAROL	ARMOUR RESIDENTIAL REIT INC COM S	11,425.00	258.05	10.00	248.05	65.0	157.73
02/23/2018 75501316 PIPER, CAROL	MTGE INVESTMENT CORP COMMON STOCK S	8,875.00	220.99	10.00	210.99	65.0	133.64
02/15/2018 75501325 ANN S TOTTEN	VOYA GLOBAL EQUITY DIVIDEND AND PRE S	1,700.02	85.00	10.00	75.00	65.0	45.25
02/07/2018 75502119 COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCIT B	17,997.17	466.59	10.00	456.59	65.0	293.28
02/08/2018 75502119 COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCITS	19,864.84	250.00	10.00	240.00	65.0	152.50
02/09/2018 75502119 COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCIT B	24,519.80	250.00	10.00	240.00	65.0	152.50
02/09/2018 75502119 COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCITS	13,644.30	150.00	10.00	140.00	65.0	87.50
02/09/2018 75502119 COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCITS	26,300.00	150.00	10.00	140.00	65.0	87.50
02/16/2018 75502119 COHEN, MICHAEL	CREDIT SUISSE AG NASSAU BRH VELOCIT B	16,117.60	439.28	10.00	429.28	65.0	275.53
02/21/2018 75502119 COHEN, MICHAEL	EXELON CORPORATION S	15,083.04	314.17	10.00	304.17	65.0	194.21
02/21/2018 75502119 COHEN, MICHAEL	FIRSTENERGY CORP S	8,054.22	209.22	10.00	199.22	65.0	125.99
02/20/2018 QGW008039 STEFANO, MARGARET	AMERICAN INTERNATIONAL GROUP INC S	-601.31	50.00	10.00	40.00	65.0	22.50
02/20/2018 QGW008039 STEFANO, MARGARET	AT&T INC S	-11,026.02	172.93	10.00	162.93	65.0	102.40
02/20/2018 QGW008039 STEFANO, MARGARET	ATLANTIC POWER CORPORATION S	-1,215.00	68.97	10.00	58.97	65.0	34.83
02/20/2018 QGW008039 STEFANO, MARGARET	COCA COLA COMPANY (THE)	-8,802.80	140.63	10.00	130.63	65.0	81.41
02/20/2018 QGW008039 STEFANO, MARGARET	CONSOLIDATED EDISON INC S	-7,632.10	80.73	10.00	70.73	65.0	42.47
02/20/2018 QGW008039 STEFANO, MARGARET	EXELON CORPORATION S	-7,530.86	126.41	10.00	116.41	65.0	72.17
02/20/2018 QGW008039 STEFANO, MARGARET	FRONTIER COMMUNICATIONS CORPORATION S	-26.18	5.00	10.00	-5.00	65.0	-6.75

INVESTMENT

AMOUNT

B/S

GROSS

COMMISSION

CLEARING

CHARGE

NET

COMMISSION

Page No.

RATE

BROKER

COMMISSION

2

TRADE DATE CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
	BROKE	R TRANS	ACTIONS					
PRODUCT CATEGORY: STOCKS								
02/20/2018 QGW008039 STEFANO, MARGARET	INTERNATIONAL BUSINESS MACHIN	ES COR S	-62,086.72	322.92	10.00	312.92	65.0	199.90
02/20/2018 QGW008039 STEFANO, MARGARET	WTS AMERICAN INTERNATIONAL GR		-98.05	20.00	10.00	10.00	65.0	3.00
02/21/2018 QGW008039 STEFANO, MARGARET	BLACKROCK N Y MUN INCOME TR SI		-5,340.00	116.82	10.00	106.82	65.0	65.93
02/21/2018 QGW008039 STEFANO, MARGARET	GENERAL ELECTRIC CO	S	-5,853.44	122.56	10.00	112.56	65.0	69.66
02/21/2018 QGW008039 STEFANO, MARGARET	ISHARES SILVER SHARES	S	-1,562.27	50.00	10.00	40.00	65.0	22.50
02/21/2018 QGW008039 STEFANO, MARGARET	J P MORGAN CHASE & CO	S	-11,568.34	80.73	10.00	70.73	65.0	42.47
02/21/2018 QGW008039 STEFANO, MARGARET	KELLOGG COMPANY	S	-6,890.71	80.73	10.00	70.73	65.0	42.47
02/21/2018 QGW008039 STEFANO, MARGARET	REALTY INCOME CORP	S	-9,798.46	151.76	10.00	141.76	65.0	88.64
02/21/2018 QGW008039 STEFANO, MARGARET	VERIZON COMMUNICATIONS	S	-19,524.00	275.37	10.00	265.37	65.0	168.99
02/21/2018 QGW008039 STEFANO, MARGARET	WELLTOWER INC COM	S	-10,902.72	161.46	10.00	151.46	65.0	94.95
02/22/2018 QGW008039 STEFANO, MARGARET	NUVEEN S&P 500 DYNAMIC OVERWR	ITE FUS	-7,080.00	136.27	10.00	126.27	65.0	78.58
02/23/2018 QGW008039 STEFANO, MARGARET	NUVEEN INSURED N Y SELECT TAX	-FREE S	-2,550.00	62.65	10.00	52.65	65.0	30.72
02/08/2018 QGW030355 GOULD, PETER	MEDICINOVA INC	В	9,050.00	325.80	10.00	315.80	65.0	201.77
02/09/2018 QGW030355 GOULD, PETER	PIERIS PHARMACEUTICALS INC CO	M SHS S	-21,375.00	410.17	10.00	400.17	65.0	256.61
02/08/2018 QGW033367 NAUMOV, GEORGE	MEDICINOVA INC	В	14,480.00	521.28	10.00	511.28	65.0	328.83
02/21/2018 QGW033367 NAUMOV, GEORGE	MEDICINOVA INC	S	-17,120.00	250.00	10.00	240.00	65.0	152.50
01/30/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-899.30	39.10	10.00	29.10	65.0	15.42
01/30/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC CO	OM S	-2,875.00	125.00	10.00	115.00	65.0	71.25
01/31/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC CO	OM S	-6,345.70	401.40	10.00	391.40	65.0	250.91
01/31/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	6,345.70	-401.40	-10.00	-391.40	65.0	-250.91 C
01/31/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-6,345.70	401.40	10.00	391.40	65.0	250.91
01/31/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	6,345.70	-401.40	-10.00	-391.40	65.0	-250.91 C
01/31/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-6,345.70	300.00	10.00	290.00	65.0	185.00
02/06/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-10,736.96	447.28	10.00	437.28	65.0	280.73
02/07/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-9,713.46	459.00	10.00	449.00	65.0	288.35
02/08/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-4,803.00	225.00	10.00	215.00	65.0	136.25
02/08/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-4,800.00	225.00	10.00	215.00	65.0	136.25
02/12/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-1,425.00	67.50	10.00	57.50	65.0	33.88
02/14/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-20,220.40	940.10	10.00	930.10	65.0	601.07
02/16/2018 QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC C	OM S	-5,500.00	250.00	10.00	240.00	65.0	152.50
	* STOCKS SUBT	FOTAL *	\$341,772.51	\$16,872.73	\$770.00	\$16,102.73		\$10,197.26
PRODUCT CATEGORY: OPTIONS								
01/31/2018 75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 36	В	4,290.00	150.00	10.00	140.00	65.0	87.50
02/01/2018 75501291 PRESTON, MARGARITA	CALL SPY 01/20/17 222	В	1,350.00	50.00	10.00	40.00	65.0	22.50
02/02/2018 75501291 PRESTON, MARGARITA	CALL PFE 03/16/18 36	S	3,750.00	150.00	10.00	140.00	65.0	87.50
02/02/2018 75501291 PRESTON, MARGARITA	CALL SPY 01/20/17 222	S	1,800.00	75.00	10.00	65.00	65.0	38.75
02/05/2018 75501291 PRESTON, MARGARITA	CALL PFE 03/16/18 36	В	2,850.00	100.00	10.00	90.00	65.0	55.00
02/05/2018 75501291 PRESTON, MARGARITA	CALL PFE 02/09/18 36	В	1,620.00	75.00	10.00	65.00	65.0	38.75
02/06/2018 75501291 PRESTON, MARGARITA	CALL PFE 02/16/18 35	В	1,350.00	50.00	10.00	40.00	65.0	22.50

Page No. 4

COMMISSION STATEMENT for JOHN HEIDENREICH

02/07/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 S 1,200.00 50.00 10.00 10.00 02/07/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 36 S 300.00 25.00 10.00 15.00 02/08/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34 S 1,860.00 75.00 10.00 65.00 02/13/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34 S 1,860.00 75.00 10.00 65.00 02/13/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 1,800.00 75.00 10.00 65.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 3,000.00 157.50 10.00 147.51 02/16/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 3,000.00 157.50 10.00 147.51 02/16/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 B 3,000.00 100.00 10.00 10.00 10.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 150.00 10.00 140.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 150.00 10.00 140.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 150.00 10.00 140.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 94.22 10.00 84.22 02/08/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 94.22 10.00 84.22 02/08/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3,000.00 150.00 10.00 04.00 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3,000.00 150.00 04.00 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3,000.00 05.00 04.00 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3,000.00 05.80 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3,000.00 05.80 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3,000.00 05.80 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3,000.00 05.80 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3,000.00 05.80 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3 3,000.00 05.30 00.00 05.30 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3 3 3 0.00 05.30 00.00 05	RATE	BROKER COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	GROSS COMMISSION	INVESTMENT AMOUNT	B/S		NT	INVESTME	CLIENT	TRADE DATE
02/06/2018 75501291 FRESTON, MARGARITA CALL PFE 02/16/18 35 S 2,250.00 75.00 10.00 65.00 22/07/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 S 1,200.00 50.00 10.00 40.00 22/07/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34 B 1,410.00 60.00 10.00 50.00 22/09/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34 B 1,410.00 60.00 10.00 50.00 22/13/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34 B 1,410.00 75.00 10.00 65.00 22/13/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 1,800.00 75.00 10.00 65.00 22/13/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 1,800.00 75.00 10.00 65.00 22/16/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 3,150.00 157.50 10.00 65.00 22/16/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 3,000.00 100.00 100.00 90.00 22/26/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 B 3,000.00 100.00 100.00 90.00 22/26/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 35.5 S 4,800.00 150.00 100.00 10.00 90.00 22/26/2018 GGM030355 GOULD, PETER CALL 100 COTY INC CON CL A EXP 02-0 S -1,050.00 94.22 10.00 84.22 22/08/2018 GGM030355 GOULD, PETER CALL 100 COTY INC CON CL A EXP 02-0 S -1,050.00 \$1,711.72 \$190.00 \$1,512							ACTIONS	TRANSA	BROKER				
02/07/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 35.50 S 1,200.00 50.00 10.00 10.00 10.00 02/07/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 36 S 30.00 0 50.00 10.00 50.00 02/09/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34 B 1,860.00 75.00 10.00 65.00 02/19/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34 S 1,860.00 75.00 10.00 65.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34.50 B 1,800.00 75.00 10.00 65.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34.50 S 3,150.00 157.50 10.00 10.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34.50 B 3,000.00 100.00 100.00 10.00 02/16/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 35.50 B 3,000.00 100.00 100.00 10.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 3,000.00 100.00 150.00 10.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 3,000.00 150.00 150.00 10.00 02/20/2018 02/09/2018 75501291 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 1,000 0 150.00 150.00 10.00 02/20/2018 02/09/2018 75501291 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 1,000 0 150.00 150.00 10.00 02/20/2018 02/09/2018 75501291 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 1,000 0 150.00 0 10.00 02/20/2018 02/09/2018 75501291 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 1,000 0 150.00 0 10.00 0 02/20/2018 02/09/2018 75501291 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 1,000 0 150.00 0 10.00 0 02/20/2018 75501290 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 1,000 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0												GORY: OPTIONS	PRODUCT CAT
02/07/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 35.50 S 1,200.00 50.00 10.00 40.00 02/07/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 36 S 300.00 25.00 10.00 15.00 02/09/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34 S 1,400.00 75.00 10.00 50.00 02/09/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34 S 1,800.00 75.00 10.00 65.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34.50 B 1,800.00 75.00 10.00 65.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34.50 B 1,800.00 75.00 10.00 10.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 34.50 B 3,000.00 150.00 150.00 10.00 10.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 35.50 B 3,000.00 100.00 10.00 10.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PPE 02/16/18 35.50 B 3,000.00 100.00 100.00 10.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PPE 03/16/18 36 S 4,800.00 150.00 100.00 10.00 02/20/2018 02/09	65.0	0 38.7	65.0	65.00	10.00	75.00	2,250.00	S	35	02/16/18	CALL PFE	01291 PRESTON, MARGARITA	02/06/2018 75
02/09/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34 B 1,410.00 60.00 10.00 50.00 02/09/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 1,800.00 75.00 10.00 65.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 1,800.00 150.00 150.00 147.50 02/15/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 3,150.00 157.50 10.00 147.50 02/15/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 3,000.00 150.00 10.00 10.00 90.00 02/26/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 B 3,000.00 150.00 10.00 10.00 10.00 02/27/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 4,800.00 150.00 10.00 140.00 02/27/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 10.00 140.00 02/27/2018 060030355 GOULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 S -1,050.00 94.22 10.00 844.22 02/08/2018 060030355 GOULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 B 2,500.00 50.00 10.00 40.00 02/09/2018 75501290 PRESTON, MARGARITA CALL PFE 03/16/18 B 0.00 5.80 0.00 50.00 10.00 40.00 02/09/2018 75501290 PRESTON, MARGARITA GOLDMAN SACHS HIGH YIELD FUND CL AB D 0.00 5.80 0.00 5.				40.00									
02/09/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34 S 1,860.00 75.00 10.00 65.00 02/13/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 S 1,800.00 75.00 10.00 65.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 S 3,150.00 157.50 10.00 147.50 02/16/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 B 3,000.00 100.00 100.00 10.00 90.00 02/20/2018 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 4,800.00 150.00 10.00 140.00 02/70/2018 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 4,800.00 150.00 10.00 140.00 02/70/2018 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 4,800.00 150.00 10.00 140.00 02/70/2018 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 4,800.00 150.00 10.00 140.00 02/70/2018 QW030355 GOULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 B 2,500.00 50.00 10.00 40.00 02/07/2018 QW030355 GOULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 B 2,500.00 50.00 10.00 40.00 02/09/2018 75501290 PRESTON, MARGARITA GOLDAN SACHS HIGH YIELD FUND CL AS B 0.00 51,711.72 \$19.00 \$1,721.72 PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS 02/09/2018 75501290 PRESTON, MARGARITA GOLDAN SACHS HIGH YIELD FUND CL A B 0.00 5.80 0	65.0	0 6.2	65.0	15.00	10.00	25.00	300.00	S	36	02/09/18	CALL PFE	01291 PRESTON, MARGARITA	02/07/2018 75
02/13/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 B 1,800.00 75.00 10.00 65.00 02/15/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 B 3,150.00 150.50 10.00 10.00 99.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 B 3,000.00 100.00 10.00 10.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 4,800.00 150.00 10.00 10.00 140.00 02/20/2018 QR0030355 GOULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 S -1,050.00 94.22 10.00 84.22 02/08/2018 QR0030355 GOULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 B 2,500.00 50.00 10.00 140.00 02/20/2018 QR0030355 GOULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 B 2,500.00 50.00 10.00 \$1,51.72 \$10.00 \$4.00 \$1.00	65.0	0 29.0	65.0	50.00	10.00	60.00	1,410.00	В	34	02/16/18	CALL PFE	01291 PRESTON, MARGARITA	02/09/2018 75
02/15/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 34.50 S 3,150.00 157.50 10.00 147.50 02/16/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 B 3,000.00 100.00 10.00 90.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 4,800.00 150.00 10.00 140.00 02/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 10.00 140.00 02/20/2018 0500020 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 10.00 140.00 02/20/2018 0500020 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 10.00 140.00 02/20/2018 0500020 PRESTON, MARGARITA CALL 100 COTY INC COM CL A EXP 02-0 S -1.050.00 94.22 10.00 84.22 02/08/2018 05000355 00ULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 B 2.500.00 50.00 10.00 40.00 02/09/2018 75501290 PRESTON, MARGARITA FRANKLIN INCOME FUND CLASS A B 0.00 2.14 0.00 2.14 0.00 22/09/2018 75501290 PRESTON, MARGARITA GOLDMAN SACHS HIGH YIELD FUND CL AB 0.00 5.80 0.00 5.80 0.00 5.80 02/09/2018 75501290 PRESTON, MARGARITA GOLDMAN SACHS HIGH YIELD FUND CL AB 0.00 9.61	65.0	0 38.7	65.0	65.00	10.00	75.00	1,860.00	S	34	02/16/18	CALL PFE	01291 PRESTON, MARGARITA	02/09/2018 75
02/16/2018 75501291 PRESTON, MARGARITA CALL PFE 02/16/18 35.50 B 3,000.00 100.00 10.00 10.00 102/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 4,800.00 150.00 10.00 140.00 102/27/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 10.00 140.00 102/27/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 10.00 140.00 102/27/2018 75501291 PRESTON, MARGARITA CALL 100 COTY INC COM CL A EXP 02-0 S -1.050.00 94.22 10.00 84.22 10.00	65.0	0 38.7	65.0	65.00	10.00	75.00	1,800.00	В	34.50	02/16/18	CALL PFE	01291 PRESTON, MARGARITA	02/13/2018 75
102/20/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 35 S 3,300.00 150.00 10.00 140.00 102/207/2018 75501291 PRESTON, MARGARITA CALL PFE 03/16/18 36 S 3,300.00 150.00 10.00 140.00 140.00 102/07/2018 03/030355 03/000 03/05/000 03/00 03/000 03/00	65.0	0 92.3	65.0	147.50	10.00	157.50	3,150.00	S	34.50	02/16/18	CALL PFE	01291 PRESTON, MARGARITA	02/15/2018 75
102/27/2018 75501291 PRESTON, MARGARITA CALL FFE 03/16/18 36 S 3,300.00 150.00 10.00 140.00	65.0	0 55.0	65.0	90.00	10.00	100.00	3,000.00	В	35.50	02/16/18	CALL PFE	01291 PRESTON, MARGARITA	02/16/2018 75
22/07/2018 QGW030355 GOULD, PETER CALL 100 COTY INC COM CL A EXP 02-0 S -1,050.00 94.22 10.00 84.2	65.0	0 87.5	65.0	140.00	10.00	150.00	4,800.00	S	35	03/16/18	CALL PFE	01291 PRESTON, MARGARITA	02/20/2018 75
**OPTIONS SUBTOTAL ** \$41,530.00 \$1,711.72 \$190.00 \$1,521.72 **OPTIONS SUBTOTAL ** \$41,530.00 \$1,711.72 \$100.00 \$1,611.71 \$1,000 \$1,611.71 \$1,000 \$1,721.72 **OPTIONS SUBTOTAL ** \$41,530.00 \$1,611.71 \$1,000 \$1,611.71 \$1,000	65.0	0 87.5	65.0	140.00	10.00	150.00	3,300.00	S	36	03/16/18	CALL PFE	01291 PRESTON, MARGARITA	02/27/2018 75
* OPTIONS SUBTOTAL * \$41,530.00 \$1,711.72 \$190.00 \$1,521.72 \$190.0	65.0	0 51.2	65.0	84.22	10.00	94.22	-1,050.00	02-0 S	CL A EXP	OTY INC COM	CALL 100 C	1030355 GOULD, PETER	02/07/2018 QG
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS 102/09/2018 75501290 PRESTON, MARGARITA FRANKLIN INCOME FUND CLASS A B 0.00 2.14 0.00 2.14 102/09/2018 75501290 PRESTON, MARGARITA GOLDMAN SACHS HIGH YIELD FUND CL AB 0.00 5.80 0.00 5.80 102/09/2018 75501290 PRESTON, MARGARITA THE INCOME FUND OF AMERICA-A B 0.00 9.61 0.00 9.61 102/09/2018 75501290 PRESTON, MARGARITA WASHINGTON MUTUAL INVESTORS FUND-A B 0.00 9.61 0.00 9.61 102/09/2018 75501291 PRESTON, MARGARITA AMERICAN HIGH-INCOME TRUST-A B 0.00 5.32 0.00 5.32 102/09/2018 75501291 PRESTON, MARGARITA NUVEEN FLAGSHIP MUN TR HIGH YIELD M B 0.00 8.10 0.00 8.10 102/09/2018 75501291 PRESTON, MARGARITA ROCHESTER NATIONAL MUNICIPALS A B 0.00 19.39 0.00 19.39 102/09/2018 75501293 JOE, HENRY FRK NATURAL RES FND - CL A B 0.00 0.94 0.00 0.94 102/09/2018 75501293 JOE, HENRY INTERMEDIATE BOND FUND CLASS A B 0.00 3.94 0.00 3.94 102/09/2018 75501305 BUNIN, ARLENE FRANKLIN INCOME FUND CLASS A B 0.00 1.171 0.00 1.171 102/09/2018 75501305 BUNIN, ARLENE FRA GE HIGH INC FND - CL A B 0.00 34.66 0.00 34.60 0.00 34.60 0.00 34.60 0.00 34.60 0.00 34.60 0.00 34.60 0.00 34.60 0.00 34.60 0.00 34.60 0.0	65.0	0 22.5	65.0	40.00	10.00	50.00	2,500.00	02-0 B	CL A EXP	OTY INC COM	CALL 100 C	030355 GOULD, PETER)2/08/2018 QG
D2/09/2018 75501290 PRESTON, MARGARITA FRANKLIN INCOME FUND CLASS A B 0.00 2.14 0.00 2.14 0.00 2.14 0.00 0	•	\$922.6		\$1,521.72	\$190.00	\$1,711.72	\$41,530.00	TAL *	ONS SUBTO	* OPTI			
2/09/2018 75501290 PRESTON, MARGARITA GOLDMAN SACHS HIGH YIELD FUND CL AB 0.00 5.80 0.00 5.80 2/09/2018 75501290 PRESTON, MARGARITA THE INCOME FUND OF AMERICA-A B 0.00 8.60 0.00 8.60 0.00 9.61 0.0											TRAILS	GORY: MUTUAL FUND 12B1	PRODUCT CAT
22/09/2018 75501290 PRESTON, MARGARITA THE INCOME FUND OF AMERICA-A B 0.00 8.60 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00 9.61 0.00	65.0	0 1.3	65.0	2.14	0.00	2.14	0.00	В	CLASS A	NCOME FUND (FRANKLIN I	01290 PRESTON, MARGARITA	2/09/2018 75
2/09/2018 75501290 PRESTON, MARGARITA WASHINGTON MUTUAL INVESTORS FUND-A B 0.00 9.61 0.00 9.61 2/09/2018 75501291 PRESTON, MARGARITA AMERICAN HIGH-INCOME TRUST-A B 0.00 5.32 0.00 5.32 2/09/2018 75501291 PRESTON, MARGARITA NUVEEN FLAGSHIP MUN TR HIGH YIELD M B 0.00 8.10 0.00 8.10 2/09/2018 75501291 PRESTON, MARGARITA ROCHESTER NATIONAL MUNICIPALS A B 0.00 19.39 0.00 19.39 2/09/2018 75501293 JOE, HENRY FRK NATURAL RES FND - CL A B 0.00 0.94 0.00 0.94 0.00 0.94 0.00 3.94 0.0	65.0	0 3.7	65.0	5.80	0.00	5.80	0.00	CL AB	ELD FUND	CHS HIGH YIE	GOLDMAN SA	01290 PRESTON, MARGARITA	2/09/2018 75
2/09/2018 75501291 PRESTON, MARGARITA AMERICAN HIGH-INCOME TRUST-A B 0.00 5.32 0.00 5.32 2/09/2018 75501291 PRESTON, MARGARITA NUVEEN FLAGSHIP MUN TR HIGH YIELD M B 0.00 8.10 0.00 8.10 2/09/2018 75501291 PRESTON, MARGARITA ROCHESTER NATIONAL MUNICIPALS A B 0.00 19.39 0.00 19.39 2/09/2018 75501293 JOE, HENRY FRK NATURAL RES FND - CL A B 0.00 0.94 0.00 0.00	65.0	0 5.5	65.0	8.60	0.00	8.60	0.00	В	ERICA-A	FUND OF AME	THE INCOME	01290 PRESTON, MARGARITA	2/09/2018 75
2/09/2018 75501291 PRESTON, MARGARITA NUVEEN FLAGSHIP MUN TR HIGH YIELD MB 0.00 8.10 0.00 19.39 0.00 19.39 0.00 19.39 0.00 19.39 0.00 19.39 0.00 19.39 0.00 19.39 0.00 19.39 0.00 0.94 0.94	65.0	0 6.2	65.0	9.61	0.00	9.61	0.00	ND-A B	ESTORS FUN	MUTUAL INVE	WASHINGTON	01290 PRESTON, MARGARITA	2/09/2018 75
2/09/2018 75501291 PRESTON, MARGARITA ROCHESTER NATIONAL MUNICIPALS A B 0.00 19.39 0.00 19.39 2/09/2018 75501293 JOE, HENRY FRK NATURAL RES FND - CL A B 0.00 0.94 0.00 0.94 2/09/2018 75501293 JOE, HENRY INTERMEDIATE BOND FUND OF AMERICA-A B 0.00 3.94 0.00 3.94 2/09/2018 75501305 BUNIN, ARLENE FRANKLIN INCOME FUND CLASS A B 0.00 5.85 0.00 5.85 2/09/2018 75501305 BUNIN, ARLENE FRK AGE HIGH INC FND - CL A B 0.00 11.71 0.00 11.71 2/09/2018 75501305 BUNIN, ARLENE GOLDMAN SACHS HIGH YIELD FUND CL A B 0.00 34.66 0.00 34.66 2/09/2018 75501307 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 18.56 0.00 18.56 2/09/2018 75501307 TOTTEN, ANN THE BOND FUND OF AMERICA-A B 0.00 9.97 0.00 9.97 2/09/2018 75501307 TOTTEN, ANN THE INCOME FUND OF AMERICA-A B 0.00 15.00 0.00 15.00 2/09/2018 75501308 ANN S TOTTEN FRANKLIN INCOME FUND CLASS A B 0.00 5.03 0.00 5.03 2/09/2018 75501308 ANN S TOTTEN MUTUAL DISC FND - CL A B 0.00 5.03 0.00 5.03 2/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93 2/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93 2/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93 2/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93 2/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93	65.0	0 3.4	65.0	5.32	0.00	5.32	0.00	В	FRUST-A	IGH-INCOME T	AMERICAN H	01291 PRESTON, MARGARITA	2/09/2018 75
12/09/2018 75501293 JOE, HENRY FRK NATURAL RES FND - CL A B 0.00 0.94 0.00 0.94 0.00 3	65.0	0 5.2	65.0	8.10	0.00	8.10	0.00	ELD M B	R HIGH YIE	GSHIP MUN TE	NUVEEN FLA	01291 PRESTON, MARGARITA	2/09/2018 75
102/09/2018 75501293 JOE, HENRY INTERMEDIATE BOND FUND OF AMERICA-A B 0.00 3.94 0.00 3.94 0.00 5.85 0.20 0.20 0.20 0.20 0.20 0.20 0.20 0.2	65.0	0 12.6	65.0	19.39	0.00	19.39	0.00	A B	NICIPALS A	NATIONAL MUN	ROCHESTER	01291 PRESTON, MARGARITA	2/09/2018 75
02/09/2018 75501305 BUNIN, ARLENE FRANKLIN INCOME FUND CLASS A B 0.00 5.85 0.00 5.85 0.20 11.71 0.00 11.71 0.00 11.71 0.2	65.0	0.0	65.0	0.94	0.00	0.94	0.00	В	CL A	L RES FND -	FRK NATURA	01293 JOE, HENRY	2/09/2018 75
02/09/2018 75501305 BUNIN, ARLENE FRK AGE HIGH INC FND - CL A B 0.00 11.71 0.00 11.72 0.20 0.20 0.20 0.20 0.20 0.20 0.20 0	65.0	0 2.5	65.0	3.94	0.00	3.94	0.00	ICA-A B	OF AMERI	TE BOND FUNI	INTERMEDIA	01293 JOE, HENRY	02/09/2018 75
22/09/2018 75501305 BUNIN, ARLENE GOLDMAN SACHS HIGH YIELD FUND CL A B 0.00 34.66 0.00 34.66 22/09/2018 75501307 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 18.56 0.00 18.56 22/09/2018 75501307 TOTTEN, ANN THE BOND FUND OF AMERICA-A B 0.00 9.97 0.00 9.97 22/09/2018 75501307 TOTTEN, ANN THE INCOME FUND OF AMERICA-A B 0.00 15.00 0.00 15.00 22/09/2018 75501308 ANN S TOTTEN FRANKLIN INCOME FUND CLASS A B 0.00 5.03 0.00 5.03 22/09/2018 75501308 ANN S TOTTEN MUTUAL DISC FND - CL A B 0.00 4.04 0.00 4.04 22/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93 22/09/2018 75501309 TOTTEN, ANN THE GROWTH FUND OF AMERICA-A B 0.00 9.72 0.00 9.72	65.0	0 3.8	65.0	5.85	0.00	5.85	0.00	В	CLASS A	NCOME FUND (FRANKLIN I	01305 BUNIN, ARLENE	2/09/2018 75
12/09/2018 75501307 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 18.56 0.0	65.0	0 7.6	65.0	11.71	0.00	11.71	0.00	В	- CL A	GH INC FND -	FRK AGE HI	01305 BUNIN, ARLENE	2/09/2018 75
12/09/2018 75501307 TOTTEN, ANN THE BOND FUND OF AMERICA-A B 0.00 9.97 0.00 9.97 0.00 15.00 12/09/2018 75501307 TOTTEN, ANN THE INCOME FUND OF AMERICA-A B 0.00 15.00 0.00 15.	65.0	0 22.5	65.0	34.66	0.00	34.66	0.00	CL AB	ELD FUND	CHS HIGH YI	GOLDMAN SA	01305 BUNIN, ARLENE	2/09/2018 75
12/09/2018 75501307 TOTTEN, ANN THE INCOME FUND OF AMERICA-A B 0.00 15.00 0.00 15.00 12/09/2018 75501308 ANN S TOTTEN FRANKLIN INCOME FUND CLASS A B 0.00 5.03 0.00 5.03 12/09/2018 75501308 ANN S TOTTEN MUTUAL DISC FND - CL A B 0.00 4.04 0.00 4.04 12/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93 12/09/2018 75501309 TOTTEN, ANN THE GROWTH FUND OF AMERICA-A B 0.00 9.72 0.00 9.72	65.0	0 12.0	65.0	18.56	0.00	18.56	0.00	В	CLASS A	NCOME FUND (FRANKLIN I	01307 TOTTEN, ANN	2/09/2018 75
22/09/2018 75501308 ANN S TOTTEN FRANKLIN INCOME FUND CLASS A B 0.00 5.03 0.00 5.03 0.00 5.03 0.00 5.03 0.00 5.03 0.00 5.03 0.00 5.03 0.00 5.03 0.00 6.00 6	65.0	0 6.4	65.0	9.97	0.00	9.97	0.00	В	ICA-A	UND OF AMERI	THE BOND F	01307 TOTTEN, ANN	2/09/2018 75
02/09/2018 75501308 ANN S TOTTEN MUTUAL DISC FND - CL A B 0.00 4.04 0.00 4.04 0.20 02/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93 0.20 02/09/2018 75501309 TOTTEN, ANN THE GROWTH FUND OF AMERICA-A B 0.00 9.72 0.00 9.72	65.0	0 9.7	65.0	15.00	0.00	15.00	0.00	В	ERICA-A	FUND OF AME	THE INCOME	01307 TOTTEN, ANN	2/09/2018 75
02/09/2018 75501309 TOTTEN, ANN FRANKLIN INCOME FUND CLASS A B 0.00 6.93 0.00 6.93 02/09/2018 75501309 TOTTEN, ANN THE GROWTH FUND OF AMERICA-A B 0.00 9.72 0.00 9.72	65.0	0 3.2	65.0	5.03	0.00	5.03	0.00	В	CLASS A	NCOME FUND (FRANKLIN I	01308 ANN S TOTTEN	02/09/2018 75
02/09/2018 75501309 TOTTEN, ANN THE GROWTH FUND OF AMERICA-A B 0.00 9.72 0.00 9.72	65.0	0 2.6	65.0	4.04	0.00	4.04	0.00	В	A	C FND - CL A	MUTUAL DIS	01308 ANN S TOTTEN	2/09/2018 75
	65.0	0 4.5	65.0	6.93	0.00	6.93	0.00	В	CLASS A	NCOME FUND (FRANKLIN I	01309 TOTTEN, ANN	2/09/2018 75
02/09/2018 75501309 TOTTEN, ANN THE NEW ECONOMY FUND-A B 0.00 9.28 0.00 9.28	65.0	0 6.3	65.0	9.72	0.00	9.72	0.00	В	ERICA-A	FUND OF AME	THE GROWTH	01309 TOTTEN, ANN	02/09/2018 75
	65.0	0 6.0	65.0	9.28	0.00	9.28	0.00	В	A	ONOMY FUND-	THE NEW EC	01309 TOTTEN, ANN	02/09/2018 75
02/09/2018 75501310 MARGARITA F PRESTON FRANKLIN INCOME FUND CLASS A B 0.00 3.40 0.00 3.40	65.0	0 2.2	65.0	3.40	0.00	3.40	0.00	В	CLASS A	NCOME FUND (FRANKLIN I	01310 MARGARITA F PRESTON	02/09/2018 75
02/09/2018 75501310 MARGARITA F PRESTON MAINSTAY HIGH-YIELD CORPORATE BOND B 0.00 23.00 0.00 23.00	65.0	0 14.9	65.0	23.00	0.00	23.00	0.00	BOND B	ORPORATE B	IGH-YIELD CO	MAINSTAY H	01310 MARGARITA F PRESTON	02/09/2018 75
02/09/2018 75501310 MARGARITA F PRESTON MAINSTAY UNCONSTRAINED BOND FUND CL B 0.00 15.82 0.00 15.82	65.0	0 10.2	65.0	15.82	0.00	15.82	0.00	ND CLB) BOND FUN	NCONSTRAINEI	MAINSTAY U	01310 MARGARITA F PRESTON	02/09/2018 75
02/09/2018 75501310 MARGARITA F PRESTON ROCHESTER NATIONAL MUNICIPALS A B 0.00 13.19 0.00 13.19	65.0	0 8.5	65.0	13.19	0.00	13.19	0.00	A B	NICIPALS A	NATIONAL MUN	ROCHESTER	01310 MARGARITA F PRESTON	02/09/2018 75
02/09/2018 75501310 MARGARITA F PRESTON THE INCOME FUND OF AMERICA-A B 0.00 7.82 0.00 7.82	65.0	0 5.0	65.0	7.82	0.00	7.82	0.00	В	ERICA-A	FUND OF AME	THE INCOME	01310 MARGARITA F PRESTON	02/09/2018 75

TRADE DATE	CLIENT	INVESTMENT B/S	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
		BROKER TRANS	SACTIONS					
PRODUCT CAT	EGORY: MUTUAL FUND 12B1	TRAILS						
		N DELAWARE SELECT GROWTH FUND A CLASS B	0.00	2.38	0.00	2.38	65.0	1.55
		N DELAWARE INVESTMENTS DIVERSIFIED IN B	0.00	1.50	0.00	1.50	65.0	0.98
		N FRANKLIN U.S. GOVERNMENT SECURITIES B	0.00	0.78	0.00	0.78	65.0	0.51
02/09/2018 75	501312 HEIDENREICH, CHARLYI	N INTERMEDIATE BOND FUND OF AMERICA-A B	0.00	2.84	0.00	2.84	65.0	1.85
02/09/2018 75	501312 HEIDENREICH, CHARLYI	N THE INVESTMENT COMPANY OF AMERICA-A B	0.00	3.38	0.00	3.38	65.0	2.20
02/09/2018 75	501313 HEIDENREICH, ROBERT	FRANKLIN INCOME FUND CLASS A B	0.00	11.29	0.00	11.29	65.0	7.34
02/09/2018 75	501313 HEIDENREICH, ROBERT	FRANKLIN/TEMPLETON FUNDS 353612690 B	0.00	13.79	0.00	13.79	65.0	8.96
02/09/2018 75	501313 HEIDENREICH, ROBERT	GOLDMAN SACHS TR SHORT DURATION INC B	0.00	13.47	0.00	13.47	65.0	8.76
02/09/2018 75	501313 HEIDENREICH, ROBERT	THE BOND FUND OF AMERICA-A B	0.00	9.63	0.00	9.63	65.0	6.26
02/09/2018 75	501314 COHEN, GLADYS	EATON VANCE NATIONAL MUNICIPAL FUND B	0.00	95.05	0.00	95.05	65.0	61.78
02/09/2018 75	501314 COHEN, GLADYS	FRANKLIN NEW YORK TAX-FREE INCOME F B	0.00	38.71	0.00	38.71	65.0	25.16
02/09/2018 75	501314 COHEN, GLADYS	GOLDMAN SACHS DYNAMIC MUNICIPAL INC B	0.00	91.13	0.00	91.13	65.0	59.23
02/09/2018 75	501314 COHEN, GLADYS	GOLDMAN SACHS HIGH YIELD MUNICIPAL B	0.00	54.68	0.00	54.68	65.0	35.54
02/09/2018 75	501314 COHEN, GLADYS	ROCH. LIMITED TERM NEW YORK MUNICIP B	0.00	34.74	0.00	34.74	65.0	22.58
02/09/2018 75	501314 COHEN, GLADYS	ROCHESTER NATIONAL MUNICIPALS A B	0.00	43.73	0.00	43.73	65.0	28.42
02/09/2018 75	501316 PIPER, CAROL	AMERICAN HIGH-INCOME TRUST-A B	0.00	6.32	0.00	6.32	65.0	4.11
02/09/2018 75	501316 PIPER, CAROL	FEDERATED HIGH INCOME BOND FUND B	0.00	5.50	0.00	5.50	65.0	3.58
02/09/2018 75	501316 PIPER, CAROL	FRANKLIN INCOME FUND CLASS A B	0.00	8.11	0.00	8.11	65.0	5.27
02/09/2018 75	501316 PIPER, CAROL	FRK AGE HIGH INC FND - CL A B	0.00	2.19	0.00	2.19	65.0	1.42
02/09/2018 75	501316 PIPER, CAROL	GOLDMAN SACHS HIGH YIELD FUND CL A B	0.00	6.75	0.00	6.75	65.0	4.39
02/09/2018 75	501317 PIPER, CAROL	FRANKLIN INCOME FUND CLASS A B	0.00	1.25	0.00	1.25	65.0	0.81
02/09/2018 75	501317 PIPER, CAROL	NEW PERSPECTIVE FUND-A B	0.00	3.63	0.00	3.63	65.0	2.36
02/09/2018 75	501324 HEIDENREICH, CHARLY	N FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	0.00	3.78	0.00	3.78	65.0	2.46
02/09/2018 75	501325 ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A B	0.00	2.46	0.00	2.46	65.0	1.60
02/09/2018 75	501867 PAGAN, VIONA LYNN	**JPMORGAN TR I	0.00	6.36	0.00	6.36	65.0	4.13
02/09/2018 75	501867 PAGAN, VIONA LYNN	**JPMORGAN TR II B	0.00	26.54	0.00	26.54	65.0	17.25
02/09/2018 75	501867 PAGAN, VIONA LYNN	DYNAMIC SMALL CAP FUND - A B	0.00	23.13	0.00	23.13	65.0	15.03
02/09/2018 75	501867 PAGAN, VIONA LYNN	FIDELITY ADV TECHNOLOGY CL A B	0.00	13.89	0.00	13.89	65.0	9.03
02/09/2018 75	501867 PAGAN, VIONA LYNN	GROWTH AND INCOME FUND - A B	0.00	20.42	0.00	20.42	65.0	13.27
02/09/2018 75	501867 PAGAN, VIONA LYNN	SMALL CAP EQUITY FUND - A B	0.00	4.51	0.00	4.51	65.0	2.93
02/09/2018 75	501867 PAGAN, VIONA LYNN	U.S. EQUITY FUND - A B	0.00	26.86	0.00	26.86	65.0	17.46
02/09/2018 75	502119 COHEN, MICHAEL	ALLIANCEBERNSTEIN MUNI INCOME-NY A B	0.00	39.82	0.00	39.82	65.0	25.88
02/09/2018 75	502119 COHEN, MICHAEL	EATON VANCE NATIONAL MUNICIPAL FUND B	0.00	16.19	0.00	16.19	65.0	10.52
02/09/2018 75	502119 COHEN, MICHAEL	EHV 27826L322 B	0.00	24.61	0.00	24.61	65.0	16.00
02/09/2018 75	502119 COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL B	0.00	32.56	0.00	32.56	65.0	21.16
02/09/2018 75	502119 COHEN, MICHAEL	NUVEEN NEW YORK MUNI BOND A B	0.00	58.80	0.00	58.80	65.0	38.22
02/09/2018 75	502119 COHEN, MICHAEL	ROCHESTER NATIONAL MUNICIPALS A B	0.00	11.26	0.00	11.26	65.0	7.32
02/09/2018 75	502119 COHEN, MICHAEL	ROCHESTER FUND MUNICIPALS A B	0.00	29.81	0.00	29.81	65.0	19.38
02/09/2018 75	502119 COHEN, MICHAEL	THE BOND FUND OF AMERICA-A B	0.00	15.84	0.00	15.84	65.0	10.30
02/22/2018 QG	W008005 SCHULZ, CARL	ROCH. LIMITED TERM NEW YORK MUNICIP B	0.00	12.87	0.00	12.87	65.0	8.37

INVESTMENT

Page No. 5

BROKER

GROSS CLEARING NET

TRADE DATE CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
	BROKER TE	ANS.	ACTIONS					
PRODUCT CATEGORY: MUTUAL FUND 12B1	TRAILS							
02/22/2018 QGW008005 SCHULZ, CARL	ROCHESTER FUND MUNICIPALS A	В	0.00	70.08	0.00	70.08	65.0	45.55
02/22/2018 QGW008039 STEFANO, MARGARET	ROCHESTER FUND MUNICIPALS A	В	0.00	3.26	0.00	3.26	65.0	2.12
02/16/2018 QGW008047 DOUGHERTY, JANE	HIGH YIELD A	В	0.00	1.12	0.00	1.12	65.0	0.73
02/22/2018 QGW008047 DOUGHERTY, JANE	ROCHESTER NATIONAL MUNICIPALS A	В	0.00	6.69	0.00	6.69	65.0	4.35
02/22/2018 QGW023798 OLSSON, RITA	CAPITAL APPRECIATION A	В	0.00	0.58	0.00	0.58	65.0	0.38
02/21/2018 QGW023814 STEFANO, MARGARET	EUROPACIFIC GROWTH FUND-A	В	0.00	0.59	0.00	0.59	65.0	0.38
02/21/2018 QGW023814 STEFANO, MARGARET	THE GROWTH FUND OF AMERICA-A	В	0.00	2.70	0.00	2.70	65.0	1.76
02/13/2018 QGW023848 BYRNE, GERARD	MFS INTERNTL DIVERSIFICATION FUND-	ΑВ	0.00	2.95	0.00	2.95	65.0	1.92
02/16/2018 QGW030595 COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL	В	0.00	16.93	0.00	16.93	65.0	11.00
02/22/2018 QGW030595 COHEN, MICHAEL	FRANKLIN FEDERAL TAX FREE INCOME F	UВ	0.00	4.09	0.00	4.09	65.0	2.66
02/22/2018 QGW030595 COHEN, MICHAEL	FRANKLIN INCOME FUND CLASS A	В	0.00	11.47	0.00	11.47	65.0	7.46
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL	*	\$0.00	\$1,198.84	\$0.00	\$1,198.84		\$779.25
	*** BROKER TRANSACTIONS TOTAL *	**	\$1,125,420.27	\$19,783.29	\$960.00	\$18,823.29		\$11,899.13
	ADJUS	TME	NTS					
02/28/2018	ADVANCE: ADVANCE		0.00	0.00	0.00	0.00		-3,300.00
02/28/2018	OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
02/28/2018	OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-12.00
02/28/2018	OTHER: OTHER-EXTRA RBC CHARGES		0.00	0.00	0.00	0.00		-87.50
02/28/2018	OTHER: OTHERTICKETS CHARGES ON M	E	0.00	0.00	0.00	0.00		70.00
02/28/2018	OTHER: OTHER-RBC MEDICINOVA		0.00	0.00	0.00	0.00		977.00
02/28/2018	OTHER: OTHER-PERSHING TOOK 65% OF	M	0.00	0.00	0.00	0.00		-127.06
02/28/2018	OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
02/28/2018	OTHER: QUODD		0.00	0.00	0.00	0.00		-170.35
02/28/2018	OTHER: WEALTH MANAGEMENT STATION		0.00	0.00	0.00	0.00		-25.00
	*** ADJUSTMENTS TOTAL *	**	\$0.00	\$0.00	\$0.00	\$0.00		\$-2,749.35

BROKER COMMISSION TOTALS \$11,899.13 Broker Transactions \$0.00 Split Transactions \$0.00 Override Transactions \$-2,749.35 Adjustments Payroll Draw \$0.00 \$0.00 Base Salary Prior Period Balance \$0.00 FINRA Assessment \$-24.73 \$-49.46 SIPC Assessment \$9,075.59 Check Amount \$13,065.45 Year-to-date Earnings