

## COMMISSION STATEMENT

September 29, 2017

ANDREW STUART SACHS

1 DEVONSHIRE COURT

PLAINVIEW, NY 11803

BROKER #: 5

BRANCH: HOME OFFICE

## COMMISSION STATEMENT for ANDREW STUART SACHS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

09/01/2017	QGW032013	STROPE, DALE	MOMO INC ADR	B	10,436.25	300.00	0.00	300.00	82.5	247.50
09/20/2017	QGW032039	SANDERS, RALPH	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	17,300.00	365.00	0.00	365.00	82.5	301.13
08/31/2017	QGW032047	SHIER, ANDY	MOMO INC ADR	B	14,780.00	425.00	0.00	425.00	82.5	350.63
09/12/2017	QGW032054	PAEGLOW, JOSEPH	TARGET CORP	S	-35,100.00	150.00	0.00	150.00	82.5	123.75
09/01/2017	QGW032096	YALINEWITZ, BOAZ	MOMO INC ADR	B	15,480.00	440.00	0.00	440.00	82.5	363.00
09/27/2017	QGW032096	YALINEWITZ, BOAZ	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	14,168.00	420.00	0.00	420.00	82.5	346.50
08/31/2017	QGW032104	DAVIDOV, WILLIAM	ADAMIS PHARMACEUTICALS CORP COM	B	2,230.00	40.00	0.00	40.00	82.5	33.00
09/01/2017	QGW032104	DAVIDOV, WILLIAM	MOMO INC ADR	B	3,790.00	75.00	0.00	75.00	82.5	61.88
09/07/2017	QGW032104	DAVIDOV, WILLIAM	ELECTRO SCIENTIFIC INDS INC COM	S	-4,217.50	40.00	0.00	40.00	82.5	33.00
09/11/2017	QGW032104	DAVIDOV, WILLIAM	SOUTHWEST AIRLINES CO	B	3,689.00	35.00	0.00	35.00	82.5	28.88
09/14/2017	QGW032104	DAVIDOV, WILLIAM	NRG ENERGY INC	S	-2,331.30	40.00	0.00	40.00	82.5	33.00
09/14/2017	QGW032104	DAVIDOV, WILLIAM	VIRCO MFG CO	B	2,655.00	40.00	0.00	40.00	82.5	33.00
09/15/2017	QGW032104	DAVIDOV, WILLIAM	ADAMIS PHARMACEUTICALS CORP COM	S	-1,055.00	25.00	0.00	25.00	82.5	20.63
09/15/2017	QGW032104	DAVIDOV, WILLIAM	MICRON TECHNOLOGY INC	B	4,360.00	40.00	0.00	40.00	82.5	33.00
09/15/2017	QGW032104	DAVIDOV, WILLIAM	TWITTER INC	S	-3,614.00	35.00	0.00	35.00	82.5	28.88
09/21/2017	QGW032104	DAVIDOV, WILLIAM	SMART GLOBAL HLDGS INC SHS	S	-3,544.20	40.00	0.00	40.00	82.5	33.00
09/22/2017	QGW032104	DAVIDOV, WILLIAM	SOUTHWEST AIRLINES CO	B	2,749.00	40.00	0.00	40.00	82.5	33.00
08/31/2017	QGW032112	CIARLO, ANTHONY	MOMO INC ADR	B	9,637.48	275.00	0.00	275.00	82.5	226.88
09/14/2017	QGW032120	DAVIDOV, WILLIAM	ADVANCED MICRO DEVICES INC	B	1,852.50	35.00	0.00	35.00	82.5	28.88
09/19/2017	QGW032120	DAVIDOV, WILLIAM	AGILENT TECHNOLOGIES INC	B	4,175.63	40.00	0.00	40.00	82.5	33.00
09/19/2017	QGW032120	DAVIDOV, WILLIAM	COMMERCIAL METALS CO	S	-3,622.00	40.00	0.00	40.00	82.5	33.00
08/31/2017	QGW032195	NERY, GENEROSO	MOMO INC ADR	B	11,571.51	330.00	0.00	330.00	82.5	272.25
08/31/2017	QGW032195	NERY, GENEROSO	STARBUCKS CORP	S	-2,738.68	35.00	0.00	35.00	82.5	28.88
09/07/2017	QGW032203	SHIPLEY, CRAIG	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	4,635.00	130.00	0.00	130.00	82.5	107.25
08/31/2017	QGW032229	WATSON, ROGER	MOMO INC ADR	B	9,325.00	265.00	0.00	265.00	82.5	218.63
08/31/2017	QGW032237	PETERSON, SHAWN	MOMO INC ADR	B	11,325.00	330.00	0.00	330.00	82.5	272.25
09/13/2017	QGW032237	PETERSON, SHAWN	TARGET CORP	S	-17,625.00	100.00	0.00	100.00	82.5	82.50
09/18/2017	QGW032237	PETERSON, SHAWN	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	12,355.00	365.00	0.00	365.00	82.5	301.13
09/19/2017	QGW032237	PETERSON, SHAWN	TORONTO-DOMINION BANK	S	-16,590.00	100.00	0.00	100.00	82.5	82.50
09/27/2017	QGW032237	PETERSON, SHAWN	COTY INC COM CL A	B	16,300.00	475.00	0.00	475.00	82.5	391.88
09/14/2017	QGW032252	OMAR, ZEKI	ROCKY MTN HIGH BRANDS INC COM	B	277.00	35.00	0.00	35.00	82.5	28.88

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
09/01/2017	QGW032385	GIBBINGS, WAYNE							
		MOMO INC ADR	B	3,770.00	100.00	0.00	100.00	82.5	82.50
09/22/2017	QGW032674	ONESTO, RICHARD							
		APPLE INC	B	16,000.00	80.73	0.00	80.73	82.5	66.60
09/01/2017	QGW033151	DEROIN, JOHN							
		MOMO INC ADR	B	6,562.50	190.00	0.00	190.00	82.5	156.75
09/05/2017	QGW033334	FERRARO, SARAH							
		OPKO HEALTH INC	S	-2,848.50	50.00	0.00	50.00	82.5	41.25
09/05/2017	QGW033334	FERRARO, SARAH							
		TEVA PHARMACEUTICAL INDUSTRIES LIM	B	3,068.00	65.00	0.00	65.00	82.5	53.63
08/31/2017	QGW033581	RYKEN, MICHAEL							
		MOMO INC ADR	B	12,936.00	375.00	0.00	375.00	82.5	309.38
09/12/2017	QGW033581	RYKEN, MICHAEL							
		KINDER MORGAN INC	S	-4,474.28	75.00	0.00	75.00	82.5	61.88
09/01/2017	QGW033870	BROWN, KENNETH							
		MOMO INC ADR	B	11,468.97	340.00	0.00	340.00	82.5	280.50
09/18/2017	QGW033870	BROWN, KENNETH							
		TEVA PHARMACEUTICAL INDUSTRIES LIM	B	14,160.00	420.00	0.00	420.00	82.5	346.50
09/27/2017	QGW033870	BROWN, KENNETH							
		TORONTO-DOMINION BANK	S	-22,708.00	250.00	0.00	250.00	82.5	206.25
09/11/2017	QGW037319	PETERSON, GARY							
		MOMO INC ADR	B	4,956.90	50.00	0.00	50.00	82.5	41.25
09/08/2017	QGW038549	MORAN, STEVEN							
		ROCKWELL COLLINS INC DEL COM STK	B	9,830.25	50.00	0.00	50.00	82.5	41.25
09/11/2017	QGW038598	DUVALL, CHARLES							
		MOMO INC ADR	B	953.00	24.00	0.00	24.00	82.5	19.80
<b>* STOCKS SUBTOTAL *</b>				<b>\$136,328.53</b>	<b>\$7,174.73</b>	<b>\$0.00</b>	<b>\$7,174.73</b>		<b>\$5,919.23</b>
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
09/06/2017	QGW032674	ONESTO, RICHARD							
		CALL 100 MAZOR ROBOTICS LTD SPONSOR	B	2,040.00	35.00	0.00	35.00	82.5	28.88
09/25/2017	QGW032674	ONESTO, RICHARD							
		PUT 100 FACEBOOK INC CL A EXP 11-17	S	-495.00	30.00	0.00	30.00	82.5	24.75
<b>* OPTIONS SUBTOTAL *</b>				<b>\$1,545.00</b>	<b>\$65.00</b>	<b>\$0.00</b>	<b>\$65.00</b>		<b>\$53.63</b>
<b><u>PRODUCT CATEGORY: MISCELLANEOUS</u></b>									
09/05/2017	VARIOUS, SACHS	INSURANCE	B	0.00	40.52	0.00	40.52	82.5	33.43
09/05/2017	VARIOUS, SACHS	WILLIAM PENN	B	0.00	93.50	0.00	93.50	82.5	77.14
<b>* MISCELLANEOUS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$134.02</b>	<b>\$0.00</b>	<b>\$134.02</b>		<b>\$110.57</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
09/13/2017	QGW033185	DEVORE, DOREEN							
		AIT ARROW DWA BALANCED FUND CLASS C	B	0.00	5.99	0.00	5.99	82.5	4.94
09/15/2017	QGW033185	DEVORE, DOREEN							
		WELLS FARGO EMERGING MARKETS EQUITY	B	0.00	0.53	0.00	0.53	82.5	0.44
09/14/2017	QGW033383	DEROIN, KATHLEEN							
		FRK AGE HIGH INC FND - CL A	B	0.00	0.70	0.00	0.70	82.5	0.58
09/14/2017	QGW035305	POORMAN, JEFFREY							
		FRANKLIN INCOME FUND CLASS A	B	0.00	0.25	0.00	0.25	82.5	0.21
09/14/2017	QGW035305	POORMAN, JEFFREY							
		MUTUAL SERIES SHARES CLASS A	B	0.00	0.47	0.00	0.47	82.5	0.39
09/18/2017	QGW036923	CHAPMAN, HERBERT							
		EUROPACIFIC GROWTH FUND-A	B	0.00	0.31	0.00	0.31	82.5	0.26
09/18/2017	QGW036923	CHAPMAN, HERBERT							
		FUNDAMENTAL INVESTORS-A	B	0.00	0.37	0.00	0.37	82.5	0.31
09/18/2017	QGW036923	CHAPMAN, HERBERT							
		SMALLCAP WORLD FUND-A	B	0.00	0.17	0.00	0.17	82.5	0.14
09/18/2017	QGW036923	CHAPMAN, HERBERT							
		THE BOND FUND OF AMERICA-A	B	0.00	0.29	0.00	0.29	82.5	0.24
09/18/2017	QGW036923	CHAPMAN, HERBERT							
		THE GROWTH FUND OF AMERICA-A	B	0.00	0.38	0.00	0.38	82.5	0.31
09/18/2017	QGW036923	CHAPMAN, HERBERT							
		THE INVESTMENT COMPANY OF AMERICA-A	B	0.00	0.16	0.00	0.16	82.5	0.13
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$9.62</b>	<b>\$0.00</b>	<b>\$9.62</b>		<b>\$7.95</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$137,873.53</b>	<b>\$7,383.37</b>	<b>\$0.00</b>	<b>\$7,383.37</b>		<b>\$6,091.38</b>

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>									
09/29/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-123.75
09/29/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
09/29/2017		OTHER: OTHER-POSTAGE		0.00	0.00	0.00	0.00		-23.66
09/29/2017		OTHER: OTHER --POSTAGE		0.00	0.00	0.00	0.00		-27.84
				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-183.25</u>
				*** ADJUSTMENTS TOTAL ***					

BROKER COMMISSION TOTALS

Broker Transactions	\$6,091.38
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-183.25
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-9.06
SIPC Assessment	\$-18.12

Check Amount	\$5,880.95
Year-to-date Earnings	\$23,656.79