

COMMISSION STATEMENT

November 30, 2017

RICHARD BELZ
40 Wall Street

New York, NY 10005

BROKER #: 77
BRANCH: HOME OFFICE

COMMISSION STATEMENT for RICHARD BELZ

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

10/24/2017	000000000055499	SAVELIS, LAILA FRANKLIN/TEMPLETON FUNDS 353533763	B	237.50	8.91	12.00	-3.09	90.0	-3.98
11/10/2017	0000000000055499	SAVELIS, LAILA FRANKLIN/TEMPLETON FUNDS 353533763	B	237.50	8.91	12.00	-3.09	90.0	-3.98
11/21/2017	0000000000055499	SAVELIS, LAILA FRANKLIN/TEMPLETON FUNDS 353533763	B	237.50	8.91	12.00	-3.09	90.0	-3.98
11/02/2017	0000000000888774	COLEMAN, FRK AGGRESSIVE GRWTH - CL A	B	108.75	3.05	12.00	-8.95	90.0	-9.26
11/16/2017	0000000000888774	COLEMAN, FRK AGGRESSIVE GRWTH - CL A	B	108.75	3.05	12.00	-8.95	90.0	-9.26
10/24/2017	0000000002577132	OTTO, DAVID FRANKLIN SMALL-MID CAP GROWTH FUND	B	500.00	5.00	12.00	-7.00	90.0	-7.50
11/10/2017	0000000002577132	OTTO, DAVID FRANKLIN SMALL-MID CAP GROWTH FUND	B	500.00	5.00	12.00	-7.00	90.0	-7.50
11/21/2017	0000000002577132	OTTO, DAVID FRANKLIN SMALL-MID CAP GROWTH FUND	B	500.00	5.00	12.00	-7.00	90.0	-7.50
11/02/2017	0000000004328098	COLEMAN, FRK TEMP FOUNDING FUNDS ALLOC FND C B	B	362.50	10.15	12.00	-1.85	90.0	-2.87
11/16/2017	0000000004328098	COLEMAN, FRK TEMP FOUNDING FUNDS ALLOC FND C B	B	362.50	10.15	12.00	-1.85	90.0	-2.87
11/02/2017	0000000004468094	COLEMAN, MUTUAL DISC FND - CL A	B	145.00	4.06	12.00	-7.94	90.0	-8.35
11/16/2017	0000000004468094	COLEMAN, MUTUAL DISC FND - CL A	B	145.00	4.06	12.00	-7.94	90.0	-8.35
10/24/2017	0000000005055304	SULLIVAN, MUTUAL DISC FND - CL A	B	125.00	6.25	12.00	-5.75	90.0	-6.38
11/07/2017	0000000005055304	SULLIVAN, MUTUAL DISC FND - CL A	B	125.00	6.25	12.00	-5.75	90.0	-6.38
11/21/2017	0000000005055304	SULLIVAN, MUTUAL DISC FND - CL A	B	125.00	6.25	12.00	-5.75	90.0	-6.38
10/24/2017	000015813591680	SAVELIS, LAILA FRANKLIN RISING DIVIDENDS FD CLASS	B	237.50	8.91	12.00	-3.09	90.0	-3.98
11/10/2017	000015813591680	SAVELIS, LAILA FRANKLIN RISING DIVIDENDS FD CLASS	B	237.50	8.91	12.00	-3.09	90.0	-3.98
11/21/2017	000015813591680	SAVELIS, LAILA FRANKLIN RISING DIVIDENDS FD CLASS	B	237.50	8.91	12.00	-3.09	90.0	-3.98
11/02/2017	000019411906629	COLEMAN, FRK STRAT INC FND - CL A	B	108.75	3.05	12.00	-8.95	90.0	-9.26
11/16/2017	000019411906629	COLEMAN, FRK STRAT INC FND - CL A	B	108.75	3.05	12.00	-8.95	90.0	-9.26
10/24/2017	000090230176100	SULLIVAN, FRANKLIN INCOME FUND CLASS A	B	125.00	5.00	12.00	-7.00	90.0	-7.50
11/07/2017	000090230176100	SULLIVAN, FRANKLIN INCOME FUND CLASS A	B	125.00	5.00	12.00	-7.00	90.0	-7.50
11/21/2017	000090230176100	SULLIVAN, FRANKLIN INCOME FUND CLASS A	B	125.00	5.00	12.00	-7.00	90.0	-7.50
11/20/2017	00063004460	SCHENK, STEVEN WASHINGTON MUTUAL INVESTORS FUND-A	B	125.00	4.69	12.00	-7.31	90.0	-7.78
11/17/2017	00064802351	SCHENK, ERIC THE GROWTH FUND OF AMERICA-A	B	25.00	0.94	12.00	-11.06	90.0	-11.15
11/17/2017	00064818808	SCHENK, ERIC AMCAP FUND-A	B	20.00	0.75	12.00	-11.25	90.0	-11.33
11/13/2017	00075280585	MILLER, SAMANTHA AMERICAN BALANCED FUND-A	B	225.00	6.19	12.00	-5.81	90.0	-6.43
11/13/2017	00075280585	MILLER, SAMANTHA THE GROWTH FUND OF AMERICA-A	B	225.00	6.19	12.00	-5.81	90.0	-6.43
11/24/2017	00075280585	MILLER, SAMANTHA AMERICAN BALANCED FUND-A	B	225.00	6.19	12.00	-5.81	90.0	-6.43
11/24/2017	00075280585	MILLER, SAMANTHA THE GROWTH FUND OF AMERICA-A	B	225.00	6.19	12.00	-5.81	90.0	-6.43
11/15/2017	00084040075	WILLIAMS, ALYSSA CAPITAL WORLD GROWTH AND INCOME FUN B	B	100.00	4.25	12.00	-7.75	90.0	-8.18

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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: MUTUAL FUNDS</u>									
11/15/2017	00084040075	WILLIAMS, ALYSSA	WASHINGTON MUTUAL INVESTORS FUND-A	B	100.00	4.25	12.00	-7.75	90.0 -8.18
11/15/2017	00088094822	WILLIAMS, ALYSSA	GLOBAL BALANCED FUND-C	B	50.00	0.50	12.00	-11.50	90.0 -11.55
10/31/2017	00453533309	BURNS, KATHLEEN	PUTNAM 746933100	B	150.00	4.13	12.00	-7.87	90.0 -8.28
10/31/2017	00453533309	BURNS, KATHLEEN	PUTNAM GLOBAL CUSTOMER FUND CLASS A	B	150.00	4.13	12.00	-7.87	90.0 -8.28
11/13/2017	00453533309	BURNS, KATHLEEN	PUTNAM 746933100	B	150.00	4.13	12.00	-7.87	90.0 -8.28
11/13/2017	00453533309	BURNS, KATHLEEN	PUTNAM GLOBAL CUSTOMER FUND CLASS A	B	150.00	4.13	12.00	-7.87	90.0 -8.28
11/13/2017	00487862253	PERUGINI, MILDRED	PUTNAM 746745108	B	100.00	2.75	12.00	-9.25	90.0 -9.53
11/13/2017	00487862253	PERUGINI, MILDRED	PUTNAM 746802800	B	150.00	4.13	12.00	-7.87	90.0 -8.28
11/13/2017	00487862253	PERUGINI, MILDRED	PUTNAM NEW OPPORTUNITIES FUND CLASS B	B	150.00	4.13	12.00	-7.87	90.0 -8.28
11/16/2017	00493247534	PLAN	PUTNAM 74680E101	B	150.00	5.63	12.00	-6.37	90.0 -6.93
05/23/2017	00503977532	SCHAEFER, DOREEN	PUTNAM 746809102	B	25.00	1.25	12.00	-10.75	90.0 -10.88
05/23/2017	00503977532	SCHAEFER, DOREEN	PUTNAM GLOBAL EQUITY FUND CLASS A	B	25.00	1.25	12.00	-10.75	90.0 -10.88
11/07/2017	00503977532	SCHAEFER, DOREEN	PUTNAM 746809102	B	25.00	1.25	12.00	-10.75	90.0 -10.88
11/07/2017	00503977532	SCHAEFER, DOREEN	PUTNAM GLOBAL EQUITY FUND CLASS A	B	25.00	1.25	12.00	-10.75	90.0 -10.88
10/31/2017	00514953902	STELLATO, BRIAN	PUTNAM 746809102	B	100.00	5.00	12.00	-7.00	90.0 -7.50
10/31/2017	00514953902	STELLATO, BRIAN	PUTNAM GLOBAL EQUITY FUND CLASS A	B	100.00	5.00	12.00	-7.00	90.0 -7.50
11/13/2017	00514953902	STELLATO, BRIAN	PUTNAM 746809102	B	100.00	5.00	12.00	-7.00	90.0 -7.50
11/13/2017	00514953902	STELLATO, BRIAN	PUTNAM GLOBAL EQUITY FUND CLASS A	B	100.00	5.00	12.00	-7.00	90.0 -7.50
05/23/2017	00515030771	ONORATO, LAURA	PUTNAM 746764778	B	258.00	7.10	12.00	-4.90	90.0 -5.61
05/23/2017	00515030771	ONORATO, LAURA	PUTNAM GLOBAL CUSTOMER FUND CLASS A	B	174.00	4.79	12.00	-7.21	90.0 -7.69
05/23/2017	00515030771	ONORATO, LAURA	PUTNAM-746764109	B	168.00	4.62	12.00	-7.38	90.0 -7.84
11/07/2017	00515030771	ONORATO, LAURA	PUTNAM 746933100	B	258.00	7.10	12.00	-4.90	90.0 -5.61
11/07/2017	00515030771	ONORATO, LAURA	PUTNAM GLOBAL CUSTOMER FUND CLASS A	B	174.00	4.79	12.00	-7.21	90.0 -7.69
11/07/2017	00515030771	ONORATO, LAURA	PUTNAM-746764109	B	168.00	4.62	12.00	-7.38	90.0 -7.84
11/16/2017	00550827572	PLAN	PUTNAM 74680E101	B	150.00	5.63	12.00	-6.37	90.0 -6.93
10/31/2017	00551218283	C GARRUPPO,	PUTNAM 746802800	B	25.00	1.25	12.00	-10.75	90.0 -10.88
10/31/2017	00551218283	C GARRUPPO,	PUTNAM 746763200	B	50.00	2.50	12.00	-9.50	90.0 -9.75
10/31/2017	00551218283	C GARRUPPO,	PUTNAM-746764109	B	25.00	1.25	12.00	-10.75	90.0 -10.88
11/13/2017	00551218283	C GARRUPPO,	PUTNAM 746802800	B	25.00	1.25	12.00	-10.75	90.0 -10.88
11/13/2017	00551218283	C GARRUPPO,	PUTNAM 746763200	B	50.00	2.50	12.00	-9.50	90.0 -9.75
11/13/2017	00551218283	C GARRUPPO,	PUTNAM-746764109	B	25.00	1.25	12.00	-10.75	90.0 -10.88
05/23/2017	00551279988	AZZATO, JOSEPH	PUTNAM 746745108	B	50.00	2.50	12.00	-9.50	90.0 -9.75
05/23/2017	00551279988	AZZATO, JOSEPH	PUTNAM 746802800	B	50.00	2.50	12.00	-9.50	90.0 -9.75
05/23/2017	00551279988	AZZATO, JOSEPH	PUTNAM 746764778	B	40.00	2.00	12.00	-10.00	90.0 -10.20
05/23/2017	00551279988	AZZATO, JOSEPH	PUTNAM-746764109	B	60.00	3.00	12.00	-9.00	90.0 -9.30
11/07/2017	00551279988	AZZATO, JOSEPH	PUTNAM 746745108	B	50.00	2.50	12.00	-9.50	90.0 -9.75
11/07/2017	00551279988	AZZATO, JOSEPH	PUTNAM 746933100	B	40.00	2.00	12.00	-10.00	90.0 -10.20
11/07/2017	00551279988	AZZATO, JOSEPH	PUTNAM 746802800	B	50.00	2.50	12.00	-9.50	90.0 -9.75
11/07/2017	00551279988	AZZATO, JOSEPH	PUTNAM-746764109	B	60.00	3.00	12.00	-9.00	90.0 -9.30
10/31/2017	00551371986	ROSSO, RONALD	PUTNAM 746747104	B	25.00	1.25	12.00	-10.75	90.0 -10.88

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
10/31/2017	00551371986	ROSSO, RONALD	PUTNAM 746802800	B	40.00	2.00	12.00	-10.00	90.0 -10.20
10/31/2017	00551371986	ROSSO, RONALD	PUTNAM SMALL CAP GROWTH FUND CLASS	B	35.00	1.75	12.00	-10.25	90.0 -10.43
11/13/2017	00551371986	ROSSO, RONALD	PUTNAM 746747104	B	25.00	1.25	12.00	-10.75	90.0 -10.88
11/13/2017	00551371986	ROSSO, RONALD	PUTNAM 746802800	B	40.00	2.00	12.00	-10.00	90.0 -10.20
11/13/2017	00551371986	ROSSO, RONALD	PUTNAM SMALL CAP GROWTH FUND CLASS	B	35.00	1.75	12.00	-10.25	90.0 -10.43
11/01/2017	QGW038556	LAPINTA, LEONARD	GOLD & SPECIAL MINERALS A	S	-1,939.33	0.00	12.00	-12.00	90.0 -12.00
* MUTUAL FUNDS SUBTOTAL *					\$8,305.67	\$319.78	\$924.00	\$-604.22	\$-636.30
<u>PRODUCT CATEGORY: STOCKS</u>									
11/02/2017	QGW033441	MURPHY, BREANNE	HERC HLDGS INC COM	S	-1,261.02	55.00	0.00	55.00	90.0 49.50
11/02/2017	QGW033441	MURPHY, BREANNE	HERTZ GLOBAL HLDGS INC NEW COM	S	-1,941.68	55.00	0.00	55.00	90.0 49.50
11/02/2017	QGW033441	MURPHY, BREANNE	RLJ LODGING TR COM	S	-7,795.34	125.00	0.00	125.00	90.0 112.50
11/02/2017	QGW033441	MURPHY, BREANNE	SACHEM CAPITAL CORP COMMON SHARES	B	6,477.00	90.00	0.00	90.00	90.0 81.00
11/03/2017	QGW033441	MURPHY, BREANNE	PAYPAL HOLDINGS INC COM	B	5,622.43	60.00	0.00	60.00	90.0 54.00
11/28/2017	QGW034415	CHAIMOVITCH, BERNARD	NABORS INDUSTRIES LTD	S	-4,450.48	55.00	0.00	55.00	90.0 49.50
11/20/2017	QGW035040	THUILOT, CHARLES	VUZIX CORP COM NEW	B	8,744.75	61.96	0.00	61.96	90.0 55.76
11/21/2017	QGW035040	THUILOT, CHARLES	VUZIX CORP COM NEW	B	14,421.00	185.00	0.00	185.00	90.0 166.50
11/21/2017	QGW035149	LEONARD, ROBERTA	SACHEM CAPITAL CORP COMMON SHARES	B	3,618.00	55.00	0.00	55.00	90.0 49.50
11/21/2017	QGW035156	LEONARD, JULIE	SACHEM CAPITAL CORP COMMON SHARES	B	9,315.00	228.00	0.00	228.00	90.0 205.20
11/07/2017	QGW035172	O'NEILL, RORY	FAT BRANDS INC COMMON STOCK	S	-6,205.08	85.00	0.00	85.00	90.0 76.50
11/17/2017	QGW035198	WULFF, HANS	SIRIUS XM HOLDINGS INC COM	B	16,500.00	212.85	0.00	212.85	90.0 191.57
11/08/2017	QGW035248	BELZ, ERIC	FAT BRANDS INC COMMON STOCK	S	-4,547.20	31.85	0.00	31.85	90.0 28.67
11/09/2017	QGW035248	BELZ, ERIC	FAT BRANDS INC COMMON STOCK	S	-4,732.80	33.15	0.00	33.15	90.0 29.84
11/02/2017	QGW035404	RICCA, MARIA	SACHEM CAPITAL CORP COMMON SHARES	B	9,525.10	115.00	0.00	115.00	90.0 103.50
11/27/2017	QGW035404	RICCA, MARIA	ARCONIC INC COM	S	-13,881.00	85.00	0.00	85.00	90.0 76.50
11/02/2017	QGW035529	AMENITA, FREDERICK	ALCOA CORPORATION COMMON STOCK	S	-2,563.03	60.00	0.00	60.00	90.0 54.00
11/02/2017	QGW035529	AMENITA, FREDERICK	ARCONIC INC COM	S	-4,111.61	92.00	0.00	92.00	90.0 82.80
11/24/2017	QGW035537	LYDEN, MARY	VUZIX CORP COM NEW	B	27,000.00	290.00	0.00	290.00	90.0 261.00
11/20/2017	QGW035594	DUSATKO, ANNE	MANHATTAN BRDG CAP INC COM	S	-6.00	0.05	0.00	0.05	90.0 0.05
11/07/2017	QGW035602	MURPHY, CHRISTIAN	FAT BRANDS INC COMMON STOCK	S	-6,160.00	70.00	0.00	70.00	90.0 63.00
11/07/2017	QGW035602	MURPHY, CHRISTIAN	PAYPAL HOLDINGS INC COM	B	6,028.01	70.00	0.00	70.00	90.0 63.00
11/13/2017	QGW035602	MURPHY, CHRISTIAN	PAYPAL HOLDINGS INC COM	B	8,065.69	70.00	0.00	70.00	90.0 63.00
11/20/2017	QGW035636	SEIDEL, ANNE	OPKO HEALTH INC	S	-9,643.20	50.00	0.00	50.00	90.0 45.00
11/20/2017	QGW035636	SEIDEL, ANNE	VUZIX CORP COM NEW	B	11,240.38	85.00	0.00	85.00	90.0 76.50
11/20/2017	QGW035685	EICHENHOLZ, SONDR	ARCONIC INC COM	S	-784.86	29.00	0.00	29.00	90.0 26.10
11/20/2017	QGW035685	EICHENHOLZ, SONDR	VUZIX CORP COM NEW	B	13,450.00	85.00	0.00	85.00	90.0 76.50
11/22/2017	QGW035719	FAMILY 2011	FAT BRANDS INC COMMON STOCK	S	-17,910.00	85.00	0.00	85.00	90.0 76.50
11/22/2017	QGW035719	FAMILY 2011	OPKO HEALTH INC	S	-7,215.00	115.00	0.00	115.00	90.0 103.50
11/22/2017	QGW035719	FAMILY 2011	VUZIX CORP COM NEW	B	13,500.00	165.00	0.00	165.00	90.0 148.50
11/24/2017	QGW035768	MASSA, PATRICIA	OPKO HEALTH INC	B	19,500.00	251.55	0.00	251.55	90.0 226.40

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
11/07/2017	QGW035834	CHAUDHRY, JAHANZEB	FAT BRANDS INC COMMON STOCK	S	-26,400.00	195.00	0.00	195.00	90.0	175.50
11/20/2017	QGW035834	CHAUDHRY, JAHANZEB	VUZIX CORP COM NEW	B	50,625.00	355.00	0.00	355.00	90.0	319.50
11/24/2017	QGW035834	CHAUDHRY, JAHANZEB	OPKO HEALTH INC	B	26,000.00	286.00	0.00	286.00	90.0	257.40
11/07/2017	QGW035883	BUDKEVICS, YANA	FAT BRANDS INC COMMON STOCK	S	-6,209.70	50.00	0.00	50.00	90.0	45.00
11/28/2017	QGW035883	BUDKEVICS, YANA	SACHEM CAPITAL CORP COMMON SHARES	B	5,983.50	215.00	0.00	215.00	90.0	193.50
11/08/2017	QGW036063	PICCININNI,	GWG HLDGS INC COM	S	-30.30	0.23	0.00	0.23	90.0	0.21
11/09/2017	QGW036063	PICCININNI,	GWG HLDGS INC COM	S	-3,040.10	23.81	0.00	23.81	90.0	21.43
11/24/2017	QGW036097	RUANE, JOHN	SACHEM CAPITAL CORP COMMON SHARES	B	1,100.00	55.00	0.00	55.00	90.0	49.50
11/07/2017	QGW036105	ARDOLINO, SUSAN	SACHEM CAPITAL CORP COMMON SHARES	B	8,280.00	170.00	0.00	170.00	90.0	153.00
11/22/2017	QGW036154	CALLAHAN, PATRICK	ALCOA CORPORATION COMMON STOCK	S	-4,687.92	72.00	0.00	72.00	90.0	64.80
11/28/2017	QGW036170	STAPLES, CHARLES	FORD MOTOR CO PAR \$0.01	S	-12,085.00	105.00	0.00	105.00	90.0	94.50
11/28/2017	QGW036170	STAPLES, CHARLES	SACHEM CAPITAL CORP COMMON SHARES	B	15,978.00	395.00	0.00	395.00	90.0	355.50
11/28/2017	QGW036220	KOLLAR, RUTH	BELMOND LTD CL A SHS ISIN#BMG1154H1	S	-8,645.00	65.00	0.00	65.00	90.0	58.50
11/28/2017	QGW036220	KOLLAR, RUTH	HERTZ GLOBAL HLDGS INC NEW COM	S	-3,743.40	65.00	0.00	65.00	90.0	58.50
11/28/2017	QGW036220	KOLLAR, RUTH	RLJ LODGING TR COM	S	-5,481.33	60.00	0.00	60.00	90.0	54.00
11/20/2017	QGW036311	FAST, KENNETH	GWG HLDGS INC COM	S	-6,012.06	80.00	0.00	80.00	90.0	72.00
11/24/2017	QGW037087	01/19/2016, U/A	SACHEM CAPITAL CORP COMMON SHARES	B	4,010.00	85.00	0.00	85.00	90.0	76.50
11/07/2017	QGW037103	BURNS, KATHLEEN	FAT BRANDS INC COMMON STOCK	S	-10,833.60	50.00	0.00	50.00	90.0	45.00
11/07/2017	QGW037103	BURNS, KATHLEEN	SACHEM CAPITAL CORP COMMON SHARES	B	14,305.90	188.00	0.00	188.00	90.0	169.20
11/17/2017	QGW037103	BURNS, KATHLEEN	COHERUS BIOSCIENCES INC COM	B	25,000.00	275.00	0.00	275.00	90.0	247.50
11/20/2017	QGW037103	BURNS, KATHLEEN	VUZIX CORP COM NEW	B	33,737.50	155.00	0.00	155.00	90.0	139.50
11/24/2017	QGW038556	LAPINTA, LEONARD	OPKO HEALTH INC	B	19,500.00	251.55	0.00	251.55	90.0	226.40
* STOCKS SUBTOTAL *					\$197,150.55	\$6,247.00	\$0.00	\$6,247.00		\$5,622.33
PRODUCT CATEGORY: OPTIONS										
11/20/2017	QGW031783	JACKSON, FRANK	CALL 100 TWITTER INC COM EXP 12-15-	S	-480.00	45.00	14.50	30.50	90.0	26.00
11/02/2017	QGW033441	MURPHY, BREANNE	PUT 100 VUZIX CORP COM NEW EXP 04-2	S	-2,610.00	99.00	16.50	82.50	90.0	72.60
11/09/2017	QGW034415	CHAIMOVITCH, BERNARD	CALL 100 VUZIX CORP COM NEW EXP 04-	S	-500.00	45.00	17.00	28.00	90.0	23.50
11/21/2017	QGW034415	CHAIMOVITCH, BERNARD	CALL 100 BANK AMER CORP COM EXP 01-	S	-530.00	50.00	14.50	35.50	90.0	30.50
11/28/2017	QGW035040	THUILOT, CHARLES	CALL 100 SNAP INC CL A EXP 01-19-18	S	-435.00	39.00	15.75	23.25	90.0	19.35
11/07/2017	QGW035123	BOWLEY, KEVIN	CALL 100 TRANSOCEAN LTD REG SHS ISI	S	-390.00	43.00	15.75	27.25	90.0	22.95
11/21/2017	QGW035172	O'NEILL, RORY	CALL 100 TWITTER INC COM EXP 12-15-	S	-240.00	31.00	13.50	17.50	90.0	14.40
11/28/2017	QGW035172	O'NEILL, RORY	CALL 100 BANK AMER CORP COM EXP 01-	S	-430.00	45.00	14.50	30.50	90.0	26.00
11/13/2017	QGW035198	WULFF, HANS	CALL 100 VUZIX CORP COM NEW EXP 04-	S	-800.00	83.00	17.00	66.00	90.0	57.70
11/28/2017	QGW035198	WULFF, HANS	CALL 100 BANK AMER CORP COM EXP 01-	S	-645.00	69.00	15.75	53.25	90.0	46.35
11/13/2017	QGW035206	SKAHILL, ROBERT	CALL 100 VUZIX CORP COM NEW EXP 04-	S	-800.00	83.00	17.00	66.00	90.0	57.70
11/27/2017	QGW035214	BIANCO, BARBARA	CALL 100 TWITTER INC COM EXP 01-19-	S	-580.00	59.00	14.50	44.50	90.0	38.60
11/27/2017	QGW035214	BIANCO, BARBARA	PUT 100 VUZIX CORP COM NEW EXP 04-2	S	-700.00	71.00	14.50	56.50	90.0	49.40
11/01/2017	QGW035248	BELZ, ERIC	CALL 100 TRANSOCEAN LTD REG SHS ISI	S	-300.00	29.00	15.75	13.25	90.0	10.35
11/07/2017	QGW035255	BROCHARD, MARIA	PUT 100 VUZIX CORP COM NEW EXP 04-2	S	-840.00	89.00	13.50	75.50	90.0	66.60

COMMISSION STATEMENT for RICHARD BELZ

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
11/13/2017	QGW035255 BROCHARD, MARIA	CALL 100 VUZIX CORP COM NEW EXP 04- S		-800.00	81.00	17.00	64.00	90.0	55.90
11/28/2017	QGW035255 BROCHARD, MARIA	CALL 100 BANK AMER CORP COM EXP 01- S		-645.00	79.00	15.75	63.25	90.0	55.35
11/28/2017	QGW035347 MODUGNO, ROCCO	CALL 100 SNAP INC CL A EXP 01-19-18 S		-310.00	31.00	14.50	16.50	90.0	13.40
11/01/2017	QGW035362 MOON, STEVEN	CALL 100 TRANSOCEAN LTD REG SHS ISI S		-171.00	35.00	16.75	18.25	90.0	14.75
11/01/2017	QGW035404 RICCA, MARIA	PUT 100 VUZIX CORP COM NEW EXP 01-1 S		-1,800.00	99.00	17.00	82.00	90.0	72.10
11/07/2017	QGW035404 RICCA, MARIA	CALL 100 TWITTER INC COM EXP 12-15- S		-192.00	25.00	13.00	12.00	90.0	9.50
10/30/2017	QGW035511 LYDEN, MARY	CALL 100 SNAP INC CL A EXP 11-17-17 S		900.00	-95.00	-14.50	-80.50	90.0	-71.00 C
11/07/2017	QGW035511 LYDEN, MARY	CALL 100 TRANSOCEAN LTD REG SHS ISI S		-620.00	62.00	17.00	45.00	90.0	38.80
11/13/2017	QGW035511 LYDEN, MARY	CALL 100 VUZIX CORP COM NEW EXP 04- S		-1,000.00	99.00	18.25	80.75	90.0	70.85
11/07/2017	QGW035529 AMENITA, FREDERICK	PUT 100 VUZIX CORP COM NEW EXP 04-2 S		-2,610.00	99.00	16.50	82.50	90.0	72.60
11/21/2017	QGW035545 KMIECIAK, INES	CALL 100 TWITTER INC COM EXP 12-15- S		-960.00	99.00	18.00	81.00	90.0	71.10
11/21/2017	QGW035545 KMIECIAK, INES	CALL 100 TWITTER INC COM EXP 12-15- S		960.00	-99.00	-18.00	-81.00	90.0	-71.10 C
11/21/2017	QGW035545 KMIECIAK, INES	CALL 100 TWITTER INC COM EXP 12-15- S		-960.00	99.00	18.00	81.00	90.0	71.10
11/28/2017	QGW035552 KMIECIAK, ZBIGNIEW	CALL 100 BANK AMER CORP COM EXP 01- S		-440.00	45.00	14.50	30.50	90.0	26.00
11/20/2017	QGW035594 DUSATKO, ANNE	PUT 100 JD COM INC SPONS ADR REPSTG S		-1,040.00	99.00	14.50	84.50	90.0	74.60
11/28/2017	QGW035594 DUSATKO, ANNE	CALL 100 BANK AMER CORP COM EXP 01- S		-720.00	79.00	15.75	63.25	90.0	55.35
11/28/2017	QGW035594 DUSATKO, ANNE	CALL 100 SNAP INC CL A EXP 01-19-18 S		-348.00	36.00	15.00	21.00	90.0	17.40
11/22/2017	QGW035636 SEIDEL, ANNE	CALL 100 VUZIX CORP COM NEW EXP 01- S		-560.00	48.00	16.00	32.00	90.0	27.20
11/01/2017	QGW035644 MONGELUZZI, LINDA	CALL 100 TRANSOCEAN LTD REG SHS ISI S		-285.00	25.00	15.75	9.25	90.0	6.75
11/20/2017	QGW035685 EICHENHOLZ, SONDR	PUT 100 JD COM INC SPONS ADR REPSTG S		-1,020.00	99.00	14.50	84.50	90.0	74.60
11/27/2017	QGW035685 EICHENHOLZ, SONDR	CALL 100 VUZIX CORP COM NEW EXP 01- S		-400.00	41.00	17.00	24.00	90.0	19.90
11/27/2017	QGW035693 MASSA, WILLIAM	CALL 100 BANK AMER CORP COM EXP 01- S		-602.00	68.00	15.50	52.50	90.0	45.70
11/21/2017	QGW035701 SZARKA, MICHAEL	CALL 100 VUZIX CORP COM NEW EXP 04- S		-1,400.00	99.00	17.00	82.00	90.0	72.10
11/28/2017	QGW035701 SZARKA, MICHAEL	CALL 100 BANK AMER CORP COM EXP 01- S		-430.00	45.00	14.50	30.50	90.0	26.00
11/28/2017	QGW035727 HERDTER, CYNTHIA	CALL 100 BANK AMER CORP COM EXP 01- S		-470.00	50.00	14.50	35.50	90.0	30.50
11/08/2017	QGW035735 STELLATO, MICHAEL	CALL 100 TRANSOCEAN LTD REG SHS ISI S		-640.00	65.00	17.00	48.00	90.0	41.50
11/13/2017	QGW035735 STELLATO, MICHAEL	CALL 100 BANK OF AMERICA CORPORATIO S		-110.00	21.00	14.50	6.50	90.0	4.40
11/28/2017	QGW035735 STELLATO, MICHAEL	CALL 100 BANK AMER CORP COM EXP 01- S		-460.00	50.00	14.50	35.50	90.0	30.50
11/01/2017	QGW035768 MASSA, PATRICIA	CALL 100 TRANSOCEAN LTD REG SHS ISI S		-420.00	41.00	17.00	24.00	90.0	19.90
11/13/2017	QGW035768 MASSA, PATRICIA	CALL 100 VUZIX CORP COM NEW EXP 04- S		-400.00	40.00	14.50	25.50	90.0	21.50
11/15/2017	QGW035768 MASSA, PATRICIA	CALL 100 BANK OF AMERICA CORPORATIO S		-294.00	33.00	17.25	15.75	90.0	12.45
11/21/2017	QGW035768 MASSA, PATRICIA	CALL 100 BANK AMER CORP COM EXP 01- S		-1,113.00	99.00	17.25	81.75	90.0	71.85
11/21/2017	QGW035768 MASSA, PATRICIA	CALL 100 BANK AMER CORP COM EXP 01- S		1,113.00	-99.00	-17.25	-81.75	90.0	-71.85 C
11/21/2017	QGW035768 MASSA, PATRICIA	CALL 100 BANK AMER CORP COM EXP 01- S		-1,113.00	99.00	17.25	81.75	90.0	71.85
11/01/2017	QGW035776 ZIMMERMAN, FRANCINE	PUT 100 VUZIX CORP COM NEW EXP 01-1 S		-2,000.00	99.00	17.00	82.00	90.0	72.10
11/01/2017	QGW035776 ZIMMERMAN, FRANCINE	PUT 100 VUZIX CORP COM NEW EXP 11-1 S		-1,200.00	99.00	17.00	82.00	90.0	72.10
11/28/2017	QGW035776 ZIMMERMAN, FRANCINE	CALL 100 BANK AMER CORP COM EXP 01- S		-460.00	50.00	14.50	35.50	90.0	30.50
11/07/2017	QGW035784 SHEEHAN, DAVID	CALL 100 TWITTER INC COM EXP 12-15- S		-360.00	39.00	14.00	25.00	90.0	21.10
11/17/2017	QGW035784 SHEEHAN, DAVID	CALL 100 VUZIX CORP COM NEW EXP 04- S		-1,300.00	99.00	17.00	82.00	90.0	72.10
11/28/2017	QGW035792 NOLTE, DONNA	CALL 100 BANK AMER CORP COM EXP 01- S		-460.00	50.00	14.50	35.50	90.0	30.50

COMMISSION STATEMENT for RICHARD BELZ

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
11/13/2017	QGW035800	SHEEHAN, MARY	CALL 100 BANK OF AMERICA CORPORATIO S	-110.00	20.00	14.50	5.50	90.0	3.50
11/28/2017	QGW035800	SHEEHAN, MARY	CALL 100 BANK AMER CORP COM EXP 01- S	-460.00	44.00	14.50	29.50	90.0	25.10
11/22/2017	QGW035834	CHAUDHRY, JAHANZEB	CALL 100 VUZIX CORP COM NEW EXP 04- S	-1,080.00	71.28	21.00	50.28	90.0	43.15
11/01/2017	QGW035842	SZABO, JOSEPH	PUT 100 VUZIX CORP COM NEW EXP 01-1 S	-950.00	96.00	14.50	81.50	90.0	71.90
11/28/2017	QGW035859	SZABO, JOSEPH	CALL 100 BANK AMER CORP COM EXP 01- S	-376.00	35.00	14.00	21.00	90.0	17.50
11/27/2017	QGW035917	BOVE, DOMINICK	CALL 100 BANK AMER CORP COM EXP 01- S	-860.00	89.00	17.00	72.00	90.0	63.10
11/14/2017	QGW035982	PANASUK, JOHN	CALL 100 VUZIX CORP COM NEW EXP 04- S	-900.00	89.00	17.00	72.00	90.0	63.10
11/20/2017	QGW035990	HERDTER, RICHARD	PUT 100 JD COM INC SPONS ADR REPSTG S	-1,090.00	99.00	14.50	84.50	90.0	74.60
11/27/2017	QGW036030	BALLO, CATHERINE	PUT 100 VUZIX CORP COM NEW EXP 07-2 S	-2,300.00	99.00	17.00	82.00	90.0	72.10
11/02/2017	QGW036055	MATACOTTA, CORINNA	PUT 100 VUZIX CORP COM NEW EXP 04-2 S	-2,850.00	118.75	16.75	102.00	90.0	90.13
11/09/2017	QGW036055	MATACOTTA, CORINNA	CALL 100 TWITTER INC COM EXP 12-15- S	-320.00	32.00	14.50	17.50	90.0	14.30
11/27/2017	QGW036089	HENNEMANN, PATRICIA	PUT 100 VUZIX CORP COM NEW EXP 07-2 S	-2,100.00	99.00	17.00	82.00	90.0	72.10
11/07/2017	QGW036105	ARDOLINO, SUSAN	CALL 100 TRANSOCEAN LTD REG SHS ISI S	-150.00	28.00	13.50	14.50	90.0	11.70
11/22/2017	QGW036105	ARDOLINO, SUSAN	PUT 100 VUZIX CORP COM NEW EXP 07-2 S	-1,050.00	99.00	14.50	84.50	90.0	74.60
11/28/2017	QGW036105	ARDOLINO, SUSAN	CALL 100 BANK AMER CORP COM EXP 01- S	-430.00	48.00	14.50	33.50	90.0	28.70
11/28/2017	QGW036170	STAPLES, CHARLES	CALL 100 BANK AMER CORP COM EXP 01- S	-470.00	49.00	14.50	34.50	90.0	29.60
11/01/2017	QGW036279	MIKO, ARTHUR	CALL 100 TRANSOCEAN LTD REG SHS ISI S	-551.00	55.00	16.75	38.25	90.0	32.75
10/30/2017	QGW036311	FAST, KENNETH	CALL 100 SNAP INC CL A EXP 11-17-17 S	-900.00	95.00	14.50	80.50	90.0	71.00
11/07/2017	QGW036329	WOLF, KIM	CALL 100 TRANSOCEAN LTD REG SHS ISI S	-580.00	55.00	17.00	38.00	90.0	32.50
11/07/2017	QGW036329	WOLF, KIM	PUT 100 VUZIX CORP COM NEW EXP 04-2 S	-1,400.00	99.00	14.50	84.50	90.0	74.60
11/07/2017	QGW036337	FARREN, JOSEPHINE	CALL 100 TWITTER INC COM EXP 12-15- S	-288.00	31.00	13.50	17.50	90.0	14.40
11/07/2017	QGW036386	FRANCK, RACHEL	CALL 100 TWITTER INC COM EXP 12-15- S	-310.00	31.00	14.50	16.50	90.0	13.40
11/22/2017	QGW036725	CIRNIGLIARO,	PUT 100 VUZIX CORP COM NEW EXP 01-1 S	-610.00	79.00	22.00	57.00	90.0	49.10
11/07/2017	QGW036956	BROCHARD, THOMAS	CALL 100 TWITTER INC COM EXP 12-15- S	-300.00	31.00	14.50	16.50	90.0	13.40
11/01/2017	QGW037087	01/19/2016, U/A	PUT 100 VUZIX CORP COM NEW EXP 01-1 S	-2,100.00	99.00	17.00	82.00	90.0	72.10
11/22/2017	QGW037103	BURNS, KATHLEEN	CALL 100 VUZIX CORP COM NEW EXP 07- S	-2,000.00	99.00	24.50	74.50	90.0	64.60
11/27/2017	QGW037103	BURNS, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 07-2 S	-2,300.00	99.00	17.00	82.00	90.0	72.10
11/15/2017	QGW038556	LAPINTA, LEONARD	PUT 100 VUZIX CORP COM NEW EXP 04-2 S	-475.00	24.75	13.25	11.50	90.0	9.03
11/20/2017	QGW038556	LAPINTA, LEONARD	PUT 100 JD COM INC SPONS ADR REPSTG S	-1,060.00	99.00	14.50	84.50	90.0	74.60
* OPTIONS SUBTOTAL *				\$-63,790.00	\$5,025.78	\$1,232.50	\$3,793.28		\$3,290.71
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
11/30/2017	(None)	VARIOUS, BELZ	GWG HOLDING	B	0.00	650.00	12.00	638.00	573.00
11/30/2017	(None)	VARIOUS, BELZ	GWG HOLDING	B	0.00	2,400.00	12.00	2,388.00	2,148.00
11/30/2017	(None)	VARIOUS, BELZ	JOHN HANCOCK	B	0.00	9.39	12.00	-2.61	-3.55
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$3,059.39	\$36.00	\$3,023.39		\$2,717.45

COMMISSION STATEMENT for RICHARD BELZ

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MISCELLANEOUS</u>									
11/15/2017	VARIOUS, BELZ	OPPENHEIMER	B	0.00	1,089.93	12.00	1,077.93	90.0	968.94
		* MISCELLANEOUS SUBTOTAL *		\$0.00	\$1,089.93	\$12.00	\$1,077.93		\$968.94
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/31/2017	000000000055499	SAVELIS, LAILA FRANKLIN/TEMPLETON FUNDS 353533763	B	0.00	14.12	0.00	14.12	90.0	12.71
10/31/2017	0000000000258208	HEUBISH, LAURA FRK TEMP COREFOLIO ALLOC FND CL - C B		0.00	18.60	0.00	18.60	90.0	16.74
10/31/2017	0000000000277071	RICCA, MARIA FRANKLIN/TEMPLETON FUNDS 88019R732	B	0.00	6.99	0.00	6.99	90.0	6.29
10/31/2017	0000000000361788	INVESTMENTS, FRANKLIN/TEMPLETON FUNDS 88019R732	B	0.00	12.67	0.00	12.67	90.0	11.40
10/31/2017	0000000000426914	T/O/D FRANKLIN NEW YORK TAX FREE CLASS C	B	0.00	6.03	0.00	6.03	90.0	5.43
10/31/2017	0000000000888774	COLEMAN, FRK AGGRESSIVE GRWTH - CL A	B	0.00	14.62	0.00	14.62	90.0	13.16
10/31/2017	00000000002077360	LOEBER, MUTUAL DISC FND - CL A	B	0.00	8.14	0.00	8.14	90.0	7.33
10/31/2017	00000000002577132	OTTO, DAVID FRANKLIN SMALL-MID CAP GROWTH FUND	B	0.00	406.32	0.00	406.32	90.0	365.69
10/31/2017	00000000003359989	HEUBISH, FRK TEMP FOUNDING FUNDS ALLOC FND C B		0.00	16.93	0.00	16.93	90.0	15.24
10/31/2017	00000000004328098	COLEMAN, FRK TEMP FOUNDING FUNDS ALLOC FND C B		0.00	43.43	0.00	43.43	90.0	39.09
10/31/2017	00000000004468094	COLEMAN, MUTUAL DISC FND - CL A	B	0.00	17.51	0.00	17.51	90.0	15.76
10/31/2017	00000000005055304	SULLIVAN, MUTUAL DISC FND - CL A	B	0.00	12.20	0.00	12.20	90.0	10.98
10/31/2017	00000000008022865	RICCA, MARIA TEMP DEV MRKTS TR FND - CL A	B	0.00	27.08	0.00	27.08	90.0	24.37
10/31/2017	00000000008954531	INVESTMENTS, MUTUAL DISC FND - CL A	B	0.00	15.81	0.00	15.81	90.0	14.23
10/31/2017	000003971304233	HEUBISH, TEMP GLOBAL SM CO FND - CL A	B	0.00	0.74	0.00	0.74	90.0	0.67
10/31/2017	000003971304245	HEUBISH, LAURA TEMP GLOBAL SM CO FND - CL A	B	0.00	0.74	0.00	0.74	90.0	0.67
10/31/2017	000004978738854	INVESTMENTS, TEMP FRGN FND - CL A	B	0.00	16.06	0.00	16.06	90.0	14.45
10/31/2017	000010151061192	KOWAL, WALTER FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	10.22	0.00	10.22	90.0	9.20
10/31/2017	000010162712627	JTTEN FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	41.94	0.00	41.94	90.0	37.75
10/31/2017	000010162808557	JTTEN FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	0.73	0.00	0.73	90.0	0.66
10/31/2017	000010165978787	CHAN, MARGIE FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	15.69	0.00	15.69	90.0	14.12
10/31/2017	000010166165101	TREZZA, FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	16.88	0.00	16.88	90.0	15.19
10/31/2017	000010166317332	ROBBINS, JAMES FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	3.70	0.00	3.70	90.0	3.33
10/31/2017	000010166460031	LEICHNER, FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	14.14	0.00	14.14	90.0	12.73
10/31/2017	000010166514456	VALENTI, FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	61.88	0.00	61.88	90.0	55.69
10/31/2017	000010166566645	MAUCELI, PAUL FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	1.06	0.00	1.06	90.0	0.95
10/31/2017	000010169430031	SILVERMAN, FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	8.62	0.00	8.62	90.0	7.76
10/31/2017	000010182629462	TREZZA, JOANN FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	9.36	0.00	9.36	90.0	8.42
10/31/2017	000010182882303	FUSCO, CAROL FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	1.39	0.00	1.39	90.0	1.25
10/31/2017	000010183914378	TEN, JT FRANKLIN U.S. GOVERNMENT SECURITIES	B	0.00	3.16	0.00	3.16	90.0	2.84
10/31/2017	000011501729106	KOWAL, WALTER FRANKLIN NEW YORK TAX-FREE INCOME F	B	0.00	6.89	0.00	6.89	90.0	6.20
10/31/2017	000011502696714	FERRADO, FRANKLIN NEW YORK TAX-FREE INCOME F	B	0.00	0.93	0.00	0.93	90.0	0.84
10/31/2017	000011502716492	CHAN, MARGIE FRANKLIN NEW YORK TAX-FREE INCOME F	B	0.00	54.39	0.00	54.39	90.0	48.95
10/31/2017	000011515879705	GRIFFIN, FRANKLIN NEW YORK TAX-FREE INCOME F	B	0.00	0.31	0.00	0.31	90.0	0.28
10/31/2017	000011516945378	INVESTMENTS, FRANKLIN NEW YORK TAX-FREE INCOME F	B	0.00	1.58	0.00	1.58	90.0	1.42
10/31/2017	000015812450173	LOEBER, FRANKLIN RISING DIVIDENDS FD CLASS	B	0.00	7.46	0.00	7.46	90.0	6.71

COMMISSION STATEMENT for RICHARD BELZ

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/31/2017	000015813591680	SAVELIS, LAILA	FRANKLIN RISING DIVIDENDS FD CLASS B	0.00	14.03	0.00	14.03	90.0	12.63
10/31/2017	000015815003585	RICCA, MARIA	FRANKLIN RISING DIVIDENDS FD CLASS B	0.00	6.91	0.00	6.91	90.0	6.22
10/31/2017	000019411906629	COLEMAN,	FRK STRAT INC FND - CL A B	0.00	11.22	0.00	11.22	90.0	10.10
10/31/2017	000019812558017	VERALDI,	FRANKLIN SMALL-MID CAP GROWTH FUND B	0.00	2.72	0.00	2.72	90.0	2.45
10/31/2017	000019818164030	HEUBISH,	FRANKLIN SMALL-MID CAP GROWTH FUND B	0.00	0.71	0.00	0.71	90.0	0.64
10/31/2017	000019818164067	HEUBISH, LAURA	FRANKLIN SMALL-MID CAP GROWTH FUND B	0.00	0.71	0.00	0.71	90.0	0.64
10/31/2017	000090230176100	SULLIVAN,	FRANKLIN INCOME FUND CLASS A B	0.00	7.20	0.00	7.20	90.0	6.48
11/13/2017	QGW031783	JACKSON, FRANK	FRANKLIN GROWTH FUND CLASS A B	0.00	4.10	0.00	4.10	90.0	3.69
11/16/2017	QGW034035	FAMILY 2012 IRREV	PUTNAM 746745207 B	0.00	21.79	0.00	21.79	90.0	19.61
11/16/2017	QGW034035	FAMILY 2012 IRREV	PUTNAM 746802511 B	0.00	10.27	0.00	10.27	90.0	9.24
11/16/2017	QGW035503	SIMPSON, DAVID	GLOBAL OPPORTUNITIES A B	0.00	1.10	0.00	1.10	90.0	0.99
11/09/2017	QGW036774	STOCKWELL, GLENN	ALLIANCEBERNSTEIN GROWTH AND INC A B	0.00	4.08	0.00	4.08	90.0	3.67
11/09/2017	QGW036774	STOCKWELL, GLENN	ALLIANCEBERNSTEIN LARGE-CAP GROWTH B	0.00	11.36	0.00	11.36	90.0	10.22
11/22/2017	QGW036774	STOCKWELL, GLENN	DREYFUS RESH GROWTH FD INC SHS CL A B	0.00	9.39	0.00	9.39	90.0	8.45
11/16/2017	QGW036980	MARCOLINI, COREY	ROCHESTER FUND MUNICIPALS A B	0.00	20.58	0.00	20.58	90.0	18.52
11/20/2017	QGW037111	GILMARTIN, MARGARET	CAPITAL INCOME BUILDER-A B	0.00	2.12	0.00	2.12	90.0	1.91
11/20/2017	QGW037111	GILMARTIN, MARGARET	PRINCIPAL PREFERRED SECURITIES FUND B	0.00	1.30	0.00	1.30	90.0	1.17
11/20/2017	QGW037111	GILMARTIN, MARGARET	THE HARTFORD BALANCED INCOME FUND C B	0.00	1.97	0.00	1.97	90.0	1.77
11/20/2017	QGW037129	GILMARTIN, MARGARET	PRINCIPAL PREFERRED SECURITIES FUND B	0.00	5.27	0.00	5.27	90.0	4.74
11/20/2017	QGW037129	GILMARTIN, MARGARET	THE HARTFORD CAPITAL APPRECIATION F B	0.00	5.33	0.00	5.33	90.0	4.80
11/20/2017	QGW038002	WICKERS, SCOTT	FIDELITY ADVISOR BALANCED CLASS A B	0.00	2.81	0.00	2.81	90.0	2.53
11/20/2017	QGW038002	WICKERS, SCOTT	FIDELITY ADVISOR EQUITY INCOME CL A B	0.00	2.96	0.00	2.96	90.0	2.66
11/22/2017	QGW038002	WICKERS, SCOTT	BLACKROCK HIGH YIELD BOND FUND CLAS B	0.00	1.73	0.00	1.73	90.0	1.56
11/22/2017	QGW038002	WICKERS, SCOTT	BLACKROCK BASIC VALUE FUND INC CLAS B	0.00	3.33	0.00	3.33	90.0	3.00
11/22/2017	QGW038002	WICKERS, SCOTT	BLACKROCK EMERGING MARKETS FUND, IN B	0.00	3.41	0.00	3.41	90.0	3.07
11/22/2017	QGW038002	WICKERS, SCOTT	BLACKROCK CAP APPRECIATION FD INC C B	0.00	3.81	0.00	3.81	90.0	3.43
11/22/2017	QGW038002	WICKERS, SCOTT	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	2.95	0.00	2.95	90.0	2.66
11/22/2017	QGW038002	WICKERS, SCOTT	BLACKROCK VALUE OPPORTUNITIES FUND B	0.00	1.44	0.00	1.44	90.0	1.30
11/22/2017	QGW038002	WICKERS, SCOTT	BLACKROCK SMALL CAP GROWTH FUND II B	0.00	1.50	0.00	1.50	90.0	1.35
11/22/2017	QGW038002	WICKERS, SCOTT	BLACKROCK STRATEGIC INCOME OPPORTUN B	0.00	1.41	0.00	1.41	90.0	1.27
11/16/2017	QGW038556	LAPINTA, LEONARD	GLOBAL FUND A B	0.00	13.19	0.00	13.19	90.0	11.87
11/16/2017	QGW038556	LAPINTA, LEONARD	GOLD & SPECIAL MINERALS A B	0.00	0.43	0.00	0.43	90.0	0.39
11/16/2017	QGW038556	LAPINTA, LEONARD	OPPENHEIMER DEVELOPING MARKETS CLAS B	0.00	6.77	0.00	6.77	90.0	6.09
11/16/2017	QGW038556	LAPINTA, LEONARD	QUEST VALUE A B	0.00	12.39	0.00	12.39	90.0	11.15
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,098.61	\$0.00	\$1,098.61		\$988.77
*** BROKER TRANSACTIONS TOTAL ***				\$141,666.22	\$16,840.49	\$2,204.50	\$14,635.99		\$12,951.90

COMMISSION STATEMENT for RICHARD BELZ

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

11/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
11/30/2017		OTHER: OTHER		0.00	0.00	0.00	0.00		-150.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-170.00

BROKER COMMISSION TOTALS

Broker Transactions	\$12,951.90
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-170.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-890.00
FINRA Assessment	\$-19.69
SIPC Assessment	\$-39.38

Check Amount	\$11,832.83
Year-to-date Earnings	\$11,832.83