

COMMISSION STATEMENT

January 31, 2018

EDWARD BYRNE

421 HANOVER CENTER ROAD

ETNA, NH 03750

BROKER #: 23

BRANCH: HOME OFFICE

COMMISSION STATEMENT for EDWARD BYRNE

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
12/28/2017	QGN005720	MARIO CAMARA		ENERGIOUS CORP COM	S	-31,397.20	400.00	17.00	383.00 75.0 283.00
12/28/2017	QGN005720	MARIO CAMARA		ENERGIOUS CORP COM	S	-25,840.72	354.03	17.00	337.03 75.0 248.52
12/28/2017	QGN005720	MARIO CAMARA		ENERGIOUS CORP COM	S	-59,010.10	593.73	17.00	576.73 75.0 428.30
12/29/2017	QGN005720	MARIO CAMARA		ENERGIOUS CORP COM	S	-32,500.00	412.34	17.00	395.34 75.0 292.26
12/29/2017	QGN005720	MARIO CAMARA		REGULUS THERAPEUTICS INC COM	B	7,277.20	161.00	17.00	144.00 75.0 103.75
01/05/2018	QGN005720	MARIO CAMARA		VUZIX CORP COM NEW	B	29,384.80	400.00	17.00	383.00 75.0 283.00
01/09/2018	QGN005720	MARIO CAMARA		REGULUS THERAPEUTICS INC COM	B	5,750.00	364.84	17.00	347.84 75.0 256.63
01/12/2018	QGN005720	MARIO CAMARA		ENERGIOUS CORP COM	B	29,850.00	423.65	17.00	406.65 75.0 300.74
01/22/2018	QGN005720	MARIO CAMARA		CATASYS INC COM PAR\$.0001 2017	B	24,742.00	559.46	17.00	542.46 75.0 402.60
01/23/2018	QGN005720	MARIO CAMARA		ENERGIOUS CORP COM	B	16,150.00	282.37	17.00	265.37 75.0 194.78
01/23/2018	QGN005720	MARIO CAMARA		VUZIX CORP COM NEW	S	-48,750.00	700.00	17.00	683.00 75.0 508.00
01/24/2018	QGN005720	MARIO CAMARA		VUZIX CORP COM NEW	S	-54,500.00	720.36	17.00	703.36 75.0 523.27
01/29/2018	QGN005720	MARIO CAMARA		VUZIX CORP COM NEW	B	44,250.00	500.00	17.00	483.00 75.0 358.00
12/29/2017	QGW031809	SABER, MARK		VUZIX CORP COM NEW	B	15,657.50	225.00	17.00	208.00 75.0 151.75
01/12/2018	QGW031809	SABER, MARK		ENERGIOUS CORP COM	B	9,929.00	175.57	17.00	158.57 75.0 114.68
01/17/2018	QGW031809	SABER, MARK		REGULUS THERAPEUTICS INC COM	B	6,607.50	130.00	17.00	113.00 75.0 80.50
01/19/2018	QGW031809	SABER, MARK		CATASYS INC COM PAR\$.0001 2017	B	9,200.00	254.36	17.00	237.36 75.0 173.77
01/23/2018	QGW031809	SABER, MARK		ENERGIOUS CORP COM	B	4,145.00	93.08	17.00	76.08 75.0 52.81
01/23/2018	QGW031809	SABER, MARK		VUZIX CORP COM NEW	S	-19,500.00	280.00	17.00	263.00 75.0 193.00
01/24/2018	QGW031809	SABER, MARK		VUZIX CORP COM NEW	S	-11,000.00	224.80	17.00	207.80 75.0 151.60
01/29/2018	QGW031809	SABER, MARK		VUZIX CORP COM NEW	B	17,392.60	200.00	17.00	183.00 75.0 133.00
01/08/2018	QGW031817	HU, CHRISTOPHER		ENERGIOUS CORP COM	B	6,993.00	75.00	17.00	58.00 75.0 39.25
01/08/2018	QGW031817	HU, CHRISTOPHER		NEONODE INC COM NEW	S	-6,800.00	100.00	17.00	83.00 75.0 58.00
01/12/2018	QGW031817	HU, CHRISTOPHER		ENERGIOUS CORP COM	B	3,963.56	76.64	17.00	59.64 75.0 40.48
01/12/2018	QGW031817	HU, CHRISTOPHER		NEONODE INC COM NEW	S	-3,700.00	50.00	17.00	33.00 75.0 20.50
12/28/2017	QGW031825	CARPENTER, BOBBY		ENERGIOUS CORP COM	S	-31,610.20	407.92	17.00	390.92 75.0 288.94
12/29/2017	QGW031825	CARPENTER, BOBBY		NEONODE INC COM NEW	S	-4,450.21	50.00	17.00	33.00 75.0 20.50
01/12/2018	QGW031825	CARPENTER, BOBBY		ENERGIOUS CORP COM	B	10,097.50	177.45	17.00	160.45 75.0 116.09
01/19/2018	QGW031825	CARPENTER, BOBBY		CATASYS INC COM PAR\$.0001 2017	B	-13,800.00	-355.46	-17.00	-338.46 75.0 -249.60 C
01/19/2018	QGW031825	CARPENTER, BOBBY		CATASYS INC COM PAR\$.0001 2017	B	13,800.00	355.46	17.00	338.46 75.0 249.60
01/19/2018	QGW031825	CARPENTER, BOBBY		CATASYS INC COM PAR\$.0001 2017	B	13,800.00	355.46	17.00	338.46 75.0 249.60

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
01/24/2018	QGW031825	CARPENTER, BOBBY	VUZIX CORP COM NEW	S	-54,500.00	720.36	17.00	703.36	75.0 523.27
01/29/2018	QGW031825	CARPENTER, BOBBY	VUZIX CORP COM NEW	B	44,000.00	500.00	17.00	483.00	75.0 358.00
12/28/2017	QGW031833	CASSADY REVOCABLE	ENERGOUS CORP COM	S	-11,410.02	184.67	17.00	167.67	75.0 121.50
01/12/2018	QGW031833	CASSADY REVOCABLE	ENERGOUS CORP COM	B	14,955.00	260.77	17.00	243.77	75.0 178.58
01/17/2018	QGW031833	CASSADY REVOCABLE	REGULUS THERAPEUTICS INC COM	B	13,215.00	260.00	17.00	243.00	75.0 178.00
01/23/2018	QGW031833	CASSADY REVOCABLE	ENERGOUS CORP COM	B	4,145.00	93.08	17.00	76.08	75.0 52.81
01/23/2018	QGW031833	CASSADY REVOCABLE	VUZIX CORP COM NEW	S	-24,375.00	350.00	17.00	333.00	75.0 245.50
01/24/2018	QGW031833	CASSADY REVOCABLE	CATASYS INC COM PAR\$.0001 2017	B	9,960.00	262.86	17.00	245.86	75.0 180.15
01/24/2018	QGW031833	CASSADY REVOCABLE	VUZIX CORP COM NEW	S	-21,400.00	323.62	17.00	306.62	75.0 225.72
01/24/2018	QGW031833	CASSADY REVOCABLE	VUZIX CORP COM NEW	S	-17,100.00	242.73	17.00	225.73	75.0 165.05
01/29/2018	QGW031833	CASSADY REVOCABLE	VUZIX CORP COM NEW	B	17,350.00	200.00	17.00	183.00	75.0 133.00
12/29/2017	QGW031874	LABOMBARD, JOYCE	ENERGOUS CORP COM	S	-3,276.00	56.63	17.00	39.63	75.0 25.47
01/18/2018	QGW031874	LABOMBARD, JOYCE	CATASYS INC COM PAR\$.0001 2017	B	2,290.41	78.87	17.00	61.87	75.0 42.15
01/18/2018	QGW031874	LABOMBARD, JOYCE	CATASYS INC COM PAR\$.0001 2017	B	4.55	0.15	17.00	-16.85	75.0 -16.89
01/23/2018	QGW031874	LABOMBARD, JOYCE	VUZIX CORP COM NEW	S	-2,437.50	35.00	17.00	18.00	75.0 9.25
01/24/2018	QGW031874	LABOMBARD, JOYCE	VUZIX CORP COM NEW	S	-1,650.00	50.00	17.00	33.00	75.0 20.50
01/29/2018	QGW031874	LABOMBARD, JOYCE	VUZIX CORP COM NEW	B	2,175.00	60.00	17.00	43.00	75.0 28.00
12/28/2017	QGW031882	MICKES, THOMAS	ENERGOUS CORP COM	S	-72,350.65	684.84	17.00	667.84	75.0 496.63
12/29/2017	QGW031882	MICKES, THOMAS	VUZIX CORP COM NEW	B	24,375.00	351.00	17.00	334.00	75.0 246.25
01/03/2018	QGW031882	MICKES, THOMAS	REGULUS THERAPEUTICS INC COM	B	11,782.00	150.00	17.00	133.00	75.0 95.50
01/12/2018	QGW031882	MICKES, THOMAS	ENERGOUS CORP COM	B	19,859.40	323.83	17.00	306.83	75.0 225.87
01/17/2018	QGW031882	MICKES, THOMAS	REGULUS THERAPEUTICS INC COM	B	19,822.50	390.00	17.00	373.00	75.0 275.50
01/19/2018	QGW031882	MICKES, THOMAS	CATASYS INC COM PAR\$.0001 2017	B	23,000.00	546.48	17.00	529.48	75.0 392.86
01/23/2018	QGW031882	MICKES, THOMAS	ENERGOUS CORP COM	B	16,580.00	287.18	17.00	270.18	75.0 198.39
01/23/2018	QGW031882	MICKES, THOMAS	VUZIX CORP COM NEW	S	-49,250.00	559.31	17.00	542.31	75.0 402.48
01/23/2018	QGW031882	MICKES, THOMAS	VUZIX CORP COM NEW	S	-98,000.00	1,400.00	17.00	1,383.00	75.0 1,033.00
01/23/2018	QGW031882	MICKES, THOMAS	VUZIX CORP COM NEW	S	49,250.00	-559.31	-17.00	-542.31	75.0 -402.48 C
01/24/2018	QGW031882	MICKES, THOMAS	VUZIX CORP COM NEW	S	-54,500.00	625.97	17.00	608.97	75.0 452.48
01/24/2018	QGW031882	MICKES, THOMAS	VUZIX CORP COM NEW	S	-57,000.00	625.97	17.00	608.97	75.0 452.48
01/29/2018	QGW031882	MICKES, THOMAS	VUZIX CORP COM NEW	B	44,250.00	500.00	17.00	483.00	75.0 358.00
01/18/2018	QGW031908	FINNegan, MICHAEL	CATASYS INC COM PAR\$.0001 2017	B	2,294.50	79.01	17.00	62.01	75.0 42.26
01/18/2018	QGW031908	FINNegan, MICHAEL	NEONODE INC COM NEW	S	-2,617.60	20.00	17.00	3.00	75.0 -2.00
01/12/2018	QGW031957	COLE, PHILLIP	ENERGOUS CORP COM	B	14,898.23	260.12	17.00	243.12	75.0 178.09
01/17/2018	QGW031957	COLE, PHILLIP	REGULUS THERAPEUTICS INC COM	B	6,607.50	130.00	17.00	113.00	75.0 80.50
01/19/2018	QGW031957	COLE, PHILLIP	CATASYS INC COM PAR\$.0001 2017	B	23,000.00	546.48	17.00	529.48	75.0 392.86
01/23/2018	QGW031957	COLE, PHILLIP	ENERGOUS CORP COM	B	4,145.00	93.08	17.00	76.08	75.0 52.81
01/23/2018	QGW031957	COLE, PHILLIP	VUZIX CORP COM NEW	S	-29,250.00	420.00	17.00	403.00	75.0 298.00
01/24/2018	QGW031957	COLE, PHILLIP	VUZIX CORP COM NEW	S	-21,400.00	385.52	17.00	368.52	75.0 272.14
12/28/2017	QGW033680	CRONIN, MICHAEL	ENERGOUS CORP COM	S	-3,064.00	54.53	17.00	37.53	75.0 23.90
12/28/2017	QGW033680	CRONIN, MICHAEL	NEONODE INC COM NEW	S	-1,771.00	46.00	17.00	29.00	75.0 17.50

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
01/19/2018	QGW033680	CRONIN, MICHAEL		CATASYS INC COM PAR\$.0001 2017	B	4,600.00	65.00	17.00	48.00 75.0 31.75	
12/28/2017	QGW034928	CRONIN, IAN		ENERGOUS CORP COM	S	-3,014.12	54.04	17.00	37.04 75.0 23.53	
12/28/2017	QGW034928	CRONIN, IAN		NEONODE INC COM NEW	S	-3,972.71	103.00	17.00	86.00 75.0 60.25	
01/19/2018	QGW034928	CRONIN, IAN		CATASYS INC COM PAR\$.0001 2017	B	6,900.00	203.81	17.00	186.81 75.0 135.86	
01/18/2018	QGW896664	RF LAFFERTY & CO		RIOT BLOCKCHAIN INC COM	B	1,997.00	0.00	17.00	-17.00 75.0 -17.00	
01/18/2018	QGW896664	RF LAFFERTY & CO		RIOT BLOCKCHAIN INC COM	B	1,997.00	0.00	17.00	-17.00 75.0 -17.00	
01/18/2018	QGW896664	RF LAFFERTY & CO		RIOT BLOCKCHAIN INC COM	B	139.86	0.00	17.00	-17.00 75.0 -17.00	
01/18/2018	QGW896664	RF LAFFERTY & CO		RIOT BLOCKCHAIN INC COM	B	1,857.21	0.00	17.00	-17.00 75.0 -17.00	
01/18/2018	QGW896664	RF LAFFERTY & CO		RIOT BLOCKCHAIN INC COM	B	93,953.00	0.00	17.00	-17.00 75.0 -17.00	
* STOCKS SUBTOTAL *						\$-126,804.21	\$20,771.66	\$1,292.00	\$19,479.66	\$14,286.79
PRODUCT CATEGORY: OPTIONS										
01/18/2018	QGW031809	SABER, MARK		CALL 100 VUZIX CORP COM NEW EXP 01- S		-450.00	50.00	22.50	27.50 75.0 15.00	
01/19/2018	QGW031809	SABER, MARK		CALL 100 VUZIX CORP COM NEW EXP 01- S		-383.75	50.00	22.50	27.50 75.0 15.00	
01/24/2018	QGW031809	SABER, MARK		CALL 100 VUZIX CORP COM NEW EXP 04- S		-14,750.00	341.24	32.50	308.74 75.0 223.43	
01/29/2018	QGW031809	SABER, MARK		CALL 100 VUZIX CORP COM NEW EXP 10- B		5,250.00	259.89	35.00	224.89 75.0 159.92	
01/29/2018	QGW031833	CASSADY REVOCABLE		CALL 100 VUZIX CORP COM NEW EXP 10- B		5,250.00	259.89	35.00	224.89 75.0 159.92	
01/18/2018	QGW031882	MICKES, THOMAS		CALL 100 VUZIX CORP COM NEW EXP 01- S		-2,250.00	146.50	32.50	114.00 75.0 77.38	
01/19/2018	QGW031882	MICKES, THOMAS		CALL 100 VUZIX CORP COM NEW EXP 01- S		-1,918.75	133.00	32.50	100.50 75.0 67.25	
01/29/2018	QGW031882	MICKES, THOMAS		CALL 100 VUZIX CORP COM NEW EXP 10- B		8,750.00	398.37	45.00	353.37 75.0 253.78	
01/08/2018	QGW031908	FINNEGAN, MICHAEL		CALL 100 ENERGOUS CORP COM EXP 01-1 B		1,200.00	50.00	21.00	29.00 75.0 16.50	
01/18/2018	QGW031908	FINNEGAN, MICHAEL		CALL 100 VUZIX CORP COM NEW EXP 01- S		-450.00	50.00	22.50	27.50 75.0 15.00	
01/19/2018	QGW031908	FINNEGAN, MICHAEL		CALL 100 VUZIX CORP COM NEW EXP 01- S		-383.75	50.00	22.50	27.50 75.0 15.00	
01/19/2018	QGW031908	FINNEGAN, MICHAEL		CALL 100 VUZIX CORP COM NEW EXP 07- B		1,150.00	95.65	25.00	70.65 75.0 46.74	
12/29/2017	QGW031957	COLE, PHILLIP		CALL 100 ENERGOUS CORP COM EXP 01-1 S		-11,550.00	230.95	25.00	205.95 75.0 148.21	
12/29/2017	QGW031957	COLE, PHILLIP		CALL 100 ENERGOUS CORP COM EXP 01-1 S		-15,000.00	294.35	27.50	266.85 75.0 193.26	
01/18/2018	QGW031957	COLE, PHILLIP		CALL 100 VUZIX CORP COM NEW EXP 01- S		-2,250.00	146.50	32.50	114.00 75.0 77.38	
01/19/2018	QGW031957	COLE, PHILLIP		CALL 100 VUZIX CORP COM NEW EXP 01- S		-1,918.75	127.75	32.50	95.25 75.0 63.31	
01/29/2018	QGW031957	COLE, PHILLIP		CALL 100 VUZIX CORP COM NEW EXP 10- B		5,250.00	259.89	35.00	224.89 75.0 159.92	
* OPTIONS SUBTOTAL *						\$-24,455.00	\$2,943.98	\$501.00	\$2,442.98	\$1,707.00
*** BROKER TRANSACTIONS TOTAL ***						\$-151,259.21	\$23,715.64	\$1,793.00	\$21,922.64	\$15,993.79

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

01/31/2018	:			0.00	0.00	0.00	0.00		0.00
01/31/2018	OTHER: COMPLIANCE AND TECHNOLOGY			0.00	0.00	0.00	0.00		-20.00
01/31/2018	OTHER: OTHER-360 OFFICE			0.00	0.00	0.00	0.00		-8.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-28.00

BROKER COMMISSION TOTALS

Broker Transactions	\$15,993.79
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-28.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-150.00
FINRA Assessment	\$-29.64
SIPC Assessment	\$-59.29

Check Amount	\$15,726.86
Year-to-date Earnings	\$15,726.86