

COMMISSION STATEMENT

July 31, 2017

PHYLLIS FATTORUSO
89-40 151ST AVENUE
APT 5G
HOWARD BEACH, NY 11414

BROKER #: 53
BRANCH: HOME OFFICE

COMMISSION STATEMENT for PHYLLIS FATTORUSO

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>									
07/10/2017 (None)	VARIOUS, FATTORUSO	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	90.00	0.00	90.00	52.0	46.80
		* MUTUAL FUNDS SUBTOTAL *		\$0.00	\$90.00	\$0.00	\$90.00		\$46.80
<u>PRODUCT CATEGORY: STOCKS</u>									
07/17/2017 QGW007528	ASCHER, TERESA	VANECK VECTORS ETF TR GOLD MINERS E B		6,605.79	123.52	0.00	123.52	52.0	64.23
07/25/2017 QGW007528	ASCHER, TERESA	VANECK VECTORS ETF TR GOLD MINERS E S		-6,678.72	75.00	0.00	75.00	52.0	39.00
07/21/2017 QGW007700	SARNA, MARK	ANTARES PHARMA INC COM	B	9,086.10	150.00	0.00	150.00	52.0	78.00
07/21/2017 QGW007700	SARNA, MARK	BANK OF AMERICA CORP	B	42,000.00	100.00	0.00	100.00	52.0	52.00
07/21/2017 QGW007825	SARNA FAMILY LTD	ALIBABA GROUP HOLDING LTD SPONSORED B		390,000.00	150.00	0.00	150.00	52.0	78.00
07/21/2017 QGW007825	SARNA FAMILY LTD	APPLE INC	B	132,000.00	50.00	0.00	50.00	52.0	26.00
07/17/2017 QGW021784	ASCHER, TERESA	VANECK VECTORS ETF TR GOLD MINERS E B		6,605.79	123.52	0.00	123.52	52.0	64.23
07/25/2017 QGW021784	ASCHER, TERESA	VANECK VECTORS ETF TR GOLD MINERS E S		-6,678.72	75.00	0.00	75.00	52.0	39.00
07/17/2017 QGW021792	ASCHER, WAYNE	VANECK VECTORS ETF TR GOLD MINERS E B		6,605.79	123.52	0.00	123.52	52.0	64.23
07/25/2017 QGW021792	ASCHER, WAYNE	VANECK VECTORS ETF TR GOLD MINERS E S		-6,678.72	75.00	0.00	75.00	52.0	39.00
07/17/2017 QGW021800	SUZANNE A ASCHER	VANECK VECTORS ETF TR GOLD MINERS E B		6,605.79	123.52	0.00	123.52	52.0	64.23
07/25/2017 QGW021800	SUZANNE A ASCHER	VANECK VECTORS ETF TR GOLD MINERS E S		-6,678.72	75.00	0.00	75.00	52.0	39.00
07/17/2017 QGW022055	ASCHER, JOEL	VANECK VECTORS ETF TR GOLD MINERS E B		6,605.79	123.52	0.00	123.52	52.0	64.23
07/25/2017 QGW022055	ASCHER, JOEL	VANECK VECTORS ETF TR GOLD MINERS E S		-6,678.72	75.00	0.00	75.00	52.0	39.00
		* STOCKS SUBTOTAL *		\$572,721.45	\$1,442.60	\$0.00	\$1,442.60		\$750.15
<u>PRODUCT CATEGORY: OPTIONS</u>									
07/11/2017 QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 07- B		8,250.00	150.00	0.00	150.00	52.0	78.00
07/13/2017 QGW007700	SARNA, MARK	CALL 100 ARCONIC INC COM EXP 08-18- S		-6,400.00	40.00	0.00	40.00	52.0	20.80
07/13/2017 QGW007700	SARNA, MARK	CALL 100 ARCONIC INC COM EXP 08-18- S		6,400.00	-40.00	0.00	-40.00	52.0	-20.80 C
07/13/2017 QGW007700	SARNA, MARK	CALL 100 ARCONIC INC COM EXP 08-18- S		-6,400.00	40.00	0.00	40.00	52.0	20.80
07/14/2017 QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 08- B		1,097.50	15.00	0.00	15.00	52.0	7.80
07/17/2017 QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 08- B		3,840.00	90.00	0.00	90.00	52.0	46.80
07/18/2017 QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 08- B		5,700.00	90.00	0.00	90.00	52.0	46.80
07/21/2017 QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 08- B		12,989.60	260.00	0.00	260.00	52.0	135.20
07/21/2017 QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 07- S		-54,400.00	600.00	0.00	600.00	52.0	312.00
07/21/2017 QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 07- S		-5,040.00	90.00	0.00	90.00	52.0	46.80
07/21/2017 QGW007700	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 07- S		-3,450.00	100.00	0.00	100.00	52.0	52.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
07/21/2017	QGW007700	SARNA, MARK	CALL 100 MARATHON OIL CORP COM EXP B	7,420.80	120.00	0.00	120.00	52.0	62.40
07/21/2017	QGW007700	SARNA, MARK	CALL 100 SCHLUMBERGER LTD COM ISIN# B	2,400.00	30.00	0.00	30.00	52.0	15.60
07/21/2017	QGW007700	SARNA, MARK	CALL 100 SCHLUMBERGER LTD COM ISIN# S	-1,308.20	30.00	0.00	30.00	52.0	15.60
07/26/2017	QGW007700	SARNA, MARK	CALL 100 EAGLE PHARMACEUTICALS INC B	8,500.00	40.00	0.00	40.00	52.0	20.80
07/26/2017	QGW007700	SARNA, MARK	CALL 100 SCHLUMBERGER LTD COM ISIN# S	-8,000.00	40.00	0.00	40.00	52.0	20.80
07/28/2017	QGW007700	SARNA, MARK	CALL 100 SCHLUMBERGER LTD COM ISIN# S	-3,820.00	40.00	0.00	40.00	52.0	20.80
07/11/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 07- B	8,300.00	150.00	0.00	150.00	52.0	78.00
07/13/2017	QGW007825	SARNA FAMILY LTD	CALL 100 ARCONIC INC COM EXP 08-18- S	-6,400.00	40.00	0.00	40.00	52.0	20.80
07/13/2017	QGW007825	SARNA FAMILY LTD	CALL 100 ARCONIC INC COM EXP 08-18- S	6,400.00	-40.00	0.00	-40.00	52.0	-20.80 C
07/13/2017	QGW007825	SARNA FAMILY LTD	CALL 100 ARCONIC INC COM EXP 08-18- S	-6,400.00	40.00	0.00	40.00	52.0	20.80
07/14/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 08- B	1,097.50	15.00	0.00	15.00	52.0	7.80
07/17/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 08- B	6,400.00	150.00	0.00	150.00	52.0	78.00
07/18/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 08- B	5,730.00	90.00	0.00	90.00	52.0	46.80
07/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 08- B	12,989.60	260.00	0.00	260.00	52.0	135.20
07/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 07- S	-8,400.00	150.00	0.00	150.00	52.0	78.00
07/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 BANK AMER CORP COM EXP 07- S	-3,450.00	100.00	0.00	100.00	52.0	52.00
07/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 CHIPOTLE MEXICAN GRILL INC B	21,910.00	40.00	0.00	40.00	52.0	20.80
07/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 SCHLUMBERGER LTD COM ISIN# B	9,600.00	120.00	0.00	120.00	52.0	62.40
07/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 SCHLUMBERGER LTD COM ISIN# S	-5,232.80	120.00	0.00	120.00	52.0	62.40
07/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 UNITED STS STL CORP NEW CO S	-13,700.00	150.00	0.00	150.00	52.0	78.00
07/21/2017	QGW007825	SARNA FAMILY LTD	CALL 100 UNITED STS STL CORP NEW CO B	20,400.00	200.00	0.00	200.00	52.0	104.00
07/26/2017	QGW007825	SARNA FAMILY LTD	CALL 100 EAGLE PHARMACEUTICALS INC B	8,500.00	40.00	0.00	40.00	52.0	20.80
07/26/2017	QGW007825	SARNA FAMILY LTD	CALL 100 SCHLUMBERGER LTD COM ISIN# S	-8,000.00	40.00	0.00	40.00	52.0	20.80
07/28/2017	QGW007825	SARNA FAMILY LTD	CALL 100 SCHLUMBERGER LTD COM ISIN# S	-3,820.00	40.00	0.00	40.00	52.0	20.80
07/17/2017	QGW036618	SARNA, MARK	CALL 100 BANK AMER CORP COM EXP 08- B	1,280.00	30.00	0.00	30.00	52.0	15.60
* OPTIONS SUBTOTAL *				\$14,984.00	\$3,470.00	\$0.00	\$3,470.00		\$1,804.40
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/20/2017	QGW021909	MASSA, MARY	TRANSAMERICA MULTI-MANAGED BALANCED B	0.00	7.49	0.00	7.49	52.0	3.89
07/14/2017	QGW028755	SARNA, MARK	THORNBURG INVESTMENT INCOME BUILDER B	0.00	15.79	0.00	15.79	52.0	8.21
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$23.28	\$0.00	\$23.28		\$12.10
*** BROKER TRANSACTIONS TOTAL ***				\$587,705.45	\$5,025.88	\$0.00	\$5,025.88		\$2,613.45

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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

07/31/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00		-2,600.00
07/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-2,620.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,613.45
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-2,620.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$107.34
FINRA Assessment	\$-6.28
SIPC Assessment	\$-12.56

Check Amount	\$81.95
Year-to-date Earnings	\$2,732.48