

COMMISSION STATEMENT

October 31, 2017

MARTIN MCNEILL

25 Pineneck Avenue

Sag Harbor, NY 11963-

BROKER #: 78

BRANCH: HOME OFFICE

COMMISSION STATEMENT for MARTIN MCNEILL

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

09/28/2017	QGV001100	AND EDWARD FRENCH		AUTOHOME INC SPONSORED ADR REPST CL S	-29,846.00	73.00	0.00	73.00	40.0	29.20
09/28/2017	QGV001100	AND EDWARD FRENCH		INTRA-CELLULAR THERAPIES INC COM S	-7,555.30	73.00	0.00	73.00	40.0	29.20
10/02/2017	QGV001100	AND EDWARD FRENCH		BLUEBIRD BIO INC COM S	-24,610.00	73.00	0.00	73.00	40.0	29.20
10/03/2017	QGV001100	AND EDWARD FRENCH		THERAPEUTICSMD INC S	-5,000.20	73.00	0.00	73.00	40.0	29.20
10/03/2017	QGV001100	AND EDWARD FRENCH		VUZIX CORP COM NEW S	-5,250.00	73.00	0.00	73.00	40.0	29.20
10/04/2017	QGV001100	AND EDWARD FRENCH		BYD CO LTD ADR B	10,114.25	73.00	0.00	73.00	40.0	29.20
10/04/2017	QGV001100	AND EDWARD FRENCH		SHOPIFY INC CL A ISIN#CA82509L1076 S	-21,456.00	73.00	0.00	73.00	40.0	29.20
10/04/2017	QGV001100	AND EDWARD FRENCH		YY INC ADS REPSTG COM CL A ISIN#US9 B	17,527.88	73.00	0.00	73.00	40.0	29.20
10/06/2017	QGV001100	AND EDWARD FRENCH		MOLECULAR TEMPLATES INC COM B	8,274.81	73.00	0.00	73.00	40.0	29.20
10/09/2017	QGV001100	AND EDWARD FRENCH		ASURE SOFTWARE INC B	6,450.00	73.00	0.00	73.00	40.0	29.20
10/09/2017	QGV001100	AND EDWARD FRENCH		EDITAS MEDICINE INC COM B	7,758.00	73.00	0.00	73.00	40.0	29.20
10/09/2017	QGV001100	AND EDWARD FRENCH		MERITOR INC COM B	13,203.50	73.00	0.00	73.00	40.0	29.20
10/09/2017	QGV001100	AND EDWARD FRENCH		XG TECHNOLOGY INC COM PAR\$.00001 B	3,379.80	73.00	0.00	73.00	40.0	29.20
10/20/2017	QGV001100	AND EDWARD FRENCH		ASURE SOFTWARE INC S	-5,615.05	73.00	0.00	73.00	40.0	29.20
10/20/2017	QGV001100	AND EDWARD FRENCH		JUPAI HLDGS LTD ADS ISIN#US48205B10 B	27,346.60	73.00	0.00	73.00	40.0	29.20
10/20/2017	QGV001100	AND EDWARD FRENCH		KOPIN CORP S	-7,068.60	73.00	0.00	73.00	40.0	29.20
10/20/2017	QGV001100	AND EDWARD FRENCH		VUZIX CORP COM NEW S	-10,370.00	73.00	0.00	73.00	40.0	29.20
10/26/2017	QGV001100	AND EDWARD FRENCH		ATLASSIAN CORPORATION PLC CLASS A B	19,259.96	73.00	0.00	73.00	40.0	29.20
10/26/2017	QGV001100	AND EDWARD FRENCH		BEIGENE LTD SPONSORED ADR ISIN#US07 S	-23,936.46	73.00	0.00	73.00	40.0	29.20
10/26/2017	QGV001100	AND EDWARD FRENCH		EDITAS MEDICINE INC COM S	-6,555.00	73.00	0.00	73.00	40.0	29.20
10/26/2017	QGV001100	AND EDWARD FRENCH		KEMET CORP COM NEW S	-12,210.05	73.00	0.00	73.00	40.0	29.20
10/27/2017	QGV001100	AND EDWARD FRENCH		BYD CO LTD ADR S	-8,876.50	73.00	0.00	73.00	40.0	29.20
10/27/2017	QGV001100	AND EDWARD FRENCH		INTRA-CELLULAR THERAPIES INC COM S	-15,514.70	73.00	0.00	73.00	40.0	29.20
10/27/2017	QGV001100	AND EDWARD FRENCH		KRAKEN ROBOTICS INC COM ISIN#CA5007 B	7,010.00	120.00	0.00	120.00	40.0	48.00
10/27/2017	QGV001100	AND EDWARD FRENCH		MITEK SYS INC COM NEW S	-9,025.00	73.00	0.00	73.00	40.0	29.20
10/27/2017	QGV001100	AND EDWARD FRENCH		ROKU INC CLASS A COMMON STOCK B	5,753.64	73.00	0.00	73.00	40.0	29.20
10/27/2017	QGV001100	AND EDWARD FRENCH		SENSEONICS HLDGS INC COM B	5,760.00	73.00	0.00	73.00	40.0	29.20
10/27/2017	QGV001100	AND EDWARD FRENCH		VISTEON CORP COM NEW B	12,639.99	73.00	0.00	73.00	40.0	29.20
09/28/2017	QGV002439	YALINEWITZ, BOAZ		MOMO INC ADR S	-259,200.00	240.00	0.00	240.00	40.0	96.00
10/03/2017	QGW001943	CURTIN, RICHARD		AURCANA CORP COM NO PAR ISIN#CA0519 S	-250.00	75.00	0.00	75.00	40.0	30.00
10/03/2017	QGW001943	CURTIN, RICHARD		COMMERCE RES CORP COM S	-531.00	75.00	0.00	75.00	40.0	30.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
10/03/2017	QGW001943	CURTIN, RICHARD		EXCELLON RES INC COM NEW ISIN#CA300 S	-688.00	75.00	0.00	75.00	40.0 30.00
10/03/2017	QGW001943	CURTIN, RICHARD		GOLDEN MINERALS CO COM S	-284.16	75.00	0.00	75.00	40.0 30.00
10/03/2017	QGW001943	CURTIN, RICHARD		MCEWEN MINING INC S	-916.25	75.00	0.00	75.00	40.0 30.00
10/03/2017	QGW001943	CURTIN, RICHARD		QUATERRA RESOURCES INC S	-330.00	75.00	0.00	75.00	40.0 30.00
10/26/2017	QGW002180	FRENCH, JOHN		KRAKEN ROBOTICS INC COM ISIN#CA5007 B	710.00	18.25	0.00	18.25	40.0 7.30
10/26/2017	QGW002180	FRENCH, JOHN		KRAKEN ROBOTICS INC COM ISIN#CA5007 B	1,554.30	40.15	0.00	40.15	40.0 16.06
10/26/2017	QGW002180	FRENCH, JOHN		KRAKEN ROBOTICS INC COM ISIN#CA5007 B	565.20	14.60	0.00	14.60	40.0 5.84
10/26/2017	QGW002180	FRENCH, JOHN		NEOS THERAPEUTICS INC COM S	-5,112.50	73.00	0.00	73.00	40.0 29.20
10/27/2017	QGW002180	FRENCH, JOHN		EXACT SCIENCES CORP B	10,241.60	73.00	0.00	73.00	40.0 29.20
10/27/2017	QGW002180	FRENCH, JOHN		MITEK SYS INC COM NEW S	-9,013.60	73.00	0.00	73.00	40.0 29.20
10/23/2017	QGW002404	MAHARISHI UNIVERSITY		COLONY NORTHSTAR INC 8.25% PFD SER S	-6,145.66	75.00	0.00	75.00	40.0 30.00
10/13/2017	QGW002636	XAVERIAN HIGH SCHOOL		PRUDENTIAL FINANCIAL INC S	-5,021.82	75.00	0.00	75.00	40.0 30.00
10/05/2017	QGW002701	HIDEAWAY FARM		DIREXION SHS ETF TR DAILY S&P 500 B S	-11,931.66	75.00	0.00	75.00	40.0 30.00
10/10/2017	QGW002701	HIDEAWAY FARM		DIREXION SHS ETF TR DAILY 20+ YR TR B	20,816.30	75.00	0.00	75.00	40.0 30.00
10/12/2017	QGW002701	HIDEAWAY FARM		DIREXION SHS ETF TR DAILY S&P 500 B S	-11,907.27	75.00	0.00	75.00	40.0 30.00
10/18/2017	QGW002701	HIDEAWAY FARM		DIREXION SHS ETF TR DAILY 20+ YR TR B	21,036.20	75.00	0.00	75.00	40.0 30.00
09/28/2017	QGW002925	BATHRICK, CHARLES		ROYAL GOLD INC S	-8,630.25	75.00	0.00	75.00	40.0 30.00
09/28/2017	QGW002925	BATHRICK, CHARLES		SANDSTORM GOLD LTD COM NEW ISIN#CA8 S	-4,602.80	75.00	0.00	75.00	40.0 30.00
10/11/2017	QGW002925	BATHRICK, CHARLES		INTEL CORP B	7,829.30	75.00	0.00	75.00	40.0 30.00
10/11/2017	QGW002925	BATHRICK, CHARLES		KRAKEN ROBOTICS INC COM ISIN#CA5007 B	286.00	15.00	0.00	15.00	40.0 6.00
10/11/2017	QGW002925	BATHRICK, CHARLES		KRAKEN ROBOTICS INC COM ISIN#CA5007 B	1,144.00	60.00	0.00	60.00	40.0 24.00
10/16/2017	QGW002925	BATHRICK, CHARLES		HAWAIIAN ELEC INDS INC S	-6,967.40	75.00	0.00	75.00	40.0 30.00
10/18/2017	QGW002925	BATHRICK, CHARLES		CHEVRON CORPORATION B	11,850.00	75.00	0.00	75.00	40.0 30.00
10/19/2017	QGW002925	BATHRICK, CHARLES		NVIDIA CORP S	-19,592.29	75.00	0.00	75.00	40.0 30.00
09/28/2017	QGW002974	CAIN, ANTHONY		TENCENT HOLDINGS LIMITED UNSPONSORE B	42,719.40	150.00	0.00	150.00	40.0 60.00
09/28/2017	QGW002974	CAIN, ANTHONY		TENCENT HOLDINGS LIMITED UNSPONSORE B	-42,719.40	-150.00	0.00	-150.00	40.0 -60.00 C
09/28/2017	QGW002974	CAIN, ANTHONY		TENCENT HOLDINGS LIMITED UNSPONSORE B	42,719.40	150.00	0.00	150.00	40.0 60.00
09/29/2017	QGW002974	CAIN, ANTHONY		TENCENT HOLDINGS LIMITED UNSPONSORE B	21,590.00	100.00	0.00	100.00	40.0 40.00
10/10/2017	QGW002974	CAIN, ANTHONY		TRANSOCEAN LTD US LISTED B	10,657.90	150.00	0.00	150.00	40.0 60.00
10/11/2017	QGW002974	CAIN, ANTHONY		NVIDIA CORP B	94,614.00	200.00	0.00	200.00	40.0 80.00
10/11/2017	QGW002974	CAIN, ANTHONY		ORACLE CORPORATION S	-96,713.60	250.00	0.00	250.00	40.0 100.00
10/12/2017	QGW002974	CAIN, ANTHONY		JD.COM INC SPONSORED ADR REPSTG COM B	77,506.00	250.00	0.00	250.00	40.0 100.00
10/12/2017	QGW002974	CAIN, ANTHONY		ROYAL DUTCH SHELL PLC SPONSORED ADR S	-62,282.10	150.00	0.00	150.00	40.0 60.00
10/12/2017	QGW002974	CAIN, ANTHONY		TENCENT HOLDINGS LIMITED UNSPONSORE S	-22,510.00	100.00	0.00	100.00	40.0 40.00
10/13/2017	QGW002974	CAIN, ANTHONY		NVIDIA CORP S	-97,047.00	200.00	0.00	200.00	40.0 80.00
10/13/2017	QGW002974	CAIN, ANTHONY		WEIBO CORP SPONS ADR ISIN#US9485961 B	100,028.60	175.00	0.00	175.00	40.0 70.00
10/18/2017	QGW002974	CAIN, ANTHONY		OCCIDENTAL PETE CORP S	-64,822.60	150.00	0.00	150.00	40.0 60.00
10/18/2017	QGW002974	CAIN, ANTHONY		YY INC ADS REPSTG COM CL A ISIN#US9 B	65,324.00	100.00	0.00	100.00	40.0 40.00
10/23/2017	QGW002974	CAIN, ANTHONY		LAS VEGAS SANDS CORP S	-126,380.60	250.00	0.00	250.00	40.0 100.00
10/23/2017	QGW002974	CAIN, ANTHONY		NVIDIA CORP B	98,699.00	200.00	0.00	200.00	40.0 80.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
10/23/2017	QGW002974	CAIN, ANTHONY	QUDIAN INC ADR ISIN# US7477981069	B	28,807.60	150.00	0.00	150.00	40.0	60.00
10/23/2017	QGW002974	CAIN, ANTHONY	QUDIAN INC ADR ISIN# US7477981069	S	-27,372.30	100.00	0.00	100.00	40.0	40.00
10/23/2017	QGW002974	CAIN, ANTHONY	TRANSOCEAN LTD US LISTED	S	-9,931.70	150.00	0.00	150.00	40.0	60.00
10/24/2017	QGW002974	CAIN, ANTHONY	YY INC ADS REPSTG COM CL A ISIN#US9	B	28,389.60	75.00	0.00	75.00	40.0	30.00
10/25/2017	QGW002974	CAIN, ANTHONY	JD.COM INC SPONSORED ADR REPSTG COM	S	-75,310.00	250.00	0.00	250.00	40.0	100.00
10/26/2017	QGW002974	CAIN, ANTHONY	NVIDIA CORP	B	78,312.76	200.00	0.00	200.00	40.0	80.00
10/27/2017	QGW004392	VALENTINE, OLIVIA	STRYKER CORP	S	-156,989.70	250.00	0.00	250.00	40.0	100.00
10/25/2017	QGW008468	DRUERY, MARIE	WEYERHAEUSER CO	S	-5,903.13	220.00	0.00	220.00	40.0	88.00
10/23/2017	QGW021867	MERGOTT, JONATHAN	GOLDCORP INC	S	-337.79	75.00	0.00	75.00	40.0	30.00
09/28/2017	QGW021990	STEINMETZ, GEORGE	MOMO INC ADR	S	-11,988.00	60.00	0.00	60.00	40.0	24.00
10/02/2017	QGW021990	STEINMETZ, GEORGE	ISHARES NASDAQ BIOTECHNOLOGY INDEX	B	16,834.50	60.00	0.00	60.00	40.0	24.00
10/02/2017	QGW021990	STEINMETZ, GEORGE	ISHARES RUSSELL 2000 ETF	B	37,344.15	60.00	0.00	60.00	40.0	24.00
10/03/2017	QGW021990	STEINMETZ, GEORGE	KRANESHARES TR CSI CHINA INTERNET E	B	23,273.16	60.00	0.00	60.00	40.0	24.00
10/06/2017	QGW021990	STEINMETZ, GEORGE	ALBEMARLE CORPORATION	S	-17,669.34	60.00	0.00	60.00	40.0	24.00
10/10/2017	QGW021990	STEINMETZ, GEORGE	WISDOMTREE JAPAN HEDGED EQUITY FUND	B	24,825.51	60.00	0.00	60.00	40.0	24.00
10/11/2017	QGW021990	STEINMETZ, GEORGE	ELECTRONIC ARTS INC	B	18,570.82	60.00	0.00	60.00	40.0	24.00
10/18/2017	QGW021990	STEINMETZ, GEORGE	ELECTRONIC ARTS INC	S	-17,955.20	60.00	0.00	60.00	40.0	24.00
10/25/2017	QGW021990	STEINMETZ, GEORGE	ISHARES NASDAQ BIOTECHNOLOGY INDEX	S	-33,687.75	60.00	0.00	60.00	40.0	24.00
10/06/2017	QGW022675	PUZIO, SEP	ANGLOGOLD ASHANTI LTD (NEW) SPONSOR	S	-9,361.70	75.00	0.00	75.00	40.0	30.00
10/06/2017	QGW022675	PUZIO, SEP	GALWAY METALS INC COM NEW ISIN#CA36	S	-149.00	30.03	0.00	30.03	40.0	12.01
10/06/2017	QGW022675	PUZIO, SEP	GALWAY METALS INC COM NEW ISIN#CA36	S	-49.47	9.97	0.00	9.97	40.0	3.99
10/06/2017	QGW022675	PUZIO, SEP	KINROSS GOLD CORP	S	-4,232.10	75.00	0.00	75.00	40.0	30.00
10/06/2017	QGW022675	PUZIO, SEP	NOVAGOLD RES INC COM NEW ISIN# CA66	S	-4,064.20	75.00	0.00	75.00	40.0	30.00
10/06/2017	QGW022675	PUZIO, SEP	PAN AMERICAN SILVER CORP	S	-16,903.00	75.00	0.00	75.00	40.0	30.00
10/06/2017	QGW022675	PUZIO, SEP	SSR MINING INC REGISTERED SHS ISIN#	S	-10,924.90	75.00	0.00	75.00	40.0	30.00
10/12/2017	QGW022675	PUZIO, SEP	APACHE CORP COMMON	S	-20,606.80	75.00	0.00	75.00	40.0	30.00
10/12/2017	QGW022675	PUZIO, SEP	FRANCO-NEVADA CORPORATION	S	-19,910.25	75.00	0.00	75.00	40.0	30.00
10/12/2017	QGW022675	PUZIO, SEP	GALWAY GOLD INC COM ISIN#CA36458410	S	-126.00	20.00	0.00	20.00	40.0	8.00
10/12/2017	QGW022675	PUZIO, SEP	LARA EXPL LTD COM ISIN#CA5166831092	S	-51.50	20.00	0.00	20.00	40.0	8.00
10/12/2017	QGW022675	PUZIO, SEP	ROYAL GOLD INC	S	-26,439.21	75.00	0.00	75.00	40.0	30.00
10/12/2017	QGW022675	PUZIO, SEP	WHEATON PRECIOUS METALS CORP COM	S	-9,981.75	75.00	0.00	75.00	40.0	30.00
10/16/2017	QGW029290	BAUMHARDT, DANECA	FIRST MAJESTIC SILVER CORP	B	7,277.00	75.00	0.00	75.00	40.0	30.00
10/16/2017	QGW029290	BAUMHARDT, DANECA	FORTUNA SILVER MINES INC COM ISIN#C	B	2,318.25	75.00	0.00	75.00	40.0	30.00
* STOCKS SUBTOTAL *					\$-496,110.63	\$9,388.00	\$0.00	\$9,388.00		\$3,755.20
PRODUCT CATEGORY: OPTIONS										
10/11/2017	QGW002180	FRENCH, JOHN	CALL 100 SHOPIFY INC CL A ISIN#CA82	B	1,684.00	73.00	0.00	73.00	40.0	29.20
10/25/2017	QGW004665	JOSEPH FRY	CALL 100 TECK RES LTD CL B SUB VTG	B	4,500.00	100.00	0.00	100.00	40.0	40.00
* OPTIONS SUBTOTAL *					\$6,184.00	\$173.00	\$0.00	\$173.00		\$69.20

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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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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/17/2017	QGW002511	SKELLY, HENRY		COLUMBIA NEW YORK TAX EXEMPT FUND C B	0.00	12.90	0.00	12.90	40.0	5.16
10/16/2017	QGW002776	ROBERTS, JAMES		VOYA GLOBAL EQUITY FUND CLASS A B	0.00	0.46	0.00	0.46	40.0	0.18
10/17/2017	QGW002776	ROBERTS, JAMES		FEDERATED PRUDENT BEAR FUND CLASS A B	0.00	0.93	0.00	0.93	40.0	0.37
10/12/2017	QGW008468	DRUERY, MARIE		LOOMIS SAYLES INVESTMENT GRADE BOND B	0.00	2.04	0.00	2.04	40.0	0.82
10/17/2017	QGW022113	ROBERTS, PAGE		FEDERATED PRUDENT BEAR FUND CLASS A B	0.00	0.43	0.00	0.43	40.0	0.17
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$16.76	\$0.00	\$16.76		\$6.70
*** BROKER TRANSACTIONS TOTAL ***					\$-489,926.63	\$9,577.76	\$0.00	\$9,577.76		\$3,831.10

ADJUSTMENTS

10/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-20.00

BROKER COMMISSION TOTALS

Broker Transactions	\$3,831.10
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-11.97
SIPC Assessment	\$-23.94

Check Amount	\$3,775.19
Year-to-date Earnings	\$28,631.78