

COMMISSION STATEMENT

July 31, 2017

JAY SHARTSIS
54 BIRCHWOOD LANEBROKER #: 37
BRANCH: HOME OFFICE

HARTSDALE, NY, NY 10530

COMMISSION STATEMENT for JAY SHARTSIS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUNDS									
07/11/2017 (None)	VARIOUS, SHARTSIS	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	1,000.00	10.00	990.00	50.0	495.00
		* MUTUAL FUNDS SUBTOTAL *		\$0.00	\$1,000.00	\$10.00	\$990.00		\$495.00
PRODUCT CATEGORY: STOCKS									
07/07/2017 75500098	GREENFIELD, LAWRENCE	ROCKWEALTH RESOURCES CORP COM	S	48.28	30.00	10.00	20.00	50.0	10.00
06/30/2017 QGW009094	KANTO, WILLIAM	ISHARES 20 PLUS YEAR TREASURY BOND	S	-96,000.00	80.00	6.00	74.00	50.0	37.00
07/06/2017 QGW009094	KANTO, WILLIAM	ISHARES 20 PLUS YEAR TREASURY BOND	B	160,038.45	85.00	6.00	79.00	50.0	39.50
07/06/2017 QGW009094	KANTO, WILLIAM	NUVEEN AMT FREE QUALITY MUNICIPAL I	S	-17,066.13	82.00	6.00	76.00	50.0	38.00
07/07/2017 QGW009094	KANTO, WILLIAM	ALPS ETF TR ALERIAN MLP	B	17,725.50	120.00	6.00	114.00	50.0	57.00
07/17/2017 QGW009151	KOBOLD, MICHAEL	VIRNETX HOLDING CORPORATION	B	6,074.85	125.00	6.00	119.00	50.0	59.50
06/28/2017 QGW009177	-, MICHAEL KRUEGER	AU OPTRONICS CORP SPON ADR	B	4,817.60	50.00	6.00	44.00	50.0	22.00
07/10/2017 QGW009177	-, MICHAEL KRUEGER	CPI AEROSTRUCTURES INC COM NEW	S	-14,325.00	50.00	6.00	44.00	50.0	22.00
07/10/2017 QGW009177	-, MICHAEL KRUEGER	KRONOS WORLDWIDE INC COM	B	9,788.50	50.00	6.00	44.00	50.0	22.00
07/21/2017 QGW009177	-, MICHAEL KRUEGER	SIBANYE GOLD LTD SPONSORED ADR ISIN B		7,500.00	50.00	6.00	44.00	50.0	22.00
07/25/2017 QGW009540	CINQUEMANI, FRANK	PROSHARES TRUST II PROSHARES ULTRA	S	-14,662.50	236.43	6.00	230.43	50.0	115.22
07/25/2017 QGW009540	CINQUEMANI, FRANK	PROSHARES TRUST II PROSHARES ULTRA	S	14,662.50	-236.43	-6.00	-230.43	50.0	-115.22 C
07/25/2017 QGW009540	CINQUEMANI, FRANK	PROSHARES TRUST II PROSHARES ULTRA	S	-14,662.50	50.00	6.00	44.00	50.0	22.00
07/21/2017 QGW009581	PRINDLE DDS	NGL ENERGY PARTNERS LP COM UNIT REP	B	60,000.00	120.00	6.00	114.00	50.0	57.00
07/21/2017 QGW009581	PRINDLE DDS	NGL ENERGY PARTNERS LP COM UNIT REP	S	-50,000.00	120.00	6.00	114.00	50.0	57.00
07/21/2017 QGW029514	HUNT, GREGORY	HERTZ GLOBAL HLDGS INC NEW COM	S	-15,000.00	75.00	6.00	69.00	50.0	34.50
07/06/2017 QGW031395	KANTO, JULIE	NUVEEN AMT FREE QUALITY MUNICIPAL I	S	-6,963.29	62.00	6.00	56.00	50.0	28.00
07/07/2017 QGW031395	KANTO, JULIE	ALPS ETF TR ALERIAN MLP	B	9,460.88	64.00	6.00	58.00	50.0	29.00
		* STOCKS SUBTOTAL *		\$61,437.14	\$1,213.00	\$100.00	\$1,113.00		\$556.50
PRODUCT CATEGORY: OPTIONS									
07/06/2017 QGW009094	KANTO, WILLIAM	CALL 100 ISHARES TR BARCLAYS 20+ YR	S	-8,775.00	75.00	6.00	69.00	50.0	34.50
07/20/2017 QGW009094	KANTO, WILLIAM	CALL 100 ISHARES TR BARCLAYS 20+ YR	B	1,104.00	50.00	6.00	44.00	50.0	22.00
07/06/2017 QGW009151	KOBOLD, MICHAEL	CALL 100 VIRNETX HLDG CORP COM EXP	B	4,000.00	185.00	6.00	179.00	50.0	89.50
07/10/2017 QGW009177	-, MICHAEL KRUEGER	PUT 100 TAHOE RES INC COM ISIN#CA87	S	-380.00	50.00	6.00	44.00	50.0	22.00
07/25/2017 QGW009177	-, MICHAEL KRUEGER	PUT 100 MCDERMOTT INTL INC COM EXP	S	-300.00	50.00	6.00	44.00	50.0	22.00
06/30/2017 QGW009581	PRINDLE DDS	PUT 100 NGL ENERGY PARTNERS LP COM	S	-2,200.00	154.66	6.00	148.66	50.0	74.33
06/30/2017 QGW009581	PRINDLE DDS	PUT 100 NGL ENERGY PARTNERS LP COM	S	2,200.00	-154.66	-6.00	-148.66	50.0	-74.33 C

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
06/30/2017	QGW009581	PRINDLE DDS	PUT 100 NGL ENERGY PARTNERS LP COM S	-2,200.00	50.00	6.00	44.00	50.0	22.00
07/03/2017	QGW009581	PRINDLE DDS	CALL 100 FRED'S INC CL A EXP 07-21-1 S	-975.00	60.00	6.00	54.00	50.0	27.00
07/05/2017	QGW009581	PRINDLE DDS	CALL 100 FRED'S INC CL A EXP 07-21-1 S	-600.00	50.40	6.00	44.40	50.0	22.20
07/05/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW B	4,400.00	85.00	6.00	79.00	50.0	39.50
07/05/2017	QGW009581	PRINDLE DDS	PUT 100 NGL ENERGY PARTNERS LP COM S	-1,600.00	114.00	6.00	108.00	50.0	54.00
07/06/2017	QGW009581	PRINDLE DDS	CALL 100 NGL ENERGY PARTNERS LP COM B	3,260.00	161.54	6.00	155.54	50.0	77.77
07/06/2017	QGW009581	PRINDLE DDS	CALL 100 NGL ENERGY PARTNERS LP COM B	3,200.00	161.55	6.00	155.55	50.0	77.78
07/18/2017	QGW009581	PRINDLE DDS	CALL 100 NGL ENERGY PARTNERS LP COM B	1,100.00	89.00	6.00	83.00	50.0	41.50
07/20/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW S	-1,200.00	94.00	6.00	88.00	50.0	44.00
07/21/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW B	13,175.00	170.00	6.00	164.00	50.0	82.00
07/21/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	-450.00	50.00	6.00	44.00	50.0	22.00
07/21/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	-3,000.00	184.00	6.00	178.00	50.0	89.00
07/21/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	450.00	-50.00	-6.00	-44.00	50.0	-22.00 C
07/21/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW S	-450.00	50.00	6.00	44.00	50.0	22.00
07/27/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW S	-2,550.00	153.90	6.00	147.90	50.0	73.95
07/27/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW S	-1,900.00	102.60	6.00	96.60	50.0	48.30
07/27/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW S	-900.00	75.60	6.00	69.60	50.0	34.80
07/27/2017	QGW009581	PRINDLE DDS	PUT 100 WASHINGTON PRIME GROUP NEW S	-2,540.00	159.35	6.00	153.35	50.0	76.68
07/05/2017	QGW020943	KOBOLD, MICHAEL	CALL 100 VIRNETX HLDG CORP COM EXP B	4,000.00	234.00	6.00	228.00	50.0	114.00
07/05/2017	QGW020943	KOBOLD, MICHAEL	CALL 100 VIRNETX HLDG CORP COM EXP B	-4,000.00	-234.00	-6.00	-228.00	50.0	-114.00 C
07/05/2017	QGW020943	KOBOLD, MICHAEL	CALL 100 VIRNETX HLDG CORP COM EXP B	4,000.00	185.00	6.00	179.00	50.0	89.50
07/13/2017	QGW021461	BURNS, RHONDIE	CALL 100 HERTZ GLOBAL HLDGS INC NEW S	-200.00	50.00	6.00	44.00	50.0	22.00
07/13/2017	QGW029514	HUNT, GREGORY	CALL 100 HERTZ GLOBAL HLDGS INC NEW S	-440.00	50.00	6.00	44.00	50.0	22.00
07/13/2017	QGW029514	HUNT, GREGORY	CALL 100 HERTZ GLOBAL HLDGS INC NEW S	440.00	-50.00	-6.00	-44.00	50.0	-22.00 C
07/13/2017	QGW029514	HUNT, GREGORY	CALL 100 HERTZ GLOBAL HLDGS INC NEW S	-440.00	50.00	6.00	44.00	50.0	22.00
07/27/2017	QGW029514	HUNT, GREGORY	CALL 100 ISHARES TR NASDAQ BIOTECHN S	-2,800.00	84.92	6.00	78.92	50.0	39.46
07/27/2017	QGW029514	HUNT, GREGORY	CALL 100 ISHARES TR NASDAQ BIOTECHN B	925.00	59.43	6.00	53.43	50.0	26.72
* OPTIONS SUBTOTAL *				\$4,354.00	\$2,600.29	\$156.00	\$2,444.29		\$1,222.16
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
07/12/2017	75501786	WRIGHTON, BRYAN	**CLEARBRIDGE LARGE CAP VALUE B	0.00	42.05	0.00	42.05	50.0	21.03
07/28/2017	QGW030561	CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	0.27	0.00	0.27	50.0	0.14
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$42.32	\$0.00	\$42.32		\$21.17
*** BROKER TRANSACTIONS TOTAL ***				\$65,791.14	\$4,855.61	\$266.00	\$4,589.61		\$2,294.83

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
07/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
07/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
07/31/2017		OTHER: OTHER-PERSHING CHARGES		0.00	0.00	0.00	0.00		-13.35
07/31/2017		OTHER: OTHER-TELEPHONE		0.00	0.00	0.00	0.00		-26.21
07/31/2017		OTHER: CBOE		0.00	0.00	0.00	0.00		-250.00
07/31/2017		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-96.36
07/31/2017		OTHER: QUODD		0.00	0.00	0.00	0.00		-60.63
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-474.55

BROKER COMMISSION TOTALS

Broker Transactions	\$2,294.83
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-474.55
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-6.07
SIPC Assessment	\$-12.14

Check Amount	\$1,802.07
Year-to-date Earnings	\$3,069.58