

COMMISSION STATEMENT

May 31, 2018

JOHN HEIDENREICH
7 EAST 86TH ST
APT 15B
NEW YORK, NY 10028

BROKER #: P7H R90 R30 A09
BRANCH: HOME OFFICE

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
05/08/2018	75501291 PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT S		19,920.00	559.13	10.00	549.13	65.0	353.43
05/08/2018	75501291 PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT B		-19,920.00	-559.13	-10.00	-549.13	65.0	-353.43 C
05/08/2018	75501291 PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT S		19,920.00	100.00	10.00	90.00	65.0	55.00
05/29/2018	75501291 PRESTON, MARGARITA	AIRCASTLE LTD SHS ISIN#BMG0219K1045 B		21,510.00	447.42	10.00	437.42	65.0	280.82
05/08/2018	75501292 JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT S		13,258.00	397.73	10.00	387.73	65.0	248.52
05/08/2018	75501292 JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT B		-13,258.00	-397.73	-10.00	-387.73	65.0	-248.52 C
05/08/2018	75501292 JOE, HENRY	CREDIT SUISSE AG NASSAU BRH VELOCIT S		13,258.00	100.00	10.00	90.00	65.0	55.00
05/24/2018	75501292 JOE, HENRY	HAIN CELESTIAL GROUP INC	B	10,460.00	234.33	10.00	224.33	65.0	142.31
05/08/2018	75501293 JOE, HENRY	ABBVIE INC	B	9,811.64	105.00	10.00	95.00	65.0	58.25
05/24/2018	75501293 JOE, HENRY	AIRCASTLE LTD SHS ISIN#BMG0219K1045 B		21,180.00	444.22	10.00	434.22	65.0	278.74
05/24/2018	75501293 JOE, HENRY	PINNACLE FOODS INC	B	19,037.09	315.00	10.00	305.00	65.0	194.75
05/08/2018	75501307 TOTTEN, ANN	CREDIT SUISSE AG NASSAU BRH VELOCIT S		19,939.65	571.25	10.00	561.25	65.0	361.31
05/08/2018	75501307 TOTTEN, ANN	CREDIT SUISSE AG NASSAU BRH VELOCIT B		-19,939.70	-571.25	-10.00	-561.25	65.0	-361.31 C
05/08/2018	75501307 TOTTEN, ANN	CREDIT SUISSE AG NASSAU BRH VELOCIT S		19,939.65	100.00	10.00	90.00	65.0	55.00
05/23/2018	75501307 TOTTEN, ANN	AIRCASTLE LTD SHS ISIN#BMG0219K1045 B		31,908.60	564.60	10.00	554.60	65.0	356.99
05/29/2018	75501307 TOTTEN, ANN	DCP MIDSTREAM PARTNERS LP UNITS LTD S		20,410.00	388.31	10.00	378.31	65.0	242.40
05/03/2018	75501310 MARGARITA F PRESTON	DCP MIDSTREAM PARTNERS LP UNITS LTD B		17,560.00	347.19	10.00	337.19	65.0	215.67
05/07/2018	75501310 MARGARITA F PRESTON	ATTIS INDUSTRIES INC COMMON STOCK S		2,100.00	84.00	10.00	74.00	65.0	44.60
05/08/2018	75501310 MARGARITA F PRESTON	ABBVIE INC	B	9,779.22	105.00	10.00	95.00	65.0	58.25
05/29/2018	75501310 MARGARITA F PRESTON	AIRCASTLE LTD SHS ISIN#BMG0219K1045 B		21,589.51	448.19	10.00	438.19	65.0	281.32
05/29/2018	75501310 MARGARITA F PRESTON	DCP MIDSTREAM PARTNERS LP UNITS LTD S		20,450.75	388.71	10.00	378.71	65.0	242.66
05/23/2018	75501313 HEIDENREICH, ROBERT	PINNACLE FOODS INC	B	18,954.00	315.00	10.00	305.00	65.0	194.75
05/10/2018	75502119 COHEN, MICHAEL	ATTIS INDUSTRIES INC COMMON STOCK S		2,480.00	100.01	10.00	90.01	65.0	55.01
05/10/2018	75502119 COHEN, MICHAEL	FIVE OAKS INVESTMENT CORP COM	S	10,762.36	480.94	10.00	470.94	65.0	302.61
05/11/2018	75502119 COHEN, MICHAEL	FIVE OAKS INVESTMENT CORP COM	S	87.00	50.00	10.00	40.00	65.0	22.50
05/03/2018	75502186 DOLE, VIVIAN	AT&T INC	B	5,720.40	0.00	10.00	-10.00	65.0	-10.00
05/17/2018	QGW033367 NAUMOV, GEORGE	VERASTEM INC COM	B	4,750.00	75.00	10.00	65.00	65.0	38.75
04/27/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-808.20	74.68	10.00	64.68	65.0	38.54
05/01/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-11,600.00	500.00	10.00	490.00	65.0	315.00
05/02/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-350.00	15.00	10.00	5.00	65.0	-0.25
05/03/2018	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,660.45	285.00	10.00	275.00	65.0	175.25

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
05/11/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-2,625.00	125.00	10.00	115.00	65.0	71.25
05/11/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-2,607.00	125.00	10.00	115.00	65.0	71.25
05/14/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-8,854.47	403.65	10.00	393.65	65.0	252.37
05/15/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,399.92	202.50	10.00	192.50	65.0	121.63
05/16/2018	QGW036766	STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,508.08	299.53	10.00	289.53	65.0	184.69
* STOCKS SUBTOTAL *					\$257,255.05	\$7,223.28	\$300.00	\$6,923.28		\$4,395.11
PRODUCT CATEGORY: BONDS										
04/30/2018	75502184	PRESTON, ROBERT	SARATOGA SPRINGS N Y PUB IMPT GENER B		4,969.60	0.00	10.00	-10.00	65.0	-10.00
04/30/2018	75502186	DOLE, VIVIAN	DEDHAM MASS GO MUN PURP LN GENERAL B		4,950.25	0.00	10.00	-10.00	65.0	-10.00
* BONDS SUBTOTAL *					\$9,919.85	\$0.00	\$20.00	\$-20.00		\$-20.00
PRODUCT CATEGORY: OPTIONS										
05/01/2018	75501291	PRESTON, MARGARITA	CALL PFE 05/18/18 35	B	2,500.00	125.00	10.00	115.00	65.0	71.25
05/07/2018	75501291	PRESTON, MARGARITA	CALL PFE 06/15/18 35	S	1,560.00	70.00	10.00	60.00	65.0	35.50
05/09/2018	75501291	PRESTON, MARGARITA	CALL PFE 06/15/18 35	B	1,890.00	75.00	10.00	65.00	65.0	38.75
05/11/2018	75501291	PRESTON, MARGARITA	CALL PFE 05/18/18 35	S	1,350.00	60.00	10.00	50.00	65.0	29.00
05/18/2018	75501291	PRESTON, MARGARITA	CALL PFE 05/18/18 35	B	1,920.00	75.00	10.00	65.00	65.0	38.75
05/18/2018	75501291	PRESTON, MARGARITA	CALL PFE 06/15/18 35	S	3,060.00	100.00	10.00	90.00	65.0	55.00
* OPTIONS SUBTOTAL *					\$12,280.00	\$505.00	\$60.00	\$445.00		\$268.25
PRODUCT CATEGORY: RIA										
04/01/2018	75502184	PRESTON, ROBERT	FAS FEES PT. II/III	B	-1,722.76	499.60	10.00	489.60	65.0	314.74
04/01/2018	75502186	DOLE, VIVIAN	FAS FEES PT. II/III	B	-1,016.24	289.96	10.00	279.96	65.0	178.47
* RIA SUBTOTAL *					\$-2,739.00	\$789.56	\$20.00	\$769.56		\$493.21
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
05/31/2018		FEE COUNT - 69			0.00	1,003.42	0.00	1,003.42	65.0	652.23
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,003.42	\$0.00	\$1,003.42		\$652.23
*** BROKER TRANSACTIONS TOTAL ***					\$276,715.90	\$9,521.26	\$400.00	\$9,121.26		\$5,788.80

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
05/31/2018		MISCELLANEOUS: REVERSE CLEARING CHG		0.00	0.00	0.00	0.00		50.00
05/31/2018		: QUODD		0.00	0.00	0.00	0.00		-180.85
05/31/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
05/31/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-12.00
05/31/2018		OTHER: RBC -WEALTH STATION		0.00	0.00	0.00	0.00		-25.00
05/31/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-242.29

BROKER COMMISSION TOTALS

Broker Transactions	\$5,788.80
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-242.29
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-11.90
SIPC Assessment	\$-23.80

Check Amount	\$5,510.81
Year-to-date Earnings	\$33,877.98