

COMMISSION STATEMENT**November 30, 2017**

DANIEL SIEGEL
99 WINGED FOOT DRIVE

BROKER #: 20
BRANCH: HOME OFFICE

LIVINGSTON, NJ 07039

COMMISSION STATEMENT for DANIEL SIEGEL

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
11/16/2017	QGW001497	KLUGMAN, ROBERT		GLADSTONE LD CORP COM	S	-6,871.30	139.00	0.00	139.00 80.0 111.20
11/17/2017	QGW001497	KLUGMAN, ROBERT		STARWOOD PROPERTY TRUST INC	S	-8,652.64	139.00	0.00	139.00 80.0 111.20
11/01/2017	QGW009847	LEICHER, MARVIN		RANGE RES CORP COM	B	18,469.90	269.00	0.00	269.00 80.0 215.20
11/08/2017	QGW009847	LEICHER, MARVIN		CARLYLE GROUP L P COM UNITS REPSTG	B	8,719.28	140.00	0.00	140.00 80.0 112.00
11/14/2017	QGW009847	LEICHER, MARVIN		GENERAL ELECTRIC CO	S	-9,056.35	150.00	0.00	150.00 80.0 120.00
11/14/2017	QGW009847	LEICHER, MARVIN		PFIZER INCORPORATED	B	10,624.95	145.00	0.00	145.00 80.0 116.00
10/30/2017	QGW009854	LEICHER, EVELYN		DYNEGY INC	S	-6,350.00	130.00	0.00	130.00 80.0 104.00
10/30/2017	QGW009854	LEICHER, EVELYN		ENTERPRISE PRODUCTS PARTNERS LP	B	24,790.00	298.00	0.00	298.00 80.0 238.40
11/14/2017	QGW009854	LEICHER, EVELYN		GENERAL ELECTRIC CO	S	-4,528.38	105.00	0.00	105.00 80.0 84.00
11/16/2017	QGW009862	KANTOR MINOR, JAIME		GLADSTONE LD CORP COM	S	-3,435.65	69.00	0.00	69.00 80.0 55.20
11/08/2017	QGW009896	GREENBURG, JON		CARLYLE GROUP L P COM UNITS REPSTG	B	10,899.10	62.00	0.00	62.00 80.0 49.60
11/16/2017	QGW009896	GREENBURG, JON		GLADSTONE LD CORP COM	S	-6,871.30	62.50	0.00	62.50 80.0 50.00
11/17/2017	QGW009896	GREENBURG, JON		STARWOOD PROPERTY TRUST INC	S	-8,652.64	50.00	0.00	50.00 80.0 40.00
10/30/2017	QGW020919	KELLY, ROBERT		ENTERPRISE PRODUCTS PARTNERS LP	B	9,916.00	147.00	0.00	147.00 80.0 117.60
11/08/2017	QGW020919	KELLY, ROBERT		CARLYLE GROUP L P COM UNITS REPSTG	B	8,719.28	140.00	0.00	140.00 80.0 112.00
11/16/2017	QGW020919	KELLY, ROBERT		GLADSTONE LD CORP COM	S	-6,871.30	139.00	0.00	139.00 80.0 111.20
11/17/2017	QGW020919	KELLY, ROBERT		STARWOOD PROPERTY TRUST INC	S	-8,652.64	139.00	0.00	139.00 80.0 111.20
11/17/2017	QGW020935	KANTOR, SUSAN		STARWOOD PROPERTY TRUST INC	S	-5,407.90	83.00	0.00	83.00 80.0 66.40
10/30/2017	QGW021271	KLUGMAN, ROBERT		ENTERPRISE PRODUCTS PARTNERS LP	B	9,916.00	147.00	0.00	147.00 80.0 117.60
11/08/2017	QGW021271	KLUGMAN, ROBERT		CARLYLE GROUP L P COM UNITS REPSTG	B	8,719.28	140.00	0.00	140.00 80.0 112.00
10/30/2017	QGW022246	SUGARMAN, GAIL		ENTERPRISE PRODUCTS PARTNERS LP	B	7,437.00	133.00	0.00	133.00 80.0 106.40
11/08/2017	QGW022246	SUGARMAN, GAIL		CARLYLE GROUP L P COM UNITS REPSTG	B	6,539.46	123.00	0.00	123.00 80.0 98.40
11/16/2017	QGW022246	SUGARMAN, GAIL		GLADSTONE LD CORP COM	S	-5,497.04	123.00	0.00	123.00 80.0 98.40
11/17/2017	QGW022246	SUGARMAN, GAIL		STARWOOD PROPERTY TRUST INC	S	-6,489.48	119.00	0.00	119.00 80.0 95.20
10/30/2017	QGW023772	PATRICK E OBRIEN,		ENTERPRISE PRODUCTS PARTNERS LP	B	7,437.00	133.00	0.00	133.00 80.0 106.40
11/08/2017	QGW023772	PATRICK E OBRIEN,		CARLYLE GROUP L P COM UNITS REPSTG	B	8,719.28	140.00	0.00	140.00 80.0 112.00
11/14/2017	QGW023772	PATRICK E OBRIEN,		GLADSTONE LD CORP COM	S	-6,875.10	138.00	0.00	138.00 80.0 110.40
11/17/2017	QGW023772	PATRICK E OBRIEN,		STARWOOD PROPERTY TRUST INC	S	-6,489.48	119.00	0.00	119.00 80.0 95.20
				* STOCKS SUBTOTAL *		\$40,205.33	\$3,721.50	\$0.00	\$3,721.50 \$2,977.20

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

11/16/2017	QGW009847	LEICHER, MARVIN	OPPENHEIMER ROCHESTER NEW JERSEY MU B	0.00	23.94	0.00	23.94	80.0	19.15
11/17/2017	QGW009847	LEICHER, MARVIN	BOND A B	0.00	5.81	0.00	5.81	80.0	4.65
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$29.75	\$0.00	\$29.75		\$23.80
*** BROKER TRANSACTIONS TOTAL ***				\$40,205.33	\$3,751.25	\$0.00	\$3,751.25		\$3,001.00

ADJUSTMENTS

11/30/2017			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	\$3,001.00
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	\$-4.69
SIPC Assessment	\$-9.38

Check Amount	\$2,966.93
Year-to-date Earnings	\$14,331.47