

COMMISSION STATEMENT

December 31, 2017

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

BROKER #: R90 / /42
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> | | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | | |
| 11/30/2017 | 75501292 | JOE, HENRY | | ADVANCED MICRO DEVICES INC | B | 6,564.00 | 197.10 | 10.00 | 187.10 65.0 118.12 |
| 12/01/2017 | 75501292 | JOE, HENRY | | CYPRESS SEMICONDUCTOR CORP | B | 8,365.45 | 234.32 | 10.00 | 224.32 65.0 142.31 |
| 12/01/2017 | 75501292 | JOE, HENRY | | TWILIO INC CL A | B | 7,822.98 | 186.33 | 10.00 | 176.33 65.0 111.11 |
| 12/01/2017 | 75501293 | JOE, HENRY | | WORKDAY INC CL A | B | 10,045.32 | 105.00 | 10.00 | 95.00 65.0 58.25 |
| 12/14/2017 | 75501293 | JOE, HENRY | | TWITTER INC | S | 18,256.00 | 200.00 | 10.00 | 190.00 65.0 120.00 |
| 12/15/2017 | 75501293 | JOE, HENRY | | KROGER CO (THE) | S | 10,528.00 | 235.32 | 10.00 | 225.32 65.0 142.96 |
| 12/19/2017 | 75501293 | JOE, HENRY | | AKERS BIOSCIENCES INC COM | B | 2,025.01 | 101.25 | 10.00 | 91.25 65.0 55.81 |
| 12/19/2017 | 75501293 | JOE, HENRY | | AKERS BIOSCIENCES INC COM | S | -2,025.01 | -101.25 | -10.00 | -91.25 65.0 -55.81 C |
| 12/19/2017 | 75501293 | JOE, HENRY | | AKERS BIOSCIENCES INC COM | B | 2,025.00 | 90.00 | 10.00 | 80.00 65.0 48.50 |
| 12/27/2017 | 75501293 | JOE, HENRY | | UNDER ARMOUR INC CLASS C COMMON STO B | | 11,375.20 | 286.39 | 10.00 | 276.39 65.0 176.15 |
| 12/01/2017 | 75501307 | TOTTEN, ANN | | AKERS BIOSCIENCES INC COM | S | 840.00 | 40.00 | 10.00 | 30.00 65.0 16.00 |
| 12/14/2017 | 75501307 | TOTTEN, ANN | | TWITTER INC | S | 22,660.00 | 458.57 | 10.00 | 448.57 65.0 288.07 |
| 12/18/2017 | 75501307 | TOTTEN, ANN | | KROGER CO (THE) | S | 21,456.00 | 427.52 | 10.00 | 417.52 65.0 267.89 |
| 12/19/2017 | 75501307 | TOTTEN, ANN | | AKERS BIOSCIENCES INC COM | B | 2,866.00 | 143.30 | 10.00 | 133.30 65.0 83.15 |
| 12/19/2017 | 75501307 | TOTTEN, ANN | | AKERS BIOSCIENCES INC COM | S | -2,866.00 | -143.30 | -10.00 | -133.30 65.0 -83.15 C |
| 12/19/2017 | 75501307 | TOTTEN, ANN | | AKERS BIOSCIENCES INC COM | B | 2,866.00 | 130.00 | 10.00 | 120.00 65.0 74.50 |
| 12/27/2017 | 75501307 | TOTTEN, ANN | | BANK OF AMERICA CORP | B | 14,820.00 | 307.37 | 10.00 | 297.37 65.0 189.79 |
| 12/27/2017 | 75501307 | TOTTEN, ANN | | DCP MIDSTREAM PARTNERS LP UNITS LTD B | | 18,280.00 | 357.65 | 10.00 | 347.65 65.0 222.47 |
| 12/27/2017 | 75501307 | TOTTEN, ANN | | UNDER ARMOUR INC CLASS C COMMON STO B | | 4,265.70 | 128.80 | 10.00 | 118.80 65.0 73.72 |
| 12/27/2017 | 75501307 | TOTTEN, ANN | | WELLS FARGO & CO | B | 12,151.80 | 210.00 | 10.00 | 200.00 65.0 126.50 |
| 12/22/2017 | 75501313 | HEIDENREICH, ROBERT | | CONAGRA FOODS INC | B | 19,029.95 | 300.00 | 10.00 | 290.00 65.0 185.00 |
| 12/22/2017 | 75501313 | HEIDENREICH, ROBERT | | SHAKE SHACK INC CL A | S | 8,980.02 | 175.00 | 10.00 | 165.00 65.0 103.75 |
| 12/22/2017 | 75501313 | HEIDENREICH, ROBERT | | UNDER ARMOUR INC CLASS C COMMON STO B | | 8,268.00 | 180.00 | 10.00 | 170.00 65.0 107.00 |
| 12/27/2017 | 75501313 | HEIDENREICH, ROBERT | | KROGER CO (THE) | S | 22,192.00 | 400.00 | 10.00 | 390.00 65.0 250.00 |
| 12/08/2017 | QGW030355 | GOULD, PETER | | CYTODYN INC COM | S | -2,623.00 | 107.50 | 10.00 | 97.50 65.0 59.88 |
| 12/11/2017 | QGW030355 | GOULD, PETER | | CYTODYN INC COM | S | -2,297.87 | 94.18 | 10.00 | 84.18 65.0 51.22 |
| 12/13/2017 | QGW030355 | GOULD, PETER | | CYTODYN INC COM | S | -1,425.00 | 62.50 | 10.00 | 52.50 65.0 30.63 |
| 12/13/2017 | QGW030355 | GOULD, PETER | | CYTODYN INC COM | S | -2,800.00 | 125.00 | 10.00 | 115.00 65.0 71.25 |
| 12/14/2017 | QGW030355 | GOULD, PETER | | CYTODYN INC COM | S | -5,282.48 | 235.83 | 10.00 | 225.83 65.0 143.29 |
| 12/21/2017 | QGW030355 | GOULD, PETER | | PIERIS PHARMACEUTICALS INC COM SHS | S | -15,375.00 | 348.23 | 10.00 | 338.23 65.0 216.35 |
| 11/29/2017 | QGW036766 | STOIC LLC | | STMICROELECTRONICS NV SHS N Y REGIS S | | -22,400.00 | 150.00 | 10.00 | 140.00 65.0 87.50 |

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|---|-----------|--------------------|---------------------------------------|---------------------------------|---------------------|--------------------|-------------------|--------------------|----------------------|
| BROKER TRANSACTIONS | | | | | | | | | |
| PRODUCT CATEGORY: STOCKS | | | | | | | | | |
| 11/30/2017 | QGW036766 | STOIC LLC | | MATINAS BIOPHARMA HLDGS INC COM | S | -150.00 | 7.00 | 10.00 | -3.00 65.0 -5.45 |
| 12/12/2017 | QGW036873 | PASTORE, RALPH | | MATINAS BIOPHARMA HLDGS INC COM | S | -12,593.75 | 609.38 | 10.00 | 599.38 65.0 386.10 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 37.50 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 1,500.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 13,090.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 250.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 212.50 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 50.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 500.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 97.50 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 1,795.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 135.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 750.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 250.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 250.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 5,000.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 250.00 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| 12/08/2017 | QGW896664 | RF LAFFERTY & CO | | 22ND CENTY GROUP INC COM | B | 832.50 | 0.00 | 10.00 | -10.00 65.0 -10.00 |
| * STOCKS SUBTOTAL * | | | | | \$190,844.32 | \$6,388.99 | \$450.00 | \$5,938.99 | \$3,702.86 |
| PRODUCT CATEGORY: OPTIONS | | | | | | | | | |
| 12/15/2017 | 75501291 | PRESTON, MARGARITA | CALL PFE 12/15/17 34 | B | 9,300.00 | 300.00 | 10.00 | 290.00 65.0 185.00 | |
| 12/15/2017 | 75501291 | PRESTON, MARGARITA | CALL PFE 12/15/17 35 | B | 6,300.00 | 200.00 | 10.00 | 190.00 65.0 120.00 | |
| 12/20/2017 | 75501291 | PRESTON, MARGARITA | CALL PFE 12/29/17 36.50 | B | 920.00 | 40.00 | 10.00 | 30.00 65.0 16.00 | |
| 11/30/2017 | QGW030355 | GOULD, PETER | CALL 100 COTY INC COM CL A EXP 01-1 S | S | -1,520.00 | 100.94 | 10.00 | 90.94 65.0 55.61 | |
| * OPTIONS SUBTOTAL * | | | | | \$15,000.00 | \$640.94 | \$40.00 | \$600.94 | \$376.61 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | |
| 12/11/2017 | 75501290 | PRESTON, MARGARITA | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 2.02 | 0.00 | 2.02 65.0 1.31 | |
| 12/11/2017 | 75501290 | PRESTON, MARGARITA | GOLDMAN SACHS HIGH YIELD FUND CL A B | B | 0.00 | 5.92 | 0.00 | 5.92 65.0 3.85 | |
| 12/11/2017 | 75501290 | PRESTON, MARGARITA | THE INCOME FUND OF AMERICA-A | B | 0.00 | 7.99 | 0.00 | 7.99 65.0 5.19 | |
| 12/11/2017 | 75501290 | PRESTON, MARGARITA | WASHINGTON MUTUAL INVESTORS FUND-A | B | 0.00 | 8.63 | 0.00 | 8.63 65.0 5.61 | |
| 12/11/2017 | 75501291 | PRESTON, MARGARITA | AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 7.32 | 0.00 | 7.32 65.0 4.76 | |
| 12/11/2017 | 75501291 | PRESTON, MARGARITA | NUVEEN FLAGSHIP MUN TR HIGH YIELD M B | B | 0.00 | 7.83 | 0.00 | 7.83 65.0 5.09 | |
| 12/11/2017 | 75501291 | PRESTON, MARGARITA | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 18.80 | 0.00 | 18.80 65.0 12.22 | |
| 12/11/2017 | 75501293 | JOE, HENRY | FRK NATURAL RES FND - CL A | B | 0.00 | 0.80 | 0.00 | 0.80 65.0 0.52 | |
| 12/11/2017 | 75501293 | JOE, HENRY | INTERMEDIATE BOND FUND OF AMERICA-A B | B | 0.00 | 3.84 | 0.00 | 3.84 65.0 2.50 | |
| 12/11/2017 | 75501305 | BUNIN, ARLENE | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 5.52 | 0.00 | 5.52 65.0 3.59 | |
| 12/11/2017 | 75501305 | BUNIN, ARLENE | FRK AGE HIGH INC FND - CL A | B | 0.00 | 11.25 | 0.00 | 11.25 65.0 7.31 | |
| 12/11/2017 | 75501305 | BUNIN, ARLENE | GOLDMAN SACHS HIGH YIELD FUND CL A B | B | 0.00 | 33.49 | 0.00 | 33.49 65.0 21.77 | |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 12/11/2017 | 75501307 | TOTTEN, ANN | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 17.35 | 0.00 | 17.35 65.0 11.28 |
| 12/11/2017 | 75501307 | TOTTEN, ANN | | THE BOND FUND OF AMERICA-A | B | 0.00 | 9.71 | 0.00 | 9.71 65.0 6.31 |
| 12/11/2017 | 75501307 | TOTTEN, ANN | | THE INCOME FUND OF AMERICA-A | B | 0.00 | 13.84 | 0.00 | 13.84 65.0 9.00 |
| 12/11/2017 | 75501308 | ANN S TOTTEN | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 4.74 | 0.00 | 4.74 65.0 3.08 |
| 12/11/2017 | 75501308 | ANN S TOTTEN | | MUTUAL DISC FND - CL A | B | 0.00 | 3.77 | 0.00 | 3.77 65.0 2.45 |
| 12/11/2017 | 75501309 | TOTTEN, ANN | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 6.48 | 0.00 | 6.48 65.0 4.21 |
| 12/11/2017 | 75501309 | TOTTEN, ANN | | THE GROWTH FUND OF AMERICA-A | B | 0.00 | 8.70 | 0.00 | 8.70 65.0 5.66 |
| 12/11/2017 | 75501309 | TOTTEN, ANN | | THE NEW ECONOMY FUND-A | B | 0.00 | 8.47 | 0.00 | 8.47 65.0 5.51 |
| 12/11/2017 | 75501310 | MARGARITA F PRESTON | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 3.21 | 0.00 | 3.21 65.0 2.09 |
| 12/11/2017 | 75501310 | MARGARITA F PRESTON | | MAINSTAY HIGH-YIELD CORPORATE BOND | B | 0.00 | 22.19 | 0.00 | 22.19 65.0 14.42 |
| 12/11/2017 | 75501310 | MARGARITA F PRESTON | | MAINSTAY UNCONSTRAINED BOND FUND CL B | B | 0.00 | 15.31 | 0.00 | 15.31 65.0 9.95 |
| 12/11/2017 | 75501310 | MARGARITA F PRESTON | | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 12.79 | 0.00 | 12.79 65.0 8.31 |
| 12/11/2017 | 75501310 | MARGARITA F PRESTON | | THE INCOME FUND OF AMERICA-A | B | 0.00 | 7.27 | 0.00 | 7.27 65.0 4.73 |
| 12/08/2017 | 75501311 | HEIDENREICH, CHARLYN | | DELAWARE SELECT GROWTH FUND A CLASS B | B | 0.00 | 2.14 | 0.00 | 2.14 65.0 1.39 |
| 12/08/2017 | 75501312 | HEIDENREICH, CHARLYN | | DELAWARE INVESTMENTS DIVERSIFIED IN B | B | 0.00 | 1.44 | 0.00 | 1.44 65.0 0.94 |
| 12/11/2017 | 75501312 | HEIDENREICH, CHARLYN | | FRANKLIN U.S. GOVERNMENT SECURITIES B | B | 0.00 | 0.75 | 0.00 | 0.75 65.0 0.49 |
| 12/11/2017 | 75501312 | HEIDENREICH, CHARLYN | | INTERMEDIATE BOND FUND OF AMERICA-A B | B | 0.00 | 2.77 | 0.00 | 2.77 65.0 1.80 |
| 12/11/2017 | 75501312 | HEIDENREICH, CHARLYN | | MFS EMERGING GROWTH FUND CLASS A | B | 0.00 | 0.07 | 0.00 | 0.07 65.0 0.05 |
| 12/11/2017 | 75501312 | HEIDENREICH, CHARLYN | | THE INVESTMENT COMPANY OF AMERICA-A B | B | 0.00 | 3.02 | 0.00 | 3.02 65.0 1.96 |
| 12/11/2017 | 75501313 | HEIDENREICH, ROBERT | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 10.55 | 0.00 | 10.55 65.0 6.86 |
| 12/11/2017 | 75501313 | HEIDENREICH, ROBERT | | FRANKLIN/TEMPLETON FUNDS 353612690 | B | 0.00 | 13.36 | 0.00 | 13.36 65.0 8.68 |
| 12/11/2017 | 75501313 | HEIDENREICH, ROBERT | | GOLDMAN SACHS TR SHORT DURATION INC B | B | 0.00 | 13.04 | 0.00 | 13.04 65.0 8.48 |
| 12/11/2017 | 75501313 | HEIDENREICH, ROBERT | | THE BOND FUND OF AMERICA-A | B | 0.00 | 9.38 | 0.00 | 9.38 65.0 6.10 |
| 12/11/2017 | 75501314 | COHEN, GLADYS | | EATON VANCE NATIONAL MUNICIPAL FUND B | B | 0.00 | 92.56 | 0.00 | 92.56 65.0 60.16 |
| 12/11/2017 | 75501314 | COHEN, GLADYS | | FRANKLIN NEW YORK TAX-FREE INCOME F B | B | 0.00 | 37.63 | 0.00 | 37.63 65.0 24.46 |
| 12/11/2017 | 75501314 | COHEN, GLADYS | | GOLDMAN SACHS DYNAMIC MUNICIPAL INC B | B | 0.00 | 88.04 | 0.00 | 88.04 65.0 57.23 |
| 12/11/2017 | 75501314 | COHEN, GLADYS | | GOLDMAN SACHS HIGH YIELD MUNICIPAL B | B | 0.00 | 52.63 | 0.00 | 52.63 65.0 34.21 |
| 12/11/2017 | 75501314 | COHEN, GLADYS | | ROCH. LIMITED TERM NEW YORK MUNICIPI B | B | 0.00 | 34.05 | 0.00 | 34.05 65.0 22.13 |
| 12/11/2017 | 75501314 | COHEN, GLADYS | | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 42.39 | 0.00 | 42.39 65.0 27.55 |
| 12/11/2017 | 75501316 | PIPER, CAROL | | AMERICAN HIGH-INCOME TRUST-A | B | 0.00 | 6.10 | 0.00 | 6.10 65.0 3.97 |
| 12/11/2017 | 75501316 | PIPER, CAROL | | FEDERATED HIGH INCOME BOND FUND | B | 0.00 | 5.66 | 0.00 | 5.66 65.0 3.68 |
| 12/11/2017 | 75501316 | PIPER, CAROL | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 7.64 | 0.00 | 7.64 65.0 4.97 |
| 12/11/2017 | 75501316 | PIPER, CAROL | | FRK AGE HIGH INC FND - CL A | B | 0.00 | 2.10 | 0.00 | 2.10 65.0 1.37 |
| 12/11/2017 | 75501316 | PIPER, CAROL | | GOLDMAN SACHS HIGH YIELD FUND CL A B | B | 0.00 | 6.53 | 0.00 | 6.53 65.0 4.24 |
| 12/11/2017 | 75501317 | PIPER, CAROL | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 1.17 | 0.00 | 1.17 65.0 0.76 |
| 12/11/2017 | 75501317 | PIPER, CAROL | | NEW PERSPECTIVE FUND-A | B | 0.00 | 3.34 | 0.00 | 3.34 65.0 2.17 |
| 12/11/2017 | 75501324 | HEIDENREICH, CHARLYN | | FRANKLIN BIOTECHNOLOGY DISCOVERY FU B | B | 0.00 | 3.36 | 0.00 | 3.36 65.0 2.18 |
| 12/11/2017 | 75501325 | ANN S TOTTEN | | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 2.35 | 0.00 | 2.35 65.0 1.53 |
| 12/11/2017 | 75501867 | PAGAN, VIONA LYNN | | **JPMORGAN TR I | B | 0.00 | 5.78 | 0.00 | 5.78 65.0 3.76 |
| 12/11/2017 | 75501867 | PAGAN, VIONA LYNN | | **JPMORGAN TR II | B | 0.00 | 23.80 | 0.00 | 23.80 65.0 15.47 |

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|---|-----------|-------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|------------|----------------------|-------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | |
| 12/11/2017 | 75501867 | PAGAN, VIONA LYNN | DYNAMIC SMALL CAP FUND - A | B | 0.00 | 20.43 | 0.00 | 20.43 | 65.0 | 13.28 |
| 12/11/2017 | 75501867 | PAGAN, VIONA LYNN | FIDELITY ADV TECHNOLOGY CL A | B | 0.00 | 12.93 | 0.00 | 12.93 | 65.0 | 8.40 |
| 12/11/2017 | 75501867 | PAGAN, VIONA LYNN | GROWTH AND INCOME FUND - A | B | 0.00 | 18.20 | 0.00 | 18.20 | 65.0 | 11.83 |
| 12/11/2017 | 75501867 | PAGAN, VIONA LYNN | SMALL CAP EQUITY FUND - A | B | 0.00 | 4.10 | 0.00 | 4.10 | 65.0 | 2.67 |
| 12/11/2017 | 75501867 | PAGAN, VIONA LYNN | U.S. EQUITY FUND - A | B | 0.00 | 23.98 | 0.00 | 23.98 | 65.0 | 15.59 |
| 12/11/2017 | 75502119 | COHEN, MICHAEL | ALLIANCEBERNSTEIN MUNI INCOME-NY A | B | 0.00 | 38.70 | 0.00 | 38.70 | 65.0 | 25.16 |
| 12/11/2017 | 75502119 | COHEN, MICHAEL | EATON VANCE NATIONAL MUNICIPAL FUND B | B | 0.00 | 15.77 | 0.00 | 15.77 | 65.0 | 10.25 |
| 12/11/2017 | 75502119 | COHEN, MICHAEL | EHV 27826L322 | B | 0.00 | 23.89 | 0.00 | 23.89 | 65.0 | 15.53 |
| 12/11/2017 | 75502119 | COHEN, MICHAEL | GOLDMAN SACHS HIGH YIELD MUNICIPAL | B | 0.00 | 31.34 | 0.00 | 31.34 | 65.0 | 20.37 |
| 12/11/2017 | 75502119 | COHEN, MICHAEL | NUVEEN NEW YORK MUNI BOND A | B | 0.00 | 57.07 | 0.00 | 57.07 | 65.0 | 37.10 |
| 12/11/2017 | 75502119 | COHEN, MICHAEL | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 10.92 | 0.00 | 10.92 | 65.0 | 7.10 |
| 12/11/2017 | 75502119 | COHEN, MICHAEL | ROCHESTER FUND MUNICIPALS A | B | 0.00 | 29.06 | 0.00 | 29.06 | 65.0 | 18.89 |
| 12/11/2017 | 75502119 | COHEN, MICHAEL | THE BOND FUND OF AMERICA-A | B | 0.00 | 15.48 | 0.00 | 15.48 | 65.0 | 10.06 |
| 12/20/2017 | QGW030595 | COHEN, MICHAEL | GOLDMAN SACHS HIGH YIELD MUNICIPAL | B | 0.00 | 17.26 | 0.00 | 17.26 | 65.0 | 11.22 |
| 12/21/2017 | QGW030595 | COHEN, MICHAEL | FRANKLIN FEDERAL TAX FREE INCOME FU B | B | 0.00 | 3.97 | 0.00 | 3.97 | 65.0 | 2.58 |
| 12/21/2017 | QGW030595 | COHEN, MICHAEL | FRANKLIN INCOME FUND CLASS A | B | 0.00 | 10.81 | 0.00 | 10.81 | 65.0 | 7.03 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$1,052.80 | \$0.00 | \$1,052.80 | \$684.37 | |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | \$205,844.32 | \$8,082.73 | \$490.00 | \$7,592.73 | \$4,763.84 | |

SPLIT TRANSACTIONS**BROKER: DAVID REILLY #21**

| | | | | | | | | | | |
|---|-----------|-------------------|---------------------------------------|---|---------------|----------------|---------------|----------------|--|----------------|
| 12/21/2017 | QGW008005 | SCHULZ, CARL | ROCH. LIMITED TERM NEW YORK MUNICIP B | | 0.00 | 6.28 | 0.00 | 6.28 | | 4.08 |
| 12/21/2017 | QGW008005 | SCHULZ, CARL | ROCHESTER FUND MUNICIPALS A | B | 0.00 | 33.96 | 0.00 | 33.96 | | 22.07 |
| 12/21/2017 | QGW008039 | STEFANO, MARGARET | ROCHESTER FUND MUNICIPALS A | B | 0.00 | 1.58 | 0.00 | 1.58 | | 1.03 |
| 12/15/2017 | QGW008047 | DOUGHERTY, JANE | HIGH YIELD A | B | 0.00 | 0.54 | 0.00 | 0.54 | | 0.35 |
| 12/21/2017 | QGW008047 | DOUGHERTY, JANE | ROCHESTER NATIONAL MUNICIPALS A | B | 0.00 | 3.22 | 0.00 | 3.22 | | 2.09 |
| 12/21/2017 | QGW023798 | OLSSON, RITA | CAPITAL APPRECIATION A | B | 0.00 | 0.26 | 0.00 | 0.26 | | 0.17 |
| 12/15/2017 | QGW023814 | STEFANO, MARGARET | EUROPACIFIC GROWTH FUND-A | B | 0.00 | 0.28 | 0.00 | 0.28 | | 0.18 |
| 12/15/2017 | QGW023814 | STEFANO, MARGARET | THE GROWTH FUND OF AMERICA-A | B | 0.00 | 1.21 | 0.00 | 1.21 | | 0.79 |
| 12/11/2017 | QGW023848 | BYRNE, GERARD | MFS INTERNTL DIVERSIFICATION FUND-A B | | 0.00 | 1.34 | 0.00 | 1.34 | | 0.87 |
| * DAVID REILLY SUBTOTAL * | | | | | \$0.00 | \$48.67 | \$0.00 | \$48.67 | | \$31.63 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | | | \$0.00 | \$48.67 | \$0.00 | \$48.67 | | \$31.63 |

COMMISSION STATEMENT for JOHN HEIDENREICH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---------------------------|--------|----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| ADJUSTMENTS | | | | | | | | | |
| 12/31/2017 | | OTHER: COMPLIANCE AND TECHNOLOGY | | 0.00 | 0.00 | 0.00 | 0.00 | | -20.00 |
| 12/31/2017 | | OTHER: OTHER-360 OFFICE | | 0.00 | 0.00 | 0.00 | 0.00 | | -12.00 |
| 12/31/2017 | | OTHER: OTHER-STATE REGIST | | 0.00 | 0.00 | 0.00 | 0.00 | | -442.00 |
| 12/31/2017 | | OTHER: EXCHANGE FEES | | 0.00 | 0.00 | 0.00 | 0.00 | | -54.44 |
| 12/31/2017 | | OTHER: QUODD | | 0.00 | 0.00 | 0.00 | 0.00 | | -170.35 |
| 12/31/2017 | | OTHER: WEALTH MANAGEMENT STATION | | 0.00 | 0.00 | 0.00 | 0.00 | | -25.00 |
| *** ADJUSTMENTS TOTAL *** | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-723.79 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$4,763.84 |
| Split Transactions | \$31.63 |
| Override Transactions | \$0.00 |
| Adjustments | \$-723.79 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-10.16 |
| SIPC Assessment | \$-20.33 |

| | |
|-----------------------|-------------|
| Check Amount | \$4,041.19 |
| Year-to-date Earnings | \$57,503.92 |