BROKER

All Companies

Page No. 1

R.F. Lafferty & Co., Inc.

COMMISSION STATEMENT

August 31, 2018

CHARLES WINNICK

970 PARK AVE

NEW YORK, NY 10028

BROKER #: W11

GROSS

BRANCH: FULCRUM GROUP

CLEARING

NET

COMMISSION STATEMENT for CHARLES WINNICK

INVESTMENT

08/16/2018 07501345 WINNICK, JOELY TIER REIT INC COM	TRADE DATE	CLIENT	INVESTMENT	B/S	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
PRODUCT CATEGORY: STOCKS			BDOKED	TDANG	ACTTOMS					
08/16/2018 75501342 WINNICK, HILLARY TIER REIT INC COM S 94,811.56 20.00 0.00 20.00 55.0 0.08/16/2018 75501345 WINNICK, JOELY TIER REIT INC COM S 94,703.20 20.00 0.00 20.00 55.0 0.08/16/2018 75501345 WINNICK, JOELY TIER REIT INC COM S 94,703.20 20.00 0.00 0.00 20.00 55.0 10.08/17/2018 QQV0060475 PARTINERS, F/A/G: ADMANS PHANACEUTICALS INC COM S -122,500.00 100.00 0.00 100.00 55.0 150.0 08/17/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 55.0 100.00 08/07/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -31,345.59 58.75 0.00 55.0 55.0 30.08/07/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -31,345.59 58.75 0.00 56.70 55.0 30.08/07/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -31,345.59 58.75 0.00 56.70 55.0 30.08/06/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -31,345.59 59.75 0.00 56.75 55.0 31.00 08/06/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -31,345.59 59.75 0.00 56.70 55.0 31.00 08/06/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -31,345.59 59.75 0.00 56.70 55.0 31.00 08/06/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -31,345.59 59.75 0.00 56.70 55.0 31.00 08/17/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S 136,572.80 763.90 0.00 763.90 55.0 32.00 08/17/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B B 139,200.00 0.00 0.00 30.00 55.0 55.0 198.08/17/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B B 193,200.00 0.00 0.00 30.00 55.0 55.0 198.08/17/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B B 193,200.00 50.00 0.00 30.00 55.0 55.0 198.08/24/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B B 8.00.00 0.00 0.00 355.00 55.0 198.08/24/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -38,801.00 1.00 0.00 15.00 55.0 55.0 198.08/24/2018 QQV006430 JPMCRGAN CLEARING TRIPLE S MONT CORP CL B S -33,319.97 55.00 0.00 355.00 55.0 198.08/24/2018 QQV006448 MORGAN STANLEY TRIPLE S MONT CORP CL B S -33,319.97 55.0 0.00 355.00 55.0			BROKEK	IKANSA	CITONS					
08/16/2018 75501345 WINNICK, JOELY TIER REIT INC COM S 94,703.20 20.00 0.00 20.00 55.0 10.08/03/2018 QCVV00675 PARTNERS, F/A/O: ADAMAS PHARMACENTICALS INC COM S -122,500.00 20.00 0.00 0.00 200.00 55.0 150.08/17/2018 QCVV006430 JPMCRAM CLEARING TRIPLE S MONT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 55.0 08/03/2018 QCVV006430 JPMCRAM CLEARING TRIPLE S MONT CORP CL B S -33,519.97 55.00 0.00 125.00 55.0 32.08/03/2018 QCVV006430 JPMCRAM CLEARING TRIPLE S MONT CORP CL B S -33,519.97 55.00 0.00 155.00 55.0 32.08/05/2018 QCVV006430 JPMCRAM CLEARING TRIPLE S MONT CORP CL B S -33,519.97 55.00 0.00 155.00 55.0 32.08/05/2018 QCVV006430 JPMCRAM CLEARING DVA PHARMACEUTICALS INC COM B 660,357.34 1,550.00 0.00 15.30.00 55.0 32.08/05/2018 QCVV006430 JPMCRAM CLEARING DVA PHARMACEUTICALS INC COM B 291,497.49 608.60 0.00 15.30.00 55.0 32.08/05/2018 QCVV006430 JPMCRAM CLEARING RIVERA RES INC COM B 304,572.80 763.90 0.00 763.90 55.0 420.00 08/17/2018 QCVV006430 JPMCRAM CLEARING RIVERA RES INC COM B 304,572.80 763.90 0.00 763.90 55.0 420.00 08/17/2018 QCVV006430 JPMCRAM CLEARING RIVERA RES INC COM B 191,204.64 360.00 0.00 763.90 55.0 420.00 08/17/2018 QCVV006430 JPMCRAM CLEARING RIVERA RES INC COM B 192,204.00 430.00 0.00 329.50 55.0 420.00 08/17/2018 QCVV006430 JPMCRAM CLEARING RIVERA RES INC COM B 192,204.00 430.00 0.00 329.50 55.0 228.08/27/2018 QCVV006430 JPMCRAM CLEARING RIVERA RES INC COM B 192,204.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	PRODUCT CA	TEGORY: STOCKS								
08/03/2018 QGV006075 PARTNERS, F/A/O: ADAMAS PHARMACEUTICALS INC COM S -122,500.00 0.00 0.00 0.00 100.00 55.0 100.07/13/12018 QGV006430 PARTNERS, F/A/O: REWELL BRANDS INC SHS B 53,946.00 100.00 0.00 100.00 55.0 55.0 55.0 07/31/2018 QGV006430 JPMORGAN CLEARING THIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 125.00 55.0 55.0 08/02/2018 QGV006430 JPMORGAN CLEARING THIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 32.0 08/06/2018 QGV006430 JPMORGAN CLEARING THIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 55.00 55.0 40.0 08/06/2018 QGV006430 JPMORGAN CLEARING DOWN PHARMACEUTICALS INC COM B 600,357.34 1.530.00 0.00 1.530.00 55.0 32.0 08/06/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 600,357.34 1.530.00 0.00 608.00 55.0 334.0 08/06/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 3644.72.80 0.00 608.00 0.00 608.00 55.0 420.0 08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 3644.72.80 0.00 608.00 0.00 608.00 55.0 420.0 08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 420.0 08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253.0 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253.0 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 500.00 500.00 500.00 55.0 253.0 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 500.00 500.00 500.00 55.0 253.0 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.222.625.00 500.00 0.00 500.00 55.0 253.0 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.350.00 0.00 0.00 0.00 0.00 0.00 0.00 0.	08/16/2018 7	5501342 WINNICK, HILLARY	TIER REIT INC COM	S	94,841.56	20.00	0.00	20.00	55.0	0.00
08/17/2018 QGV006075 PARTNERS, P/A/O: NEWELL BRANDS INC SHS B 53,946.00 100.00 0.00 125.00 55.0 65.0 07/31/2018 QGV006430 DFMORGAN CLEARING TRIPLE S MEMT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 68.00 08/02/2018 QGV006430 JFMORGAN CLEARING TRIPLE S MEMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30.00 08/03/2018 QGV006430 JFMORGAN CLEARING DOVA PHARMACEUTICALS INC COM B 660,357.34 1,530.00 0.00 158.75 55.0 32.08/06/2018 QGV006430 JFMORGAN CLEARING DOVA PHARMACEUTICALS INC COM B 660,357.34 1,530.00 0.00 68.60 55.0 481.08/09/2018 QGV006430 JFMORGAN CLEARING RIVERA RES INC COM B 660,357.34 1,530.00 0.00 160.00 68.60 55.0 481.08/09/2018 QGV006430 JFMORGAN CLEARING RIVERA RES INC COM B 19,497.49 608.60 0.00 68.60 55.0 420.08/17/2018 QGV006430 JFMORGAN CLEARING LINN EMERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 560.00 55.0 198.08/17/2018 QGV006430 JFMORGAN CLEARING LINN EMERGY INC NEW CL A B 19,204.64 360.00 0.00 360.00 560.00 55.0 198.08/17/2018 QGV006430 JFMORGAN CLEARING LINN EMERGY INC NEW CL A B 19,204.64 360.00 0.00 360.00 55.0 180.08/17/2018 QGV006430 JFMORGAN CLEARING RIVERA RES INC COM B 10,71,070.3 329.50 0.00 329.50 55.0 181.08/23/2018 QGV006430 JFMORGAN CLEARING RIVERA RES INC COM B 10,71,070.3 329.50 0.00 329.50 55.0 181.08/23/2018 QGV006430 JFMORGAN CLEARING RIVERA RES INC COM B 8.00 0.00 0.00 0.00 0.00 0.00 0.00 0.	08/16/2018 7	5501345 WINNICK, JOELY	TIER REIT INC COM	S	94,703.20	20.00	0.00	20.00	55.0	0.00
07/31/2018 QGV006430 JPMORGAN CLEARING TRIPLE S MGMT CORP CL B	08/03/2018 Q	GV006075 PARTNERS, F/A/O:	ADAMAS PHARMACEUTICALS INC COM	S	-122,500.00	200.00	0.00	200.00	55.0	110.00
08/02/2018 QGV006430 JPMORGAN CLEARING TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30.08/03/2018 QGV006430 JPMORGAN CLEARING TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 55.75 55.0 32.08/03/2018 QGV006430 JPMORGAN CLEARING DVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 341.08/09/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420.08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420.08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 198.08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 198.08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 198.08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 329.50 55.0 181.08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,265.00 500.00 0.00 532.50 55.0 181.08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.35,200.00 51.00 0.00 551.00 55.0 275.08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.35,200.00 51.00 0.00 551.00 55.0 28.08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.35,200.00 0.00 0.00 60.00 551.00 55.0 28.08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.35,200.00 0.00 0.00 60.00 55.00 55.0 195.00 08/27/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35.00 0.00 0.00 0.00 0.00 0.00 0.00 0.0	08/17/2018 Q	GV006075 PARTNERS, F/A/O:	NEWELL BRANDS INC SHS	В	53,946.00	100.00	0.00	100.00	55.0	55.00
08/03/2018 QCV006430 JPMORGAN CLEARING TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32.08/06/2018 QCV006430 JPMORGAN CLEARING DOVA PHARMACEUTICALS INC COM B 680,357.34 1.530.00 0.00 1.530.00 55.0 841.08/09/2018 QCV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 291,497.49 608.60 0.00 608.60 55.0 334.08/10/2018 QCV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420.08/17/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198.08/17/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 193,200.00 460.00 0.00 329.50 55.0 181.08/23/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181.08/23/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181.08/23/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 500.00 500.00 55.0 275.08/24/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 8.250.00 500.00 0.00 500.00 55.0 275.08/24/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 35,250.00 500.00 0.00 500.00 55.0 28.08/24/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 35,250.00 500.00 0.00 500.00 55.0 28.08/24/2018 QCV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 35,250.00 50.00 0.00 55.00 55.0 360.00 0.00 55.00 55.0 360.00 0.00 55.00 55.0 360.00 0.00 0.00 0.00 0.00 0.00 0.00	07/31/2018 Q	GV006430 JPMORGAN CLEARING	TRIPLE S MGMT CORP CL B	S	-88,801.00	125.00	0.00	125.00	55.0	68.75
08/06/2018 QGV006430 JPMORGAN CLEARING DOVA PHARMACEUTICALS INC COM B 68,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/09/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 291,497.49 608.60 0.00 608.60 55.0 334. 08/10/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 119,204.64 360.00 0.00 360.00 55.0 198. 08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 198. 08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 329.50 55.0 181. 08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 1222,625.00 500.00 0.00 329.50 55.0 181. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8,225.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8,250.00 51.00 0.00 500.00 55.0 275. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8,250.00 51.00 0.00 500.00 55.0 55.0 195. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8,500.00 500.00 500.00 55.0 55.0 195. 08/24/2018 QGV006440 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 355.00 55.0 195. 08/09/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 55.00 55.0 30. 08/09/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -89,892.31 500.00 0.00 55.00 55.0 320. 08/09/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -89,892.31 500.00 0.00 500.00 55.00 55.0 320. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 360.00 55.0 320. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 360.00 55.0 320. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 394,572.80 500.00 0.00 360.00 55.0 320.00 661.71/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 394,572.80 500.00 0.00 0.00 0.00 0.00 0.00 0.00	08/02/2018 Q	GV006430 JPMORGAN CLEARING	TRIPLE S MGMT CORP CL B	S	-33,519.97	55.00	0.00	55.00	55.0	30.25
08/09/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 364,572.80 763.90 0.00 608.60 55.0 334. 08/10/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 360.00 55.0 198. 08/27/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 329.50 55.0 181. 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 253. 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 253. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 253. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 0.00 500.00 500.00 55.0 268. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 0.00 0.00 500.00 55.0 268. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 0.00 0.00 0.00 0.00 0.00 0.00 0.	08/03/2018 Q	GV006430 JPMORGAN CLEARING	TRIPLE S MGMT CORP CL B	S	-31,345.59	58.75	0.00	58.75	55.0	32.31
08/10/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420.08/17/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198.08/17/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 193,200.00 460.00 0.00 460.00 55.0 253.08/22/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181.08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275.08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275.08/24/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28.08/24/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 8,250.00 60.00 60.00 55.0 144.08/24/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195.0 195.07/31/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 355.00 55.0 195.0 186/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30.08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,519.97 55.00 0.00 55.00 55.0 30.08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,519.97 55.00 0.00 55.00 55.0 30.08/05/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,519.97 55.00 0.00 55.00 55.0 30.08/05/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,519.97 55.00 0.00 55.00 55.0 30.08/05/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,519.97 55.00 0.00 55.00 55.0 30.08/05/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,519.97 55.00 0.00 55.00 55.0 30.00 5	08/06/2018 Q	GV006430 JPMORGAN CLEARING	DOVA PHARMACEUTICALS INC COM	В	680,357.34	1,530.00	0.00	1,530.00	55.0	841.50
08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.22,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8.550.00 500.00 0.00 500.00 55.0 44. 08/27/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 118,119.15 355.00 0.00 355.00 55.0 195. 08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 355.00 55.0 68. 08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/08/09/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/08/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337. 08/08/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 342. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 199,204.64 360.00 0.00 360.00 55.0 253. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 199,204.64 360.00 0.00 360.00 55.0 253. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 199,204.64 360.00 0.00 360.00 55.0 253. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 199,204.64 360.00 0.00 360.00 55.0 253. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 50.00 55.0 55.0 253. 08/24/2018 QGV006448 MORGAN ST	08/09/2018 Q	GV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	В	291,497.49	608.60	0.00	608.60	55.0	334.73
08/17/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 8,550.00 51.00 0.00 500.00 55.0 275. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006440 JPMORGAN STANLEY RIVIERA RES INC COM B 118,119.15 355.00 0.00 355.00 55.0 195. 07/31/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 68. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 360.00 55.0 253. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 253. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 500.00 0.00 500.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,500.00 0.00 500.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RE	08/10/2018 Q	GV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	В	364,572.80	763.90	0.00	763.90	55.0	420.15
08/22/2018 GSV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 355.00 55.0 44. 08/24/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 44. 08/24/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 68. 08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/09/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 44. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 198. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 19,204.64 360.00 0.00 360.00 55.0 198. 08/21/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 19,204.64 360.00 0.00 329.50 55.0 198. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 19,204.64 360.00 0.00 329.50 55.0 198. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 10,110.7 93 329.50 50.00 50.00 55.0 55.0 181. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 50.00 50.00 50.00 55.0 55.0 195.	08/17/2018 Q	GV006430 JPMORGAN CLEARING	LINN ENERGY INC NEW CL A	В	119,204.64	360.00	0.00	360.00	55.0	198.00
08/23/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 222.625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 8.250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 118,119.15 355.00 0.00 355.00 55.0 44. 08/27/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 68. 08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 119,204.64 360.00 0.00 360.00 55.0 198. 08/21/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 360.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 500.00 0.00 55.00 55.0 55.0 195.	08/17/2018 Q	GV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	В	193,200.00	460.00	0.00	460.00	55.0	253.00
08/24/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 55.00 55.0 28. 08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195. 07/31/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 68. 08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 680,357.34 1,530.00 0.00 613.60 55.0 337. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 119,204.64 360.00 0.00 360.00 55.0 198. 08/21/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 360.00 55.0 198. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 360.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 50.00 55.0 255.0 268. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 50.00 0.00 50.00 55.0 255.0 268. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 50.00 0.00 50.00 55.0 255.0 268. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 50.00 0.00 50.00 55.0 55.0 265.0 268. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 50.00 0.00 50.00 55.00 55.0 268. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 50.00 0.00 50.00 55	08/22/2018 Q	GV006430 JPMORGAN CLEARING	LINN ENERGY INC NEW CL A	В	107,107.93	329.50	0.00	329.50	55.0	181.23
08/24/2018 QGV006430 JPMORGAN CLEARING RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195. 07/31/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 68. 08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/10/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 360.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 329.50 55.0 198. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 329.50 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 500.00 0.00 550.0 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 500.00 0.00 500.00 550.0 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 500.00 0.00 500.00 550.0 55.0 275.	08/23/2018 Q	GV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	В	222,625.00	500.00	0.00	500.00	55.0	275.00
08/27/2018 QGV006430 JPMORGAN CLEARING LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195. 07/31/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 68. 08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 119,204.64 360.00 0.00 360.00 55.0 198. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 19,204.64 360.00 0.00 360.00 55.0 198. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 19,204.64 360.00 0.00 360.00 55.0 198. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 19,204.64 360.00 0.00 360.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 19,204.64 360.00 0.00 360.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 19,107.07.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 50.00 50.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 50.00 50.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 50.00 50.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 50.00 50.00 50.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 50.00 50.00 55.0 55.0 195.	08/24/2018 Q	GV006430 JPMORGAN CLEARING	LINN ENERGY INC NEW CL A	В	8,250.00	51.00	0.00	51.00	55.0	28.05
07/31/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -88,801.00 125.00 0.00 125.00 55.0 68. 08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30. 08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198. 08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 360.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 50.00 0.00 55.0 55.0 195. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 55.0 44. 08/27/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 0.00 0.00 55.0 55.0 195.	08/24/2018 Q	GV006430 JPMORGAN CLEARING	RIVIERA RES INC COM	В	35,200.00	80.00	0.00	80.00	55.0	44.00
08/02/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -33,519.97 55.00 0.00 55.00 55.0 30.08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32.08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841.08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337.08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420.08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 119,204.64 360.00 0.00 360.00 55.0 198.08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253.08/22/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 360.00 55.0 181.08/23/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181.08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275.0 8/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275.0 8/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 51.00 0.00 500.00 55.0 28.08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 500.00 55.0 28.08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 28.08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 355.00 55.0 44.08/27/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 355.00 55.0 195.0	08/27/2018 Q	GV006430 JPMORGAN CLEARING	LINN ENERGY INC NEW CL A	В	118,119.15	355.00	0.00	355.00	55.0	195.25
08/03/2018 QGV006448 MORGAN STANLEY TRIPLE S MGMT CORP CL B S -31,345.59 58.75 0.00 58.75 55.0 32. 08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841. 08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 55.00 55.0 195.	07/31/2018 Q	GV006448 MORGAN STANLEY	TRIPLE S MGMT CORP CL B	S	-88,801.00	125.00	0.00	125.00	55.0	68.75
08/06/2018 QGV006448 MORGAN STANLEY DOVA PHARMACEUTICALS INC COM B 680,357.34 1,530.00 0.00 1,530.00 55.0 841.08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337.08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420.08/17/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198.08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253.08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181.08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275.08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275.08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 55.0 55.0 28.08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 55.0 55.0 28.08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 55.0 44.08/27/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355.00 0.00 355.00 55.0 195.0	08/02/2018 Q	GV006448 MORGAN STANLEY	TRIPLE S MGMT CORP CL B	S	-33,519.97	55.00	0.00	55.00	55.0	30.25
08/09/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 293,892.31 613.60 0.00 613.60 55.0 337. 08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 50.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 55.0 55.0 195.	08/03/2018 Q	GV006448 MORGAN STANLEY	TRIPLE S MGMT CORP CL B	S	-31,345.59	58.75	0.00	58.75	55.0	32.31
08/10/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 364,572.80 763.90 0.00 763.90 55.0 420. 08/17/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 355.00 55.0 195.	08/06/2018 Q	GV006448 MORGAN STANLEY	DOVA PHARMACEUTICALS INC COM	В	680,357.34	1,530.00	0.00	1,530.00	55.0	841.50
08/17/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 119,204.64 360.00 0.00 360.00 55.0 198. 08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 355,200.00 80.00 0.00 355.00 55.0 195.	08/09/2018 Q	GV006448 MORGAN STANLEY	RIVIERA RES INC COM	В	293,892.31	613.60	0.00	613.60	55.0	337.48
08/17/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 193,200.00 460.00 0.00 460.00 55.0 253. 08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 355.00 55.0 195.	08/10/2018 Q	GV006448 MORGAN STANLEY	RIVIERA RES INC COM	В	364,572.80	763.90	0.00	763.90	55.0	420.15
08/22/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 107,107.93 329.50 0.00 329.50 55.0 181. 08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195.	08/17/2018 Q	GV006448 MORGAN STANLEY	LINN ENERGY INC NEW CL A	В	119,204.64	360.00	0.00	360.00	55.0	198.00
08/23/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 222,625.00 500.00 0.00 500.00 55.0 275. 08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195.	08/17/2018 Q	GV006448 MORGAN STANLEY	RIVIERA RES INC COM	В	193,200.00	460.00	0.00	460.00	55.0	253.00
08/24/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 8,250.00 51.00 0.00 51.00 55.0 28. 08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195.	08/22/2018 Q	GV006448 MORGAN STANLEY	LINN ENERGY INC NEW CL A	В	107,107.93	329.50	0.00	329.50	55.0	181.23
08/24/2018 QGV006448 MORGAN STANLEY RIVIERA RES INC COM B 35,200.00 80.00 0.00 80.00 55.0 44. 08/27/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195.	08/23/2018 Q	GV006448 MORGAN STANLEY	RIVIERA RES INC COM	В	222,625.00	500.00	0.00	500.00	55.0	275.00
08/27/2018 QGV006448 MORGAN STANLEY LINN ENERGY INC NEW CL A B 118,119.15 355.00 0.00 355.00 55.0 195.	08/24/2018 Q	GV006448 MORGAN STANLEY	LINN ENERGY INC NEW CL A	В	8,250.00	51.00	0.00	51.00	55.0	28.05
	08/24/2018 Q	GV006448 MORGAN STANLEY	RIVIERA RES INC COM	В	35,200.00	80.00	0.00	80.00	55.0	44.00
07/30/2018 QGW031072 KRAFF REVOCABLE STAAR SURGICAL CO NEW S -66,000.00 200.00 0.00 200.00 55.0 110.	08/27/2018 Q	GV006448 MORGAN STANLEY	LINN ENERGY INC NEW CL A	В	118,119.15	355.00	0.00	355.00	55.0	195.25
	07/30/2018 Q	GW031072 KRAFF REVOCABLE	STAAR SURGICAL CO NEW	S	-66,000.00	200.00	0.00	200.00	55.0	110.00

09/10/2018	COMMISSION STATEMENT for CHARLES WINNICK						Page No. 2			
TRADE DATE CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
	BROKER	TRANS	ACTIONS							
PRODUCT CATEGORY: STOCKS										
07/30/2018 OGW031080 DEROSA, LYNN	APPLE INC	S	-7,019.75	51.00	0.00	51.00	55.0	28.05		
07/30/2018 OGW031080 DEROSA, LYNN	INTREXON CORP COM	S	-12,717.09	51.00	0.00	51.00	55.0	28.05		
07/30/2018 QGW031080 DEROSA, LYNN	ZIOPHARM ONCOLOGY INC	S	-282.88	51.00	0.00	51.00	55.0	28.05		
08/29/2018 QGW031106 TIMYAN, PHILIP	EMPIRE BANCORP INC COM	В	37,370.00	51.00	0.00	51.00	55.0	28.05		
07/31/2018 QGW034852 HOLMES, MEGAN	MIMEDX GROUP INC COM	В	10,625.00	75.00	0.00	75.00	55.0	41.25		
08/17/2018 QGW034852 HOLMES, MEGAN	MIMEDX GROUP INC COM	В	25,000.00	561.38	0.00	561.38	55.0	308.76		
08/17/2018 QGW034852 HOLMES, MEGAN	ULTRA PETROLEUM CORP REGISTERED	SHS B	14,500.00	358.32	0.00	358.32	55.0	197.08		
	* STOCKS SUBTOT	AL *	\$4,097,796.44	\$12,297.20	\$0.00	\$12,297.20		\$6,741.48		
PRODUCT CATEGORY: OPTIONS										
07/31/2018 QGW034852 HOLMES, MEGAN	CALL 100 MIMEDX GROUP INC COM EX	P 0 S	-1,750.00	100.00	0.00	100.00	55.0	55.00		
08/29/2018 QGW034852 HOLMES, MEGAN	CALL 100 MIMEDX GROUP INC COM EX	P 0 S	-5,500.00	75.00	0.00	75.00	55.0	41.25		
	* OPTIONS SUBTOT	AL *	\$-7,250.00	\$175.00	\$0.00	\$175.00		\$96.25		
PRODUCT CATEGORY: MISCELLANEOUS										
08/06/2018 VARIOUS, WINNICK	BARON CAPITAL	В	0.00	2,500.00	0.00	2,500.00	55.0	1,375.00		
	* MISCELLANEOUS SUBTOT	AL *	\$0.00	\$2,500.00	\$0.00	\$2,500.00		\$1,375.00		
	*** BROKER TRANSACTIONS TOTAL	***	\$4,090,546.44	\$14,972.20	\$0.00	\$14,972.20		\$8,212.73		

ADJUSTMENT
ADO O STREMI

08/31/2018	COMMISSION INCOME: HEWES	0.00	0.00	0.00	0.00	-3,484.30
	*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$-3,484.30

BROKER COMMISSION TOTALS \$8,212.73 Broker Transactions \$0.00 Split Transactions \$0.00 Override Transactions \$-3,484.30 Adjustments Payroll Draw \$0.00 \$0.00 Base Salary Prior Period Balance \$0.00 FINRA Assessment \$-15.59 \$-31.18 SIPC Assessment \$4,681.66 Check Amount \$33,239.12 Year-to-date Earnings