

## COMMISSION STATEMENT

July 31, 2017

MARCO CASALE

151 BENNINGTON ROAD

FREEHOLD, NJ 07728

BROKER #: 48

BRANCH: HOME OFFICE

## COMMISSION STATEMENT for MARCO CASALE

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

07/01/2017 (None)	VARIOUS, CASALE	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	300.00	0.00	300.00	80.0	240.00
* MUTUAL FUNDS SUBTOTAL *				\$0.00	\$300.00	\$0.00	\$300.00		\$240.00

PRODUCT CATEGORY: STOCKS

07/12/2017	QGW033474	PILLERA, CHARLES	CARA THERAPEUTICS INC COM	B	7,150.00	135.00	6.00	129.00	80.0	102.00
07/12/2017	QGW033474	PILLERA, CHARLES	KRANESHARES TR QOSERA MSCI CHINA A	S	-12,360.00	75.00	6.00	69.00	80.0	54.00
07/14/2017	QGW033474	PILLERA, CHARLES	MYND ANALYTICS INC COMMON STOCK	B	2,494.24	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW033474	PILLERA, CHARLES	WTS MYND ANALYTICS INC WARRANT	B	4.76	0.00	6.00	-6.00	80.0	-6.00
07/06/2017	QGW033649	ARLENE M FRANCIS,	COHERUS BIOSCIENCES INC COM	B	14,025.00	260.00	6.00	254.00	80.0	202.00
07/06/2017	QGW033649	ARLENE M FRANCIS,	NVIDIA CORP	B	14,190.00	200.00	6.00	194.00	80.0	154.00
07/10/2017	QGW033649	ARLENE M FRANCIS,	NVIDIA CORP	S	-15,000.00	100.00	6.00	94.00	80.0	74.00
07/10/2017	QGW033649	ARLENE M FRANCIS,	TESLA MOTORS INC	B	31,287.00	200.00	6.00	194.00	80.0	154.00
07/11/2017	QGW033649	ARLENE M FRANCIS,	KRANESHARES TR QOSERA MSCI CHINA A	S	-15,385.00	75.00	6.00	69.00	80.0	54.00
07/12/2017	QGW033649	ARLENE M FRANCIS,	CARA THERAPEUTICS INC COM	B	7,150.00	136.00	6.00	130.00	80.0	102.80
07/12/2017	QGW033649	ARLENE M FRANCIS,	TESLA MOTORS INC	S	-32,842.60	200.00	6.00	194.00	80.0	154.00
07/14/2017	QGW033649	ARLENE M FRANCIS,	MYND ANALYTICS INC COMMON STOCK	B	9,982.20	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW033649	ARLENE M FRANCIS,	WTS MYND ANALYTICS INC WARRANT	B	19.05	0.00	6.00	-6.00	80.0	-6.00
07/26/2017	QGW033649	ARLENE M FRANCIS,	CARA THERAPEUTICS INC COM	S	-7,530.00	50.00	6.00	44.00	80.0	34.00
07/12/2017	QGW033656	MOONEY, MARY	CARA THERAPEUTICS INC COM	B	7,134.30	136.00	6.00	130.00	80.0	102.80
07/14/2017	QGW033656	MOONEY, MARY	MYND ANALYTICS INC COMMON STOCK	B	4,988.48	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW033656	MOONEY, MARY	WTS MYND ANALYTICS INC WARRANT	B	9.52	0.00	6.00	-6.00	80.0	-6.00
07/26/2017	QGW033656	MOONEY, MARY	CARA THERAPEUTICS INC COM	S	-7,531.25	50.00	6.00	44.00	80.0	34.00
07/06/2017	QGW033706	PRAGER, BERNARD	DYNEX CAP INC COM NEW	S	-4,941.60	130.00	6.00	124.00	80.0	98.00
07/12/2017	QGW033763	LYONS, SALLY	CARA THERAPEUTICS INC COM	B	6,868.50	136.00	6.00	130.00	80.0	102.80
07/12/2017	QGW033763	LYONS, SALLY	GILEAD SCIENCES INC	S	-17,456.10	75.00	6.00	69.00	80.0	54.00
07/14/2017	QGW033763	LYONS, SALLY	MYND ANALYTICS INC COMMON STOCK	B	4,988.48	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW033763	LYONS, SALLY	WTS MYND ANALYTICS INC WARRANT	B	9.52	0.00	6.00	-6.00	80.0	-6.00
07/12/2017	QGW033805	LYONS, SALLY	AMERICAN AIRLINES GROUP INC	B	26,425.00	337.00	6.00	331.00	80.0	263.60
07/12/2017	QGW033805	LYONS, SALLY	CARA THERAPEUTICS INC COM	B	13,749.00	255.00	6.00	249.00	80.0	198.00
07/14/2017	QGW033805	LYONS, SALLY	MYND ANALYTICS INC COMMON STOCK	B	9,982.20	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW033805	LYONS, SALLY	WTS MYND ANALYTICS INC WARRANT	B	19.05	0.00	6.00	-6.00	80.0	-6.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
07/10/2017	QGW034761	SYMCZAK, STEPHEN							
		NVIDIA CORP	B	7,483.50	100.00	6.00	94.00	80.0	74.00
07/13/2017	QGW034761	SYMCZAK, STEPHEN							
		NVIDIA CORP	S	-24,432.15	100.00	6.00	94.00	80.0	74.00
07/14/2017	QGW034894	MODDERNO, PATRICIA							
		MYND ANALYTICS INC COMMON STOCK	B	4,988.48	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW034894	MODDERNO, PATRICIA							
		WTS MYND ANALYTICS INC WARRANT	B	9.52	0.00	6.00	-6.00	80.0	-6.00
07/06/2017	QGW035438	RIZZO, GIOVANNI							
		NVIDIA CORP	B	14,079.80	200.00	6.00	194.00	80.0	154.00
07/10/2017	QGW035438	RIZZO, GIOVANNI							
		NVIDIA CORP	S	-15,000.00	100.00	6.00	94.00	80.0	74.00
07/10/2017	QGW035438	RIZZO, GIOVANNI							
		TESLA MOTORS INC	B	31,287.00	200.00	6.00	194.00	80.0	154.00
07/12/2017	QGW035438	RIZZO, GIOVANNI							
		TESLA MOTORS INC	S	-32,885.48	200.00	6.00	194.00	80.0	154.00
07/14/2017	QGW035438	RIZZO, GIOVANNI							
		MYND ANALYTICS INC COMMON STOCK	B	9,982.20	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW035438	RIZZO, GIOVANNI							
		WTS MYND ANALYTICS INC WARRANT	B	19.05	0.00	6.00	-6.00	80.0	-6.00
06/30/2017	QGW036519	SINGH, BHUPINDER							
		CELGENE CORP	S	-24,200.00	161.46	6.00	155.46	80.0	123.17
07/06/2017	QGW036519	SINGH, BHUPINDER							
		NVIDIA CORP	B	14,064.60	200.00	6.00	194.00	80.0	154.00
07/10/2017	QGW036519	SINGH, BHUPINDER							
		NVIDIA CORP	B	7,483.50	100.00	6.00	94.00	80.0	74.00
07/14/2017	QGW036576	GANG, ADAM							
		MYND ANALYTICS INC COMMON STOCK	B	4,988.48	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW036576	GANG, ADAM							
		WTS MYND ANALYTICS INC WARRANT	B	9.52	0.00	6.00	-6.00	80.0	-6.00
07/06/2017	QGW036584	TREIBER, NANCY							
		NVIDIA CORP	B	14,072.60	200.00	6.00	194.00	80.0	154.00
07/10/2017	QGW036584	TREIBER, NANCY							
		KRANESHARES TR QOSERA MSCI CHINA A	S	-15,335.00	75.00	6.00	69.00	80.0	54.00
07/10/2017	QGW036584	TREIBER, NANCY							
		TESLA MOTORS INC	B	31,287.00	200.00	6.00	194.00	80.0	154.00
07/12/2017	QGW036584	TREIBER, NANCY							
		CARA THERAPEUTICS INC COM	B	14,008.80	259.00	6.00	253.00	80.0	201.20
07/12/2017	QGW036584	TREIBER, NANCY							
		TESLA MOTORS INC	S	-32,831.77	200.00	6.00	194.00	80.0	154.00
07/13/2017	QGW036584	TREIBER, NANCY							
		CALPINE CORPORATION	S	-13,943.00	100.00	6.00	94.00	80.0	74.00
07/14/2017	QGW036584	TREIBER, NANCY							
		MYND ANALYTICS INC COMMON STOCK	B	9,982.20	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW036584	TREIBER, NANCY							
		WTS MYND ANALYTICS INC WARRANT	B	19.05	0.00	6.00	-6.00	80.0	-6.00
07/10/2017	QGW036592	TREIBER, NANCY							
		CALPINE CORPORATION	S	-12,860.00	100.00	6.00	94.00	80.0	74.00
07/10/2017	QGW036592	TREIBER, NANCY							
		NVIDIA CORP	B	7,483.50	100.00	6.00	94.00	80.0	74.00
07/13/2017	QGW036592	TREIBER, NANCY							
		NVIDIA CORP	S	-8,182.36	50.00	6.00	44.00	80.0	34.00
07/14/2017	QGW036592	TREIBER, NANCY							
		MYND ANALYTICS INC COMMON STOCK	B	9,982.20	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW036592	TREIBER, NANCY							
		WTS MYND ANALYTICS INC WARRANT	B	19.05	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW036915	CASSERINO, PAULA							
		MYND ANALYTICS INC COMMON STOCK	B	4,988.48	0.00	6.00	-6.00	80.0	-6.00
07/14/2017	QGW036915	CASSERINO, PAULA							
		WTS MYND ANALYTICS INC WARRANT	B	9.52	0.00	6.00	-6.00	80.0	-6.00
07/19/2017	QGW037020	HENNESSY, DAINEL							
		BCB BANCORP INC COM	S	-15,029.70	271.00	6.00	265.00	80.0	210.80
07/19/2017	QGW037020	HENNESSY, DAINEL							
		CALPINE CORPORATION	B	14,190.00	261.00	6.00	255.00	80.0	202.80
<b>* STOCKS SUBTOTAL *</b>				<b>\$53,168.34</b>	<b>\$5,727.46</b>	<b>\$354.00</b>	<b>\$5,373.46</b>		<b>\$4,227.97</b>
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
07/06/2017	QGW033474	PILLERA, CHARLES							
		CALL 100 WHITING PETE CORP COM EXP	S	-435.00	75.00	6.00	69.00	80.0	54.00
07/12/2017	QGW033599	PILLERA, CHARLES							
		CALL 100 WHITING PETE CORP COM EXP	S	-380.00	75.00	6.00	69.00	80.0	54.00
07/06/2017	QGW033649	ARLENE M FRANCIS,							
		CALL 100 SALESFORCE.COM INC COM STO	S	-375.00	75.00	6.00	69.00	80.0	54.00
07/06/2017	QGW033649	ARLENE M FRANCIS,							
		CALL 100 WHITING PETE CORP COM EXP	S	-260.00	50.00	6.00	44.00	80.0	34.00
07/06/2017	QGW033763	LYONS, SALLY							
		CALL 100 WHITING PETE CORP COM EXP	S	-493.00	75.00	6.00	69.00	80.0	54.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: OPTIONS</u></b>									
07/12/2017	QGW033805 LYONS, SALLY	CALL 100 WHITING PETE CORP COM EXP S		-500.00	75.00	6.00	69.00	80.0	54.00
07/27/2017	QGW033805 LYONS, SALLY	CALL 100 WHITING PETE CORP COM EXP S		-600.00	75.00	6.00	69.00	80.0	54.00
07/28/2017	QGW033805 LYONS, SALLY	CALL 100 WHITING PETE CORP COM EXP B		25.00	0.00	6.00	-6.00	80.0	-6.00
07/10/2017	QGW034761 SYMCZAK, STEPHEN	CALL 100 WHITING PETE CORP COM EXP S		-360.00	80.00	6.00	74.00	80.0	58.00
07/11/2017	QGW034894 MODDERNO, PATRICIA	CALL 100 WHITING PETE CORP COM EXP S		-285.00	50.00	6.00	44.00	80.0	34.00
07/06/2017	QGW035438 RIZZO, GIOVANNI	CALL 100 BARCLAYS BK PLC IPATH S&P S		-870.00	100.00	6.00	94.00	80.0	74.00
07/06/2017	QGW035438 RIZZO, GIOVANNI	CALL 100 WHITING PETE CORP COM EXP S		-380.00	100.00	6.00	94.00	80.0	74.00
07/06/2017	QGW036493 ARLENE M FRANCIS,	CALL 100 WHITING PETE CORP COM EXP S		-390.00	55.00	6.00	49.00	80.0	38.00
07/06/2017	QGW036519 SINGH, BHUPINDER	CALL 100 NVIDIA CORP COM EXP 08-04- S		-490.00	65.00	6.00	59.00	80.0	46.00
07/06/2017	QGW036584 TREIBER, NANCY	CALL 100 BARCLAYS BK PLC IPATH S&P S		-770.00	75.00	6.00	69.00	80.0	54.00
07/06/2017	QGW036584 TREIBER, NANCY	CALL 100 NVIDIA CORP COM EXP 08-04- S		-1,029.00	90.00	6.00	84.00	80.0	66.00
07/06/2017	QGW036584 TREIBER, NANCY	CALL 100 WHITING PETE CORP COM EXP S		-580.00	75.00	6.00	69.00	80.0	54.00
07/10/2017	QGW036592 TREIBER, NANCY	CALL 100 WHITING PETE CORP COM EXP S		-270.00	75.00	6.00	69.00	80.0	54.00
<b>* OPTIONS SUBTOTAL *</b>				<b>\$-8,442.00</b>	<b>\$1,265.00</b>	<b>\$108.00</b>	<b>\$1,157.00</b>		<b>\$904.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
07/18/2017	QGW037061 ALONSO, ALICE	AMERICAN BALANCED FUND-A	B	0.00	1.48	0.00	1.48	80.0	1.18
07/18/2017	QGW037061 ALONSO, ALICE	NEW PERSPECTIVE FUND-A	B	0.00	1.42	0.00	1.42	80.0	1.14
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$2.90</b>	<b>\$0.00</b>	<b>\$2.90</b>		<b>\$2.32</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$44,726.34</b>	<b>\$7,295.36</b>	<b>\$462.00</b>	<b>\$6,833.36</b>		<b>\$5,374.29</b>

**ADJUSTMENTS**

07/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-150.00
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	-46.30
07/31/2017	OTHER: OTHER-POSTAGE	0.00	0.00	0.00	0.00	-11.21
<b>*** ADJUSTMENTS TOTAL ***</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$-215.51</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$5,374.29
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-215.51
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-9.12
SIPC Assessment	\$-18.24

<b>Check Amount</b>	<b>\$5,131.42</b>
<b>Year-to-date Earnings</b>	<b>\$10,209.01</b>