

COMMISSION STATEMENT

December 31, 2017

JAY TOMLINSON
474 GREGORY AVENUEBROKER #: 36
BRANCH: HOME OFFICE

WEEHAWKEN, NJ 07086

COMMISSION STATEMENT for JAY TOMLINSON

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>									
12/08/2017	QGV004260 KAUFMANN SMALL CAP,	SIGMA DESIGNS INC	S	-1,209,617.50	7,000.00	10.00	6,990.00	70.0	4,890.00
12/05/2017	QGW001778 INTERACTIVE BROKERS	SIERRA ONCOLOGY INC COM	S	-75,175.00	500.00	10.00	490.00	70.0	340.00
12/08/2017	QGW001778 INTERACTIVE BROKERS	SIERRA ONCOLOGY INC COM	S	-34,246.74	228.00	10.00	218.00	70.0	149.60
12/11/2017	QGW001778 INTERACTIVE BROKERS	SIERRA ONCOLOGY INC COM	S	-15,000.00	100.00	10.00	90.00	70.0	60.00
12/12/2017	QGW001778 INTERACTIVE BROKERS	SIERRA ONCOLOGY INC COM	S	-135,170.73	881.28	10.00	871.28	70.0	606.90
12/19/2017	QGW001778 INTERACTIVE BROKERS	ESSA PHARMA INC COM STK	S	-17,682.24	432.54	10.00	422.54	70.0	292.78
12/19/2017	QGW001778 INTERACTIVE BROKERS	SAVARA INC COMMON STOCK	S	-120,336.48	144.00	10.00	134.00	70.0	90.80
12/19/2017	QGW001778 INTERACTIVE BROKERS	SAVARA INC COMMON STOCK	S	120,336.48	-144.00	-10.00	-134.00	70.0	-90.80 C
12/19/2017	QGW001778 INTERACTIVE BROKERS	SAVARA INC COMMON STOCK	S	-120,336.48	144.00	10.00	134.00	70.0	90.80
12/20/2017	QGW001778 INTERACTIVE BROKERS	SAVARA INC COMMON STOCK	S	-68,737.05	83.72	10.00	73.72	70.0	48.60
12/20/2017	QGW001778 INTERACTIVE BROKERS	SAVARA INC COMMON STOCK	S	68,737.05	-83.72	-10.00	-73.72	70.0	-48.60 C
12/20/2017	QGW001778 INTERACTIVE BROKERS	SAVARA INC COMMON STOCK	S	-68,737.05	83.72	10.00	73.72	70.0	48.60
12/21/2017	QGW001778 INTERACTIVE BROKERS	ESSA PHARMA INC COM STK	S	-780.19	25.00	10.00	15.00	70.0	7.50
12/21/2017	QGW001778 INTERACTIVE BROKERS	ESSA PHARMA INC COM STK	S	-73.60	2.09	10.00	-7.91	70.0	-8.54
12/21/2017	QGW001778 INTERACTIVE BROKERS	SAVARA INC COMMON STOCK	S	-49,629.90	60.00	10.00	50.00	70.0	32.00
12/22/2017	QGW001778 INTERACTIVE BROKERS	SAVARA INC COMMON STOCK	S	-76,628.75	93.72	10.00	83.72	70.0	55.60
12/18/2017	QGW029704 ROJAS, RAFAEL	EXELIXIS INC	S	-7,916.79	50.00	10.00	40.00	70.0	25.00
* STOCKS SUBTOTAL *				\$-1,810,994.97	\$9,600.35	\$130.00	\$9,470.35		\$6,590.24
<u>PRODUCT CATEGORY: OPTIONS</u>									
12/27/2017	QGW029704 ROJAS, RAFAEL	CALL 100 EXELIXIS INC COM EXP 01-19	S	-1,050.00	150.00	10.00	140.00	70.0	95.00
* OPTIONS SUBTOTAL *				\$-1,050.00	\$150.00	\$10.00	\$140.00		\$95.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
12/31/2017	(None) VARIOUS, TOMLINSON	RBC	B	0.00	250.00	0.00	250.00	70.0	175.00
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$250.00	\$0.00	\$250.00		\$175.00
*** BROKER TRANSACTIONS TOTAL ***				\$-1,812,044.97	\$10,000.35	\$140.00	\$9,860.35		\$6,860.24

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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		0.00	0.00	0.00	0.00		-154.44
12/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
12/31/2017		OTHER: OTHER-TICKET CHARGES		0.00	0.00	0.00	0.00		-20.00
12/31/2017		OTHER: OTHER-STATE REGIST		0.00	0.00	0.00	0.00		-552.00
12/31/2017		OTHER: REAL TICK		0.00	0.00	0.00	0.00		-425.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-1,179.44

BROKER COMMISSION TOTALS

Broker Transactions	\$6,860.24
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,179.44
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-12.50
SIPC Assessment	\$-25.00

Check Amount	\$5,643.30
Year-to-date Earnings	\$30,348.93