

COMMISSION STATEMENT

September 29, 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>									
PRODUCT CATEGORY: MUTUAL FUNDS									
09/27/2017	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A S	2,300.00	0.00	10.00	-10.00	65.0	-10.00
09/27/2017	75501291	PRESTON, MARGARITA	FRANKLIN HIGH-YIELD TAX-FREE INCOME S	143,182.68	0.00	10.00	-10.00	65.0	-10.00
09/27/2017	75501291	PRESTON, MARGARITA	FRK AGE HIGH INC FND - CL A S	30,845.21	0.00	10.00	-10.00	65.0	-10.00
09/22/2017	75501310	MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL S	25,000.00	0.00	10.00	-10.00	65.0	-10.00
09/27/2017	75501310	MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL S	12,000.00	0.00	10.00	-10.00	65.0	-10.00
09/28/2017	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR I S	29,996.07	0.00	10.00	-10.00	65.0	-10.00
* MUTUAL FUNDS SUBTOTAL *				\$243,323.96	\$0.00	\$60.00	\$-60.00		\$-60.00

PRODUCT CATEGORY: STOCKS

09/26/2017	75501290	PRESTON, MARGARITA	ARMOUR RESIDENTIAL REIT INC COM S	13,325.00	285.65	10.00	275.65	65.0	175.67
09/26/2017	75501290	PRESTON, MARGARITA	CORNERSTONE TOTAL RETURN FUND COMMO B	5,854.64	167.42	10.00	157.42	65.0	98.82
09/26/2017	75501290	PRESTON, MARGARITA	GAMCO GLOBAL GOLD NATURAL RESOURCES B	13,464.00	426.56	10.00	416.56	65.0	267.26
09/26/2017	75501291	PRESTON, MARGARITA	CREDIT SUISSE AG NASSAU BRH VELOCIT B	12,349.90	319.93	10.00	309.93	65.0	197.95
09/27/2017	75501291	PRESTON, MARGARITA	AGNC INVESTMENT CORP COMMON STOCK B	43,575.20	672.27	10.00	662.27	65.0	426.98
09/27/2017	75501291	PRESTON, MARGARITA	ORCHID ISLAND CAPITAL INC B	41,040.00	785.09	10.00	775.09	65.0	500.31
09/27/2017	75501291	PRESTON, MARGARITA	PROSPECT CAPITAL CORPORATION B	33,350.00	800.01	10.00	790.01	65.0	510.01
09/26/2017	75501307	TOTTEN, ANN	CREDIT SUISSE AG NASSAU BRH VELOCIT B	6,115.00	180.89	10.00	170.89	65.0	107.58
09/26/2017	75501307	TOTTEN, ANN	PROSPECT CAPITAL CORPORATION B	20,154.00	563.48	10.00	553.48	65.0	356.26
09/22/2017	75501310	MARGARITA F PRESTON	ORCHID ISLAND CAPITAL INC B	20,160.00	498.94	10.00	488.94	65.0	314.31
09/22/2017	75501310	MARGARITA F PRESTON	WELLS FARGO INCOME OPPORTUNITIES FU S	17,280.00	456.17	10.00	446.17	65.0	286.51
09/26/2017	75501310	MARGARITA F PRESTON	AGNC INVESTMENT CORP COMMON STOCK B	21,880.00	451.01	10.00	441.01	65.0	283.16
09/26/2017	75501310	MARGARITA F PRESTON	PROSPECT CAPITAL CORPORATION B	10,065.00	319.03	10.00	309.03	65.0	197.37
09/27/2017	75501310	MARGARITA F PRESTON	CORNERSTONE TOTAL RETURN FUND COMMO B	14,680.00	353.79	10.00	343.79	65.0	219.96
09/27/2017	75501310	MARGARITA F PRESTON	NUVEEN PREFERRED AND INCOME 2022 TE S	25,220.00	200.00	10.00	190.00	65.0	120.00
09/26/2017	75501311	HEIDENREICH, CHARLYN	UNITED STATES ANTIMONY CORP S	28.65	0.00	10.00	-10.00	65.0	-10.00
09/20/2017	QGW033367	NAUMOV, GEORGE	INTERMOLECULAR INC COM B	10,195.00	50.00	10.00	40.00	65.0	22.50
09/20/2017	QGW033367	NAUMOV, GEORGE	NANOSTRING TECHNOLOGIES INC B	16,050.00	50.00	10.00	40.00	65.0	22.50
09/07/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM S	-1,331.64	63.18	10.00	53.18	65.0	31.07
09/07/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM S	-6,850.00	325.00	10.00	315.00	65.0	201.25
09/08/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM S	-7,000.00	325.00	10.00	315.00	65.0	201.25
09/21/2017	QGW036543	MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM S	-18,615.00	900.00	10.00	890.00	65.0	575.00

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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>									
09/22/2017	QGW036543 MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-4,375.00	210.00	10.00	200.00	65.0	126.50
09/22/2017	QGW036543 MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-3,125.00	150.00	10.00	140.00	65.0	87.50
09/22/2017	QGW036543 MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-5,000.00	240.00	10.00	230.00	65.0	146.00
09/25/2017	QGW036543 MAT9 LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-12,677.00	600.00	10.00	590.00	65.0	380.00
09/18/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-7,624.05	344.46	10.00	334.46	65.0	213.90
09/19/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-6,253.50	300.00	10.00	290.00	65.0	185.00
09/20/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-1,875.00	90.00	10.00	80.00	65.0	48.50
09/20/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-189.00	9.00	10.00	-1.00	65.0	-4.15
09/21/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-15,744.86	756.54	10.00	746.54	65.0	481.75
09/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-38,115.00	1,800.00	10.00	1,790.00	65.0	1,160.00
09/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	38,115.00	-1,800.00	-10.00	-1,790.00	65.0	-1,160.00 C
09/25/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-38,115.00	1,800.00	10.00	1,790.00	65.0	1,160.00
09/27/2017	QGW036766 STOIC LLC	MATINAS BIOPHARMA HLDGS INC COM	S	-12,630.00	600.00	10.00	590.00	65.0	380.00
09/19/2017	QGW036873 PASTORE, RALPH	MATINAS BIOPHARMA HLDGS INC COM	S	-12,500.00	600.00	10.00	590.00	65.0	380.00
09/21/2017	QGW036873 PASTORE, RALPH	MATINAS BIOPHARMA HLDGS INC COM	S	-12,602.00	600.00	10.00	590.00	65.0	380.00
* STOCKS SUBTOTAL *				\$158,279.34	\$14,493.42	\$350.00	\$14,143.42		\$9,070.72

PRODUCT CATEGORY: OPTIONS

09/15/2017	75501291 PRESTON, MARGARITA	CALL PFE 09/15/17 33	B	7,350.00	200.00	10.00	190.00	65.0	120.00
09/15/2017	75501291 PRESTON, MARGARITA	CALL PFE 09/15/17 32	B	10,350.00	250.00	10.00	240.00	65.0	152.50
09/15/2017	75501291 PRESTON, MARGARITA	CALL PFE 08/18/17 32	S	7,500.00	200.00	10.00	190.00	65.0	120.00
09/05/2017	QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 09-1 S		-500.00	50.00	10.00	40.00	65.0	22.50
09/15/2017	QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 09-1 B		1,050.00	50.00	10.00	40.00	65.0	22.50
09/27/2017	QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 10-2 S		-1,430.00	99.65	10.00	89.65	65.0	54.77
* OPTIONS SUBTOTAL *				\$24,320.00	\$849.65	\$60.00	\$789.65		\$492.27

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/12/2017	75501290 PRESTON, MARGARITA	FRANKLIN INCOME FUND CLASS A	B	0.00	2.07	0.00	2.07	65.0	1.35
09/12/2017	75501290 PRESTON, MARGARITA	GOLDMAN SACHS HIGH YIELD FUND CL A B		0.00	6.91	0.00	6.91	65.0	4.49
09/12/2017	75501290 PRESTON, MARGARITA	THE INCOME FUND OF AMERICA-A	B	0.00	8.03	0.00	8.03	65.0	5.22
09/12/2017	75501290 PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A	B	0.00	8.96	0.00	8.96	65.0	5.82
09/12/2017	75501291 PRESTON, MARGARITA	AMERICAN HIGH-INCOME TRUST-A	B	0.00	8.72	0.00	8.72	65.0	5.67
09/12/2017	75501291 PRESTON, MARGARITA	FRANKLIN HIGH-YIELD TAX-FREE INCOME B		0.00	12.26	0.00	12.26	65.0	7.97
09/12/2017	75501291 PRESTON, MARGARITA	FRK AGE HIGH INC FND - CL A	B	0.00	3.92	0.00	3.92	65.0	2.55
09/12/2017	75501291 PRESTON, MARGARITA	NUVEEN FLAGSHIP MUN TR HIGH YIELD M B		0.00	8.02	0.00	8.02	65.0	5.21
09/12/2017	75501291 PRESTON, MARGARITA	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	20.13	0.00	20.13	65.0	13.08
09/12/2017	75501293 JOE, HENRY	FRK NATURAL RES FND - CL A	B	0.00	0.76	0.00	0.76	65.0	0.49
09/12/2017	75501293 JOE, HENRY	INTERMEDIATE BOND FUND OF AMERICA-A B		0.00	3.98	0.00	3.98	65.0	2.59
09/12/2017	75501305 BUNIN, ARLENE	FRANKLIN INCOME FUND CLASS A	B	0.00	5.67	0.00	5.67	65.0	3.69
09/12/2017	75501305 BUNIN, ARLENE	FRK AGE HIGH INC FND - CL A	B	0.00	11.68	0.00	11.68	65.0	7.59

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
09/12/2017	75501305	BUNIN, ARLENE		GOLDMAN SACHS HIGH YIELD FUND CL A B	0.00	34.75	0.00	34.75	65.0	22.59
09/12/2017	75501307	TOTTEN, ANN		FRANKLIN INCOME FUND CLASS A B	0.00	17.59	0.00	17.59	65.0	11.43
09/12/2017	75501307	TOTTEN, ANN		THE BOND FUND OF AMERICA-A B	0.00	10.04	0.00	10.04	65.0	6.53
09/12/2017	75501307	TOTTEN, ANN		THE INCOME FUND OF AMERICA-A B	0.00	13.81	0.00	13.81	65.0	8.98
09/12/2017	75501308	ANN S TOTTEN		FRANKLIN INCOME FUND CLASS A B	0.00	4.86	0.00	4.86	65.0	3.16
09/12/2017	75501308	ANN S TOTTEN		MUTUAL DISC FND - CL A B	0.00	3.87	0.00	3.87	65.0	2.52
09/12/2017	75501309	TOTTEN, ANN		FRANKLIN INCOME FUND CLASS A B	0.00	6.57	0.00	6.57	65.0	4.27
09/12/2017	75501309	TOTTEN, ANN		THE GROWTH FUND OF AMERICA-A B	0.00	8.37	0.00	8.37	65.0	5.44
09/12/2017	75501309	TOTTEN, ANN		THE NEW ECONOMY FUND-A B	0.00	7.87	0.00	7.87	65.0	5.12
09/12/2017	75501310	MARGARITA F PRESTON		FRANKLIN INCOME FUND CLASS A B	0.00	3.29	0.00	3.29	65.0	2.14
09/12/2017	75501310	MARGARITA F PRESTON		MAINSTAY HIGH-YIELD CORPORATE BOND B	0.00	23.01	0.00	23.01	65.0	14.96
09/12/2017	75501310	MARGARITA F PRESTON		MAINSTAY UNCONSTRAINED BOND FUND CL B	0.00	24.90	0.00	24.90	65.0	16.19
09/12/2017	75501310	MARGARITA F PRESTON		ROCHESTER NATIONAL MUNICIPALS A B	0.00	13.70	0.00	13.70	65.0	8.91
09/12/2017	75501310	MARGARITA F PRESTON		THE INCOME FUND OF AMERICA-A B	0.00	7.30	0.00	7.30	65.0	4.75
09/08/2017	75501311	HEIDENREICH, CHARLYN		DELAWARE SELECT GROWTH FUND A CLASS B	0.00	2.09	0.00	2.09	65.0	1.36
09/08/2017	75501312	HEIDENREICH, CHARLYN		DELAWARE INVESTMENTS DIVERSIFIED IN B	0.00	1.49	0.00	1.49	65.0	0.97
09/12/2017	75501312	HEIDENREICH, CHARLYN		FRANKLIN U.S. GOVERNMENT SECURITIES B	0.00	0.78	0.00	0.78	65.0	0.51
09/12/2017	75501312	HEIDENREICH, CHARLYN		INTERMEDIATE BOND FUND OF AMERICA-A B	0.00	2.91	0.00	2.91	65.0	1.89
09/12/2017	75501312	HEIDENREICH, CHARLYN		MFS EMERGING GROWTH FUND CLASS A B	0.00	0.41	0.00	0.41	65.0	0.27
09/12/2017	75501312	HEIDENREICH, CHARLYN		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	2.95	0.00	2.95	65.0	1.92
09/12/2017	75501313	HEIDENREICH, ROBERT		FRANKLIN INCOME FUND CLASS A B	0.00	10.70	0.00	10.70	65.0	6.96
09/12/2017	75501313	HEIDENREICH, ROBERT		FRANKLIN/TEMPLETON FUNDS 353612690 B	0.00	13.81	0.00	13.81	65.0	8.98
09/12/2017	75501313	HEIDENREICH, ROBERT		GOLDMAN SACHS TR SHORT DURATION INC B	0.00	13.55	0.00	13.55	65.0	8.81
09/12/2017	75501313	HEIDENREICH, ROBERT		THE BOND FUND OF AMERICA-A B	0.00	9.70	0.00	9.70	65.0	6.31
09/12/2017	75501314	COHEN, GLADYS		EATON VANCE NATIONAL MUNICIPAL FUND B	0.00	96.23	0.00	96.23	65.0	62.55
09/12/2017	75501314	COHEN, GLADYS		FRANKLIN NEW YORK TAX-FREE INCOME F B	0.00	39.25	0.00	39.25	65.0	25.51
09/12/2017	75501314	COHEN, GLADYS		GOLDMAN SACHS DYNAMIC MUNICIPAL INC B	0.00	91.26	0.00	91.26	65.0	59.32
09/12/2017	75501314	COHEN, GLADYS		GOLDMAN SACHS HIGH YIELD MUNICIPAL B	0.00	54.64	0.00	54.64	65.0	35.52
09/12/2017	75501314	COHEN, GLADYS		ROCH. LIMITED TERM NEW YORK MUNICI B	0.00	37.01	0.00	37.01	65.0	24.06
09/12/2017	75501314	COHEN, GLADYS		ROCHESTER NATIONAL MUNICIPALS A B	0.00	45.40	0.00	45.40	65.0	29.51
09/12/2017	75501316	PIPER, CAROL		AMERICAN HIGH-INCOME TRUST-A B	0.00	6.32	0.00	6.32	65.0	4.11
09/12/2017	75501316	PIPER, CAROL		FEDERATED HIGH INCOME BOND FUND B	0.00	6.74	0.00	6.74	65.0	4.38
09/12/2017	75501316	PIPER, CAROL		FRANKLIN INCOME FUND CLASS A B	0.00	7.85	0.00	7.85	65.0	5.10
09/12/2017	75501316	PIPER, CAROL		FRK AGE HIGH INC FND - CL A B	0.00	2.19	0.00	2.19	65.0	1.42
09/12/2017	75501316	PIPER, CAROL		GOLDMAN SACHS HIGH YIELD FUND CL A B	0.00	6.77	0.00	6.77	65.0	4.40
09/12/2017	75501317	PIPER, CAROL		FRANKLIN INCOME FUND CLASS A B	0.00	1.19	0.00	1.19	65.0	0.77
09/12/2017	75501317	PIPER, CAROL		NEW PERSPECTIVE FUND-A B	0.00	3.70	0.00	3.70	65.0	2.41
09/12/2017	75501324	HEIDENREICH, CHARLYN		FRANKLIN BIOTECHNOLOGY DISCOVERY FU B	0.00	3.55	0.00	3.55	65.0	2.31
09/12/2017	75501325	ANN S TOTTEN		FRANKLIN INCOME FUND CLASS A B	0.00	2.48	0.00	2.48	65.0	1.61
09/12/2017	75501867	PAGAN, VIONA LYNN		**JPMORGAN TR I B	0.00	6.29	0.00	6.29	65.0	4.09

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
09/12/2017	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR I	B	0.00	5.82	0.00	5.82	65.0	3.78
09/12/2017	75501867	PAGAN, VIONA LYNN	**JPMORGAN TR II	B	0.00	23.17	0.00	23.17	65.0	15.06
09/12/2017	75501867	PAGAN, VIONA LYNN	DYNAMIC SMALL CAP FUND - A	B	0.00	19.03	0.00	19.03	65.0	12.37
09/12/2017	75501867	PAGAN, VIONA LYNN	FIDELITY ADV TECHNOLOGY CL A	B	0.00	11.83	0.00	11.83	65.0	7.69
09/12/2017	75501867	PAGAN, VIONA LYNN	GROWTH AND INCOME FUND - A	B	0.00	17.61	0.00	17.61	65.0	11.45
09/12/2017	75501867	PAGAN, VIONA LYNN	SMALL CAP EQUITY FUND - A	B	0.00	3.96	0.00	3.96	65.0	2.57
09/12/2017	75501867	PAGAN, VIONA LYNN	U.S. EQUITY FUND - A	B	0.00	23.29	0.00	23.29	65.0	15.14
09/12/2017	75502119	COHEN, MICHAEL	ALLIANCEBERNSTEIN MUNI INCOME-NY A	B	0.00	40.13	0.00	40.13	65.0	26.08
09/12/2017	75502119	COHEN, MICHAEL	EATON VANCE NATIONAL MUNICIPAL FUND B	B	0.00	16.39	0.00	16.39	65.0	10.65
09/12/2017	75502119	COHEN, MICHAEL	EHV 27826L322	B	0.00	24.80	0.00	24.80	65.0	16.12
09/12/2017	75502119	COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL	B	0.00	32.54	0.00	32.54	65.0	21.15
09/12/2017	75502119	COHEN, MICHAEL	NUVEEN NEW YORK MUNI BOND A	B	0.00	59.21	0.00	59.21	65.0	38.49
09/12/2017	75502119	COHEN, MICHAEL	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	11.69	0.00	11.69	65.0	7.60
09/12/2017	75502119	COHEN, MICHAEL	ROCHESTER FUND MUNICIPALS A	B	0.00	31.17	0.00	31.17	65.0	20.26
09/12/2017	75502119	COHEN, MICHAEL	THE BOND FUND OF AMERICA-A	B	0.00	16.08	0.00	16.08	65.0	10.45
09/14/2017	QGW030595	COHEN, MICHAEL	FRANKLIN FEDERAL TAX FREE INCOME FU B	B	0.00	4.14	0.00	4.14	65.0	2.69
09/14/2017	QGW030595	COHEN, MICHAEL	FRANKLIN INCOME FUND CLASS A	B	0.00	11.10	0.00	11.10	65.0	7.22
09/15/2017	QGW030595	COHEN, MICHAEL	GOLDMAN SACHS HIGH YIELD MUNICIPAL	B	0.00	17.91	0.00	17.91	65.0	11.64
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,120.17	\$0.00	\$1,120.17		\$728.17
*** BROKER TRANSACTIONS TOTAL ***					\$425,923.30	\$16,463.24	\$470.00	\$15,993.24		\$10,231.16

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

09/20/2017	QGW008013	MENDOZA, ALEJANDRINO	METLIFE INC	B	2,480.83	35.75	0.00	35.75		23.24
09/20/2017	QGW008021	MENDOZA, ESTELA	METLIFE INC	B	2,480.33	35.75	0.00	35.75		23.24
09/14/2017	QGW008047	DOUGHERTY, JANE	TECK RESOURCES LIMITED SUB VOTING C S		-537.76	25.00	0.00	25.00		16.25
08/31/2017	QGW023848	BYRNE, GERARD	CALL 100 ADVANCED MICRO DEVICES INC S		-257.50	25.00	0.00	25.00		16.25
09/14/2017	QGW023848	BYRNE, GERARD	CALL 100 CELGENE CORP EXP 09-15-17@ B		100.00	25.00	0.00	25.00		16.25
09/18/2017	QGW023848	BYRNE, GERARD	CALL 100 CELGENE CORP EXP 09-29-17@ S		-140.00	25.00	0.00	25.00		16.25
09/21/2017	QGW008005	SCHULZ, CARL	ROCH. LIMITED TERM NEW YORK MUNICIP B		0.00	6.77	0.00	6.77		4.40
09/21/2017	QGW008005	SCHULZ, CARL	ROCHESTER FUND MUNICIPALS A	B	0.00	36.02	0.00	36.02		23.41
09/21/2017	QGW008039	STEFANO, MARGARET	ROCHESTER FUND MUNICIPALS A	B	0.00	1.68	0.00	1.68		1.09
09/15/2017	QGW008047	DOUGHERTY, JANE	HIGH YIELD A	B	0.00	0.56	0.00	0.56		0.36
09/21/2017	QGW008047	DOUGHERTY, JANE	ROCHESTER NATIONAL MUNICIPALS A	B	0.00	3.40	0.00	3.40		2.21
09/21/2017	QGW023798	OLSSON, RITA	CAPITAL APPRECIATION A	B	0.00	0.26	0.00	0.26		0.17
09/18/2017	QGW023814	STEFANO, MARGARET	EUROPACIFIC GROWTH FUND-A	B	0.00	0.27	0.00	0.27		0.18
09/18/2017	QGW023814	STEFANO, MARGARET	THE GROWTH FUND OF AMERICA-A	B	0.00	1.17	0.00	1.17		0.76
09/14/2017	QGW023848	BYRNE, GERARD	MFS INTERNTL DIVERSIFICATION FUND-A B		0.00	1.31	0.00	1.31		0.85

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

* DAVID REILLY SUBTOTAL *	\$4,125.90	\$222.94	\$0.00	\$222.94	\$144.91
*** SPLIT TRANSACTIONS TOTAL ***	\$4,125.90	\$222.94	\$0.00	\$222.94	\$144.91

ADJUSTMENTS

09/29/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
09/29/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-12.00
09/29/2017	OTHER: OTHER-PERSHING TICKET CHARGE	0.00	0.00	0.00	0.00	-30.00
09/29/2017	OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-54.44
09/29/2017	OTHER: QUODD	0.00	0.00	0.00	0.00	-170.35
09/29/2017	OTHER: WEALTH MANAGEMENT STATION	0.00	0.00	0.00	0.00	-25.00
09/29/2017	DEMNL:MANUAL PROCESS FEE (LPFS): MA	0.00	0.00	0.00	0.00	-10.00
09/29/2017	DEMNL:MANUAL PROCESS FEE (LPFS): MA	0.00	0.00	0.00	0.00	-10.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-331.79

BROKER COMMISSION TOTALS

Broker Transactions	\$10,231.16
Split Transactions	\$144.91
Override Transactions	\$0.00
Adjustments	\$-331.79
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-20.86
SIPC Assessment	\$-41.72

Check Amount	\$9,981.70
Year-to-date Earnings	\$33,504.91