

COMMISSION STATEMENT

September 29, 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
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
08/29/2017	QGW033466	CUSTODIAN, EMILY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	4,533.50	103.00	6.00	97.00	80.0	76.40
08/29/2017	QGW033474	PILLERA, CHARLES	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	4,538.90	103.00	6.00	97.00	80.0	76.40
09/18/2017	QGW033474	PILLERA, CHARLES	ATHENEX INC COM B	8,554.45	160.00	6.00	154.00	80.0	122.00
08/29/2017	QGW033599	PILLERA, CHARLES	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	4,523.50	103.00	6.00	97.00	80.0	76.40
09/27/2017	QGW033599	PILLERA, CHARLES	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	4,565.00	102.00	6.00	96.00	80.0	75.60
09/01/2017	QGW033649	ARLENE M FRANCIS,	ALIBABA GROUP HOLDING LTD SPONSORED S	-16,250.00	100.00	6.00	94.00	80.0	74.00
09/05/2017	QGW033649	ARLENE M FRANCIS,	MOMO INC ADR S	-18,742.00	100.00	6.00	94.00	80.0	74.00
09/15/2017	QGW033649	ARLENE M FRANCIS,	ATHENEX INC COM B	8,564.30	100.00	6.00	94.00	80.0	74.00
09/15/2017	QGW033649	ARLENE M FRANCIS,	EAGLE MATERIALS INC S	-27,000.00	242.19	6.00	236.19	80.0	187.75
09/18/2017	QGW033649	ARLENE M FRANCIS,	CATERPILLAR INC B	61,629.50	200.00	6.00	194.00	80.0	154.00
09/22/2017	QGW033649	ARLENE M FRANCIS,	NVIDIA CORP B	35,825.20	200.00	6.00	194.00	80.0	154.00
08/29/2017	QGW033656	MOONEY, MARY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	4,523.60	103.00	6.00	97.00	80.0	76.40
09/15/2017	QGW033656	MOONEY, MARY	ATHENEX INC COM B	8,583.70	160.00	6.00	154.00	80.0	122.00
09/18/2017	QGW033656	MOONEY, MARY	VIPSHOP HLDGS LTD SPONS ADR ISIN#US B	5,018.25	121.00	6.00	115.00	80.0	90.80
09/05/2017	QGW033805	LYONS, SALLY	MOMO INC ADR S	-18,757.00	100.00	6.00	94.00	80.0	74.00
09/08/2017	QGW033805	LYONS, SALLY	CLOVIS ONCOLOGY INC COM B	35,987.80	393.00	6.00	387.00	80.0	308.40
09/15/2017	QGW033805	LYONS, SALLY	ATHENEX INC COM B	7,716.92	160.00	6.00	154.00	80.0	122.00
09/20/2017	QGW033805	LYONS, SALLY	CLOVIS ONCOLOGY INC COM S	-37,817.00	100.00	6.00	94.00	80.0	74.00
09/21/2017	QGW033805	LYONS, SALLY	MOMO INC ADR B	34,683.70	200.00	6.00	194.00	80.0	154.00
09/01/2017	QGW034761	SYM CZAK, STEPHEN	ALIBABA GROUP HOLDING LTD SPONSORED S	-16,250.00	100.00	6.00	94.00	80.0	74.00
09/18/2017	QGW034761	SYM CZAK, STEPHEN	CALPINE CORPORATION S	-29,482.20	250.00	6.00	244.00	80.0	194.00
09/18/2017	QGW034761	SYM CZAK, STEPHEN	MOMO INC ADR B	18,413.65	250.00	6.00	244.00	80.0	194.00
09/22/2017	QGW034761	SYM CZAK, STEPHEN	NVIDIA CORP B	17,998.50	100.00	6.00	94.00	80.0	74.00
09/15/2017	QGW035370	DHIRMALANI, MILDRED	ATHENEX INC COM B	8,584.50	100.00	6.00	94.00	80.0	74.00
09/01/2017	QGW035438	RIZZO, GIOVANNI	ALIBABA GROUP HOLDING LTD SPONSORED S	-16,250.00	100.00	6.00	94.00	80.0	74.00
09/27/2017	QGW036519	SINGH, BHUPINDER	NVIDIA CORP B	17,300.00	100.00	6.00	94.00	80.0	74.00
09/13/2017	QGW036584	TREIBER, NANCY	MACYS INC S	-6,000.00	116.75	6.00	110.75	80.0	87.40
09/22/2017	QGW036816	RIZZO, GIOVANNI	BCB BANCORP INC COM S	-4,195.98	50.00	6.00	44.00	80.0	34.00
09/22/2017	QGW036816	RIZZO, GIOVANNI	WHITING PETROLEUM CORPORATION S	-5,194.50	50.00	6.00	44.00	80.0	34.00
09/15/2017	QGW036915	CASSERINO, PAULA	ATHENEX INC COM B	8,633.00	160.00	6.00	154.00	80.0	122.00
* STOCKS SUBTOTAL *				\$104,239.29	\$4,226.94	\$180.00	\$4,046.94		\$3,201.55

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
09/15/2017	QGW033474	PILLERA, CHARLES	CALL 100 WHITING PETE CORP COM EXP S	-450.00	65.00	6.00	59.00	80.0	46.00
09/15/2017	QGW033599	PILLERA, CHARLES	CALL 100 WHITING PETE CORP COM EXP S	-640.00	70.00	6.00	64.00	80.0	50.00
09/18/2017	QGW033649	ARLENE M FRANCIS,	CALL 100 VIPSHOP HLDGS LTD SPONS AD S	-180.00	50.00	6.00	44.00	80.0	34.00
09/22/2017	QGW033649	ARLENE M FRANCIS,	CALL 100 WHITING PETE CORP COM EXP B	230.00	25.00	6.00	19.00	80.0	14.00
09/25/2017	QGW033649	ARLENE M FRANCIS,	CALL 100 CATERPILLAR INC COM EXP 09 S	-225.00	50.00	6.00	44.00	80.0	34.00
09/25/2017	QGW033649	ARLENE M FRANCIS,	CALL 100 NVIDIA CORP COM EXP 09-29- S	-338.00	50.00	6.00	44.00	80.0	34.00
09/08/2017	QGW033730	KIM, IN	CALL 100 WHITING PETE CORP COM EXP S	-360.00	39.00	6.00	33.00	80.0	25.20
09/15/2017	QGW033730	KIM, IN	CALL 100 COHERUS BIOSCIENCES INC CO S	-140.00	40.00	6.00	34.00	80.0	26.00
09/18/2017	QGW033805	LYONS, SALLY	CALL 100 AMERICAN AIRLS GROUP INC C S	-315.00	65.00	6.00	59.00	80.0	46.00
09/22/2017	QGW033805	LYONS, SALLY	CALL 100 WHITING PETE CORP COM EXP B	1,800.00	65.00	6.00	59.00	80.0	46.00
09/26/2017	QGW033805	LYONS, SALLY	CALL 100 MOMO INC ADR ISIN#US60879B S	-1,100.00	75.00	6.00	69.00	80.0	54.00
09/26/2017	QGW033805	LYONS, SALLY	CALL 100 WHITING PETE CORP COM EXP S	-1,225.00	75.00	6.00	69.00	80.0	54.00
09/08/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100 WHITING PETE CORP COM EXP S	-600.00	65.00	6.00	59.00	80.0	46.00
09/26/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100 MOMO INC ADR ISIN#US60879B S	-525.00	50.00	6.00	44.00	80.0	34.00
09/26/2017	QGW034761	SYMCZAK, STEPHEN	CALL 100 NVIDIA CORP COM EXP 10-27- S	-340.00	50.00	6.00	44.00	80.0	34.00
09/28/2017	QGW034894	MODDERNO, PATRICIA	CALL 100 COHERUS BIOSCIENCES INC CO S	-50.00	10.00	6.00	4.00	80.0	2.00
09/28/2017	QGW034894	MODDERNO, PATRICIA	CALL 100 WHITING PETE CORP COM EXP S	-420.00	65.00	6.00	59.00	80.0	46.00
09/28/2017	QGW036519	SINGH, BHUPINDER	CALL 100 NVIDIA CORP COM EXP 10-27- S	-468.00	50.00	6.00	44.00	80.0	34.00
09/26/2017	QGW036584	TREIBER, NANCY	CALL 100 WHITING PETE CORP COM EXP S	-560.00	75.00	6.00	69.00	80.0	54.00
09/15/2017	QGW036592	TREIBER, NANCY	CALL 100 WHITING PETE CORP COM EXP S	-465.00	60.00	6.00	54.00	80.0	42.00
09/15/2017	QGW036816	RIZZO, GIOVANNI	CALL 100 WHITING PETE CORP COM EXP S	-310.00	50.00	6.00	44.00	80.0	34.00
09/22/2017	QGW036816	RIZZO, GIOVANNI	CALL 100 WHITING PETE CORP COM EXP B	460.00	50.00	6.00	44.00	80.0	34.00
* OPTIONS SUBTOTAL *				\$-6,221.00	\$1,194.00	\$132.00	\$1,062.00		\$823.20
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
09/18/2017	QGW037061	ALONSO, ALICE	AMERICAN BALANCED FUND-A	B	0.00	1.54	0.00	1.54	1.23
09/18/2017	QGW037061	ALONSO, ALICE	NEW PERSPECTIVE FUND-A	B	0.00	1.50	0.00	1.50	1.20
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3.04	\$0.00	\$3.04		\$2.43
*** BROKER TRANSACTIONS TOTAL ***				\$98,018.29	\$5,423.98	\$312.00	\$5,111.98		\$4,027.18

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>									
09/29/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-150.00
09/29/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
09/29/2017		OTHER: OTHER-PERSHING CHARGES		0.00	0.00	0.00	0.00		-12.80
09/29/2017		OTHER: OTHER-COMPUTER		0.00	0.00	0.00	0.00		-772.95
				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-943.75</u>
				*** ADJUSTMENTS TOTAL ***					

BROKER COMMISSION TOTALS

Broker Transactions	\$4,027.18
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-943.75
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-6.78
SIPC Assessment	\$-13.56

Check Amount	\$3,063.09
Year-to-date Earnings	\$20,166.77