

COMMISSION STATEMENT

June 30, 2018

JOHN HEIDENREICH
7 EAST 86TH ST
APT 15B
NEW YORK, NY 10028

BROKER #: P7H R90 R30 A09
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									
06/26/2018	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A S	1,500.00	0.00	0.00	0.00	65.0	0.00
06/06/2018	75502178	MICHAEL COHEN PERS	GOLDMAN SACHS HIGH YIELD MUNICIPAL S	72,000.00	0.00	0.00	0.00	65.0	0.00
06/25/2018	75502197	COHEN, MICHAEL	FRANKLIN NEW YORK TAX-FREE INCOME F S	1,725.00	0.00	0.00	0.00	65.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$75,225.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

06/21/2018	75501291	PRESTON, MARGARITA	INVIVO THERAPEUTICS HOLDINGS CORP C B	4,975.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75501291	PRESTON, MARGARITA	WTS INVIVO THERAPEUTICS HLDGS CORP B	25.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75501292	JOE, HENRY	INVIVO THERAPEUTICS HOLDINGS CORP C B	3,582.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75501292	JOE, HENRY	WTS INVIVO THERAPEUTICS HLDGS CORP B	18.00	0.00	10.00	-10.00	65.0	-10.00
06/25/2018	75501292	JOE, HENRY	APPLE INC	18,410.00	105.00	10.00	95.00	65.0	58.25
06/25/2018	75501292	JOE, HENRY	DIREXION SHARES ETF TRUST DIREXION S	1,459.81	50.93	10.00	40.93	65.0	23.10
06/26/2018	75501292	JOE, HENRY	APPLE INC	11,084.41	105.00	10.00	95.00	65.0	58.25
06/06/2018	75501293	JOE, HENRY	DATA I O CORP COM	7,140.00	244.23	10.00	234.23	65.0	148.75
06/14/2018	75501293	JOE, HENRY	CATASYS INC COM PAR\$.0001 2017 S	15,240.00	426.53	10.00	416.53	65.0	267.24
06/21/2018	75501293	JOE, HENRY	INVIVO THERAPEUTICS HOLDINGS CORP C B	2,985.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75501293	JOE, HENRY	WTS INVIVO THERAPEUTICS HLDGS CORP B	15.00	0.00	10.00	-10.00	65.0	-10.00
06/18/2018	75501307	TOTTEN, ANN	CATASYS INC COM PAR\$.0001 2017 S	4,945.08	178.73	10.00	168.73	65.0	106.17
06/20/2018	75501307	TOTTEN, ANN	HAIN CELESTIAL GROUP INC	11,502.00	249.47	10.00	239.47	65.0	152.16
06/21/2018	75501307	TOTTEN, ANN	INVIVO THERAPEUTICS HOLDINGS CORP C B	7,164.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75501307	TOTTEN, ANN	WTS INVIVO THERAPEUTICS HLDGS CORP B	36.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75501310	MARGARITA F PRESTON	INVIVO THERAPEUTICS HOLDINGS CORP C B	4,975.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75501310	MARGARITA F PRESTON	WTS INVIVO THERAPEUTICS HLDGS CORP B	25.00	0.00	10.00	-10.00	65.0	-10.00
06/11/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT B	16,459.24	200.00	10.00	190.00	65.0	120.00
06/11/2018	75501313	HEIDENREICH, ROBERT	ENABLE MIDSTREAM PARTNERS LP COM UN S	17,040.00	250.00	10.00	240.00	65.0	152.50
06/13/2018	75501313	HEIDENREICH, ROBERT	PFIZER INCORPORATED	29,184.00	320.00	10.00	310.00	65.0	198.00
06/21/2018	75501313	HEIDENREICH, ROBERT	INVIVO THERAPEUTICS HOLDINGS CORP C B	5,970.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75501313	HEIDENREICH, ROBERT	WTS INVIVO THERAPEUTICS HLDGS CORP B	30.00	0.00	10.00	-10.00	65.0	-10.00
06/22/2018	75501313	HEIDENREICH, ROBERT	HAIN CELESTIAL GROUP INC	11,952.00	256.01	10.00	246.01	65.0	156.41
06/25/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT S	48,064.00	400.00	10.00	390.00	65.0	250.00
06/26/2018	75501313	HEIDENREICH, ROBERT	CATASYS INC COM PAR\$.0001 2017 S	7,820.00	254.11	10.00	244.11	65.0	155.17

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
06/21/2018	75502116	BONE, ELIZABETH	INVIVO THERAPEUTICS HOLDINGS CORP C B	1,990.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75502116	BONE, ELIZABETH	WTS INVIVO THERAPEUTICS HLDGS CORP B	10.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75502119	COHEN, MICHAEL	INVIVO THERAPEUTICS HOLDINGS CORP C B	1,990.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	75502119	COHEN, MICHAEL	WTS INVIVO THERAPEUTICS HLDGS CORP B	10.00	0.00	10.00	-10.00	65.0	-10.00
06/25/2018	75502197	COHEN, MICHAEL	APPLE INC B	1,810.46	50.00	10.00	40.00	65.0	22.50
06/21/2018	QGW023848	BYRNE, GERARD	INVIVO THERAPEUTICS HOLDINGS CORP C B	7,960.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	QGW023848	BYRNE, GERARD	WTS INVIVO THERAPEUTICS HLDGS CORP B	40.00	50.00	10.00	40.00	65.0	22.50
06/21/2018	QGW023848	BYRNE, GERARD	WTS INVIVO THERAPEUTICS HLDGS CORP B	-40.00	-50.00	-10.00	-40.00	65.0	-22.50 C
06/21/2018	QGW023848	BYRNE, GERARD	WTS INVIVO THERAPEUTICS HLDGS CORP B	40.00	0.00	10.00	-10.00	65.0	-10.00
06/14/2018	QGW030355	GOULD, PETER	HAIN CELESTIAL GROUP INC B	11,152.00	181.79	10.00	171.79	65.0	108.16
06/21/2018	QGW030355	GOULD, PETER	INVIVO THERAPEUTICS HOLDINGS CORP C B	7,960.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	QGW030355	GOULD, PETER	WTS INVIVO THERAPEUTICS HLDGS CORP B	40.00	50.00	10.00	40.00	65.0	22.50
06/21/2018	QGW030355	GOULD, PETER	WTS INVIVO THERAPEUTICS HLDGS CORP B	-40.00	-50.00	-10.00	-40.00	65.0	-22.50 C
06/21/2018	QGW030355	GOULD, PETER	WTS INVIVO THERAPEUTICS HLDGS CORP B	40.00	0.00	10.00	-10.00	65.0	-10.00
06/20/2018	QGW033367	NAUMOV, GEORGE	VERASTEM INC COM S	-8,290.10	35.00	10.00	25.00	65.0	12.75
06/21/2018	QGW033367	NAUMOV, GEORGE	INVIVO THERAPEUTICS HOLDINGS CORP C B	7,960.00	0.00	10.00	-10.00	65.0	-10.00
06/21/2018	QGW033367	NAUMOV, GEORGE	WTS INVIVO THERAPEUTICS HLDGS CORP B	40.00	50.00	10.00	40.00	65.0	22.50
06/21/2018	QGW033367	NAUMOV, GEORGE	WTS INVIVO THERAPEUTICS HLDGS CORP B	-40.00	-50.00	-10.00	-40.00	65.0	-22.50 C
06/21/2018	QGW033367	NAUMOV, GEORGE	WTS INVIVO THERAPEUTICS HLDGS CORP B	40.00	0.00	10.00	-10.00	65.0	-10.00
* STOCKS SUBTOTAL *				\$262,772.90	\$3,306.80	\$380.00	\$2,926.80		\$1,769.41
PRODUCT CATEGORY: OPTIONS									
06/05/2018	75501291	PRESTON, MARGARITA	CALL PFE 06/15/18 36 S	1,680.00	75.00	10.00	65.00	65.0	38.75
06/15/2018	75501291	PRESTON, MARGARITA	CALL PFE 06/15/18 36 B	900.00	50.00	10.00	40.00	65.0	22.50
06/15/2018	75501291	PRESTON, MARGARITA	CALL PFE 06/15/18 35 B	3,930.00	150.00	10.00	140.00	65.0	87.50
06/20/2018	75501291	PRESTON, MARGARITA	CALL PFE 07/20/18 36 S	2,550.00	100.00	10.00	90.00	65.0	55.00
06/22/2018	75501291	PRESTON, MARGARITA	CALL PFE 07/20/18 35 S	4,950.00	210.00	10.00	200.00	65.0	126.50
* OPTIONS SUBTOTAL *				\$14,010.00	\$585.00	\$50.00	\$535.00		\$330.25
PRODUCT CATEGORY: RIA									
04/01/2018	75502184	PRESTON, ROBERT	FAS FEES PT. III/III B	-1,722.76	499.60	10.00	489.60	65.0	314.74
04/01/2018	75502186	DOLE, VIVIAN	FAS FEES PT. III/III B	-1,016.24	289.98	10.00	279.98	65.0	178.49
* RIA SUBTOTAL *				\$-2,739.00	\$789.58	\$20.00	\$769.58		\$493.23
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
06/30/2018		FEE COUNT - 69		0.00	1,042.51	0.00	1,042.51	65.0	677.67
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$1,042.51	\$0.00	\$1,042.51		\$677.67
*** BROKER TRANSACTIONS TOTAL ***				\$349,268.90	\$5,723.89	\$450.00	\$5,273.89		\$3,270.56

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>									
06/30/2018		: QUODD		0.00	0.00	0.00	0.00		-180.85
06/30/2018		COMMISSION INCOME: IMVIVO		0.00	0.00	0.00	0.00		1,156.00
06/30/2018		OTHER: CLEARING CHRGS		0.00	0.00	0.00	0.00		20.00
06/30/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
06/30/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-12.00
06/30/2018		OTHER: RBC -WEALTH STATION		0.00	0.00	0.00	0.00		-25.00
06/30/2018		OTHER: RBC WRITE OFF		0.00	0.00	0.00	0.00		-2.00
06/30/2018		OTHER: W/O 75501288		0.00	0.00	0.00	0.00		-50.00
06/30/2018		OTHER: W/O APR & MAY		0.00	0.00	0.00	0.00		-4.00
06/30/2018		OTHER: CREDIT FOR CLEARIGN CHRGS -I		0.00	0.00	0.00	0.00		220.00
06/30/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$1,047.71</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$3,270.56
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$1,047.71
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-7.15
SIPC Assessment	\$-14.31

Check Amount	\$4,296.81
Year-to-date Earnings	\$51,065.22