

## COMMISSION STATEMENT

September 29, 2017

DANIEL SIEGEL  
99 WINGED FOOT DRIVE

BROKER #: 20  
BRANCH: HOME OFFICE

LIVINGSTON, NJ 07039

COMMISSION STATEMENT for DANIEL SIEGEL

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

09/05/2017	QGW001497	KLUGMAN, ROBERT	FORD MOTOR CO PAR \$0.01	S	-5,670.80	129.00	0.00	129.00	80.0	103.20
09/05/2017	QGW001497	KLUGMAN, ROBERT	SNAP INC CLASS A COMMON STOCK	S	-1,947.38	79.00	0.00	79.00	80.0	63.20
09/06/2017	QGW001497	KLUGMAN, ROBERT	BRISTOL MYERS SQUIBB CO	S	-14,983.25	169.00	0.00	169.00	80.0	135.20
09/12/2017	QGW001497	KLUGMAN, ROBERT	CARLYLE GROUP L P COM UNITS REPSTG	B	8,730.00	140.00	0.00	140.00	80.0	112.00
09/18/2017	QGW001497	KLUGMAN, ROBERT	CARLYLE GROUP L P COM UNITS REPSTG	S	-9,520.00	144.00	0.00	144.00	80.0	115.20
09/06/2017	QGW009805	KELLY, ROBERT	BRISTOL MYERS SQUIBB CO	S	-14,983.25	169.00	0.00	169.00	80.0	135.20
09/12/2017	QGW009805	KELLY, ROBERT	CARLYLE GROUP L P COM UNITS REPSTG	B	8,730.00	140.00	0.00	140.00	80.0	112.00
09/18/2017	QGW009805	KELLY, ROBERT	CARLYLE GROUP L P COM UNITS REPSTG	S	-9,520.00	144.00	0.00	144.00	80.0	115.20
09/06/2017	QGW009847	LEICHER, MARVIN	CISCO SYS INC	B	15,833.50	187.00	0.00	187.00	80.0	149.60
09/11/2017	QGW009847	LEICHER, MARVIN	MYND ANALYTICS INC COMMON STOCK	B	1,968.90	99.00	0.00	99.00	80.0	79.20
09/06/2017	QGW009896	GREENBURG, JON	BRISTOL MYERS SQUIBB CO	S	-17,979.90	50.00	0.00	50.00	80.0	40.00
09/12/2017	QGW009896	GREENBURG, JON	CARLYLE GROUP L P COM UNITS REPSTG	B	10,912.50	62.00	0.00	62.00	80.0	49.60
09/18/2017	QGW009896	GREENBURG, JON	CARLYLE GROUP L P COM UNITS REPSTG	S	-11,900.00	63.00	0.00	63.00	80.0	50.40
09/05/2017	QGW020919	KELLY, ROBERT	FORD MOTOR CO PAR \$0.01	S	-5,670.80	129.00	0.00	129.00	80.0	103.20
09/05/2017	QGW022246	SUGARMAN, GAIL	FORD MOTOR CO PAR \$0.01	S	-4,536.64	110.00	0.00	110.00	80.0	88.00
09/12/2017	QGW022246	SUGARMAN, GAIL	CARLYLE GROUP L P COM UNITS REPSTG	B	8,730.00	129.00	0.00	129.00	80.0	103.20
09/18/2017	QGW022246	SUGARMAN, GAIL	CARLYLE GROUP L P COM UNITS REPSTG	S	-9,520.00	144.00	0.00	144.00	80.0	115.20
09/05/2017	QGW023772	PATRICK E OBRIEN,	FORD MOTOR CO PAR \$0.01	S	-5,670.80	129.00	0.00	129.00	80.0	103.20
09/12/2017	QGW023772	PATRICK E OBRIEN,	CARLYLE GROUP L P COM UNITS REPSTG	B	8,730.00	140.00	0.00	140.00	80.0	112.00
09/18/2017	QGW023772	PATRICK E OBRIEN,	CARLYLE GROUP L P COM UNITS REPSTG	S	-9,520.00	144.00	0.00	144.00	80.0	115.20
* STOCKS SUBTOTAL *					\$-57,787.92	\$2,500.00	\$0.00	\$2,500.00		\$2,000.00

PRODUCT CATEGORY: OPTIONS

09/06/2017	QGW001497	KLUGMAN, ROBERT	CALL 100 BRISTOL MYERS SQUIBB CO CO B		577.78	59.00	0.00	59.00	80.0	47.20
09/06/2017	QGW009805	KELLY, ROBERT	CALL 100 BRISTOL MYERS SQUIBB CO CO B		577.78	59.00	0.00	59.00	80.0	47.20
09/06/2017	QGW009896	GREENBURG, JON	CALL 100 BRISTOL MYERS SQUIBB CO CO B		866.67	50.00	0.00	50.00	80.0	40.00
* OPTIONS SUBTOTAL *					\$2,022.23	\$168.00	\$0.00	\$168.00		\$134.40

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/15/2017	QGW009847	LEICHER, MARVIN	BOND A	B	0.00	5.82	0.00	5.82	80.0	4.66
09/21/2017	QGW009847	LEICHER, MARVIN	OPPENHEIMER ROCHESTER NEW JERSEY MU B		0.00	25.35	0.00	25.35	80.0	20.28

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ADJUSTMENTS

* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$31.17	\$0.00	\$31.17	\$24.94
*** BROKER TRANSACTIONS TOTAL ***	\$-55,765.69	\$2,699.17	\$0.00	\$2,699.17	\$2,159.34

ADJUSTMENTS

09/29/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
	*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$-20.00

BROKER COMMISSION TOTALS

Broker Transactions	\$2,159.34
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.37
SIPC Assessment	\$-6.75

Check Amount	\$2,129.22
Year-to-date Earnings	\$9,276.01