

COMMISSION STATEMENT

November 30, 2017

JAY SHARTSIS
54 BIRCHWOOD LANEBROKER #: 37
BRANCH: HOME OFFICE

HARTSDALE, NY, NY 10530

COMMISSION STATEMENT for JAY SHARTSIS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
11/22/2017	QGW008872	CINQUEMANI, FRANK	AT&T INC	B	13,826.00	80.00	6.00	74.00	50.0	37.00
11/22/2017	QGW008872	CINQUEMANI, FRANK	SNAP INC CLASS A COMMON STOCK	B	2,503.54	50.00	6.00	44.00	50.0	22.00
11/22/2017	QGW008872	CINQUEMANI, FRANK	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	4,079.22	75.00	6.00	69.00	50.0	34.50
11/17/2017	QGW009177	-, MICHAEL KRUEGER	ULTRA CLEAN HLDGS INC COM	B	12,500.00	50.00	6.00	44.00	50.0	22.00
11/20/2017	QGW009177	-, MICHAEL KRUEGER	ULTRA CLEAN HLDGS INC COM	S	-12,565.05	50.00	6.00	44.00	50.0	22.00
11/22/2017	QGW009367	SCHIFF MINOR, NICOLE	AT&T INC	B	13,826.00	80.00	6.00	74.00	50.0	37.00
11/22/2017	QGW009367	SCHIFF MINOR, NICOLE	SNAP INC CLASS A COMMON STOCK	B	2,503.30	50.00	6.00	44.00	50.0	22.00
11/22/2017	QGW009367	SCHIFF MINOR, NICOLE	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	4,077.00	75.00	6.00	69.00	50.0	34.50
11/22/2017	QGW009490	PARTNERSHIP, 311	AT&T INC	B	34,567.00	135.00	6.00	129.00	50.0	64.50
11/22/2017	QGW009490	PARTNERSHIP, 311	SNAP INC CLASS A COMMON STOCK	B	12,519.90	125.00	6.00	119.00	50.0	59.50
11/22/2017	QGW009490	PARTNERSHIP, 311	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	13,597.50	135.00	6.00	129.00	50.0	64.50
11/22/2017	QGW009540	CINQUEMANI, FRANK	AT&T INC	B	34,566.60	135.00	6.00	129.00	50.0	64.50
11/22/2017	QGW009540	CINQUEMANI, FRANK	SNAP INC CLASS A COMMON STOCK	B	12,517.60	125.00	6.00	119.00	50.0	59.50
11/22/2017	QGW009540	CINQUEMANI, FRANK	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	13,598.30	135.00	6.00	129.00	50.0	64.50
11/22/2017	QGW021420	CINQUEMANI, FRANK	AT&T INC	B	34,565.00	135.00	6.00	129.00	50.0	64.50
11/22/2017	QGW021420	CINQUEMANI, FRANK	SNAP INC CLASS A COMMON STOCK	B	12,518.30	125.00	6.00	119.00	50.0	59.50
11/22/2017	QGW021420	CINQUEMANI, FRANK	TEVA PHARMACEUTICAL INDUSTRIES LIM	B	13,596.80	135.00	6.00	129.00	50.0	64.50
11/28/2017	QGW021461	BURNS, RHONDIE	ELDORADO GOLD CORP NEW COM ISIN#CA2	B	1,190.00	96.22	6.00	90.22	50.0	45.11
* STOCKS SUBTOTAL *					\$223,987.01	\$1,791.22	\$108.00	\$1,683.22		\$841.61

PRODUCT CATEGORY: OPTIONS

10/31/2017	QGW009151	KOBOLD, MICHAEL	CALL 100 VIRNETX HLDG CORP COM EXP	S	-1,000.00	84.00	7.00	77.00	50.0	38.50
11/15/2017	QGW009151	KOBOLD, MICHAEL	CALL 100 VIRNETX HLDG CORP COM EXP	B	400.00	50.00	7.00	43.00	50.0	21.50
11/01/2017	QGW009177	-, MICHAEL KRUEGER	CALL 100 ULTRA CLEAN HLDGS INC COM	S	-425.00	50.00	7.00	43.00	50.0	21.50
11/24/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 AXT INC COM EXP 12-15-17@10	S	-350.00	50.00	7.00	43.00	50.0	21.50
11/24/2017	QGW009177	-, MICHAEL KRUEGER	PUT 100 PROSHARES TR II ULTRA BLOOM	S	-350.00	50.00	7.00	43.00	50.0	21.50
11/06/2017	QGW009581	PRINDLE DDS	CALL 100 WASHINGTON PRIME GROUP NEW	S	-1,500.00	109.00	7.00	102.00	50.0	51.00
11/28/2017	QGW021461	BURNS, RHONDIE	PUT 100 DIREXION SHS ETF TR DAILY G	S	-2,360.00	60.15	7.00	53.15	50.0	26.58
11/17/2017	QGW029514	HUNT, GREGORY	PUT 100 BARCLAYS BK PLC IPATH S&P 5	B	6,810.00	125.00	7.00	118.00	50.0	59.00
11/21/2017	QGW029514	HUNT, GREGORY	PUT 100 INTEL CORP COM EXP 12-15-17	B	2,210.00	60.00	7.00	53.00	50.0	26.50
11/22/2017	QGW029514	HUNT, GREGORY	PUT 100 MICROSOFT CORP COM EXP 01-1	B	2,750.00	117.43	7.00	110.43	50.0	55.22

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

* OPTIONS SUBTOTAL *				\$6,185.00	\$755.58	\$70.00	\$685.58		\$342.80
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
11/09/2017	75501786	WRIGHTON, BRYAN	**CLEARBRIDGE LARGE CAP VALUE	B	0.00	44.70	0.00	44.70	22.35
11/22/2017	QGW030561	CERASO, ANTONIO	BLACKROCK GLOBAL ALLOCATION FUND IN B		0.00	0.28	0.00	0.28	0.14
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$44.98	\$0.00	\$44.98		\$22.49
*** BROKER TRANSACTIONS TOTAL ***				\$230,172.01	\$2,591.78	\$178.00	\$2,413.78		\$1,206.90

ADJUSTMENTS

11/30/2017	MISCELLANEOUS: MISCELLANEOUS-TELEPH	0.00	0.00	0.00	0.00	-26.21
11/30/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
11/30/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
11/30/2017	OTHER: OTHER--SALARY	0.00	0.00	0.00	0.00	500.00
11/30/2017	OTHER: OTHER-BONUS	0.00	0.00	0.00	0.00	1,766.00
11/30/2017	OTHER: CBOE	0.00	0.00	0.00	0.00	-250.00
11/30/2017	OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-96.36
11/30/2017	OTHER: QUODD	0.00	0.00	0.00	0.00	-65.88
	*** ADJUSTMENTS TOTAL ***	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$1,799.55</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$1,206.90
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$1,799.55
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.24
SIPC Assessment	\$-6.48

Check Amount	\$2,996.73
Year-to-date Earnings	\$11,607.17