

COMMISSION STATEMENT**November 30, 2018****EZRA GRAYMAN**
7 EDGEWOOD AVE**BROKER #: M10 M15**
BRANCH: HOME OFFICE

SPRINGFIELD, NJ 07081

COMMISSION STATEMENT for EZRA GRAYMAN

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>									
11/07/2018	QGV006190	ABADY CAP		REALTY INCOME CORP	S	-311,193.00	100.00	10.00	90.00 50.0 45.00
10/30/2018	QGV006216	ABADY CAP		NOVUME SOLUTIONS INC COM	S	-85,932.00	250.00	10.00	240.00 50.0 120.00
10/31/2018	QGV006216	ABADY CAP		HARFORD FINL SVGS GROUP INC DEL DEP S		-125,250.00	50.00	10.00	40.00 50.0 20.00
10/31/2018	QGV006216	ABADY CAP		ORCHARD THERAPEUTICS PLC SHS SPONSO S		-25,500.00	20.00	10.00	10.00 50.0 5.00
10/31/2018	QGV006216	ABADY CAP		TWIST BIOSCIENCE CORP COM	S	-133,272.00	100.00	10.00	90.00 50.0 45.00
10/31/2018	QGV006216	ABADY CAP		TWIST BIOSCIENCE CORP COM	B	65,000.00	50.00	10.00	40.00 50.0 20.00
11/01/2018	QGV006216	ABADY CAP		NEW RESIDENTIAL INVESTMENT CORP	S	-317,275.00	100.00	10.00	90.00 50.0 45.00
11/07/2018	QGV006216	ABADY CAP		CNFINANCE HOLDINGS LTD SHS SPONSORE S		-112,500.00	100.00	10.00	90.00 50.0 45.00
11/07/2018	QGV006216	ABADY CAP		REALTY INCOME CORP	S	-466,728.75	100.00	10.00	90.00 50.0 45.00
11/08/2018	QGV006216	ABADY CAP		ENDRA LIFE SCIENCES INC COM	S	-28,600.00	65.00	10.00	55.00 50.0 27.50
11/08/2018	QGV006216	ABADY CAP		ENDRA LIFE SCIENCES INC COM	B	10,250.00	25.00	10.00	15.00 50.0 7.50
11/08/2018	QGV006216	ABADY CAP		NEW YORK MORTGAGE TRUST INC	S	-164,743.20	100.00	10.00	90.00 50.0 45.00
11/09/2018	QGV006216	ABADY CAP		NEW AGE BEVERAGES CORP COM	S	-93,750.00	250.00	10.00	240.00 50.0 120.00
11/09/2018	QGV006216	ABADY CAP		SAREPTA THERAPEUTICS INC COM	B	127,500.00	20.00	10.00	10.00 50.0 5.00
11/09/2018	QGV006216	ABADY CAP		SAREPTA THERAPEUTICS INC COM	S	-177,401.28	20.00	10.00	10.00 50.0 5.00
11/09/2018	QGV006216	ABADY CAP		SAREPTA THERAPEUTICS INC COM	S	-38,014.56	20.00	10.00	10.00 50.0 5.00
11/13/2018	QGV006216	LION GATE CAPITAL		ADVANCED MICRO DEVICES INC	S	-780,000.00	200.00	10.00	190.00 50.0 95.00
11/13/2018	QGV006216	LION GATE CAPITAL		ADVANCED MICRO DEVICES INC	B	777,000.00	200.00	10.00	190.00 50.0 95.00
11/13/2018	QGV006216	LION GATE CAPITAL		ETON PHARMACEUTICALS INC COM	S	-15,625.00	25.00	10.00	15.00 50.0 7.50
11/14/2018	QGV006216	LION GATE CAPITAL		BAKER HUGHES A GE CO CL A	S	-586,222.05	200.00	10.00	190.00 50.0 95.00
11/14/2018	QGV006216	LION GATE CAPITAL		BAKER HUGHES A GE CO CL A	B	456,000.00	200.00	10.00	190.00 50.0 95.00
11/14/2018	QGV006216	LION GATE CAPITAL		BAKER HUGHES A GE CO CL A	S	586,222.05	-200.00	-10.00	-190.00 50.0 -95.00 C
11/14/2018	QGV006216	LION GATE CAPITAL		BAKER HUGHES A GE CO CL A	S	-551,738.40	200.00	10.00	190.00 50.0 95.00
11/14/2018	QGV006216	LION GATE CAPITAL		CAREDX INC COM	S	-25,500.00	20.00	10.00	10.00 50.0 5.00
11/14/2018	QGV006216	LION GATE CAPITAL		CERIDIAN HCM HLDG INC COM	S	-58,800.00	20.00	10.00	10.00 50.0 5.00
11/14/2018	QGV006216	LION GATE CAPITAL		NEXPOINT RESIDENTIAL TRUST INC	S	-33,896.70	20.00	10.00	10.00 50.0 5.00
11/15/2018	QGV006216	LION GATE CAPITAL		CONSOLIDATED EDISON INC	S	-100,100.00	20.00	10.00	10.00 50.0 5.00
11/15/2018	QGV006216	LION GATE CAPITAL		HELIUS MEDICAL TECHNOLOGIES INC REG S		-135,809.85	165.00	10.00	155.00 50.0 77.50
11/15/2018	QGV006216	LION GATE CAPITAL		NATIONAL GEN HLDGS CORP COM	S	-47,888.00	20.00	10.00	10.00 50.0 5.00
11/15/2018	QGV006216	LION GATE CAPITAL		VICI PPTYS INC COM	S	-31,950.00	20.00	10.00	10.00 50.0 5.00
11/16/2018	QGV006216	LION GATE CAPITAL		AMCI ACQUISITION CORP UNIT 1 CL A & S		-80,000.00	80.00	10.00	70.00 50.0 35.00

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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>									
11/16/2018	QGV006216	LION GATE CAPITAL		CONSOLIDATED EDISON INC	S	-46,021.02	20.00	10.00	10.00 50.0 5.00
11/16/2018	QGV006216	LION GATE CAPITAL		CONTANGO OIL & GAS CO COM NEW	S	-384,393.75	500.00	10.00	490.00 50.0 245.00
11/16/2018	QGV006216	LION GATE CAPITAL		VALERITAS HLDGS INC COM NEW	S	-32,032.00	150.00	10.00	140.00 50.0 70.00
11/26/2018	QGV006216	LION GATE CAPITAL		CONTANGO OIL & GAS CO COM NEW	B	31,528.20	85.00	10.00	75.00 50.0 37.50
11/27/2018	QGV006216	LION GATE CAPITAL		AMARIN CORPORATION PLC SPONSORED AD S		-211,111.20	120.00	10.00	110.00 50.0 55.00
11/27/2018	QGV006216	LION GATE CAPITAL		AMARIN CORPORATION PLC SPONSORED AD B		160,849.80	100.00	10.00	90.00 50.0 45.00
11/27/2018	QGV006216	LION GATE CAPITAL		CONTANGO OIL & GAS CO COM NEW	B	61,546.65	250.00	10.00	240.00 50.0 120.00
11/28/2018	QGV006216	LION GATE CAPITAL		GENERAL ELECTRIC CO	S	-149,200.00	100.00	10.00	90.00 50.0 45.00
11/28/2018	QGV006216	LION GATE CAPITAL		GLOBAL NET LEASE INC COM	B	201,000.00	100.00	10.00	90.00 50.0 45.00
11/28/2018	QGV006216	LION GATE CAPITAL		GLOBAL NET LEASE INC COM	S	-303,000.00	150.00	10.00	140.00 50.0 70.00
11/28/2018	QGV006216	LION GATE CAPITAL		ROCKET PHARMACEUTICALS INC COM	S	-17,875.00	20.00	10.00	10.00 50.0 5.00
11/28/2018	QGV006216	LION GATE CAPITAL		ROCKET PHARMACEUTICALS INC COM	S	-9,750.00	20.00	10.00	10.00 50.0 5.00
11/28/2018	QGV006216	LION GATE CAPITAL		SOUTHWEST GAS HLDGS INC COM	S	-383,750.00	50.00	10.00	40.00 50.0 20.00
10/30/2018	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC	S	-671,988.00	200.00	10.00	190.00 50.0 95.00
10/30/2018	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC	B	663,000.00	200.00	10.00	190.00 50.0 95.00
10/30/2018	QGV006224	DAVIS FAMILY OFFICE,		NOVUME SOLUTIONS INC COM	S	-19,530.00	100.00	10.00	90.00 50.0 45.00
10/31/2018	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC	B	707,392.00	200.00	10.00	190.00 50.0 95.00
10/31/2018	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC	S	-709,860.00	200.00	10.00	190.00 50.0 95.00
10/31/2018	QGV006224	DAVIS FAMILY OFFICE,		AXONICS MODULATION TECHNOLOGIES INC S		-3,611.25	20.00	10.00	10.00 50.0 5.00
11/01/2018	QGV006224	DAVIS FAMILY OFFICE,		NEW RESIDENTIAL INVESTMENT CORP	B	345,542.00	200.00	10.00	190.00 50.0 95.00
11/01/2018	QGV006224	DAVIS FAMILY OFFICE,		NEW RESIDENTIAL INVESTMENT CORP	S	-600,250.00	100.00	10.00	90.00 50.0 45.00
11/02/2018	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC	B	391,000.00	100.00	10.00	90.00 50.0 45.00
11/02/2018	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC	S	-398,700.00	100.00	10.00	90.00 50.0 45.00
11/05/2018	QGV006224	DAVIS FAMILY OFFICE,		ADVANCED MICRO DEVICES INC	B	789,400.00	200.00	10.00	190.00 50.0 95.00
11/07/2018	QGV006224	DAVIS FAMILY OFFICE,		CNFINANCE HOLDINGS LTD SHS SPONSORE S		-15,000.00	20.00	10.00	10.00 50.0 5.00
11/07/2018	QGV006224	DAVIS FAMILY OFFICE,		REALTY INCOME CORP	S	-466,728.75	100.00	10.00	90.00 50.0 45.00
11/08/2018	QGV006224	DAVIS FAMILY OFFICE,		NEW YORK MORTGAGE TRUST INC	S	-170,844.80	100.00	10.00	90.00 50.0 45.00
11/08/2018	QGV006224	DAVIS FAMILY OFFICE,		NEW YORK MORTGAGE TRUST INC	B	60,400.00	100.00	10.00	90.00 50.0 45.00
11/08/2018	QGV006224	DAVIS FAMILY OFFICE,		NEW YORK MORTGAGE TRUST INC	S	-18,304.80	30.00	10.00	20.00 50.0 10.00
11/09/2018	QGV006224	DAVIS FAMILY OFFICE,		SAREPTA THERAPEUTICS INC COM	S	-316,788.00	25.00	10.00	15.00 50.0 7.50
11/14/2018	QGV006224	DAVIS FAMILY OFFICE,		BAKER HUGHES A GE CO CL A	S	-112,646.59	200.00	10.00	190.00 50.0 95.00
11/14/2018	QGV006224	DAVIS FAMILY OFFICE,		BAKER HUGHES A GE CO CL A	S	112,646.59	-200.00	-10.00	-190.00 50.0 -95.00 C
11/14/2018	QGV006224	DAVIS FAMILY OFFICE,		BAKER HUGHES A GE CO CL A	S	-147,130.24	64.00	10.00	54.00 50.0 27.00
11/14/2018	QGV006224	DAVIS FAMILY OFFICE,		CERIDIAN HCM HLDG INC COM	S	-40,425.00	20.00	10.00	10.00 50.0 5.00
11/14/2018	QGV006224	DAVIS FAMILY OFFICE,		NEXPOINT RESIDENTIAL TRUST INC	S	-6,779.34	20.00	10.00	10.00 50.0 5.00
11/15/2018	QGV006224	DAVIS FAMILY OFFICE,		CONSOLIDATED EDISON INC	S	-15,400.00	20.00	10.00	10.00 50.0 5.00
11/15/2018	QGV006224	DAVIS FAMILY OFFICE,		HELIUS MEDICAL TECHNOLOGIES INC REG S		-16,461.80	20.00	10.00	10.00 50.0 5.00
11/15/2018	QGV006224	DAVIS FAMILY OFFICE,		HELIUS MEDICAL TECHNOLOGIES INC REG S		-8,230.90	20.00	10.00	10.00 50.0 5.00
11/15/2018	QGV006224	DAVIS FAMILY OFFICE,		VICI PPTYS INC COM	S	-21,300.00	20.00	10.00	10.00 50.0 5.00
11/15/2018	QGV006224	DAVIS FAMILY OFFICE,		VICI PPTYS INC COM	S	-95,850.00	45.00	10.00	35.00 50.0 17.50

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
11/16/2018	QGV006224	DAVIS FAMILY OFFICE, AMCI ACQUISITION CORP UNIT 1 CL A & S		-10,000.00	20.00	10.00	10.00	50.0	5.00
11/16/2018	QGV006224	DAVIS FAMILY OFFICE, CONTANGO OIL & GAS CO COM NEW	S	-100,533.75	200.00	10.00	190.00	50.0	95.00
11/16/2018	QGV006224	DAVIS FAMILY OFFICE, LAUREATE ED INC CL A	S	-65,259.90	45.00	10.00	35.00	50.0	17.50
11/27/2018	QGV006224	DAVIS FAMILY OFFICE, AMARIN CORPORATION PLC SPONSORED AD S		-17,592.60	20.00	10.00	10.00	50.0	5.00
11/27/2018	QGV006224	DAVIS FAMILY OFFICE, AMARIN CORPORATION PLC SPONSORED AD S		-8,796.30	20.00	10.00	10.00	50.0	5.00
11/28/2018	QGV006224	DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC	B	852,908.00	200.00	10.00	190.00	50.0	95.00
11/28/2018	QGV006224	DAVIS FAMILY OFFICE, ROCKET PHARMACEUTICALS INC COM	S	-8,125.00	20.00	10.00	10.00	50.0	5.00
10/31/2018	QGV006604	WELLS FARGO BANK HARFORD FINL SVGS GROUP INC DEL DEP S		-125,400.00	50.00	10.00	40.00	50.0	20.00
10/31/2018	QGV006604	WELLS FARGO BANK HARFORD FINL SVGS GROUP INC DEL DEP S		125,400.00	-50.00	-10.00	-40.00	50.0	-20.00 C
10/31/2018	QGV006604	WELLS FARGO BANK HARFORD FINL SVGS GROUP INC DEL DEP S		-125,400.00	50.00	10.00	40.00	50.0	20.00
11/13/2018	QGW012205	AZRAK, RUBEN AURORA CANNABIS INC COM ISIN#CA0515 B		13,420.00	120.00	10.00	110.00	50.0	55.00
11/13/2018	QGW012205	AZRAK, RUBEN CRONOS GROUP INC COM ISIN#CA22717L1 B		15,791.00	120.00	10.00	110.00	50.0	55.00
11/07/2018	QGW014847	ALBANESE, JOHN SEADRILL LIMITED (NEW) REGISTERED S B		204,450.00	600.00	10.00	590.00	50.0	295.00
10/30/2018	QGW015075	RARE COIN GALLERIES, NEWELL BRANDS INC SHS	B	312,496.00	1,200.00	10.00	1,190.00	50.0	595.00
10/31/2018	QGW015075	RARE COIN GALLERIES, BANCROFT FUND LTD	B	10,190.00	50.00	10.00	40.00	50.0	20.00
11/26/2018	QGW015075	RARE COIN GALLERIES, BANCROFT FUND LTD	S	-9,875.00	50.00	10.00	40.00	50.0	20.00
11/26/2018	QGW015075	RARE COIN GALLERIES, LIONS GATE ENTMT CORP CL B NON VTG B		151,585.60	510.00	10.00	500.00	50.0	250.00
11/26/2018	QGW015075	RARE COIN GALLERIES, NEWELL BRANDS INC SHS	S	-224,039.00	600.00	10.00	590.00	50.0	295.00
11/27/2018	QGW015075	RARE COIN GALLERIES, LIONS GATE ENTMT CORP CL B NON VTG B		115,204.05	390.00	10.00	380.00	50.0	190.00
11/27/2018	QGW015075	RARE COIN GALLERIES, NEWELL BRANDS INC SHS	S	-116,000.00	300.00	10.00	290.00	50.0	145.00
11/07/2018	QGW015208	CAHILL, ANDREW CONIHASSET CAP PARTNERS INC COM	S	-525.00	50.00	10.00	40.00	50.0	20.00
11/08/2018	QGW036352	LAWRENCE ADAMS LTD LARGO RES LTD COM NEW ISIN#CA517103 B		34,900.00	300.00	10.00	290.00	50.0	145.00
11/28/2018	QGW038432	BRAND, MATTHEW ZVELO INC COM	B	1,630.00	75.00	10.00	65.00	50.0	32.50
* STOCKS SUBTOTAL *				\$-3,347,946.84	\$11,389.00	\$880.00	\$10,509.00		\$5,254.50
<u>PRODUCT CATEGORY: BONDS</u>									
11/01/2018	QGV001076	CREDIT SUISSE CITIZENS FINL GROUP INC JR SUB VAR B		1,992,500.00	5,000.00	10.00	4,990.00	50.0	2,495.00
11/07/2018	QGV001076	CREDIT SUISSE CITIGROUP INC DEP SHS 1/25TH PFD SE S		-2,027,500.00	5,000.00	10.00	4,990.00	50.0	2,495.00
11/08/2018	QGV001076	CREDIT SUISSE CITIZENS FINL GROUP INC JR SUB VAR B		996,875.00	3,125.00	10.00	3,115.00	50.0	1,557.50
* BONDS SUBTOTAL *				\$961,875.00	\$13,125.00	\$30.00	\$13,095.00		\$6,547.50
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/30/2018		FEE COUNT - 8		0.00	63.68	0.00	63.68	50.0	31.85
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$63.68	\$0.00	\$63.68		\$31.85
*** BROKER TRANSACTIONS TOTAL ***				\$-2,386,071.84	\$24,577.68	\$910.00	\$23,667.68		\$11,833.85

COMMISSION STATEMENT for EZRA GRAYMAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
11/30/2018		FEE ACTIVITY: FINRA CE TRACKED WEB		0.00	0.00	0.00	0.00		-55.00
11/30/2018		OTHER: 360 OFFICE		0.00	0.00	0.00	0.00		-8.00
11/30/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
11/30/2018		OTHER: CORE TECH		0.00	0.00	0.00	0.00		-119.80
11/30/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-108.77
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-311.57

BROKER COMMISSION TOTALS

Broker Transactions	\$11,833.85
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-311.57
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-30.72
SIPC Assessment	\$-61.44

Check Amount	\$11,430.12
Year-to-date Earnings	\$120,876.45