

COMMISSION STATEMENT

November 30, 2018

MARCO CASALE
151 BENNINGTON ROADBROKER #: C30
BRANCH: HOME OFFICE

FREEHOLD, NJ 07728

COMMISSION STATEMENT for MARCO CASALE

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

11/21/2018	QGW039034	DELL, MARK	FIDELITY FREEDOM TWENTY THIRTY FUND S	-938.59	12.21	14.00	-1.79	80.0	-4.23
* MUTUAL FUNDS SUBTOTAL *				\$-938.59	\$12.21	\$14.00	\$-1.79		\$-4.23

PRODUCT CATEGORY: STOCKS

11/26/2018	QGW033649	ARLENE M FRANCIS,	NEOGENOMICS INC	B	1,608.00	50.00	6.00	44.00	80.0	34.00
11/02/2018	QGW033763	LYONS, SALLY	TANDEM DIABETES CARE INC COM NEW	S	-14,400.00	100.00	6.00	94.00	80.0	74.00
11/06/2018	QGW033763	LYONS, SALLY	ROKU INC CLASS A COMMON STOCK	B	16,969.50	200.00	6.00	194.00	80.0	154.00
10/31/2018	QGW033805	LYONS, SALLY	NEOGENOMICS INC	B	7,300.00	137.00	6.00	131.00	80.0	103.60
11/02/2018	QGW033805	LYONS, SALLY	TANDEM DIABETES CARE INC COM NEW	S	-10,800.00	100.00	6.00	94.00	80.0	74.00
11/02/2018	QGW033805	LYONS, SALLY	XILINX INC	S	-16,000.00	100.00	6.00	94.00	80.0	74.00
11/06/2018	QGW033805	LYONS, SALLY	SYMANTEC CORPORATION	B	17,152.00	250.00	6.00	244.00	80.0	194.00
11/08/2018	QGW033805	LYONS, SALLY	ANGI HOMESERVICES INC CL A	B	9,895.00	150.00	6.00	144.00	80.0	114.00
11/08/2018	QGW033805	LYONS, SALLY	NEOGENOMICS INC	S	-25,200.00	250.00	6.00	244.00	80.0	194.00
11/13/2018	QGW033805	LYONS, SALLY	CATERPILLAR INC	B	19,154.25	150.00	6.00	144.00	80.0	114.00
11/15/2018	QGW033805	LYONS, SALLY	ANGI HOMESERVICES INC CL A	B	9,000.00	150.00	6.00	144.00	80.0	114.00
11/16/2018	QGW033805	LYONS, SALLY	SYMANTEC CORPORATION	S	-18,512.00	100.00	6.00	94.00	80.0	74.00
11/26/2018	QGW033805	LYONS, SALLY	TANDEM DIABETES CARE INC COM NEW	B	14,724.00	230.00	6.00	224.00	80.0	178.00
11/02/2018	QGW035438	RIZZO, GIOVANNI	ROKU INC CLASS A COMMON STOCK	S	-11,000.00	100.00	6.00	94.00	80.0	74.00
11/02/2018	QGW035438	RIZZO, GIOVANNI	XILINX INC	S	-16,000.00	100.00	6.00	94.00	80.0	74.00
11/07/2018	QGW035438	RIZZO, GIOVANNI	SQUARE INC CLASS A COM	B	16,087.92	150.00	6.00	144.00	80.0	114.00
11/09/2018	QGW035438	RIZZO, GIOVANNI	TANDEM DIABETES CARE INC COM NEW	S	-11,100.00	100.00	6.00	94.00	80.0	74.00
11/15/2018	QGW035438	RIZZO, GIOVANNI	ANGI HOMESERVICES INC CL A	B	8,980.00	150.00	6.00	144.00	80.0	114.00
11/26/2018	QGW035438	RIZZO, GIOVANNI	TANDEM DIABETES CARE INC COM NEW	B	14,724.00	200.00	6.00	194.00	80.0	154.00
11/26/2018	QGW036493	ARLENE M FRANCIS,	NEOGENOMICS INC	B	1,608.00	50.00	6.00	44.00	80.0	34.00
11/01/2018	QGW036584	TREIBER, NANCY	ROKU INC CLASS A COMMON STOCK	B	11,400.00	160.00	6.00	154.00	80.0	122.00
11/06/2018	QGW036584	TREIBER, NANCY	NEOS THERAPEUTICS INC COM	B	2,300.00	0.00	6.00	-6.00	80.0	-6.00
11/07/2018	QGW036584	TREIBER, NANCY	NEOS THERAPEUTICS INC COM	S	-2,750.00	50.00	6.00	44.00	80.0	34.00
11/16/2018	QGW036584	TREIBER, NANCY	NEOGENOMICS INC	S	-15,000.00	100.00	6.00	94.00	80.0	74.00
11/27/2018	QGW036584	TREIBER, NANCY	TANDEM DIABETES CARE INC COM NEW	B	13,364.00	200.00	6.00	194.00	80.0	154.00
11/27/2018	QGW036592	TREIBER, NANCY	TANDEM DIABETES CARE INC COM NEW	B	5,011.50	90.00	6.00	84.00	80.0	66.00
11/02/2018	QGW036600	WOOD, GERALDINE	DYNEX CAP INC COM NEW	B	11,900.00	250.00	6.00	244.00	80.0	194.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
11/02/2018	QGW036600	WOOD, GERALDINE	SACHEM CAPITAL CORP COMMON SHARES	B	6,135.00	195.00	6.00	189.00	80.0	150.00
11/02/2018	QGW036600	WOOD, GERALDINE	SQUARE INC CLASS A COM	B	7,675.00	80.00	6.00	74.00	80.0	58.00
11/02/2018	QGW036600	WOOD, GERALDINE	SUNOCO LP COMMON UNITS REPRESENTING	B	3,104.20	60.00	6.00	54.00	80.0	42.00
11/06/2018	QGW036600	WOOD, GERALDINE	SYMANTEC CORPORATION	B	10,175.00	175.00	6.00	169.00	80.0	134.00
11/08/2018	QGW036600	WOOD, GERALDINE	SYMANTEC CORPORATION	S	-11,335.00	100.00	6.00	94.00	80.0	74.00
11/15/2018	QGW036600	WOOD, GERALDINE	ANGI HOMESERVICES INC CL A	B	8,082.00	150.00	6.00	144.00	80.0	114.00
11/15/2018	QGW036600	WOOD, GERALDINE	BAUSCH HEALTH COS INC COM	B	13,180.00	200.00	6.00	194.00	80.0	154.00
11/27/2018	QGW037020	HENNESSY, DAINEL	NEOGENOMICS INC	S	-8,240.00	75.00	6.00	69.00	80.0	54.00
11/28/2018	QGW037020	HENNESSY, DAINEL	PAYPAL HOLDINGS INC COM	B	10,283.75	125.00	6.00	119.00	80.0	94.00
11/02/2018	QGW038705	SAPIO, ROBERTA	XILINX INC	S	-16,000.00	100.00	6.00	94.00	80.0	74.00
11/06/2018	QGW038705	SAPIO, ROBERTA	SYMANTEC CORPORATION	B	10,578.40	176.00	6.00	170.00	80.0	134.80
11/07/2018	QGW038705	SAPIO, ROBERTA	SQUARE INC CLASS A COM	B	8,092.02	80.00	6.00	74.00	80.0	58.00
11/09/2018	QGW038705	SAPIO, ROBERTA	TANDEM DIABETES CARE INC COM NEW	S	-11,499.00	100.00	6.00	94.00	80.0	74.00
11/15/2018	QGW038705	SAPIO, ROBERTA	ANGI HOMESERVICES INC CL A	B	9,209.70	150.00	6.00	144.00	80.0	114.00
11/16/2018	QGW038705	SAPIO, ROBERTA	SYMANTEC CORPORATION	S	-11,570.00	75.00	6.00	69.00	80.0	54.00
11/28/2018	QGW038705	SAPIO, ROBERTA	SQUARE INC CLASS A COM	B	13,416.00	150.00	6.00	144.00	80.0	114.00
11/28/2018	QGW038796	LAPINSKI, CLAIRE	SACHEM CAPITAL CORP COMMON SHARES	B	5,895.00	160.00	6.00	154.00	80.0	122.00
11/02/2018	QGW038804	LOSAPIO, VONCENT	AMERICAN AIRLINES GROUP INC	S	-7,400.00	75.00	6.00	69.00	80.0	54.00
11/06/2018	QGW038804	LOSAPIO, VONCENT	ROKU INC CLASS A COMMON STOCK	B	7,057.01	100.00	6.00	94.00	80.0	74.00
11/16/2018	QGW038812	KOHN, ROBERT	NEOGENOMICS INC	S	-15,000.00	100.00	6.00	94.00	80.0	74.00
11/27/2018	QGW038812	KOHN, ROBERT	TANDEM DIABETES CARE INC COM NEW	B	16,705.00	225.00	6.00	219.00	80.0	174.00
11/21/2018	QGW039034	DELL, MARK	CRONOS GROUP INC COM ISIN#CA22717L1	B	5,859.00	80.00	6.00	74.00	80.0	58.00
11/26/2018	QGW039133	MASTERSON, PATRICIA	SUNOCO LP COMMON UNITS REPRESENTING	B	2,106.75	50.00	6.00	44.00	80.0	34.00
11/01/2018	QGW039158	MASTERSON, PATRICIA	ROKU INC CLASS A COMMON STOCK	B	11,400.00	160.00	6.00	154.00	80.0	122.00
11/02/2018	QGW039158	MASTERSON, PATRICIA	XILINX INC	S	-16,000.00	100.00	6.00	94.00	80.0	74.00
11/06/2018	QGW039158	MASTERSON, PATRICIA	SYMANTEC CORPORATION	B	10,474.50	176.00	6.00	170.00	80.0	134.80
11/12/2018	QGW039158	MASTERSON, PATRICIA	SYMANTEC CORPORATION	S	-11,165.00	100.00	6.00	94.00	80.0	74.00
11/13/2018	QGW039158	MASTERSON, PATRICIA	SQUARE INC CLASS A COM	B	14,393.60	150.00	6.00	144.00	80.0	114.00
11/26/2018	QGW039158	MASTERSON, PATRICIA	TANDEM DIABETES CARE INC COM NEW	B	11,452.00	190.00	6.00	184.00	80.0	146.00
11/26/2018	QGW039158	MASTERSON, PATRICIA	TEVA PHARMACEUTICAL INDUSTRIES LIM	S	-11,035.00	75.00	6.00	69.00	80.0	54.00
11/08/2018	QGW039166	WOZNEY, DEBRA	DATA I O CORP COM	S	-2,575.00	40.00	6.00	34.00	80.0	26.00
11/08/2018	QGW039166	WOZNEY, DEBRA	VIPSHOP HLDGS LTD SPONS ADR ISIN#US	S	-2,795.00	40.00	6.00	34.00	80.0	26.00
11/01/2018	QGW039398	RAGAZZO, RALPH	ROKU INC CLASS A COMMON STOCK	B	11,400.00	160.00	6.00	154.00	80.0	122.00
11/08/2018	QGW039398	RAGAZZO, RALPH	CRONOS GROUP INC COM ISIN#CA22717L1	S	-4,750.00	50.00	6.00	44.00	80.0	34.00
11/09/2018	QGW039398	RAGAZZO, RALPH	TANDEM DIABETES CARE INC COM NEW	S	-11,499.00	100.00	6.00	94.00	80.0	74.00
11/16/2018	QGW039398	RAGAZZO, RALPH	ANGI HOMESERVICES INC CL A	B	9,530.95	150.00	6.00	144.00	80.0	114.00
11/26/2018	QGW039398	RAGAZZO, RALPH	TANDEM DIABETES CARE INC COM NEW	B	8,180.00	140.00	6.00	134.00	80.0	106.00
11/09/2018	QGW039414	RAGAZZO, RALPH	TANDEM DIABETES CARE INC COM NEW	S	-7,666.00	50.00	6.00	44.00	80.0	34.00
11/02/2018	QGW039422	RAGAZZO, KATHLEEN	XILINX INC	S	-16,000.00	100.00	6.00	94.00	80.0	74.00
11/06/2018	QGW039422	RAGAZZO, KATHLEEN	SYMANTEC CORPORATION	B	20,350.00	300.00	6.00	294.00	80.0	234.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
11/09/2018	QGW039422	RAGAZZO, KATHLEEN	DROPBOX INC CL A COM	S	-24,000.00	100.00	6.00	94.00	80.0	74.00
11/09/2018	QGW039422	RAGAZZO, KATHLEEN	TANDEM DIABETES CARE INC COM NEW	S	-19,165.00	150.00	6.00	144.00	80.0	114.00
11/12/2018	QGW039422	RAGAZZO, KATHLEEN	CRONOS GROUP INC COM ISIN#CA22717L1	B	4,044.45	75.00	6.00	69.00	80.0	54.00
11/12/2018	QGW039422	RAGAZZO, KATHLEEN	SYMANTEC CORPORATION	S	-21,840.00	125.00	6.00	119.00	80.0	94.00
11/13/2018	QGW039422	RAGAZZO, KATHLEEN	ANGI HOMESERVICES INC CL A	B	9,198.40	150.00	6.00	144.00	80.0	114.00
11/13/2018	QGW039422	RAGAZZO, KATHLEEN	CATERPILLAR INC	B	25,932.00	150.00	6.00	144.00	80.0	114.00
11/16/2018	QGW039422	RAGAZZO, KATHLEEN	ANGI HOMESERVICES INC CL A	B	9,545.55	150.00	6.00	144.00	80.0	114.00
11/16/2018	QGW039422	RAGAZZO, KATHLEEN	NEOGENOMICS INC	S	-15,000.00	100.00	6.00	94.00	80.0	74.00
11/21/2018	QGW039422	RAGAZZO, KATHLEEN	PAYPAL HOLDINGS INC COM	B	23,735.34	225.00	6.00	219.00	80.0	174.00
11/26/2018	QGW039422	RAGAZZO, KATHLEEN	TANDEM DIABETES CARE INC COM NEW	B	13,088.00	200.00	6.00	194.00	80.0	154.00
10/31/2018	QGW039455	BIELINKI, LOUISE	NEOGENOMICS INC	B	7,300.00	137.00	6.00	131.00	80.0	103.60
11/28/2018	QGW039455	BIELINKI, LOUISE	CRONOS GROUP INC COM ISIN#CA22717L1	B	4,238.40	100.00	6.00	94.00	80.0	74.00
11/28/2018	QGW039463	BIELINKI, LOUISE	PAYPAL HOLDINGS INC COM	B	10,264.31	120.00	6.00	114.00	80.0	90.00
10/31/2018	QGW039828	BIELINKI, LOUIS	NEOGENOMICS INC	B	5,475.00	110.00	6.00	104.00	80.0	82.00
11/28/2018	QGW039828	BIELINKI, LOUIS	CRONOS GROUP INC COM ISIN#CA22717L1	B	4,248.35	100.00	6.00	94.00	80.0	74.00
10/31/2018	QGW040404	DALTON, LISA	ROKU INC CLASS A COMMON STOCK	B	10,800.00	100.00	6.00	94.00	80.0	74.00
11/28/2018	QGW040404	DALTON, LISA	CRONOS GROUP INC COM ISIN#CA22717L1	B	4,180.00	75.00	6.00	69.00	80.0	54.00
* STOCKS SUBTOTAL *					\$162,666.85	\$10,696.00	\$504.00	\$10,192.00		\$8,052.80
PRODUCT CATEGORY: OPTIONS										
11/26/2018	QGW033649	ARLENE M FRANCIS,	CALL 100 VIPSHOP HLDGS LTD SPONS AD S		-400.00	50.00	6.00	44.00	80.0	34.00
11/07/2018	QGW033805	LYONS, SALLY	CALL 100 SYMANTEC CORP EXP 11-09-18 S		-320.00	50.00	6.00	44.00	80.0	34.00
11/15/2018	QGW033805	LYONS, SALLY	CALL 100 CANADIAN SOLAR INC COM ISI S		-275.00	50.00	6.00	44.00	80.0	34.00
11/15/2018	QGW033805	LYONS, SALLY	CALL 100 TEVA PHARMACEUTICAL INDUST S		-280.00	50.00	6.00	44.00	80.0	34.00
11/15/2018	QGW033805	LYONS, SALLY	CALL 100 TEVA PHARMACEUTICAL INDUST S		280.00	-50.00	-6.00	-44.00	80.0	-34.00 C
11/15/2018	QGW033805	LYONS, SALLY	CALL 100 TEVA PHARMACEUTICAL INDUST S		-280.00	50.00	6.00	44.00	80.0	34.00
11/29/2018	QGW034761	SYM CZAK, STEPHEN	CALL 100 COHERUS BIOSCIENCES INC CO S		-175.00	50.00	6.00	44.00	80.0	34.00
11/29/2018	QGW034761	SYM CZAK, STEPHEN	CALL 100 COHERUS BIOSCIENCES INC CO S		175.00	-50.00	-6.00	-44.00	80.0	-34.00 C
11/05/2018	QGW035438	RIZZO, GIOVANNI	CALL 100 IQIYI INC SPONS ADR ISIN#U S		-240.00	50.00	6.00	44.00	80.0	34.00
11/07/2018	QGW035438	RIZZO, GIOVANNI	CALL 100 SYMANTEC CORP EXP 11-09-18 S		-170.00	50.00	6.00	44.00	80.0	34.00
11/07/2018	QGW035438	RIZZO, GIOVANNI	CALL 100 TANDEM DIABETES CARE INC C S		-225.00	50.00	6.00	44.00	80.0	34.00
11/15/2018	QGW035438	RIZZO, GIOVANNI	CALL 100 SYMANTEC CORP EXP 11-23-18 S		-85.00	50.00	6.00	44.00	80.0	34.00
11/26/2018	QGW036493	ARLENE M FRANCIS,	CALL 100 VIPSHOP HLDGS LTD SPONS AD S		-200.00	50.00	6.00	44.00	80.0	34.00
10/31/2018	QGW036584	TREIBER, NANCY	CALL 100 NVIDIA CORP COM EXP 01-18- B		6,736.00	125.00	6.00	119.00	80.0	94.00
10/31/2018	QGW036584	TREIBER, NANCY	CALL 100 NVIDIA CORP COM EXP 01-17- S		-10,280.00	125.00	6.00	119.00	80.0	94.00
11/01/2018	QGW036584	TREIBER, NANCY	CALL 100 ROKU INC COM CL A EXP 11-0 B		720.00	50.00	6.00	44.00	80.0	34.00
11/16/2018	QGW036584	TREIBER, NANCY	CALL 100 NVIDIA CORP COM EXP 01-17- S		-6,420.00	100.00	6.00	94.00	80.0	74.00
11/16/2018	QGW036584	TREIBER, NANCY	CALL 100 NVIDIA CORP COM EXP 01-17- B		5,216.00	100.00	6.00	94.00	80.0	74.00
11/01/2018	QGW036592	TREIBER, NANCY	CALL 100 ROKU INC COM CL A EXP 11-0 B		480.00	50.00	6.00	44.00	80.0	34.00
11/07/2018	QGW038705	SAPIO, ROBERTA	CALL 100 SYMANTEC CORP EXP 11-09-18 S		-165.00	50.00	6.00	44.00	80.0	34.00

COMMISSION STATEMENT for MARCO CASALE

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: OPTIONS										
11/28/2018	QGW038796	LAPINSKI, CLAIRE	CALL 100	VIPSHOP HLDGS LTD SPONS AD S	-250.00	50.00	6.00	44.00	80.0	34.00
11/07/2018	QGW039158	MASTERSON, PATRICIA	CALL 100	SYMANTEC CORP EXP 11-09-18 S	-240.00	50.00	6.00	44.00	80.0	34.00
11/12/2018	QGW039158	MASTERSON, PATRICIA	CALL 100	ROKU INC COM CL A EXP 11-1 S	-184.00	50.00	6.00	44.00	80.0	34.00
11/12/2018	QGW039158	MASTERSON, PATRICIA	CALL 100	TANDEM DIABETES CARE INC C S	-460.00	50.00	6.00	44.00	80.0	34.00
11/13/2018	QGW039158	MASTERSON, PATRICIA	CALL 100	NEOGENOMICS INC COM NEW EX S	-200.00	50.00	6.00	44.00	80.0	34.00
11/09/2018	QGW039398	RAGAZZO, RALPH	CALL 100	IQIYI INC SPONS ADR ISIN#U S	-200.00	50.00	6.00	44.00	80.0	34.00
11/07/2018	QGW039422	RAGAZZO, KATHLEEN	CALL 100	SYMANTEC CORP EXP 11-09-18 S	-330.00	50.00	6.00	44.00	80.0	34.00
11/09/2018	QGW039422	RAGAZZO, KATHLEEN	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-240.00	50.00	6.00	44.00	80.0	34.00
11/27/2018	QGW039422	RAGAZZO, KATHLEEN	CALL 100	ANGI HOMESERVICES INC CL A S	-100.00	50.00	6.00	44.00	80.0	34.00
11/27/2018	QGW039422	RAGAZZO, KATHLEEN	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-470.00	50.00	6.00	44.00	80.0	34.00
11/27/2018	QGW039422	RAGAZZO, KATHLEEN	CALL 100	BOX INC CL A EXP 12-21-18@ S	-750.00	50.00	6.00	44.00	80.0	34.00
11/27/2018	QGW039422	RAGAZZO, KATHLEEN	CALL 100	ROKU INC COM CL A EXP 11-3 S	-140.00	50.00	6.00	44.00	80.0	34.00
11/27/2018	QGW039422	RAGAZZO, KATHLEEN	CALL 100	TANDEM DIABETES CARE INC C S	-400.00	50.00	6.00	44.00	80.0	34.00
11/27/2018	QGW039422	RAGAZZO, KATHLEEN	CALL 100	TOWER SEMICONDUCTOR LTD SH S	-250.00	50.00	6.00	44.00	80.0	34.00
11/13/2018	QGW039455	BIELINKI, LOUISE	CALL 100	NEOGENOMICS INC COM NEW EX S	-120.00	50.00	6.00	44.00	80.0	34.00
* OPTIONS SUBTOTAL *					\$-10,242.00	\$1,800.00	\$186.00	\$1,614.00		\$1,254.00
*** BROKER TRANSACTIONS TOTAL ***					\$151,486.26	\$12,508.21	\$704.00	\$11,804.21		\$9,302.57

ADJUSTMENTS

11/30/2018		COMMISSION INCOME: NEOS		0.00	0.00	0.00	0.00		18.63
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		-150.00
				*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$-139.37

BROKER COMMISSION TOTALS

Broker Transactions	\$9,302.57
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-139.37
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-15.64
SIPC Assessment	\$-31.27

Check Amount	\$9,116.29
Year-to-date Earnings	\$140,538.30