

## COMMISSION STATEMENT

September 30, 2018

PHYLLIS FATTORUSO  
89-40 151ST AVENUE  
APT 5G  
HOWARD BEACH, NY 11414

BROKER #: P80  
BRANCH: HOME OFFICE

## COMMISSION STATEMENT for PHYLLIS FATTORUSO

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: STOCKS

09/07/2018	QGW007700	SARNA, MARK	BANK OF AMERICA CORP	S	-30,973.20	50.00	0.00	50.00	52.0	26.00
09/11/2018	QGW007700	SARNA, MARK	BANK OF AMERICA CORP	S	-30,890.00	50.00	0.00	50.00	52.0	26.00
09/12/2018	QGW007700	SARNA, MARK	ANTARES PHARMA INC COM	B	2,560.80	38.80	0.00	38.80	52.0	20.18
09/13/2018	QGW007700	SARNA, MARK	ANTARES PHARMA INC COM	B	4,024.88	61.20	0.00	61.20	52.0	31.82
09/21/2018	QGW007700	SARNA, MARK	BANK OF AMERICA CORP	B	87,000.00	150.00	0.00	150.00	52.0	78.00
09/21/2018	QGW007700	SARNA, MARK	GENERAL ELECTRIC CO	B	12,000.00	50.00	0.00	50.00	52.0	26.00
09/24/2018	QGW007700	SARNA, MARK	BANK OF AMERICA CORP	S	-61,435.80	100.00	0.00	100.00	52.0	52.00
09/12/2018	QGW007825	SARNA FAMILY LTD	ANTARES PHARMA INC COM	B	2,560.80	38.80	0.00	38.80	52.0	20.18
09/13/2018	QGW007825	SARNA FAMILY LTD	ANTARES PHARMA INC COM	B	4,024.88	61.20	0.00	61.20	52.0	31.82
09/21/2018	QGW007825	SARNA FAMILY LTD	BANK OF AMERICA CORP	B	87,000.00	150.00	0.00	150.00	52.0	78.00
09/21/2018	QGW007825	SARNA FAMILY LTD	GENERAL ELECTRIC CO	B	12,000.00	50.00	0.00	50.00	52.0	26.00
09/18/2018	QGW020927	KNIGHT, DAVID	PROSHARES TR PROSHARES ULTRASHORT T B		19,193.85	50.00	0.00	50.00	52.0	26.00
09/12/2018	QGW021784	ASCHER, TERESA	ISHARES SILVER SHARES	B	6,685.00	75.00	0.00	75.00	52.0	39.00
09/12/2018	QGW021792	ASCHER, WAYNE	ISHARES SILVER SHARES	B	6,685.00	75.00	0.00	75.00	52.0	39.00
09/12/2018	QGW021800	SUZANNE A ASCHER	ISHARES SILVER SHARES	B	6,685.00	75.00	0.00	75.00	52.0	39.00
09/12/2018	QGW022055	ASCHER, JOEL	ISHARES SILVER SHARES	B	6,684.50	75.00	0.00	75.00	52.0	39.00
				* STOCKS SUBTOTAL *	\$133,805.71	\$1,150.00	\$0.00	\$1,150.00		\$598.00

## PRODUCT CATEGORY: OPTIONS

08/31/2018	QGW007700	SARNA, MARK	CALL 100 GOLDMAN SACHS GROUP INC CO B		9,675.00	40.00	0.00	40.00	52.0	20.80
08/31/2018	QGW007700	SARNA, MARK	CALL 100 SCHLUMBERGER LTD COM ISIN# B		6,180.00	80.00	0.00	80.00	52.0	41.60
09/05/2018	QGW007700	SARNA, MARK	CALL 100 ALIBABA GROUP HLDG LTD SPO B		11,860.00	40.00	0.00	40.00	52.0	20.80
09/20/2018	QGW007700	SARNA, MARK	CALL 100 ALIBABA GROUP HLDG LTD SPO S		-2,090.50	30.00	0.00	30.00	52.0	15.60
09/20/2018	QGW007700	SARNA, MARK	CALL 100 BANK OF AMERICA CORPORATIO S		-4,680.00	60.00	0.00	60.00	52.0	31.20
09/20/2018	QGW007700	SARNA, MARK	CALL 100 SCHLUMBERGER LTD COM ISIN# B		5,419.20	60.00	0.00	60.00	52.0	31.20
09/21/2018	QGW007700	SARNA, MARK	CALL 100 ALIBABA GROUP HLDG LTD SPO B		13,460.00	40.00	0.00	40.00	52.0	20.80
09/21/2018	QGW007700	SARNA, MARK	CALL 100 ALIBABA GROUP HLDG LTD SPO S		-9,860.00	40.00	0.00	40.00	52.0	20.80
09/21/2018	QGW007700	SARNA, MARK	CALL 100 BANK OF AMERICA CORPORATIO S		-10,350.00	150.00	0.00	150.00	52.0	78.00
09/21/2018	QGW007700	SARNA, MARK	CALL 100 BANK OF AMERICA CORPORATIO B		10,900.00	150.00	0.00	150.00	52.0	78.00
09/21/2018	QGW007700	SARNA, MARK	CALL 100 FREEPORT-MCMORAN INC CL B S		-5,340.00	60.00	0.00	60.00	52.0	31.20
09/21/2018	QGW007700	SARNA, MARK	CALL 100 FREEPORT-MCMORAN INC CL B S		-2,580.00	30.00	0.00	30.00	52.0	15.60

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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: OPTIONS										
09/21/2018	QGW007700	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX S	-500.00	40.00	0.00	40.00	52.0	20.80
09/21/2018	QGW007700	SARNA, MARK	CALL 100	GOLDMAN SACHS GROUP INC CO B	9,229.00	40.00	0.00	40.00	52.0	20.80
09/21/2018	QGW007700	SARNA, MARK	CALL 100	GOLDMAN SACHS GROUP INC CO S	-5,440.00	40.00	0.00	40.00	52.0	20.80
09/21/2018	QGW007700	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX B	1,770.00	60.00	0.00	60.00	52.0	31.20
09/21/2018	QGW007700	SARNA, MARK	CALL 100	IQIYI INC SPONS ADR ISIN#U B	9,840.00	80.00	0.00	80.00	52.0	41.60
09/21/2018	QGW007700	SARNA, MARK	CALL 100	IQIYI INC SPONS ADR ISIN#U B	9,840.00	80.00	0.00	80.00	52.0	41.60
09/21/2018	QGW007700	SARNA, MARK	CALL 100	IQIYI INC SPONS ADR ISIN#U B	-9,840.00	-80.00	0.00	-80.00	52.0	-41.60 C
09/21/2018	QGW007700	SARNA, MARK	CALL 100	SCHLUMBERGER LTD COM ISIN# S	-2,500.00	60.00	0.00	60.00	52.0	31.20
09/21/2018	QGW007700	SARNA, MARK	CALL 100	TEVA PHARMACEUTICAL INDUST S	-4,750.00	40.00	0.00	40.00	52.0	20.80
09/24/2018	QGW007700	SARNA, MARK	CALL 100	GENERAL ELECTRIC CO COM EX B	12,330.00	120.00	0.00	120.00	52.0	62.40
09/27/2018	QGW007700	SARNA, MARK	CALL 100	IQIYI INC SPONS ADR ISIN#U S	-6,100.00	40.00	0.00	40.00	52.0	20.80
08/31/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO B	9,675.00	40.00	0.00	40.00	52.0	20.80
08/31/2018	QGW007825	SARNA FAMILY LTD	CALL 100	SCHLUMBERGER LTD COM ISIN# B	6,180.00	80.00	0.00	80.00	52.0	41.60
09/05/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO B	11,860.00	40.00	0.00	40.00	52.0	20.80
09/07/2018	QGW007825	SARNA FAMILY LTD	CALL 100	TESLA INC EXP 09-21-18 @25 B	20,586.00	40.00	0.00	40.00	52.0	20.80
09/12/2018	QGW007825	SARNA FAMILY LTD	CALL 100	TESLA INC EXP 09-21-18 @25 S	-41,250.00	40.00	0.00	40.00	52.0	20.80
09/14/2018	QGW007825	SARNA FAMILY LTD	CALL 100	FACEBOOK INC CL A EXP 10-1 B	12,830.00	40.00	0.00	40.00	52.0	20.80
09/18/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO B	13,120.00	40.00	0.00	40.00	52.0	20.80
09/20/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-2,090.50	30.00	0.00	30.00	52.0	15.60
09/20/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO S	-4,680.00	60.00	0.00	60.00	52.0	31.20
09/20/2018	QGW007825	SARNA FAMILY LTD	CALL 100	SCHLUMBERGER LTD COM ISIN# B	8,128.80	90.00	0.00	90.00	52.0	46.80
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO B	13,460.00	40.00	0.00	40.00	52.0	20.80
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-9,860.00	40.00	0.00	40.00	52.0	20.80
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO S	-10,350.00	150.00	0.00	150.00	52.0	78.00
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO B	10,900.00	150.00	0.00	150.00	52.0	78.00
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	FREEPORT-MCMORAN INC CL B S	-5,340.00	60.00	0.00	60.00	52.0	31.20
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	FREEPORT-MCMORAN INC CL B S	-2,580.00	30.00	0.00	30.00	52.0	15.60
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO B	18,458.00	80.00	0.00	80.00	52.0	41.60
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO S	-10,880.00	80.00	0.00	80.00	52.0	41.60
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL ELECTRIC CO COM EX B	590.00	20.00	0.00	20.00	52.0	10.40
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	IQIYI INC SPONS ADR ISIN#U B	9,840.00	80.00	0.00	80.00	52.0	41.60
09/21/2018	QGW007825	SARNA FAMILY LTD	CALL 100	SCHLUMBERGER LTD COM ISIN# S	-2,500.00	60.00	0.00	60.00	52.0	31.20
09/24/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GENERAL ELECTRIC CO COM EX B	28,770.00	280.00	0.00	280.00	52.0	145.60
09/27/2018	QGW007825	SARNA FAMILY LTD	CALL 100	IQIYI INC SPONS ADR ISIN#U S	-6,100.00	40.00	0.00	40.00	52.0	20.80
* OPTIONS SUBTOTAL *					\$105,240.00	\$2,910.00	\$0.00	\$2,910.00		\$1,513.20
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
09/30/2018		FEE COUNT - 2		0.00	26.03	0.00	26.03	52.0	13.53	
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$26.03	\$0.00	\$26.03		\$13.53

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ADJUSTMENTS

*** BROKER TRANSACTIONS TOTAL ***	\$239,045.71	\$4,086.03	\$0.00	\$4,086.03	\$2,124.73
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ADJUSTMENTS

09/30/2018	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	\$2,124.73
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	\$-5.11
SIPC Assessment	\$-10.22

Check Amount	\$2,089.40
Year-to-date Earnings	\$16,543.91