

## COMMISSION STATEMENT

September 30, 2018

EZRA GRAYMAN  
7 EDGEWOOD AVEBROKER #: M10 M15  
BRANCH: HOME OFFICE

SPRINGFIELD, NJ 07081

COMMISSION STATEMENT for EZRA GRAYMAN

| TRADE DATE                      | CLIENT         | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------|----------------|---------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>      |                |                                       |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: STOCKS</u> |                |                                       |     |                      |                     |                    |                   |      |                      |
| 08/30/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 1,005,948.00         | 300.00              | 10.00              | 290.00            | 50.0 | 145.00               |
| 08/30/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | S   | -1,011,248.00        | 300.00              | 10.00              | 290.00            | 50.0 | 145.00               |
| 08/31/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 749,499.00           | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 08/31/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | S   | -752,799.00          | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/04/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | S   | -692,571.14          | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/04/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 1,360,891.50         | 300.00              | 10.00              | 290.00            | 50.0 | 145.00               |
| 09/05/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 1,130,492.00         | 250.00              | 10.00              | 240.00            | 50.0 | 120.00               |
| 09/05/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | S   | -282,500.00          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/05/2018                      | QGV006216 LION | SUN CMNTYS INC COM                    | S   | -100,338.00          | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/06/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 1,386,100.00         | 300.00              | 10.00              | 290.00            | 50.0 | 145.00               |
| 09/06/2018                      | QGV006216 LION | KALVISTA PHARMACEUTICALS INC COM      | S   | -26,062.50           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/06/2018                      | QGV006216 LION | ZAI LAB LTD ADR ISIN# US98887Q1040    | B   | 131,217.80           | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/07/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | S   | -138,269.00          | 50.00               | 10.00              | 40.00             | 50.0 | 20.00                |
| 09/07/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 1,944,985.00         | 250.00              | 10.00              | 240.00            | 50.0 | 120.00               |
| 09/07/2018                      | QGV006216 LION | CHURCHILL CAP CORP UNIT 1 COM CL A    | S   | -50,000.00           | 50.00               | 10.00              | 40.00             | 50.0 | 20.00                |
| 09/07/2018                      | QGV006216 LION | DICERNA PHARMACEUTICALS INC COM       | S   | -4,500.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/07/2018                      | QGV006216 LION | NLIGHT INC COM                        | S   | -615,060.60          | 220.00              | 10.00              | 210.00            | 50.0 | 105.00               |
| 09/07/2018                      | QGV006216 LION | PROQR THERAPEUTICS NV SHS EURO ISIN S | S   | -91,877.50           | 55.00               | 10.00              | 45.00             | 50.0 | 22.50                |
| 09/07/2018                      | QGV006216 LION | PROQR THERAPEUTICS NV SHS EURO ISIN B | B   | 16,250.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/07/2018                      | QGV006216 LION | TILLYS INC CL A                       | S   | -38,357.20           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/10/2018                      | QGV006216 LION | ADVANCED MICRO DEVICES INC            | S   | -423,000.00          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/12/2018                      | QGV006216 LION | ANNALY CAPITAL MANAGEMENT INC         | S   | -2,021,679.00        | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/12/2018                      | QGV006216 LION | ENDOCYTE INC                          | S   | -40,000.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/12/2018                      | QGV006216 LION | FIRST REPUBLIC BANK SAN FRANCISCO C S | S   | -41,200.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/12/2018                      | QGV006216 LION | NUVECTRA CORP COM                     | S   | -110,649.00          | 50.00               | 10.00              | 40.00             | 50.0 | 20.00                |
| 09/12/2018                      | QGV006216 LION | PACIFIC BIOSCIENCES OF CALIFORNIA I S | S   | -48,700.05           | 105.00              | 10.00              | 95.00             | 50.0 | 47.50                |
| 09/13/2018                      | QGV006216 LION | CISION LTD REGISTERED SHS ISIN#KYG1 S | S   | -112,552.30          | 70.00               | 10.00              | 60.00             | 50.0 | 30.00                |
| 09/13/2018                      | QGV006216 LION | CISION LTD REGISTERED SHS ISIN#KYG1 B | B   | 7,965.00             | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/13/2018                      | QGV006216 LION | GALAPAGOS NV SPONS ADR ISIN#US36315 B | B   | 350,000.10           | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/13/2018                      | QGV006216 LION | GALAPAGOS NV SPONS ADR ISIN#US36315 S | S   | -720,000.00          | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/13/2018                      | QGV006216 LION | GALAPAGOS NV SPONS ADR ISIN#US36315 B | B   | -350,000.10          | -100.00             | -10.00             | -90.00            | 50.0 | -45.00 C             |

COMMISSION STATEMENT for EZRA GRAYMAN

| TRADE DATE                        | CLIENT         | INVESTMENT                            | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-----------------------------------|----------------|---------------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b> |                |                                       |     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: STOCKS</b>   |                |                                       |     |                      |                     |                    |                   |      |                      |
| 09/13/2018                        | QGV006216 LION | GALAPAGOS NV SPONS ADR ISIN#US36315 B |     | 700,000.20           | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/13/2018                        | QGV006216 LION | INTL FLAVORS & FRAGRANCES INC         | S   | -66,750.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/13/2018                        | QGV006216 LION | SENSUS HEALTHCARE INC COM             | S   | -126,000.00          | 180.00              | 10.00              | 170.00            | 50.0 | 85.00                |
| 09/13/2018                        | QGV006216 LION | XENON PHARMACEUTICALS INC COM ISIN#   | S   | -21,750.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                        | QGV006216 LION | AMERICOLD RLTY TR COM                 | S   | -29,951.28           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                        | QGV006216 LION | BRP INC COMMON SUBORDINATE VOTING S   | S   | -58,750.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                        | QGV006216 LION | DOCUSIGN INC COM                      | S   | -151,771.68          | 27.50               | 10.00              | 17.50             | 50.0 | 8.75                 |
| 09/14/2018                        | QGV006216 LION | FOAMIX PHARMACEUTICALS LTD SHS ISIN   | S   | -21,875.00           | 35.00               | 10.00              | 25.00             | 50.0 | 12.50                |
| 09/14/2018                        | QGV006216 LION | FVCBANKCORP INC COM                   | S   | -212,000.00          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/14/2018                        | QGV006216 LION | IRIDEX CORP COM                       | S   | -124,809.10          | 190.00              | 10.00              | 180.00            | 50.0 | 90.00                |
| 09/14/2018                        | QGV006216 LION | NN INC COM                            | S   | -19,875.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                        | QGV006216 LION | PGT INC COM                           | S   | -45,000.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                        | QGV006216 LION | PRINCIPIA BIOPHARMA INC COM           | S   | -25,660.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/17/2018                        | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 3,232,590.00         | 300.00              | 10.00              | 290.00            | 50.0 | 145.00               |
| 09/17/2018                        | QGV006216 LION | DUKE ENERGY CORP JR SUB PFDS QTRLY    | S   | -132,288.00          | 106.00              | 10.00              | 96.00             | 50.0 | 48.00                |
| 09/17/2018                        | QGV006216 LION | SENSUS HEALTHCARE INC COM             | S   | -150,332.60          | 150.00              | 10.00              | 140.00            | 50.0 | 70.00                |
| 09/17/2018                        | QGV006216 LION | ZAI LAB LTD ADR ISIN# US98887Q1040    | B   | 8,658.00             | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/18/2018                        | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 1,305,060.00         | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/18/2018                        | QGV006216 LION | DUKE ENERGY CORP JR SUB PFDS QTRLY    | S   | -116,959.97          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/18/2018                        | QGV006216 LION | PRESIDIO INC COM                      | S   | -15,300.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/18/2018                        | QGV006216 LION | ZAI LAB LTD ADR ISIN# US98887Q1040    | B   | 18,250.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/18/2018                        | QGV006216 LION | ZAI LAB LTD ADR ISIN# US98887Q1040    | S   | -157,735.98          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/20/2018                        | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 627,000.00           | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/20/2018                        | QGV006216 LION | ADVANCED MICRO DEVICES INC            | S   | -624,000.00          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/20/2018                        | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 633,518.00           | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/20/2018                        | QGV006216 LION | BANK7 CORP COM                        | S   | -21,725.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/20/2018                        | QGV006216 LION | CHESAPEAKE ENERGY CORP                | S   | -87,200.00           | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/20/2018                        | QGV006216 LION | ELANCO ANIMAL HEALTH INC COM          | S   | -9,675.00            | 0.00                | 10.00              | -10.00            | 50.0 | -5.00                |
| 09/20/2018                        | QGV006216 LION | ELANCO ANIMAL HEALTH INC COM          | S   | -54,825.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/20/2018                        | QGV006216 LION | EVENTBRITE INC COM CL A               | S   | -7,200.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/20/2018                        | QGV006216 LION | FOAMIX PHARMACEUTICALS LTD SHS ISIN   | S   | -30,000.00           | 50.00               | 10.00              | 40.00             | 50.0 | 20.00                |
| 09/21/2018                        | QGV006216 LION | ADVANCED MICRO DEVICES INC            | B   | 627,000.00           | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/21/2018                        | QGV006216 LION | ADVANCED MICRO DEVICES INC            | S   | -1,285,000.00        | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/21/2018                        | QGV006216 LION | CRISPR THERAPEUTICS AG NAMEN-AKT IS   | B   | 93,000.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                        | QGV006216 LION | FARFETCH LTD ORD SH CL A              | S   | -12,150.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                        | QGV006216 LION | FARFETCH LTD ORD SH CL A              | S   | -5,400.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                        | QGV006216 LION | FATE THERAPEUTICS INC COM             | S   | -21,000.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                        | QGV006216 LION | MOLECULAR TEMPLATES INC COM           | S   | -38,500.00           | 70.00               | 10.00              | 60.00             | 50.0 | 30.00                |
| 09/21/2018                        | QGV006216 LION | SKYLINE CORP COM                      | S   | -42,204.12           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                        | QGV006216 LION | SKYLINE CORP COM                      | S   | -15,072.90           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |

COMMISSION STATEMENT for EZRA GRAYMAN

| TRADE DATE                      | CLIENT    | INVESTMENT           | B/S | INVESTMENT<br>AMOUNT                | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---------------------------------|-----------|----------------------|-----|-------------------------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <u>BROKER TRANSACTIONS</u>      |           |                      |     |                                     |                     |                    |                   |       |                      |
| <u>PRODUCT CATEGORY: STOCKS</u> |           |                      |     |                                     |                     |                    |                   |       |                      |
| 09/21/2018                      | QGV006216 | LION                 |     | TWIN DISC INC                       | S                   | -34,500.15         | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/21/2018                      | QGV006216 | LION                 |     | VIKING THERAPEUTICS INC COM         | S                   | -206,328.28        | 109.00            | 10.00 | 99.00 50.0 49.50     |
| 09/21/2018                      | QGV006216 | LION                 |     | WESTERN ASSET MORTGAGE CAPITAL CORP | S                   | -137,801.30        | 130.00            | 10.00 | 120.00 50.0 60.00    |
| 09/24/2018                      | QGV006216 | LION                 |     | ADVANCED MICRO DEVICES INC          | B                   | 620,000.00         | 100.00            | 10.00 | 90.00 50.0 45.00     |
| 09/24/2018                      | QGV006216 | LION                 |     | ADVANCED MICRO DEVICES INC          | S                   | -1,591,250.00      | 300.00            | 10.00 | 290.00 50.0 145.00   |
| 09/24/2018                      | QGV006216 | LION                 |     | CRISPR THERAPEUTICS AG NAMEN-AKT IS | B                   | 90,069.80          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/24/2018                      | QGV006216 | LION                 |     | ELANCO ANIMAL HEALTH INC COM        | S                   | -8,500.00          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/24/2018                      | QGV006216 | LION                 |     | SIRIUS XM HOLDINGS INC COM          | B                   | 7,345.86           | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/24/2018                      | QGV006216 | LION                 |     | SIRIUS XM HOLDINGS INC COM          | S                   | -136,804.05        | 100.00            | 10.00 | 90.00 50.0 45.00     |
| 09/25/2018                      | QGV006216 | LION                 |     | ADVANCED MICRO DEVICES INC          | S                   | -650,000.00        | 100.00            | 10.00 | 90.00 50.0 45.00     |
| 09/25/2018                      | QGV006216 | LION                 |     | ADVANCED MICRO DEVICES INC          | B                   | 1,951,902.00       | 250.00            | 10.00 | 240.00 50.0 120.00   |
| 09/25/2018                      | QGV006216 | LION                 |     | CRISPR THERAPEUTICS AG NAMEN-AKT IS | B                   | 160,820.10         | 35.00             | 10.00 | 25.00 50.0 12.50     |
| 09/25/2018                      | QGV006216 | LION                 |     | DIGITAL REALTY TRUST INC            | S                   | -389,300.34        | 68.00             | 10.00 | 58.00 50.0 29.00     |
| 09/25/2018                      | QGV006216 | LION                 |     | LEGACY RESVS INC COM                | S                   | -14,550.00         | 30.00             | 10.00 | 20.00 50.0 10.00     |
| 09/26/2018                      | QGV006216 | LION                 |     | ADVANCED MICRO DEVICES INC          | B                   | 635,000.00         | 100.00            | 10.00 | 90.00 50.0 45.00     |
| 09/26/2018                      | QGV006216 | LION                 |     | ANAPTYSBIO INC COM                  | S                   | -39,000.00         | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/26/2018                      | QGV006216 | LION                 |     | ARCO PLATFORM LIMITED REGISTERED SH | S                   | -6,125.00          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/26/2018                      | QGV006216 | LION                 |     | CAPITAL BANCORP INC MD COM          | S                   | -32,504.25         | 25.00             | 10.00 | 15.00 50.0 7.50      |
| 09/26/2018                      | QGV006216 | LION                 |     | CENTERPOINT ENERGY INC              | S                   | -109,001.20        | 40.00             | 10.00 | 30.00 50.0 15.00     |
| 09/26/2018                      | QGV006216 | LION                 |     | DIGITAL ALLY INC COM NEW            | S                   | -135,000.00        | 150.00            | 10.00 | 140.00 50.0 70.00    |
| 09/26/2018                      | QGV006216 | LION                 |     | SELECT INTERIOR CONCEPTS INC CL A   | S                   | -112,103.20        | 150.00            | 10.00 | 140.00 50.0 70.00    |
| 09/26/2018                      | QGV006216 | LION                 |     | SVMK INC COM                        | S                   | -6,000.00          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 08/30/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | PINDUODUO INC SPONS ADR ISIN#US7223 | B                   | 29,785.50          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/04/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | ADVANCED MICRO DEVICES INC          | B                   | 550,000.00         | 150.00            | 10.00 | 140.00 50.0 70.00    |
| 09/04/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | ADVANCED MICRO DEVICES INC          | S                   | -814,758.00        | 200.00            | 10.00 | 190.00 50.0 95.00    |
| 09/04/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | PINDUODUO INC SPONS ADR ISIN#US7223 | B                   | 102,250.00         | 50.00             | 10.00 | 40.00 50.0 20.00     |
| 09/05/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | PINDUODUO INC SPONS ADR ISIN#US7223 | B                   | 50,000.00          | 25.00             | 10.00 | 15.00 50.0 7.50      |
| 09/05/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | SUN CMNTYS INC COM                  | S                   | -401,352.00        | 40.00             | 10.00 | 30.00 50.0 15.00     |
| 09/05/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | SUN CMNTYS INC COM                  | B                   | 200,200.00         | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/06/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | KALVISTA PHARMACEUTICALS INC COM    | S                   | -8,687.50          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/06/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | KALVISTA PHARMACEUTICALS INC COM    | B                   | 3,588.00           | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | ADVANCED MICRO DEVICES INC          | B                   | 694,637.50         | 250.00            | 10.00 | 240.00 50.0 120.00   |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | ADVANCED MICRO DEVICES INC          | S                   | -691,345.00        | 150.00            | 10.00 | 140.00 50.0 70.00    |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | CHURCHILL CAP CORP UNIT 1 COM CL A  | S                   | -1,000.00          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | CHURCHILL CAP CORP UNIT 1 COM CL A  | S                   | -100,000.00        | 100.00            | 10.00 | 90.00 50.0 45.00     |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | DICERNA PHARMACEUTICALS INC COM     | S                   | -7,500.00          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | GORES HLDGS III INC UNIT 1 CL A & 1 | S                   | -1,013.24          | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | GORES HLDGS III INC UNIT 1 CL A & 1 | S                   | -20,264.80         | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | NLIGHT INC COM                      | S                   | -39,140.22         | 20.00             | 10.00 | 10.00 50.0 5.00      |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, |     | TILLYS INC CL A                     | S                   | -23,014.32         | 20.00             | 10.00 | 10.00 50.0 5.00      |

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| TRADE DATE                      | CLIENT    | INVESTMENT   | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------|-----------|--|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u>      |           |  |     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: STOCKS</u> |           |  |     |                      |                     |                    |                   |      |                      |
| 09/07/2018                      | QGV006224 | DAVIS FAMILY OFFICE, TILLYS INC CL A                       | S   | -19,178.60           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/11/2018                      | QGV006224 | DAVIS FAMILY OFFICE, PINDUODUO INC SPONS ADR ISIN#US7223 S | S   | -510,000.75          | 225.00              | 10.00              | 215.00            | 50.0 | 107.50               |
| 09/12/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ANNALY CAPITAL MANAGEMENT INC         | S   | -91,894.50           | 90.00               | 10.00              | 80.00             | 50.0 | 40.00                |
| 09/12/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ANNALY CAPITAL MANAGEMENT INC         | S   | -858,703.05          | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/12/2018                      | QGV006224 | DAVIS FAMILY OFFICE, FIRST REPUBLIC BANK SAN FRANCISCO C S | S   | -20,600.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/12/2018                      | QGV006224 | DAVIS FAMILY OFFICE, NUVECTRA CORP COM                     | S   | -4,425.96            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/12/2018                      | QGV006224 | DAVIS FAMILY OFFICE, PACIFIC BIOSCIENCES OF CALIFORNIA I S | S   | -48,700.05           | 105.00              | 10.00              | 95.00             | 50.0 | 47.50                |
| 09/13/2018                      | QGV006224 | DAVIS FAMILY OFFICE, CISION LTD REGISTERED SHS ISIN#KYG1 S | S   | -40,197.25           | 25.00               | 10.00              | 15.00             | 50.0 | 7.50                 |
| 09/13/2018                      | QGV006224 | DAVIS FAMILY OFFICE, GALAPAGOS NV SPONS ADR ISIN#US36315 B | B   | 350,000.10           | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/13/2018                      | QGV006224 | DAVIS FAMILY OFFICE, GALAPAGOS NV SPONS ADR ISIN#US36315 B | B   | -350,000.10          | -100.00             | -10.00             | -90.00            | 50.0 | -45.00 C             |
| 09/13/2018                      | QGV006224 | DAVIS FAMILY OFFICE, PINDUODUO INC SPONS ADR ISIN#US7223 S | S   | -255,000.00          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/13/2018                      | QGV006224 | DAVIS FAMILY OFFICE, XENON PHARMACEUTICALS INC COM ISIN# S | S   | -8,700.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, AMERICOLD RLTY TR COM                 | S   | -12,479.70           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, AMERICOLD RLTY TR COM                 | S   | -24,959.40           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, BRP INC COMMON SUBORDINATE VOTING S S | S   | -108,100.00          | 23.00               | 10.00              | 13.00             | 50.0 | 6.50                 |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, DOCUSIGN INC COM                      | S   | -8,278.46            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, FOAMIX PHARMACEUTICALS LTD SHS ISIN S | S   | -6,250.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, FOAMIX PHARMACEUTICALS LTD SHS ISIN S | S   | -15,000.00           | 24.00               | 10.00              | 14.00             | 50.0 | 7.00                 |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, NN INC COM                            | S   | -79,500.00           | 50.00               | 10.00              | 40.00             | 50.0 | 20.00                |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, PGT INC COM                           | S   | -22,500.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/14/2018                      | QGV006224 | DAVIS FAMILY OFFICE, PRINCIPIA BIOPHARMA INC COM           | S   | -3,849.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/17/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC            | S   | -656,000.00          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/17/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC            | B   | 646,518.00           | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/18/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC            | S   | -641,876.00          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/18/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC            | B   | 1,305,060.00         | 200.00              | 10.00              | 190.00            | 50.0 | 95.00                |
| 09/20/2018                      | QGV006224 | DAVIS FAMILY OFFICE, BANK7 CORP COM                        | S   | -43,450.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/20/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ELANCO ANIMAL HEALTH INC COM          | S   | -67,725.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/20/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ELANCO ANIMAL HEALTH INC COM          | S   | -13,706.25           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/20/2018                      | QGV006224 | DAVIS FAMILY OFFICE, EVENTBRITE INC COM CL A               | S   | -7,200.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, FARFETCH LTD ORD SH CL A              | S   | -8,100.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, FARFETCH LTD ORD SH CL A              | S   | -10,800.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, SKYLINE CORP COM                      | S   | -15,072.90           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, TWIN DISC INC                         | S   | -20,700.09           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, TWIN DISC INC                         | S   | -69,000.30           | 30.00               | 10.00              | 20.00             | 50.0 | 10.00                |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, VIKING THERAPEUTICS INC COM           | S   | -126,825.64          | 67.00               | 10.00              | 57.00             | 50.0 | 28.50                |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, VIKING THERAPEUTICS INC COM           | B   | 93,250.00            | 50.00               | 10.00              | 40.00             | 50.0 | 20.00                |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, WESTERN ASSET MORTGAGE CAPITAL CORP S | S   | -127,201.20          | 120.00              | 10.00              | 110.00            | 50.0 | 55.00                |
| 09/21/2018                      | QGV006224 | DAVIS FAMILY OFFICE, Y-MABS THERAPEUTICS INC COM           | S   | -3,975.00            | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |
| 09/24/2018                      | QGV006224 | DAVIS FAMILY OFFICE, ADVANCED MICRO DEVICES INC            | S   | -954,750.00          | 100.00              | 10.00              | 90.00             | 50.0 | 45.00                |
| 09/25/2018                      | QGV006224 | DAVIS FAMILY OFFICE, CLEARWAY ENERGY INC CL C              | S   | -29,025.00           | 20.00               | 10.00              | 10.00             | 50.0 | 5.00                 |

COMMISSION STATEMENT for EZRA GRAYMAN

| TRADE DATE  | CLIENT    | INVESTMENT   | B/S | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|---|-----------|--|-----|-----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |           |  |     |                       |                     |                    |                    |      |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                  |           |  |     |                       |                     |                    |                    |      |                      |
| 09/25/2018  | QGV006224 | DAVIS FAMILY OFFICE, DIGITAL REALTY TRUST INC              | B   | 532,594.13            | 94.00               | 10.00              | 84.00              | 50.0 | 42.00                |
| 09/25/2018  | QGV006224 | DAVIS FAMILY OFFICE, DIGITAL REALTY TRUST INC              | S   | -68,700.06            | 20.00               | 10.00              | 10.00              | 50.0 | 5.00                 |
| 09/25/2018  | QGV006224 | DAVIS FAMILY OFFICE, DIGITAL REALTY TRUST INC              | S   | -858,750.75           | 150.00              | 10.00              | 140.00             | 50.0 | 70.00                |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, ANAPTYSBIO INC COM                    | S   | -9,750.00             | 20.00               | 10.00              | 10.00              | 50.0 | 5.00                 |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, ARCO PLATFORM LIMITED REGISTERED SH S | S   | -7,350.00             | 20.00               | 10.00              | 10.00              | 50.0 | 5.00                 |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, ARCO PLATFORM LIMITED REGISTERED SH S | S   | -1,225.00             | 20.00               | 10.00              | 10.00              | 50.0 | 5.00                 |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, CAPITAL BANCORP INC MD COM            | S   | -14,301.87            | 20.00               | 10.00              | 10.00              | 50.0 | 5.00                 |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, CENTERPOINT ENERGY INC                | S   | -117,176.29           | 43.00               | 10.00              | 33.00              | 50.0 | 16.50                |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, CYRUSONE INC COM                      | S   | -93,000.00            | 20.00               | 10.00              | 10.00              | 50.0 | 5.00                 |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, ENTASIS THERAPEUTICS HOLDINGS INC C B | B   | 125,000.00            | 100.00              | 10.00              | 90.00              | 50.0 | 45.00                |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, SVMK INC COM                          | S   | -3,000.00             | 20.00               | 10.00              | 10.00              | 50.0 | 5.00                 |
| 09/26/2018  | QGV006224 | DAVIS FAMILY OFFICE, SVMK INC COM                          | S   | -3,000.00             | 20.00               | 10.00              | 10.00              | 50.0 | 5.00                 |
| 09/04/2018  | QGV006414 | MERRILL LYNCH PROF SCE TR II TR PFD SHS CPN-5.1% FREQ      | B   | 604,300.00            | 250.00              | 10.00              | 240.00             | 50.0 | 120.00               |
| 09/04/2018  | QGV006414 | MERRILL LYNCH PROF SCE TR II TR PFD SHS CPN-5.1% FREQ      | B   | 603,500.00            | 250.00              | 10.00              | 240.00             | 50.0 | 120.00               |
| 09/18/2018  | QGV006414 | MERRILL LYNCH PROF JPMORGAN CHASE & CO DEP SHS REPSTG      | B   | 1,764,350.00          | 710,000.00          | 10.00              | 709,990.00         | 50.0 | 354,995.00           |
| 09/18/2018  | QGV006414 | MERRILL LYNCH PROF JPMORGAN CHASE & CO DEP SHS REPSTG      | B   | -1,764,350.00         | -710,000.00         | -10.00             | -709,990.00        | 50.0 | -354,995.00 C        |
| 09/18/2018  | QGV006414 | MERRILL LYNCH PROF JPMORGAN CHASE & CO DEP SHS REPSTG      | B   | 1,764,350.00          | 710.00              | 10.00              | 700.00             | 50.0 | 350.00               |
| 09/21/2018  | QGV006414 | MERRILL LYNCH PROF JPMORGAN CHASE & CO DEP SHS REPSTG      | S   | -3,087,500.00         | 3,705.00            | 10.00              | 3,695.00           | 50.0 | 1,847.50             |
| 09/05/2018  | QGW014847 | ALBANESE, JOHN PATTERSON COS INC COM                       | S   | -707,403.00           | 1,800.00            | 10.00              | 1,790.00           | 50.0 | 895.00               |
| 09/06/2018  | QGW014847 | ALBANESE, JOHN BOX INC CL A                                | B   | 357,328.50            | 900.00              | 10.00              | 890.00             | 50.0 | 445.00               |
| 09/13/2018  | QGW014847 | ALBANESE, JOHN HAIN CELESTIAL GROUP INC                    | B   | 350,877.50            | 750.00              | 10.00              | 740.00             | 50.0 | 370.00               |
| 09/24/2018  | QGW024622 | GOLD, ALAN NEWELL BRANDS INC SHS                           | B   | 20,268.00             | 125.00              | 10.00              | 115.00             | 50.0 | 57.50                |
| 09/04/2018  | QGW036352 | LAWRENCE ADAMS LTD ZUORA INC CL A COM                      | S   | -40,216.80            | 90.00               | 10.00              | 80.00              | 50.0 | 40.00                |
| 09/17/2018  | QGW036352 | LAWRENCE ADAMS LTD LARGO RES LTD COM NEW ISIN#CA517103 B   | B   | 22,500.00             | 300.00              | 10.00              | 290.00             | 50.0 | 145.00               |
| <b>* STOCKS SUBTOTAL *</b>                              |           |  |     | <b>\$-214,495.25</b>  | <b>\$21,176.50</b>  | <b>\$1,690.00</b>  | <b>\$19,486.50</b> |      | <b>\$9,743.25</b>    |
| <b><u>PRODUCT CATEGORY: BONDS</u></b>                   |           |  |     |                       |                     |                    |                    |      |                      |
| 09/10/2018  | QGV001076 | CREDIT SUISSE CITIGROUP INC                                | B   | 2,474,143.75          | 1,082.00            | 10.00              | 1,072.00           | 50.0 | 536.00               |
| 09/17/2018  | QGV001076 | CREDIT SUISSE JPMORGAN CHASE & CO DEP SHS REPSTG           | S   | -1,004,500.00         | 500.00              | 10.00              | 490.00             | 50.0 | 245.00               |
| 09/17/2018  | QGV001076 | CREDIT SUISSE JPMORGAN CHASE & CO DEP SHS REPSTG           | S   | 1,004,500.00          | -500.00             | -10.00             | -490.00            | 50.0 | -245.00 C            |
| 09/17/2018  | QGV001076 | CREDIT SUISSE JPMORGAN CHASE & CO DEP SHS REPSTG           | S   | -1,004,500.00         | 500.00              | 10.00              | 490.00             | 50.0 | 245.00               |
| <b>* BONDS SUBTOTAL *</b>                               |           |  |     | <b>\$1,469,643.75</b> | <b>\$1,582.00</b>   | <b>\$20.00</b>     | <b>\$1,562.00</b>  |      | <b>\$781.00</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |           |  |     |                       |                     |                    |                    |      |                      |
| 09/30/2018  |           | FEE COUNT - 8  |     | 0.00                  | 63.61               | 0.00               | 63.61              | 50.0 | 31.83                |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |           |  |     | <b>\$0.00</b>         | <b>\$63.61</b>      | <b>\$0.00</b>      | <b>\$63.61</b>     |      | <b>\$31.83</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                |           |  |     | <b>\$1,255,148.50</b> | <b>\$22,822.11</b>  | <b>\$1,710.00</b>  | <b>\$21,112.11</b> |      | <b>\$10,556.08</b>   |

COMMISSION STATEMENT for EZRA GRAYMAN

| TRADE DATE                | CLIENT | INVESTMENT                       | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|----------------------------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| ADJUSTMENTS               |        |                                  |     |                      |                     |                    |                   |      |                      |
| 09/30/2018                |        | MISCELLANEOUS: LEGAL -FTNW       |     | 0.00                 | 0.00                | 0.00               | 0.00              |      | -280.67              |
| 09/30/2018                |        | OTHER: COMPLIANCE AND TECHNOLOGY |     | 0.00                 | 0.00                | 0.00               | 0.00              |      | -20.00               |
| 09/30/2018                |        | OTHER: OTHER-360 OFFICE          |     | 0.00                 | 0.00                | 0.00               | 0.00              |      | -8.00                |
| 09/30/2018                |        | OTHER: OTHER-EXCHANGE FEES       |     | 0.00                 | 0.00                | 0.00               | 0.00              |      | -108.77              |
| 09/30/2018                |        | OTHER: OTHER-CORE TECH           |     | 0.00                 | 0.00                | 0.00               | 0.00              |      | -119.80              |
| *** ADJUSTMENTS TOTAL *** |        |                                  |     | \$0.00               | \$0.00              | \$0.00             | \$0.00            |      | \$-537.24            |

BROKER COMMISSION TOTALS

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$10,556.08 |
| Split Transactions    | \$0.00      |
| Override Transactions | \$0.00      |
| Adjustments           | \$-537.24   |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |
| FINRA Assessment      | \$-28.53    |
| SIPC Assessment       | \$-57.06    |

|                       |             |
|-----------------------|-------------|
| Check Amount          | \$9,933.25  |
| Year-to-date Earnings | \$99,184.43 |