

COMMISSION STATEMENT

September 30, 2018

JOHN HEIDENREICH
7 EAST 86TH ST
APT 15B
NEW YORK, NY 10028

BROKER #: P7H R90 R30 A09
BRANCH: HOME OFFICE

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUNDS									
09/18/2018	75501290	PRESTON, MARGARITA	WASHINGTON MUTUAL INVESTORS FUND-A S	8,100.00	0.00	0.00	0.00	65.0	0.00
09/26/2018	75501317	PIPER, CAROL	SHORT-TERM BOND FUND OF AMERICA - A S	225.00	0.00	0.00	0.00	65.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$8,325.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

09/18/2018	75501290	PRESTON, MARGARITA	FORTIVE CORPORATION COM	B	8,624.39	105.00	10.00	95.00	65.0	58.25
08/30/2018	75501291	PRESTON, MARGARITA	FAT BRANDS INC COMMON STOCK	S	8,580.00	265.16	10.00	255.16	65.0	162.35
09/10/2018	75501291	PRESTON, MARGARITA	GLADSTONE INVESTMENT CORPORATION PR S	S	25,420.00	100.00	10.00	90.00	65.0	55.00
09/18/2018	75501291	PRESTON, MARGARITA	FORTIVE CORPORATION COM	B	8,618.93	105.00	10.00	95.00	65.0	58.25
09/21/2018	75501291	PRESTON, MARGARITA	WESTERN ASSET MORTGAGE CAPITAL CORP B	B	21,700.00	0.00	10.00	-10.00	65.0	-10.00
09/26/2018	75501291	PRESTON, MARGARITA	ENTASIS THERAPEUTICS HOLDINGS INC C B	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
09/14/2018	75501292	JOE, HENRY	APPLE INC	S	21,278.10	105.00	10.00	95.00	65.0	58.25
09/19/2018	75501292	JOE, HENRY	FORTIVE CORPORATION COM	B	8,518.95	105.00	10.00	95.00	65.0	58.25
09/25/2018	75501292	JOE, HENRY	OPIANT PHARMACEUTICALS INC COM	B	8,625.00	217.36	10.00	207.36	65.0	131.28
09/26/2018	75501292	JOE, HENRY	ENTASIS THERAPEUTICS HOLDINGS INC C B	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
09/04/2018	75501293	JOE, HENRY	GLADSTONE INVESTMENT CORPORATION PR S	S	12,760.00	50.00	10.00	40.00	65.0	22.50
09/14/2018	75501293	JOE, HENRY	BRP INC COMMON SUBORDINATE VOTING S B	B	9,400.00	0.00	10.00	-10.00	65.0	-10.00
09/19/2018	75501293	JOE, HENRY	BLUE BIRD CORPORATION COM	B	2,479.95	50.00	10.00	40.00	65.0	22.50
09/19/2018	75501293	JOE, HENRY	FORTIVE CORPORATION COM	B	8,538.75	105.00	10.00	95.00	65.0	58.25
09/26/2018	75501293	JOE, HENRY	ENTASIS THERAPEUTICS HOLDINGS INC C B	B	7,500.00	0.00	10.00	-10.00	65.0	-10.00
09/05/2018	75501307	TOTTEN, ANN	GLADSTONE INVESTMENT CORPORATION PR S	S	12,770.00	60.00	10.00	50.00	65.0	29.00
09/12/2018	75501307	TOTTEN, ANN	SEASpan CORPORATION 8.00% CUMULATIV B	B	25,000.00	0.00	10.00	-10.00	65.0	-10.00
09/18/2018	75501307	TOTTEN, ANN	BLUE BIRD CORPORATION COM	B	2,549.25	50.00	10.00	40.00	65.0	22.50
09/18/2018	75501307	TOTTEN, ANN	FORTIVE CORPORATION COM	B	8,558.55	105.00	10.00	95.00	65.0	58.25
09/18/2018	75501307	TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES	S	4,200.00	100.00	10.00	90.00	65.0	55.00
09/18/2018	75501310	MARGARITA F PRESTON	FORTIVE CORPORATION COM	B	8,624.87	105.00	10.00	95.00	65.0	58.25
09/21/2018	75501310	MARGARITA F PRESTON	WESTERN ASSET MORTGAGE CAPITAL CORP B	B	10,850.00	0.00	10.00	-10.00	65.0	-10.00
08/31/2018	75501313	HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT B	B	18,911.94	150.00	10.00	140.00	65.0	87.50
08/31/2018	75501313	HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES	S	1,908.88	44.60	10.00	34.60	65.0	18.99
09/06/2018	75501313	HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES	S	683.64	12.96	10.00	2.96	65.0	-1.58
09/06/2018	75501313	HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES	S	442.00	8.32	10.00	-1.68	65.0	-4.59

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
09/07/2018	75501313 HEIDENREICH, ROBERT	ADVAXIS INC COM NEW	B	4,900.00	150.00	10.00	140.00	65.0	87.50
09/07/2018	75501313 HEIDENREICH, ROBERT	CREDIT SUISSE AG NASSAU BRH VELOCIT S		21,270.00	240.00	10.00	230.00	65.0	146.00
09/07/2018	75501313 HEIDENREICH, ROBERT	FORTIVE CORPORATION COM	B	8,380.35	50.00	10.00	40.00	65.0	22.50
09/07/2018	75501313 HEIDENREICH, ROBERT	SACHEM CAPITAL CORP COMMON SHARES S		1,215.36	23.04	10.00	13.04	65.0	4.98
09/11/2018	75501313 HEIDENREICH, ROBERT	RESTORATION ROBOTICS INC COMMON STO S		2,820.00	80.00	10.00	70.00	65.0	42.00
09/11/2018	75501313 HEIDENREICH, ROBERT	RESTORATION ROBOTICS INC COMMON STO S		3,930.00	120.00	10.00	110.00	65.0	68.00
09/14/2018	75501313 HEIDENREICH, ROBERT	BRP INC COMMON SUBORDINATE VOTING S B		18,800.00	0.00	10.00	-10.00	65.0	-10.00
09/19/2018	75501313 HEIDENREICH, ROBERT	ATTIS INDUSTRIES INC COMMON STOCK S		676.00	20.00	10.00	10.00	65.0	3.00
09/21/2018	75501313 HEIDENREICH, ROBERT	WINDSTREAM HOLDINGS INC COMMON STOC S		824.52	25.00	10.00	15.00	65.0	6.25
09/19/2018	75501316 PIPER, CAROL	BLUE BIRD CORPORATION COM	B	2,524.50	50.00	10.00	40.00	65.0	22.50
09/19/2018	75501316 PIPER, CAROL	FORTIVE CORPORATION COM	B	8,568.45	105.00	10.00	95.00	65.0	58.25
09/26/2018	75501317 PIPER, CAROL	BLUE BIRD CORPORATION COM	B	2,430.45	55.00	10.00	45.00	65.0	25.75
08/31/2018	75502119 COHEN, MICHAEL	WTS ATTIS INDUSTRIES INC WARRANTS S		12.00	0.00	10.00	-10.00	65.0	-10.00
09/06/2018	75502119 COHEN, MICHAEL	ALIBABA GROUP HOLDING LTD SPONSORED B		5,626.20	105.00	10.00	95.00	65.0	58.25
09/21/2018	75502119 COHEN, MICHAEL	MICRON TECHNOLOGY INC	B	2,212.50	66.05	10.00	56.05	65.0	32.93
09/14/2018	75502213 COLON, LUIS	BERKSHIRE HATHAWAY INC DEL CL B	B	1,079.48	30.00	10.00	20.00	65.0	9.50
09/19/2018	75502213 COLON, LUIS	FORTIVE CORPORATION COM	B	1,813.35	40.00	10.00	30.00	65.0	16.00
09/18/2018	QGW023848 BYRNE, GERARD	APOLLO COMMERCIAL REAL ESTATE FINAN S		-5,799.03	114.50	10.00	104.50	65.0	64.43
09/18/2018	QGW023848 BYRNE, GERARD	ARES CAPITAL CORPORATION	S	-1,724.43	50.00	10.00	40.00	65.0	22.50
09/18/2018	QGW023848 BYRNE, GERARD	ARLINGTON ASSET INVESTMENT CORP CL- S		-252.00	25.00	10.00	15.00	65.0	6.25
09/18/2018	QGW023848 BYRNE, GERARD	ASHFORD HOSPITALITY TR INC COM SHS S		-1,246.66	50.00	10.00	40.00	65.0	22.50
09/18/2018	QGW023848 BYRNE, GERARD	ASHFORD INC COM	S	-252.28	25.00	10.00	15.00	65.0	6.25
09/18/2018	QGW023848 BYRNE, GERARD	ATLANTIC POWER CORPORATION	S	-1,540.00	60.00	10.00	50.00	65.0	29.00
09/18/2018	QGW023848 BYRNE, GERARD	AUTOWEB INC COM	S	-201.00	25.00	10.00	15.00	65.0	6.25
09/18/2018	QGW023848 BYRNE, GERARD	BLUE BIRD CORPORATION COM	B	2,549.25	40.00	10.00	30.00	65.0	16.00
09/18/2018	QGW023848 BYRNE, GERARD	BRAEMAR HOTELS & RESORTS INC COM	S	-765.68	25.00	10.00	15.00	65.0	6.25
09/18/2018	QGW023848 BYRNE, GERARD	CAMPBELL SOUP CO	B	11,985.00	183.65	10.00	173.65	65.0	109.37
09/18/2018	QGW023848 BYRNE, GERARD	CBS CORP CLASS B	B	16,785.00	237.30	10.00	227.30	65.0	144.25
09/18/2018	QGW023848 BYRNE, GERARD	COHEN & CO INC NEW COM	S	-47.25	20.00	10.00	10.00	65.0	3.00
09/18/2018	QGW023848 BYRNE, GERARD	ENCANA CORP	S	-3,714.00	80.77	10.00	70.77	65.0	42.50
09/18/2018	QGW023848 BYRNE, GERARD	ENTERCOM COMMUNICATIONS CORP CLASS S		-486.70	40.00	10.00	30.00	65.0	16.00
09/18/2018	QGW023848 BYRNE, GERARD	FORTIVE CORPORATION COM	B	8,608.05	80.73	10.00	70.73	65.0	42.47
09/18/2018	QGW023848 BYRNE, GERARD	INVESCO MORTGAGE CAPITAL INC COM	S	-4,846.50	91.98	10.00	81.98	65.0	49.79
09/18/2018	QGW023848 BYRNE, GERARD	INVITATION HOMES INC COM	S	-7,619.61	145.32	10.00	135.32	65.0	84.46
09/18/2018	QGW023848 BYRNE, GERARD	MELCO CROWN ENTERTAINMENT LTD ADR S		-4,167.00	78.65	10.00	68.65	65.0	41.12
09/18/2018	QGW023848 BYRNE, GERARD	NEW YORK MORTGAGE TRUST INC	S	-4,398.38	113.94	10.00	103.94	65.0	64.06
09/18/2018	QGW023848 BYRNE, GERARD	NUTRIEN LTD REGISTERED SHS ISIN#CA6 B		6,990.00	108.39	10.00	98.39	65.0	60.45
09/18/2018	QGW023848 BYRNE, GERARD	PHIBRO ANIMAL HEALTH CORPORATION CL S		-8,790.00	140.48	10.00	130.48	65.0	81.31
09/18/2018	QGW023848 BYRNE, GERARD	SANDRIDGE MISSISSIPPIAN TR I UNIT B S		-388.70	25.00	10.00	15.00	65.0	6.25
09/18/2018	QGW023848 BYRNE, GERARD	SANDRIDGE MISSISSIPPIAN TR I UNIT B S		-1.40	0.00	10.00	-10.00	65.0	-10.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
09/18/2018	QGW023848	BYRNE, GERARD		STAR BULK CARRIERS CORP SH PAR \$0.0 S	-170.74	25.00	10.00	15.00	65.0 6.25
09/18/2018	QGW023848	BYRNE, GERARD		TSAKOS ENERGY NAVIGATION LTD SHS IS S	-1,300.04	50.00	10.00	40.00	65.0 22.50
09/18/2018	QGW023848	BYRNE, GERARD		UNITI GROUP INC COMMON STOCK S	-410.80	25.00	10.00	15.00	65.0 6.25
09/18/2018	QGW023848	BYRNE, GERARD		VEREIT INC COM S	-2,274.27	65.52	10.00	55.52	65.0 32.59
09/18/2018	QGW023848	BYRNE, GERARD		WTS AMERICAN INTERNATIONAL GROUP IN S	-339.80	25.00	10.00	15.00	65.0 6.25
09/19/2018	QGW023848	BYRNE, GERARD		FREEPORT MCMORAN INC S	-8,598.00	168.14	10.00	158.14	65.0 99.29
09/19/2018	QGW023848	BYRNE, GERARD		RMR GROUP INC (THE) CLASS A B	9,125.00	80.73	10.00	70.73	65.0 42.47
09/19/2018	QGW023848	BYRNE, GERARD		VALE S A SPONSORED ADR S	-1,434.00	50.00	10.00	40.00	65.0 22.50
09/19/2018	QGW023848	BYRNE, GERARD		VILLAGE BK & TR FINL CORP COM NEW B	3,395.00	57.81	10.00	47.81	65.0 27.58
09/20/2018	QGW023848	BYRNE, GERARD		TERADATA CORP S	-7,848.00	129.95	10.00	119.95	65.0 74.47
09/21/2018	QGW023848	BYRNE, GERARD		GOVERNMENT PROPERTIES INCOME TRUST S	-3,564.00	79.28	10.00	69.28	65.0 41.53
09/21/2018	QGW023848	BYRNE, GERARD		VILLAGE BK & TR FINL CORP COM NEW B	3,405.00	57.91	10.00	47.91	65.0 27.64
09/24/2018	QGW023848	BYRNE, GERARD		HARVEST OIL & GAS CORP COM S	-17.00	3.00	10.00	-7.00	65.0 -8.05
09/24/2018	QGW023848	BYRNE, GERARD		SACHEM CAPITAL CORP COMMON SHARES S	-4,310.00	100.00	10.00	90.00	65.0 55.00
09/25/2018	QGW023848	BYRNE, GERARD		ADVENT CLAYMORE CONV SECS & INCOME S	-2,848.94	64.94	10.00	54.94	65.0 32.21
09/26/2018	QGW023848	BYRNE, GERARD		ENTASIS THERAPEUTICS HOLDINGS INC C B	15,000.00	0.00	10.00	-10.00	65.0 -10.00
09/26/2018	QGW023848	BYRNE, GERARD		FRONTIER COMMUNICATIONS CORPORATION B	6,520.00	174.72	10.00	164.72	65.0 103.57
09/26/2018	QGW023848	BYRNE, GERARD		TECK RESOURCES LIMITED SUB VOTING C S	-9,736.00	165.96	10.00	155.96	65.0 97.87
09/19/2018	QGW030355	GOULD, PETER		FORTIVE CORPORATION COM B	8,509.05	80.73	10.00	70.73	65.0 42.47
09/25/2018	QGW030355	GOULD, PETER		OPIANT PHARMACEUTICALS INC COM B	8,775.00	162.67	10.00	152.67	65.0 95.74
09/26/2018	QGW030355	GOULD, PETER		COHERUS BIOSCIENCES INC COM B	8,172.50	155.94	10.00	145.94	65.0 91.36
09/26/2018	QGW030355	GOULD, PETER		ENTASIS THERAPEUTICS HOLDINGS INC C B	15,000.00	0.00	10.00	-10.00	65.0 -10.00
09/06/2018	QGW033367	NAUMOV, GEORGE		RESTORATION ROBOTICS INC COMMON STO S	-3,420.00	90.00	10.00	80.00	65.0 48.50
09/07/2018	QGW033367	NAUMOV, GEORGE		RESTORATION ROBOTICS INC COMMON STO S	-18,849.60	510.00	10.00	500.00	65.0 321.50
09/12/2018	QGW033367	NAUMOV, GEORGE		VERASTEM INC COM B	19,570.10	50.00	10.00	40.00	65.0 22.50
09/21/2018	QGW033367	NAUMOV, GEORGE		TITAN PHARMACEUTICALS INC COM B	1,200.00	0.00	10.00	-10.00	65.0 -10.00
				* STOCKS SUBTOTAL *	\$397,853.50	\$7,135.50	\$920.00	\$6,215.50	\$3,718.06
<u>PRODUCT CATEGORY: OPTIONS</u>									
09/21/2018	75501291	PRESTON, MARGARITA		CALL PFE 09/21/18 40 B	8,000.00	100.00	10.00	90.00	65.0 55.00
09/24/2018	QGW023848	BYRNE, GERARD		HARVEST OIL & GAS CORP WT EXP EXP 0 S	-3.75	0.00	10.00	-10.00	65.0 -10.00
09/06/2018	QGW030355	GOULD, PETER		PUT 100 TESLA INC EXP 09-21-18 @280 B	4,820.00	98.32	10.00	88.32	65.0 53.91
09/07/2018	QGW030355	GOULD, PETER		PUT 100 TESLA INC EXP 09-21-18 @260 B	2,450.00	61.44	10.00	51.44	65.0 29.94
09/07/2018	QGW030355	GOULD, PETER		PUT 100 TESLA INC EXP 09-21-18 @280 S	-6,100.00	88.37	10.00	78.37	65.0 47.44
09/07/2018	QGW030355	GOULD, PETER		PUT 100 TESLA INC EXP 09-21-18 @280 S	-4,600.00	88.37	10.00	78.37	65.0 47.44
09/13/2018	QGW030355	GOULD, PETER		PUT 100 TESLA INC EXP 09-21-18 @260 B	450.00	50.00	10.00	40.00	65.0 22.50
09/21/2018	QGW030355	GOULD, PETER		CALL 100 COTY INC COM CL A EXP 09-2 B	1,000.00	60.50	10.00	50.50	65.0 29.33
09/21/2018	QGW033367	NAUMOV, GEORGE		TITAN PHARMACEUTICALS INC DEL WT EX B	50.00	0.00	10.00	-10.00	65.0 -10.00
				* OPTIONS SUBTOTAL *	\$6,066.25	\$547.00	\$90.00	\$457.00	\$265.56

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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: RIA											
07/01/2018	75502184	PRESTON, ROBERT		FAS FEES PT. III/III	B	-1,769.81	510.46	10.00	500.46	65.0	321.80
07/01/2018	75502186	DOLE, VIVIAN		FAS FEES PT. III/III	B	-1,038.00	294.57	10.00	284.57	65.0	181.47
09/15/2018	75502186	DOLE, VIVIAN		FAS FEES	B	8.22	-7.04	10.00	-17.04	65.0	-14.58
				* RIA SUBTOTAL *		\$-2,799.59	\$797.99	\$30.00	\$767.99		\$488.69
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
09/30/2018				FEE COUNT - 69		0.00	1,036.35	0.00	1,036.35	65.0	673.64
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$1,036.35	\$0.00	\$1,036.35		\$673.64
				*** BROKER TRANSACTIONS TOTAL ***		\$409,445.16	\$9,516.84	\$1,040.00	\$8,476.84		\$5,145.95
ADJUSTMENTS											
09/30/2018				COMMISSION INCOME: ETTX IPO		0.00	0.00	0.00	0.00		110.25
09/30/2018				COMMISSION INCOME: SUN COMMUNITIES		0.00	0.00	0.00	0.00		1.31
09/30/2018				COMMISSION INCOME: SSW PREFERRED I		0.00	0.00	0.00	0.00		157.50
09/30/2018				COMMISSION INCOME: SSW PREFERRED I		0.00	0.00	0.00	0.00		17.50
09/30/2018				COMMISSION INCOME: WMC SECONDARY		0.00	0.00	0.00	0.00		168.75
09/30/2018				COMMISSION INCOME: WMC SECONDARY		0.00	0.00	0.00	0.00		62.50
09/30/2018				COMMISSION INCOME: DOOO SECONDARY		0.00	0.00	0.00	0.00		14.81
09/30/2018				COMMISSION INCOME: DOOO SECONDARY		0.00	0.00	0.00	0.00		79.95
09/30/2018				COMMISSION INCOME: VKIX SECONDARY		0.00	0.00	0.00	0.00		16.65
09/30/2018				COMMISSION INCOME: TTNP SECONDARY		0.00	0.00	0.00	0.00		22.50
09/30/2018				COMMISSION INCOME: TTNP SECONDARY		0.00	0.00	0.00	0.00		5.00
09/30/2018				COMMISSION INCOME: FOMX SECONDARY		0.00	0.00	0.00	0.00		2.16
09/30/2018				COMMISSION INCOME: CWEN SECONDARY		0.00	0.00	0.00	0.00		5.63
09/30/2018				COMMISSION INCOME: OPNT SECONDARY		0.00	0.00	0.00	0.00		3.06
09/30/2018				COMMISSION INCOME: ETTX IPO		0.00	0.00	0.00	0.00		446.51
09/30/2018				OTHER: CLEARING FEE REVERSE		0.00	0.00	0.00	0.00		30.00
09/30/2018				FEE ACTIVITY: FINRA CE TRACKED WEB		0.00	0.00	0.00	0.00		-55.00
09/30/2018				: QUODD		0.00	0.00	0.00	0.00		-180.85
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		-12.00
09/30/2018				OTHER: RBC -WEALTH STATION		0.00	0.00	0.00	0.00		-25.00
09/30/2018				OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-54.44
				*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$796.79

BROKER COMMISSION TOTALS

Broker Transactions	\$5,145.95
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$796.79
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-11.90
SIPC Assessment	\$-23.79

Check Amount	\$5,907.05
Year-to-date Earnings	\$60,496.21