

COMMISSION STATEMENT

October 31, 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
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

10/05/2018	75501310	MARGARITA F PRESTON	MAINSTAY HIGH-YIELD CORPORATE BOND S	2,500.00	0.00	0.00	0.00	65.0	0.00
10/05/2018	75501310	MARGARITA F PRESTON	MAINSTAY UNCONSTRAINED BOND FUND CL S	3,000.00	0.00	0.00	0.00	65.0	0.00
10/11/2018	75501310	MARGARITA F PRESTON	MAINSTAY HIGH-YIELD CORPORATE BOND S	17,000.00	0.00	0.00	0.00	65.0	0.00
10/05/2018	75501313	HEIDENREICH, ROBERT	INVESCO CONVERTIBLE SECURITIES FUND S	6,000.00	0.00	0.00	0.00	65.0	0.00
10/11/2018	75501313	HEIDENREICH, ROBERT	INVESCO CONVERTIBLE SECURITIES FUND S	7,300.00	0.00	0.00	0.00	65.0	0.00
10/05/2018	75501316	PIPER, CAROL	FEDERATED TOTAL RETURN SERS INC ULT S	6,000.00	0.00	0.00	0.00	65.0	0.00
10/23/2018	75501316	PIPER, CAROL	GOLDMAN SACHS HIGH YIELD FUND CL A S	30,442.84	0.00	0.00	0.00	65.0	0.00
10/23/2018	75501316	PIPER, CAROL	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	30,442.84	0.00	0.00	0.00	65.0	0.00
10/04/2018	75501325	ANN S TOTTEN	FRANKLIN INCOME FUND CLASS A S	1,000.00	0.00	0.00	0.00	65.0	0.00
10/31/2018	75501867	PAGAN, VIONA LYNN	FIDELITY ADVISOR LIMITED TERM BOND B	63,765.66	0.00	0.00	0.00	65.0	0.00
10/31/2018	75501867	PAGAN, VIONA LYNN	FIDELITY ADV TECHNOLOGY CL A S	63,765.66	0.00	0.00	0.00	65.0	0.00
10/31/2018	75501867	PAGAN, VIONA LYNN	JPMORGAN TR II SHORT DURATION BD FD B	20,719.50	0.00	0.00	0.00	65.0	0.00
10/31/2018	75501867	PAGAN, VIONA LYNN	SMALL CAP EQUITY FUND - A S	20,719.50	0.00	0.00	0.00	65.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$272,656.00	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

10/04/2018	75501290	PRESTON, MARGARITA	ALTRA INDL MOTION CORP COM S	9,275.90	221.71	10.00	211.71	65.0	134.11
10/05/2018	75501290	PRESTON, MARGARITA	BLUE BIRD CORPORATION COM B	2,470.05	71.22	10.00	61.22	65.0	36.29
10/04/2018	75501291	PRESTON, MARGARITA	ALTRA INDL MOTION CORP COM S	9,259.86	221.46	10.00	211.46	65.0	133.95
10/04/2018	75501291	PRESTON, MARGARITA	MONMOUTH REAL ESTATE INVT CORP COM B	30,000.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	75501291	PRESTON, MARGARITA	MONMOUTH REAL ESTATE INVT CORP COM B	30,000.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	75501291	PRESTON, MARGARITA	MONMOUTH REAL ESTATE INVT CORP COM S	-30,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/05/2018	75501291	PRESTON, MARGARITA	BLUE BIRD CORPORATION COM B	2,456.19	70.94	10.00	60.94	65.0	36.11
10/11/2018	75501291	PRESTON, MARGARITA	LIVENT CORPORATION COMMON STOCK B	17,000.00	0.00	10.00	-10.00	65.0	-10.00
10/16/2018	75501291	PRESTON, MARGARITA	MONMOUTH REAL ESTATE INVT CORP COM S	15,400.00	120.00	10.00	110.00	65.0	68.00
10/17/2018	75501291	PRESTON, MARGARITA	MONMOUTH REAL ESTATE INVT CORP COM S	15,480.00	140.00	10.00	130.00	65.0	81.00
10/19/2018	75501291	PRESTON, MARGARITA	PROSHARES ULTRA DOW30 ETF B	27,312.00	150.00	10.00	140.00	65.0	87.50
10/24/2018	75501291	PRESTON, MARGARITA	ORCHID ISLAND CAPITAL INC S	755.70	13.20	10.00	3.20	65.0	-1.42
10/25/2018	75501291	PRESTON, MARGARITA	ORCHID ISLAND CAPITAL INC S	13,116.60	226.80	10.00	216.80	65.0	137.42
10/25/2018	75501291	PRESTON, MARGARITA	ORCHID ISLAND CAPITAL INC S	6,910.00	120.00	10.00	110.00	65.0	68.00
10/25/2018	75501291	PRESTON, MARGARITA	WESTERN ASSET MORTGAGE CAPITAL CORP S	19,900.00	300.00	10.00	290.00	65.0	185.00

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>									
<u>PRODUCT CATEGORY: STOCKS</u>									
10/26/2018	75501291 PRESTON, MARGARITA	ORCHID ISLAND CAPITAL INC	S	13,160.00	240.00	10.00	230.00	65.0	146.00
10/26/2018	75501291 PRESTON, MARGARITA	ORCHID ISLAND CAPITAL INC	S	6,600.00	120.00	10.00	110.00	65.0	68.00
09/27/2018	75501292 JOE, HENRY	RESTORATION ROBOTICS INC COMMON STO	S	4,200.47	150.00	10.00	140.00	65.0	87.50
10/03/2018	75501292 JOE, HENRY	ALTRA INDL MOTION CORP COM	S	9,166.90	109.00	10.00	99.00	65.0	60.85
10/03/2018	75501292 JOE, HENRY	KALA PHARMACEUTICALS INC COM	B	3,300.00	0.00	10.00	-10.00	65.0	-10.00
10/11/2018	75501292 JOE, HENRY	LIVENT CORPORATION COMMON STOCK	B	8,500.00	0.00	10.00	-10.00	65.0	-10.00
10/12/2018	75501292 JOE, HENRY	KALA PHARMACEUTICALS INC COM	S	3,460.00	60.00	10.00	50.00	65.0	29.00
10/16/2018	75501292 JOE, HENRY	APPLE INC	S	22,012.00	105.00	10.00	95.00	65.0	58.25
10/16/2018	75501292 JOE, HENRY	ENTASIS THERAPEUTICS HOLDINGS INC C S	S	865.00	12.50	10.00	2.50	65.0	-1.88
10/19/2018	75501292 JOE, HENRY	SOLARWINDS CORPORATION COMMON STOCK B	B	3,000.00	0.00	10.00	-10.00	65.0	-10.00
10/23/2018	75501292 JOE, HENRY	APPLE INC	S	11,134.70	105.00	10.00	95.00	65.0	58.25
10/23/2018	75501292 JOE, HENRY	ENTASIS THERAPEUTICS HOLDINGS INC C S	S	705.00	25.00	10.00	15.00	65.0	6.25
10/29/2018	75501292 JOE, HENRY	ENTASIS THERAPEUTICS HOLDINGS INC C S	S	4,880.00	80.00	10.00	70.00	65.0	42.00
10/03/2018	75501293 JOE, HENRY	ALTRA INDL MOTION CORP COM	S	9,249.58	109.00	10.00	99.00	65.0	60.85
10/04/2018	75501293 JOE, HENRY	MONMOUTH REAL ESTATE INVT CORP COM S	S	-15,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/04/2018	75501293 JOE, HENRY	MONMOUTH REAL ESTATE INVT CORP COM B	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	75501293 JOE, HENRY	MONMOUTH REAL ESTATE INVT CORP COM B	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
10/19/2018	75501293 JOE, HENRY	MONMOUTH REAL ESTATE INVT CORP COM S	S	15,440.00	120.00	10.00	110.00	65.0	68.00
10/29/2018	75501293 JOE, HENRY	GENERAL ELECTRIC CO	B	11,140.00	250.00	10.00	240.00	65.0	152.50
10/04/2018	75501307 TOTTEN, ANN	MONMOUTH REAL ESTATE INVT CORP COM B	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	75501307 TOTTEN, ANN	MONMOUTH REAL ESTATE INVT CORP COM B	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	75501307 TOTTEN, ANN	MONMOUTH REAL ESTATE INVT CORP COM S	S	-15,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/05/2018	75501307 TOTTEN, ANN	AIRCASTLE LTD SHS ISIN#BMG0219K1045 S	S	5,350.00	162.84	10.00	152.84	65.0	95.85
10/05/2018	75501307 TOTTEN, ANN	ALTRA INDL MOTION CORP COM	S	8,981.70	130.80	10.00	120.80	65.0	75.02
10/11/2018	75501307 TOTTEN, ANN	LIVENT CORPORATION COMMON STOCK	B	8,500.00	0.00	10.00	-10.00	65.0	-10.00
10/12/2018	75501307 TOTTEN, ANN	CONAGRA FOODS INC	S	20,952.00	403.25	10.00	393.25	65.0	252.11
10/16/2018	75501307 TOTTEN, ANN	GENERAL ELECTRIC CO	B	12,060.00	315.72	10.00	305.72	65.0	195.22
10/16/2018	75501307 TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES S	S	6,496.80	150.00	10.00	140.00	65.0	87.50
10/16/2018	75501307 TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES S	S	4,320.00	100.00	10.00	90.00	65.0	55.00
10/16/2018	75501307 TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES S	S	8,727.56	200.00	10.00	190.00	65.0	120.00
10/18/2018	75501307 TOTTEN, ANN	MONMOUTH REAL ESTATE INVT CORP COM S	S	15,520.00	200.00	10.00	190.00	65.0	120.00
10/04/2018	75501310 MARGARITA F PRESTON	ALTRA INDL MOTION CORP COM	S	9,243.46	221.20	10.00	211.20	65.0	133.78
10/04/2018	75501310 MARGARITA F PRESTON	MONMOUTH REAL ESTATE INVT CORP COM S	S	-15,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/04/2018	75501310 MARGARITA F PRESTON	MONMOUTH REAL ESTATE INVT CORP COM B	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	75501310 MARGARITA F PRESTON	MONMOUTH REAL ESTATE INVT CORP COM B	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
10/05/2018	75501310 MARGARITA F PRESTON	BLUE BIRD CORPORATION COM	B	2,464.10	71.10	10.00	61.10	65.0	36.22
10/11/2018	75501310 MARGARITA F PRESTON	LIVENT CORPORATION COMMON STOCK	B	17,000.00	0.00	10.00	-10.00	65.0	-10.00
10/16/2018	75501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES S	S	4,370.00	120.00	10.00	110.00	65.0	68.00
10/17/2018	75501310 MARGARITA F PRESTON	MONMOUTH REAL ESTATE INVT CORP COM S	S	15,440.00	140.00	10.00	130.00	65.0	81.00
10/19/2018	75501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES S	S	4,480.00	120.00	10.00	110.00	65.0	68.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
10/19/2018	75501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES	S	4,440.00	120.00	10.00	110.00	65.0	68.00
10/19/2018	75501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES	S	6,720.00	180.00	10.00	170.00	65.0	107.00
10/19/2018	75501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES	S	6,690.00	180.00	10.00	170.00	65.0	107.00
10/25/2018	75501310 MARGARITA F PRESTON	WESTERN ASSET MORTGAGE CAPITAL CORP	S	10,030.00	160.00	10.00	150.00	65.0	94.00
10/26/2018	75501310 MARGARITA F PRESTON	ORCHID ISLAND CAPITAL INC	S	33,000.00	600.00	10.00	590.00	65.0	380.00
10/03/2018	75501313 HEIDENREICH, ROBERT	ULTA SALON COSMETICS & FRAGRANCE IN	S	13,956.00	105.00	10.00	95.00	65.0	58.25
10/04/2018	75501313 HEIDENREICH, ROBERT	MONMOUTH REAL ESTATE INVT CORP COM	B	22,500.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	75501313 HEIDENREICH, ROBERT	MONMOUTH REAL ESTATE INVT CORP COM	S	-22,500.00	0.00	-10.00	10.00	65.0	10.00 C
10/04/2018	75501313 HEIDENREICH, ROBERT	MONMOUTH REAL ESTATE INVT CORP COM	B	22,500.00	0.00	10.00	-10.00	65.0	-10.00
10/08/2018	75501313 HEIDENREICH, ROBERT	ALTRA INDL MOTION CORP COM	S	9,145.10	100.00	10.00	90.00	65.0	55.00
10/10/2018	75501313 HEIDENREICH, ROBERT	ANNALY CAPITAL MANAGEMENT INC	S	20,480.00	240.00	10.00	230.00	65.0	146.00
10/11/2018	75501313 HEIDENREICH, ROBERT	PROSHARES ULTRA DOW30 ETF	B	36,760.00	200.00	10.00	190.00	65.0	120.00
10/24/2018	75501313 HEIDENREICH, ROBERT	MONMOUTH REAL ESTATE INVT CORP COM	S	23,475.00	225.00	10.00	215.00	65.0	136.25
10/26/2018	75501313 HEIDENREICH, ROBERT	OXFORD SQUARE CAP CORP COM	S	15,350.00	300.00	10.00	290.00	65.0	185.00
10/26/2018	75501313 HEIDENREICH, ROBERT	PACKAGING CORP AMER	S	8,982.88	105.00	10.00	95.00	65.0	58.25
10/29/2018	75501313 HEIDENREICH, ROBERT	OXFORD SQUARE CAP CORP COM	S	14,237.00	230.00	10.00	220.00	65.0	139.50
10/04/2018	75501316 PIPER, CAROL	ALTRA INDL MOTION CORP COM	S	9,260.64	221.47	10.00	211.47	65.0	133.96
10/04/2018	75501316 PIPER, CAROL	MONMOUTH REAL ESTATE INVT CORP COM	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	75501316 PIPER, CAROL	MONMOUTH REAL ESTATE INVT CORP COM	S	-15,000.00	0.00	-10.00	10.00	65.0	10.00 C
10/04/2018	75501316 PIPER, CAROL	MONMOUTH REAL ESTATE INVT CORP COM	B	15,000.00	0.00	10.00	-10.00	65.0	-10.00
10/19/2018	75501316 PIPER, CAROL	MONMOUTH REAL ESTATE INVT CORP COM	S	15,520.00	150.00	10.00	140.00	65.0	87.50
10/22/2018	75501316 PIPER, CAROL	ARLINGTON ASSET INVESTMENT CORP CL-	S	4,262.35	70.00	10.00	60.00	65.0	35.50
10/23/2018	75501316 PIPER, CAROL	SACHEM CAPITAL CORP COMMON SHARES	S	4,380.00	120.00	10.00	110.00	65.0	68.00
10/23/2018	75501316 PIPER, CAROL	SACHEM CAPITAL CORP COMMON SHARES	S	6,570.00	180.00	10.00	170.00	65.0	107.00
10/24/2018	75501316 PIPER, CAROL	SACHEM CAPITAL CORP COMMON SHARES	S	6,545.76	180.00	10.00	170.00	65.0	107.00
10/25/2018	75501316 PIPER, CAROL	ABERDEEN GLOBAL PREMIER PROPERTIES	S	8,220.00	150.00	10.00	140.00	65.0	87.50
10/29/2018	75501316 PIPER, CAROL	GENERAL ELECTRIC CO	B	11,069.00	250.00	10.00	240.00	65.0	152.50
10/19/2018	75501317 PIPER, CAROL	NUVEEN CR OPPORTUNITIES 2022 TRGT T	S	4,645.00	70.00	10.00	60.00	65.0	35.50
09/28/2018	75502119 COHEN, MICHAEL	NVIDIA CORP	B	2,809.20	76.11	10.00	66.11	65.0	39.47
09/28/2018	75502119 COHEN, MICHAEL	WTS ATTIS INDUSTRIES INC WARRANTS	S	312.00	50.00	10.00	40.00	65.0	22.50
10/05/2018	75502119 COHEN, MICHAEL	ARLINGTON ASSET INVESTMENT CORP CL-	S	8,950.00	270.53	10.00	260.53	65.0	165.84
10/05/2018	75502119 COHEN, MICHAEL	OXFORD LANE CAPITAL CORP	S	10,760.00	296.83	10.00	286.83	65.0	182.94
10/03/2018	75502213 COLON, LUIS	ALTRA INDL MOTION CORP COM	S	1,957.30	30.00	10.00	20.00	65.0	9.50
10/10/2018	QGW008047 DOUGHERTY, JANE	NUVEEN S&P 500 BUY WRITE INCOME FUN	S	-1,322.23	50.00	10.00	40.00	65.0	22.50
09/27/2018	QGW023848 BYRNE, GERARD	VERU INC COMMON STOCK	B	2,100.00	0.00	10.00	-10.00	65.0	-10.00
10/02/2018	QGW023848 BYRNE, GERARD	SACHEM CAPITAL CORP COMMON SHARES	S	-4,260.00	100.00	10.00	90.00	65.0	55.00
10/02/2018	QGW023848 BYRNE, GERARD	SACHEM CAPITAL CORP COMMON SHARES	S	-4,320.00	100.00	10.00	90.00	65.0	55.00
10/03/2018	QGW023848 BYRNE, GERARD	ALTRA INDL MOTION CORP COM	S	-9,239.58	109.00	10.00	99.00	65.0	60.85
10/03/2018	QGW023848 BYRNE, GERARD	KALA PHARMACEUTICALS INC COM	B	3,300.00	0.00	10.00	-10.00	65.0	-10.00
10/04/2018	QGW023848 BYRNE, GERARD	FRONTIER COMMUNICATIONS CORPORATION	S	-7,161.42	120.36	10.00	110.36	65.0	68.23

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
10/08/2018	QGW023848	BYRNE, GERARD	SACHEM CAPITAL CORP COMMON SHARES	S	-4,340.00	120.00	10.00	110.00	65.0 68.00
10/09/2018	QGW023848	BYRNE, GERARD	SACHEM CAPITAL CORP COMMON SHARES	S	-4,420.00	120.00	10.00	110.00	65.0 68.00
10/09/2018	QGW023848	BYRNE, GERARD	SACHEM CAPITAL CORP COMMON SHARES	S	-4,360.00	120.00	10.00	110.00	65.0 68.00
10/11/2018	QGW023848	BYRNE, GERARD	LIVENT CORPORATION COMMON STOCK	B	17,000.00	0.00	10.00	-10.00	65.0 -10.00
10/16/2018	QGW023848	BYRNE, GERARD	FRONTIER COMMUNICATIONS CORPORATION	B	11,000.00	274.48	10.00	264.48	65.0 168.41
10/16/2018	QGW023848	BYRNE, GERARD	GENERAL ELECTRIC CO	B	12,240.00	238.66	10.00	228.66	65.0 145.13
10/16/2018	QGW023848	BYRNE, GERARD	KALA PHARMACEUTICALS INC COM	S	-3,860.00	88.81	10.00	78.81	65.0 47.73
10/19/2018	QGW023848	BYRNE, GERARD	SOLARWINDS CORPORATION COMMON STOCK	B	3,750.00	0.00	10.00	-10.00	65.0 -10.00
10/23/2018	QGW023848	BYRNE, GERARD	BANK OF AMERICA CORP	B	10,840.00	178.30	10.00	168.30	65.0 105.90
09/27/2018	QGW030355	GOULD, PETER	RESTORATION ROBOTICS INC COMMON STO	S	-7,050.00	255.17	10.00	245.17	65.0 155.86
09/27/2018	QGW030355	GOULD, PETER	VERU INC COMMON STOCK	B	2,100.00	0.00	10.00	-10.00	65.0 -10.00
10/03/2018	QGW030355	GOULD, PETER	KALA PHARMACEUTICALS INC COM	B	3,300.00	0.00	10.00	-10.00	65.0 -10.00
10/05/2018	QGW030355	GOULD, PETER	ALTRA INDL MOTION CORP COM	S	-9,188.70	157.99	10.00	147.99	65.0 92.69
10/05/2018	QGW030355	GOULD, PETER	BLUE BIRD CORPORATION COM	B	2,461.12	50.00	10.00	40.00	65.0 22.50
10/11/2018	QGW030355	GOULD, PETER	LIVENT CORPORATION COMMON STOCK	B	5,100.00	0.00	10.00	-10.00	65.0 -10.00
10/12/2018	QGW030355	GOULD, PETER	KALA PHARMACEUTICALS INC COM	S	-3,540.00	85.65	10.00	75.65	65.0 45.67
10/16/2018	QGW030355	GOULD, PETER	THERAPEUTICSMD INC	S	-5,750.00	166.12	10.00	156.12	65.0 97.98
10/19/2018	QGW030355	GOULD, PETER	SOLARWINDS CORPORATION COMMON STOCK	B	3,750.00	0.00	10.00	-10.00	65.0 -10.00
10/19/2018	QGW033367	NAUMOV, GEORGE	TITAN PHARMACEUTICALS INC COM	S	-1,850.00	75.00	10.00	65.00	65.0 38.75
10/26/2018	QGW033367	NAUMOV, GEORGE	SIMULATIONS PLUS INC COM	S	-19,850.00	120.00	10.00	110.00	65.0 68.00
10/26/2018	QGW033367	NAUMOV, GEORGE	SIMULATIONS PLUS INC COM	S	-20,360.00	120.00	10.00	110.00	65.0 68.00
10/11/2018	QGW033607	NAUMOV, GEORGE	LIVENT CORPORATION COMMON STOCK	B	11,900.00	0.00	10.00	-10.00	65.0 -10.00
10/11/2018	QGW033607	NAUMOV, GEORGE	NVIDIA CORP	S	-12,249.78	50.00	10.00	40.00	65.0 22.50
10/26/2018	QGW033607	NAUMOV, GEORGE	NVIDIA CORP	S	-14,680.50	75.00	10.00	65.00	65.0 38.75
10/05/2018	QGW036428	MCHUGH, KATHLEEN	FAT BRANDS INC COMMON STOCK	S	-5,130.00	129.38	10.00	119.38	65.0 74.10
10/16/2018	QGW036428	MCHUGH, KATHLEEN	ORGANOVO HOLDINGS INC	S	-8.88	0.24	10.00	-9.76	65.0 -9.84
10/16/2018	QGW036428	MCHUGH, KATHLEEN	ORGANOVO HOLDINGS INC	S	-2,851.20	77.76	10.00	67.76	65.0 40.54
10/16/2018	QGW036428	MCHUGH, KATHLEEN	ORGANOVO HOLDINGS INC	S	2,600.78	-78.00	-10.00	-68.00	65.0 -40.70 C
10/16/2018	QGW036428	MCHUGH, KATHLEEN	ORGANOVO HOLDINGS INC	S	-2,860.78	78.00	10.00	68.00	65.0 40.70
10/16/2018	QGW036428	MCHUGH, KATHLEEN	ORGANOVO HOLDINGS INC	S	-2,600.78	78.00	10.00	68.00	65.0 40.70
10/16/2018	QGW036428	MCHUGH, KATHLEEN	ORGANOVO HOLDINGS INC	S	8.88	-0.24	-10.00	9.76	65.0 9.84 C
10/16/2018	QGW036428	MCHUGH, KATHLEEN	ORGANOVO HOLDINGS INC	S	2,851.20	-77.76	-10.00	-67.76	65.0 -40.54 C
10/17/2018	QGW036428	MCHUGH, KATHLEEN	ORGANOVO HOLDINGS INC	S	-12,978.14	357.00	10.00	347.00	65.0 222.05
* STOCKS SUBTOTAL *					\$751,152.79	\$13,674.60	\$1,100.00	\$12,574.60	\$7,788.49

PRODUCT CATEGORY: OPTIONS

10/25/2018	75501291	PRESTON, MARGARITA		CALL MMM 11/23/18 190	S	2,120.00	75.00	10.00	65.00 65.0 38.75
10/03/2018	QGW023848	BYRNE, GERARD		CALL 100 BANK OF AMERICA CORPORATIO	S	-340.00	50.00	10.00	40.00 65.0 22.50
10/19/2018	QGW023848	BYRNE, GERARD		CALL 100 FLUOR CORP NEW COM EXP 10-	S	-180.00	30.00	10.00	20.00 65.0 9.50
10/23/2018	QGW023848	BYRNE, GERARD		CALL 100 BANK OF AMERICA CORPORATIO	S	-160.00	25.00	10.00	15.00 65.0 6.25

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>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
10/29/2018	QGW023848	BYRNE, GERARD		CALL 100 BANK OF AMERICA CORPORATIO S	-360.00	50.00	10.00	40.00	65.0 22.50
10/30/2018	QGW023848	BYRNE, GERARD		CALL 100 FLUOR CORP NEW COM EXP 11- S	-300.00	50.00	10.00	40.00	65.0 22.50
10/30/2018	QGW030355	GOULD, PETER		PUT 100 FACEBOOK INC CL A EXP 11-02 B	2,440.00	74.49	10.00	64.49	65.0 38.42
				* OPTIONS SUBTOTAL *	\$3,220.00	\$354.49	\$70.00	\$284.49	\$160.42
<u>PRODUCT CATEGORY: RIA</u>									
10/01/2018	75502184	PRESTON, ROBERT		FAS FEES PT. I/III	B -1,791.12	519.42	10.00	509.42	65.0 327.62
10/01/2018	75502186	DOLE, VIVIAN		FAS FEES PT. I/III	B -923.94	263.63	10.00	253.63	65.0 161.36
				* RIA SUBTOTAL *	\$-2,715.06	\$783.05	\$20.00	\$763.05	\$488.98
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/31/2018				FEE COUNT - 80	0.00	1,323.78	0.00	1,323.78	65.0 860.45
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,323.78	\$0.00	\$1,323.78	\$860.45
				*** BROKER TRANSACTIONS TOTAL ***	\$1,024,313.73	\$16,135.92	\$1,190.00	\$14,945.92	\$9,298.34
<u>ADJUSTMENTS</u>									
10/31/2018				COMMISSION INCOME: VERU IPO	0.00	0.00	0.00	0.00	34.02
10/31/2018				COMMISSION INCOME: VERU IPO	0.00	0.00	0.00	0.00	6.30
10/31/2018				COMMISSION INCOME: ALDX SECONDARY	0.00	0.00	0.00	0.00	38.36
10/31/2018				COMMISSION INCOME: KALA PHARMACEUTI	0.00	0.00	0.00	0.00	80.19
10/31/2018				COMMISSION INCOME: KALA PHARMACEUTI	0.00	0.00	0.00	0.00	16.34
10/31/2018				COMMISSION INCOME: MNR SECONDARY	0.00	0.00	0.00	0.00	607.50
10/31/2018				COMMISSION INCOME: MNR SECONDARY	0.00	0.00	0.00	0.00	67.50
10/31/2018				COMMISSION INCOME: LIVENT CORP	0.00	0.00	0.00	0.00	70.13
10/31/2018				MISCELLANEOUS: REV CLEARING CHG 755	0.00	0.00	0.00	0.00	10.00
10/31/2018				MISCELLANEOUS: REV CLEARING CHG 755	0.00	0.00	0.00	0.00	10.00
10/31/2018				MISCELLANEOUS: DEDUCT FROM DRAW	0.00	0.00	0.00	0.00	-209.32
10/31/2018				COMMISSION INCOME: SOLARWIND	0.00	0.00	0.00	0.00	67.33
10/31/2018				COMMISSION INCOME: SOLARWIND	0.00	0.00	0.00	0.00	10.69
10/31/2018				COMMISSION INCOME: LIVENT CORP	0.00	0.00	0.00	0.00	573.75
10/31/2018				: QUODD	0.00	0.00	0.00	0.00	-180.85
10/31/2018				OTHER: 360 OFFICE	0.00	0.00	0.00	0.00	-12.00
10/31/2018				OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
10/31/2018				OTHER: RBC -WEALTH STATION	0.00	0.00	0.00	0.00	-25.00
10/31/2018				OTHER: EXCHANGE FEES	0.00	0.00	0.00	0.00	-54.44
				*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$1,090.50

BROKER COMMISSION TOTALS

Broker Transactions	\$9,298.34
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$1,090.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-20.17
SIPC Assessment	\$-40.34

Check Amount	\$10,328.33
Year-to-date Earnings	\$70,824.54