

COMMISSION STATEMENT

September 30, 2018

CHRISTOPHER HAMILTON

21 WEST STREET

APT 6J

NEW YORK, NY 10006

BROKER #: I19 K1H R70

BRANCH: HOME OFFICE

COMMISSION STATEMENT for CHRISTOPHER HAMILTON

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
09/24/2018	75500978 LERNER, SUSAN	VANGUARD MMR PRIME	B	1,278,000.00	0.00	10.00	-10.00	80.0	-8.00
		* MUTUAL FUNDS SUBTOTAL *		\$1,278,000.00	\$0.00	\$10.00	\$-10.00		\$-8.00
<u>PRODUCT CATEGORY: STOCKS</u>									
08/31/2018	75500508 HAMILTON, CHRISTOPHER	SPDR S&P 500 ETF TRUST	B	69,674.40	0.00	10.00	-10.00	80.0	-8.00
09/04/2018	75500508 HAMILTON, CHRISTOPHER	SPDR S&P 500 ETF TRUST	S	69,554.40	0.00	10.00	-10.00	80.0	-8.00
08/30/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	B	139,440.00	0.00	10.00	-10.00	80.0	-8.00
08/31/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	S	139,728.00	0.00	10.00	-10.00	80.0	-8.00
08/31/2018	75500514 HAMILTON, CHRISTOPHER	SPDR S&P 500 ETF TRUST	B	98,705.40	0.00	10.00	-10.00	80.0	-8.00
09/04/2018	75500514 HAMILTON, CHRISTOPHER	SECTOR SPDR TRUST SBI CONSUMER STAP	B	37,597.00	0.00	10.00	-10.00	80.0	-8.00
09/04/2018	75500514 HAMILTON, CHRISTOPHER	SPDR S&P 500 ETF TRUST	S	98,535.40	0.00	10.00	-10.00	80.0	-8.00
09/05/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	B	136,536.00	0.00	10.00	-10.00	80.0	-8.00
09/05/2018	75500514 HAMILTON, CHRISTOPHER	SECTOR SPDR TRUST SBI CONSUMER STAP	S	38,031.00	0.00	10.00	-10.00	80.0	-8.00
09/06/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES 20 PLUS YEAR TREASURY BOND	S	60,092.50	0.00	10.00	-10.00	80.0	-8.00
09/06/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES 20 PLUS YEAR TREASURY BOND	B	59,933.36	0.00	10.00	-10.00	80.0	-8.00
09/06/2018	75500514 HAMILTON, CHRISTOPHER	VANECK VECTORS ETF TR GOLD MINERS E	B	18,036.70	0.00	10.00	-10.00	80.0	-8.00
09/06/2018	75500514 HAMILTON, CHRISTOPHER	VANECK VECTORS ETF TR OIL SVCS ETF	B	32,574.08	0.00	10.00	-10.00	80.0	-8.00
09/06/2018	75500514 HAMILTON, CHRISTOPHER	VANECK VECTORS ETF TR GOLD MINERS E	S	17,840.00	0.00	10.00	-10.00	80.0	-8.00
09/07/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	B	136,008.00	0.00	10.00	-10.00	80.0	-8.00
09/10/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES 20 PLUS YEAR TREASURY BOND	S	59,785.00	0.00	10.00	-10.00	80.0	-8.00
09/10/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES 20 PLUS YEAR TREASURY BOND	B	59,733.50	0.00	10.00	-10.00	80.0	-8.00
09/11/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES 20 PLUS YEAR TREASURY BOND	B	95,279.20	0.00	10.00	-10.00	80.0	-8.00
09/11/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES 20 PLUS YEAR TREASURY BOND	S	95,140.00	0.00	10.00	-10.00	80.0	-8.00
09/11/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	S	136,608.00	0.00	10.00	-10.00	80.0	-8.00
09/11/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	S	136,608.00	0.00	10.00	-10.00	80.0	-8.00
09/11/2018	75500514 HAMILTON, CHRISTOPHER	VANECK VECTORS ETF TR OIL SVCS ETF	S	33,236.00	0.00	10.00	-10.00	80.0	-8.00
09/12/2018	75500514 HAMILTON, CHRISTOPHER	SECTOR SPDR TRUST SBI CONSUMER STAP	S	27,495.00	0.00	10.00	-10.00	80.0	-8.00
09/12/2018	75500514 HAMILTON, CHRISTOPHER	SECTOR SPDR TRUST SBI CONSUMER STAP	B	54,459.90	0.00	10.00	-10.00	80.0	-8.00
09/12/2018	75500514 HAMILTON, CHRISTOPHER	SECTOR SPDR TRUST SBI CONSUMER STAP	S	27,450.20	0.00	10.00	-10.00	80.0	-8.00
09/13/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	B	68,964.00	0.00	10.00	-10.00	80.0	-8.00
09/13/2018	75500514 HAMILTON, CHRISTOPHER	ISHARES INC ISHARES MSCI JAPAN ETF	B	137,928.00	0.00	10.00	-10.00	80.0	-8.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: STOCKS</u>									
09/13/2018	75500514	HAMILTON, CHRISTOPHER ISHARES MSCI EMERGING MARKETS ETF	B	29,539.30	0.00	10.00	-10.00	80.0	-8.00
09/13/2018	75500514	HAMILTON, CHRISTOPHER ISHARES MSCI EMERGING MARKETS ETF	S	29,365.00	0.00	10.00	-10.00	80.0	-8.00
09/14/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	S	69,732.00	0.00	10.00	-10.00	80.0	-8.00
09/14/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	S	69,744.00	0.00	10.00	-10.00	80.0	-8.00
09/14/2018	75500514	HAMILTON, CHRISTOPHER ISHARES MSCI BRAZIL CAPPED ETF	B	15,652.95	0.00	10.00	-10.00	80.0	-8.00
09/14/2018	75500514	HAMILTON, CHRISTOPHER ISHARES MSCI BRAZIL CAPPED ETF	S	15,610.00	0.00	10.00	-10.00	80.0	-8.00
09/17/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	B	69,754.44	0.00	10.00	-10.00	80.0	-8.00
09/17/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	S	70,104.00	0.00	10.00	-10.00	80.0	-8.00
09/17/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	B	139,560.00	0.00	10.00	-10.00	80.0	-8.00
09/18/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	S	142,896.00	0.00	10.00	-10.00	80.0	-8.00
09/18/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	S	71,448.00	0.00	10.00	-10.00	80.0	-8.00
09/24/2018	75500514	HAMILTON, CHRISTOPHER SECTOR SPDR TRUST SBI CONSUMER STAP B	B	32,508.00	0.00	10.00	-10.00	80.0	-8.00
09/25/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	B	144,528.00	0.00	10.00	-10.00	80.0	-8.00
09/25/2018	75500514	HAMILTON, CHRISTOPHER ISHARES INC ISHARES MSCI JAPAN ETF	B	72,264.00	0.00	10.00	-10.00	80.0	-8.00
09/26/2018	75500514	HAMILTON, CHRISTOPHER SELECT SECTOR SPDR TRUST THE UTILIT B	B	41,088.00	0.00	10.00	-10.00	80.0	-8.00
09/24/2018	75500517	FAKLER, LEO WAL-MART STORES INC	S	38,074.08	380.00	10.00	370.00	80.0	296.00
08/31/2018	75500529	KALOS, PAUL SPDR S&P 500 ETF TRUST	S	110,800.00	50.00	10.00	40.00	80.0	32.00
08/31/2018	75500529	KALOS, PAUL SPDR S&P 500 ETF TRUST	B	98,705.40	50.00	10.00	40.00	80.0	32.00
09/04/2018	75500529	KALOS, PAUL SPDR S&P 500 ETF TRUST	S	98,535.40	50.00	10.00	40.00	80.0	32.00
09/07/2018	75500529	KALOS, PAUL SPDR S&P 500 ETF TRUST	B	114,825.32	50.00	10.00	40.00	80.0	32.00
09/18/2018	75500529	KALOS, PAUL FORTIVE CORPORATION COM	B	8,577.36	50.00	10.00	40.00	80.0	32.00
09/19/2018	75500529	KALOS, PAUL BLUE BIRD CORPORATION COM	B	2,475.00	50.00	10.00	40.00	80.0	32.00
09/20/2018	75500529	KALOS, PAUL SPDR S&P 500 ETF TRUST	S	113,600.00	50.00	10.00	40.00	80.0	32.00
09/06/2018	75500796	KARP, BETH LIVE OAK BANCSHARES INC COM	B	1,485.00	1.50	10.00	-8.50	80.0	-6.80
09/07/2018	75500796	KARP, BETH LIVE OAK BANCSHARES INC COM	B	74,260.70	75.00	10.00	65.00	80.0	52.00
09/07/2018	75500796	KARP, BETH LIVE OAK BANCSHARES INC COM	B	74,237.52	75.00	10.00	65.00	80.0	52.00
09/13/2018	75500796	KARP, BETH LIVE OAK BANCSHARES INC COM	B	56,272.97	60.00	10.00	50.00	80.0	40.00
09/13/2018	75500796	KARP, BETH LIVE OAK BANCSHARES INC COM	B	84,442.50	90.00	10.00	80.00	80.0	64.00
09/18/2018	75500829	GRAFSTEIN, ALLEN FORTIVE CORPORATION COM	B	8,591.99	50.00	10.00	40.00	80.0	32.00
08/30/2018	75500913	KARP, RONALD AFFIMED N V COM ISIN#NL0010872420	B	159,501.00	200.00	10.00	190.00	80.0	152.00
09/13/2018	75500913	KARP, RONALD AFFIMED N V COM ISIN#NL0010872420	B	70,500.00	100.00	10.00	90.00	80.0	72.00
08/31/2018	75500921	CZECH, ERIC SPDR S&P 500 ETF TRUST	B	49,352.70	25.00	10.00	15.00	80.0	12.00
09/04/2018	75500921	CZECH, ERIC SPDR S&P 500 ETF TRUST	S	49,267.70	25.00	10.00	15.00	80.0	12.00
09/18/2018	75500921	CZECH, ERIC FORTIVE CORPORATION COM	B	8,644.67	25.00	10.00	15.00	80.0	12.00
09/19/2018	75500921	CZECH, ERIC BLUE BIRD CORPORATION COM	B	2,475.00	25.00	10.00	15.00	80.0	12.00
09/13/2018	75500931	RON KARP AND/OR IMPINJ INC COM	S	42,570.00	50.00	10.00	40.00	80.0	32.00
09/13/2018	75500931	RON KARP AND/OR IMPINJ INC COM	B	27,148.20	50.00	10.00	40.00	80.0	32.00
09/25/2018	75500948	BIEL, LYNN BLACKROCK INC	B	38,488.79	421.00	10.00	411.00	80.0	328.80
09/25/2018	75500948	BIEL, LYNN WAL-MART STORES INC	S	28,726.38	775.00	10.00	765.00	80.0	612.00
09/19/2018	75500978	LERNER, SUSAN MINERALS TECHNOLOGIES INC	S	68,550.00	50.00	10.00	40.00	80.0	32.00

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BROKER TRANSACTIONS											
PRODUCT CATEGORY: STOCKS											
09/19/2018	75500978	LERNER, SUSAN		OWENS CORNING	S	148,006.85	75.00	10.00	65.00	80.0	52.00
09/19/2018	75500978	LERNER, SUSAN		SALLY BEAUTY HOLDINGS INC	S	54,125.00	90.00	10.00	80.00	80.0	64.00
09/19/2018	75500978	LERNER, SUSAN		VIRTU FINL INC CL A	S	110,297.00	50.00	10.00	40.00	80.0	32.00
09/19/2018	75500978	LERNER, SUSAN		WHIRLPOOL CORP	S	186,307.05	50.00	10.00	40.00	80.0	32.00
09/18/2018	75501006	GRAFSTEIN, ALLEN		FORTIVE CORPORATION COM	B	8,613.98	50.00	10.00	40.00	80.0	32.00
09/18/2018	75501024	GRAFSTEIN, ALLEN		FORTIVE CORPORATION COM	B	8,614.98	50.00	10.00	40.00	80.0	32.00
09/18/2018	75501159	EISBERG, JAMES		FORTIVE CORPORATION COM	B	8,590.23	50.00	10.00	40.00	80.0	32.00
09/19/2018	75501159	EISBERG, JAMES		BLUE BIRD CORPORATION COM	B	2,475.00	50.00	10.00	40.00	80.0	32.00
09/18/2018	75501192	ALLEN GRAFSTEIN		FORTIVE CORPORATION COM	B	8,605.07	50.00	10.00	40.00	80.0	32.00
09/19/2018	75501192	ALLEN GRAFSTEIN		PRUDENTIAL FINANCIAL INC	S	154,500.00	50.00	10.00	40.00	80.0	32.00
09/18/2018	75502159	GRAFSTEIN, RACHEL		FORTIVE CORPORATION COM	B	8,623.89	50.00	10.00	40.00	80.0	32.00
09/18/2018	75502160	GRAFSTEIN, RALPH		FORTIVE CORPORATION COM	B	8,633.78	50.00	10.00	40.00	80.0	32.00
09/04/2018	QGW019929	KARP, JEFFREY		FERROGLOBE PLC SHS ISIN#GB00BYW6GV6 S		-31,931.20	100.00	10.00	90.00	80.0	72.00
09/04/2018	QGW019929	KARP, JEFFREY		TAHOE RES INC COM ISIN#CA8738681037 B		22,139.20	100.00	10.00	90.00	80.0	72.00
09/20/2018	QGW019929	KARP, JEFFREY		AZUL S A SPONSORED ADR REPSTG PFD I S		-35,420.60	50.00	10.00	40.00	80.0	32.00
09/21/2018	QGW019929	KARP, JEFFREY		AZUL S A SPONSORED ADR REPSTG PFD I S		-36,621.00	50.00	10.00	40.00	80.0	32.00
* STOCKS SUBTOTAL *						\$5,154,433.64	\$3,792.50	\$830.00	\$2,962.50		\$2,370.00
PRODUCT CATEGORY: OPTIONS											
09/07/2018	75500529	KALOS, PAUL		CALL SPY 10/01/18 284	S	2,056.00	50.00	10.00	40.00	80.0	32.00
* OPTIONS SUBTOTAL *						\$2,056.00	\$50.00	\$10.00	\$40.00		\$32.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
09/30/2018				FEE COUNT - 34		0.00	398.75	0.00	398.75	80.0	318.99
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *						\$0.00	\$398.75	\$0.00	\$398.75		\$318.99
*** BROKER TRANSACTIONS TOTAL ***						\$6,434,489.64	\$4,241.25	\$850.00	\$3,391.25		\$2,712.99
ADJUSTMENTS											
09/30/2018				COMMISSION INCOME: SULLIVAN OVERRIDE		0.00	0.00	0.00	0.00		2,322.23
09/30/2018				OTHER: FED INS		0.00	0.00	0.00	0.00		-257.50
09/30/2018				DEMNL:MANUAL PROCESS FEE (LPFS): MA		0.00	0.00	0.00	0.00		-10.00
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: OTHER-DISABLITY INSURANCE		0.00	0.00	0.00	0.00		-2.04
09/30/2018				OTHER: OTHER-WORKMAN COMP		0.00	0.00	0.00	0.00		-133.34
09/30/2018				OTHER: THOMSON		0.00	0.00	0.00	0.00		-112.86
09/30/2018				OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-55.66

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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

*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$1,718.83
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BROKER COMMISSION TOTALS

Broker Transactions	\$2,712.99
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$1,718.83
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-5.30
SIPC Assessment	\$-10.60

Check Amount	\$4,415.92
Year-to-date Earnings	\$34,381.23