Page No. 1

R.F. Lafferty & Co., Inc. Est. 1946

JOHN HEIDENREICH

## **COMMISSION STATEMENT**

## November 30, 2018

BROKER #: P7H R90 R30 A09 BRANCH: HOME OFFICE

# 7 EAST 86TH ST

APT 15B NEW YORK, NY 10028

### 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 TRANS	ACTIONS					
PRODUCT CA	TEGORY: MUTUAL FUNDS							
11/05/2018 7	5501312 HEIDENREICH, CHARLYN	DELAWARE INVESTMENTS DIVERSIFIED IN S	2,375.00	0.00	0.00	0.00	65.0	0.00
11/05/2018 7	5501312 HEIDENREICH, CHARLYN	SHORT-TERM BOND FUND OF AMERICA - AB	15,410.45	0.00	0.00	0.00	65.0	0.00
11/05/2018 7	5501312 HEIDENREICH, CHARLYN	THE INVESTMENT COMPANY OF AMERICA-A S	15,410.45	0.00	0.00	0.00	65.0	0.00
1/29/2018 7	5501313 HEIDENREICH, ROBERT	AIM UTILITIES FUND - CLASS A S	3,500.00	0.00	0.00	0.00	65.0	0.00
1/08/2018 7	5501316 PIPER, CAROL	GOLDMAN SACHS TR SHORT DURATION INC B	30,886.30	0.00	0.00	0.00	65.0	0.00
1/08/2018 7	5501316 PIPER, CAROL	GOLDMAN SACHS TOLLKEEPER FUND CLASS S	30,886.30	0.00	0.00	0.00	65.0	0.00
.1/02/2018 7	5501867 PAGAN, VIONA LYNN	**JPMORGAN TR II S	121,633.76	0.00	0.00	0.00	65.0	0.00
1/02/2018 7	5501867 PAGAN, VIONA LYNN	**JPMORGAN TR I S	24,897.69	0.00	0.00	0.00	65.0	0.00
1/02/2018 7	5501867 PAGAN, VIONA LYNN	GROWTH AND INCOME FUND - A S	91,403.93	0.00	0.00	0.00	65.0	0.00
1/02/2018 7	5501867 PAGAN, VIONA LYNN	JP MORGAN LIMITED DURATION BOND FUN B	24,897.69	0.00	0.00	0.00	65.0	0.00
1/02/2018 7	5501867 PAGAN, VIONA LYNN	JP MORGAN LIMITED DURATION BOND FUN B	121,633.76	0.00	0.00	0.00	65.0	0.00
.1/02/2018 7	5501867 PAGAN, VIONA LYNN	JPMORGAN TR II SHORT DURATION BD FD B	91,403.93	0.00	0.00	0.00	65.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$574,339.26	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CA	TEGORY: STOCKS							
.1/01/2018 7	5501290 PRESTON, MARGARITA	ABERDEEN GLOBAL PREMIER PROPERTIES S	5,440.00	219.53	10.00	209.53	65.0	132.69
.0/30/2018 7	5501291 PRESTON, MARGARITA	GENERAL ELECTRIC CO B	20,080.00	400.00	10.00	390.00	65.0	250.00
1/02/2018 7	5501291 PRESTON, MARGARITA	PROSHARES ULTRA DOW30 ETF S	26,610.00	150.00	10.00	140.00	65.0	87.50
.1/05/2018 7	5501291 PRESTON, MARGARITA	RESTORATION ROBOTICS INC COMMON STO S	6,060.00	210.00	10.00	200.00	65.0	126.50
1/06/2018 7	5501291 PRESTON, MARGARITA	PROSHARES TRUST PROSHARES SHORT DOW S	-33,936.00	-300.00	-10.00	-290.00	65.0	-185.00 C
1/06/2018 7	5501291 PRESTON, MARGARITA	PROSHARES TRUST PROSHARES SHORT DOW B	33,936.00	300.00	10.00	290.00	65.0	185.00
.1/06/2018 7	5501291 PRESTON, MARGARITA	PROSHARES TRUST PROSHARES SHORT DOW B	33,936.00	300.00	10.00	290.00	65.0	185.00
1/08/2018 7	5501291 PRESTON, MARGARITA	LIVENT CORPORATION COMMON STOCK S	17,980.00	250.00	10.00	240.00	65.0	152.50
1/09/2018 7	5501291 PRESTON, MARGARITA	ENABLE MIDSTREAM PARTNERS LP COM UN B	22,275.00	487.13	10.00	477.13	65.0	306.63
.1/15/2018 7	5501291 PRESTON, MARGARITA	CHICKEN SOUP FOR THE SOUL ENTERTAIN B	25,000.00	0.00	10.00	-10.00	65.0	-10.00
.1/20/2018 7	5501291 PRESTON, MARGARITA	PROSHARES TRUST PROSHARES SHORT DOW S	35,448.00	300.00	10.00	290.00	65.0	185.00
1/28/2018 7	5501291 PRESTON, MARGARITA	GLOBAL NET LEASE INC COM B	40,400.00	0.00	10.00	-10.00	65.0	-10.00
.1/06/2018 7	5501292 JOE, HENRY	LIVENT CORPORATION COMMON STOCK S	8,810.00	100.00	10.00	90.00	65.0	55.00
.1/06/2018 7	5501292 JOE, HENRY	NEOS THERAPEUTICS INC COM B	2,300.00	0.00	10.00	-10.00	65.0	-10.00
.1/08/2018 7	5501292 JOE, HENRY	APPLE INC S	31,171.89	210.00	10.00	200.00	65.0	126.50
1/09/2018 7	5501292 JOE, HENRY	MICROSOFT CORP S	11,085.00	105.00	10.00	95.00	65.0	58.25

COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
		BROKER TRANS	ACTIONS					
PRODUCT CAT	EGORY: STOCKS							
11/13/2018 75	5501292 JOE, HENRY	RESTORATION ROBOTICS INC COMMON STO S	2,020.00	80.00	10.00	70.00	65.0	42.00
11/14/2018 75	5501292 JOE, HENRY	PROSHARES TRUST PROSHARES ULTRASHOR B	30,123.28	200.00	10.00	190.00	65.0	120.00
11/20/2018 75	5501292 JOE, HENRY	EASTSIDE DISTILLING INC COMMON STOC B	6,500.00	0.00	10.00	-10.00	65.0	-10.00
11/21/2018 75	5501292 JOE, HENRY	PROSHARES TRUST PROSHARES ULTRASHOR S	31,264.00	200.00	10.00	190.00	65.0	120.00
11/23/2018 75	5501292 JOE, HENRY	NEOS THERAPEUTICS INC COM B	3,600.00	100.00	10.00	90.00	65.0	55.00
11/26/2018 75	5501292 JOE, HENRY	SOLARWINDS CORPORATION COMMON STOCK S	2,884.00	80.00	10.00	70.00	65.0	42.00
11/23/2018 75	5501293 JOE, HENRY	CENTRAL GARDEN & PET CO CL A NON-VT S	8,508.00	196.28	10.00	186.28	65.0	117.58
11/26/2018 75	5501293 JOE, HENRY	BRP INC COMMON SUBORDINATE VOTING S S	6,672.00	100.00	10.00	90.00	65.0	55.00
10/30/2018 75	5501307 TOTTEN, ANN	ORCHID ISLAND CAPITAL INC S	13,280.00	240.00	10.00	230.00	65.0	146.00
11/01/2018 75	5501307 TOTTEN, ANN	AIRCASTLE LTD SHS ISIN#BMG0219K1045 S	24,450.00	375.00	10.00	365.00	65.0	233.75
11/05/2018 75	5501307 TOTTEN, ANN	PROSHARES TRUST PROSHARES SHORT DOW B	14,272.50	286.74	10.00	276.74	65.0	176.38
11/05/2018 75	5501307 TOTTEN, ANN	RESTORATION ROBOTICS INC COMMON STO S	5,150.00	175.00	10.00	165.00	65.0	103.75
11/06/2018 75	5501307 TOTTEN, ANN	PROSHARES TRUST PROSHARES ULTRASHOR B	27,637.50	505.27	10.00	495.27	65.0	318.43
11/09/2018 75	5501307 TOTTEN, ANN	ENABLE MIDSTREAM PARTNERS LP COM UN B	14,960.00	357.86	10.00	347.86	65.0	222.61
11/09/2018 75	5501307 TOTTEN, ANN	LIVENT CORPORATION COMMON STOCK S	8,940.00	75.00	10.00	65.00	65.0	38.75
11/09/2018 75	5501307 TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES S	6,270.00	150.00	10.00	140.00	65.0	87.50
11/15/2018 75	5501307 TOTTEN, ANN	CHICKEN SOUP FOR THE SOUL ENTERTAIN B	25,000.00	0.00	10.00	-10.00	65.0	-10.00
11/20/2018 75	5501307 TOTTEN, ANN	PROSHARES TRUST PROSHARES ULTRASHOR S	29,805.00	375.00	10.00	365.00	65.0	233.75
11/23/2018 75	5501307 TOTTEN, ANN	PROSHARES TRUST PROSHARES SHORT DOW S	14,855.00	100.00	10.00	90.00	65.0	55.00
11/26/2018 75	5501307 TOTTEN, ANN	SACHEM CAPITAL CORP COMMON SHARES S	6,098.62	145.90	10.00	135.90	65.0	84.84
11/28/2018 75	5501307 TOTTEN, ANN	GLOBAL NET LEASE INC COM B	40,400.00	0.00	10.00	-10.00	65.0	-10.00
10/30/2018 75	5501308 ANN S TOTTEN	APOLLO COMMERCIAL REAL ESTATE FINAN S	4,247.95	139.86	10.00	129.86	65.0	80.91
10/30/2018 75	5501308 ANN S TOTTEN	BLACKROCK ENHANCED EQUITY DIVIDEND S	8,360.00	261.96	10.00	251.96	65.0	160.27
10/31/2018 75	5501308 ANN S TOTTEN	VOYA GLOBAL EQUITY DIVIDEND AND PRE S	6,540.00	235.52	10.00	225.52	65.0	143.09
11/15/2018 75	5501308 ANN S TOTTEN	CHICKEN SOUP FOR THE SOUL ENTERTAIN B	10,000.00	0.00	10.00	-10.00	65.0	-10.00
11/28/2018 75	5501308 ANN S TOTTEN	GLOBAL NET LEASE INC COM B	10,100.00	0.00	10.00	-10.00	65.0	-10.00
11/07/2018 75	5501310 MARGARITA F PRESTON	GENERAL ELECTRIC CO B	18,399.00	472.43	10.00	462.43	65.0	297.08
11/07/2018 75	5501310 MARGARITA F PRESTON	LIVENT CORPORATION COMMON STOCK S	17,640.00	120.00	10.00	110.00	65.0	68.00
11/07/2018 75	5501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES S	4,150.00	100.00	10.00	90.00	65.0	55.00
11/07/2018 75	5501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES S	8,300.00	200.00	10.00	190.00	65.0	120.00
11/08/2018 75	5501310 MARGARITA F PRESTON	SACHEM CAPITAL CORP COMMON SHARES S	8,360.00	240.00	10.00	230.00	65.0	146.00
11/09/2018 75	5501310 MARGARITA F PRESTON	ENABLE MIDSTREAM PARTNERS LP COM UN B	22,380.00	488.15	10.00	478.15	65.0	307.30
11/15/2018 75	5501310 MARGARITA F PRESTON	CHICKEN SOUP FOR THE SOUL ENTERTAIN B	25,000.00	0.00	10.00	-10.00	65.0	-10.00
11/28/2018 75	5501310 MARGARITA F PRESTON	GLOBAL NET LEASE INC COM B	30,300.00	0.00	10.00	-10.00	65.0	-10.00
10/31/2018 75	5501313 HEIDENREICH, ROBERT	OXFORD LANE CAPITAL CORP S	15,480.00	300.00	10.00	290.00	65.0	185.00
10/31/2018 75	5501313 HEIDENREICH, ROBERT	PROSPECT CAPITAL CORPORATION S	16,850.00	300.00	10.00	290.00	65.0	185.00
11/05/2018 75	5501313 HEIDENREICH, ROBERT	PROSHARES ULTRA DOW30 ETF S	36,040.00	100.00	10.00	90.00	65.0	55.00
11/09/2018 75	5501313 HEIDENREICH, ROBERT	ANNALY CAPITAL MANAGEMENT INC S	30,180.00	420.00	10.00	410.00	65.0	263.00
11/15/2018 75	5501313 HEIDENREICH, ROBERT	CHICKEN SOUP FOR THE SOUL ENTERTAIN B	30,000.00	0.00	10.00	-10.00	65.0	-10.00
11/20/2018 75	5501313 HEIDENREICH, ROBERT	EASTSIDE DISTILLING INC COMMON STOC B	6,500.00	0.00	10.00	-10.00	65.0	-10.00

INVESTMENT

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Page No. 2

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#### COMMISSION STATEMENT for JOHN HEIDENREICH

TRADE DATE	CLIENT	INVESTMENT B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
-								
		BROKER TRANS	ACTIONS					
PRODUCT CAT	EGORY: STOCKS							
11/23/2018 75	501313 HEIDENREICH, ROBERT	CHIPOTLE MEXICAN GRILL INC COMMON S B	23,697.50	105.00	10.00	95.00	65.0	58.25
11/23/2018 75	501313 HEIDENREICH, ROBERT	EXXON MOBIL CORPORATION B	15,067.00	210.00	10.00	200.00	65.0	126.50
11/23/2018 75	501313 HEIDENREICH, ROBERT	UNITED TECHNOLOGIES CORP B	25,903.78	210.00	10.00	200.00	65.0	126.50
11/23/2018 75	501313 HEIDENREICH, ROBERT	VERIZON COMMUNICATIONS B	23,587.60	300.00	10.00	290.00	65.0	185.00
11/28/2018 75	501313 HEIDENREICH, ROBERT	GLOBAL NET LEASE INC COM B	30,300.00	0.00	10.00	-10.00	65.0	-10.00
10/31/2018 75	501316 PIPER, CAROL	SACHEM CAPITAL CORP COMMON SHARES S	1,647.72	47.76	10.00	37.76	65.0	21.04
11/01/2018 75	501316 PIPER, CAROL	SACHEM CAPITAL CORP COMMON SHARES S	1,097.10	31.80	10.00	21.80	65.0	10.67
11/02/2018 75	501316 PIPER, CAROL	SACHEM CAPITAL CORP COMMON SHARES S	1,374.96	40.44	10.00	30.44	65.0	16.29
11/28/2018 75	501316 PIPER, CAROL	GLOBAL NET LEASE INC COM B	10,100.00	0.00	10.00	-10.00	65.0	-10.00
11/06/2018 75	501317 PIPER, CAROL	SACHEM CAPITAL CORP COMMON SHARES S	8,280.00	200.00	10.00	190.00	65.0	120.00
11/08/2018 75	502116 BONE, ELIZABETH	RESTORATION ROBOTICS INC COMMON STO S	3,060.00	120.00	10.00	110.00	65.0	68.00
11/20/2018 75	502116 BONE, ELIZABETH	EASTSIDE DISTILLING INC COMMON STOC B	3,250.00	0.00	10.00	-10.00	65.0	-10.00
10/30/2018 75	502213 COLON, LUIS	SPDR S&P 500 ETF TRUST B	1,059.48	40.00	10.00	30.00	65.0	16.00
10/30/2018 QG	W023848 BYRNE, GERARD	GENERAL ELECTRIC CO B	10,620.00	220.55	10.00	210.55	65.0	133.36
10/30/2018 QG	W023848 BYRNE, GERARD	RMR GROUP INC (THE) CLASS A S	-7,997.95	90.69	10.00	80.69	65.0	48.95
11/02/2018 QG	W023848 BYRNE, GERARD	BANK OF AMERICA CORP S	-21,600.00	322.42	10.00	312.42	65.0	199.57
11/02/2018 QG	W023848 BYRNE, GERARD	FLUOR CORP NEW S	-8,800.00	140.59	10.00	130.59	65.0	81.38
11/09/2018 QG	W023848 BYRNE, GERARD	CISCO SYS INC S	-4,734.35	71.07	10.00	61.07	65.0	36.20
11/09/2018 QG	W023848 BYRNE, GERARD	LIVENT CORPORATION COMMON STOCK S	-18,780.00	311.77	10.00	301.77	65.0	192.65
11/20/2018 QG	W023848 BYRNE, GERARD	EASTSIDE DISTILLING INC COMMON STOC B	6,500.00	0.00	10.00	-10.00	65.0	-10.00
11/20/2018 QG	W023848 BYRNE, GERARD	EASTSIDE DISTILLING INC COMMON STOC B	3,250.00	0.00	10.00	-10.00	65.0	-10.00
11/20/2018 QG	W023848 BYRNE, GERARD	EASTSIDE DISTILLING INC COMMON STOC B	-3,250.00	0.00	-10.00	10.00	65.0	10.00 C
11/28/2018 QG	W023848 BYRNE, GERARD	VERU INC COMMON STOCK S	-2,310.00	75.00	10.00	65.00	65.0	38.75
10/30/2018 QG	W030355 GOULD, PETER	GENERAL ELECTRIC CO B	15,075.00	295.19	10.00	285.19	65.0	181.87
11/07/2018 QG	W030355 GOULD, PETER	LIVENT CORPORATION COMMON STOCK S	-5,316.00	60.00	10.00	50.00	65.0	29.00
11/07/2018 QG	W030355 GOULD, PETER	RESTORATION ROBOTICS INC COMMON STO S	-3,060.00	142.49	10.00	132.49	65.0	82.62
11/08/2018 QG	W030355 GOULD, PETER	AKERS BIOSCIENCES INC COMMON STOCK S	-587.50	30.00	10.00	20.00	65.0	9.50
11/08/2018 QG	W030355 GOULD, PETER	PROSHARES TRUST PROSHARES ULTRASHOR B	14,214.56	216.02	10.00	206.02	65.0	130.41
11/08/2018 QG	W030355 GOULD, PETER	RESTORATION ROBOTICS INC COMMON STO S	-6,060.00	180.00	10.00	170.00	65.0	107.00
11/20/2018 QG	W030355 GOULD, PETER	EASTSIDE DISTILLING INC COMMON STOC B	3,250.00	0.00	10.00	-10.00	65.0	-10.00
11/28/2018 QG	W030355 GOULD, PETER	VERU INC COMMON STOCK S	-2,280.00	75.00	10.00	65.00	65.0	38.75
10/30/2018 QG	W033367 NAUMOV, GEORGE	SIMULATIONS PLUS INC COM S	-10,231.02	75.45	10.00	65.45	65.0	39.04
10/31/2018 QG	W033367 NAUMOV, GEORGE	SIMULATIONS PLUS INC COM S	-6,064.74	44.55	10.00	34.55	65.0	18.96
11/05/2018 QG	W033367 NAUMOV, GEORGE	TITAN PHARMACEUTICALS INC COM S	-2,100.00	100.00	10.00	90.00	65.0	55.00
11/07/2018 QG	W033367 NAUMOV, GEORGE	WAYFAIR INC CL A B	19,092.00	100.00	10.00	90.00	65.0	55.00
11/08/2018 QG	W033367 NAUMOV, GEORGE	ENABLE MIDSTREAM PARTNERS LP COM UN B	18,456.00	180.00	10.00	170.00	65.0	107.00
11/15/2018 QG	W033367 NAUMOV, GEORGE	CHICKEN SOUP FOR THE SOUL ENTERTAIN B	10,000.00	0.00	10.00	-10.00	65.0	-10.00
11/14/2018 QG	W033607 NAUMOV, GEORGE	LIVENT CORPORATION COMMON STOCK S	-13,020.00	175.00	10.00	165.00	65.0	103.75
		* STOCKS SUBTOTAL *	\$1,050,803.88	\$14,062.42	\$900.00	\$13,162.42		\$8,240.57

COMMISSION STATEMENT for JOHN HEIDENREICH

11/02/2018   15/03/2018   15/03/2018   11/	TRADE DATE CLIENT	INVESTMENT B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
### PRODUCT CATEGORY: OPTIONS ### 1/02/2018 75501291 PRESEROM, NARGARITA CALL MON 11/23/18 190 B 300.00 30.00 10.00 20.00 65.0 9.51 1/02/2018 (SCHOOL) PRESEROM, NARGARITA CALL MON 11/23/18 190 B 300.00 10.00 20.00 65.0 9.51 9.51 1/02/2018 (SCHOOL) PRESEROM, NARGARITA CALL MON CONFINE CAME (1.8 KM 11-0.8 -2025.00 25.00 10.00 10.00 20.00 65.0 9.51 1/02/2018 (SCHOOL) PRESER CALL 100 CONFINE CAME (1.8 KM 11-0.8 -2025.00 10.00 15.00 65.0 65.0 10.00 45.56 65.0 62.2 1/02/2018 (SCHOOL) PRESER PRESERVE PRESERVE PRESER PRESERVE P		DROWER MEANS	IA CITTONIC					
11/02/2018   15/03/2018   15/03/2018   11/		BROKER TRANS	BACTIONS					
13/28/2018   CARDIJANG CREADED   CALL 100 COMPRELL SOUT CO COM EXP 1 S   -700.0   30.00   10.00   20.00   65.0   9.5.0   10.06/2018 (CREADED STREET COLL 100 CONT NEC COLL A EXP 11-16 R   1,116.00   55.56   10.00   15.00   65.0   6.22   65.00   10.06/2018 (CREADED STREET COLL A EXP 11-16 R   1,116.00   55.56   10.00   46.56   65.0   26.11   17/12/2018 (CREADED STREET COLL A EXP 11-16 R   1,116.00   55.56   10.00   46.56   65.0   26.11   17/12/2018 (CREADED STREET COLL A EXP 11-16 R   1,116.00   55.56   10.00   46.57   65.0   26.11   17/12/2018 (CREADED STREET COLL A EXP 11-16 R   1,116.00   55.56   10.00   46.57   65.0   26.11   17/12/2018 (CREADED STREET COLL A EXP 11-16 R   1,216.00   55.56   10.00   46.57   65.0   22.7   17/13/2018 (CREADED STREET COLL A EXP 11-28 R   -2,900.00   79.31   10.00   69.31   65.0   41.55   67.0   41.55	PRODUCT CATEGORY: OPTIONS							
11/06/2018 CQM030355 CQULD, PETER   FUT 100 FACEBOOK INC CL A EXP 11-08   1,116 B   1,116 CQ   1,000   1,000   1,000   1,000   65.0   6.28   1,1712/2018 CQM030355 CQULD, PETER   FUT 100 FACEBOOK INC CL A EXP 11-128   1,200.00   56.78   10.00   46.76   65.0   26.81   1,1712/2018 CQM030355 CQULD, PETER   CALL 100 GENERAL ELECTRIC CO COM RX 8   -600.00   50.40   10.00   40.40   65.0   22.87   1,1712/2018 CQM030355 CQULD, PETER   CALL 100 GENERAL ELECTRIC CO COM RX 8   -2,900.00   30.00   10.00   20.00   65.0   41.51   1,1712/2018 CQM030355 CQULD, PETER   CALL 100 CQTT INC COM CL A EXP 11-12 8   -2,900.00   30.00   10.00   20.00   65.0   45.51   1,1712/2018 CQM030355 CQULD, PETER   CALL 100 CQTT INC COM CL A EXP 11-28   898.00   33.61   10.00   41.61   65.0   24.81   1,1712/2018 CQM030355 CQULD, PETER   FUT 100 FACEBOOK INC CL A EXP 11-28   898.00   35.61   10.00   41.61   65.0	11/02/2018 75501291 PRESTON, MARGARITA	CALL MMM 11/23/18 190 B	300.00	30.00	10.00	20.00	65.0	9.50
11.069/2018 COMUNDATES COULD, PSTER	11/20/2018 QGW023848 BYRNE, GERARD	CALL 100 CAMPBELL SOUP CO COM EXP 1 S	-270.00	30.00	10.00	20.00	65.0	9.50
11.1212/2018 GOMB30355 GOULD, PETER	11/06/2018 QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 11-0 S	-225.00	25.00	10.00	15.00	65.0	6.25
11/13/2018 GOM30355 GOULD, PETER   CALL 100 GENERAL ELECTRIC CO COM EX S   -600.00   50.40   10.00   40.40   65.0   22.71     11/13/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-16 S   -2.900.00   79.31   10.00   60.31   65.0   41.51     11/14/2018 GOM30355 GOULD, PETER   CALL 100 COTY INC COM CL A EXF 11-2 S   250.00   30.00   10.00   20.00   65.0   9.51     11/15/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-2 S   980.00   35.61   10.00   41.61   65.0   62.4     11/16/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-2 S   -2.000.00   68.20   10.00   15.00   65.0   64.3     11/16/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-2 S   -2.000.00   68.20   10.00   73.27   65.0   44.1     11/19/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-3 B   1.528.00   61.45   10.00   73.27   65.0   22.6     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-3 B   1.528.00   61.45   10.00   51.45   65.0   22.6     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-3 B   1.528.00   61.45   10.00   63.92   65.0   22.6     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-3 B   1.528.00   61.45   10.00   63.92   65.0   22.6     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-3 B   1.528.00   75.90   10.00   63.92   65.0   22.6     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-3 B   7.280.00   75.90   10.00   63.92   65.0   22.6     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-3 B   7.280.00   75.90   10.00   63.92   65.0   22.6     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-3 B   7.280.00   75.90   10.00   63.92   65.0   22.7     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-2 B   90.00   25.00   10.00   25.00   65.0   22.7     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FACEBOOK INC CL A EXF 11-2 B   90.00   25.00   10.00   25.00   25.00   25.00     11/20/2018 GOM30355 GOULD, PETER   FUT 100 FA	11/06/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-16 B	1,116.00	55.56	10.00	45.56	65.0	26.11
11/13/2018 OGNO30355 OGULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-16 S   -2,900.00   79.31   10.00   69.31   65.0   41.51     11/14/2018 (ORNO30355 OGULD, PETER   CALL 100 CCTY INC COM CL A EXP 11-28   980.00   53.61   10.00   43.61   65.0   9.51     11/14/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-28   980.00   53.61   10.00   43.61   65.0   24.81     11/15/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-28   980.00   68.20   10.00   58.20   65.0   66.21     11/15/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-28 S   -3,300.00   68.20   10.00   58.20   65.0   64.21     11/15/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-28 S   -3,300.00   68.20   10.00   58.20   65.0   69.20     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-30 B   1,280.00   61.45   10.00   47.90   65.0   29.90     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-30 B   1,280.00   67.30   10.00   47.90   65.0   29.90     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-30 B   1,280.00   57.30   10.00   67.90   65.0   38.00     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-30 B   1,280.00   57.30   10.00   67.90   65.0   38.00     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-30 B   1,280.00   57.30   10.00   40.03   65.0   22.00     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-30 B   1,280.00   57.30   10.00   40.03   65.0   22.00     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-2 B   90.00   25.00   10.00   40.00   65.0   62.00     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-2 B   90.00   25.00   10.00   25.00   65.0   62.00     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-2 B   90.00   25.00   10.00   25.00   65.0   62.00     11/20/2018 (ORNO30355 OGULD, PETER   DUT 100 FACEBOOK INC CL A EXP 11-2 B   90.00   25.00   30.00   30.00   30.00   30.00   30.00	11/12/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-23 B	1,200.00	56.76	10.00	46.76	65.0	26.89
ILJIA1/2018 QGW030355 GOULD, PETER   CALL 100 COTY INC COM CL A EXP 11-2 S   -250.00   30.00   10.00   20.00   65.0   9.5.5   11/15/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-2 S   980.00   53.61   10.00   43.61   65.0   24.88   ILJIA6/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-23 S   -2.000.00   68.20   10.00   58.20   65.0   65.2   11/16/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-23 S   -2.000.00   68.20   10.00   73.27   65.0   34.31   11/19/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 S   1.528.00   61.45   10.00   73.75   65.0   27.9   11/19/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   1.528.00   61.45   10.00   51.45   65.0   27.9   11/20/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   1.528.00   67.39   10.00   63.92   65.0   38.0   11/21/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   75.00   73.92   10.00   63.92   65.0   38.0   11/21/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   75.00   75.00   75.05   10.00   40.35   65.0   22.7   11/23/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   75.00   50.35   10.00   40.35   65.0   22.7   11/23/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   75.00   50.35   10.00   40.35   65.0   22.7   11/23/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   75.00   50.35   10.00   50.05   65.0   22.7   11/23/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   75.00   50.35   10.00   50.05   65.0   22.7   11/23/2018 QGW030355 GOULD, PETER   PUT 100 FACEBOOK INC CL A EXP 11-30 B   75.00   57.00   50.00	11/13/2018 QGW030355 GOULD, PETER	CALL 100 GENERAL ELECTRIC CO COM EX S	-600.00	50.40	10.00	40.40	65.0	22.76
	11/13/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-16 S	-2,900.00	79.31	10.00	69.31	65.0	41.55
11/16/2018 QGW030355 QOULD, PETER	11/14/2018 QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 11-2 S	-250.00	30.00	10.00	20.00	65.0	9.50
11/16/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-23 S -2,000.00 68.20 10.00 58.20 65.0 34.3: 11/19/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-33 S 1,528.00 61.45 10.00 73.27 65.0 44.1: 11/19/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-30 B 1,528.00 57.90 10.00 47.90 65.0 29.9: 11/20/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-30 B 1,288.00 57.90 10.00 47.90 65.0 27.6: 11/20/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-30 B 752.00 73.92 10.00 63.92 65.0 38.0: 11/21/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-30 B 752.00 50.35 10.00 40.35 65.0 22.7: 11/21/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-30 B 752.00 50.35 10.00 40.35 65.0 22.7: 11/21/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-20 B 90.00 25.00 10.00 15.00 65.0 6.2: 11/21/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-20 B 90.00 25.00 10.00 15.00 65.0 6.2: 11/21/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-20 B 90.00 25.00 10.00 15.00 65.0 65.0 62.2: 11/21/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-20 B 90.00 25.00 10.00 15.00 65.0 65.0 62.2: 11/21/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-20 B 90.00 25.00 10.00 15.00 65.0 65.0 65.0 62.2: 11/23/2018 GCH030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-20 B 90.00 25.00 10.00 15.00 65.0 65.0 65.0 65.0 65.0 65.0 65.0	11/15/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-23 B	980.00	53.61	10.00	43.61	65.0	24.85
11/19/2018 GW030355 GOULD, PETER PUT 100 FACEBOOK INC CL A EXP 11-23 S	11/16/2018 QGW030355 GOULD, PETER	CALL 100 GENERAL ELECTRIC CO COM EX B	150.00	25.00	10.00	15.00	65.0	6.25
	11/16/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-23 S	-2,000.00	68.20	10.00	58.20	65.0	34.33
11/20/2018 QGW030355 QGULD, PETER	11/19/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-23 S	-3,300.00	83.27	10.00	73.27	65.0	44.13
11/20/2018 QSW030355 GOULD, PETER	11/19/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-30 B	1,528.00	61.45	10.00	51.45	65.0	29.94
11/21/2018 QGW030355 GOULD, PETER	11/20/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-30 B	1,280.00	57.90	10.00	47.90	65.0	27.64
11/23/2018 QGW030355 GOULD, PETER   CALL 100 COTY INC COM CL A EXP 11-2 B   90.00   25.00   10.00   15.00   65.0   6.20     * OPTIONS SUBTOTAL * \$-4,549.00   \$855.73   \$170.00   \$685.73   \$386.20     * OPTIONS SUBTOTAL * \$-4,549.00   \$855.73   \$170.00   \$685.73   \$386.20     * PRODUCT CATEGORY: RIA	11/20/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-30 S	-2,400.00	73.92	10.00	63.92	65.0	38.05
**************************************	11/21/2018 QGW030355 GOULD, PETER	PUT 100 FACEBOOK INC CL A EXP 11-30 B	752.00	50.35	10.00	40.35	65.0	22.73
PRODUCT CATEGORY: RIA  10/01/2018 75502184 PRESTON, ROBERT FAS FEES PT. II/III B -1,791.12 519.42 10.00 509.42 65.0 327.61  10/01/2018 75502186 DOLE, VIVIAN FAS FEES PT. II/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 \$488.96  PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS  11/30/2018 FEE COUNT - 71 0.00 1,011.83 0.00 1,011.83 65.0 657.77  * MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$0.00 \$1,011.83 \$0.00 \$1,011.83 \$65.0 \$657.77  **** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  ADJUSTMENTS  11/30/2018 MWWOD:MISCELLANEOUS: WRITE-OFF DEBI 0.00 0.00 0.00 0.00 0.00 20.00  11/30/2018 : QUODD 0.00 0.00 0.00 0.00 0.00 0.00 1.000  11/30/2018 : COMMISSION INCOME: CSSEP 0.00 0.00 0.00 0.00 0.00 0.00 2,250.00  11/30/2018 COMMISSION INCOME: CSSEP 0.00 0.00 0.00 0.00 0.00 0.00 40.95  11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 0.00 18.66  11/30/2018 COMMISSION INCOME: REST 0.00 0.00 0.00 0.00 0.00 0.00 18.66	11/23/2018 QGW030355 GOULD, PETER	CALL 100 COTY INC COM CL A EXP 11-2 B	90.00	25.00	10.00	15.00	65.0	6.25
The color of the		* OPTIONS SUBTOTAL *	\$-4,549.00	\$855.73	\$170.00	\$685.73		\$386.23
10/01/2018 75502186 DOLE, VIVIAN	PRODUCT CATEGORY: RIA							
* RIA SUBTOTAL * \$-2,715.06 \$783.05 \$20.00 \$763.05 \$488.91  PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS  11/30/2018 FEE COUNT - 71 0.00 1,011.83 0.00 1,011.83 65.0 657.73  * MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$0.00 \$1,011.83 \$0.00 \$1,011.83 \$65.0 657.73  **** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.53  ADJUSTMENTS  11/30/2018 MWWOD:MISCELLANEOUS: WRITE-OFF DEBI 0.00 0.00 0.00 0.00 0.00 2.00  11/30/2018 COMMISSION INCOME: CSSEP 0.00 0.00 0.00 0.00 0.00 2.250.00  11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 409.56  11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 409.56  11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 409.56  11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 409.56	10/01/2018 75502184 PRESTON, ROBERT	FAS FEES PT. II/III B	-1,791.12	519.42	10.00	509.42	65.0	327.62
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS    1/30/2018	10/01/2018 75502186 DOLE, VIVIAN	FAS FEES PT. II/III B	-923.94	263.63	10.00	253.63	65.0	161.36
### BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$1,011.83 65.0 657.75  #### BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  #### BROKER TRANSACTIONS WRITE-OFF DEBI 0.00 0.00 0.00 0.00 0.00 -2.00  ##################################		* RIA SUBTOTAL *	\$-2,715.06	\$783.05	\$20.00	\$763.05		\$488.98
* MUTUAL FUND 12B1 TRAILS SUBTOTAL * \$0.00 \$1,011.83 \$0.00 \$1,011.83 \$657.77.  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.55  *** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$10,00 \$0.00	PRODUCT CATEGORY: MUTUAL FUND 12B1	TRAILS						
*** BROKER TRANSACTIONS TOTAL *** \$1,617,879.08 \$16,713.03 \$1,090.00 \$15,623.03 \$9,773.53  ADJUSTMENTS  11/30/2018	11/30/2018	FEE COUNT - 71	0.00	1,011.83	0.00	1,011.83	65.0	657.73
ADJUSTMENTS  11/30/2018		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,011.83	\$0.00	\$1,011.83		\$657.73
MWWOD:MISCELLANEOUS: WRITE-OFF DEBI 0.00 0.00 0.00 0.00 0.00 -2.00 0.1/30/2018 OTHER: REVERSE CLEARING CHG 0.00 0.00 0.00 0.00 0.00 20.00 0.1/30/2018 : QUODD 0.00 0.00 0.00 0.00 0.00 -180.89 0.1/30/2018 COMMISSION INCOME: CSSEP 0.00 0.00 0.00 0.00 0.00 2,250.00 0.1/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 409.50 0.1/30/2018 COMMISSION INCOME: NEOS 0.00 0.00 0.00 0.00 0.00 0.00 18.65		*** BROKER TRANSACTIONS TOTAL ***	\$1,617,879.08	\$16,713.03	\$1,090.00	\$15,623.03		\$9,773.51
11/30/2018 OTHER: REVERSE CLEARING CHG 0.00 0.00 0.00 0.00 0.00 20.00 11/30/2018 : QUODD 0.00 0.00 0.00 0.00 0.00 -180.81 11/30/2018 COMMISSION INCOME: CSSEP 0.00 0.00 0.00 0.00 0.00 2,250.00 11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 409.50 11/30/2018 COMMISSION INCOME: NEOS 0.00 0.00 0.00 0.00 0.00 18.65		ADJUSTME	ents					
11/30/2018 OTHER: REVERSE CLEARING CHG 0.00 0.00 0.00 0.00 0.00 20.00 11/30/2018 : QUODD 0.00 0.00 0.00 0.00 0.00 -180.81 11/30/2018 COMMISSION INCOME: CSSEP 0.00 0.00 0.00 0.00 0.00 2,250.00 11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 409.50 11/30/2018 COMMISSION INCOME: NEOS 0.00 0.00 0.00 0.00 0.00 18.65	11/30/2018	MWWOD:MISCELLANEOUS: WRITE-OFF DERI	0.00	0.00	0.00	0.00		-2.00
11/30/2018 : QUODD : QUODD : 0.00 0.00 0.00 0.00 0.00 -180.89 11/30/2018 : COMMISSION INCOME: CSSEP 0.00 0.00 0.00 0.00 0.00 2,250.00 11/30/2018 : COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 0.00 409.50 11/30/2018 : COMMISSION INCOME: NEOS 0.00 0.00 0.00 0.00 18.65	11/30/2018							20.00
11/30/2018 COMMISSION INCOME: CSSEP 0.00 0.00 0.00 0.00 2,250.00 11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 409.50 11/30/2018 COMMISSION INCOME: NEOS 0.00 0.00 0.00 0.00 18.65	11/30/2018							-180.85
11/30/2018 COMMISSION INCOME: EAST 0.00 0.00 0.00 0.00 409.50 11/30/2018 COMMISSION INCOME: NEOS 0.00 0.00 0.00 0.00 18.60	11/30/2018	<del>-</del>						2,250.00
11/30/2018 COMMISSION INCOME: NEOS 0.00 0.00 0.00 0.00 18.65	11/30/2018							409.50
	11/30/2018							18.63
	11/30/2018		0.00					1,208.27

## 12/10/2018 Page No. 5

			COMMISSION STATEMENT for	JOHN HEIDENREI	CH .				
TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
			ADJUSTME	ENTS					
11/30/2018		OTHER: 360 (	DFFICE	0.00	0.00	0.00	0.00		-12.00
11/30/2018		OTHER: COMP	LIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00		-20.00
11/30/2018		OTHER: RBC	-WEALTH STATION	0.00	0.00	0.00	0.00		-25.00
11/30/2018		OTHER: EXCHA	ANGE FEES	0.00	0.00	0.00	0.00		-54.44
		•	*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$3,612.11
						<u> </u>	BROKER COMMI	SSION	TOTALS
						Broke	r Transactions		\$9,773.51
						Spli	t Transactions		\$0.00
						Overrid	e Transactions		\$0.00
							Adjustments		\$3,612.11
							Payroll Draw		\$0.00
							Base Salary		\$0.00
						Prior	Period Balance		\$0.00
						FI	NRA Assessment		\$-20.89
						S	IPC Assessment		\$-41.78
							Check Amount		\$13,322.95

\$84,147.49

Year-to-date Earnings