

## COMMISSION STATEMENT

November 30, 2018

JAY SHARTSIS  
54 BIRCHWOOD LANEBROKER #: P82 P83 P84  
BRANCH: HOME OFFICE

HARTSDALE, NY, NY 10530

COMMISSION STATEMENT for JAY SHARTSIS

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

|            |           |                      |                                     |   |            |        |      |        |      |       |
|------------|-----------|----------------------|-------------------------------------|---|------------|--------|------|--------|------|-------|
| 10/31/2018 | QGW008872 | CINQUEMANI, FRANK    | KROGER CO (THE)                     | S | -5,829.72  | 74.00  | 6.00 | 68.00  | 50.0 | 34.00 |
| 10/31/2018 | QGW008872 | CINQUEMANI, FRANK    | TEVA PHARMACEUTICAL INDUSTRIES LIM  | S | -5,961.67  | 76.00  | 6.00 | 70.00  | 50.0 | 35.00 |
| 10/30/2018 | QGW009151 | KOBOLD, MICHAEL      | WPX ENERGY INC                      | S | -2,990.72  | 67.01  | 6.00 | 61.01  | 50.0 | 30.51 |
| 11/01/2018 | QGW009151 | KOBOLD, MICHAEL      | WPX ENERGY INC                      | B | 3,203.00   | 69.11  | 6.00 | 63.11  | 50.0 | 31.56 |
| 11/02/2018 | QGW009151 | KOBOLD, MICHAEL      | WPX ENERGY INC                      | B | 6,517.32   | 129.98 | 6.00 | 123.98 | 50.0 | 61.99 |
| 10/31/2018 | QGW009177 | -, MICHAEL KRUEGER   | MCDERMOTT INTERNATIONAL INC COMMON  | B | 3,607.25   | 50.00  | 6.00 | 44.00  | 50.0 | 22.00 |
| 11/09/2018 | QGW009177 | -, MICHAEL KRUEGER   | PROSHARES TR II ULTRA BLOOMBERG NAT | B | 8,602.00   | 50.00  | 6.00 | 44.00  | 50.0 | 22.00 |
| 11/16/2018 | QGW009292 | OSTOW, MARK          | AGIOS PHARMACEUTICALS INC           | S | -34,916.15 | 97.50  | 6.00 | 91.50  | 50.0 | 45.75 |
| 10/31/2018 | QGW009367 | SCHIFF MINOR, NICOLE | KROGER CO (THE)                     | S | -5,790.50  | 74.00  | 6.00 | 68.00  | 50.0 | 34.00 |
| 10/31/2018 | QGW009367 | SCHIFF MINOR, NICOLE | TEVA PHARMACEUTICAL INDUSTRIES LIM  | S | -5,926.05  | 74.00  | 6.00 | 68.00  | 50.0 | 34.00 |
| 10/31/2018 | QGW009490 | PARTNERSHIP, 311     | KROGER CO (THE)                     | S | -14,473.50 | 99.50  | 6.00 | 93.50  | 50.0 | 46.75 |
| 10/31/2018 | QGW009490 | PARTNERSHIP, 311     | TEVA PHARMACEUTICAL INDUSTRIES LIM  | S | -19,775.00 | 88.50  | 6.00 | 82.50  | 50.0 | 41.25 |
| 10/31/2018 | QGW009540 | CINQUEMANI, FRANK    | KROGER CO (THE)                     | S | -28,950.00 | 124.50 | 6.00 | 118.50 | 50.0 | 59.25 |
| 10/31/2018 | QGW009540 | CINQUEMANI, FRANK    | TEVA PHARMACEUTICAL INDUSTRIES LIM  | S | -19,750.10 | 88.50  | 6.00 | 82.50  | 50.0 | 41.25 |
| 10/31/2018 | QGW021420 | CINQUEMANI, FRANK    | KROGER CO (THE)                     | S | -14,465.30 | 99.50  | 6.00 | 93.50  | 50.0 | 46.75 |
| 10/31/2018 | QGW021420 | CINQUEMANI, FRANK    | TEVA PHARMACEUTICAL INDUSTRIES LIM  | S | -19,765.00 | 88.50  | 6.00 | 82.50  | 50.0 | 41.25 |
| 10/31/2018 | QGW021461 | BURNS, RHONDIE       | AMARIN CORPORATION PLC SPONSORED AD | S | -10,342.20 | 97.50  | 6.00 | 91.50  | 50.0 | 45.75 |
| 11/13/2018 | QGW021461 | BURNS, RHONDIE       | ACHILLION PHARMACEUTICALS INC       | B | 2,814.90   | 118.07 | 6.00 | 112.07 | 50.0 | 56.04 |

\* STOCKS SUBTOTAL \*

\$-164,191.44

\$1,566.17

\$108.00

\$1,458.17

\$729.10

PRODUCT CATEGORY: OPTIONS

|            |           |                    |                                     |   |           |        |       |        |      |          |
|------------|-----------|--------------------|-------------------------------------|---|-----------|--------|-------|--------|------|----------|
| 11/06/2018 | QGW009094 | KANTO, WILLIAM     | PUT 100 SPDR S&P 500 ETF TR TR UNIT | S | -6,166.00 | 111.15 | 7.00  | 104.15 | 50.0 | 52.08    |
| 11/13/2018 | QGW009094 | KANTO, WILLIAM     | PUT 100 ISHARES TR S&P 500 VALUE ET | S | -5,400.00 | 98.50  | 7.00  | 91.50  | 50.0 | 45.75    |
| 11/28/2018 | QGW009094 | KANTO, WILLIAM     | PUT 100 SPDR S&P 500 ETF TR TR UNIT | S | -6,952.00 | 74.50  | 7.00  | 67.50  | 50.0 | 33.75    |
| 11/28/2018 | QGW009094 | KANTO, WILLIAM     | PUT 100 SPDR S&P 500 ETF TR TR UNIT | S | 6,952.00  | -74.50 | -7.00 | -67.50 | 50.0 | -33.75 C |
| 11/28/2018 | QGW009094 | KANTO, WILLIAM     | PUT 100 SPDR S&P 500 ETF TR TR UNIT | S | -6,952.00 | 74.50  | 7.00  | 67.50  | 50.0 | 33.75    |
| 11/02/2018 | QGW009177 | -, MICHAEL KRUEGER | CALL 100 NEWELL BRANDS INC COM EXP  | S | -700.00   | 50.00  | 7.00  | 43.00  | 50.0 | 21.50    |
| 11/05/2018 | QGW009177 | -, MICHAEL KRUEGER | PUT 100 PROSHARES TR II ULTRA BLOOM | S | -260.00   | 50.00  | 7.00  | 43.00  | 50.0 | 21.50    |
| 11/16/2018 | QGW009177 | -, MICHAEL KRUEGER | CALL 100 PROSHARES TR II ULTRA BLOO | S | -460.00   | 50.00  | 7.00  | 43.00  | 50.0 | 21.50    |
| 11/16/2018 | QGW009177 | -, MICHAEL KRUEGER | PUT 100 KIRKLAND LAKE GOLD LTD COM  | B | 531.00    | 50.00  | 7.00  | 43.00  | 50.0 | 21.50    |
| 11/16/2018 | QGW009177 | -, MICHAEL KRUEGER | PUT 100 KIRKLAND LAKE GOLD LTD COM  | S | -773.00   | 50.00  | 7.00  | 43.00  | 50.0 | 21.50    |

COMMISSION STATEMENT for JAY SHARTSIS

| 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: OPTIONS</u></b> |                               |                                       |     |                      |                     |                    |                   |      |                      |
| 11/26/2018                              | QGW009177 - , MICHAEL KRUEGER | PUT 100 PROSHARES TR II ULTRA BLOOM S |     | -380.00              | 50.00               | 7.00               | 43.00             | 50.0 | 21.50                |
| 11/27/2018                              | QGW009177 - , MICHAEL KRUEGER | CALL 100 PROSHARES TR II ULTRA BLOO S |     | -500.00              | 50.00               | 7.00               | 43.00             | 50.0 | 21.50                |
| 11/05/2018                              | QGW009292 OSTOW, MARK         | CALL 100 AMAZON COM INC EXP 11-09-1 S |     | -4,162.00            | 78.60               | 7.00               | 71.60             | 50.0 | 35.80                |
| 11/05/2018                              | QGW009292 OSTOW, MARK         | CALL 100 AMAZON COM INC EXP 11-09-1 B |     | 830.00               | 50.00               | 7.00               | 43.00             | 50.0 | 21.50                |
| 11/07/2018                              | QGW009292 OSTOW, MARK         | CALL 100 AMAZON COM INC EXP 11-09-1 S |     | -5,300.00            | 80.73               | 7.00               | 73.73             | 50.0 | 36.87                |
| 11/09/2018                              | QGW009292 OSTOW, MARK         | CALL 100 AMAZON COM INC EXP 11-09-1 B |     | 14,700.00            | 161.46              | 7.00               | 154.46            | 50.0 | 77.23                |
| 11/09/2018                              | QGW009292 OSTOW, MARK         | CALL 100 AMAZON COM INC EXP 11-23-1 S |     | -3,623.00            | 60.07               | 7.00               | 53.07             | 50.0 | 26.54                |
| 11/12/2018                              | QGW009292 OSTOW, MARK         | CALL 100 AMAZON COM INC EXP 11-23-1 B |     | 1,220.00             | 50.00               | 7.00               | 43.00             | 50.0 | 21.50                |
| <b>* OPTIONS SUBTOTAL *</b>             |                               |                                       |     | <b>\$-17,395.00</b>  | <b>\$1,115.01</b>   | <b>\$112.00</b>    | <b>\$1,003.01</b> |      | <b>\$501.52</b>      |

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

|   |  |               |  |                      |                   |                 |                   |      |                   |
|---|--|---------------|--|----------------------|-------------------|-----------------|-------------------|------|-------------------|
| 11/30/2018                                  |  | FEE COUNT - 2 |  | 0.00                 | 46.24             | 0.00            | 46.24             | 50.0 | 23.12             |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> |  |               |  | <b>\$0.00</b>        | <b>\$46.24</b>    | <b>\$0.00</b>   | <b>\$46.24</b>    |      | <b>\$23.12</b>    |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>    |  |               |  | <b>\$-181,586.44</b> | <b>\$2,727.42</b> | <b>\$220.00</b> | <b>\$2,507.42</b> |      | <b>\$1,253.74</b> |

**ADJUSTMENTS**

|                                  |  |                                  |  |               |               |               |               |  |                |
|----------------------------------|--|----------------------------------|--|---------------|---------------|---------------|---------------|--|----------------|
| 11/30/2018                       |  | MISCELLANEOUS: TELEPHONE         |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -26.75         |
| 11/30/2018                       |  | OTHER: 360 OFFICE                |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -8.00          |
| 11/30/2018                       |  | OTHER: COMPLIANCE AND TECHNOLOGY |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -20.00         |
| 11/30/2018                       |  | OTHER: CBOE                      |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -250.00        |
| 11/30/2018                       |  | OTHER: EXCHANGE FEES             |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -96.36         |
| 11/30/2018                       |  | OTHER: QUODD                     |  | 0.00          | 0.00          | 0.00          | 0.00          |  | -65.88         |
| 11/30/2018                       |  | OTHER: SALARY                    |  | 0.00          | 0.00          | 0.00          | 0.00          |  | 500.00         |
| <b>*** ADJUSTMENTS TOTAL ***</b> |  |                                  |  | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> |  | <b>\$33.01</b> |

**BROKER COMMISSION TOTALS**

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$1,253.74 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$33.01    |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$-3.41    |
| SIPC Assessment       | \$-6.82    |

|                              |                    |
|------------------------------|--------------------|
| <b>Check Amount</b>          | <b>\$1,276.52</b>  |
| <b>Year-to-date Earnings</b> | <b>\$14,105.28</b> |