

COMMISSION STATEMENT

November 30, 2018

RICHARD BELZ
40 Wall Street

BROKER #: C40 C42
BRANCH: HOME OFFICE

New York, NY 10005

COMMISSION STATEMENT for RICHARD BELZ

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

11/09/2018 (None)	Client Not Found	FRANKLIN TEMPLETON	B	0.00	1,212.19	0.00	1,212.19	90.0	1,090.97
11/19/2018 (None)	VARIOUS, BELZ RICHARD	BALANCED A	B	0.00	1.16	0.00	1.16	90.0	1.04
11/06/2018 000000000055499	SAVELIS, LAILA	FRANKLIN TEMPLETON FUNDS 353533763	B	387.50	14.72	0.00	14.72	90.0	13.25
11/20/2018 000000000055499	SAVELIS, LAILA	FRANKLIN TEMPLETON FUNDS 353533763	B	387.50	14.72	0.00	14.72	90.0	13.25
11/06/2018 0000000000591610	VARIOUS, BELZ	FRANKLIN TEMPLETON	B	680.00	14.53	0.00	14.53	90.0	13.08
11/20/2018 0000000000591610	VARIOUS, BELZ	FRANKLIN TEMPLETON	B	680.00	14.53	0.00	14.53	90.0	13.08
10/30/2018 0000000000888774	COLEMAN,	FRK AGGRESSIVE GRWTH - CL A	B	108.75	3.10	0.00	3.10	90.0	2.79
11/13/2018 0000000000888774	COLEMAN,	FRK AGGRESSIVE GRWTH - CL A	B	108.75	3.10	0.00	3.10	90.0	2.79
11/06/2018 0000000002577132	OTTO, DAVID	FRANKLIN SMALL-MID CAP GROWTH FUND	B	500.00	4.75	0.00	4.75	90.0	4.28
11/20/2018 0000000002577132	OTTO, DAVID	FRANKLIN SMALL-MID CAP GROWTH FUND	B	500.00	4.75	0.00	4.75	90.0	4.28
10/30/2018 0000000004328098	COLEMAN,	FRK TEMP FOUNDING FUNDS ALLOC FND C B	B	362.50	10.34	0.00	10.34	90.0	9.31
11/13/2018 0000000004328098	COLEMAN,	FRK TEMP FOUNDING FUNDS ALLOC FND C B	B	362.50	10.34	0.00	10.34	90.0	9.31
10/30/2018 0000000004468094	COLEMAN,	MUTUAL DISC FND - CL A	B	145.00	4.13	0.00	4.13	90.0	3.72
11/13/2018 0000000004468094	COLEMAN,	MUTUAL DISC FND - CL A	B	145.00	4.13	0.00	4.13	90.0	3.72
11/07/2018 0000000005055304	SULLIVAN,	MUTUAL DISC FND - CL A	B	125.00	5.94	0.00	5.94	90.0	5.35
11/20/2018 0000000005055304	SULLIVAN,	MUTUAL DISC FND - CL A	B	125.00	5.94	0.00	5.94	90.0	5.35
11/06/2018 000010186458322	VARIOUS, BELZ	FRANKLIN U.S. GOVERNMENT SECURITIES	B	170.00	3.64	0.00	3.64	90.0	3.28
11/20/2018 000010186458322	VARIOUS, BELZ	FRANKLIN U.S. GOVERNMENT SECURITIES	B	170.00	3.64	0.00	3.64	90.0	3.28
11/06/2018 000015813591680	SAVELIS, LAILA	FRANKLIN RISING DIVIDENDS FD CLASS	B	387.50	14.72	0.00	14.72	90.0	13.25
11/20/2018 000015813591680	SAVELIS, LAILA	FRANKLIN RISING DIVIDENDS FD CLASS	B	387.50	14.72	0.00	14.72	90.0	13.25
10/30/2018 000019411906629	COLEMAN,	FRK STRAT INC FND - CL A	B	108.75	3.10	0.00	3.10	90.0	2.79
11/13/2018 000019411906629	COLEMAN,	FRK STRAT INC FND - CL A	B	108.75	3.10	0.00	3.10	90.0	2.79
11/07/2018 000090230176100	SULLIVAN,	FRANKLIN INCOME FUND CLASS A	B	125.00	4.75	0.00	4.75	90.0	4.28
11/20/2018 000090230176100	SULLIVAN,	FRANKLIN INCOME FUND CLASS A	B	125.00	4.75	0.00	4.75	90.0	4.28
11/05/2018 00056956375	FERRADO, MICHAEL	AMCAP FUND-A	B	400.00	16.15	0.00	16.15	90.0	14.54
11/09/2018 00061842239	SCHENK, STEVEN	AMCAP FUND-A	B	100.00	3.56	0.00	3.56	90.0	3.20
11/08/2018 00064802351	SCHENK, ERIC	THE GROWTH FUND OF AMERICA-A	B	30.00	1.07	0.00	1.07	90.0	0.96
11/08/2018 00064818808	SCHENK, ERIC	AMCAP FUND-A	B	23.00	0.82	0.00	0.82	90.0	0.74
10/29/2018 00075280585	MILLER, SAMANTHA	AMERICAN BALANCED FUND-A	B	225.00	5.88	0.00	5.88	90.0	5.29
10/29/2018 00075280585	MILLER, SAMANTHA	THE GROWTH FUND OF AMERICA-A	B	225.00	5.88	0.00	5.88	90.0	5.29
11/13/2018 00075280585	MILLER, SAMANTHA	AMERICAN BALANCED FUND-A	B	225.00	5.88	0.00	5.88	90.0	5.29

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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: MUTUAL FUNDS										
11/13/2018	00075280585	MILLER, SAMANTHA	THE GROWTH FUND OF AMERICA-A	B	225.00	5.88	0.00	5.88	90.0	5.29
11/23/2018	00075280585	MILLER, SAMANTHA	AMERICAN BALANCED FUND-A	B	225.00	5.88	0.00	5.88	90.0	5.29
11/23/2018	00075280585	MILLER, SAMANTHA	THE GROWTH FUND OF AMERICA-A	B	225.00	5.88	0.00	5.88	90.0	5.29
11/15/2018	00084040075	WILLIAMS, ALYSSA	CAPITAL WORLD GROWTH AND INCOME FUN	B	10.00	0.41	0.00	0.41	90.0	0.37
11/15/2018	00084040075	WILLIAMS, ALYSSA	WASHINGTON MUTUAL INVESTORS FUND-A	B	10.00	0.41	0.00	0.41	90.0	0.37
11/15/2018	00088094822	WILLIAMS, ALYSSA	GLOBAL BALANCED FUND-C	B	15.00	0.14	0.00	0.14	90.0	0.13
10/29/2018	00089866552	UNTIL AGE 21,	AMCAP FUND-A	B	50.00	1.79	0.00	1.79	90.0	1.61
11/13/2018	00453533309	BURNS, KATHLEEN	PUTNAM 746933100	B	150.00	3.92	0.00	3.92	90.0	3.53
11/13/2018	00453533309	BURNS, KATHLEEN	PUTNAM GLOBAL CUSTOMER FUND CLASS A	B	150.00	3.92	0.00	3.92	90.0	3.53
11/12/2018	00487862253	PERUGINI, MILDRED	PUTNAM 746745108	B	100.00	2.61	0.00	2.61	90.0	2.35
11/12/2018	00487862253	PERUGINI, MILDRED	PUTNAM 746802800	B	150.00	3.92	0.00	3.92	90.0	3.53
11/12/2018	00487862253	PERUGINI, MILDRED	PUTNAM NEW OPPORTUNITIES FUND CLASS	B	150.00	3.92	0.00	3.92	90.0	3.53
11/16/2018	00493247534	PLAN	PUTNAM 74680E101	B	150.00	5.35	0.00	5.35	90.0	4.82
10/22/2018	00501256730	KUNSCH, STEPHEN	PUTNAM 746802800	B	100.00	4.75	0.00	4.75	90.0	4.28
11/05/2018	00501256730	KUNSCH, STEPHEN	PUTNAM 746802800	B	100.00	4.75	0.00	4.75	90.0	4.28
10/22/2018	00503977532	SCHAEFER, DOREEN	PUTNAM GLOBAL EQUITY FUND CLASS A	B	25.00	1.19	0.00	1.19	90.0	1.07
10/22/2018	00503977532	SCHAEFER, DOREEN	PUTNAM MULTI-CAP CORE FUND-A	B	25.00	1.19	0.00	1.19	90.0	1.07
11/05/2018	00503977532	SCHAEFER, DOREEN	PUTNAM GLOBAL EQUITY FUND CLASS A	B	25.00	1.19	0.00	1.19	90.0	1.07
11/05/2018	00503977532	SCHAEFER, DOREEN	PUTNAM MULTI-CAP CORE FUND-A	B	25.00	1.19	0.00	1.19	90.0	1.07
11/13/2018	00514953902	STELLATO, BRIAN	PUTNAM GLOBAL EQUITY FUND CLASS A	B	100.00	3.56	0.00	3.56	90.0	3.20
11/13/2018	00514953902	STELLATO, BRIAN	PUTNAM MULTI-CAP CORE FUND-A	B	100.00	3.56	0.00	3.56	90.0	3.20
10/22/2018	00515030771	ONORATO, LAURA	PUTNAM 746933100	B	301.00	7.87	0.00	7.87	90.0	7.08
10/22/2018	00515030771	ONORATO, LAURA	PUTNAM GLOBAL CUSTOMER FUND CLASS A	B	203.00	5.30	0.00	5.30	90.0	4.77
10/22/2018	00515030771	ONORATO, LAURA	PUTNAM-746764109	B	196.00	5.12	0.00	5.12	90.0	4.61
11/16/2018	00550827572	PLAN	PUTNAM 74680E101	B	150.00	5.35	0.00	5.35	90.0	4.82
11/13/2018	00551218283	C GARRUPPO,	PUTNAM 746802800	B	25.00	1.19	0.00	1.19	90.0	1.07
11/13/2018	00551218283	C GARRUPPO,	PUTNAM 746763200	B	50.00	2.37	0.00	2.37	90.0	2.13
11/13/2018	00551218283	C GARRUPPO,	PUTNAM-746764109	B	25.00	1.19	0.00	1.19	90.0	1.07
10/22/2018	00551279988	AZZATO, JOSEPH	PUTNAM 746745108	B	125.00	5.94	0.00	5.94	90.0	5.35
10/22/2018	00551279988	AZZATO, JOSEPH	PUTNAM 746933100	B	100.00	4.75	0.00	4.75	90.0	4.28
10/22/2018	00551279988	AZZATO, JOSEPH	PUTNAM 746802800	B	125.00	5.94	0.00	5.94	90.0	5.35
10/22/2018	00551279988	AZZATO, JOSEPH	PUTNAM-746764109	B	150.00	7.12	0.00	7.12	90.0	6.41
11/05/2018	00551279988	AZZATO, JOSEPH	PUTNAM 746745108	B	125.00	5.94	0.00	5.94	90.0	5.35
11/05/2018	00551279988	AZZATO, JOSEPH	PUTNAM 746933100	B	100.00	4.75	0.00	4.75	90.0	4.28
11/05/2018	00551279988	AZZATO, JOSEPH	PUTNAM 746802800	B	125.00	5.94	0.00	5.94	90.0	5.35
11/05/2018	00551279988	AZZATO, JOSEPH	PUTNAM-746764109	B	150.00	7.12	0.00	7.12	90.0	6.41
11/13/2018	00551371986	ROSSO, RONALD	PUTNAM 746747104	B	25.00	1.19	0.00	1.19	90.0	1.07
11/13/2018	00551371986	ROSSO, RONALD	PUTNAM 746802800	B	40.00	1.90	0.00	1.90	90.0	1.71
11/13/2018	00551371986	ROSSO, RONALD	PUTNAM SMALL CAP GROWTH FUND CLASS	B	35.00	1.66	0.00	1.66	90.0	1.49
11/06/2018	01000144893	VARIOUS, BELZ	OPPENHEIMER 683793400	B	0.00	1,060.53	0.00	1,060.53	90.0	954.48

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/26/2018	01000144893	VARIOUS, BELZ							
		OPPENHEIMER 683793400	B	0.00	990.63	0.00	990.63	90.0	891.57
		* MUTUAL FUNDS SUBTOTAL *		\$11,588.00	\$3,617.24	\$0.00	\$3,617.24		\$3,255.61
<u>PRODUCT CATEGORY: STOCKS</u>									
11/28/2018	QGW033375	AMENITA, PATRICIA							
		BLUE BIRD CORPORATION COM	S	-1,716.26	33.25	11.40	21.85	90.0	18.53
11/12/2018	QGW034415	CHAIMOVITCH, BERNARD							
		BLUE BIRD CORPORATION COM	S	-1,744.47	28.50	11.40	17.10	90.0	14.25
11/23/2018	QGW035107	SABATELLO, RAYMOND							
		SACHEM CAPITAL CORP COMMON SHARES	B	18,078.00	437.00	11.40	425.60	90.0	381.90
11/27/2018	QGW035107	SABATELLO, RAYMOND							
		SACHEM CAPITAL CORP COMMON SHARES	B	21,222.00	513.00	11.40	501.60	90.0	450.30
11/27/2018	QGW035115	SMITH, SUSAN							
		BLUE BIRD CORPORATION COM	S	-1,746.10	28.50	11.40	17.10	90.0	14.25
11/27/2018	QGW035115	SMITH, SUSAN							
		NINTENDO CO LTD-ADR NEW	S	-10,804.05	52.25	11.40	40.85	90.0	35.63
11/12/2018	QGW035123	BOWLEY, KEVIN							
		COHERUS BIOSCIENCES INC COM	B	18,000.00	220.59	11.40	209.19	90.0	187.13
11/16/2018	QGW035123	BOWLEY, KEVIN							
		BLUE BIRD CORPORATION COM	S	-1,741.40	33.25	11.40	21.85	90.0	18.53
11/16/2018	QGW035172	O'NEILL, RORY							
		APPLE INC	B	40,500.00	338.58	11.40	327.18	90.0	293.32
11/21/2018	QGW035206	SKAHILL, ROBERT							
		ARCONIC INC COM	S	-13,517.60	104.50	11.40	93.10	90.0	82.65
11/21/2018	QGW035206	SKAHILL, ROBERT							
		BLUE BIRD CORPORATION COM	S	-1,727.73	33.25	11.40	21.85	90.0	18.53
11/14/2018	QGW035255	BROCHARD, MARIA							
		APPLE INC	B	41,000.00	342.76	11.40	331.36	90.0	297.08
11/19/2018	QGW035271	SPECTOR, LES							
		SACHEM CAPITAL CORP COMMON SHARES	B	3,289.50	47.50	11.40	36.10	90.0	31.35
11/19/2018	QGW035289	SPECTOR, VICTORIA							
		ALCOA CORPORATION COMMON STOCK	S	-11,090.13	71.25	11.40	59.85	90.0	52.73
11/19/2018	QGW035289	SPECTOR, VICTORIA							
		BLUE BIRD CORPORATION COM	S	-1,740.70	33.25	11.40	21.85	90.0	18.53
11/27/2018	QGW035289	SPECTOR, VICTORIA							
		SACHEM CAPITAL CORP COMMON SHARES	B	17,325.00	427.50	11.40	416.10	90.0	373.35
11/12/2018	QGW035396	MOYNIHAN, MICHAEL							
		COHERUS BIOSCIENCES INC COM	B	15,000.00	183.82	11.40	172.42	90.0	154.04
11/14/2018	QGW035396	MOYNIHAN, MICHAEL							
		BANK OF AMERICA CORP	B	23,200.00	242.44	11.40	231.04	90.0	206.80
11/16/2018	QGW035396	MOYNIHAN, MICHAEL							
		BANK OF AMERICA CORP	B	20,300.00	212.13	11.40	200.73	90.0	179.52
11/12/2018	QGW035404	RICCA, MARIA							
		BLUE BIRD CORPORATION COM	S	-1,743.56	33.25	11.40	21.85	90.0	18.53
11/28/2018	QGW035412	AMENITA, PATRICIA							
		BLUE BIRD CORPORATION COM	S	-1,716.26	33.25	11.40	21.85	90.0	18.53
11/16/2018	QGW035511	LYDEN, MARY							
		BLUE BIRD CORPORATION COM	S	-1,743.99	33.25	11.40	21.85	90.0	18.53
11/27/2018	QGW035537	LYDEN, MARY							
		BLUE BIRD CORPORATION COM	S	-1,719.13	42.75	11.40	31.35	90.0	27.08
11/28/2018	QGW035560	AMENITA, FREDERICK							
		BLUE BIRD CORPORATION COM	S	-1,716.26	33.25	11.40	21.85	90.0	18.53
11/14/2018	QGW035594	DUSATKO, ANNE							
		BANK OF AMERICA CORP	B	58,000.00	341.62	11.40	330.22	90.0	296.06
11/16/2018	QGW035594	DUSATKO, ANNE							
		APPLE INC	B	40,500.00	338.58	11.40	327.18	90.0	293.32
11/19/2018	QGW035610	DAVIS, VICTORIA							
		BLUE BIRD CORPORATION COM	S	-1,745.03	38.00	11.40	26.60	90.0	22.80
11/19/2018	QGW035628	SPECTOR, VICTORIA							
		ALTRA INDL MOTION CORP COM	S	-6,023.35	47.50	11.40	36.10	90.0	31.35
11/14/2018	QGW035644	MONGELUZZI, LINDA							
		BANK OF AMERICA CORP	B	58,000.00	341.62	11.40	330.22	90.0	296.06
11/15/2018	QGW035644	MONGELUZZI, LINDA							
		BLUE BIRD CORPORATION COM	S	-1,755.98	33.25	11.40	21.85	90.0	18.53
11/28/2018	QGW035644	MONGELUZZI, LINDA							
		GLOBAL NET LEASE INC COM	B	20,200.00	0.00	11.40	-11.40	90.0	-11.40
11/19/2018	QGW035651	YONGE, DAVID							
		BLUE BIRD CORPORATION COM	S	-1,744.17	19.00	11.40	7.60	90.0	5.70
11/16/2018	QGW035669	KOLLAR, ROBERT							
		BLUE BIRD CORPORATION COM	S	-1,729.00	31.35	11.40	19.95	90.0	16.82
11/16/2018	QGW035677	KOLLAR, MAURA							
		BLUE BIRD CORPORATION COM	S	-1,728.14	31.35	11.40	19.95	90.0	16.82
11/27/2018	QGW035677	KOLLAR, MAURA							
		SACHEM CAPITAL CORP COMMON SHARES	B	2,849.00	47.50	11.40	36.10	90.0	31.35
11/12/2018	QGW035685	EICHENHOLZ, SONDRA							
		BLUE BIRD CORPORATION COM	S	-1,740.31	28.50	11.40	17.10	90.0	14.25

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
11/12/2018	QGW035685	EICHENHOLZ, SONDRA	SACHEM CAPITAL CORP COMMON SHARES	S	-4,130.00	35.62	11.40	24.22	90.0	20.66
11/14/2018	QGW035685	EICHENHOLZ, SONDRA	BANK OF AMERICA CORP	B	43,500.00	363.66	11.40	352.26	90.0	315.89
11/16/2018	QGW035701	SZARKA, MICHAEL	BLUE BIRD CORPORATION COM	S	-1,736.22	31.35	11.40	19.95	90.0	16.82
11/28/2018	QGW035701	SZARKA, MICHAEL	MYND ANALYTICS INC COMMON STOCK	S	-1,053.85	38.00	11.40	26.60	90.0	22.80
11/28/2018	QGW035727	HERDTER, CYNTHIA	BLUE BIRD CORPORATION COM	S	-1,716.26	33.25	11.40	21.85	90.0	18.53
11/16/2018	QGW035735	STELLATO, MICHAEL	BANK OF AMERICA CORP	B	60,000.00	353.40	11.40	342.00	90.0	306.66
11/12/2018	QGW035768	MASSA, PATRICIA	COHERUS BIOSCIENCES INC COM	B	15,000.00	183.82	11.40	172.42	90.0	154.04
11/16/2018	QGW035768	MASSA, PATRICIA	COHERUS BIOSCIENCES INC COM	B	7,500.00	103.31	11.40	91.91	90.0	81.58
11/16/2018	QGW035776	ZIMMERMAN, FRANCINE	APPLE INC	B	39,000.00	326.04	11.40	314.64	90.0	282.04
11/28/2018	QGW035776	ZIMMERMAN, FRANCINE	BLUE BIRD CORPORATION COM	S	-1,716.26	33.25	11.40	21.85	90.0	18.53
11/28/2018	QGW035776	ZIMMERMAN, FRANCINE	GLOBAL NET LEASE INC COM	B	18,180.00	0.00	11.40	-11.40	90.0	-11.40
11/16/2018	QGW035784	SHEEHAN, DAVID	BLUE BIRD CORPORATION COM	S	-1,736.88	31.35	11.40	19.95	90.0	16.82
11/28/2018	QGW035784	SHEEHAN, DAVID	GLOBAL NET LEASE INC COM	B	16,160.00	0.00	11.40	-11.40	90.0	-11.40
11/16/2018	QGW035800	SHEEHAN, MARY	BLUE BIRD CORPORATION COM	S	-1,736.28	86.45	11.40	75.05	90.0	66.41
11/12/2018	QGW035834	CHAUDHRY, JAHANZEB	BLUE BIRD CORPORATION COM	S	-1,756.05	33.25	11.40	21.85	90.0	18.53
11/27/2018	QGW035834	CHAUDHRY, JAHANZEB	SACHEM CAPITAL CORP COMMON SHARES	B	10,367.36	152.30	11.40	140.90	90.0	125.67
11/12/2018	QGW035842	SZABO, JOSEPH	ALTRA INDL MOTION CORP COM	S	-6,387.86	33.25	11.40	21.85	90.0	18.53
11/13/2018	QGW035842	SZABO, JOSEPH	SACHEM CAPITAL CORP COMMON SHARES	S	-8,220.00	61.75	11.40	50.35	90.0	44.18
11/13/2018	QGW035859	SZABO, JOSEPH	BLUE BIRD CORPORATION COM	S	-1,754.17	38.00	11.40	26.60	90.0	22.80
11/13/2018	QGW035859	SZABO, JOSEPH	SACHEM CAPITAL CORP COMMON SHARES	S	-8.26	0.00	11.40	-11.40	90.0	-11.40
11/14/2018	QGW035891	DICKIE, JAYNE	BANK OF AMERICA CORP	B	29,000.00	303.05	11.40	291.65	90.0	261.35
11/14/2018	QGW035982	PANASUK, JOHN	BANK OF AMERICA CORP	B	58,000.00	341.62	11.40	330.22	90.0	296.06
11/16/2018	QGW035982	PANASUK, JOHN	COHERUS BIOSCIENCES INC COM	B	15,000.00	183.82	11.40	172.42	90.0	154.04
11/19/2018	QGW035982	PANASUK, JOHN	BLUE BIRD CORPORATION COM	S	-1,743.36	38.00	11.40	26.60	90.0	22.80
11/13/2018	QGW035990	HERDTER, RICHARD	BLUE BIRD CORPORATION COM	S	-1,751.56	42.75	11.40	31.35	90.0	27.08
11/28/2018	QGW036006	WALLNER, ERIC	GLOBAL NET LEASE INC COM	B	16,160.00	0.00	11.40	-11.40	90.0	-11.40
11/16/2018	QGW036030	BALLO, CATHERINE	COHERUS BIOSCIENCES INC COM	B	15,000.00	183.82	11.40	172.42	90.0	154.04
11/19/2018	QGW036030	BALLO, CATHERINE	BLUE BIRD CORPORATION COM	S	-1,746.34	33.25	11.40	21.85	90.0	18.53
11/28/2018	QGW036055	MATACOTTA, CORINNA	GLOBAL NET LEASE INC COM	B	20,200.00	0.00	11.40	-11.40	90.0	-11.40
11/15/2018	QGW036071	HENNEMANN, DENNIS	BLUE BIRD CORPORATION COM	S	-1,752.92	33.25	11.40	21.85	90.0	18.53
11/16/2018	QGW036154	CALLAHAN, PATRICK	BLUE BIRD CORPORATION COM	S	-1,718.09	28.50	11.40	17.10	90.0	14.25
11/08/2018	QGW036329	WOLF, KIM	ALPHABET INC CLASS C CAPITAL STOCK	S	-27,031.96	76.69	11.40	65.29	90.0	57.62
11/08/2018	QGW036329	WOLF, KIM	ALTRA INDL MOTION CORP COM	S	-7,585.31	131.70	11.40	120.30	90.0	107.13
11/08/2018	QGW036329	WOLF, KIM	APPLE INC	S	-25,007.56	136.79	11.40	125.39	90.0	111.71
11/08/2018	QGW036329	WOLF, KIM	COHERUS BIOSCIENCES INC COM	S	-17,984.10	311.32	11.40	299.92	90.0	268.79
11/08/2018	QGW036329	WOLF, KIM	GWG HLDGS INC COM	S	-14,435.00	320.83	11.40	309.43	90.0	277.35
11/08/2018	QGW036329	WOLF, KIM	PAYPAL HOLDINGS INC COM	S	-44,239.85	383.47	11.40	372.07	90.0	333.72
11/08/2018	QGW036329	WOLF, KIM	SACHEM CAPITAL CORP COMMON SHARES	S	-52,097.50	1,026.97	11.40	1,015.57	90.0	912.87
11/16/2018	QGW036337	FARREN, JOSEPHINE	BLUE BIRD CORPORATION COM	S	-1,742.21	33.25	11.40	21.85	90.0	18.53
11/23/2018	QGW036956	BROCHARD, THOMAS	BLUE BIRD CORPORATION COM	S	-1,749.00	33.25	11.40	21.85	90.0	18.53

COMMISSION STATEMENT for RICHARD BELZ

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>									
11/12/2018	QGW037103	BURNS, KATHLEEN							
		COHERUS BIOSCIENCES INC COM	B	22,500.00	235.12	11.40	223.72	90.0	200.21
11/14/2018	QGW037103	BURNS, KATHLEEN							
		BANK OF AMERICA CORP	B	43,500.00	363.66	11.40	352.26	90.0	315.89
11/19/2018	QGW038531	MUSSLER, LINDA							
		BLUE BIRD CORPORATION COM	S	-1,730.22	33.25	11.40	21.85	90.0	18.53
11/12/2018	QGW038556	LAPINTA, LEONARD							
		COHERUS BIOSCIENCES INC COM	B	15,000.00	183.82	11.40	172.42	90.0	154.04
11/14/2018	QGW038556	LAPINTA, LEONARD							
		BANK OF AMERICA CORP	B	58,000.00	341.62	11.40	330.22	90.0	296.06
11/12/2018	QGW038960	ROMANO, LOUIS							
		COHERUS BIOSCIENCES INC COM	B	22,500.00	235.12	11.40	223.72	90.0	200.21
11/15/2018	QGW038978	KMIECIAK, INES							
		BLUE BIRD CORPORATION COM	S	-1,753.57	33.25	11.40	21.85	90.0	18.53
11/15/2018	QGW039026	WOLF, KIM							
		BLUE BIRD CORPORATION COM	S	-1,729.71	47.50	11.40	36.10	90.0	31.35
11/15/2018	QGW039026	WOLF, KIM							
		SACHEM CAPITAL CORP COMMON SHARES	S	-38,769.19	846.22	11.40	834.82	90.0	750.20
11/19/2018	QGW039083	SIMMONS, RICHARD							
		BLUE BIRD CORPORATION COM	S	-1,729.34	33.25	11.40	21.85	90.0	18.53
11/20/2018	QGW039091	CITARELLA, FRANK							
		ALTRA INDL MOTION CORP COM	S	-6,820.91	52.25	11.40	40.85	90.0	35.63
11/20/2018	QGW039091	CITARELLA, FRANK							
		BLUE BIRD CORPORATION COM	S	-1,726.07	47.50	11.40	36.10	90.0	31.35
11/28/2018	QGW039125	WHITE, KERRY							
		BLUE BIRD CORPORATION COM	S	-1,752.94	33.25	11.40	21.85	90.0	18.53
11/15/2018	QGW039216	MCCARTHY, MARCIA							
		BLUE BIRD CORPORATION COM	S	-1,759.59	33.25	11.40	21.85	90.0	18.53
11/15/2018	QGW039570	KMIECIAK, STEFANIA							
		BLUE BIRD CORPORATION COM	S	-1,752.51	33.25	11.40	21.85	90.0	18.53
11/16/2018	QGW039596	FARRELLY, JOSEPH							
		RESIDEO TECHNOLOGIES INC COM	B	33,750.00	282.15	11.40	270.75	90.0	242.54
11/14/2018	QGW039612	DUSATKO, FRANK							
		BANK OF AMERICA CORP	B	8,700.00	119.84	11.40	108.44	90.0	96.46
11/16/2018	QGW039612	DUSATKO, FRANK							
		BANK OF AMERICA CORP	B	49,300.00	412.15	11.40	400.75	90.0	359.54
11/16/2018	QGW039612	DUSATKO, FRANK							
		BLUE BIRD CORPORATION COM	S	-1,741.74	33.25	11.40	21.85	90.0	18.53
11/23/2018	QGW039612	DUSATKO, FRANK							
		ROKU INC CLASS A COMMON STOCK	B	40,000.00	334.40	11.40	323.00	90.0	289.56
11/28/2018	QGW039646	DUSATKO, FRANK							
		GLOBAL NET LEASE INC COM	B	10,100.00	0.00	11.40	-11.40	90.0	-11.40
11/12/2018	QGW039752	RICCA, CARLO							
		BLUE BIRD CORPORATION COM	S	-1,740.60	33.25	11.40	21.85	90.0	18.53
11/12/2018	QGW039752	RICCA, CARLO							
		SACHEM CAPITAL CORP COMMON SHARES	S	-8,260.00	71.25	11.40	59.85	90.0	52.73
11/16/2018	QGW039885	CORTESE, ROCCO							
		INTERNATIONAL BUSINESS MACHINES COR B	B	24,400.00	254.98	11.40	243.58	90.0	218.08
11/28/2018	QGW039885	CORTESE, ROCCO							
		APPLE INC	B	21,000.00	219.45	11.40	208.05	90.0	186.11
11/23/2018	QGW040008	CARUSO, MICHAEL							
		BLUE BIRD CORPORATION COM	S	-1,749.37	28.50	11.40	17.10	90.0	14.25
11/16/2018	QGW040081	CAUSIN, LAURENCE							
		BLUE BIRD CORPORATION COM	S	-1,729.05	33.25	11.40	21.85	90.0	18.53
11/14/2018	QGW040206	PANASUK, JOHN							
		APPLE INC	B	41,000.00	342.76	11.40	331.36	90.0	297.08
11/16/2018	QGW040206	PANASUK, JOHN							
		RESIDEO TECHNOLOGIES INC COM	B	22,500.00	235.12	11.40	223.72	90.0	200.21
11/19/2018	QGW040206	PANASUK, JOHN							
		SACHEM CAPITAL CORP COMMON SHARES	B	21,006.00	501.60	11.40	490.20	90.0	440.04
11/27/2018	QGW040206	PANASUK, JOHN							
		SACHEM CAPITAL CORP COMMON SHARES	B	13,860.00	334.40	11.40	323.00	90.0	289.56
11/28/2018	QGW040214	LAPINTA, LEONARD							
		BLUE BIRD CORPORATION COM	S	-1,751.04	33.25	11.40	21.85	90.0	18.53
* STOCKS SUBTOTAL *				\$827,680.54	\$16,259.63	\$1,231.20	\$15,028.43		\$13,402.70
<u>PRODUCT CATEGORY: BONDS</u>									
11/21/2018	(None)	VARIOUS, BELZ RICHARD							
		GWG BONDS	B	0.00	2,778.75	11.40	2,767.35	90.0	2,489.48
* BONDS SUBTOTAL *				\$0.00	\$2,778.75	\$11.40	\$2,767.35		\$2,489.48

COMMISSION STATEMENT for RICHARD BELZ

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>									
11/08/2018	QGV890403 RF LAFFERTY & CO	CALL 100 BANK OF AMERICA CORPORATIO S		-430.00	38.00	13.77	24.23	90.0	20.43
11/08/2018	QGV890403 RF LAFFERTY & CO	CALL 100 BANK OF AMERICA CORPORATIO S		430.00	-38.00	-13.77	-24.23	90.0	-20.43 C
11/12/2018	QGW033441 MURPHY, BREANNE	CALL 100 KRATOS DEFENSE & SEC SOLUT S		-200.00	18.05	13.77	4.28	90.0	2.48
11/13/2018	QGW033441 MURPHY, BREANNE	PUT 100 VUZIX CORP COM NEW EXP 12-2 S		-500.00	41.80	16.15	25.65	90.0	21.47
11/21/2018	QGW035107 SABATELLO, RAYMOND	PUT 100 RESIDEO TECHNOLOGIES INC CO S		-1,150.00	94.05	13.77	80.28	90.0	70.88
11/06/2018	QGW035172 O'NEILL, RORY	PUT 100 APPLE INC COM EXP 11-16-18@ S		-740.00	66.50	11.87	54.63	90.0	47.98
11/05/2018	QGW035206 SKAHILL, ROBERT	PUT 100 VUZIX CORP COM NEW EXP 12-2 S		-700.00	64.60	16.15	48.45	90.0	41.99
11/21/2018	QGW035206 SKAHILL, ROBERT	PUT 100 RESIDEO TECHNOLOGIES INC CO S		-1,250.00	94.05	13.77	80.28	90.0	70.88
11/05/2018	QGW035255 BROCHARD, MARIA	CALL 100 VUZIX CORP COM NEW EXP 12- S		-500.00	45.60	16.15	29.45	90.0	24.89
11/05/2018	QGW035255 BROCHARD, MARIA	PUT 100 VUZIX CORP COM NEW EXP 11-1 S		-680.00	56.05	20.90	35.15	90.0	29.55
11/06/2018	QGW035255 BROCHARD, MARIA	PUT 100 APPLE INC COM EXP 11-16-18@ S		-976.00	76.00	11.87	64.13	90.0	56.53
11/12/2018	QGW035255 BROCHARD, MARIA	PUT 100 VUZIX CORP COM NEW EXP 12-2 S		-1,000.00	90.25	20.90	69.35	90.0	60.33
11/19/2018	QGW035255 BROCHARD, MARIA	PUT 100 VUZIX CORP COM NEW EXP 04-1 S		-1,500.00	94.05	16.15	77.90	90.0	68.50
11/08/2018	QGW035347 MODUGNO, ROCCO	CALL 100 BANK OF AMERICA CORPORATIO S		-420.00	37.05	13.77	23.28	90.0	19.58
11/19/2018	QGW035347 MODUGNO, ROCCO	CALL 100 VUZIX CORP COM NEW EXP 01- S		-500.00	45.60	17.34	28.26	90.0	23.70
11/08/2018	QGW035404 RICCA, MARIA	CALL 100 BANK OF AMERICA CORPORATIO S		-378.00	33.25	13.54	19.71	90.0	16.39
11/19/2018	QGW035404 RICCA, MARIA	PUT 100 VUZIX CORP COM NEW EXP 01-1 S		-1,050.00	94.05	18.52	75.53	90.0	66.13
11/19/2018	QGW035404 RICCA, MARIA	PUT 100 VUZIX CORP COM NEW EXP 04-1 S		-1,600.00	94.05	16.15	77.90	90.0	68.50
11/05/2018	QGW035503 SIMPSON, DAVID	PUT 100 VUZIX CORP COM NEW EXP 12-2 S		-700.00	64.60	16.15	48.45	90.0	41.99
11/19/2018	QGW035511 LYDEN, MARY	PUT 100 IQIYI INC SPONS ADR ISIN#US S		-1,725.00	94.05	14.96	79.09	90.0	69.69
11/27/2018	QGW035511 LYDEN, MARY	PUT 100 COHERUS BIOSCIENCES INC COM S		-1,850.00	94.05	13.77	80.28	90.0	70.88
11/28/2018	QGW035529 AMENITA, FREDERICK	CALL 100 VUZIX CORP COM NEW EXP 04- S		-675.00	56.05	14.96	41.09	90.0	35.49
11/06/2018	QGW035594 DUSATKO, ANNE	PUT 100 APPLE INC COM EXP 11-16-18@ S		-780.00	71.25	11.87	59.38	90.0	52.26
11/08/2018	QGW035594 DUSATKO, ANNE	CALL 100 VUZIX CORP COM NEW EXP 01- S		-200.00	17.22	12.35	4.87	90.0	3.15
11/15/2018	QGW035594 DUSATKO, ANNE	CALL 100 BANK OF AMERICA CORPORATIO S		-900.00	74.10	16.15	57.95	90.0	50.54
11/15/2018	QGW035594 DUSATKO, ANNE	PUT 100 IQIYI INC SPONS ADR ISIN#US S		-2,200.00	94.05	16.15	77.90	90.0	68.50
11/19/2018	QGW035610 DAVIS, VICTORIA	CALL 100 VUZIX CORP COM NEW EXP 01- S		-400.00	37.05	16.15	20.90	90.0	17.20
11/28/2018	QGW035610 DAVIS, VICTORIA	CALL 100 PAYPAL HLDGS INC COM EXP 1 S		-170.00	23.75	11.87	11.88	90.0	9.51
11/15/2018	QGW035644 MONGELUZZI, LINDA	CALL 100 BANK OF AMERICA CORPORATIO S		-880.00	75.05	16.15	58.90	90.0	51.40
11/29/2018	QGW035644 MONGELUZZI, LINDA	CALL 100 HEICO CORP NEW COM EXP 12- S		-275.00	27.55	12.59	14.96	90.0	12.21
11/20/2018	QGW035651 YONGE, DAVID	CALL 100 VUZIX CORP COM NEW EXP 01- S		-300.00	19.00	14.96	4.04	90.0	2.14
11/20/2018	QGW035651 YONGE, DAVID	CALL 100 VUZIX CORP COM NEW EXP 01- S		300.00	-19.00	-14.96	-4.04	90.0	-2.14 C
11/20/2018	QGW035651 YONGE, DAVID	CALL 100 VUZIX CORP COM NEW EXP 01- S		-300.00	19.00	14.96	4.04	90.0	2.14
11/19/2018	QGW035669 KOLLAR, ROBERT	PUT 100 IQIYI INC SPONS ADR ISIN#US S		-1,200.00	94.05	13.77	80.28	90.0	70.88
11/20/2018	QGW035669 KOLLAR, ROBERT	PUT 100 VUZIX CORP COM NEW EXP 01-1 S		-1,000.00	94.05	17.34	76.71	90.0	67.31
11/29/2018	QGW035669 KOLLAR, ROBERT	CALL 100 HEICO CORP NEW COM EXP 12- S		-195.00	20.90	12.11	8.79	90.0	6.70
11/19/2018	QGW035677 KOLLAR, MAURA	CALL 100 VUZIX CORP COM NEW EXP 01- S		-200.00	22.80	13.77	9.03	90.0	6.75
11/19/2018	QGW035685 EICHENHOLZ, SONDR	CALL 100 VUZIX CORP COM NEW EXP 04- S		-750.00	73.15	14.96	58.19	90.0	50.88
11/19/2018	QGW035685 EICHENHOLZ, SONDR	PUT 100 VUZIX CORP COM NEW EXP 04-1 S		-1,600.00	94.05	16.15	77.90	90.0	68.50
11/19/2018	QGW035701 SZARKA, MICHAEL	PUT 100 RESIDEO TECHNOLOGIES INC CO S		-1,050.00	94.05	13.77	80.28	90.0	70.88

COMMISSION STATEMENT for RICHARD BELZ

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>									
11/28/2018	QGW035735	STELLATO, MICHAEL	CALL 100 BANK OF AMERICA CORPORATIO S	-480.00	27.55	16.15	11.40	90.0	8.65
11/12/2018	QGW035768	MASSA, PATRICIA	PUT 100 ROKU INC COM CL A EXP 11-23 S	-980.00	92.15	13.77	78.38	90.0	69.17
11/05/2018	QGW035776	ZIMMERMAN, FRANCINE	PUT 100 APPLE INC COM EXP 11-16-18@ S	-486.00	38.00	11.87	26.13	90.0	22.33
11/08/2018	QGW035776	ZIMMERMAN, FRANCINE	CALL 100 BANK OF AMERICA CORPORATIO S	-880.00	76.95	16.15	60.80	90.0	53.11
11/28/2018	QGW035776	ZIMMERMAN, FRANCINE	CALL 100 VUZIX CORP COM NEW EXP 04- S	-2,025.00	94.05	22.09	71.96	90.0	62.56
11/08/2018	QGW035834	CHAUDHRY, JAHANZEB	CALL 100 VUZIX CORP COM NEW EXP 11- S	-610.00	52.25	25.89	26.36	90.0	21.14
11/07/2018	QGW035982	PANASUK, JOHN	CALL 100 VUZIX CORP COM NEW EXP 11- S	-360.00	32.30	17.10	15.20	90.0	11.97
11/19/2018	QGW035982	PANASUK, JOHN	CALL 100 VUZIX CORP COM NEW EXP 01- S	-1,200.00	94.05	25.65	68.40	90.0	59.00
11/19/2018	QGW035982	PANASUK, JOHN	PUT 100 VUZIX CORP COM NEW EXP 01-1 S	-700.00	64.60	16.15	48.45	90.0	41.99
11/20/2018	QGW035982	PANASUK, JOHN	PUT 100 ENERGOUS CORP COM EXP 12-21 S	-825.00	64.60	14.96	49.64	90.0	43.18
11/28/2018	QGW035982	PANASUK, JOHN	CALL 100 BANK OF AMERICA CORPORATIO S	-400.00	33.25	16.15	17.10	90.0	13.78
11/07/2018	QGW036030	BALLO, CATHERINE	CALL 100 BANK OF AMERICA CORPORATIO S	-780.00	74.10	16.15	57.95	90.0	50.54
11/12/2018	QGW036055	MATACOTTA, CORINNA	PUT 100 VUZIX CORP COM NEW EXP 12-2 S	-750.00	74.10	18.52	55.58	90.0	48.17
11/15/2018	QGW036071	HENNMANN, DENNIS	PUT 100 IQIYI INC SPONS ADR ISIN#US S	-1,100.00	87.40	13.77	73.63	90.0	64.89
11/28/2018	QGW036071	HENNMANN, DENNIS	CALL 100 PAYPAL HLDGS INC COM EXP 1 S	-264.00	27.55	12.11	15.44	90.0	12.69
11/05/2018	QGW036105	ARDOLINO, SUSAN	PUT 100 VUZIX CORP COM NEW EXP 12-2 S	-525.00	47.50	14.96	32.54	90.0	27.79
11/05/2018	QGW036899	SARLO, JESSICA	PUT 100 VUZIX CORP COM NEW EXP 01-1 S	-1,350.00	94.05	18.52	75.53	90.0	66.13
11/06/2018	QGW036956	BROCHARD, THOMAS	PUT 100 ENERGOUS CORP COM EXP 11-16 S	-375.00	34.20	14.96	19.24	90.0	15.82
11/19/2018	QGW036956	BROCHARD, THOMAS	PUT 100 ENERGOUS CORP COM EXP 12-21 S	-500.00	45.60	13.77	31.83	90.0	27.27
11/05/2018	QGW037087	01/19/2016, U/A	CALL 100 NABORS INDS LTD SHS ISIN#B S	-240.00	19.00	16.15	2.85	90.0	0.95
11/05/2018	QGW037103	BURNS, KATHLEEN	PUT 100 VUZIX CORP COM NEW EXP 11-1 S	-600.00	57.00	20.90	36.10	90.0	30.40
11/16/2018	QGW037103	BURNS, KATHLEEN	CALL 100 COHERUS BIOSCIENCES INC CO S	-450.00	45.60	14.96	30.64	90.0	26.08
11/05/2018	QGW038531	MUSSLER, LINDA	PUT 100 VUZIX CORP COM NEW EXP 01-1 S	-405.00	40.85	13.54	27.31	90.0	23.23
11/07/2018	QGW038531	MUSSLER, LINDA	CALL 100 BANK OF AMERICA CORPORATIO S	-570.00	47.50	14.96	32.54	90.0	27.79
11/28/2018	QGW038556	LAPINTA, LEONARD	CALL 100 BANK OF AMERICA CORPORATIO S	-400.00	37.05	16.15	20.90	90.0	17.20
11/08/2018	QGW038960	ROMANO, LOUIS	CALL 100 BANK OF AMERICA CORPORATIO S	-675.00	66.50	14.96	51.54	90.0	44.89
11/15/2018	QGW038960	ROMANO, LOUIS	PUT 100 IQIYI INC SPONS ADR ISIN#US S	-1,150.00	94.05	13.77	80.28	90.0	70.88
11/16/2018	QGW038960	ROMANO, LOUIS	CALL 100 COHERUS BIOSCIENCES INC CO S	-450.00	45.60	14.96	30.64	90.0	26.08
11/15/2018	QGW038978	KMIECIAK, INES	PUT 100 IQIYI INC SPONS ADR ISIN#US S	-1,150.00	93.10	13.77	79.33	90.0	70.02
11/08/2018	QGW039125	WHITE, KERRY	CALL 100 BANK OF AMERICA CORPORATIO S	-405.00	37.05	13.54	23.51	90.0	19.81
11/08/2018	QGW039216	MCCARTHY, MARCIA	CALL 100 BANK OF AMERICA CORPORATIO S	-900.00	84.55	16.15	68.40	90.0	59.95
11/19/2018	QGW039349	PLAN	PUT 100 VUZIX CORP COM NEW EXP 12-2 S	-380.00	21.85	15.91	5.94	90.0	3.76
11/12/2018	QGW039471	MARTINEZ, MARY	PUT 100 ROKU INC COM CL A EXP 11-23 S	-420.00	44.65	12.35	32.30	90.0	27.84
11/15/2018	QGW039497	CAUSIN, KERRY	PUT 100 IQIYI INC SPONS ADR ISIN#US S	-1,680.00	94.05	13.06	80.99	90.0	71.59
11/15/2018	QGW039570	KMIECIAK, STEFANIA	PUT 100 IQIYI INC SPONS ADR ISIN#US S	-1,150.00	93.10	13.77	79.33	90.0	70.02
11/08/2018	QGW039596	FARRELLY, JOSEPH	CALL 100 BANK OF AMERICA CORPORATIO S	-675.00	57.95	14.96	42.99	90.0	37.20
11/08/2018	QGW039596	FARRELLY, JOSEPH	PUT 100 APPLE INC COM EXP 12-21-18@ S	-1,120.00	94.05	11.87	82.18	90.0	72.78
11/08/2018	QGW039596	FARRELLY, JOSEPH	PUT 100 RESIDEO TECHNOLOGIES INC CO S	-750.00	66.50	14.96	51.54	90.0	44.89
11/08/2018	QGW039596	FARRELLY, JOSEPH	PUT 100 ROKU INC COM CL A EXP 11-16 S	-310.00	26.60	13.77	12.83	90.0	10.17
11/15/2018	QGW039596	FARRELLY, JOSEPH	PUT 100 IQIYI INC SPONS ADR ISIN#US S	-1,740.00	94.05	14.96	79.09	90.0	69.69

COMMISSION STATEMENT for RICHARD BELZ

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>									
11/19/2018	QGW039596	FARRELLY, JOSEPH	PUT 100 ROKU INC COM CL A EXP 11-30 S	-900.00	74.10	13.77	60.33	90.0	52.92
11/20/2018	QGW039596	FARRELLY, JOSEPH	PUT 100 VUZIX CORP COM NEW EXP 04-1 S	-2,400.00	94.05	18.52	75.53	90.0	66.13
11/12/2018	QGW039612	DUSATKO, FRANK	PUT 100 ROKU INC COM CL A EXP 11-23 S	-1,350.00	94.05	13.77	80.28	90.0	70.88
11/12/2018	QGW039612	DUSATKO, FRANK	PUT 100 VUZIX CORP COM NEW EXP 12-2 S	-750.00	67.45	18.52	48.93	90.0	42.19
11/26/2018	QGW039612	DUSATKO, FRANK	CALL 100 ROKU INC COM CL A EXP 11-3 S	-720.00	64.60	13.77	50.83	90.0	44.37
11/12/2018	QGW039646	DUSATKO, FRANK	PUT 100 VUZIX CORP COM NEW EXP 12-2 S	-750.00	67.45	18.52	48.93	90.0	42.19
11/08/2018	QGW039752	RICCA, CARLO	CALL 100 BANK OF AMERICA CORPORATIO S	-660.00	58.90	14.96	43.94	90.0	38.05
11/02/2018	QGW039869	OHARA, JOHN	CALL 100 BANK OF AMERICA CORPORATIO S	-78.00	7.22	11.87	-4.65	90.0	-5.37
11/07/2018	QGW039869	OHARA, JOHN	CALL 100 BANK OF AMERICA CORPORATIO S	-312.00	28.88	13.30	15.58	90.0	12.69
11/05/2018	QGW039885	CORTESE, ROCCO	PUT 100 INTERNATIONAL BUSINESS MACH S	-830.00	66.50	11.87	54.63	90.0	47.98
11/08/2018	QGW039885	CORTESE, ROCCO	PUT 100 APPLE INC COM EXP 12-21-18@ S	-830.00	71.25	11.64	59.61	90.0	52.49
11/28/2018	QGW039885	CORTESE, ROCCO	CALL 100 INTERNATIONAL BUSINESS MAC S	-120.00	23.75	11.87	11.88	90.0	9.51
11/23/2018	QGW040008	CARUSO, MICHAEL	PUT 100 RESIDEO TECHNOLOGIES INC CO S	-1,080.00	94.05	13.30	80.75	90.0	71.35
11/15/2018	QGW040081	CAUSIN, LAURENCE	PUT 100 APPLE INC COM EXP 11-16-18@ S	-606.00	52.25	12.11	40.14	90.0	34.92
11/15/2018	QGW040081	CAUSIN, LAURENCE	PUT 100 BANK OF AMERICA CORPORATION S	-640.00	57.95	13.77	44.18	90.0	38.39
11/06/2018	QGW040206	PANASUK, JOHN	PUT 100 APPLE INC COM EXP 11-16-18@ S	-990.00	90.25	11.87	78.38	90.0	69.36
11/06/2018	QGW040206	PANASUK, JOHN	PUT 100 RESIDEO TECHNOLOGIES INC CO S	-450.00	38.00	13.77	24.23	90.0	20.43
11/06/2018	QGW040206	PANASUK, JOHN	PUT 100 VUZIX CORP COM NEW EXP 11-1 S	-600.00	55.10	20.90	34.20	90.0	28.69
* OPTIONS SUBTOTAL *				<u>\$-74,470.00</u>	<u>\$5,806.52</u>	<u>\$1,426.93</u>	<u>\$4,379.59</u>		<u>\$3,799.21</u>
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
11/30/2018			FEE COUNT - 25	0.00	164.62	0.00	164.62	90.0	148.20
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$164.62</u>	<u>\$0.00</u>	<u>\$164.62</u>		<u>\$148.20</u>
*** BROKER TRANSACTIONS TOTAL ***				<u>\$764,798.54</u>	<u>\$28,626.76</u>	<u>\$2,669.53</u>	<u>\$25,957.23</u>		<u>\$23,095.20</u>
<u>ADJUSTMENTS</u>									
11/30/2018			COMMISSION INCOME: GNL	0.00	0.00	0.00	0.00		755.17
11/30/2018			OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00		-20.00
11/30/2018			OTHER: TECHNOLOGY	0.00	0.00	0.00	0.00		-150.00
11/30/2018			OTHER: TELEPHONE	0.00	0.00	0.00	0.00		-61.75
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$523.42</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$23,095.20
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$523.42
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-35.78
SIPC Assessment	\$-71.57

Check Amount	\$23,511.27
Year-to-date Earnings	\$270,942.22