

COMMISSION STATEMENT

October 31, 2018

MICHAEL WOLLOCH

43 SECOR RD

SCARSDALE, NY 10583

BROKER #: R55

BRANCH: HOME OFFICE

COMMISSION STATEMENT for MICHAEL WOLLOCH

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>									
10/16/2018	QGW016040	NEWMAN, M		CANOPY GROWTH CORP COM ISIN# CA1380 B	14,634.35	63.00	10.00	53.00	45.0 23.85
10/02/2018	QGW016115	MAYER, MURRAY		CALIFORNIA RESOURCES CORPORATION CO S	-983.60	60.00	10.00	50.00	45.0 22.50
10/02/2018	QGW016115	MAYER, MURRAY		NEXPOINT CREDIT STRATEGIES FUND S	-2,230.56	60.00	10.00	50.00	45.0 22.50
10/02/2018	QGW016115	MAYER, MURRAY		NEXPOINT RESIDENTIAL TRUST INC S	-4,532.75	60.00	10.00	50.00	45.0 22.50
10/10/2018	QGW016214	MAIMAN, JUDITH		CRYOLIFE INC COM S	-9,055.07	38.00	10.00	28.00	45.0 12.60
10/11/2018	QGW024101	NEWMAN, LIZA		INTERNATIONAL BUSINESS MACHINES COR B	21,246.17	53.00	10.00	43.00	45.0 19.35
10/17/2018	QGW039307	PIZZOLO, PAT		AT&T INC S	-2,668.39	61.00	10.00	51.00	45.0 22.95
				* STOCKS SUBTOTAL *	\$16,410.15	\$395.00	\$70.00	\$325.00	\$146.25
<u>PRODUCT CATEGORY: BONDS</u>									
10/02/2018	QGW016115	MAYER, MURRAY		UNITED STATES TREASURY BILL RE-ISSU B	74,586.00	50.00	10.00	40.00	45.0 18.00
				* BONDS SUBTOTAL *	\$74,586.00	\$50.00	\$10.00	\$40.00	\$18.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/31/2018				FEE COUNT - 13	0.00	255.99	0.00	255.99	45.0 115.20
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$255.99	\$0.00	\$255.99	\$115.20
				*** BROKER TRANSACTIONS TOTAL ***	\$90,996.15	\$700.99	\$80.00	\$620.99	\$279.45
<u>ADJUSTMENTS</u>									
10/31/2018				OTHER: 360 OFFICE	0.00	0.00	0.00	0.00	-8.00
10/31/2018				OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
				*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00	\$-28.00

BROKER COMMISSION TOTALS

Broker Transactions	\$279.45
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-28.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-0.88
SIPC Assessment	\$-1.75

Check Amount	\$248.82
Year-to-date Earnings	\$2,732.26