

COMMISSION STATEMENT

October 31, 2018

JAY SHARTSIS
54 BIRCHWOOD LANE

BROKER #: P82 P83 P84

BRANCH: HOME OFFICE

HARTSDALE, NY, NY 10530

COMMISSION STATEMENT for JAY SHARTSIS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
10/19/2018	QGW009151	KOBOLD, MICHAEL		WPX ENERGY INC	B	3,629.28	73.33	6.00	67.33 50.0 33.67
10/15/2018	QGW009177	-, MICHAEL KRUEGER		TRONOX LTD SHS CL A ISIN#AU000XINEO	B	1,500.00	50.00	6.00	44.00 50.0 22.00
10/15/2018	QGW009177	-, MICHAEL KRUEGER		TRONOX LTD SHS CL A ISIN#AU000XINEO	B	-1,500.00	-50.00	-6.00	-44.00 50.0 -22.00 C
10/15/2018	QGW009177	-, MICHAEL KRUEGER		TRONOX LTD SHS CL A ISIN#AU000XINEO	B	1,500.00	0.00	6.00	-6.00 50.0 -3.00
10/19/2018	QGW009177	-, MICHAEL KRUEGER		TRONOX LTD SHS CL A ISIN#AU000XINEO	B	6,000.00	50.00	6.00	44.00 50.0 22.00
10/01/2018	QGW009292	OSTOW, MARK		TILRAY INC COM	B	16,118.17	80.73	6.00	74.73 50.0 37.37
10/11/2018	QGW009581	PRINDLE DDS		WASHINGTON PRIME GROUP NEW COM	S	-6,535.90	74.50	6.00	68.50 50.0 34.25
09/27/2018	QGW021461	BURNS, RHONDIE		CAMPBELL SOUP CO	S	-3,692.20	60.75	6.00	54.75 50.0 27.38
09/27/2018	QGW021461	BURNS, RHONDIE		TRONOX LTD SHS CL A ISIN#AU000XINEO	S	-1,226.39	50.00	6.00	44.00 50.0 22.00
10/01/2018	QGW021461	BURNS, RHONDIE		PDL BIOPHARMA INC	B	2,642.00	116.36	6.00	110.36 50.0 55.18
10/15/2018	QGW021461	BURNS, RHONDIE		SEABRIDGE GOLD INC	B	2,953.96	66.64	6.00	60.64 50.0 30.32
10/11/2018	QGW031395	KANTO, JULIE		ABERDEEN GLOBAL PREMIER PROPERTIES	B	8,551.04	96.75	6.00	90.75 50.0 45.38
				* STOCKS SUBTOTAL *		\$29,939.96	\$669.06	\$60.00	\$609.06 \$304.55

PRODUCT CATEGORY: OPTIONS

10/22/2018	QGW009094	KANTO, WILLIAM		PUT 100 SELECT SECTOR SPDR TR ENERG B		28,875.00	466.06	7.00	459.06 50.0 229.53
10/22/2018	QGW009094	KANTO, WILLIAM		PUT 100 SELECT SECTOR SPDR TR ENERG B		-28,875.00	-466.06	-7.00	-459.06 50.0 -229.53 C
10/22/2018	QGW009094	KANTO, WILLIAM		PUT 100 SELECT SECTOR SPDR TR ENERG B		28,875.00	149.50	7.00	142.50 50.0 71.25
10/24/2018	QGW009094	KANTO, WILLIAM		PUT 100 SPDR S&P 500 ETF TR TR UNIT S		-2,748.00	64.61	7.00	57.61 50.0 28.81
10/29/2018	QGW009094	KANTO, WILLIAM		PUT 100 SPDR S&P 500 ETF TR TR UNIT S		-3,280.00	69.87	7.00	62.87 50.0 31.44
10/11/2018	QGW009151	KOBOLD, MICHAEL		PUT 100 APPLE INC COM EXP 10-19-18@ S		-1,425.00	66.58	7.00	59.58 50.0 29.79
10/11/2018	QGW009151	KOBOLD, MICHAEL		PUT 100 FACEBOOK INC CL A EXP 10-19 S		-2,595.00	82.89	7.00	75.89 50.0 37.95
10/16/2018	QGW009151	KOBOLD, MICHAEL		PUT 100 VIRNETX HLDG CORP COM EXP 1 S		-500.00	50.00	7.00	43.00 50.0 21.50
10/08/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 CBOE VOLATILITY INDEX - VX S		-1,100.00	50.00	7.00	43.00 50.0 21.50
10/18/2018	QGW009177	-, MICHAEL KRUEGER		PUT 100 KIRKLAND LAKE GOLD LTD COM S		-250.00	50.00	7.00	43.00 50.0 21.50
10/24/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 NEWELL BRANDS INC COM EXP B		450.00	50.00	7.00	43.00 50.0 21.50
10/29/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 TRONOX LTD SHS CL A ISIN#A S		-275.00	50.00	7.00	43.00 50.0 21.50
10/30/2018	QGW009177	-, MICHAEL KRUEGER		CALL 100 INTREPID POTASH INC COM EX S		-349.95	50.00	7.00	43.00 50.0 21.50
10/01/2018	QGW009292	OSTOW, MARK		CALL 100 TILRAY INC COM EXP 10-05-1 S		-1,760.00	50.00	7.00	43.00 50.0 21.50
10/03/2018	QGW009292	OSTOW, MARK		CALL 100 TILRAY INC COM EXP 10-05-1 B		660.00	50.00	7.00	43.00 50.0 21.50
10/04/2018	QGW009292	OSTOW, MARK		CALL 100 AMAZON COM INC EXP 10-05-1 B		1,026.00	50.00	7.00	43.00 50.0 21.50

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
10/04/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 10-12-1 S	-2,610.00	50.04	7.00	43.04	50.0	21.52
10/05/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 10-12-1 B	1,351.00	50.00	7.00	43.00	50.0	21.50
10/09/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 10-19-1 S	-2,657.00	50.50	7.00	43.50	50.0	21.75
10/10/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 10-19-1 B	1,180.00	50.00	7.00	43.00	50.0	21.50
10/10/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 10-26-1 S	-5,055.00	80.73	7.00	73.73	50.0	36.87
10/11/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 10-26-1 B	2,120.00	50.00	7.00	43.00	50.0	21.50
10/04/2018	QGW038762	OSTOW, AUGUSTUS	CALL 100 AMAZON COM INC EXP 10-12-1 S	-2,610.00	50.04	7.00	43.04	50.0	21.52
10/04/2018	QGW038762	OSTOW, AUGUSTUS	CALL 100 AMAZON COM INC EXP 10-12-1 S	2,610.00	-50.04	-7.00	-43.04	50.0	-21.52 C
* OPTIONS SUBTOTAL *				<u>\$11,057.05</u>	<u>\$1,214.72</u>	<u>\$140.00</u>	<u>\$1,074.72</u>		<u>\$537.38</u>

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/31/2018		FEE COUNT - 2		0.00	46.32	0.00	46.32	50.0	23.16
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				<u>\$0.00</u>	<u>\$46.32</u>	<u>\$0.00</u>	<u>\$46.32</u>		<u>\$23.16</u>
*** BROKER TRANSACTIONS TOTAL ***				<u>\$40,997.01</u>	<u>\$1,930.10</u>	<u>\$200.00</u>	<u>\$1,730.10</u>		<u>\$865.09</u>

ADJUSTMENTS

10/31/2018		OTHER: PAID 10/13/2018 VERIZON WIRE		0.00	0.00	0.00	0.00		-26.00
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
10/31/2018		OTHER: CBOE		0.00	0.00	0.00	0.00		-250.00
10/31/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-96.36
10/31/2018		OTHER: QUODD		0.00	0.00	0.00	0.00		-65.88
10/31/2018		OTHER: SALARY		0.00	0.00	0.00	0.00		500.00
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$33.76</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$865.09
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$33.76
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-2.41
SIPC Assessment	\$-4.83

Check Amount	\$891.61
Year-to-date Earnings	\$12,828.76