

COMMISSION STATEMENT

November 30, 2018

STEPHEN SUSLOW
14 WEST 12TH STREET
APT 6B
NEW YORK, NY 10011

BROKER #: S01 S22
BRANCH: HOME OFFICE

COMMISSION STATEMENT for STEPHEN SUSLOW

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
11/16/2018 75500864	WINICK, JESSE	AT&T INC	B	244,000.00	0.00	7.00	-7.00	85.0	-7.00
11/02/2018 75500867	GREENSPAN, WILLIAM	WELLS FARGO & CO	S	530,000.00	0.00	7.00	-7.00	85.0	-7.00
11/28/2018 75500881	SUSLOW, RONNIE	WELLS FARGO & CO	B	108,420.00	0.00	7.00	-7.00	85.0	-7.00
11/06/2018 75500933	LAWRENCE, IRA	GREENSKY INC CL A	B	18,999.00	10.00	7.00	3.00	85.0	1.50
11/09/2018 75500933	LAWRENCE, IRA	FLIR SYSTEMS INC	B	24,010.00	10.00	7.00	3.00	85.0	1.50
11/09/2018 75500933	LAWRENCE, IRA	SCRIPPS E W CO OHIO CL A NEW	S	18,290.00	10.00	7.00	3.00	85.0	1.50
11/21/2018 75501098	WINICK FAMILY	BANK OZK COMMON STOCK	B	54,475.80	20.00	7.00	13.00	85.0	10.00
11/06/2018 75501161	LAWRENCE, DAVID	GREENSKY INC CL A	B	18,760.00	10.00	7.00	3.00	85.0	1.50
11/06/2018 75501161	LAWRENCE, DAVID	SYMANTEC CORPORATION	S	20,640.00	10.00	7.00	3.00	85.0	1.50
11/09/2018 75501161	LAWRENCE, DAVID	FASTENAL CO	B	27,105.00	10.00	7.00	3.00	85.0	1.50
11/09/2018 75501161	LAWRENCE, DAVID	SCRIPPS E W CO OHIO CL A NEW	S	18,380.00	10.00	7.00	3.00	85.0	1.50
11/14/2018 75501161	LAWRENCE, DAVID	FASTENAL CO	S	28,210.00	10.00	7.00	3.00	85.0	1.50
11/15/2018 75501161	LAWRENCE, DAVID	VANECK VECTORS ETF TR OIL SVCS ETF	B	19,010.00	10.00	7.00	3.00	85.0	1.50
11/16/2018 75501161	LAWRENCE, DAVID	NEWMONT MINING CORP (NEW)	S	33,360.00	10.00	7.00	3.00	85.0	1.50
11/16/2018 75501161	LAWRENCE, DAVID	SKYWORKS SOLUTIONS INC	B	36,055.00	10.00	7.00	3.00	85.0	1.50
11/19/2018 75501161	LAWRENCE, DAVID	SPDR SER TR S&P RETAIL ETF	B	27,426.00	10.00	7.00	3.00	85.0	1.50
11/06/2018 75501189	IRA S LAWRENCE TTEE	GREENSKY INC CL A	B	18,980.00	10.00	7.00	3.00	85.0	1.50
11/07/2018 75501189	IRA S LAWRENCE TTEE	BANK OZK COMMON STOCK	B	26,810.00	10.00	7.00	3.00	85.0	1.50
11/09/2018 75501189	IRA S LAWRENCE TTEE	FLUOR CORP NEW	B	23,405.00	10.00	7.00	3.00	85.0	1.50
11/19/2018 75501189	IRA S LAWRENCE TTEE	NETAPP INC	B	34,310.00	10.00	7.00	3.00	85.0	1.50
10/31/2018 75501196	LAWRENCE, ADELLE	BANK OZK COMMON STOCK	S	27,054.00	10.00	7.00	3.00	85.0	1.50
11/19/2018 75501196	LAWRENCE, ADELLE	SKYWORKS SOLUTIONS INC	B	35,360.00	10.00	7.00	3.00	85.0	1.50
11/12/2018 75502037	WINICK, BARBARA	NUVEEN N Y DIVIDEND ADVANTAGE MUN F S		122,223.67	0.00	7.00	-7.00	85.0	-7.00
11/13/2018 75502037	WINICK, BARBARA	NUVEEN NEW YORK AMT FREE MUNICIPAL I S		46,800.00	0.00	7.00	-7.00	85.0	-7.00
11/13/2018 75502037	WINICK, BARBARA	NUVEEN NEW YORK AMT FREE MUNICIPAL I S		23,407.40	0.00	7.00	-7.00	85.0	-7.00
11/13/2018 75502037	WINICK, BARBARA	NUVEEN NEW YORK AMT FREE MUNICIPAL I S		46,800.00	0.00	7.00	-7.00	85.0	-7.00
* STOCKS SUBTOTAL *				\$1,632,290.87	\$200.00	\$182.00	\$18.00		\$-12.00

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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: OPTIONS												
11/16/2018	75500791	SUSLOVICH, ESTHER	PUT	T	11/16/18	30.50	B	2,394.64	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500791	SUSLOVICH, ESTHER	PUT	T	11/30/18	30.50	S	4,828.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500837	BELL, MARTIN	PUT	T	11/30/18	30.50	S	6,664.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500837	BELL, MARTIN	PUT	T	11/16/18	30.50	B	3,305.27	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500838	BELL, MARTIN	PUT	T	11/30/18	30.50	S	2,720.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500838	BELL, MARTIN	PUT	T	11/16/18	30.50	B	1,349.09	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500859	LABELLA, CHARLES	PUT	T	11/30/18	30.50	S	5,440.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500859	LABELLA, CHARLES	PUT	T	11/16/18	30.50	B	2,698.18	0.00	7.00	-7.00	85.0 -7.00
11/02/2018	75500864	WINICK, JESSE	CALL	WFC	11/09/18	53.50	S	6,381.50	0.00	7.00	-7.00	85.0 -7.00
11/02/2018	75500864	WINICK, JESSE	CALL	WFC	11/02/18	53	B	4,371.50	0.00	7.00	-7.00	85.0 -7.00
11/08/2018	75500864	WINICK, JESSE	PUT	T	11/16/18	30.50	S	1,200.00	120.00	7.00	113.00	85.0 95.00
11/09/2018	75500864	WINICK, JESSE	CALL	T	11/23/18	31.50	S	2,000.00	0.00	7.00	-7.00	85.0 -7.00
11/13/2018	75500864	WINICK, JESSE	CALL	WFC	11/16/18	54	S	1,900.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500864	WINICK, JESSE	CALL	T	11/30/18	31.50	S	1,600.00	160.00	7.00	153.00	85.0 129.00
11/16/2018	75500864	WINICK, JESSE	PUT	T	11/30/18	30.50	S	3,200.00	0.00	7.00	-7.00	85.0 -7.00
11/19/2018	75500864	WINICK, JESSE	PUT	T	11/23/18	30	S	672.00	67.00	7.00	60.00	85.0 49.95
11/23/2018	75500864	WINICK, JESSE	PUT	T	12/07/18	30	S	6,208.00	240.00	7.00	233.00	85.0 197.00
11/23/2018	75500864	WINICK, JESSE	PUT	T	11/23/18	30	B	3,376.00	0.00	7.00	-7.00	85.0 -7.00
11/26/2018	75500864	WINICK, JESSE	PUT	AABA	11/30/18	59	S	2,000.00	0.00	7.00	-7.00	85.0 -7.00
11/05/2018	75500881	SUSLOW, RONNIE	PUT	AABA	10/20/17	66	S	580.00	0.00	7.00	-7.00	85.0 -7.00
11/09/2018	75500881	SUSLOW, RONNIE	CALL	WFC	11/16/18	54	S	2,175.00	0.00	7.00	-7.00	85.0 -7.00
11/12/2018	75500881	SUSLOW, RONNIE	CALL	T	11/23/18	31.50	S	420.00	0.00	7.00	-7.00	85.0 -7.00
11/14/2018	75500881	SUSLOW, RONNIE	CALL	T	11/23/18	31.50	S	447.00	0.00	7.00	-7.00	85.0 -7.00
11/14/2018	75500881	SUSLOW, RONNIE	CALL	T	11/30/18	31.50	S	1,280.00	0.00	7.00	-7.00	85.0 -7.00
11/14/2018	75500881	SUSLOW, RONNIE	PUT	FB	11/02/18	138	S	360.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500881	SUSLOW, RONNIE	PUT	T	11/30/18	30.50	S	800.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500881	SUSLOW, RONNIE	PUT	T	11/30/18	30.50	S	1,600.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500881	SUSLOW, RONNIE	PUT	T	11/16/18	30.50	B	4,047.27	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500881	SUSLOW, RONNIE	PUT	T	11/30/18	30.50	S	8,160.00	0.00	7.00	-7.00	85.0 -7.00
11/23/2018	75500881	SUSLOW, RONNIE	CALL	WFC	11/30/18	53.50	S	960.00	0.00	7.00	-7.00	85.0 -7.00
11/27/2018	75500881	SUSLOW, RONNIE	PUT	AABA	11/30/18	57.50	S	580.00	0.00	7.00	-7.00	85.0 -7.00
11/27/2018	75500881	SUSLOW, RONNIE	PUT	AABA	11/30/18	59	S	1,120.00	0.00	7.00	-7.00	85.0 -7.00
11/28/2018	75500881	SUSLOW, RONNIE	CALL	WFC	11/30/18	53.50	B	1,800.00	0.00	7.00	-7.00	85.0 -7.00
11/07/2018	75500882	SUSLOW, RONNIE	PUT	T	11/16/18	30	S	983.00	0.00	7.00	-7.00	85.0 -7.00
11/09/2018	75500882	SUSLOW, RONNIE	CALL	AABA	11/09/18	64.50	S	720.00	0.00	7.00	-7.00	85.0 -7.00
11/16/2018	75500882	SUSLOW, RONNIE	CALL	T	11/30/18	31.50	S	800.00	0.00	7.00	-7.00	85.0 -7.00
11/28/2018	75500882	SUSLOW, RONNIE	PUT	WFC	11/30/18	54	S	630.00	0.00	7.00	-7.00	85.0 -7.00
11/02/2018	75500918	SUSLOW, ELISSA	CALL	WFC	11/09/18	53.50	S	6,381.50	0.00	7.00	-7.00	85.0 -7.00
11/02/2018	75500918	SUSLOW, ELISSA	CALL	WFC	11/02/18	53	B	4,371.50	0.00	7.00	-7.00	85.0 -7.00
11/05/2018	75500918	SUSLOW, ELISSA	CALL	AABA	10/19/18	64.50	S	1,000.00	0.00	7.00	-7.00	85.0 -7.00

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: OPTIONS										
11/05/2018	75500918	SUSLOW, ELISSA	CALL T	11/09/18	32	S	1,000.00	0.00	7.00	-7.00
11/05/2018	75500918	SUSLOW, ELISSA	CALL T	11/09/18	32	B	-1,000.00	0.00	-7.00	7.00
11/09/2018	75500918	SUSLOW, ELISSA	CALL SPY	01/20/17	222	B	100.00	0.00	7.00	-7.00
11/09/2018	75500918	SUSLOW, ELISSA	CALL T	11/23/18	31.50	S	1,840.00	0.00	7.00	-7.00
11/09/2018	75500918	SUSLOW, ELISSA	CALL WFC	11/16/18	54	S	2,175.00	0.00	7.00	-7.00
11/09/2018	75500918	SUSLOW, ELISSA	CALL WFC	11/09/18	53.50	B	50.00	0.00	7.00	-7.00
11/16/2018	75500918	SUSLOW, ELISSA	PUT T	11/30/18	30.50	S	1,600.00	0.00	7.00	-7.00
11/20/2018	75500918	SUSLOW, ELISSA	PUT T	11/30/18	30.50	S	600.00	0.00	7.00	-7.00
11/21/2018	75500918	SUSLOW, ELISSA	PUT T	11/30/18	30.50	S	510.00	0.00	7.00	-7.00
11/23/2018	75500918	SUSLOW, ELISSA	PUT AABA	11/30/18	59	S	1,400.00	0.00	7.00	-7.00
11/26/2018	75500918	SUSLOW, ELISSA	PUT T	11/30/18	30.50	S	960.00	0.00	7.00	-7.00
11/28/2018	75500918	SUSLOW, ELISSA	CALL WFC	11/30/18	53.50	B	620.00	0.00	7.00	-7.00
11/28/2018	75500918	SUSLOW, ELISSA	CALL WFC	11/30/18	53.50	S	180.00	0.00	7.00	-7.00
11/16/2018	75500919	SUSLOW, ELISSA	PUT T	11/16/18	30.50	B	1,045.55	0.00	7.00	-7.00
11/16/2018	75500919	SUSLOW, ELISSA	PUT T	11/30/18	30.50	S	2,108.00	0.00	7.00	-7.00
11/09/2018	75500954	SUSLOW, STEPHEN	CALL AABA	11/09/18	64.50	S	1,800.00	0.00	7.00	-7.00
11/12/2018	75500954	SUSLOW, STEPHEN	CALL T	11/23/18	31.50	S	1,045.00	0.00	7.00	-7.00
11/16/2018	75500954	SUSLOW, STEPHEN	CALL T	11/30/18	31.50	S	2,000.00	0.00	7.00	-7.00
11/28/2018	75500954	SUSLOW, STEPHEN	PUT AABA	11/09/18	57	S	1,960.00	0.00	7.00	-7.00
11/16/2018	75500986	SUSLOVICH, JACOB	PUT T	11/30/18	30.50	S	1,200.00	0.00	7.00	-7.00
11/08/2018	75501098	WINICK FAMILY	PUT T	11/16/18	30	S	560.00	56.00	7.00	49.00
11/16/2018	75501098	WINICK FAMILY	CALL T	11/30/18	31.50	S	800.00	80.00	7.00	73.00
11/26/2018	75501098	WINICK FAMILY	CALL WFC	11/30/18	53.50	S	1,120.00	0.00	7.00	-7.00
11/27/2018	75501098	WINICK FAMILY	CALL WFC	11/30/18	53.50	S	360.00	0.00	7.00	-7.00
11/16/2018	75501215	SISTERS TWO LLC	PUT T	11/30/18	30.50	S	1,200.00	0.00	7.00	-7.00
11/16/2018	75502117	BLUMA ROTTERMANN	TTEE PUT T	11/30/18	30.50	S	1,660.00	166.00	7.00	159.00
11/19/2018	75502117	BLUMA ROTTERMANN	TTEE PUT T	11/23/18	30	S	1,008.00	100.00	7.00	93.00
11/23/2018	75502117	BLUMA ROTTERMANN	TTEE PUT T	12/07/18	30	S	9,312.00	366.00	7.00	359.00
11/23/2018	75502117	BLUMA ROTTERMANN	TTEE PUT T	11/23/18	30	B	5,064.00	0.00	7.00	-7.00
10/31/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/09/18	64.50	S	6,464.00	300.00	7.00	293.00
10/31/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/09/18	64.50	S	5,260.00	263.00	7.00	256.00
11/02/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/09/18	65.50	S	7,860.00	393.00	7.00	386.00
11/02/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/09/18	65.50	S	11,980.00	599.00	7.00	592.00
11/02/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/09/18	64.50	S	3,720.00	150.00	7.00	143.00
11/05/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	66.50	S	3,958.00	197.00	7.00	190.00
11/05/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	66.50	S	5,580.00	279.00	7.00	272.00
11/05/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/09/18	65.50	S	2,340.00	117.00	7.00	110.00
11/05/2018	75502141	BOSGANG, ALVIN	PUT AABA	10/20/17	66	S	7,260.00	363.00	7.00	356.00
11/05/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	1,980.00	99.00	7.00	92.00
11/06/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	66.50	S	7,640.00	360.00	7.00	353.00

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BROKER TRANSACTIONS												
PRODUCT CATEGORY: OPTIONS												
11/06/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	66.50	S	1,980.00	99.00	7.00	92.00	85.0	77.15
11/06/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/16/18	57	S	5,480.00	274.00	7.00	267.00	85.0	225.90
11/06/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/16/18	57	S	4,340.00	217.00	7.00	210.00	85.0	177.45
11/06/2018	75502141	BOSGANG, ALVIN	PUT AABA	10/20/17	66	S	1,240.00	62.00	7.00	55.00	85.0	45.70
11/06/2018	75502141	BOSGANG, ALVIN	PUT AABA	10/20/17	66	S	5,400.00	270.00	7.00	263.00	85.0	222.50
11/07/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	66.50	S	4,125.00	180.00	7.00	173.00	85.0	146.00
11/07/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	66.50	S	1,320.00	66.00	7.00	59.00	85.0	49.10
11/07/2018	75502141	BOSGANG, ALVIN	PUT AABA	10/20/17	66	S	6,815.00	340.00	7.00	333.00	85.0	282.00
11/07/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/16/18	59	S	560.00	28.00	7.00	21.00	85.0	16.80
11/07/2018	75502141	BOSGANG, ALVIN	PUT AABA	10/20/17	66	S	5,740.00	287.00	7.00	280.00	85.0	236.95
11/08/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	64.50	S	8,200.00	410.00	7.00	403.00	85.0	341.50
11/08/2018	75502141	BOSGANG, ALVIN	CALL AABA	10/19/18	67	S	4,440.00	222.00	7.00	215.00	85.0	181.70
11/08/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/16/18	59	S	6,040.00	300.00	7.00	293.00	85.0	248.00
11/08/2018	75502141	BOSGANG, ALVIN	PUT AABA	10/20/17	66	S	2,000.00	100.00	7.00	93.00	85.0	78.00
11/08/2018	75502141	BOSGANG, ALVIN	PUT AABA	10/20/17	66	S	3,200.00	150.00	7.00	143.00	85.0	120.50
11/08/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/16/18	59	S	2,120.00	106.00	7.00	99.00	85.0	83.10
11/09/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	64.50	S	3,020.00	151.00	7.00	144.00	85.0	121.35
11/09/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	64.50	S	5,400.00	270.00	7.00	263.00	85.0	222.50
11/09/2018	75502141	BOSGANG, ALVIN	CALL T	11/23/18	31.50	S	4,080.00	204.00	7.00	197.00	85.0	166.40
11/09/2018	75502141	BOSGANG, ALVIN	CALL T	11/23/18	31.50	S	5,600.00	280.00	7.00	273.00	85.0	231.00
11/09/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/16/18	57	S	3,800.00	190.00	7.00	183.00	85.0	154.50
11/09/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/16/18	57	S	4,600.00	230.00	7.00	223.00	85.0	188.50
11/12/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/23/18	63	S	12,933.00	600.00	7.00	593.00	85.0	503.00
11/12/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/23/18	63	S	5,040.00	252.00	7.00	245.00	85.0	207.20
11/12/2018	75502141	BOSGANG, ALVIN	CALL T	11/23/18	31.50	S	14,846.00	742.00	7.00	735.00	85.0	623.70
11/13/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/23/18	63	S	3,360.00	150.00	7.00	143.00	85.0	120.50
11/13/2018	75502141	BOSGANG, ALVIN	CALL T	11/23/18	31.50	S	2,600.00	130.00	7.00	123.00	85.0	103.50
11/13/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/16/18	59	S	2,120.00	106.00	7.00	99.00	85.0	83.10
11/13/2018	75502141	BOSGANG, ALVIN	PUT SPY	11/16/18	274.50	S	3,280.00	150.00	7.00	143.00	85.0	120.50
11/14/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/16/18	64.50	S	6,960.00	330.00	7.00	323.00	85.0	273.50
11/14/2018	75502141	BOSGANG, ALVIN	CALL T	11/30/18	31.50	S	5,640.00	282.00	7.00	275.00	85.0	232.70
11/14/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	5,620.00	281.00	7.00	274.00	85.0	231.85
11/15/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/23/18	60	S	2,460.00	123.00	7.00	116.00	85.0	97.55
11/16/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/23/18	63	S	4,360.00	218.00	7.00	211.00	85.0	178.30
11/16/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/23/18	60	S	1,220.00	61.00	7.00	54.00	85.0	44.85
11/16/2018	75502141	BOSGANG, ALVIN	PUT T	11/30/18	30.50	S	10,800.00	540.00	7.00	533.00	85.0	452.00
11/19/2018	75502141	BOSGANG, ALVIN	CALL AABA	11/23/18	63	S	11,640.00	582.00	7.00	575.00	85.0	487.70
11/19/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/23/18	60	S	4,680.00	234.00	7.00	227.00	85.0	191.90
11/21/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/30/18	57.50	S	848.00	42.00	7.00	35.00	85.0	28.70
11/21/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	4,434.00	221.00	7.00	214.00	85.0	180.85

COMMISSION STATEMENT for STEPHEN SUSLOW

TRADE DATE	CLIENT	INVESTMENT		B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS												
PRODUCT CATEGORY: OPTIONS												
11/21/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/30/18	57.50	S	3,680.00	184.00	7.00	177.00	85.0	149.40
11/21/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/30/18	57.50	S	5,120.00	256.00	7.00	249.00	85.0	210.60
11/21/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/30/18	57.50	S	3,300.00	150.00	7.00	143.00	85.0	120.50
11/21/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	4,200.00	150.00	7.00	143.00	85.0	120.50
11/21/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	1,800.00	90.00	7.00	83.00	85.0	69.50
11/21/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	1,380.00	69.00	7.00	62.00	85.0	51.65
11/23/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/30/18	59	S	7,180.00	359.00	7.00	352.00	85.0	298.15
11/23/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/30/18	57.50	S	1,960.00	98.00	7.00	91.00	85.0	76.30
11/23/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	12,360.00	570.00	7.00	563.00	85.0	477.50
11/26/2018	75502141	BOSGANG, ALVIN	CALL UAL	03/15/19	92.50	S	4,915.00	245.00	7.00	238.00	85.0	201.25
11/26/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/30/18	57.50	S	580.00	29.00	7.00	22.00	85.0	17.65
11/26/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	3,000.00	150.00	7.00	143.00	85.0	120.50
11/26/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	3,620.00	181.00	7.00	174.00	85.0	146.85
11/26/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	3,060.00	150.00	7.00	143.00	85.0	120.50
11/27/2018	75502141	BOSGANG, ALVIN	CALL UAL	03/15/19	92.50	S	10,460.00	523.00	7.00	516.00	85.0	437.55
11/27/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	4,180.00	209.00	7.00	202.00	85.0	170.65
11/27/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	1,200.00	60.00	7.00	53.00	85.0	44.00
11/27/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/09/18	57	S	1,000.00	50.00	7.00	43.00	85.0	35.50
11/27/2018	75502141	BOSGANG, ALVIN	PUT AABA	11/30/18	57.50	S	800.00	30.00	7.00	23.00	85.0	18.50
11/28/2018	75502141	BOSGANG, ALVIN	CALL MS	11/30/18	44.50	S	6,040.00	300.00	7.00	293.00	85.0	248.00
11/28/2018	75502141	BOSGANG, ALVIN	CALL UAL	03/15/19	92.50	S	2,982.00	149.00	7.00	142.00	85.0	119.65
11/28/2018	75502141	BOSGANG, ALVIN	PUT AABA	12/07/18	59.50	S	2,460.00	123.00	7.00	116.00	85.0	97.55
11/28/2018	75502141	BOSGANG, ALVIN	PUT AABA	12/07/18	59.50	S	8,410.00	420.00	7.00	413.00	85.0	350.00
11/28/2018	75502141	BOSGANG, ALVIN	PUT WFC	11/30/18	54	S	10,100.00	450.00	7.00	443.00	85.0	375.50
11/29/2018	75502141	BOSGANG, ALVIN	CALL MS	11/30/18	44.50	S	3,680.00	180.00	7.00	173.00	85.0	146.00
11/29/2018	75502141	BOSGANG, ALVIN	CALL MS	11/30/18	44.50	S	2,960.00	148.00	7.00	141.00	85.0	118.80
11/29/2018	75502141	BOSGANG, ALVIN	PUT AABA	12/07/18	59.50	S	12,460.00	600.00	7.00	593.00	85.0	503.00
11/29/2018	75502141	BOSGANG, ALVIN	PUT WFC	11/30/18	54	S	13,200.00	600.00	7.00	593.00	85.0	503.00
* OPTIONS SUBTOTAL *							\$536,271.00	\$20,478.00	\$1,022.00	\$19,456.00		\$16,384.30
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS												
11/30/2018		FEE COUNT - 1					0.00	10.17	0.00	10.17	85.0	8.64
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *							\$0.00	\$10.17	\$0.00	\$10.17		\$8.64
*** BROKER TRANSACTIONS TOTAL ***							\$2,168,561.87	\$20,688.17	\$1,204.00	\$19,484.17		\$16,380.94

COMMISSION STATEMENT for STEPHEN SUSLOW

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

11/30/2018		OTHER: HEALTH INSURANCE		0.00	0.00	0.00	0.00		-556.05
		*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-556.05

BROKER COMMISSION TOTALS

Broker Transactions	\$16,380.94
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-556.05
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-25.86
SIPC Assessment	\$-51.72

Check Amount	\$15,747.31
Year-to-date Earnings	\$177,674.14