

COMMISSION STATEMENT

September 30, 2018

JAY SHARTSIS

54 BIRCHWOOD LANE

HARTSDALE, NY, NY 10530

BROKER #: P82 P83 P84

BRANCH: HOME OFFICE

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>									
<u>PRODUCT CATEGORY: STOCKS</u>									
09/24/2018	QGW009094	KANTO, WILLIAM	SELECT SECTOR SPDR TRUST THE REAL E S	-3,854.47	74.31	6.00	68.31	50.0	34.16
09/07/2018	QGW009151	KOBOLD, MICHAEL	FACEBOOK INC CL A	S -16,100.86	80.73	6.00	74.73	50.0	37.37
09/18/2018	QGW009177	-, MICHAEL KRUEGER	KEYCORP NEW	S -9,855.05	50.00	6.00	44.00	50.0	22.00
09/21/2018	QGW009177	-, MICHAEL KRUEGER	INTREPID POTASH INC	B 4,000.00	50.00	6.00	44.00	50.0	22.00
08/31/2018	QGW009292	OSTOW, MARK	AMAZON.COM INC	S -190,000.00	80.73	6.00	74.73	50.0	37.37
09/04/2018	QGW009292	OSTOW, MARK	TESLA MOTORS INC	B 59,022.26	161.46	6.00	155.46	50.0	77.73
09/04/2018	QGW009292	OSTOW, MARK	TESLA MOTORS INC	B -59,022.26	-161.46	-6.00	-155.46	50.0	-77.73 C
09/04/2018	QGW009292	OSTOW, MARK	TESLA MOTORS INC	B 59,022.26	84.50	6.00	78.50	50.0	39.25
09/07/2018	QGW009292	OSTOW, MARK	AMAZON.COM INC	B 195,825.00	80.73	6.00	74.73	50.0	37.37
09/07/2018	QGW009292	OSTOW, MARK	TESLA MOTORS INC	S -52,260.70	124.00	6.00	118.00	50.0	59.00
09/21/2018	QGW009656	NADEL, JAMES	BAYTEX ENERGY CORP COM ISIN#CA07317 S	-3,746.26	145.97	6.00	139.97	50.0	69.99
09/21/2018	QGW009656	NADEL, JAMES	GENOIL INC COM ISIN#CA3719241018 B	4,005.25	235.00	6.00	229.00	50.0	114.50
09/21/2018	QGW009656	NADEL, JAMES	GENOIL INC COM ISIN#CA3719241018 B	-4,005.25	-235.00	-6.00	-229.00	50.0	-114.50 C
09/21/2018	QGW009656	NADEL, JAMES	GENOIL INC COM ISIN#CA3719241018 B	4,005.25	190.00	6.00	184.00	50.0	92.00
09/24/2018	QGW896649	RF LAFFERTY & CO	TILRAY INC COM	B 11,200.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896649	RF LAFFERTY & CO	TILRAY INC COM	B 11,200.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896649	RF LAFFERTY & CO	TILRAY INC COM	B 33,600.00	0.00	6.00	-6.00	50.0	-3.00
09/17/2018	QGW896664	RF LAFFERTY & CO	CRONOS GROUP INC COM ISIN#CA22717L1 B	52,550.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896664	RF LAFFERTY & CO	TILRAY INC COM	B 162,140.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896664	RF LAFFERTY & CO	TILRAY INC COM	B 770.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896664	RF LAFFERTY & CO	TILRAY INC COM	B 2,750.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896664	RF LAFFERTY & CO	TILRAY INC COM	B 22,000.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896664	RF LAFFERTY & CO	TILRAY INC COM	B 6,160.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896664	RF LAFFERTY & CO	TILRAY INC COM	B 22,000.00	0.00	6.00	-6.00	50.0	-3.00
09/24/2018	QGW896664	RF LAFFERTY & CO	TILRAY INC COM	B 4,180.00	0.00	6.00	-6.00	50.0	-3.00
* STOCKS SUBTOTAL *				\$315,585.17	\$960.97	\$126.00	\$834.97		\$417.51

PRODUCT CATEGORY: OPTIONS

09/27/2018	QGW009094	KANTO, WILLIAM	PUT 100 GENERAL ELECTRIC CO COM EXP S	-11,820.00	150.00	7.00	143.00	50.0	71.50
09/10/2018	QGW009151	KOBOLD, MICHAEL	PUT 100 APPLE INC COM EXP 10-19-18@ B	726.00	50.00	7.00	43.00	50.0	21.50
09/10/2018	QGW009151	KOBOLD, MICHAEL	PUT 100 FACEBOOK INC CL A EXP 10-19 B	801.00	50.00	7.00	43.00	50.0	21.50

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: OPTIONS</u>									
09/12/2018	QGW009151	KOBOLD, MICHAEL	PUT 100 APPLE INC COM EXP 10-19-18@ B	660.00	50.00	7.00	43.00	50.0	21.50
09/12/2018	QGW009151	KOBOLD, MICHAEL	PUT 100 FACEBOOK INC CL A EXP 10-19 B	548.00	50.00	7.00	43.00	50.0	21.50
09/14/2018	QGW009151	KOBOLD, MICHAEL	CALL 100 VIRNETX HLDG CORP COM EXP B	750.00	63.00	7.00	56.00	50.0	28.00
09/14/2018	QGW009151	KOBOLD, MICHAEL	PUT 100 VIRNETX HLDG CORP COM EXP 1 B	875.00	73.50	7.00	66.50	50.0	33.25
09/18/2018	QGW009151	KOBOLD, MICHAEL	CALL 100 VIRNETX HLDG CORP COM EXP S	-300.00	50.00	7.00	43.00	50.0	21.50
09/21/2018	QGW009177	-, MICHAEL KRUEGER	CALL 100 CBOE VOLATILITY INDEX - VX B	550.00	50.00	7.00	43.00	50.0	21.50
09/21/2018	QGW009177	-, MICHAEL KRUEGER	PUT 100 TRONOX LTD SHS CL A ISIN#AU B	790.00	50.00	7.00	43.00	50.0	21.50
09/21/2018	QGW009177	-, MICHAEL KRUEGER	PUT 100 TRONOX LTD SHS CL A ISIN#AU S	-930.00	50.00	7.00	43.00	50.0	21.50
09/27/2018	QGW009177	-, MICHAEL KRUEGER	CALL 100 AXT INC COM EXP 05-17-19@1 S	-300.00	50.00	7.00	43.00	50.0	21.50
08/31/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 08-31-1 B	6,940.00	80.73	7.00	73.73	50.0	36.87
08/31/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 08-31-1 S	-2,593.00	50.00	7.00	43.00	50.0	21.50
09/04/2018	QGW009292	OSTOW, MARK	CALL 100 APPLE INC COM EXP 09-07-18 B	720.00	60.48	7.00	53.48	50.0	26.74
09/04/2018	QGW009292	OSTOW, MARK	CALL 100 TESLA INC EXP 09-07-18 @27 S	-4,008.00	77.08	7.00	70.08	50.0	35.04
09/04/2018	QGW009292	OSTOW, MARK	PUT 100 TESLA INC EXP 09-07-18 @270 B	256.00	50.00	7.00	43.00	50.0	21.50
09/05/2018	QGW009292	OSTOW, MARK	CALL 100 TESLA INC EXP 09-07-18 @27 B	2,058.00	55.83	7.00	48.83	50.0	24.42
09/07/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 09-14-1 S	-2,313.00	50.00	7.00	43.00	50.0	21.50
09/07/2018	QGW009292	OSTOW, MARK	PUT 100 TESLA INC EXP 09-07-18 @270 S	-1,560.00	50.00	7.00	43.00	50.0	21.50
09/10/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 09-14-1 B	1,139.00	50.00	7.00	43.00	50.0	21.50
09/11/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 09-21-1 S	-2,940.00	53.31	7.00	46.31	50.0	23.16
09/17/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 09-28-1 S	-3,153.00	55.41	7.00	48.41	50.0	24.21
09/18/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 09-21-1 B	1,700.00	50.00	7.00	43.00	50.0	21.50
09/21/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 09-28-1 B	1,174.00	50.00	7.00	43.00	50.0	21.50
09/24/2018	QGW009292	OSTOW, MARK	CALL 100 AMAZON COM INC EXP 10-05-1 S	-2,505.00	50.00	7.00	43.00	50.0	21.50
* OPTIONS SUBTOTAL *				\$-12,735.00	\$1,519.34	\$182.00	\$1,337.34		\$668.69
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
09/30/2018			FEE COUNT - 2	0.00	47.37	0.00	47.37	50.0	23.69
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$47.37	\$0.00	\$47.37		\$23.69
*** BROKER TRANSACTIONS TOTAL ***				\$302,850.17	\$2,527.68	\$308.00	\$2,219.68		\$1,109.89

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>									
09/30/2018		MISCELLANEOUS: VERIZON WIRELESS		0.00	0.00	0.00	0.00		-27.12
09/30/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
09/30/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
09/30/2018		OTHER: OTHER--SALARY		0.00	0.00	0.00	0.00		500.00
09/30/2018		OTHER: CBOE		0.00	0.00	0.00	0.00		-250.00
09/30/2018		OTHER: EXCHANGE FEES		0.00	0.00	0.00	0.00		-96.36
09/30/2018		OTHER: QUODD		0.00	0.00	0.00	0.00		-65.88
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$32.64</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$1,109.89
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$32.64
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.16
SIPC Assessment	\$-6.32

Check Amount	\$1,133.05
Year-to-date Earnings	\$11,937.15