

## COMMISSION STATEMENT

September 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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

|                     |                     |                                       |   |            |       |      |       |      |       |
|---------------------|---------------------|---------------------------------------|---|------------|-------|------|-------|------|-------|
| 08/31/2018 75500864 | WINICK, JESSE       | AT&T INC                              | B | 264,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/21/2018 75500864 | WINICK, JESSE       | AT&T INC                              | S | 264,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 08/31/2018 75500867 | GREENSPAN, WILLIAM  | AT&T INC                              | B | 260,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/14/2018 75500867 | GREENSPAN, WILLIAM  | AT&T INC                              | S | 260,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 08/31/2018 75500881 | SUSLOW, RONNIE      | AT&T INC                              | B | 264,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/07/2018 75500881 | SUSLOW, RONNIE      | AT&T INC                              | B | 264,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/14/2018 75500881 | SUSLOW, RONNIE      | AT&T INC                              | B | 133,990.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 08/30/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | B | 79,200.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 08/31/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | B | 158,400.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/04/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | B | 62,700.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/05/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | B | 82,500.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/07/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | B | 118,800.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/12/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | B | 16,705.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/13/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | B | 16,795.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/14/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | S | 165,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/21/2018 75500918 | SUSLOW, ELISSA      | AT&T INC                              | S | 165,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/25/2018 75500918 | SUSLOW, ELISSA      | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B |   | 13,398.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/26/2018 75500918 | SUSLOW, ELISSA      | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B |   | 5,727.98   | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/13/2018 75500933 | LAWRENCE, IRA       | SBERBANK OF RUSSIA SPONS ADR ISIN#U S |   | 10,990.16  | 10.00 | 7.00 | 3.00  | 85.0 | 1.50  |
| 08/30/2018 75500954 | SUSLOW, STEPHEN     | AT&T INC                              | B | 75,900.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 08/31/2018 75500954 | SUSLOW, STEPHEN     | AT&T INC                              | B | 56,100.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/04/2018 75500954 | SUSLOW, STEPHEN     | AT&T INC                              | B | 19,800.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/07/2018 75500954 | SUSLOW, STEPHEN     | AT&T INC                              | B | 244,200.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/14/2018 75500954 | SUSLOW, STEPHEN     | AT&T INC                              | S | 148,500.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/25/2018 75500954 | SUSLOW, STEPHEN     | BLACKROCK TAXABLE MUNICIPAL BOND TR B |   | 14,742.00  | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 08/31/2018 75501098 | WINICK FAMILY       | AT&T INC                              | B | 260,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/14/2018 75501098 | WINICK FAMILY       | AT&T INC                              | S | 260,000.00 | 0.00  | 7.00 | -7.00 | 85.0 | -7.00 |
| 09/07/2018 75501189 | IRA S LAWRENCE TTEE | HAIN CELESTIAL GROUP INC              | S | 28,990.00  | 10.00 | 7.00 | 3.00  | 85.0 | 1.50  |
| 09/13/2018 75501189 | IRA S LAWRENCE TTEE | SBERBANK OF RUSSIA SPONS ADR ISIN#U S |   | 11,280.00  | 10.00 | 7.00 | 3.00  | 85.0 | 1.50  |
| 09/21/2018 75501189 | IRA S LAWRENCE TTEE | ACADIA PHARMACEUTICALS INC COM        | S | 19,890.00  | 10.00 | 7.00 | 3.00  | 85.0 | 1.50  |
| 09/26/2018 75501189 | IRA S LAWRENCE TTEE | BLUE CAPITAL REINSURANCE HOLDINGS L S |   | 10,600.00  | 10.00 | 7.00 | 3.00  | 85.0 | 1.50  |

COMMISSION STATEMENT for STEPHEN SUSLOW

| TRADE DATE                             | CLIENT   | INVESTMENT       | B/S | INVESTMENT<br>AMOUNT                  | GROSS<br>COMMISSION   | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE             | BROKER<br>COMMISSION |
|--|----------|------------------|-----|---------------------------------------|-----------------------|--------------------|-------------------|------------------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>      |          |                  |     |                                       |                       |                    |                   |                  |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b> |          |                  |     |                                       |                       |                    |                   |                  |                      |
| 09/26/2018                             | 75501196 | LAWRENCE, ADELLE |     | BLUE CAPITAL REINSURANCE HOLDINGS L S | 12,720.00             | 10.00              | 7.00              | 3.00             | 85.0 1.50            |
| 09/17/2018                             | 75502037 | WINICK, BARBARA  |     | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B | 12,349.05             | 0.00               | 7.00              | -7.00            | 85.0 -7.00           |
| 09/20/2018                             | 75502037 | WINICK, BARBARA  |     | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B | 6,155.00              | 0.00               | 7.00              | -7.00            | 85.0 -7.00           |
| 09/20/2018                             | 75502037 | WINICK, BARBARA  |     | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B | 12,309.05             | 0.00               | 7.00              | -7.00            | 85.0 -7.00           |
| 09/20/2018                             | 75502037 | WINICK, BARBARA  |     | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B | 6,155.00              | 0.00               | 7.00              | -7.00            | 85.0 -7.00           |
| 09/21/2018                             | 75502037 | WINICK, BARBARA  |     | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B | 49,144.00             | 0.00               | 7.00              | -7.00            | 85.0 -7.00           |
| 09/24/2018                             | 75502037 | WINICK, BARBARA  |     | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B | 12,208.60             | 0.00               | 7.00              | -7.00            | 85.0 -7.00           |
| 09/26/2018                             | 75502037 | WINICK, BARBARA  |     | NUVEEN N Y DIVIDEND ADVANTAGE MUN F B | 12,190.00             | 0.00               | 7.00              | -7.00            | 85.0 -7.00           |
|  |          |                  |     | <b>* STOCKS SUBTOTAL *</b>            | <b>\$3,878,438.84</b> | <b>\$60.00</b>     | <b>\$273.00</b>   | <b>\$-213.00</b> | <b>\$-222.00</b>     |

**PRODUCT CATEGORY: OPTIONS**

|            |          |                    |          |          |       |   |           |        |      |        |             |
|------------|----------|--------------------|----------|----------|-------|---|-----------|--------|------|--------|-------------|
| 09/24/2018 | 75500859 | LABELLA, CHARLES   | PUT T    | 09/28/18 | 33    | S | 400.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/05/2018 | 75500864 | WINICK, JESSE      | CALL T   | 09/21/18 | 33    | S | 800.00    | 80.00  | 7.00 | 73.00  | 85.0 61.00  |
| 09/14/2018 | 75500864 | WINICK, JESSE      | CALL T   | 09/14/18 | 33    | B | 4,286.32  | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/14/2018 | 75500864 | WINICK, JESSE      | CALL T   | 09/28/18 | 33    | S | 5,820.00  | 151.00 | 7.00 | 144.00 | 85.0 121.35 |
| 09/17/2018 | 75500864 | WINICK, JESSE      | CALL T   | 09/21/18 | 33    | S | 780.00    | 78.00  | 7.00 | 71.00  | 85.0 59.30  |
| 09/17/2018 | 75500864 | WINICK, JESSE      | PUT T    | 09/28/18 | 33    | S | 1,085.26  | 108.00 | 7.00 | 101.00 | 85.0 84.80  |
| 09/20/2018 | 75500864 | WINICK, JESSE      | PUT T    | 10/05/18 | 32.50 | S | 840.00    | 84.00  | 7.00 | 77.00  | 85.0 64.40  |
| 09/20/2018 | 75500864 | WINICK, JESSE      | PUT T    | 09/28/18 | 33    | S | 1,040.00  | 104.00 | 7.00 | 97.00  | 85.0 81.40  |
| 09/21/2018 | 75500864 | WINICK, JESSE      | PUT T    | 10/05/18 | 32.50 | S | 1,020.00  | 102.00 | 7.00 | 95.00  | 85.0 79.70  |
| 09/21/2018 | 75500864 | WINICK, JESSE      | PUT T    | 09/28/18 | 33    | S | 765.00    | 76.00  | 7.00 | 69.00  | 85.0 57.60  |
| 09/27/2018 | 75500864 | WINICK, JESSE      | PUT T    | 09/28/18 | 33    | B | 60.00     | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/20/2018 | 75500867 | GREENSPAN, WILLIAM | PUT T    | 09/28/18 | 33    | S | 1,040.00  | 104.00 | 7.00 | 97.00  | 85.0 81.40  |
| 09/04/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 09/21/18 | 33    | S | 1,080.00  | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/05/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 09/21/18 | 33    | S | 600.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/06/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 09/14/18 | 33    | S | 280.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/06/2018 | 75500881 | SUSLOW, RONNIE     | CALL WFC | 09/14/18 | 60    | S | 1,520.00  | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/07/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 09/14/18 | 33    | S | 480.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/11/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 09/14/18 | 33    | B | 1,887.00  | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/13/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 09/21/18 | 33    | S | 992.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/17/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 09/21/18 | 33    | S | 780.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/18/2018 | 75500881 | SUSLOW, RONNIE     | PUT AABA | 12/15/17 | 68    | S | 416.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/18/2018 | 75500881 | SUSLOW, RONNIE     | PUT T    | 09/28/18 | 33    | S | 500.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/20/2018 | 75500881 | SUSLOW, RONNIE     | PUT AABA | 12/15/17 | 68    | B | 230.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/21/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 10/05/18 | 33    | S | 22,473.49 | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/21/2018 | 75500881 | SUSLOW, RONNIE     | CALL T   | 09/21/18 | 33    | B | 20,292.09 | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/24/2018 | 75500881 | SUSLOW, RONNIE     | PUT T    | 10/05/18 | 32.50 | S | 880.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 09/25/2018 | 75500881 | SUSLOW, RONNIE     | PUT T    | 09/28/18 | 33    | S | 936.00    | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 08/31/2018 | 75500882 | SUSLOW, RONNIE     | CALL T   | 08/31/18 | 33.50 | B | 6,140.00  | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |
| 08/31/2018 | 75500882 | SUSLOW, RONNIE     | PUT T    | 09/14/18 | 32.50 | S | 7,300.00  | 0.00   | 7.00 | -7.00  | 85.0 -7.00  |

COMMISSION STATEMENT for STEPHEN SUSLOW

| TRADE DATE                | CLIENT   | INVESTMENT            | B/S    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE   | BROKER<br>COMMISSION |       |      |       |
|---------------------------|----------|-----------------------|--------|----------------------|---------------------|--------------------|-------------------|--------|----------------------|-------|------|-------|
| BROKER TRANSACTIONS       |          |                       |        |                      |                     |                    |                   |        |                      |       |      |       |
| PRODUCT CATEGORY: OPTIONS |          |                       |        |                      |                     |                    |                   |        |                      |       |      |       |
| 09/26/2018                | 75500882 | SUSLOW, RONNIE        | PUT T  | 10/05/18             | 32.50               | S                  | 840.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 08/31/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/14/18             | 33                  | S                  | 680.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/04/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/21/18             | 33                  | S                  | 1,080.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/05/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/21/18             | 33                  | S                  | 600.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/06/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/14/18             | 33                  | S                  | 840.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/11/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/14/18             | 33                  | B                  | 1,258.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/13/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/21/18             | 33                  | S                  | 992.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/13/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 09/21/18             | 32.50               | S                  | 54.00             | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/14/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/21/18             | 33                  | S                  | 5,200.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/14/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/14/18             | 33                  | B                  | 5,893.68          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/14/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/21/18             | 33                  | S                  | 913.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/17/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 09/28/18             | 33                  | S                  | 1,099.74          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/18/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 09/28/18             | 33                  | S                  | 600.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/18/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 10/05/18             | 32.50               | S                  | 560.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 09/21/18             | 33                  | B                  | 23,335.91         | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75500918 | SUSLOW, ELISSA        | CALL T | 10/05/18             | 33                  | S                  | 25,844.51         | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 10/05/18             | 32.50               | S                  | 1,020.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 09/28/18             | 33                  | S                  | 765.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/24/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 10/05/18             | 32.50               | S                  | 440.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/25/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 09/28/18             | 33                  | S                  | 624.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/27/2018                | 75500918 | SUSLOW, ELISSA        | PUT T  | 09/28/18             | 33                  | B                  | 960.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/05/2018                | 75500954 | SUSLOW, STEPHEN       | CALL T | 09/14/18             | 33                  | S                  | 225.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/14/2018                | 75500954 | SUSLOW, STEPHEN       | CALL T | 09/21/18             | 33.50               | S                  | 2,175.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/20/2018                | 75500954 | SUSLOW, STEPHEN       | CALL T | 09/21/18             | 33                  | S                  | 45.00             | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75500954 | SUSLOW, STEPHEN       | CALL T | 09/21/18             | 33.50               | B                  | 4,500.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75500954 | SUSLOW, STEPHEN       | CALL T | 10/05/18             | 33.50               | S                  | 5,813.30          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/25/2018                | 75500954 | SUSLOW, STEPHEN       | PUT T  | 10/05/18             | 32.50               | S                  | 1,280.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/06/2018                | 75500986 | SUSLOVICH, JACOB      | CALL T | 09/21/18             | 33.50               | S                  | 440.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/18/2018                | 75500986 | SUSLOVICH, JACOB      | CALL T | 09/21/18             | 33                  | S                  | 200.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/20/2018                | 75500986 | SUSLOVICH, JACOB      | PUT T  | 09/28/18             | 33                  | S                  | 400.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75500986 | SUSLOVICH, JACOB      | CALL T | 09/21/18             | 33.50               | B                  | 4,800.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75500986 | SUSLOVICH, JACOB      | CALL T | 10/05/18             | 33.50               | S                  | 6,200.85          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/17/2018                | 75501098 | WINICK FAMILY         | CALL T | 09/21/18             | 33                  | S                  | 520.00            | 52.00  | 7.00                 | 45.00 | 85.0 | 37.20 |
| 09/20/2018                | 75501098 | WINICK FAMILY         | PUT T  | 09/28/18             | 33                  | S                  | 1,040.00          | 104.00 | 7.00                 | 97.00 | 85.0 | 81.40 |
| 09/25/2018                | 75501098 | WINICK FAMILY         | PUT T  | 10/05/18             | 32.50               | S                  | 640.00            | 64.00  | 7.00                 | 57.00 | 85.0 | 47.40 |
| 09/06/2018                | 75501215 | SISTERS TWO LLC       | CALL T | 09/21/18             | 33.50               | S                  | 440.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/18/2018                | 75501215 | SISTERS TWO LLC       | CALL T | 09/21/18             | 33                  | S                  | 200.00            | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75501215 | SISTERS TWO LLC       | CALL T | 09/21/18             | 33.50               | B                  | 4,800.00          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/21/2018                | 75501215 | SISTERS TWO LLC       | CALL T | 10/05/18             | 33.50               | S                  | 6,200.85          | 0.00   | 7.00                 | -7.00 | 85.0 | -7.00 |
| 09/12/2018                | 75502117 | BLUMA ROTTERMANN TTEE | PUT T  | 09/21/18             | 32.50               | S                  | 720.00            | 72.00  | 7.00                 | 65.00 | 85.0 | 54.20 |

COMMISSION STATEMENT for STEPHEN SUSLOW

| TRADE DATE                | CLIENT   | INVESTMENT                  | B/S      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|----------|-----------------------------|----------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS       |          |                             |          |                      |                     |                    |                   |      |                      |
| PRODUCT CATEGORY: OPTIONS |          |                             |          |                      |                     |                    |                   |      |                      |
| 09/18/2018                | 75502117 | BLUMA ROTTERMANN TTEE PUT T | 09/28/18 | 33                   | S                   | 500.00             | 50.00             | 7.00 | 43.00 85.0 35.50     |
| 09/20/2018                | 75502117 | BLUMA ROTTERMANN TTEE PUT T | 10/05/18 | 32.50                | S                   | 400.00             | 40.00             | 7.00 | 33.00 85.0 27.00     |
| 09/20/2018                | 75502117 | BLUMA ROTTERMANN TTEE PUT T | 09/28/18 | 33                   | S                   | 1,040.00           | 104.00            | 7.00 | 97.00 85.0 81.40     |
| 09/25/2018                | 75502117 | BLUMA ROTTERMANN TTEE PUT T | 10/05/18 | 32.50                | S                   | 640.00             | 64.00             | 7.00 | 57.00 85.0 47.40     |
| 08/31/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/07/18 | 71.50                | S                   | 4,232.00           | 211.00            | 7.00 | 204.00 85.0 172.35   |
| 08/31/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/07/18 | 72                   | S                   | 760.00             | 38.00             | 7.00 | 31.00 85.0 25.30     |
| 08/31/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/14/18 | 72.50                | S                   | 15,600.00          | 750.00            | 7.00 | 743.00 85.0 630.50   |
| 08/31/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/14/18 | 72                   | S                   | 20,983.00          | 750.00            | 7.00 | 743.00 85.0 630.50   |
| 09/04/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/14/18 | 72                   | S                   | 21,640.00          | 900.00            | 7.00 | 893.00 85.0 758.00   |
| 09/04/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/14/18 | 72                   | S                   | 400.00             | 20.00             | 7.00 | 13.00 85.0 10.00     |
| 09/04/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/14/18 | 72                   | S                   | 2,280.00           | 114.00            | 7.00 | 107.00 85.0 89.90    |
| 09/04/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/14/18 | 71                   | S                   | 7,200.00           | 360.00            | 7.00 | 353.00 85.0 299.00   |
| 09/06/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/21/18 | 69.50                | S                   | 3,246.00           | 153.00            | 7.00 | 146.00 85.0 123.05   |
| 09/06/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 08/24/18 | 73.50                | S                   | 11,900.00          | 595.00            | 7.00 | 588.00 85.0 498.75   |
| 09/06/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/21/18 | 70.50                | S                   | 4,803.00           | 240.00            | 7.00 | 233.00 85.0 197.00   |
| 09/06/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 12/15/17 | 68                   | S                   | 2,300.00           | 115.00            | 7.00 | 108.00 85.0 90.75    |
| 09/07/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/21/18 | 70.50                | S                   | 2,760.00           | 138.00            | 7.00 | 131.00 85.0 110.30   |
| 09/07/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/21/18 | 69.50                | S                   | 10,638.00          | 447.00            | 7.00 | 440.00 85.0 372.95   |
| 09/07/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 08/24/18 | 73.50                | S                   | 13,160.00          | 630.00            | 7.00 | 623.00 85.0 528.50   |
| 09/07/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 12/15/17 | 68                   | S                   | 1,460.00           | 73.00             | 7.00 | 66.00 85.0 55.05     |
| 09/07/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 12/15/17 | 68                   | S                   | 12,880.00          | 510.00            | 7.00 | 503.00 85.0 426.50   |
| 09/12/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/21/18 | 69.50                | S                   | 4,240.00           | 210.00            | 7.00 | 203.00 85.0 171.50   |
| 09/12/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 12/15/17 | 68                   | S                   | 5,660.00           | 270.00            | 7.00 | 263.00 85.0 222.50   |
| 09/12/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 12/15/17 | 68                   | S                   | 4,800.00           | 240.00            | 7.00 | 233.00 85.0 197.00   |
| 09/13/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 12/15/17 | 68                   | S                   | 1,400.00           | 60.00             | 7.00 | 53.00 85.0 44.00     |
| 09/14/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/21/18 | 71.50                | S                   | 8,572.00           | 428.00            | 7.00 | 421.00 85.0 356.80   |
| 09/14/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 12/15/17 | 68                   | S                   | 11,344.00          | 567.00            | 7.00 | 560.00 85.0 474.95   |
| 09/17/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 08/24/18 | 73.50                | S                   | 740.00             | 37.00             | 7.00 | 30.00 85.0 24.45     |
| 09/17/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/21/18 | 69.50                | S                   | 500.00             | 25.00             | 7.00 | 18.00 85.0 14.25     |
| 09/17/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/28/18 | 70.50                | S                   | 5,500.00           | 275.00            | 7.00 | 268.00 85.0 226.75   |
| 09/17/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/28/18 | 70                   | S                   | 17,800.00          | 750.00            | 7.00 | 743.00 85.0 630.50   |
| 09/17/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 12/15/17 | 68                   | S                   | 2,680.00           | 134.00            | 7.00 | 127.00 85.0 106.90   |
| 09/18/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/28/18 | 68                   | S                   | 9,861.00           | 493.00            | 7.00 | 486.00 85.0 412.05   |
| 09/18/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/28/18 | 69                   | S                   | 410.67             | 20.00             | 7.00 | 13.00 85.0 10.00     |
| 09/18/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/28/18 | 70                   | S                   | 6,160.00           | 308.00            | 7.00 | 301.00 85.0 254.80   |
| 09/21/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/28/18 | 70                   | S                   | 9,640.00           | 450.00            | 7.00 | 443.00 85.0 375.50   |
| 09/21/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/28/18 | 70                   | S                   | 8,400.00           | 420.00            | 7.00 | 413.00 85.0 350.00   |
| 09/21/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 09/28/18 | 70.50                | S                   | 3,600.00           | 180.00            | 7.00 | 173.00 85.0 146.00   |
| 09/26/2018                | 75502141 | BOSGANG, ALVIN CALL AABA    | 10/05/18 | 71                   | S                   | 12,140.00          | 600.00            | 7.00 | 593.00 85.0 503.00   |
| 09/26/2018                | 75502141 | BOSGANG, ALVIN PUT AABA     | 07/21/17 | 54                   | S                   | 16,360.00          | 600.00            | 7.00 | 593.00 85.0 503.00   |

COMMISSION STATEMENT for STEPHEN SUSLOW

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: OPTIONS

|                                   |          |                |      |      |          |    |   |                |             |            |             |      |             |
|-----------------------------------|----------|----------------|------|------|----------|----|---|----------------|-------------|------------|-------------|------|-------------|
| 09/26/2018                        | 75502141 | BOSGANG, ALVIN | PUT  | AABA | 07/21/17 | 54 | S | 8,400.00       | 420.00      | 7.00       | 413.00      | 85.0 | 350.00      |
| 09/27/2018                        | 75502141 | BOSGANG, ALVIN | CALL | AABA | 10/05/18 | 70 | S | 15,280.00      | 600.00      | 7.00       | 593.00      | 85.0 | 503.00      |
| 09/27/2018                        | 75502141 | BOSGANG, ALVIN | CALL | AABA | 09/28/18 | 69 | S | 1,540.00       | 77.00       | 7.00       | 70.00       | 85.0 | 58.45       |
| 09/27/2018                        | 75502141 | BOSGANG, ALVIN | CALL | AABA | 09/28/18 | 70 | S | 1,300.00       | 65.00       | 7.00       | 58.00       | 85.0 | 48.25       |
| 09/27/2018                        | 75502141 | BOSGANG, ALVIN | PUT  | AABA | 07/21/17 | 54 | S | 5,240.00       | 262.00      | 7.00       | 255.00      | 85.0 | 215.70      |
| * OPTIONS SUBTOTAL *              |          |                |      |      |          |    |   | \$499,352.67   | \$14,972.00 | \$798.00   | \$14,174.00 |      | \$11,928.20 |
| *** BROKER TRANSACTIONS TOTAL *** |          |                |      |      |          |    |   | \$4,377,791.51 | \$15,032.00 | \$1,071.00 | \$13,961.00 |      | \$11,706.20 |

ADJUSTMENTS

|            |                               |               |               |               |               |                  |
|------------|-------------------------------|---------------|---------------|---------------|---------------|------------------|
| 09/30/2018 | OTHER: OTHER-HEALTH INSURANCE | 0.00          | 0.00          | 0.00          | 0.00          | -556.05          |
|            | *** ADJUSTMENTS TOTAL ***     | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$0.00</u> | <u>\$-556.05</u> |

BROKER COMMISSION TOTALS

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$11,706.20 |
| 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      | \$-18.79    |
| SIPC Assessment       | \$-37.58    |

|                       |              |
|-----------------------|--------------|
| Check Amount          | \$11,093.78  |
| Year-to-date Earnings | \$147,235.22 |