

COMMISSION STATEMENT

October 31, 2018

PHYLLIS FATTORUSO

89-40 151ST AVENUE

APT 5G

HOWARD BEACH, NY 11414

BROKER #: P80

BRANCH: HOME OFFICE

COMMISSION STATEMENT for PHYLLIS FATTORUSO

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>									
09/28/2018	QGW007700	SARNA, MARK		ARCONIC INC COM	S	-36,509.21	83.00	0.00	83.00 52.0 43.16
09/28/2018	QGW007700	SARNA, MARK		IQIYI INC SPONS ADR ISIN#US46267X10	S	-27,066.60	50.00	0.00	50.00 52.0 26.00
10/01/2018	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	6,862.40	100.00	0.00	100.00 52.0 52.00
10/01/2018	QGW007700	SARNA, MARK		ANTARES PHARMA INC COM	B	6,457.40	100.00	0.00	100.00 52.0 52.00
10/10/2018	QGW007700	SARNA, MARK		TERRASCEND CORP REGISTERED SHS ISIN	S	-15,760.00	100.00	0.00	100.00 52.0 52.00
10/11/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-57,700.20	100.00	0.00	100.00 52.0 52.00
10/11/2018	QGW007700	SARNA, MARK		UNITED STATES STL CORP NEW	B	56,708.00	100.00	0.00	100.00 52.0 52.00
10/16/2018	QGW007700	SARNA, MARK		TERRASCEND CORP REGISTERED SHS ISIN	B	19,590.60	100.00	0.00	100.00 52.0 52.00
10/19/2018	QGW007700	SARNA, MARK		FREEPORT MCMORAN INC	B	24,000.00	100.00	0.00	100.00 52.0 52.00
10/19/2018	QGW007700	SARNA, MARK		GENERAL ELECTRIC CO	B	156,000.00	650.00	0.00	650.00 52.0 338.00
10/22/2018	QGW007700	SARNA, MARK		ALCOA CORPORATION COMMON STOCK	S	-117,780.30	150.00	0.00	150.00 52.0 78.00
10/22/2018	QGW007700	SARNA, MARK		ALCOA CORPORATION COMMON STOCK	S	117,780.30	-150.00	0.00	-150.00 52.0 -78.00 C
10/22/2018	QGW007700	SARNA, MARK		VALE S A SPONSORED ADR	S	-15,742.60	50.00	0.00	50.00 52.0 26.00
10/23/2018	QGW007700	SARNA, MARK		GENERAL ELECTRIC CO	S	-12,303.00	50.00	0.00	50.00 52.0 26.00
10/25/2018	QGW007700	SARNA, MARK		ARCONIC INC COM	S	-30,019.50	75.00	0.00	75.00 52.0 39.00
10/25/2018	QGW007700	SARNA, MARK		BANK OF AMERICA CORP	S	-80,223.90	150.00	0.00	150.00 52.0 78.00
10/25/2018	QGW007700	SARNA, MARK		UNITED STATES STL CORP NEW	S	-53,408.20	100.00	0.00	100.00 52.0 52.00
10/25/2018	QGW007700	SARNA, MARK		XEROX CORPORATION COMMON STOCK	S	-27,833.00	50.00	0.00	50.00 52.0 26.00
09/28/2018	QGW007825	SARNA FAMILY LTD		IQIYI INC SPONS ADR ISIN#US46267X10	S	-54,107.40	100.00	0.00	100.00 52.0 52.00
10/01/2018	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	6,862.40	100.00	0.00	100.00 52.0 52.00
10/01/2018	QGW007825	SARNA FAMILY LTD		ANTARES PHARMA INC COM	B	6,457.40	100.00	0.00	100.00 52.0 52.00
10/10/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN	S	-15,760.00	100.00	0.00	100.00 52.0 52.00
10/12/2018	QGW007825	SARNA FAMILY LTD		ALIBABA GROUP HOLDING LTD SPONSORED	S	-147,304.90	50.00	0.00	50.00 52.0 26.00
10/12/2018	QGW007825	SARNA FAMILY LTD		ALIBABA GROUP HOLDING LTD SPONSORED	S	-146,174.90	50.00	0.00	50.00 52.0 26.00
10/12/2018	QGW007825	SARNA FAMILY LTD		APPLE INC	S	-221,770.20	50.00	0.00	50.00 52.0 26.00
10/15/2018	QGW007825	SARNA FAMILY LTD		ALIBABA GROUP HOLDING LTD SPONSORED	S	-144,743.30	50.00	0.00	50.00 52.0 26.00
10/15/2018	QGW007825	SARNA FAMILY LTD		AMC ENTMT HLDGS INC CL A COM	S	-57,440.70	150.00	0.00	150.00 52.0 78.00
10/15/2018	QGW007825	SARNA FAMILY LTD		APPLE INC	S	-219,063.10	50.00	0.00	50.00 52.0 26.00
10/15/2018	QGW007825	SARNA FAMILY LTD		CISCO SYS INC	S	-224,856.00	250.00	0.00	250.00 52.0 130.00
10/15/2018	QGW007825	SARNA FAMILY LTD		CITIGROUP INC COM	S	-279,257.20	200.00	0.00	200.00 52.0 104.00
10/15/2018	QGW007825	SARNA FAMILY LTD		CITIGROUP INC COM	S	-278,761.20	200.00	0.00	200.00 52.0 104.00

COMMISSION STATEMENT for PHYLLIS FATTORUSO

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>									
10/15/2018	QGW007825	SARNA FAMILY LTD		FACEBOOK INC CL A	S	-155,190.90	50.00	0.00	50.00 52.0 26.00
10/15/2018	QGW007825	SARNA FAMILY LTD		FACEBOOK INC CL A	S	-154,868.30	50.00	0.00	50.00 52.0 26.00
10/15/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN S	S	-29,226.00	150.00	0.00	150.00 52.0 78.00
10/15/2018	QGW007825	SARNA FAMILY LTD		XEROX CORPORATION COMMON STOCK	S	-96,750.00	187.50	0.00	187.50 52.0 97.50
10/16/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN B	B	19,590.60	100.00	0.00	100.00 52.0 52.00
10/17/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN B	B	2,369.46	15.00	0.00	15.00 52.0 7.80
10/17/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN B	B	1,580.00	10.00	0.00	10.00 52.0 5.20
10/17/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN B	B	4,740.00	30.00	0.00	30.00 52.0 15.60
10/17/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN B	B	790.00	5.00	0.00	5.00 52.0 2.60
10/17/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN B	B	790.00	5.00	0.00	5.00 52.0 2.60
10/17/2018	QGW007825	SARNA FAMILY LTD		TERRASCEND CORP REGISTERED SHS ISIN B	B	5,530.00	35.00	0.00	35.00 52.0 18.20
10/19/2018	QGW007825	SARNA FAMILY LTD		FACEBOOK INC CL A	B	150,000.00	50.00	0.00	50.00 52.0 26.00
10/19/2018	QGW007825	SARNA FAMILY LTD		FREEMPORT MCMORAN INC	B	24,000.00	100.00	0.00	100.00 52.0 52.00
10/19/2018	QGW007825	SARNA FAMILY LTD		GENERAL ELECTRIC CO	B	132,000.00	550.00	0.00	550.00 52.0 286.00
10/22/2018	QGW007825	SARNA FAMILY LTD		ALCOA CORPORATION COMMON STOCK	S	-117,780.30	150.00	0.00	150.00 52.0 78.00
10/22/2018	QGW007825	SARNA FAMILY LTD		FACEBOOK INC CL A	S	-155,332.90	50.00	0.00	50.00 52.0 26.00
10/22/2018	QGW007825	SARNA FAMILY LTD		VALE S A SPONSORED ADR	S	-15,742.60	50.00	0.00	50.00 52.0 26.00
10/23/2018	QGW007825	SARNA FAMILY LTD		ARCONIC INC COM	S	-409,078.00	1,000.00	0.00	1,000.00 52.0 520.00
10/23/2018	QGW007825	SARNA FAMILY LTD		CISCO SYS INC	S	-445,947.00	500.00	0.00	500.00 52.0 260.00
10/23/2018	QGW007825	SARNA FAMILY LTD		CISCO SYS INC	S	-316,960.70	350.00	0.00	350.00 52.0 182.00
10/11/2018	QGW020927	KNIGHT, DAVID		PROSHARES TR PROSHARES ULTRASHORT T S	S	-19,926.55	50.00	0.00	50.00 52.0 26.00
				* STOCKS SUBTOTAL *		\$-3,438,280.10	\$6,895.50	\$0.00	\$6,895.50 \$3,585.66
<u>PRODUCT CATEGORY: OPTIONS</u>									
09/28/2018	QGW007700	SARNA, MARK		CALL 100 GOLDMAN SACHS GROUP INC CO B		11,340.00	40.00	0.00	40.00 52.0 20.80
10/02/2018	QGW007700	SARNA, MARK		CALL 100 IQIYI INC SPONS ADR ISIN#U B		8,820.00	80.00	0.00	80.00 52.0 41.60
10/05/2018	QGW007700	SARNA, MARK		CALL 100 GENERAL ELECTRIC CO COM EX S		-9,600.00	120.00	0.00	120.00 52.0 62.40
10/08/2018	QGW007700	SARNA, MARK		CALL 100 SCHLUMBERGER LTD COM ISIN# S		-3,361.00	40.00	0.00	40.00 52.0 20.80
10/09/2018	QGW007700	SARNA, MARK		CALL 100 SCHLUMBERGER LTD COM ISIN# S		-3,725.70	40.00	0.00	40.00 52.0 20.80
10/11/2018	QGW007700	SARNA, MARK		CALL 100 IQIYI INC SPONS ADR ISIN#U B		9,900.00	120.00	0.00	120.00 52.0 62.40
10/16/2018	QGW007700	SARNA, MARK		CALL 100 GOLDMAN SACHS GROUP INC CO S		-6,850.00	40.00	0.00	40.00 52.0 20.80
10/17/2018	QGW007700	SARNA, MARK		CALL 100 DOWDUPONT INC EXP 12-21-18 B		5,850.00	40.00	0.00	40.00 52.0 20.80
10/18/2018	QGW007700	SARNA, MARK		CALL 100 CISCO SYSTEMS INC EXP 11-1 B		3,870.00	40.00	0.00	40.00 52.0 20.80
10/19/2018	QGW007700	SARNA, MARK		CALL 100 BANK OF AMERICA CORPORATIO B		10,000.00	300.00	0.00	300.00 52.0 156.00
10/24/2018	QGW007700	SARNA, MARK		CALL 100 BANK OF AMERICA CORPORATIO B		6,273.60	90.00	0.00	90.00 52.0 46.80
10/26/2018	QGW007700	SARNA, MARK		CALL 100 BANK OF AMERICA CORPORATIO B		4,540.00	60.00	0.00	60.00 52.0 31.20
10/30/2018	QGW007700	SARNA, MARK		CALL 100 CITIGROUP INC COM NEW ISIN B		5,670.00	40.00	0.00	40.00 52.0 20.80
10/02/2018	QGW007825	SARNA FAMILY LTD		CALL 100 IQIYI INC SPONS ADR ISIN#U B		8,840.00	80.00	0.00	80.00 52.0 41.60
10/05/2018	QGW007825	SARNA FAMILY LTD		CALL 100 TESLA INC EXP 11-16-18 @25 B		34,200.00	40.00	0.00	40.00 52.0 20.80
10/08/2018	QGW007825	SARNA FAMILY LTD		CALL 100 SCHLUMBERGER LTD COM ISIN# S		-3,361.00	40.00	0.00	40.00 52.0 20.80

COMMISSION STATEMENT for PHYLLIS FATTORUSO

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

BROKER TRANSACTIONSPRODUCT CATEGORY: OPTIONS

10/09/2018	QGW007825	SARNA FAMILY LTD	CALL 100	SCHLUMBERGER LTD COM ISIN# S	-7,451.40	80.00	0.00	80.00	52.0	41.60
10/10/2018	QGW007825	SARNA FAMILY LTD	CALL 100	GOLDMAN SACHS GROUP INC CO B	10,300.00	40.00	0.00	40.00	52.0	20.80
10/11/2018	QGW007825	SARNA FAMILY LTD	CALL 100	IQIYI INC SPONS ADR ISIN#U B	9,900.00	120.00	0.00	120.00	52.0	62.40
10/15/2018	QGW007825	SARNA FAMILY LTD	CALL 100	IQIYI INC SPONS ADR ISIN#U S	-25,200.00	240.00	0.00	240.00	52.0	124.80
10/15/2018	QGW007825	SARNA FAMILY LTD	CALL 100	TESLA INC EXP 11-16-18 @25 S	-30,300.00	40.00	0.00	40.00	52.0	20.80
10/16/2018	QGW007825	SARNA FAMILY LTD	CALL 100	IQIYI INC SPONS ADR ISIN#U B	25,200.00	240.00	0.00	240.00	52.0	124.80
10/17/2018	QGW007825	SARNA FAMILY LTD	CALL 100	DOWDUPONT INC EXP 12-21-18 B	11,700.00	80.00	0.00	80.00	52.0	41.60
10/18/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO B	9,380.00	40.00	0.00	40.00	52.0	20.80
10/18/2018	QGW007825	SARNA FAMILY LTD	CALL 100	CISCO SYSTEMS INC EXP 11-1 B	3,870.00	40.00	0.00	40.00	52.0	20.80
10/18/2018	QGW007825	SARNA FAMILY LTD	CALL 100	SCHLUMBERGER LTD COM ISIN# B	4,130.00	40.00	0.00	40.00	52.0	20.80
10/19/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO B	10,000.00	300.00	0.00	300.00	52.0	156.00
10/22/2018	QGW007825	SARNA FAMILY LTD	CALL 100	ALIBABA GROUP HLDG LTD SPO S	-12,780.00	40.00	0.00	40.00	52.0	20.80
10/24/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO B	6,273.60	90.00	0.00	90.00	52.0	46.80
10/24/2018	QGW007825	SARNA FAMILY LTD	CALL 100	MORGAN STANLEY COM NEW EXP B	6,340.00	80.00	0.00	80.00	52.0	41.60
10/26/2018	QGW007825	SARNA FAMILY LTD	CALL 100	BANK OF AMERICA CORPORATIO B	4,540.00	60.00	0.00	60.00	52.0	31.20
10/26/2018	QGW007825	SARNA FAMILY LTD	CALL 100	CITIGROUP INC COM NEW ISIN B	4,250.00	40.00	0.00	40.00	52.0	20.80
10/30/2018	QGW007825	SARNA FAMILY LTD	CALL 100	CITIGROUP INC COM NEW ISIN B	5,697.00	40.00	0.00	40.00	52.0	20.80
10/03/2018	QGW020927	KNIGHT, DAVID	CALL 100	PROSHARES TR PROSHARES ULT B	520.00	50.00	0.00	50.00	52.0	26.00
* OPTIONS SUBTOTAL *					\$118,775.10	\$2,870.00	\$0.00	\$2,870.00		\$1,492.40

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/31/2018		FEE COUNT - 2			0.00	25.34	0.00	25.34	52.0	13.18
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$25.34	\$0.00	\$25.34		\$13.18
*** BROKER TRANSACTIONS TOTAL ***					\$-3,319,505.00	\$9,790.84	\$0.00	\$9,790.84		\$5,091.24

ADJUSTMENTS

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		\$-20.00

BROKER COMMISSION TOTALS

Broker Transactions	\$5,091.24
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-12.24
SIPC Assessment	\$-24.48

Check Amount	\$5,034.52
Year-to-date Earnings	\$21,578.43