

TRADE DATE
STLMNT DATE BUY/SELL QUANTITY
Regular Way trading / Pershing
9/14/2017
9/15/2017
9/21/2017
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9/28/2017 BUY
9/28/2017 BUY
10/3/2017 BUY
10/3/2017 BUY
10/2/2017 SELL
10/2/2017 SELL
10/5/2017 BUY
10/13/2017 BUY
10/17/2017 BUY

10/16/2017 SELL
10/16/2017 SELL
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10/18/2017 BUY
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11/3/2017 BUY
11/7/2017 BUY
11/7/2017 BUY
11/6/2017 SELL
11/7/2017 BUY
11/15/2017 SELL
11/21/2017 SELL
SYMBOL
PRICE
PRINCIPAL
COMM.
FEES
TRANS. CCY
SALES CREDIT
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-5,000.0000 GSK
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1/30/2018 SELL
1/30/2018 SELL
2/5/2018 SELL
2/13/2018 SELL
2/21/2018 SELL
2/21/2018 SELL
3/2/2018 SELL
3/2/2018 SELL
3/2/2018 SELL
3/5/2018 SELL
-5,900.0000 PAGS
-2,300.0000 ATNX
-3,100.0000 AGS
-1,600.0000 GTES
-4,000.0000 VICI
-3,000.0000 MGEN
-4,800.0000 DFBHU
-6,600.0000 DM
-3,900.0000 BEDU
-2,500.0000 BEDU
-1,400.0000 NMIH
-1,500.0000 BEDU
28.50492000
14.90000000
17.60032000
18.79498000
20.85000000
5.25000000
10.01000000
26.01522000
18.29800000
18.08200000
20.65000000
18.06775000
168,179.03
34,270.00
54,560.99
30,071.97
83,400.00
15,750.00
48,048.00
171,700.45
71,362.20
45,205.00
28,910.00
27,101.63
236.00
92.00
124.00

64.00
160.00
120.00
192.00
264.00
156.00
100.00
56.00
60.00

\$ 69,054.64

9.89 USD

6.80 USD

7.27 USD

6.70 USD

7.93 USD

6.37 USD

7.11 USD

9.97 USD

7.65 USD

7.05 USD

6.67 USD

6.63 USD

\$

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

57,285.49

Regular Way Trading / Pershing

ECM Buys

ECM Sells

\$ 126,340.13

\$ 76,983.42

\$ 43,814.71

\$ 5,542.00

\$ 126,340.13

Confidential