

COMMISSION STATEMENT

October 31, 2017

IRENE SULLIVAN
303 BEVERLEY ROAD
APT 9C
BROOKLYN, NY 11218

BROKER #: 33
BRANCH: HOME OFFICE

COMMISSION STATEMENT for IRENE SULLIVAN

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>									
10/25/2017 75500750	GANGE, RICHARD	AT&T INC	B	23,415.00	555.00	25.00	530.00	80.0	424.00
10/25/2017 75500750	GANGE, RICHARD	GENERAL ELECTRIC CO	B	17,136.00	418.00	25.00	393.00	80.0	314.40
10/20/2017 75500751	GANGE, RICHARD	AMERICAN EXPRESS COMPANY (N.Y)	S	26,250.00	315.00	25.00	290.00	80.0	232.00
10/25/2017 75500753	HARRISON, LISA	GENERAL ELECTRIC CO	B	10,707.50	271.00	25.00	246.00	80.0	196.80
10/25/2017 75500754	HARRISON, LISA	GENERAL ELECTRIC CO	B	10,707.50	271.00	25.00	246.00	80.0	196.80
10/20/2017 75500789	CAFIERO, RENEE	AMERICAN EXPRESS COMPANY (N.Y)	S	105,000.00	1,017.39	25.00	992.39	80.0	793.91
10/25/2017 75500789	CAFIERO, RENEE	GENERAL ELECTRIC CO	B	53,664.00	1,236.00	25.00	1,211.00	80.0	968.80
10/24/2017 75500847	YELLAND, MARGARET	AMERICAN EXPRESS COMPANY (N.Y)	S	74,544.00	1,704.00	25.00	1,679.00	80.0	1,343.20
10/25/2017 75500863	FICHTER, WM	GENERAL ELECTRIC CO	B	8,558.52	75.00	25.00	50.00	80.0	40.00
10/24/2017 75500907	STRACHAN, DEREK	AMERICAN EXPRESS COMPANY (N.Y)	S	32,595.50	769.00	25.00	744.00	80.0	595.20
10/24/2017 75501026	HARRISON, JUDITH	AMERICAN EXPRESS COMPANY (N.Y)	S	27,939.00	661.00	25.00	636.00	80.0	508.80
10/20/2017 75501041	DUFFY, TRENT	AMERICAN EXPRESS COMPANY (N.Y)	S	52,500.00	626.56	25.00	601.56	80.0	481.25
10/24/2017 75501046	HARRISON, LISA	GENERAL MOTORS COMPANY	S	18,508.00	489.00	25.00	464.00	80.0	371.20
10/24/2017 75501078	OETTEL, BRYAN	GENERAL MOTORS COMPANY	S	46,260.00	1,186.00	25.00	1,161.00	80.0	928.80
10/25/2017 75501078	OETTEL, BRYAN	GENERAL ELECTRIC CO	B	14,994.00	369.00	25.00	344.00	80.0	275.20
10/24/2017 75501086	CHARLES & MARK	AMERICAN EXPRESS COMPANY (N.Y)	S	74,536.00	1,704.00	25.00	1,679.00	80.0	1,343.20
10/24/2017 75501101	KINNEY, SAMUEL	AMERICAN EXPRESS COMPANY (N.Y)	S	41,940.00	976.00	25.00	951.00	80.0	760.80
10/25/2017 75501101	KINNEY, SAMUEL	GENERAL ELECTRIC CO	B	14,994.00	369.00	25.00	344.00	80.0	275.20
10/25/2017 75501129	PALMER, JEANNE	GENERAL ELECTRIC CO	B	21,365.00	463.00	25.00	438.00	80.0	350.40
10/24/2017 75501130	PALMER, JEANNE	AMERICAN EXPRESS COMPANY (N.Y)	S	32,606.00	769.00	25.00	744.00	80.0	595.20
10/25/2017 75501130	PALMER, JEANNE	AT&T INC	B	33,450.00	555.00	25.00	530.00	80.0	424.00
10/24/2017 75501131	CAMPOS, CHRISTOPHER	GENERAL MOTORS COMPANY	S	27,762.00	724.00	25.00	699.00	80.0	559.20
10/25/2017 75501131	CAMPOS, CHRISTOPHER	AT&T INC	B	16,712.50	408.00	25.00	383.00	80.0	306.40
10/25/2017 75501131	CAMPOS, CHRISTOPHER	GENERAL ELECTRIC CO	B	14,994.00	369.00	25.00	344.00	80.0	275.20
* STOCKS SUBTOTAL *				\$801,138.52	\$16,299.95	\$600.00	\$15,699.95		\$12,559.96

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/10/2017 75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.63	0.00	2.63	80.0	2.10
10/10/2017 75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	13.92	0.00	13.92	80.0	11.14
10/10/2017 75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B	B	0.00	13.90	0.00	13.90	80.0	11.12
10/10/2017 75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	7.64	0.00	7.64	80.0	6.11

COMMISSION STATEMENT for IRENE SULLIVAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
10/10/2017	75500755 DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	5.52	0.00	5.52	80.0	4.42
10/10/2017	75500755 DENNENY, MICHAEL	MIDCAP GROWTH - CLASS C	B	0.00	78.19	0.00	78.19	80.0	62.55
10/10/2017	75500755 DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	27.90	0.00	27.90	80.0	22.32
10/10/2017	75500756 DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	44.48	0.00	44.48	80.0	35.58
10/10/2017	75500756 DENNENY, MICHAEL	AIM EUROPEAN GROWTH FUND - CLASS A	B	0.00	23.49	0.00	23.49	80.0	18.79
10/10/2017	75500756 DENNENY, MICHAEL	AIM INTERNATIONAL GROWTH FUND - CL	B	0.00	71.51	0.00	71.51	80.0	57.21
10/10/2017	75500756 DENNENY, MICHAEL	AIM TECHNOLOGY FUND - CLASS A	B	0.00	15.24	0.00	15.24	80.0	12.19
10/10/2017	75500756 DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	24.83	0.00	24.83	80.0	19.86
10/10/2017	75500756 DENNENY, MICHAEL	EHV 277902813	B	0.00	8.55	0.00	8.55	80.0	6.84
10/10/2017	75500756 DENNENY, MICHAEL	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	28.91	0.00	28.91	80.0	23.13
10/19/2017	75500756 DENNENY, MICHAEL	**FINANCIAL INVS TR	B	0.00	86.01	0.00	86.01	80.0	68.81
10/19/2017	75500756 DENNENY, MICHAEL	**FINANCIAL INVS TR	B	0.00	28.67	0.00	28.67	80.0	22.94
10/10/2017	75500788 CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.62	0.00	9.62	80.0	7.70
10/10/2017	75500848 O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.46	0.00	1.46	80.0	1.17
10/10/2017	75500848 O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.86	0.00	0.86	80.0	0.69
10/25/2017	75500848 O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.98	0.00	1.98	80.0	1.58
10/25/2017	75500848 O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.20	0.00	1.20	80.0	0.96
10/10/2017	75500880 VAZ, CHRISTINE	EHV 277902813	B	0.00	1.68	0.00	1.68	80.0	1.34
10/10/2017	75500880 VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR	B	0.00	3.19	0.00	3.19	80.0	2.55
10/10/2017	75500959 KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	11.41	0.00	11.41	80.0	9.13
10/10/2017	75501025 HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND	B	0.00	2.56	0.00	2.56	80.0	2.05
10/10/2017	75501074 ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES	B	0.00	7.48	0.00	7.48	80.0	5.98
10/25/2017	75501079 OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.22	0.00	0.22	80.0	0.18
10/10/2017	75501088 SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL	B	0.00	3.95	0.00	3.95	80.0	3.16
10/10/2017	75501088 SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	23.34	0.00	23.34	80.0	18.67
10/10/2017	75501088 SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI	B	0.00	15.05	0.00	15.05	80.0	12.04
10/10/2017	75501088 SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	13.56	0.00	13.56	80.0	10.85
10/10/2017	75501088 SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	8.22	0.00	8.22	80.0	6.58
10/10/2017	75501088 SILBERMANN, SHARON	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	18.70	0.00	18.70	80.0	14.96
10/19/2017	75501088 SILBERMANN, SHARON	**FINANCIAL INVS TR	B	0.00	19.55	0.00	19.55	80.0	15.64
10/19/2017	75501088 SILBERMANN, SHARON	**FINANCIAL INVS TR	B	0.00	58.66	0.00	58.66	80.0	46.93
10/25/2017	75501088 SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	4.42	0.00	4.42	80.0	3.54
10/10/2017	75501167 FORTE, SUZETTE	EHV 277902813	B	0.00	1.42	0.00	1.42	80.0	1.14
10/18/2017	QGW028615 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	10.80	0.00	10.80	80.0	8.64
10/18/2017	QGW028615 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.42	0.00	2.42	80.0	1.94
10/18/2017	QGW028623 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	9.03	0.00	9.03	80.0	7.22
10/18/2017	QGW028623 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.09	0.00	2.09	80.0	1.67
10/16/2017	QGW028722 SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	2.83	0.00	2.83	80.0	2.26
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$717.09	\$0.00	\$717.09		\$573.68

COMMISSION STATEMENT for IRENE SULLIVAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>									
*** BROKER TRANSACTIONS TOTAL ***				<u>\$801,138.52</u>	<u>\$17,017.04</u>	<u>\$600.00</u>	<u>\$16,417.04</u>		<u>\$13,133.64</u>

<u>ADJUSTMENTS</u>									
10/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
10/31/2017		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		-40.00
10/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
10/31/2017		OTHER: OTHER-RBC		0.00	0.00	0.00	0.00		-76.00
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-144.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$13,133.64
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-144.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-21.27
SIPC Assessment	\$-42.54

Check Amount	\$12,925.83
Year-to-date Earnings	\$57,419.14