

COMMISSION STATEMENT

October 31, 2017

STEPHEN MOSS
1336 MARYLAND AVENUEBROKER #: 60
BRANCH: HOME OFFICE

HVERTOWN, PA 19082

COMMISSION STATEMENT for STEPHEN MOSS

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

BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

09/29/2017	75501532	LUMSDEN, CECILIA	SPDR INDEX SHS FDS S&P EMERGING MAR S	72.28	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501532	LUMSDEN, CECILIA	SPDR INDEX SHS FDS S&P INTERNATIONAL S	34.91	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501532	LUMSDEN, CECILIA	SPDR INDEX SHS FDS S&P WORLD EX-US S	153.00	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501532	LUMSDEN, CECILIA	SPDR INDEX SHARES FUNDS SPDR S&P EM S	49.58	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501532	LUMSDEN, CECILIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B	231.04	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501532	LUMSDEN, CECILIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B	56.49	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501532	LUMSDEN, CECILIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B	74.62	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501532	LUMSDEN, CECILIA	SPDR INDEX SHS FDS S&P EMERGING MAR B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501532	LUMSDEN, CECILIA	SPDR RUSSELL 1000 ETF B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501532	LUMSDEN, CECILIA	SPDR RUSSELL 2000 ETF B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501532	LUMSDEN, CECILIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B	0.00	0.00	0.00	0.00	50.0	0.00
10/06/2017	75501798	HERTEN, TIMOTHY	FORD MOTOR CO PAR \$0.01 B	981.60	50.00	0.00	50.00	50.0	25.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES MSCI EAFE ETF S	547.92	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES MSCI EMERGING MARKETS ETF S	410.13	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES RUSSELL 2000 ETF B	3,140.55	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES S&P500 GROWTH INDEX FD S	436.50	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES S&P SMALL CAP 600 VALUE ETF B	3,138.24	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES S&P SMALL CAP 600 GROWTH ET B	2,820.64	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S UTILITIES ETF S	6,177.34	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S REAL ESTATE ETF S	9,339.55	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S INDUSTRIALS ETF B	6,034.62	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S FINANCIALS ETF B	6,027.03	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S TECHNOLOGY ETF S	6,721.44	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S BASIC MATERIALS ETF B	6,060.81	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	POWERSHARES QQQ TRUST SERIES 1 S	3,396.70	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	POWERSHARES GLOBAL EXCHANGE TRADED B	6,852.98	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	SPDR DOW JONES INDL AVERAGE ETF TR S	455.26	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	SPDR S&P 500 ETF TRUST S	3,051.30	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	SPDR SER TR BLOOMBERG BARCLAYS INTL S	391.02	0.00	0.00	0.00	50.0	0.00
10/09/2017	75501802	MCELREAVEY, DANIEL	SPDR SERIES TRUST SPDR BLOOMBERG BA S	7,536.99	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501813	IRWIN, LYNDIA	SPDR INDEX SHS FDS S&P INTERNATIONAL B	34.98	0.00	0.00	0.00	50.0	0.00

COMMISSION STATEMENT for STEPHEN MOSS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
09/29/2017	75501813	IRWIN, LYNDA	SPDR INDEX SHS FDS S&P WORLD EX-US	B	30.62	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501813	IRWIN, LYNDA	SPDR RUSSELL 1000 ETF	S	117.85	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501813	IRWIN, LYNDA	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	37.31	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501813	IRWIN, LYNDA	SPDR INDEX SHS FDS S&P EMERGING MAR	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501813	IRWIN, LYNDA	SPDR RUSSELL 1000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501813	IRWIN, LYNDA	SPDR RUSSELL 2000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501813	IRWIN, LYNDA	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	0.00	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501876	ROHRBACH, EDWARD	SPDR INDEX SHS FDS S&P INTERNATIONAL	S	69.82	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501876	ROHRBACH, EDWARD	SPDR INDEX SHS FDS S&P WORLD EX-US	S	91.80	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501876	ROHRBACH, EDWARD	SPDR INDEX SHS FDS DOW JONES GLOBAL	B	47.66	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501876	ROHRBACH, EDWARD	SPDR INDEX SHARES FUNDS SPDR S&P EM	S	49.58	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501876	ROHRBACH, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	115.52	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501876	ROHRBACH, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	37.31	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501876	ROHRBACH, EDWARD	SPDR INDEX SHS FDS S&P EMERGING MAR	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501876	ROHRBACH, EDWARD	SPDR RUSSELL 1000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501876	ROHRBACH, EDWARD	SPDR RUSSELL 2000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501876	ROHRBACH, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501932	CUNICELLI, EDWARD	SPDR INDEX SHS FDS S&P EMERGING MAR	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501932	CUNICELLI, EDWARD	SPDR RUSSELL 1000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501932	CUNICELLI, EDWARD	SPDR RUSSELL 2000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501932	CUNICELLI, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	0.00	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501945	EDWARD W CUNICELLI	SPDR INDEX SHS FDS DOW JONES GLOBAL	B	47.66	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501945	EDWARD W CUNICELLI	SPDR INDEX SHS FDS S&P INTERNATIONAL	S	34.91	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501945	EDWARD W CUNICELLI	SPDR INDEX SHS FDS S&P WORLD EX-US	S	122.40	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501945	EDWARD W CUNICELLI	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	115.52	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501945	EDWARD W CUNICELLI	SPDR INDEX SHS FDS S&P EMERGING MAR	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501945	EDWARD W CUNICELLI	SPDR RUSSELL 1000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501945	EDWARD W CUNICELLI	SPDR RUSSELL 2000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501945	EDWARD W CUNICELLI	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	0.00	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501994	MCCOACH, MARY	SPDR INDEX SHS FDS S&P INTERNATIONAL	B	34.98	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501994	MCCOACH, MARY	SPDR INDEX SHS FDS S&P WORLD EX-US	S	30.60	0.00	0.00	0.00	50.0	0.00
09/29/2017	75501994	MCCOACH, MARY	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	37.31	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501994	MCCOACH, MARY	SPDR INDEX SHS FDS S&P EMERGING MAR	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501994	MCCOACH, MARY	SPDR RUSSELL 1000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501994	MCCOACH, MARY	SPDR RUSSELL 2000 ETF	B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75501994	MCCOACH, MARY	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	0.00	0.00	0.00	0.00	50.0	0.00
09/29/2017	75502094	VERBITSKI, MAUREEN	SPDR INDEX SHS FDS DOW JONES GLOBAL	B	47.66	0.00	0.00	0.00	50.0	0.00
09/29/2017	75502094	VERBITSKI, MAUREEN	SPDR INDEX SHS FDS S&P EMERGING MAR	S	72.28	0.00	0.00	0.00	50.0	0.00
09/29/2017	75502094	VERBITSKI, MAUREEN	SPDR INDEX SHS FDS S&P WORLD EX-US	S	153.00	0.00	0.00	0.00	50.0	0.00
09/29/2017	75502094	VERBITSKI, MAUREEN	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	173.28	0.00	0.00	0.00	50.0	0.00

COMMISSION STATEMENT for STEPHEN MOSS

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>									
09/29/2017	75502094	VERBITSKI, MAUREEN	SPDR SERIES TRUST SPDR BLOOMBERG BA B	56.49	0.00	0.00	0.00	50.0	0.00
10/16/2017	75502094	VERBITSKI, MAUREEN	SPDR INDEX SHS FDS S&P EMERGING MAR B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75502094	VERBITSKI, MAUREEN	SPDR RUSSELL 1000 ETF B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75502094	VERBITSKI, MAUREEN	SPDR RUSSELL 2000 ETF B	0.00	0.00	0.00	0.00	50.0	0.00
10/16/2017	75502094	VERBITSKI, MAUREEN	SPDR SERIES TRUST SPDR BLOOMBERG BA B	0.00	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *				\$75,751.08	\$50.00	\$0.00	\$50.00		\$25.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
10/23/2017	(None)	VARIOUS, MOSS	BRIGHT HOUSE B	0.00	400.99	0.00	400.99	50.0	200.50
10/23/2017	(None)	VARIOUS, MOSS	COLLEGE BOUND 529 B	0.00	3.50	0.00	3.50	50.0	1.75
10/23/2017	(None)	VARIOUS, MOSS	COLLEGE BOUND 529 B	0.00	16.21	0.00	16.21	50.0	8.11
10/23/2017	(None)	VARIOUS, MOSS	JACKSON B	0.00	14.60	0.00	14.60	50.0	7.30
10/23/2017	(None)	VARIOUS, MOSS	LINCOLN B	0.00	300.90	0.00	300.90	50.0	150.45
10/23/2017	(None)	VARIOUS, MOSS	MASS MUTUAL B	0.00	117.00	0.00	117.00	50.0	58.50
10/23/2017	(None)	VARIOUS, MOSS	MASS MUTUAL B	0.00	10.61	0.00	10.61	50.0	5.31
10/23/2017	(None)	VARIOUS, MOSS	MASS MUTUAL B	0.00	11.14	0.00	11.14	50.0	5.57
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$874.95	\$0.00	\$874.95		\$437.49
<u>PRODUCT CATEGORY: MISCELLANEOUS</u>									
10/31/2017	VARIOUS, MOSS	ADVISORY INCOME DEDUCTION NOV AND D B		0.00	-4,495.32	0.00	-4,495.32	50.0	-2,247.66
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$-4,495.32	\$0.00	\$-4,495.32		\$-2,247.66
<u>PRODUCT CATEGORY: RIA</u>									
10/16/2017	75501796	MOSS, KATHLEEN	FAS FEES B	-161.96	161.96	0.00	161.96	50.0	80.98
10/16/2017	75501797	HERTEN, TIMOTHY	FAS FEES B	-108.74	108.74	0.00	108.74	50.0	54.37
10/16/2017	75501799	HERTEN, TIMOTHY	FAS FEES B	-115.74	115.74	0.00	115.74	50.0	57.87
10/16/2017	75501801	JOHN W SCHULTZ TTEE	FAS FEES B	-337.61	337.61	0.00	337.61	50.0	168.81
10/16/2017	75501802	MCELREAVEY, DANIEL	FAS FEES B	-230.45	230.45	0.00	230.45	50.0	115.23
10/16/2017	75501873	BESETH, DAVID	FAS FEES B	-408.85	408.85	0.00	408.85	50.0	204.43
10/16/2017	75501875	RALPH G BARTO TRUST	FAS FEES B	-582.88	582.88	0.00	582.88	50.0	291.44
10/16/2017	75501877	MORRIS WEISMAN TTEE	FAS FEES B	-1,558.42	1,558.42	0.00	1,558.42	50.0	779.21
10/16/2017	75501878	MORRIS WEISMAN TTEE	FAS FEES B	-203.27	203.27	0.00	203.27	50.0	101.64
10/16/2017	75501907	HESTON, EUGENE	FAS FEES B	-373.99	373.99	0.00	373.99	50.0	187.00
10/16/2017	75501922	HAFENMAIER, HELEN	FAS FEES B	-285.04	285.04	0.00	285.04	50.0	142.52
10/16/2017	75501924	CUNNINGHAM, WENDY	FAS FEES B	-336.35	336.35	0.00	336.35	50.0	168.18
10/16/2017	75501937	BERG, ELIZABETH	FAS FEES B	-419.73	419.73	0.00	419.73	50.0	209.87
10/16/2017	75501944	EDWARD W CUNICELLI	FAS FEES B	-302.09	302.09	0.00	302.09	50.0	151.05
10/16/2017	75502025	THIEU, MINH	FAS FEES B	-449.22	449.22	0.00	449.22	50.0	224.61
10/16/2017	75502095	VERBITSKI, THOMAS	FAS FEES B	-868.90	868.90	0.00	868.90	50.0	434.45
* RIA SUBTOTAL *				\$-6,743.24	\$6,743.24	\$0.00	\$6,743.24		\$3,371.66

COMMISSION STATEMENT for STEPHEN MOSS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
10/10/2017	75501795 SPILLANE, TIMOTHY	FRANKLIN MODERATE ALLOCATION FD CL	B	0.00	0.67	0.00	0.67	50.0	0.00
10/10/2017	75501815 TAMBURRO, ALBERT	**JPMORGAN TR I	B	0.00	1.20	0.00	1.20	50.0	0.60
10/10/2017	75501874 ULIRCUIS, WILLIAM	MFS PENNSYLVANIA MUNICIPAL BOND FUN	B	0.00	0.30	0.00	0.30	50.0	0.00
10/10/2017	75502016 WEST, JEFFREY	**GABELLI EQUITY SERIES FUNDS	B	0.00	0.47	0.00	0.47	50.0	0.00
10/10/2017	75502016 WEST, JEFFREY	TEMP GLOBAL BOND FND - CL A	B	0.00	0.15	0.00	0.15	50.0	0.00
10/10/2017	75502017 WEST, KELLY	**GABELLI EQUITY SERIES FUNDS	B	0.00	0.47	0.00	0.47	50.0	0.00
10/10/2017	75502017 WEST, KELLY	TEMP GLOBAL BOND FND - CL A	B	0.00	0.15	0.00	0.15	50.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3.41	\$0.00	\$3.41		\$0.60
*** BROKER TRANSACTIONS TOTAL ***				\$69,007.84	\$3,176.28	\$0.00	\$3,176.28		\$1,587.09

ADJUSTMENTS

10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-33.06
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-12.50
10/31/2017	DEUNB:UNBUNDLED QTRTRY FEE (LPCM):	0.00	0.00	0.00	0.00	-16.22
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-224.28

BROKER COMMISSION TOTALS

Broker Transactions	\$1,587.09
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-224.28
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-9.59
SIPC Assessment	\$-19.18

Check Amount	\$1,334.04
Year-to-date Earnings	\$6,684.30