

COMMISSION STATEMENT

June 09, 2017

MICHAEL WOLLOCH

43 SECOR RD

SCARSDALE, NY 10583

BROKER #: 51

BRANCH: HOME OFFICE

COMMISSION STATEMENT for MICHAEL WOLLOCH

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---------------------------------|-----------|----------------|-----|---------------------------------------|---------------------|---------------------|-------------------|----------------|--------------------------|
| BROKER TRANSACTIONS | | | | | | | | | |
| PRODUCT CATEGORY: STOCKS | | | | | | | | | |
| 05/23/2017 | QGW016115 | MAYER, MURRAY | | CISCO SYS INC | B | 12,614.96 | 65.00 | 10.00 | 55.00 45.0 24.75 |
| 04/27/2017 | QGW016537 | SYAGE, EDWARD | | HERON THERAPEUTICS INC COM | B | 29,600.00 | 90.00 | 10.00 | 80.00 45.0 36.00 |
| 05/02/2017 | QGW016537 | SYAGE, EDWARD | | AURINIA PHARMACEUTICALS INC COM ISI S | S | -30,608.00 | 180.00 | 10.00 | 170.00 45.0 76.50 |
| 05/05/2017 | QGW016537 | SYAGE, EDWARD | | HERON THERAPEUTICS INC COM | S | -30,700.00 | 90.00 | 10.00 | 80.00 45.0 36.00 |
| 05/09/2017 | QGW016537 | SYAGE, EDWARD | | FATE THERAPEUTICS INC COM | S | -20,080.00 | 225.00 | 10.00 | 215.00 45.0 96.75 |
| 05/02/2017 | QGW024093 | WOLLEMAN, TODD | | FORD MOTOR CO PAR \$0.01 | S | -11,492.48 | 73.00 | 10.00 | 63.00 45.0 28.35 |
| 05/02/2017 | QGW024259 | SYAGE, EDWARD | | AURINIA PHARMACEUTICALS INC COM ISI S | S | -8,690.00 | 50.00 | 10.00 | 40.00 45.0 18.00 |
| 05/16/2017 | QGW024259 | SYAGE, EDWARD | | FATE THERAPEUTICS INC COM | B | 7,980.00 | 90.00 | 10.00 | 80.00 45.0 36.00 |
| 05/25/2017 | QGW024259 | SYAGE, EDWARD | | FATE THERAPEUTICS INC COM | S | -6,944.00 | 90.00 | 10.00 | 80.00 45.0 36.00 |
| | | | | * STOCKS SUBTOTAL * | | \$-58,319.52 | \$953.00 | \$90.00 | \$863.00 \$388.35 |

PRODUCT CATEGORY: OPTIONS

| | | | | | | | | | |
|------------|-----------|----------------|--|---------------------------------------|--|------------------|----------------|----------------|------------------------|
| 05/05/2017 | QGW016099 | WOLLEMAN, TODD | | PUT 100 FACEBOOK INC CL A EXP 09-15 S | | -920.00 | 68.00 | 10.00 | 58.00 45.0 26.10 |
| | | | | * OPTIONS SUBTOTAL * | | \$-920.00 | \$68.00 | \$10.00 | \$58.00 \$26.10 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | |
|------------|-----------|----------------|--|---------------------------------------|---|------|-------|------|------------------|
| 04/18/2017 | QGW016115 | MAYER, MURRAY | | MFS GOVERNMENT SECURITIES FUND CLAS B | | 0.00 | 47.78 | 0.00 | 47.78 45.0 21.50 |
| 04/18/2017 | QGW016115 | MAYER, MURRAY | | MFS GOVERNMENT SECURITIES FUND CLAS B | | 0.00 | 47.78 | 0.00 | 47.78 45.0 21.50 |
| 05/12/2017 | QGW016115 | MAYER, MURRAY | | MFS GOVERNMENT SECURITIES FUND CLAS B | | 0.00 | 46.67 | 0.00 | 46.67 45.0 21.00 |
| 05/12/2017 | QGW016115 | MAYER, MURRAY | | MFS GOVERNMENT SECURITIES FUND CLAS B | | 0.00 | 46.67 | 0.00 | 46.67 45.0 21.00 |
| 05/12/2017 | QGW016115 | MAYER, MURRAY | | MFS GOVERNMENT SECURITIES FUND CLAS B | | 0.00 | 46.67 | 0.00 | 46.67 45.0 21.00 |
| 04/21/2017 | QGW016123 | DEMSKO, DARYL | | PUTNAM 746782101 | B | 0.00 | 11.28 | 0.00 | 11.28 45.0 5.08 |
| 04/21/2017 | QGW016123 | DEMSKO, DARYL | | PUTNAM 746782101 | B | 0.00 | 11.28 | 0.00 | 11.28 45.0 5.08 |
| 05/25/2017 | QGW016123 | DEMSKO, DARYL | | PUTNAM 746782101 | B | 0.00 | 10.97 | 0.00 | 10.97 45.0 4.94 |
| 04/17/2017 | QGW016131 | TUERS, ERIC | | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 1.13 | 0.00 | 1.13 45.0 0.51 |
| 04/17/2017 | QGW016131 | TUERS, ERIC | | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 1.13 | 0.00 | 1.13 45.0 0.51 |
| 05/15/2017 | QGW016131 | TUERS, ERIC | | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 1.09 | 0.00 | 1.09 45.0 0.49 |
| 04/17/2017 | QGW016149 | MIRZOEFF, DANA | | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 6.12 | 0.00 | 6.12 45.0 2.75 |
| 04/17/2017 | QGW016149 | MIRZOEFF, DANA | | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 6.12 | 0.00 | 6.12 45.0 2.75 |
| 04/20/2017 | QGW016149 | MIRZOEFF, DANA | | OLSTEIN ALL CAP VALUE FUND CLASS C | B | 0.00 | 56.42 | 0.00 | 56.42 45.0 25.39 |
| 04/20/2017 | QGW016149 | MIRZOEFF, DANA | | OLSTEIN ALL CAP VALUE FUND CLASS C | B | 0.00 | 56.42 | 0.00 | 56.42 45.0 25.39 |
| 05/15/2017 | QGW016149 | MIRZOEFF, DANA | | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 5.91 | 0.00 | 5.91 45.0 2.66 |

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|--|-----------|---|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | |
| 04/18/2017 | QGW016305 | PEDDICORD TRUST, ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 20.33 | 0.00 | 20.33 | 45.0 | 9.15 |
| 04/18/2017 | QGW016305 | PEDDICORD TRUST, ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 20.33 | 0.00 | 20.33 | 45.0 | 9.15 |
| 05/09/2017 | QGW016305 | PEDDICORD TRUST, ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 19.85 | 0.00 | 19.85 | 45.0 | 8.93 |
| 05/09/2017 | QGW016305 | PEDDICORD TRUST, ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 19.85 | 0.00 | 19.85 | 45.0 | 8.93 |
| 05/09/2017 | QGW016305 | PEDDICORD TRUST, ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 19.85 | 0.00 | 19.85 | 45.0 | 8.93 |
| 04/20/2017 | QGW016347 | AGAR REVOCABLE TRST, NUVEEN CORE BOND FUND CLASS A | B | 0.00 | 6.23 | 0.00 | 6.23 | 45.0 | 2.80 |
| 04/20/2017 | QGW016347 | AGAR REVOCABLE TRST, NUVEEN CORE BOND FUND CLASS A | B | 0.00 | 6.23 | 0.00 | 6.23 | 45.0 | 2.80 |
| 05/15/2017 | QGW016347 | AGAR REVOCABLE TRST, NUVEEN CORE BOND FUND CLASS A | B | 0.00 | 6.08 | 0.00 | 6.08 | 45.0 | 2.74 |
| 04/18/2017 | QGW016354 | PEDDICORD, JANE ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.55 | 0.00 | 13.55 | 45.0 | 6.10 |
| 04/18/2017 | QGW016354 | PEDDICORD, JANE ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.55 | 0.00 | 13.55 | 45.0 | 6.10 |
| 05/09/2017 | QGW016354 | PEDDICORD, JANE ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.23 | 0.00 | 13.23 | 45.0 | 5.95 |
| 05/09/2017 | QGW016354 | PEDDICORD, JANE ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.23 | 0.00 | 13.23 | 45.0 | 5.95 |
| 05/09/2017 | QGW016354 | PEDDICORD, JANE ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.23 | 0.00 | 13.23 | 45.0 | 5.95 |
| 04/18/2017 | QGW016412 | MERGED TRUST, CARA ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.55 | 0.00 | 13.55 | 45.0 | 6.10 |
| 04/18/2017 | QGW016412 | MERGED TRUST, CARA ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.55 | 0.00 | 13.55 | 45.0 | 6.10 |
| 05/09/2017 | QGW016412 | MERGED TRUST, CARA ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.23 | 0.00 | 13.23 | 45.0 | 5.95 |
| 05/09/2017 | QGW016412 | MERGED TRUST, CARA ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.23 | 0.00 | 13.23 | 45.0 | 5.95 |
| 05/09/2017 | QGW016412 | MERGED TRUST, CARA ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 13.23 | 0.00 | 13.23 | 45.0 | 5.95 |
| 04/18/2017 | QGW016511 | JASON, LAURIE THE BOND FUND OF AMERICA-A | B | 0.00 | 0.01 | 0.00 | 0.01 | 45.0 | 0.00 |
| 04/18/2017 | QGW016511 | JASON, LAURIE THE BOND FUND OF AMERICA-A | B | 0.00 | 0.01 | 0.00 | 0.01 | 45.0 | 0.00 |
| 05/15/2017 | QGW016511 | JASON, LAURIE THE BOND FUND OF AMERICA-A | B | 0.00 | 0.01 | 0.00 | 0.01 | 45.0 | 0.00 |
| 04/20/2017 | QGW016628 | KRAUSS, SHARON FRANKLIN INCOME FUND CLASS C | B | 0.00 | 20.47 | 0.00 | 20.47 | 45.0 | 9.21 |
| 04/20/2017 | QGW016628 | KRAUSS, SHARON FRANKLIN INCOME FUND CLASS C | B | 0.00 | 20.47 | 0.00 | 20.47 | 45.0 | 9.21 |
| 05/11/2017 | QGW016628 | KRAUSS, SHARON FRANKLIN INCOME FUND CLASS C | B | 0.00 | 19.80 | 0.00 | 19.80 | 45.0 | 8.91 |
| 05/11/2017 | QGW016628 | KRAUSS, SHARON FRANKLIN INCOME FUND CLASS C | B | 0.00 | 19.80 | 0.00 | 19.80 | 45.0 | 8.91 |
| 05/11/2017 | QGW016628 | KRAUSS, SHARON FRANKLIN INCOME FUND CLASS C | B | 0.00 | 19.80 | 0.00 | 19.80 | 45.0 | 8.91 |
| 04/17/2017 | QGW024150 | GORDON, ARLENE SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 5.07 | 0.00 | 5.07 | 45.0 | 2.28 |
| 04/17/2017 | QGW024150 | GORDON, ARLENE SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 5.07 | 0.00 | 5.07 | 45.0 | 2.28 |
| 05/15/2017 | QGW024150 | GORDON, ARLENE SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 4.90 | 0.00 | 4.90 | 45.0 | 2.21 |
| 04/20/2017 | QGW025553 | KRAUSS, NANCY OLSTEIN ALL CAP VALUE FUND CLASS C | B | 0.00 | 44.33 | 0.00 | 44.33 | 45.0 | 19.95 |
| 04/20/2017 | QGW025553 | KRAUSS, NANCY OLSTEIN ALL CAP VALUE FUND CLASS C | B | 0.00 | 44.33 | 0.00 | 44.33 | 45.0 | 19.95 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$859.84 | \$0.00 | \$859.84 | | \$386.90 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | \$-59,239.52 | \$1,880.84 | \$100.00 | \$1,780.84 | | \$801.35 |

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

ADJUSTMENTS

| | | | | | | | | | |
|---------------------------|--|----------------------------------|--|--------|--------|--------|--------|--|----------|
| 06/09/2017 | | OTHER: COMPLIANCE AND TECHNOLOGY | | 0.00 | 0.00 | 0.00 | 0.00 | | -20.00 |
| 06/09/2017 | | OTHER: OTHER-360 OFFICE | | 0.00 | 0.00 | 0.00 | 0.00 | | -5.00 |
| *** ADJUSTMENTS TOTAL *** | | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-25.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|----------|
| Broker Transactions | \$801.35 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-25.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$-2.35 |
| SIPC Assessment | \$-35.27 |

| | |
|-----------------------|------------|
| Check Amount | \$738.73 |
| Year-to-date Earnings | \$5,568.45 |