

COMMISSION STATEMENT

September 29, 2017

MICHAEL BAROLOTTA
57 EISENHOWER DRIVEBROKER #: 50
BRANCH: HOME OFFICE

EAST QUOGUE, NY 11942

COMMISSION STATEMENT for MICHAEL BAROLOTTA

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

09/18/2017	75501427	FROUXIDES, MENELAOS	**ABERDEEN GLOBAL HIGH INCOME	S	17,307.63	0.00	0.00	0.00	80.0	0.00
* MUTUAL FUNDS SUBTOTAL *					\$17,307.63	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

08/30/2017	75501428	FROUXIDES, NATIA	SELECT SECTOR SPDR TRUST THE REAL E S		195.78	20.00	0.00	20.00	80.0	0.00
09/18/2017	75502093	FIDER, LOURDES	VANGUARD S&P 500 ETF	B	460.64	0.00	0.00	0.00	80.0	0.00
09/18/2017	75502101	CORSO, JOSEPH	VANGUARD S&P 500 ETF	B	460.64	0.00	0.00	0.00	80.0	0.00
09/26/2017	75502127	HAUGHEY, LISA	CALAMOS DYNAMIC CONVERTIBLE & INCOM B		51,096.00	0.00	0.00	0.00	80.0	0.00
09/26/2017	75502127	HAUGHEY, LISA	HONEYWELL INTL INC	B	140,413.40	0.00	0.00	0.00	80.0	0.00
09/26/2017	75502127	HAUGHEY, LISA	KITE REALTY GROUP TRUST	B	40,871.00	0.00	0.00	0.00	80.0	0.00
09/26/2017	75502127	HAUGHEY, LISA	MERCURY GENERAL CORP NEW	B	137,476.80	0.00	0.00	0.00	80.0	0.00
09/26/2017	75502127	HAUGHEY, LISA	QUALCOMM INC	B	66,387.10	0.00	0.00	0.00	80.0	0.00
09/26/2017	75502127	HAUGHEY, LISA	SPECTRA ENERGY PARTNERS LP	B	169,197.89	0.00	0.00	0.00	80.0	0.00
09/26/2017	75502127	HAUGHEY, LISA	TORONTO-DOMINION BANK	B	156,967.75	0.00	0.00	0.00	80.0	0.00
09/26/2017	75502127	HAUGHEY, LISA	WEYERHAEUSER CO	B	148,490.32	0.00	0.00	0.00	80.0	0.00
09/27/2017	75502127	HAUGHEY, LISA	CALAMOS DYNAMIC CONVERTIBLE & INCOM B		28,003.00	0.00	0.00	0.00	80.0	0.00
* STOCKS SUBTOTAL *					\$940,020.32	\$20.00	\$0.00	\$20.00		\$0.00

PRODUCT CATEGORY: VARIABLE ANNUITIES

09/12/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	6.21	0.00	6.21	80.0	0.00
09/12/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	0.24	0.00	0.24	80.0	0.00
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	301.05	0.00	301.05	80.0	240.84
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	721.28	0.00	721.28	80.0	577.02
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	2,854.52	0.00	2,854.52	80.0	2,283.62
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	95.22	0.00	95.22	80.0	76.18
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	1,131.72	0.00	1,131.72	80.0	905.38
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	1,980.03	0.00	1,980.03	80.0	1,584.02
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	491.17	0.00	491.17	80.0	392.94
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	1,429.22	0.00	1,429.22	80.0	1,143.38
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	11,422.60	0.00	11,422.60	80.0	9,138.08
09/18/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	304.86	0.00	304.86	80.0	243.89
09/19/2017	(None)	VARIOUS, BAROLOTTA	TRANSAMERICA	B	0.00	140,000.00	0.00	140,000.00	80.0	112,000.00

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: RIA</u>									
		* VARIABLE ANNUITIES SUBTOTAL *		\$0.00	\$160,738.12	\$0.00	\$160,738.12		\$128,585.35
<u>PRODUCT CATEGORY: RIA</u>									
09/25/2017	75502127 HAUGHEY, LISA	FAS FEES	B	-26.17	26.17	0.00	26.17	80.0	0.00
09/26/2017	75502127 HAUGHEY, LISA	FAS FEES	B	26.17	-26.17	0.00	-26.17	80.0	0.00
09/26/2017	75502127 HAUGHEY, LISA	FAS FEES	B	-260.97	260.97	0.00	260.97	80.0	208.78
		* RIA SUBTOTAL *		\$-260.97	\$260.97	\$0.00	\$260.97		\$208.78
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
09/12/2017	75501422 FROUXIDES, MENELAOS	AMERICAN BALANCED FUND INC CL F1	B	0.00	5.02	0.00	5.02	80.0	4.02
09/12/2017	75501422 FROUXIDES, MENELAOS	BLACKROCK EQUITY DIVIDEND FUND SVC	B	0.00	2.70	0.00	2.70	80.0	2.16
09/12/2017	75501422 FROUXIDES, MENELAOS	BOND FUND AMER INC CL F1	B	0.00	0.89	0.00	0.89	80.0	0.00
09/12/2017	75501422 FROUXIDES, MENELAOS	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.60	0.00	0.60	80.0	0.00
09/12/2017	75501422 FROUXIDES, MENELAOS	LORD ABBETT HIGH YIELD FUND CL-A	B	0.00	0.39	0.00	0.39	80.0	0.00
09/12/2017	75501422 FROUXIDES, MENELAOS	OPPENHEIMER SENIOR FLOATING RATE FUB		0.00	1.10	0.00	1.10	80.0	0.88
09/12/2017	75501426 FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	2.93	0.00	2.93	80.0	2.34
09/12/2017	75501426 FROUXIDES, NATIA	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.50	0.00	0.50	80.0	0.00
09/12/2017	75501426 FROUXIDES, NATIA	OPPENHEIMER STRATEGIC INCOME FD CL B		0.00	1.00	0.00	1.00	80.0	0.00
09/14/2017	75501426 FROUXIDES, NATIA	**ABERDEEN GLOBAL HIGH INCOME	B	0.00	0.61	0.00	0.61	80.0	0.00
09/15/2017	75501426 FROUXIDES, NATIA	VAN ECK GLOBAL HARD ASSETS FD CLASS B		0.00	1.79	0.00	1.79	80.0	1.43
09/12/2017	75501427 FROUXIDES, MENELAOS	BLACKROCK HEALTH SCIENCES FUND CLAS B		0.00	3.07	0.00	3.07	80.0	2.46
09/12/2017	75501427 FROUXIDES, MENELAOS	CAPITAL INCOME BUILDER FD CL F-1	B	0.00	6.82	0.00	6.82	80.0	5.46
09/12/2017	75501427 FROUXIDES, MENELAOS	CAPITAL WORLD BOND FUND CL F1	B	0.00	2.49	0.00	2.49	80.0	1.99
09/12/2017	75501427 FROUXIDES, MENELAOS	FIDELITY ADVISOR ENERGY CL A	B	0.00	1.56	0.00	1.56	80.0	1.25
09/12/2017	75501427 FROUXIDES, MENELAOS	FIRST EAGLE OVERSEAS FUND CLASS A	B	0.00	5.97	0.00	5.97	80.0	4.78
09/12/2017	75501427 FROUXIDES, MENELAOS	OPPENHEIMER STRATEGIC INCOME FD CL B		0.00	4.41	0.00	4.41	80.0	3.53
09/12/2017	75501427 FROUXIDES, MENELAOS	OPPENHEIMER STEELPATH MLP ALPHA FUN B		0.00	0.84	0.00	0.84	80.0	0.00
09/14/2017	75501427 FROUXIDES, MENELAOS	**ABERDEEN TOTAL RETURNBOND	B	0.00	5.11	0.00	5.11	80.0	4.09
09/14/2017	75501427 FROUXIDES, MENELAOS	**ABERDEEN GLOBAL HIGH INCOME	B	0.00	3.61	0.00	3.61	80.0	2.89
09/15/2017	75501427 FROUXIDES, MENELAOS	VAN ECK GLOBAL HARD ASSETS FD CLASS B		0.00	5.94	0.00	5.94	80.0	4.75
09/12/2017	75501428 FROUXIDES, NATIA	BLACKROCK NAT RES TR CL A	B	0.00	1.45	0.00	1.45	80.0	1.16
09/12/2017	75501428 FROUXIDES, NATIA	DREYFUS INVT FDS STANDISH GLOBAL FI B		0.00	3.86	0.00	3.86	80.0	3.09
09/12/2017	75501428 FROUXIDES, NATIA	DREYFUS NY TAX EXEMPT BOND FUND INC B		0.00	2.70	0.00	2.70	80.0	2.16
09/12/2017	75501428 FROUXIDES, NATIA	FIRST EAGLE GLOBAL FUND CLASS A	B	0.00	7.61	0.00	7.61	80.0	6.09
09/12/2017	75501428 FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	12.22	0.00	12.22	80.0	9.78
09/12/2017	75501428 FROUXIDES, NATIA	LOOMIS SAYLES BOND FUND RETAIL CLAS B		0.00	6.39	0.00	6.39	80.0	5.11
09/12/2017	75501428 FROUXIDES, NATIA	OPPENHEIMER SENIOR FLOATING RATE FUB		0.00	5.31	0.00	5.31	80.0	4.25
09/12/2017	75501428 FROUXIDES, NATIA	OPPENHEIMER STEELPATH MLP INCOME FUB		0.00	1.11	0.00	1.11	80.0	0.89
09/12/2017	75501428 FROUXIDES, NATIA	US GOVT FUND CLASS A	B	0.00	1.54	0.00	1.54	80.0	1.23
09/12/2017	75501428 FROUXIDES, NATIA	WESTERN ASSET SHORT DURATION HIGH I B		0.00	1.40	0.00	1.40	80.0	1.12

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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/12/2017	75501430	D'AGOSTINO, NICHOLAS	AMERICAN FUNDS 2025 TARGET DATE-A	B	0.00	2.48	0.00	2.48	80.0	1.98
09/12/2017	75501565	GIANNIZZERO, THOMAS	PUTNAM 746444108	B	0.00	9.25	0.00	9.25	80.0	7.40
09/12/2017	75501566	GIANNIZZERO, LAURE	MFS TOTAL RETURN FUND-A	B	0.00	7.94	0.00	7.94	80.0	6.35
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$120.61	\$0.00	\$120.61		\$92.64
*** BROKER TRANSACTIONS TOTAL ***					\$957,066.98	\$161,139.70	\$0.00	\$161,139.70		\$128,886.77

ADJUSTMENTS

09/29/2017		DEUNC:UNBUNDLED NEW ACCT FEE (LPCM)		0.00	0.00	0.00	0.00			-44.97
09/29/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00			-16,500.00
09/29/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00			-20,000.00
09/29/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00			-50,000.00
09/29/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00			-14,000.00
09/29/2017		E & O INSURANCE: E & O INSURANCE		0.00	0.00	0.00	0.00			-200.00
09/29/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00			-20.00
09/29/2017		OTHER: OTHER-WEALTH MANAGEMENT		0.00	0.00	0.00	0.00			-25.00
09/29/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00			-8.00
09/29/2017		OTHER: OTHER-RBC CHARGE		0.00	0.00	0.00	0.00			-45.08
*** ADJUSTMENTS TOTAL ***					\$0.00	\$0.00	\$0.00	\$0.00		\$-100,843.05

BROKER COMMISSION TOTALS

Broker Transactions	\$128,886.77
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-100,843.05
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-201.42
SIPC Assessment	\$-402.85

Check Amount	\$27,439.45
Year-to-date Earnings	\$41,992.76