

STATEMENT

January 20, 2018

FRANK AUDITORE
19 WALDEN DR

BROKER #: 015
BRANCH: LA BRANCH

EASTON, MA 02375-

COMMISSION STATEMENT for FRANK AUDITORE

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

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | | | |
|---------------------------|------------------|-----------------------------------|---|----------|---------|--------|--------|---------|------|--------|
| 12/07/2017 #00088451605 | WOOSTER, TIMOTHY | FUNDAMENTAL INVESTORS INC CLASS A | B | 125.00 | 5.31 | 0.00 | 0.00 | 5.31 | 85.0 | 4.51 |
| 12/07/2017 #00088451605 | WOOSTER, TIMOTHY | WASHINGTON MUTUAL INVS FD CLASS A | B | 125.00 | 5.31 | 0.00 | 0.00 | 5.31 | 85.0 | 4.51 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$250.00 | \$10.62 | \$0.00 | \$0.00 | \$10.62 | | \$9.02 |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | | |
|---------------------|-------------------|-------------------------------------|---|-------------|------------|----------|--------|------------|------|------------|
| 12/04/2017 # | LALLY, JOHN | BANK OF SOUTH CAROLINA CORP | S | 5,532.09 | 95.00 | 19.95 | 0.00 | 75.05 | 85.0 | 63.79 |
| 12/04/2017 # | LALLY, JOHN | CORECIVIC INC COM | S | 2,337.50 | 50.00 | 19.95 | 0.00 | 30.05 | 85.0 | 25.54 |
| 12/14/2017 # | BLISS, JEFFREY | YY INC ADS REPSTG COM CL A | S | 5,444.13 | 175.00 | 19.95 | 0.00 | 155.05 | 85.0 | 131.79 |
| 12/18/2017 # | KOLESINSKAS, MARK | ON TRACK INNOVATION ILS0.10 | S | 8,000.00 | 349.50 | 19.95 | 0.00 | 329.55 | 85.0 | 280.12 |
| 12/20/2017 # | SKEIBER, STANLEY | MOMO INC ADR | S | 33,937.80 | 1,495.00 | 19.95 | 0.00 | 1,475.05 | 85.0 | 1,253.79 |
| 12/20/2017 # | SKEIBER, STANLEY | TENCENT HOLDINGS LIMITED UNSPONSORE | B | 15,218.80 | 695.00 | 19.95 | 0.00 | 675.05 | 85.0 | 573.79 |
| 12/20/2017 # | SKEIBER, STANLEY | YY INC ADS REPSTG COM CL A | B | 15,887.09 | 695.00 | 19.95 | 0.00 | 675.05 | 85.0 | 573.79 |
| * STOCKS SUBTOTAL * | | | | \$86,357.41 | \$3,554.50 | \$139.65 | \$0.00 | \$3,414.85 | | \$2,902.61 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | |
|-------------------------|---------------------|------------------------------------|---|------|--------|------|------|--------|------|--------|
| 12/01/2017 #00088451605 | WOOSTER, TIMOTHY | FUNDAMENTAL INVESTORS INC CLASS A | B | 0.00 | 2.35 | 0.00 | 0.00 | 2.35 | 85.0 | 2.00 |
| 12/01/2017 #00088451605 | WOOSTER, TIMOTHY | WASHINGTON MUTUAL INVS FD CLASS A | B | 0.00 | 2.28 | 0.00 | 0.00 | 2.28 | 85.0 | 1.94 |
| 12/01/2017 #00089801146 | | WASHINGTON MUTUAL INVS FD CLASS A | B | 0.00 | 0.03 | 0.00 | 0.00 | 0.03 | 85.0 | 0.03 |
| 12/11/2017 # | VALLARIO, DEBRA-ANN | DAIN TRAILER | B | 0.00 | 4.03 | 0.00 | 0.00 | 4.03 | 85.0 | 3.43 |
| 12/11/2017 # | MACDOUGALL, WILLIAM | DAIN TRAILER | B | 0.00 | 3.58 | 0.00 | 0.00 | 3.58 | 85.0 | 3.04 |
| 12/11/2017 # | ROBERTS, FREDERICK | DAIN TRAILER | B | 0.00 | 4.01 | 0.00 | 0.00 | 4.01 | 85.0 | 3.41 |
| 12/11/2017 # | ROBERTS, ELEANOR | DAIN TRAILER | B | 0.00 | 7.32 | 0.00 | 0.00 | 7.32 | 85.0 | 6.22 |
| 12/11/2017 # | ROBERTS, ELEANOR | DAIN TRAILER | B | 0.00 | 6.58 | 0.00 | 0.00 | 6.58 | 85.0 | 5.59 |
| 12/11/2017 # | LORDAN, MARIE | DAIN TRAILER | B | 0.00 | 2.73 | 0.00 | 0.00 | 2.73 | 85.0 | 2.32 |
| 12/11/2017 # | LORDAN, MARIE | DAIN TRAILER | B | 0.00 | 1.04 | 0.00 | 0.00 | 1.04 | 85.0 | 0.88 |
| 12/11/2017 # | JOHNSTON, WILLIAM | DAIN TRAILER | B | 0.00 | 5.96 | 0.00 | 0.00 | 5.96 | 85.0 | 5.07 |
| 12/11/2017 # | BLISS, JEFFREY | DAIN TRAILER | B | 0.00 | 4.74 | 0.00 | 0.00 | 4.74 | 85.0 | 4.03 |
| 12/11/2017 # | SEMERARO, SHEILA | DAIN TRAILER | B | 0.00 | 0.80 | 0.00 | 0.00 | 0.80 | 85.0 | 0.68 |
| 12/11/2017 # | SEMERARO, SHEILA | DAIN TRAILER | B | 0.00 | 0.84 | 0.00 | 0.00 | 0.84 | 85.0 | 0.71 |
| 12/14/2017 # | VARIAS, CUSTOMER | DAIN TRAILER | B | 0.00 | 0.06 | 0.00 | 0.00 | 0.06 | 85.0 | 0.05 |
| 12/14/2017 # | VARIAS, CUSTOMER | DAIN TRAILER | B | 0.00 | 0.05 | 0.00 | 0.00 | 0.05 | 85.0 | 0.04 |
| 01/01/2018 #08191066942 | JOHNSTON, WILLIAM | MASSACHUSETTS INVESTORS TRUST-CL A | B | 0.00 | 280.13 | 0.00 | 0.00 | 280.13 | 85.0 | 238.11 |

COMMISSION STATEMENT for FRANK AUDITORE

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

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | | | |
|--------------------------------------|--------------|-----------------------------------|---------------------------------|-------------|------------|----------|--------|------------|------|------------|
| 01/02/2018 | #00227254758 | PUTNAM MULTI CAP GROWTH FUND CL A | B | 0.00 | 57.20 | 0.00 | 0.00 | 57.20 | 85.0 | 48.62 |
| 01/08/2018 | #01485656068 | AUDITORE, MARK | FIDELITY ADV BIOTECHNOLOGY-CL A | B | 0.00 | 0.64 | 0.00 | 0.64 | 85.0 | 0.54 |
| 01/08/2018 | #01488943000 | AUDITORE, MARK | FIDELITY ADV BIOTECHNOLOGY-CL A | B | 0.00 | 14.78 | 0.00 | 14.78 | 85.0 | 12.56 |
| 01/08/2018 | #01485656068 | AUDITORE, MARK | FIDELITY ADV HEALTH CARE-CL A | B | 0.00 | 0.64 | 0.00 | 0.64 | 85.0 | 0.54 |
| 01/08/2018 | #01488943000 | AUDITORE, MARK | FIDELITY ADV HEALTH CARE-CL A | B | 0.00 | 14.18 | 0.00 | 14.18 | 85.0 | 12.05 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | \$0.00 | \$413.97 | \$0.00 | \$0.00 | \$413.97 | | \$351.86 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | \$86,607.41 | \$3,979.09 | \$139.65 | \$0.00 | \$3,839.44 | | \$3,263.49 |

ADJUSTMENTS

| | | | | | | | | | | |
|---------------------------|----------------------------------|--|--|--|--|--|--|--|--|-----------|
| 01/20/2018 | ADMIN FEE: ADMIN FEE | | | | | | | | | -320.00 |
| 01/20/2018 | E & O INSURANCE: E & O INSURANCE | | | | | | | | | -179.00 |
| *** ADJUSTMENTS TOTAL *** | | | | | | | | | | \$-499.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$3,263.49 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-499.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$-606.24 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|--------------|------------|
| Check Amount | \$2,158.25 |
|--------------|------------|