

## COMMISSION STATEMENT

February 28, 2018

WILLIAM DIPENICE  
110 SOUTH BUCKHOUT STREET

BROKER #: 74  
BRANCH: HOME OFFICE

IRVINGTON, NY 10533

COMMISSION STATEMENT for WILLIAM DIPENICE

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

02/20/2018	75502180	FERRUZZI, KENNETH	FRANKLIN NEW YORK TAX FREE CLASS C B	15,740.81	157.41	0.00	157.41	80.0	125.93
* MUTUAL FUNDS SUBTOTAL *				\$15,740.81	\$157.41	\$0.00	\$157.41		\$125.93

PRODUCT CATEGORY: STOCKS

02/02/2018	75502048	FERRUZZI, KENNETH	CHURCH & DWIGHT CO INC	S	1,165.36	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502048	FERRUZZI, KENNETH	COCA COLA COMPANY (THE)	B	2,488.19	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502048	FERRUZZI, KENNETH	PEPSICO INC	S	595.22	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502048	FERRUZZI, KENNETH	UNILEVER PLC SPONSORED ADR	B	1,658.76	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502048	FERRUZZI, KENNETH	BIOGEN INC	S	1,169.03	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502048	FERRUZZI, KENNETH	GLOBUS MEDICAL INC	B	872.54	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502048	FERRUZZI, KENNETH	MAXIMUS INC	S	1,947.00	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	ABBVIE INC	S	239.91	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	ALPHABET INC CLASS C CAPITAL STOCK	S	1,126.01	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	ANSYS INC	B	164.91	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	COCA COLA COMPANY (THE)	S	219.51	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	COGNIZANT TECHNOLOGY SOLUTIONS CORP	S	83.00	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	COMCAST CORP CL A	B	78.72	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	EOG RES INC	B	106.28	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	FORTIVE CORPORATION COM	S	230.67	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	GLOBUS MEDICAL INC	S	293.94	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	KLA-TENCOR CORP COM	B	110.32	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	LILLY ELI & CO	S	235.06	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	LKQ CORPORATION	S	209.30	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	MAXLINEAR INC COMMON STOCK	S	92.24	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	NEVRO CORP COM	S	83.12	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	PACIRA PHARMACEUTICALS INC	B	91.20	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	PEPSICO INC	S	109.14	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	ROSS STORES INC	B	79.08	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	SAGE THERAPEUTICS INC COM	S	169.38	0.00	0.00	0.00	80.0	0.00
02/21/2018	75502048	FERRUZZI, KENNETH	UNILEVER PLC SPONSORED ADR	S	156.58	0.00	0.00	0.00	80.0	0.00
02/01/2018	75502049	MORRIS, MICHAEL	NOW INC	S	312.12	0.00	0.00	0.00	80.0	0.00

COMMISSION STATEMENT for WILLIAM DIPENICE

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: STOCKS											
02/01/2018	75502049	MORRIS, MICHAEL		NUANCE COMMUNICATIONS INC	S	337.87	0.00	0.00	0.00	80.0	0.00
02/01/2018	75502049	MORRIS, MICHAEL		TE CONNECTIVITY LTD	S	1,035.33	0.00	0.00	0.00	80.0	0.00
02/14/2018	75502049	MORRIS, MICHAEL		ALLERGAN PLC	B	1,632.70	0.00	0.00	0.00	80.0	0.00
02/15/2018	75502049	MORRIS, MICHAEL		ALLERGAN PLC	B	2,142.24	0.00	0.00	0.00	80.0	0.00
02/22/2018	75502049	MORRIS, MICHAEL		CITRIX SYS INC	B	1,015.85	0.00	0.00	0.00	80.0	0.00
02/22/2018	75502049	MORRIS, MICHAEL		IONIS PHARMACEUTICALS INC COM	S	1,065.59	0.00	0.00	0.00	80.0	0.00
02/22/2018	75502049	MORRIS, MICHAEL		TWITTER INC	S	1,464.30	0.00	0.00	0.00	80.0	0.00
01/31/2018	75502050	DIPENICE, WILLIAM		ORACLE CORPORATION	S	1,537.12	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502050	DIPENICE, WILLIAM		ACTIVISION BLIZZARD INC	S	217.10	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502051	DIPENICE, NINA		CHURCH & DWIGHT CO INC	S	2,423.95	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502051	DIPENICE, NINA		COCA COLA COMPANY (THE)	B	4,600.81	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502051	DIPENICE, NINA		PEPSICO INC	S	1,428.54	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502051	DIPENICE, NINA		UNILEVER PLC SPONSORED ADR	B	3,031.52	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502051	DIPENICE, NINA		BIOGEN INC	S	2,338.06	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502051	DIPENICE, NINA		GLOBUS MEDICAL INC	B	1,551.17	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502051	DIPENICE, NINA		MAXIMUS INC	S	4,028.28	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502083	MAISELL, ADRIANE		CHURCH & DWIGHT CO INC	S	1,211.97	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502083	MAISELL, ADRIANE		COCA COLA COMPANY (THE)	B	2,159.56	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502083	MAISELL, ADRIANE		PEPSICO INC	S	714.27	0.00	0.00	0.00	80.0	0.00
02/02/2018	75502083	MAISELL, ADRIANE		UNILEVER PLC SPONSORED ADR	B	1,429.96	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		ABBVIE INC	S	112.15	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		ACADIA HEALTHCARE CO INC COM	S	34.28	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		ALEXION PHARMACEUTICALS INC	S	227.73	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		AMAZON.COM INC	S	1,414.20	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		AMETEK INC NEW	S	148.72	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		ANSYS INC	S	154.33	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		APPLE INC	S	492.30	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		COCA COLA COMPANY (THE)	S	133.15	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		COGNIZANT TECHNOLOGY SOLUTIONS CORP	S	78.02	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		COMCAST CORP CL A	S	427.38	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		COSTCO WHOLESALE CORP-NEW	S	183.94	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		ECOLAB INC	S	129.40	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		EOG RES INC	S	102.53	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		EPAM SYSTEMS INC	S	110.46	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		FACEBOOK INC CL A	S	349.25	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		FIDELITY NATIONAL INFORMATION SERVI	S	95.95	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		FORTINET INC	B	47.98	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		FORTIVE CORPORATION COM	S	74.47	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		GLOBUS MEDICAL INC	S	90.46	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE		ILLINOIS TOOL WORKS INC	S	162.09	0.00	0.00	0.00	80.0	0.00

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
02/13/2018	75502083	MAISELL, ADRIANE							
		INCYTE GENOMICS INC	S	88.03	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		INTERCONTINENTAL EXCHANGE INC	S	138.22	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		LIGAND PHARMACEUTICALS INC	S	153.81	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		LILLY ELI & CO	S	76.49	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		LKQ CORPORATION	S	121.14	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		MAXIMUS INC	S	64.90	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		MAXLINEAR INC COMMON STOCK	S	50.76	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		MICROSOFT CORP	S	448.43	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		PACIRA PHARMACEUTICALS INC	B	72.70	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		PAYPAL HOLDINGS INC COM	S	75.26	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		PEPSICO INC	S	112.52	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		ROSS STORES INC	S	310.64	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		SAGE THERAPEUTICS INC COM	S	160.57	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		SALESFORCE.COM INC	S	107.26	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		STRYKER CORP	S	154.60	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		ULTA SALON COSMETICS & FRAGRANCE IN	S	208.19	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		UNILEVER PLC SPONSORED ADR	S	52.99	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		UNITEDHEALTH GROUP INC	S	226.58	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		VF CORPORATION	S	163.79	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		WASTE CONNECTIONS INC COM	S	272.89	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		XPO LOGISTICS INC COM	S	91.84	0.00	0.00	0.00	80.0	0.00
02/13/2018	75502083	MAISELL, ADRIANE							
		YUM BRANDS INC	S	77.75	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502083	MAISELL, ADRIANE							
		BIOGEN INC	S	1,169.03	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502083	MAISELL, ADRIANE							
		GLOBUS MEDICAL INC	B	678.64	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502083	MAISELL, ADRIANE							
		MAXIMUS INC	S	1,745.59	0.00	0.00	0.00	80.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$60,844.19</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>									
01/17/2018	75502048	FERRUZZI, KENNETH							
		FAS FEES PT. II/III	B	-191.13	95.56	0.00	95.56	80.0	76.45
02/21/2018	75502048	FERRUZZI, KENNETH							
		FAS FEES PT. I/III	B	8.63	-4.31	0.00	-4.31	80.0	-3.45
02/21/2018	75502048	FERRUZZI, KENNETH							
		FAS FEES PT. II/III	B	8.63	-4.31	0.00	-4.31	80.0	-3.45
02/21/2018	75502048	FERRUZZI, KENNETH							
		FAS FEES PT. III/III	B	8.63	-4.31	0.00	-4.31	80.0	-3.45
01/17/2018	75502049	MORRIS, MICHAEL							
		FAS FEES PT. II/III	B	-225.37	125.21	0.00	125.21	80.0	100.17
01/17/2018	75502050	DIPENICE, WILLIAM							
		FAS FEES PT. II/III	B	-148.64	74.32	0.00	74.32	80.0	59.46
01/17/2018	75502051	DIPENICE, NINA							
		FAS FEES PT. II/III	B	-361.68	197.72	0.00	197.72	80.0	158.18
01/17/2018	75502052	DIPENICE, WILLIAM							
		FAS FEES PT. II/III	B	-39.86	29.89	0.00	29.89	80.0	23.91
01/17/2018	75502083	MAISELL, ADRIANE							
		FAS FEES PT. II/III	B	-165.14	82.57	0.00	82.57	80.0	66.06
<b>* RIA SUBTOTAL *</b>				<b>\$-1,105.93</b>	<b>\$592.34</b>	<b>\$0.00</b>	<b>\$592.34</b>		<b>\$473.88</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$75,479.07</b>	<b>\$749.75</b>	<b>\$0.00</b>	<b>\$749.75</b>		<b>\$599.81</b>

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
02/28/2018		E & O INSURANCE: E & O INSURANCE		0.00	0.00	0.00	0.00		-250.00
02/28/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
02/28/2018		OTHER: OTHER-WEALTH MANAGEMENT		0.00	0.00	0.00	0.00		-25.00
02/28/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
02/28/2018		OTHER: OTHER--ADJUSTMENT TO ADVISOR		0.00	0.00	0.00	0.00		10.39
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-292.61

BROKER COMMISSION TOTALS

Broker Transactions	\$599.81
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-292.61
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-0.94
SIPC Assessment	\$-1.87

Check Amount	\$304.39
Year-to-date Earnings	\$483.35