

**COMMISSION STATEMENT****November 15, 2017**

ROY PFLEGER II  
 417 E. Main Street  
 3rd Floor  
 Port Jefferson, NY 11777

BROKER #: P123  
 BRANCH: FORTITUDE INVESTMENT

| DATE   | CLIENT          | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                |                 |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                 |   |                      |                     |                    |                   |      |                      |
| 10/18/2017                                       | ABRAHAM, BLESSY | GRIFFIN INSTITUTIONAL ACCESS REAL E         | 0.00                 | 1.36                | 0.00               | 1.36              | 75.0 | 1.02                 |
|  |                 | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$1.36</b>       | <b>\$0.00</b>      | <b>\$1.36</b>     |      | <b>\$1.02</b>        |
|  |                 | <b>*** DIRECT TRANSACTIONS TOTAL ***</b>    | <b>\$0.00</b>        | <b>\$1.36</b>       | <b>\$0.00</b>      | <b>\$1.36</b>     |      | <b>\$1.02</b>        |

**SPLIT TRANSACTIONS****BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254**

|            |                    |                                     |           |      |      |       |      |       |
|------------|--------------------|-------------------------------------|-----------|------|------|-------|------|-------|
| 10/20/2017 | FENELON, DICKENS   | FA 529 PORT 2030 T                  | 0.00      | 0.08 | 0.00 | 0.08  | 75.0 | 0.06  |
| 11/06/2017 | DAVID, RUDOLPH     | GLOBAL NET LEASE INC COM            | -2,185.00 | 0.00 | 7.88 | -7.88 | 75.0 | -5.91 |
| 10/18/2017 | MCCLARNON, BRENDAN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00      | 0.21 | 0.00 | 0.21  | 75.0 | 0.16  |
| 10/18/2017 | DAVID, RUDOLPH     | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00      | 0.35 | 0.00 | 0.35  | 75.0 | 0.26  |
| 10/26/2017 | NICASTRO, JOSEPH   | JP MORGAN EQUITY INCOME FUND CLASS  | 0.00      | 0.62 | 0.00 | 0.62  | 75.0 | 0.47  |
| 10/26/2017 | LALAMA, MARY       | JP MORGAN EQUITY INCOME FUND CLASS  | 0.00      | 0.56 | 0.00 | 0.56  | 75.0 | 0.42  |
| 10/26/2017 | DAVID, RUDOLPH     | JP MORGAN EQUITY INCOME FUND CLASS  | 0.00      | 0.24 | 0.00 | 0.24  | 75.0 | 0.18  |
| 10/30/2017 | NICASTRO, JOSEPH   | JP MORGAN EQUITY INCOME FUND CLASS  | -3,828.20 | 7.70 | 7.70 | 0.00  | 75.0 | 0.00  |
| 11/10/2017 | DAVID, RUDOLPH     | JP MORGAN EQUITY INCOME FUND CLASS  | 2,500.00  | 0.00 | 0.00 | 0.00  | 75.0 | 0.00  |
| 10/26/2017 | DAVID, RUDOLPH     | JP MORGAN GROWTH ADV A              | 0.00      | 0.24 | 0.00 | 0.24  | 75.0 | 0.18  |
| 10/26/2017 | CIMMINO, VICTORIA  | JP MORGAN GROWTH ADV A              | 0.00      | 0.47 | 0.00 | 0.47  | 75.0 | 0.35  |
| 10/26/2017 | KEYSER, LISA       | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00      | 2.95 | 0.00 | 2.95  | 75.0 | 2.21  |
| 10/26/2017 | PLUME, KRISTA      | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00      | 2.62 | 0.00 | 2.62  | 75.0 | 1.97  |
| 10/26/2017 | DAVID, RUDOLPH     | JP MORGAN U.S. EQUITY FUND CLASS A  | 0.00      | 0.27 | 0.00 | 0.27  | 75.0 | 0.20  |
| 11/10/2017 | DAVID, RUDOLPH     | JP MORGAN U.S. EQUITY FUND CLASS A  | 2,500.00  | 0.00 | 0.00 | 0.00  | 75.0 | 0.00  |
| 10/26/2017 | DAVID, RUDOLPH     | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00      | 0.28 | 0.00 | 0.28  | 75.0 | 0.21  |
| 10/26/2017 | CIMMINO, VICTORIA  | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00      | 0.20 | 0.00 | 0.20  | 75.0 | 0.15  |
| 10/24/2017 | DAVID, RUDOLPH     | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00      | 0.16 | 0.00 | 0.16  | 75.0 | 0.12  |
| 11/06/2017 | DAVID, RUDOLPH     | MAINSTAY CUSHING MLP PREMIER FUND C | -2,382.58 | 0.00 | 0.00 | 0.00  | 75.0 | 0.00  |

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

| DATE  | CLIENT        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>                        |               |                                    |                      |                     |                    |                   |      |                      |
| <b>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</b> |               |                                    |                      |                     |                    |                   |      |                      |
| 10/13/2017  | LALAMA, MARY  | MILLER CONVERTIBLE BOND FUND CLASS | 0.00                 | 0.34                | 0.00               | 0.34              | 75.0 | 0.26                 |
| 10/13/2017  | KEYSER, LISA  | MILLER CONVERTIBLE BOND FUND CLASS | 0.00                 | 1.57                | 0.00               | 1.57              | 75.0 | 1.18                 |
| 10/25/2017  | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00                 | 0.74                | 0.00               | 0.74              | 75.0 | 0.56                 |
| <b>* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *</b> |               |                                    | <b>\$-3,395.78</b>   | <b>\$19.60</b>      | <b>\$15.58</b>     | <b>\$4.02</b>     |      | <b>\$3.03</b>        |
| <b>*** SPLIT TRANSACTIONS TOTAL ***</b>                 |               |                                    | <b>\$-3,395.78</b>   | <b>\$19.60</b>      | <b>\$15.58</b>     | <b>\$4.02</b>     |      | <b>\$3.03</b>        |

**ADJUSTMENTS**

|                                  |                               |      |               |               |               |               |  |                  |
|----------------------------------|-------------------------------|------|---------------|---------------|---------------|---------------|--|------------------|
| 11/15/2017                       | *EO INS: CURRENT MONTH        | 0.00 |               |               |               |               |  | -105.00          |
| 11/15/2017                       | *MISC: OVERNIGHT FEE 10/15/17 | 0.00 |               |               |               |               |  | -13.33           |
| 11/15/2017                       | *MISC: OVERNIGHT FEE 10/31/17 | 0.00 |               |               |               |               |  | -13.33           |
| 11/15/2017                       | *PERSHING: MARK UPS           | 0.00 |               |               |               |               |  | 21.00            |
| 11/15/2017                       | *TECHNOLOGY: CURRENT MONTH    | 0.00 |               |               |               |               |  | -96.25           |
| <b>*** ADJUSTMENTS TOTAL ***</b> |                               |      | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> |  | <b>\$-206.91</b> |

**BROKER COMMISSION TOTALS**

|                       |           |
|-----------------------|-----------|
| Broker Transactions   | \$1.02    |
| Split Transactions    | \$3.03    |
| Override Transactions | \$0.00    |
| Adjustments           | \$-206.91 |
| Payroll Draw          | \$0.00    |
| Base Salary           | \$0.00    |
| Prior Period Balance  | \$0.00    |
| FINRA Assessment      | \$0.00    |
| SIPC Assessment       | \$0.00    |

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

|                              |                     |
|------------------------------|---------------------|
| <b>Balance Forward</b>       | <b>\$-202.86</b>    |
| <b>Year-to-date Gross</b>    | <b>\$242,106.23</b> |
| <b>Year-to-date Earnings</b> | <b>\$181,503.94</b> |

NOTES: \* - Indicates adjustment is not included in 1099 Earnings  
 \*\* - Indicates adjustment is not included in Totals or Commissions  
 ^Date - Split Trade - full Investment Amount & Gross Commission displayed