

COMMISSION STATEMENT

July 31, 2017

BARRY POMP

21 HANCOCK COURT

EAST BRUNSWICK, NJ 08816

BROKER #: 8

BRANCH: HOME OFFICE

COMMISSION STATEMENT for BARRY POMP

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
07/10/2017 (None)	VARIOUS, POMP	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	7,605.68	0.00	7,605.68	50.0	3,802.84
07/10/2017 (None)	VARIOUS, POMP	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	1,372.68	0.00	1,372.68	50.0	686.34
* MUTUAL FUNDS SUBTOTAL *				\$0.00	\$8,978.36	\$0.00	\$8,978.36		\$4,489.18
<u>PRODUCT CATEGORY: BONDS</u>									
06/20/2017 75500356	LITTIG, LAWRENCE	CSFB MORTGAGE-BACKED PTC MTGPC/SERI S		-18,606.80	0.00	0.00	0.00	50.0	0.00 C
06/20/2017 75500356	LITTIG, LAWRENCE	CSFB MORTGAGE-BACKED PTC MTGPC/SERI B		18,606.82	0.00	0.00	0.00	50.0	0.00
06/29/2017 75500356	LITTIG, LAWRENCE	BCAP LLC TR SER 2009-RR10 CLASS X-A B		32,481.59	0.00	0.00	0.00	50.0	0.00
07/12/2017 75500356	LITTIG, LAWRENCE	IMPAC CMB TR SERIES 2004-9 CLASS M3 S		30,990.62	0.00	0.00	0.00	50.0	0.00
07/12/2017 75500356	LITTIG, LAWRENCE	IMPAC CMB TR SERIES 2004-9 CLASS M3 B		-30,990.60	0.00	0.00	0.00	50.0	0.00 C
07/12/2017 75500356	LITTIG, LAWRENCE	IMPAC CMB TR SERIES 2004-9 CLASS M3 S		30,990.62	0.00	0.00	0.00	50.0	0.00
07/31/2017 75500356	LITTIG, LAWRENCE	STRUCTURED ADJUSTABLE RATE MORTGAGE B		45,540.01	0.00	0.00	0.00	50.0	0.00
06/08/2017 75501230	LITTIG, LAWRENCE	CREDIT SUISSE FIRST BOSTON MORTGAGE S		-14,680.00	0.00	0.00	0.00	50.0	0.00 C
06/08/2017 75501230	LITTIG, LAWRENCE	CREDIT SUISSE FIRST BOSTON MORTGAGE B		14,680.02	0.00	0.00	0.00	50.0	0.00
07/12/2017 75501230	LITTIG, LAWRENCE	IMPAC CMB TR SERIES 2004-9 CLASS M3 B		31,114.15	0.00	0.00	0.00	50.0	0.00
07/12/2017 75501230	LITTIG, LAWRENCE	IMPAC CMB TR SERIES 2004-9 CLASS M3 B		31,114.15	0.00	0.00	0.00	50.0	0.00
07/12/2017 75501230	LITTIG, LAWRENCE	IMPAC CMB TR SERIES 2004-9 CLASS M3 S		-31,114.20	0.00	0.00	0.00	50.0	0.00 C
* BONDS SUBTOTAL *				\$140,126.38	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: OPTIONS</u>									
07/19/2017 75500757	FODIMAN, SANFORD	CALL FB 12/15/17 185	S	4,040.00	100.00	0.00	100.00	50.0	50.00
* OPTIONS SUBTOTAL *				\$4,040.00	\$100.00	\$0.00	\$100.00		\$50.00
*** BROKER TRANSACTIONS TOTAL ***				\$144,166.38	\$9,078.36	\$0.00	\$9,078.36		\$4,539.18

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
07/31/2017		OTHER: BLOOMBERG		0.00	0.00	0.00	0.00		-952.50
07/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
07/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
07/31/2017		OTHER: OTHER-PERSONAL TRADING		0.00	0.00	0.00	0.00		-20.00
07/31/2017		OTHER: OTHER-TICKET CHARGES		0.00	0.00	0.00	0.00		-150.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-1,150.50

BROKER COMMISSION TOTALS

Broker Transactions	\$4,539.18
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,150.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-11.35
SIPC Assessment	\$-22.70

Check Amount	\$3,354.63
Year-to-date Earnings	\$3,354.63