

## COMMISSION STATEMENT

February 28, 2018

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
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
02/02/2018	75501371 BURTCH, BROOKE	VANGUARD INDEX FUNDS VANGUARD TOTAL B		152,646.78	20.00	0.00	20.00	80.0	16.00
01/31/2018	75502101 CORSO, JOSEPH	VANGUARD S&P 500 ETF	S	517.68	0.00	0.00	0.00	80.0	0.00
02/20/2018	75502101 CORSO, JOSEPH	VANGUARD FTSE DEVELOPED MARKETS ETF S		674.40	0.00	0.00	0.00	80.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$153,838.86</b>	<b>\$20.00</b>	<b>\$0.00</b>	<b>\$20.00</b>		<b>\$16.00</b>
<b><u>PRODUCT CATEGORY: MISCELLANEOUS</u></b>									
02/28/2018	VARIOUS, BAROLOTTA	ADP	B	0.00	22,887.46	0.00	22,887.46	80.0	18,309.97
<b>* MISCELLANEOUS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$22,887.46</b>	<b>\$0.00</b>	<b>\$22,887.46</b>		<b>\$18,309.97</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>									
01/17/2018	75502093 FIDER, LOURDES	FAS FEES PT. II/III	B	-16.50	8.25	0.00	8.25	80.0	6.60
01/17/2018	75502101 CORSO, JOSEPH	FAS FEES PT. II/III	B	-13.54	6.77	0.00	6.77	80.0	5.42
01/17/2018	75502127 HAUGHEY, LISA	FAS FEES PT. II/III	B	-615.08	615.08	0.00	615.08	80.0	492.06
01/17/2018	75502134 HAUGHEY, LISA	FAS FEES PT. II/III	B	-163.44	163.44	0.00	163.44	80.0	130.75
02/05/2018	75502152 PELLEGRINO, CATHERINE	FAS FEES PT. I/III	B	-29.43	29.43	0.00	29.43	80.0	23.54
02/05/2018	75502152 PELLEGRINO, CATHERINE	FAS FEES PT. II/III	B	-29.43	29.43	0.00	29.43	80.0	23.54
02/05/2018	75502152 PELLEGRINO, CATHERINE	FAS FEES PT. III/III	B	-29.43	29.43	0.00	29.43	80.0	23.54
<b>* RIA SUBTOTAL *</b>				<b>\$-896.85</b>	<b>\$881.83</b>	<b>\$0.00</b>	<b>\$881.83</b>		<b>\$705.45</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
02/09/2018	75501422 FROUXIDES, MENELAOS	AMERICAN BALANCED FUND INC CL F1	B	0.00	5.47	0.00	5.47	80.0	4.38
02/09/2018	75501422 FROUXIDES, MENELAOS	BLACKROCK EQUITY DIVIDEND FUND SVC	B	0.00	3.05	0.00	3.05	80.0	2.44
02/09/2018	75501422 FROUXIDES, MENELAOS	BOND FUND AMER INC CL F1	B	0.00	0.88	0.00	0.88	80.0	0.00
02/09/2018	75501422 FROUXIDES, MENELAOS	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.61	0.00	0.61	80.0	0.00
02/09/2018	75501422 FROUXIDES, MENELAOS	LORD ABBETT HIGH YIELD FUND CL-A	B	0.00	0.40	0.00	0.40	80.0	0.00
02/09/2018	75501422 FROUXIDES, MENELAOS	OPPENHEIMER SENIOR FLOATING RATE FU B		0.00	1.13	0.00	1.13	80.0	0.90
02/09/2018	75501426 FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	3.18	0.00	3.18	80.0	2.54
02/09/2018	75501426 FROUXIDES, NATIA	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.50	0.00	0.50	80.0	0.00
02/09/2018	75501426 FROUXIDES, NATIA	OPPENHEIMER STRATEGIC INCOME FD CL	B	0.00	1.02	0.00	1.02	80.0	0.82
02/13/2018	75501426 FROUXIDES, NATIA	**ABERDEEN GLOBAL HIGH INCOME	B	0.00	0.63	0.00	0.63	80.0	0.00
02/09/2018	75501427 FROUXIDES, MENELAOS	BLACKROCK HEALTH SCIENCES FUND CLAS B		0.00	3.42	0.00	3.42	80.0	2.74
02/09/2018	75501427 FROUXIDES, MENELAOS	CAPITAL WORLD BOND FUND CL F1	B	0.00	2.51	0.00	2.51	80.0	2.01

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
02/09/2018	75501427	FROUXIDES, MENELAOS	FIDELITY ADVISOR ENERGY CL A	B	0.00	1.99	0.00	1.99	80.0	1.59
02/09/2018	75501427	FROUXIDES, MENELAOS	FIRST EAGLE OVERSEAS FUND CLASS A	B	0.00	6.34	0.00	6.34	80.0	5.07
02/09/2018	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STRATEGIC INCOME FD CL	B	0.00	4.49	0.00	4.49	80.0	3.59
02/09/2018	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STEELPATH MLP ALPHA FUN	B	0.00	0.88	0.00	0.88	80.0	0.00
02/13/2018	75501427	FROUXIDES, MENELAOS	**ABERDEEN TOTAL RETURNBOND	B	0.00	5.11	0.00	5.11	80.0	4.09
02/09/2018	75501428	FROUXIDES, NATIA	BLACKROCK NAT RES TR CL A	B	0.00	1.75	0.00	1.75	80.0	1.40
02/09/2018	75501428	FROUXIDES, NATIA	DREYFUS INVT FDS STANDISH GLOBAL FI	B	0.00	3.90	0.00	3.90	80.0	3.12
02/09/2018	75501428	FROUXIDES, NATIA	DREYFUS NY TAX EXEMPT BOND FUND INC	B	0.00	2.71	0.00	2.71	80.0	2.17
02/09/2018	75501428	FROUXIDES, NATIA	FIRST EAGLE GLOBAL FUND CLASS A	B	0.00	8.27	0.00	8.27	80.0	6.62
02/09/2018	75501428	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	13.27	0.00	13.27	80.0	10.62
02/09/2018	75501428	FROUXIDES, NATIA	LOOMIS SAYLES BOND FUND RETAIL CLAS	B	0.00	6.49	0.00	6.49	80.0	5.19
02/09/2018	75501428	FROUXIDES, NATIA	OPPENHEIMER SENIOR FLOATING RATE FU	B	0.00	5.42	0.00	5.42	80.0	4.34
02/09/2018	75501428	FROUXIDES, NATIA	OPPENHEIMER STEELPATH MLP INCOME FU	B	0.00	1.14	0.00	1.14	80.0	0.91
02/09/2018	75501428	FROUXIDES, NATIA	US GOVT FUND CLASS A	B	0.00	1.56	0.00	1.56	80.0	1.25
02/09/2018	75501428	FROUXIDES, NATIA	WESTERN ASSET SHORT DURATION HIGH I	B	0.00	1.43	0.00	1.43	80.0	1.14
02/09/2018	75501565	GIANNIZZERO, THOMAS	PUTNAM 746444108	B	0.00	10.39	0.00	10.39	80.0	8.31
02/09/2018	75501566	GIANNIZZERO, LAURE	MFS TOTAL RETURN FUND-A	B	0.00	8.52	0.00	8.52	80.0	6.82
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$106.46	\$0.00	\$106.46		\$82.06
*** BROKER TRANSACTIONS TOTAL ***					\$152,942.01	\$23,895.75	\$0.00	\$23,895.75		\$19,113.48

**ADJUSTMENTS**

02/28/2018	DEUNC:UNBUNDLED NEW ACCT FEE (LPCM)	0.00	0.00	0.00	0.00	-45.83
02/28/2018	ADVANCE: ADVANCE	0.00	0.00	0.00	0.00	-18,000.00
02/28/2018	E & O INSURANCE: E & O INSURANCE	0.00	0.00	0.00	0.00	-200.00
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-SIPC AND FINRA CHARGES	0.00	0.00	0.00	0.00	-85.89
02/28/2018	OTHER: OTHER--ADVISORY EXPENSES	0.00	0.00	0.00	0.00	-145.33
02/28/2018	OTHER: OTHER-COMM LESS THAN 50.00	0.00	0.00	0.00	0.00	-16.00
<b>*** ADJUSTMENTS TOTAL ***</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$-18,546.05</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$19,113.48
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-18,546.05
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-1.26
SIPC Assessment	\$-2.52

<b>Check Amount</b>	<b>\$563.65</b>
<b>Year-to-date Earnings</b>	<b>\$2,370.26</b>