

## COMMISSION STATEMENT

November 30, 2017

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
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>									
11/13/2017	75501427	FROUXIDES, MENELAOS	CAPITAL INCOME BUILDER FD CL F-1 S	32,774.15	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502137	FIORE, LUCYANN	VANGUARD BOND INDEX FD INC TOTAL BD B	1,555.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502137	FIORE, LUCYANN	VANGUARD CHARLOTTE FDS TOTAL INTL B B	380.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502137	FIORE, LUCYANN	VANGUARD FD TOTAL INTL STOCK INDEX B	3,900.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502137	FIORE, LUCYANN	VANGUARD INDEX TR VANGUARD TOTAL ST B	33,220.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502138	FIORE, LUCYANN	VANGUARD BOND INDEX FD INC TOTAL BD B	2,890.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502138	FIORE, LUCYANN	VANGUARD CHARLOTTE FDS TOTAL INTL B B	720.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502138	FIORE, LUCYANN	VANGUARD FD TOTAL INTL STOCK INDEX B	7,230.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502138	FIORE, LUCYANN	VANGUARD INDEX TR VANGUARD TOTAL ST B	61,500.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502140	HAUGHEY, CHRISTIAN	VANGUARD BOND INDEX FD INC TOTAL BD B	1,990.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502140	HAUGHEY, CHRISTIAN	VANGUARD CHARLOTTE FDS TOTAL INTL B B	490.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502140	HAUGHEY, CHRISTIAN	VANGUARD FD TOTAL INTL STOCK INDEX B	4,990.00	0.00	0.00	0.00	80.0	0.00
11/15/2017	75502140	HAUGHEY, CHRISTIAN	VANGUARD INDEX TR VANGUARD TOTAL ST B	42,490.00	0.00	0.00	0.00	80.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$194,129.15	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>									
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD FTSE EMERGING MARKETS ETF S	593.52	0.00	0.00	0.00	80.0	0.00
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD FTSE DEVELOPED MARKETS ETF S	2,037.09	0.00	0.00	0.00	80.0	0.00
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD INTERMEDIATE TERM BOND ETF S	84.19	0.00	0.00	0.00	80.0	0.00
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD INDEX FUNDS VANGUARD EXTEN S	660.60	0.00	0.00	0.00	80.0	0.00
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD LONG TERM BOND ETF S	94.46	0.00	0.00	0.00	80.0	0.00
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD SHORT TERM BOND ETF S	158.70	0.00	0.00	0.00	80.0	0.00
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD SCOTTSDALE FUNDS VANGUARD S	52.57	0.00	0.00	0.00	80.0	0.00
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD S&P 500 ETF B	4,058.33	0.00	0.00	0.00	80.0	0.00
11/21/2017	75502101	CORSO, JOSEPH	VANGUARD TOTAL INTERNATIONAL BOND E S	220.16	0.00	0.00	0.00	80.0	0.00
11/28/2017	75502101	CORSO, JOSEPH	VANGUARD FTSE DEVELOPED MARKETS ETF S	669.53	0.00	0.00	0.00	80.0	0.00
11/28/2017	75502101	CORSO, JOSEPH	VANGUARD FTSE DEVELOPED MARKETS ETF S	4,463.50	0.00	0.00	0.00	80.0	0.00
11/28/2017	75502101	CORSO, JOSEPH	VANGUARD S&P 500 ETF S	5,052.39	0.00	0.00	0.00	80.0	0.00
* STOCKS SUBTOTAL *				\$18,145.04	\$0.00	\$0.00	\$0.00		\$0.00

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
/ /	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	0.00	0.00	80.0	0.00
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	1,719.95	0.00	80.0	1,375.96
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	9,619.39	0.00	80.0	7,695.51
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	318.05	0.00	80.0	254.44
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	2,790.52	0.00	80.0	2,232.42
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	749.43	0.00	80.0	599.54
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	2,964.43	0.00	80.0	2,371.54
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	220.44	0.00	80.0	176.35
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	1,476.61	0.00	80.0	1,181.29
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	105.01	0.00	80.0	84.01
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	469.89	0.00	80.0	375.91
11/30/2017	(None)	VARIOUS, BAROLOTTA	ADP	B	0.00	1,184.37	0.00	80.0	947.50
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>					<b>\$0.00</b>	<b>\$21,618.09</b>	<b>\$0.00</b>	<b>\$21,618.09</b>	<b>\$17,294.47</b>

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

11/09/2017	75501422	FROUXIDES, MENELAOS	AMERICAN BALANCED FUND INC CL F1	B	0.00	5.16	0.00	80.0	4.13
11/09/2017	75501422	FROUXIDES, MENELAOS	BLACKROCK EQUITY DIVIDEND FUND SVC	B	0.00	2.83	0.00	80.0	2.26
11/09/2017	75501422	FROUXIDES, MENELAOS	BOND FUND AMER INC CL F1	B	0.00	0.89	0.00	80.0	0.00
11/09/2017	75501422	FROUXIDES, MENELAOS	LORD ABBETT SHORT DURATION INCOME F B	B	0.00	0.61	0.00	80.0	0.00
11/09/2017	75501422	FROUXIDES, MENELAOS	LORD ABBETT HIGH YIELD FUND CL-A	B	0.00	0.39	0.00	80.0	0.00
11/09/2017	75501422	FROUXIDES, MENELAOS	OPPENHEIMER SENIOR FLOATING RATE FU B	B	0.00	1.11	0.00	80.0	0.89
11/09/2017	75501426	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	3.03	0.00	80.0	2.42
11/09/2017	75501426	FROUXIDES, NATIA	LORD ABBETT SHORT DURATION INCOME F B	B	0.00	0.50	0.00	80.0	0.00
11/09/2017	75501426	FROUXIDES, NATIA	OPPENHEIMER STRATEGIC INCOME FD CL B	B	0.00	1.00	0.00	80.0	0.00
11/14/2017	75501426	FROUXIDES, NATIA	**ABERDEEN GLOBAL HIGH INCOME	B	0.00	0.62	0.00	80.0	0.00
11/09/2017	75501427	FROUXIDES, MENELAOS	BLACKROCK HEALTH SCIENCES FUND CLAS B	B	0.00	3.22	0.00	80.0	2.58
11/09/2017	75501427	FROUXIDES, MENELAOS	CAPITAL INCOME BUILDER FD CL F-1	B	0.00	6.98	0.00	80.0	5.58
11/09/2017	75501427	FROUXIDES, MENELAOS	CAPITAL WORLD BOND FUND CL F1	B	0.00	2.47	0.00	80.0	1.98
11/09/2017	75501427	FROUXIDES, MENELAOS	FIDELITY ADVISOR ENERGY CL A	B	0.00	1.71	0.00	80.0	1.37
11/09/2017	75501427	FROUXIDES, MENELAOS	FIRST EAGLE OVERSEAS FUND CLASS A	B	0.00	6.08	0.00	80.0	4.86
11/09/2017	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STRATEGIC INCOME FD CL B	B	0.00	4.43	0.00	80.0	3.54
11/09/2017	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STEELPATH MLP ALPHA FUN B	B	0.00	0.84	0.00	80.0	0.00
11/14/2017	75501427	FROUXIDES, MENELAOS	**ABERDEEN TOTAL RETURNBOND	B	0.00	5.11	0.00	80.0	4.09
11/09/2017	75501428	FROUXIDES, NATIA	BLACKROCK NAT RES TR CL A	B	0.00	1.57	0.00	80.0	1.26
11/09/2017	75501428	FROUXIDES, NATIA	DREYFUS INVT FDS STANDISH GLOBAL FI B	B	0.00	3.87	0.00	80.0	3.10
11/09/2017	75501428	FROUXIDES, NATIA	DREYFUS NY TAX EXEMPT BOND FUND INC B	B	0.00	2.71	0.00	80.0	2.17
11/09/2017	75501428	FROUXIDES, NATIA	FIRST EAGLE GLOBAL FUND CLASS A	B	0.00	7.82	0.00	80.0	6.26
11/09/2017	75501428	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	12.65	0.00	80.0	10.12
11/09/2017	75501428	FROUXIDES, NATIA	LOOMIS SAYLES BOND FUND RETAIL CLAS B	B	0.00	6.40	0.00	80.0	5.12
11/09/2017	75501428	FROUXIDES, NATIA	OPPENHEIMER SENIOR FLOATING RATE FU B	B	0.00	5.34	0.00	80.0	4.27

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BROKER TRANSACTIONS									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
11/09/2017	75501428	FROUXIDES, NATIA	OPPENHEIMER STEELPATH MLP INCOME FU B	0.00	1.11	0.00	1.11	80.0	0.89
11/09/2017	75501428	FROUXIDES, NATIA	US GOVT FUND CLASS A B	0.00	1.55	0.00	1.55	80.0	1.24
11/09/2017	75501428	FROUXIDES, NATIA	WESTERN ASSET SHORT DURATION HIGH I B	0.00	1.41	0.00	1.41	80.0	1.13
11/09/2017	75501565	GIANNIZZERO, THOMAS	PUTNAM 746444108 B	0.00	9.66	0.00	9.66	80.0	7.73
11/09/2017	75501566	GIANNIZZERO, LAURE	MFS TOTAL RETURN FUND-A B	0.00	8.14	0.00	8.14	80.0	6.51
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$109.21	\$0.00	\$109.21		\$83.50
*** BROKER TRANSACTIONS TOTAL ***				\$212,274.19	\$21,727.30	\$0.00	\$21,727.30		\$17,377.97

ADJUSTMENTS

11/30/2017	ADVANCE: ADVANCE	0.00	0.00	0.00	0.00	-17,000.00
11/30/2017	E & O INSURANCE: E & O INSURANCE	0.00	0.00	0.00	0.00	-200.00
11/30/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
11/30/2017	OTHER: OTHER-WEALTH MANAGEMENT	0.00	0.00	0.00	0.00	-25.00
11/30/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
11/30/2017	OTHER: OTHER-RBC CHARGES	0.00	0.00	0.00	0.00	-115.33
11/30/2017	OTHER: OTHER-TICKET CHARGES	0.00	0.00	0.00	0.00	-120.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-17,488.33

BROKER COMMISSION TOTALS

Broker Transactions	\$17,377.97
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-17,488.33
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$19,269.54
FINRA Assessment	\$-27.16
SIPC Assessment	\$-54.32

Check Amount	\$19,077.70
Year-to-date Earnings	\$33,576.18