

COMMISSION STATEMENT

November 30, 2017

STEPHEN MOSS
1336 MARYLAND AVENUEBROKER #: 60
BRANCH: HOME OFFICE

HVERTOWN, PA 19082

COMMISSION STATEMENT for STEPHEN MOSS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

11/07/2017	75501799	HERTEN, TIMOTHY	FIDELITY ADVISOR LEVERAGED COMPANY S	3,377.87	0.00	0.00	0.00	50.0	0.00
* MUTUAL FUNDS SUBTOTAL *				\$3,377.87	\$0.00	\$0.00	\$0.00		\$0.00

PRODUCT CATEGORY: STOCKS

11/13/2017	75501937	BERG, ELIZABETH	ISHARES MSCI EMERGING MARKETS ETF S	6,927.39	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES MSCI EAFE ETF S	7,166.85	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES TR S&P MIDCAP 400 GROWTH B	8,355.20	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES U S REAL ESTATE ETF S	20,121.23	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES U S BASIC MATERIALS ETF B	14,143.68	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES U S UTILITIES ETF S	13,620.75	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES U S ENERGY ETF B	12,453.50	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES U S INDUSTRIALS ETF B	12,469.78	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES U S HEALTHCARE ETF S	13,334.88	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	ISHARES U S TECHNOLOGY ETF S	3,586.44	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	POWERSHARES QQQ TRUST SERIES 1 B	922.97	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	POWERSHARES GLOBAL EXCHANGE TRADED B	8,216.89	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	POWERSHARES PREFERRED PORTFOLIO S	8,455.67	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	SPDR DOW JONES INDL AVERAGE ETF TR B	1,172.95	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	SPDR S&P 500 ETF TRUST B	1,291.25	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	SPDR SER TR BLOOMBERG BARCLAYS INTL S	8,742.58	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	SPDR SERIES TRUST SPDR BLOOMBERG BA S	724.36	0.00	0.00	0.00	50.0	0.00
11/13/2017	75501937	BERG, ELIZABETH	VANECK VECTORS ETF TR HIGH YIELD MU B	8,237.64	0.00	0.00	0.00	50.0	0.00
11/27/2017	75501994	MCCOACH, MARY	SPDR SERIES TRUST SPDR BLOOMBERG BA B	115.28	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	ISHARES S&P500 GROWTH INDEX FD B	5,071.78	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	ISHARES TR S&P MIDCAP 400 GROWTH B	5,427.76	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	ISHARES U S ENERGY ETF B	7,983.22	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	ISHARES U S BASIC MATERIALS ETF B	13,427.39	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	ISHARES U S INDUSTRIALS ETF B	7,966.88	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	ISHARES U S TECHNOLOGY ETF B	7,967.89	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	POWERSHARES QQQ TRUST SERIES 1 B	5,365.06	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	POWERSHARES GLOBAL EXCHANGE TRADED B	5,257.18	0.00	0.00	0.00	50.0	0.00

COMMISSION STATEMENT for STEPHEN MOSS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
11/14/2017	75502026	DAVID DIEU TTEE	SPDR DOW JONES INDL AVERAGE ETF TR	B	5,380.39	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	SPDR S&P 500 ETF TRUST	B	4,894.40	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	5,414.57	0.00	0.00	0.00	50.0	0.00
11/14/2017	75502026	DAVID DIEU TTEE	VANECK VECTORS ETF TR HIGH YIELD MU	B	5,278.99	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *					\$229,494.80	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITIES										
11/30/2017	(None)	VARIOUS, MOSS	COLLEGE BOUND 529	B	0.00	3.50	0.00	3.50	50.0	1.75
11/30/2017	(None)	VARIOUS, MOSS	JACKSON	B	0.00	14.86	0.00	14.86	50.0	7.43
11/30/2017	(None)	VARIOUS, MOSS	LINCOLN	B	0.00	302.02	0.00	302.02	50.0	151.01
11/30/2017	(None)	VARIOUS, MOSS	MASS MUTUAL	B	0.00	23.46	0.00	23.46	50.0	11.73
11/30/2017	(None)	VARIOUS, MOSS	MASS MUTUAL	B	0.00	11.80	0.00	11.80	50.0	5.90
* VARIABLE ANNUITIES SUBTOTAL *					\$0.00	\$355.64	\$0.00	\$355.64		\$177.82
PRODUCT CATEGORY: MISCELLANEOUS										
11/30/2017	VARIOUS, MOSS	RBC ADVISORY INCOME	B	0.00	2,247.66	0.00	2,247.66	50.0	1,123.83	
* MISCELLANEOUS SUBTOTAL *					\$0.00	\$2,247.66	\$0.00	\$2,247.66		\$1,123.83
PRODUCT CATEGORY: RIA										
11/21/2017	75502026	DAVID DIEU TTEE	FAS FEES	B	-166.50	166.50	0.00	166.50	50.0	83.25
* RIA SUBTOTAL *					\$-166.50	\$166.50	\$0.00	\$166.50		\$83.25
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
11/09/2017	75501795	SPILLANE, TIMOTHY	FRANKLIN MODERATE ALLOCATION FD CL	B	0.00	0.71	0.00	0.71	50.0	0.00
11/09/2017	75501815	TAMBURRO, ALBERT	**JPMORGAN TR I	B	0.00	1.25	0.00	1.25	50.0	0.63
11/09/2017	75501874	ULIRCUIS, WILLIAM	MFS PENNSYLVANIA MUNICIPAL BOND FUN	B	0.00	0.31	0.00	0.31	50.0	0.00
11/09/2017	75502016	WEST, JEFFREY	**GABELLI EQUITY SERIES FUNDS	B	0.00	0.49	0.00	0.49	50.0	0.00
11/09/2017	75502016	WEST, JEFFREY	TEMP GLOBAL BOND FND - CL A	B	0.00	0.16	0.00	0.16	50.0	0.00
11/09/2017	75502017	WEST, KELLY	**GABELLI EQUITY SERIES FUNDS	B	0.00	0.49	0.00	0.49	50.0	0.00
11/09/2017	75502017	WEST, KELLY	TEMP GLOBAL BOND FND - CL A	B	0.00	0.16	0.00	0.16	50.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$3.57	\$0.00	\$3.57		\$0.63
*** BROKER TRANSACTIONS TOTAL ***					\$232,706.17	\$2,773.37	\$0.00	\$2,773.37		\$1,385.53

COMMISSION STATEMENT for STEPHEN MOSS

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
------------	--------	------------	-----	----------------------	---------------------	--------------------	-------------------	------	----------------------

ADJUSTMENTS

11/30/2017		DEUNC:UNBUNDLED NEW ACCT FEE (LPCM)		0.00	0.00	0.00	0.00		-19.98
11/30/2017		OTHER: OTHER-RBC ADVISORY EXPENSES		0.00	0.00	0.00	0.00		-224.33
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-244.31

BROKER COMMISSION TOTALS

Broker Transactions	\$1,385.53
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-244.31
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-0.66
SIPC Assessment	\$-1.31

Check Amount	\$1,139.25
Year-to-date Earnings	\$7,823.55