

COMMISSION STATEMENT

October 31, 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> | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | | |
| 10/23/2017 | 75502078 | BARTOLOTTA, MICHAEL | VANGUARD BD INDEX FDS MID CAP GRWTH B | 10,600.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/23/2017 | 75502078 | BARTOLOTTA, MICHAEL | VANGUARD BD INDEX FDS SMALL CAP GRT B | 3,710.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/23/2017 | 75502078 | BARTOLOTTA, MICHAEL | VANGUARD FD TOTAL INTL STOCK INDEX B | 3,180.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/23/2017 | 75502078 | BARTOLOTTA, MICHAEL | VANGUARD INDEX TR VANGUARD GROWTH I B | 10,600.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/23/2017 | 75502078 | BARTOLOTTA, MICHAEL | VANGUARD INDEX TR VANGUARD VALUE IN B | 10,600.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/23/2017 | 75502078 | BARTOLOTTA, MICHAEL | VANGUARD MID CAP VALUE INDEX FUND A B | 10,600.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/23/2017 | 75502078 | BARTOLOTTA, MICHAEL | VANGUARD SMALL CAP VALUE INDEX FUND B | 3,710.00 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | | \$53,000.00 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | | |
|----------------------------|----------|----------------|---------------------------------------|---------------------|-----------------|---------------|-----------------|------|---------------|
| 09/28/2017 | 75501371 | BURTCH, BROOKE | VANGUARD INDEX FUNDS VANGUARD TOTAL B | 10,059.47 | 20.00 | 0.00 | 20.00 | 80.0 | 0.00 |
| 10/12/2017 | 75501371 | BURTCH, BROOKE | VANGUARD INDEX FUNDS VANGUARD TOTAL S | 125,762.24 | 20.00 | 0.00 | 20.00 | 80.0 | 0.00 |
| 10/12/2017 | 75501371 | BURTCH, BROOKE | VANGUARD STAR FD VANGUARD TOTAL INT S | 21,549.32 | 20.00 | 0.00 | 20.00 | 80.0 | 0.00 |
| 10/12/2017 | 75501371 | BURTCH, BROOKE | VANGUARD TOTAL BOND MARKET ETF S | 3,271.20 | 20.00 | 0.00 | 20.00 | 80.0 | 0.00 |
| 10/12/2017 | 75501371 | BURTCH, BROOKE | VANGUARD TOTAL INTERNATIONAL BOND E S | 2,292.78 | 20.00 | 0.00 | 20.00 | 80.0 | 0.00 |
| 10/13/2017 | 75502101 | CORSO, JOSEPH | VANGUARD S&P 500 ETF S | 468.43 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/16/2017 | 75502101 | CORSO, JOSEPH | VANGUARD S&P 500 ETF S | 6,559.84 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/05/2017 | 75502127 | HAUGHEY, LISA | SPECTRA ENERGY PARTNERS LP B | 9,003.96 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/05/2017 | 75502127 | HAUGHEY, LISA | TORONTO-DOMINION BANK B | 11,265.98 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/05/2017 | 75502127 | HAUGHEY, LISA | WEYERHAEUSER CO B | 10,328.25 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| 10/06/2017 | 75502127 | HAUGHEY, LISA | CALAMOS DYNAMIC CONVERTIBLE & INCOM B | 2,800.98 | 0.00 | 0.00 | 0.00 | 80.0 | 0.00 |
| * STOCKS SUBTOTAL * | | | | \$203,362.45 | \$100.00 | \$0.00 | \$100.00 | | \$0.00 |

PRODUCT CATEGORY: VARIABLE ANNUITIES

| | | | | | | | | | |
|------------|--------|--------------------|-----|------|----------|------|----------|------|----------|
| 10/23/2017 | (None) | VARIOUS, BAROLOTTA | ADP | 0.00 | 2,849.53 | 0.00 | 2,849.53 | 80.0 | 2,279.62 |
| 10/24/2017 | (None) | VARIOUS, BAROLOTTA | ADP | 0.00 | 97.74 | 0.00 | 97.74 | 80.0 | 78.19 |
| 10/24/2017 | (None) | VARIOUS, BAROLOTTA | ADP | 0.00 | 1,119.62 | 0.00 | 1,119.62 | 80.0 | 895.70 |
| 10/24/2017 | (None) | VARIOUS, BAROLOTTA | ADP | 0.00 | 711.25 | 0.00 | 711.25 | 80.0 | 569.00 |
| 10/24/2017 | (None) | VARIOUS, BAROLOTTA | ADP | 0.00 | 2,810.03 | 0.00 | 2,810.03 | 80.0 | 2,248.02 |
| 10/24/2017 | (None) | VARIOUS, BAROLOTTA | ADP | 0.00 | 2,629.02 | 0.00 | 2,629.02 | 80.0 | 2,103.22 |
| 10/24/2017 | (None) | VARIOUS, BAROLOTTA | ADP | 0.00 | 481.19 | 0.00 | 481.19 | 80.0 | 384.95 |
| 10/24/2017 | (None) | VARIOUS, BAROLOTTA | ADP | 0.00 | 1,679.51 | 0.00 | 1,679.51 | 80.0 | 1,343.61 |

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|---|------------------------------|---------------------------------------|-----|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | | |
| 10/24/2017 | (None) VARIOUS, BAROLOTTA | ADP | B | 0.00 | 1,401.51 | 0.00 | 1,401.51 | 80.0 | 1,121.21 |
| 10/24/2017 | (None) VARIOUS, BAROLOTTA | ADP | B | 0.00 | 9,200.80 | 0.00 | 9,200.80 | 80.0 | 7,360.64 |
| 10/24/2017 | (None) VARIOUS, BAROLOTTA | ADP | B | 0.00 | 303.49 | 0.00 | 303.49 | 80.0 | 242.79 |
| 10/24/2017 | (None) VARIOUS, BAROLOTTA | ADP | B | 0.00 | 210.37 | 0.00 | 210.37 | 80.0 | 168.30 |
| 10/31/2017 | (None) VARIOUS, BAROLOTTA | ADP | B | 0.00 | -1,270.66 | 0.00 | -1,270.66 | 80.0 | 0.00 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | | \$0.00 | \$22,223.40 | \$0.00 | \$22,223.40 | | \$18,795.25 |
| <u>PRODUCT CATEGORY: RIA</u> | | | | | | | | | |
| 10/16/2017 | 75502093 FIDER, LOURDES | FAS FEES | B | -48.41 | 24.21 | 0.00 | 24.21 | 80.0 | 0.00 |
| 10/16/2017 | 75502101 CORSO, JOSEPH | FAS FEES | B | -60.86 | 30.43 | 0.00 | 30.43 | 80.0 | 0.00 |
| 10/16/2017 | 75502127 HAUGHEY, LISA | FAS FEES | B | -1,850.97 | 1,850.97 | 0.00 | 1,850.97 | 80.0 | 1,480.78 |
| * RIA SUBTOTAL * | | | | \$-1,960.24 | \$1,905.61 | \$0.00 | \$1,905.61 | | \$1,480.78 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | | |
| 10/10/2017 | 75501422 FROUXIDES, MENELAOS | AIM ENERGY FUND - CLASS A | B | 0.00 | 2.08 | 0.00 | 2.08 | 80.0 | 1.66 |
| 10/10/2017 | 75501422 FROUXIDES, MENELAOS | AMERICAN BALANCED FUND INC CL F1 | B | 0.00 | 4.92 | 0.00 | 4.92 | 80.0 | 3.94 |
| 10/10/2017 | 75501422 FROUXIDES, MENELAOS | BLACKROCK EQUITY DIVIDEND FUND SVC | B | 0.00 | 2.65 | 0.00 | 2.65 | 80.0 | 2.12 |
| 10/10/2017 | 75501422 FROUXIDES, MENELAOS | BOND FUND AMER INC CL F1 | B | 0.00 | 0.86 | 0.00 | 0.86 | 80.0 | 0.00 |
| 10/10/2017 | 75501422 FROUXIDES, MENELAOS | LORD ABBETT SHORT DURATION INCOME F B | B | 0.00 | 0.59 | 0.00 | 0.59 | 80.0 | 0.00 |
| 10/10/2017 | 75501422 FROUXIDES, MENELAOS | LORD ABBETT HIGH YIELD FUND CL-A | B | 0.00 | 0.38 | 0.00 | 0.38 | 80.0 | 0.00 |
| 10/10/2017 | 75501422 FROUXIDES, MENELAOS | OPPENHEIMER SENIOR FLOATING RATE FUB | B | 0.00 | 1.07 | 0.00 | 1.07 | 80.0 | 0.86 |
| 10/10/2017 | 75501422 FROUXIDES, MENELAOS | PIMCO INCOME FUND CLASS D | B | 0.00 | 3.77 | 0.00 | 3.77 | 80.0 | 3.02 |
| 10/10/2017 | 75501426 FROUXIDES, NATIA | INCOME FUND AMER INC CL F1 | B | 0.00 | 2.88 | 0.00 | 2.88 | 80.0 | 2.30 |
| 10/10/2017 | 75501426 FROUXIDES, NATIA | LORD ABBETT SHORT DURATION INCOME F B | B | 0.00 | 0.49 | 0.00 | 0.49 | 80.0 | 0.00 |
| 10/10/2017 | 75501426 FROUXIDES, NATIA | OPPENHEIMER STRATEGIC INCOME FD CL | B | 0.00 | 0.97 | 0.00 | 0.97 | 80.0 | 0.00 |
| 10/16/2017 | 75501426 FROUXIDES, NATIA | **ABERDEEN GLOBAL HIGH INCOME | B | 0.00 | 0.60 | 0.00 | 0.60 | 80.0 | 0.00 |
| 10/17/2017 | 75501426 FROUXIDES, NATIA | **IVA FIDUCIARY TR | B | 0.00 | 3.34 | 0.00 | 3.34 | 80.0 | 2.67 |
| 10/10/2017 | 75501427 FROUXIDES, MENELAOS | BLACKROCK HEALTH SCIENCES FUND CLAS B | B | 0.00 | 3.07 | 0.00 | 3.07 | 80.0 | 2.46 |
| 10/10/2017 | 75501427 FROUXIDES, MENELAOS | CAPITAL INCOME BUILDER FD CL F-1 | B | 0.00 | 6.70 | 0.00 | 6.70 | 80.0 | 5.36 |
| 10/10/2017 | 75501427 FROUXIDES, MENELAOS | CAPITAL WORLD BOND FUND CL F1 | B | 0.00 | 2.42 | 0.00 | 2.42 | 80.0 | 1.94 |
| 10/10/2017 | 75501427 FROUXIDES, MENELAOS | FIDELITY ADVISOR ENERGY CL A | B | 0.00 | 1.59 | 0.00 | 1.59 | 80.0 | 1.27 |
| 10/10/2017 | 75501427 FROUXIDES, MENELAOS | FIRST EAGLE OVERSEAS FUND CLASS A | B | 0.00 | 5.83 | 0.00 | 5.83 | 80.0 | 4.66 |
| 10/10/2017 | 75501427 FROUXIDES, MENELAOS | OPPENHEIMER STRATEGIC INCOME FD CL | B | 0.00 | 4.28 | 0.00 | 4.28 | 80.0 | 3.42 |
| 10/10/2017 | 75501427 FROUXIDES, MENELAOS | OPPENHEIMER STEELPATH MLP ALPHA FUN B | B | 0.00 | 0.82 | 0.00 | 0.82 | 80.0 | 0.00 |
| 10/16/2017 | 75501427 FROUXIDES, MENELAOS | **ABERDEEN TOTAL RETURNBOND | B | 0.00 | 4.95 | 0.00 | 4.95 | 80.0 | 3.96 |
| 10/16/2017 | 75501427 FROUXIDES, MENELAOS | **ABERDEEN GLOBAL HIGH INCOME | B | 0.00 | 2.01 | 0.00 | 2.01 | 80.0 | 1.61 |
| 10/10/2017 | 75501428 FROUXIDES, NATIA | BLACKROCK NAT RES TR CL A | B | 0.00 | 1.47 | 0.00 | 1.47 | 80.0 | 1.18 |
| 10/10/2017 | 75501428 FROUXIDES, NATIA | DREYFUS INVT FDS STANDISH GLOBAL FI B | B | 0.00 | 3.75 | 0.00 | 3.75 | 80.0 | 3.00 |
| 10/10/2017 | 75501428 FROUXIDES, NATIA | DREYFUS NY TAX EXEMPT BOND FUND INC B | B | 0.00 | 2.62 | 0.00 | 2.62 | 80.0 | 2.10 |
| 10/10/2017 | 75501428 FROUXIDES, NATIA | FIRST EAGLE GLOBAL FUND CLASS A | B | 0.00 | 7.45 | 0.00 | 7.45 | 80.0 | 5.96 |

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|---|----------|----------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|-------------|----------------------|-------------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | |
| 10/10/2017 | 75501428 | FROUXIDES, NATIA | INCOME FUND AMER INC CL F1 | B | 0.00 | 12.03 | 0.00 | 12.03 | 80.0 | 9.62 |
| 10/10/2017 | 75501428 | FROUXIDES, NATIA | LOOMIS SAYLES BOND FUND RETAIL CLAS B | | 0.00 | 6.22 | 0.00 | 6.22 | 80.0 | 4.98 |
| 10/10/2017 | 75501428 | FROUXIDES, NATIA | OPPENHEIMER SENIOR FLOATING RATE FU B | | 0.00 | 5.14 | 0.00 | 5.14 | 80.0 | 4.11 |
| 10/10/2017 | 75501428 | FROUXIDES, NATIA | OPPENHEIMER STEELPATH MLP INCOME FU B | | 0.00 | 1.08 | 0.00 | 1.08 | 80.0 | 0.86 |
| 10/10/2017 | 75501428 | FROUXIDES, NATIA | US GOVT FUND CLASS A | B | 0.00 | 1.49 | 0.00 | 1.49 | 80.0 | 1.19 |
| 10/10/2017 | 75501428 | FROUXIDES, NATIA | WESTERN ASSET SHORT DURATION HIGH I B | | 0.00 | 1.36 | 0.00 | 1.36 | 80.0 | 1.09 |
| 10/10/2017 | 75501430 | D'AGOSTINO, NICHOLAS | AMERICAN FUNDS 2025 TARGET DATE-A | B | 0.00 | 2.43 | 0.00 | 2.43 | 80.0 | 1.94 |
| 10/10/2017 | 75501565 | GIANNIZZERO, THOMAS | PUTNAM 746444108 | B | 0.00 | 9.13 | 0.00 | 9.13 | 80.0 | 7.30 |
| 10/10/2017 | 75501566 | GIANNIZZERO, LAURE | MFS TOTAL RETURN FUND-A | B | 0.00 | 7.75 | 0.00 | 7.75 | 80.0 | 6.20 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$118.19 | \$0.00 | \$118.19 | | \$90.78 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | \$254,402.21 | \$24,347.20 | \$0.00 | \$24,347.20 | | \$20,366.81 |

ADJUSTMENTS

| | | | | | | |
|---------------------------|------------------------------------|--------|--------|--------|--------|--------------|
| 10/31/2017 | DEUNB:UNBUNDLED QRTRLY FEE (LPCM): | 0.00 | 0.00 | 0.00 | 0.00 | -115.33 |
| 10/31/2017 | ADVANCE: ADVANCE | 0.00 | 0.00 | 0.00 | 0.00 | -28,000.00 |
| 10/31/2017 | E & O INSURANCE: E & O INSURANCE | 0.00 | 0.00 | 0.00 | 0.00 | -200.00 |
| 10/31/2017 | OTHER: COMPLIANCE AND TECHNOLOGY | 0.00 | 0.00 | 0.00 | 0.00 | -20.00 |
| 10/31/2017 | OTHER: OTHER-WEALTH MANAGEMENT | 0.00 | 0.00 | 0.00 | 0.00 | -25.00 |
| 10/31/2017 | OTHER: OTHER-360 OFFICE | 0.00 | 0.00 | 0.00 | 0.00 | -8.00 |
| 10/31/2017 | OTHER: OTHER--TICKETS CHARGES | 0.00 | 0.00 | 0.00 | 0.00 | -120.00 |
| 10/31/2017 | OTHER: OTHER--POSTAGE | 0.00 | 0.00 | 0.00 | 0.00 | -11.92 |
| *** ADJUSTMENTS TOTAL *** | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$-28,500.25 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|--------------|
| Broker Transactions | \$20,366.81 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-28,500.25 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$27,439.45 |
| FINRA Assessment | \$-30.43 |
| SIPC Assessment | \$-60.87 |

| | |
|------------------------------|--------------------|
| Check Amount | \$19,214.71 |
| Year-to-date Earnings | \$33,768.02 |