

## COMMISSION STATEMENT

December 31, 2017

IRENE SULLIVAN  
303 BEVERLEY ROAD  
APT 9C  
BROOKLYN, NY 11218

BROKER #: 33  
BRANCH: HOME OFFICE

## COMMISSION STATEMENT for IRENE SULLIVAN

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONSPRODUCT CATEGORY: MUTUAL FUNDS

12/15/2017	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	S	1,700.00	28.00	25.00	3.00	80.0	2.40
12/20/2017	75501283	PEIFFER, DAVID	FIDELITY 500 INDEX FUND PREMIUM CLA B		7,900.00	28.00	25.00	3.00	80.0	2.40
* MUTUAL FUNDS SUBTOTAL *					\$9,600.00	\$56.00	\$50.00	\$6.00		\$4.80

PRODUCT CATEGORY: STOCKS

12/20/2017	75500750	GANGE, RICHARD	PPL CORPORATION	B	31,870.00	747.00	25.00	722.00	80.0	577.60
12/18/2017	75500751	GANGE, RICHARD	CIVEO CORP CDA COM	S	3,450.00	100.00	25.00	75.00	80.0	60.00
12/18/2017	75500751	GANGE, RICHARD	OCEAN POWER TECHNOLOGIES INC COM PA S		218.00	28.00	25.00	3.00	80.0	2.40
12/22/2017	75500751	GANGE, RICHARD	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0	188.80
12/20/2017	75500753	HARRISON, LISA	GENERAL ELECTRIC CO	B	4,711.50	203.00	25.00	178.00	80.0	142.40
12/20/2017	75500753	HARRISON, LISA	GENERAL ELECTRIC CO	B	3,490.00	50.00	25.00	25.00	80.0	20.00
12/20/2017	75500753	HARRISON, LISA	PPL CORPORATION	B	8,701.00	228.00	25.00	203.00	80.0	162.40
12/22/2017	75500753	HARRISON, LISA	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0	188.80
12/22/2017	75500754	HARRISON, LISA	COTY INC COM CL A	S	5,691.40	231.00	25.00	206.00	80.0	164.80
12/18/2017	75500768	BLASIUS, CHARLES	WINDSTREAM HOLDINGS INC COM	S	1,790.95	50.00	25.00	25.00	80.0	20.00
12/22/2017	75500768	BLASIUS, CHARLES	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0	188.80
12/18/2017	75500769	BLASIUS, CHARLES	OCEAN POWER TECHNOLOGIES INC COM PA S		359.70	28.00	25.00	3.00	80.0	2.40
12/18/2017	75500788	CAFIERO, RENEE	INTERGROUP CORP	S	7,635.45	214.00	25.00	189.00	80.0	151.20
12/18/2017	75500846	YELLAND, MARGARET	WINDSTREAM HOLDINGS INC COM	S	1,969.40	50.00	25.00	25.00	80.0	20.00
12/20/2017	75500846	YELLAND, MARGARET	PPL CORPORATION	B	47,730.00	1,098.00	25.00	1,073.00	80.0	858.40
12/18/2017	75500847	YELLAND, MARGARET	OCEAN POWER TECHNOLOGIES INC COM PA S		490.50	28.00	25.00	3.00	80.0	2.40
12/21/2017	75500847	YELLAND, MARGARET	QUICKLOGIC CORP	S	11,900.00	287.00	25.00	262.00	80.0	209.60
12/22/2017	75500847	YELLAND, MARGARET	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0	188.80
12/22/2017	75500848	O'LEARY, JENNIFER	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0	188.80
12/26/2017	75500889	UNGER, KENNETH	UNITI GROUP INC COMMON STOCK	S	3,660.00	50.00	25.00	25.00	80.0	20.00
12/20/2017	75500907	STRACHAN, DEREK	PPL CORPORATION	B	31,869.00	747.00	25.00	722.00	80.0	577.60
12/22/2017	75500907	STRACHAN, DEREK	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0	188.80
12/18/2017	75501026	HARRISON, JUDITH	OCEAN POWER TECHNOLOGIES INC COM PA S		163.50	28.00	25.00	3.00	80.0	2.40
12/21/2017	75501026	HARRISON, JUDITH	QUICKLOGIC CORP	S	5,610.00	159.00	25.00	134.00	80.0	107.20
12/22/2017	75501026	HARRISON, JUDITH	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0	188.80
12/18/2017	75501038	VANARSDALE,	OCEAN POWER TECHNOLOGIES INC COM PA S		163.50	28.00	25.00	3.00	80.0	2.40

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
12/18/2017	75501041	DUFFY, TRENT	WINDSTREAM HOLDINGS INC COM	S	537.50	28.00	25.00	3.00	80.0 2.40
12/20/2017	75501041	DUFFY, TRENT	PPL CORPORATION	B	38,278.56	889.00	25.00	864.00	80.0 691.20
12/22/2017	75501041	DUFFY, TRENT	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0 188.80
12/18/2017	75501042	DUFFY, TRENT	CIVEO CORP CDA COM	S	6,900.00	178.00	25.00	153.00	80.0 122.40
12/18/2017	75501075	ROSENFELD, CAROL	OCEAN POWER TECHNOLOGIES INC COM PA S		163.50	28.00	25.00	3.00	80.0 2.40
12/22/2017	75501075	ROSENFELD, CAROL	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0 188.80
12/20/2017	75501078	OETTEL, BRYAN	PPL CORPORATION	B	31,879.00	747.00	25.00	722.00	80.0 577.60
12/22/2017	75501078	OETTEL, BRYAN	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0 188.80
12/20/2017	75501086	CHARLES & MARK	GENERAL ELECTRIC CO	B	61,109.65	1,406.00	25.00	1,381.00	80.0 1,104.80
12/20/2017	75501086	CHARLES & MARK	PPL CORPORATION	B	63,780.00	1,464.00	25.00	1,439.00	80.0 1,151.20
12/21/2017	75501086	CHARLES & MARK	QUICKLOGIC CORP	S	15,300.00	396.00	25.00	371.00	80.0 296.80
12/22/2017	75501086	CHARLES & MARK	ARCHER-DANIELS-MIDLAND CO	B	60,375.00	1,381.00	25.00	1,356.00	80.0 1,084.80
12/22/2017	75501086	CHARLES & MARK	AT&T INC	B	65,841.00	28.00	25.00	3.00	80.0 2.40
12/22/2017	75501086	CHARLES & MARK	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0 188.80
12/22/2017	75501086	CHARLES & MARK	TWILIO INC CL A	B	41,973.00	1,514.00	25.00	1,489.00	80.0 1,191.20
12/22/2017	75501086	CHARLES & MARK	TWILIO INC CL A	S	41,779.20	0.00	25.00	-25.00	80.0 -20.00
12/20/2017	75501100	KINNEY, SAMUEL	PPL CORPORATION	B	38,268.00	889.00	25.00	864.00	80.0 691.20
12/18/2017	75501101	KINNEY, SAMUEL	OCEAN POWER TECHNOLOGIES INC COM PA S		436.00	28.00	25.00	3.00	80.0 2.40
12/18/2017	75501102	KINNEY, SAMUEL	CIVEO CORP CDA COM	S	9,160.00	234.00	25.00	209.00	80.0 167.20
12/18/2017	75501102	KINNEY, SAMUEL	OCEAN POWER TECHNOLOGIES INC COM PA S		218.00	28.00	25.00	3.00	80.0 2.40
12/18/2017	75501130	PALMER, JEANNE	CIVEO CORP CDA COM	S	6,900.00	178.00	25.00	153.00	80.0 122.40
12/18/2017	75501130	PALMER, JEANNE	OCEAN POWER TECHNOLOGIES INC COM PA S		218.00	28.00	25.00	3.00	80.0 2.40
12/18/2017	75501130	PALMER, JEANNE	WINDSTREAM HOLDINGS INC COM	S	356.90	28.00	25.00	3.00	80.0 2.40
12/20/2017	75501130	PALMER, JEANNE	PPL CORPORATION	B	31,848.50	747.00	25.00	722.00	80.0 577.60
12/22/2017	75501130	PALMER, JEANNE	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0 188.80
12/18/2017	75501131	CAMPOS, CHRISTOPHER	WINDSTREAM HOLDINGS INC COM	S	356.90	28.00	25.00	3.00	80.0 2.40
12/20/2017	75501131	CAMPOS, CHRISTOPHER	PPL CORPORATION	B	28,555.56	671.00	25.00	646.00	80.0 516.80
12/20/2017	75501279	GELBERT,	GENERAL ELECTRIC CO	B	13,960.00	343.00	25.00	318.00	80.0 254.40
12/22/2017	75501279	GELBERT,	COTY INC COM CL A	S	7,681.40	261.00	25.00	236.00	80.0 188.80
12/05/2017	75501283	PEIFFER, DAVID	INTERNATIONAL BUSINESS MACHINES COR S		6,229.20	50.00	25.00	25.00	80.0 20.00
12/05/2017	75501283	PEIFFER, DAVID	PITNEY BOWES INC	S	2,600.00	50.00	25.00	25.00	80.0 20.00
* STOCKS SUBTOTAL *					\$838,355.57	\$19,108.00	\$1,425.00	\$17,683.00	\$14,146.40
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
12/11/2017	75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.73	0.00	2.73	80.0 2.18
12/11/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B		0.00	14.60	0.00	14.60	80.0 11.68
12/11/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B		0.00	14.62	0.00	14.62	80.0 11.70
12/11/2017	75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	8.09	0.00	8.09	80.0 6.47
12/11/2017	75500755	DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	5.56	0.00	5.56	80.0 4.45
12/11/2017	75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	28.88	0.00	28.88	80.0 23.10

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
12/11/2017	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	45.90	0.00	45.90	80.0	36.72
12/11/2017	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	25.89	0.00	25.89	80.0	20.71
12/11/2017	75500756	DENNENY, MICHAEL	EHV 277902813	B	0.00	8.30	0.00	8.30	80.0	6.64
12/11/2017	75500756	DENNENY, MICHAEL	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	31.65	0.00	31.65	80.0	25.32
12/11/2017	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.20	0.00	9.20	80.0	7.36
12/11/2017	75500848	O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.42	0.00	1.42	80.0	1.14
12/11/2017	75500848	O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.91	0.00	0.91	80.0	0.73
12/22/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	2.13	0.00	2.13	80.0	1.70
12/22/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.30	0.00	1.30	80.0	1.04
12/11/2017	75500880	VAZ, CHRISTINE	EHV 277902813	B	0.00	1.63	0.00	1.63	80.0	1.30
12/11/2017	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR	B	0.00	3.15	0.00	3.15	80.0	2.52
12/11/2017	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	11.48	0.00	11.48	80.0	9.18
12/11/2017	75501025	HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND	B	0.00	2.68	0.00	2.68	80.0	2.14
12/11/2017	75501074	ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES	B	0.00	7.72	0.00	7.72	80.0	6.18
12/22/2017	75501079	OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.24	0.00	0.24	80.0	0.19
12/11/2017	75501088	SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL	B	0.00	4.13	0.00	4.13	80.0	3.30
12/11/2017	75501088	SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	24.09	0.00	24.09	80.0	19.27
12/11/2017	75501088	SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI	B	0.00	15.19	0.00	15.19	80.0	12.15
12/11/2017	75501088	SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	14.14	0.00	14.14	80.0	11.31
12/11/2017	75501088	SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	8.88	0.00	8.88	80.0	7.10
12/11/2017	75501088	SILBERMANN, SHARON	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	20.48	0.00	20.48	80.0	16.38
12/22/2017	75501088	SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	4.77	0.00	4.77	80.0	3.82
12/11/2017	75501167	FORTE, SUZETTE	EHV 277902813	B	0.00	1.38	0.00	1.38	80.0	1.10
12/20/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	11.66	0.00	11.66	80.0	9.33
12/20/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.62	0.00	2.62	80.0	2.10
12/20/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	9.75	0.00	9.75	80.0	7.80
12/20/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.25	0.00	2.25	80.0	1.80
12/11/2017	QGW028722	SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	2.95	0.00	2.95	80.0	2.36
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$350.37	\$0.00	\$350.37		\$280.27
*** BROKER TRANSACTIONS TOTAL ***					\$847,955.57	\$19,514.37	\$1,475.00	\$18,039.37		\$14,431.47

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
12/31/2017		DEMNL:MANUAL PROCESS FEE (LPFS): MA		0.00	0.00	0.00	0.00		-10.00
12/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
12/31/2017		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		-40.00
12/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
12/31/2017		OTHER: OTHER-RBC		0.00	0.00	0.00	0.00		-76.00
12/31/2017		OTHER: OTHER-STATE REGIST		0.00	0.00	0.00	0.00		-1,074.00
12/31/2017		:		0.00	0.00	0.00	0.00		0.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-1,228.00

BROKER COMMISSION TOTALS

Broker Transactions	\$14,431.47
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,228.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-24.39
SIPC Assessment	\$-48.79

Check Amount	\$13,130.29
Year-to-date Earnings	\$83,612.37