

COMMISSION STATEMENT

July 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: STOCKS

07/26/2017 75500750	GANGE, RICHARD	GILEAD SCIENCES INC	B	14,792.00	361.00	25.00	336.00	80.0	268.80
07/26/2017 75500750	GANGE, RICHARD	NAVIENT CORPORATION COM	B	29,360.00	857.00	25.00	832.00	80.0	665.60
07/26/2017 75500750	GANGE, RICHARD	VERIZON COMMUNICATIONS	B	31,143.00	727.00	25.00	702.00	80.0	561.60
07/26/2017 75500751	GANGE, RICHARD	WALGREEN BOOTS ALLIANCE INC COM	B	17,347.00	423.00	25.00	398.00	80.0	318.40
07/26/2017 75500753	HARRISON, LISA	NAVIENT CORPORATION COM	B	8,802.00	226.00	25.00	201.00	80.0	160.80
07/26/2017 75500754	HARRISON, LISA	NAVIENT CORPORATION COM	B	8,802.00	226.00	25.00	201.00	80.0	160.80
06/29/2017 75500756	DENNENY, MICHAEL	US GEOTHERMAL INC COMMON STOCK	S	9,000.00	236.00	25.00	211.00	80.0	168.80
07/26/2017 75500788	CAFIERO, RENEE	VERIZON COMMUNICATIONS	B	89,000.00	2,031.00	25.00	2,006.00	80.0	1,604.80
07/24/2017 75500789	CAFIERO, RENEE	STAPLES INC	S	39,390.00	918.00	25.00	893.00	80.0	714.40
07/26/2017 75500789	CAFIERO, RENEE	NAVIENT CORPORATION COM	B	73,350.00	1,678.00	25.00	1,653.00	80.0	1,322.40
07/26/2017 75500847	YELLAND, MARGARET	NAVIENT CORPORATION COM	B	36,650.00	852.00	25.00	827.00	80.0	661.60
07/26/2017 75500847	YELLAND, MARGARET	VERIZON COMMUNICATIONS	B	49,004.56	1,131.00	25.00	1,106.00	80.0	884.80
07/17/2017 75500863	FICHTER, WM	LUMBER LIQUIDATORS HOLDINGS INC	S	9,757.50	249.00	25.00	224.00	80.0	179.20
06/29/2017 75501038	VANARSDALE,	US GEOTHERMAL INC COMMON STOCK	S	11,250.00	279.00	25.00	254.00	80.0	203.20
07/24/2017 75501038	VANARSDALE,	STAPLES INC	S	12,120.00	302.00	25.00	277.00	80.0	221.60
07/25/2017 75501038	VANARSDALE,	AMERICAN EXPRESS COMPANY (N.Y)	S	45,315.00	1,161.00	25.00	1,136.00	80.0	908.80
07/26/2017 75501041	DUFFY, TRENT	VERIZON COMMUNICATIONS	B	35,592.00	831.00	25.00	806.00	80.0	644.80
06/29/2017 75501042	DUFFY, TRENT	US GEOTHERMAL INC COMMON STOCK	S	22,500.00	536.00	25.00	511.00	80.0	408.80
07/24/2017 75501078	OETTEL, BRYAN	STAPLES INC	S	15,150.00	371.00	25.00	346.00	80.0	276.80
07/25/2017 75501078	OETTEL, BRYAN	AMERICAN EXPRESS COMPANY (N.Y)	S	25,650.00	669.00	25.00	644.00	80.0	515.20
07/17/2017 75501086	CHARLES & MARK	LUMBER LIQUIDATORS HOLDINGS INC	S	78,090.00	1,787.00	25.00	1,762.00	80.0	1,409.60
07/24/2017 75501086	CHARLES & MARK	STAPLES INC	S	44,440.00	1,032.00	25.00	1,007.00	80.0	805.60
07/26/2017 75501100	KINNEY, SAMUEL	NAVIENT CORPORATION COM	B	36,650.00	852.00	25.00	827.00	80.0	661.60
07/26/2017 75501100	KINNEY, SAMUEL	VERIZON COMMUNICATIONS	B	48,939.00	1,131.00	25.00	1,106.00	80.0	884.80
07/24/2017 75501101	KINNEY, SAMUEL	STAPLES INC	S	20,200.00	485.00	25.00	460.00	80.0	368.00
07/24/2017 75501102	KINNEY, SAMUEL	STAPLES INC	S	22,220.00	531.00	25.00	506.00	80.0	404.80
07/26/2017 75501130	PALMER, JEANNE	VERIZON COMMUNICATIONS	B	35,592.00	831.00	25.00	806.00	80.0	644.80
06/29/2017 75501131	CAMPOS, CHRISTOPHER	US GEOTHERMAL INC COMMON STOCK	S	9,000.00	236.00	25.00	211.00	80.0	168.80
07/26/2017 75501131	CAMPOS, CHRISTOPHER	VERIZON COMMUNICATIONS	B	22,250.00	525.00	25.00	500.00	80.0	400.00
07/26/2017 75501283	PEIFFER, DAVID	NAVIENT CORPORATION COM	B	7,335.00	167.00	25.00	142.00	80.0	113.60
07/26/2017 75501329	DUFFY, TRENT	NAVIENT CORPORATION COM	B	21,990.00	522.00	25.00	497.00	80.0	397.60

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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: MUTUAL FUND 12B1 TRAILS										
* STOCKS SUBTOTAL *				\$930,681.06	\$22,163.00	\$775.00	\$21,388.00		\$17,110.40	
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
07/12/2017	75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.56	0.00	2.56	80.0	2.05
07/12/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B		0.00	13.56	0.00	13.56	80.0	10.85
07/12/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B		0.00	13.63	0.00	13.63	80.0	10.90
07/12/2017	75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	7.31	0.00	7.31	80.0	5.85
07/12/2017	75500755	DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	5.38	0.00	5.38	80.0	4.30
07/12/2017	75500755	DENNENY, MICHAEL	MIDCAP GROWTH - CLASS C	B	0.00	74.24	0.00	74.24	80.0	59.39
07/12/2017	75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	26.90	0.00	26.90	80.0	21.52
07/12/2017	75500756	DENNENY, MICHAEL	**HENDERSON GLOBAL TECHNOLOGY	B	0.00	0.91	0.00	0.91	80.0	0.73
07/12/2017	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	42.94	0.00	42.94	80.0	34.35
07/12/2017	75500756	DENNENY, MICHAEL	AIM EUROPEAN GROWTH FUND - CLASS A	B	0.00	22.32	0.00	22.32	80.0	17.86
07/12/2017	75500756	DENNENY, MICHAEL	AIM INTERNATIONAL GROWTH FUND - CL	B	0.00	67.91	0.00	67.91	80.0	54.33
07/12/2017	75500756	DENNENY, MICHAEL	AIM TECHNOLOGY FUND - CLASS A	B	0.00	13.94	0.00	13.94	80.0	11.15
07/12/2017	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	24.22	0.00	24.22	80.0	19.38
07/12/2017	75500756	DENNENY, MICHAEL	EHV 277902813	B	0.00	8.26	0.00	8.26	80.0	6.61
07/12/2017	75500756	DENNENY, MICHAEL	JANUS INVT FD HENDERSON GLOBAL TECH B		0.00	26.46	0.00	26.46	80.0	21.17
07/25/2017	75500756	DENNENY, MICHAEL	**FINANCIAL INVS TR	B	0.00	27.84	0.00	27.84	80.0	22.27
07/25/2017	75500756	DENNENY, MICHAEL	**FINANCIAL INVS TR	B	0.00	83.53	0.00	83.53	80.0	66.82
07/12/2017	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.68	0.00	9.68	80.0	7.74
07/12/2017	75500848	O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.41	0.00	1.41	80.0	1.13
07/12/2017	75500848	O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.86	0.00	0.86	80.0	0.69
07/26/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.90	0.00	1.90	80.0	1.52
07/26/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.20	0.00	1.20	80.0	0.96
07/12/2017	75500880	VAZ, CHRISTINE	EHV 277902813	B	0.00	1.62	0.00	1.62	80.0	1.30
07/12/2017	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR B		0.00	3.03	0.00	3.03	80.0	2.42
07/12/2017	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	11.40	0.00	11.40	80.0	9.12
07/12/2017	75501025	HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND B		0.00	2.49	0.00	2.49	80.0	1.99
07/12/2017	75501074	ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES	B	0.00	7.22	0.00	7.22	80.0	5.78
07/26/2017	75501079	OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.21	0.00	0.21	80.0	0.17
07/12/2017	75501088	SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL	B	0.00	3.72	0.00	3.72	80.0	2.98
07/12/2017	75501088	SILBERMANN, SHARON	**HENDERSON GLOBAL TECHNOLOGY	B	0.00	0.59	0.00	0.59	80.0	0.47
07/12/2017	75501088	SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	22.54	0.00	22.54	80.0	18.03
07/12/2017	75501088	SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI B		0.00	14.58	0.00	14.58	80.0	11.66
07/12/2017	75501088	SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	13.23	0.00	13.23	80.0	10.58
07/12/2017	75501088	SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	7.82	0.00	7.82	80.0	6.26
07/12/2017	75501088	SILBERMANN, SHARON	JANUS INVT FD HENDERSON GLOBAL TECH B		0.00	17.12	0.00	17.12	80.0	13.70
07/25/2017	75501088	SILBERMANN, SHARON	**FINANCIAL INVS TR	B	0.00	56.97	0.00	56.97	80.0	45.58
07/25/2017	75501088	SILBERMANN, SHARON	**FINANCIAL INVS TR	B	0.00	18.99	0.00	18.99	80.0	15.19

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
07/26/2017	75501088 SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	4.25	0.00	4.25	80.0	3.40
07/12/2017	75501167 FORTE, SUZETTE	EHV 277902813	B	0.00	1.37	0.00	1.37	80.0	1.10
07/21/2017	QGW028615 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	10.27	0.00	10.27	80.0	8.22
07/21/2017	QGW028615 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	2.31	0.00	2.31	80.0	1.85
07/21/2017	QGW028623 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	8.58	0.00	8.58	80.0	6.86
07/21/2017	QGW028623 HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B		0.00	1.99	0.00	1.99	80.0	1.59
07/17/2017	QGW028722 SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL B		0.00	2.76	0.00	2.76	80.0	2.21
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$690.02	\$0.00	\$690.02		\$552.03
*** BROKER TRANSACTIONS TOTAL ***				\$930,681.06	\$22,853.02	\$775.00	\$22,078.02		\$17,662.43

ADJUSTMENTS

07/31/2017	OTHER: COMPLIANCE AND TECHNOLOGY	0.00	0.00	0.00	0.00	-20.00
07/31/2017	OTHER: OTHER-OFFICE SUPPLIES	0.00	0.00	0.00	0.00	-40.00
07/31/2017	OTHER: OTHER-360 OFFICE	0.00	0.00	0.00	0.00	-8.00
07/31/2017	OTHER: OTHER-RBC	0.00	0.00	0.00	0.00	-76.00
*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00	\$-144.00

BROKER COMMISSION TOTALS

Broker Transactions	\$17,662.43
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-144.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-28.57
SIPC Assessment	\$-57.13

Check Amount	\$17,432.73
Year-to-date Earnings	\$31,206.43