

## COMMISSION STATEMENT

October 31, 2017

MICHAEL WOLLOCH

43 SECOR RD

SCARSDALE, NY 10583

BROKER #: 51

BRANCH: HOME OFFICE

## COMMISSION STATEMENT for MICHAEL WOLLOCH

| TRADE DATE  | CLIENT    | INVESTMENT   | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------|--|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |           |  |     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                  |           |  |     |                      |                     |                    |                   |      |                      |
| 10/10/2017  | QGW016347 | AGAR REVOCABLE TRST, CALIFORNIA RESOURCES CORPORATION CO S |     | -1,084.90            | 61.00               | 10.00              | 51.00             | 45.0 | 22.95                |
| 10/10/2017  | QGW016347 | AGAR REVOCABLE TRST, NCR CORP NEW                          | S   | -6,671.10            | 61.00               | 10.00              | 51.00             | 45.0 | 22.95                |
| 10/10/2017  | QGW016347 | AGAR REVOCABLE TRST, VECTRUS INC COM                       | S   | -3,903.88            | 61.00               | 10.00              | 51.00             | 45.0 | 22.95                |
| 10/10/2017  | QGW024093 | WOLLEMAN, TODD FLOWERS FOODS INC COM                       | S   | -9,406.20            | 63.00               | 10.00              | 53.00             | 45.0 | 23.85                |
| 10/10/2017  | QGW024093 | WOLLEMAN, TODD GLAXOSMITHKLINE PLC SPONSORED ADR(F S       |     | -21,984.88           | 63.00               | 10.00              | 53.00             | 45.0 | 23.85                |
| 10/10/2017  | QGW024093 | WOLLEMAN, TODD INTEL CORP                                  | S   | -20,094.95           | 63.00               | 10.00              | 53.00             | 45.0 | 23.85                |
| <b>* STOCKS SUBTOTAL *</b>                              |           |  |     | <b>\$-63,145.91</b>  | <b>\$372.00</b>     | <b>\$60.00</b>     | <b>\$312.00</b>   |      | <b>\$140.40</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |           |  |     |                      |                     |                    |                   |      |                      |
| 10/16/2017  | QGW016115 | MAYER, MURRAY MFS GOVERNMENT SECURITIES FUND CLAS B        |     | 0.00                 | 47.13               | 0.00               | 47.13             | 45.0 | 21.21                |
| 10/18/2017  | QGW016123 | DEMSKO, DARYL PUTNAM HIGH-YIELD FUND CLASS A               | B   | 0.00                 | 10.93               | 0.00               | 10.93             | 45.0 | 4.92                 |
| 10/16/2017  | QGW016131 | TUERS, ERIC SELECTED AMERICAN SHARES CLASS S               | B   | 0.00                 | 1.17                | 0.00               | 1.17              | 45.0 | 0.53                 |
| 10/19/2017  | QGW016305 | PEDDICORD TRUST, ALLIANCEBERNSTEIN LARGE-CAP GROWTH        | B   | 0.00                 | 21.93               | 0.00               | 21.93             | 45.0 | 9.87                 |
| 10/17/2017  | QGW016347 | AGAR REVOCABLE TRST, NUVEEN CORE BOND FUND CLASS A         | B   | 0.00                 | 6.15                | 0.00               | 6.15              | 45.0 | 2.77                 |
| 10/19/2017  | QGW016354 | PEDDICORD, JANE ALLIANCEBERNSTEIN LARGE-CAP GROWTH         | B   | 0.00                 | 14.62               | 0.00               | 14.62             | 45.0 | 6.58                 |
| 10/19/2017  | QGW016412 | MERGED TRUST, CARA ALLIANCEBERNSTEIN LARGE-CAP GROWTH      | B   | 0.00                 | 14.62               | 0.00               | 14.62             | 45.0 | 6.58                 |
| 10/19/2017  | QGW016511 | JASON, LAURIE THE BOND FUND OF AMERICA-A                   | B   | 0.00                 | 0.01                | 0.00               | 0.01              | 45.0 | 0.00                 |
| 10/23/2017  | QGW016628 | KRAUSS, SHARON FRANKLIN INCOME FUND CLASS C                | B   | 0.00                 | 20.45               | 0.00               | 20.45             | 45.0 | 9.20                 |
| 10/16/2017  | QGW024150 | GORDON, ARLENE SELECTED AMERICAN SHARES CLASS S            | B   | 0.00                 | 5.23                | 0.00               | 5.23              | 45.0 | 2.35                 |
| 10/18/2017  | QGW025553 | KRAUSS, NANCY OLSTEIN ALL CAP VALUE FUND CLASS C           | B   | 0.00                 | 46.85               | 0.00               | 46.85             | 45.0 | 21.08                |
| 10/16/2017  | QGW036626 | MIRZOEFF, DANA SELECTED AMERICAN SHARES CLASS S            | B   | 0.00                 | 6.31                | 0.00               | 6.31              | 45.0 | 2.84                 |
| 10/18/2017  | QGW036626 | MIRZOEFF, DANA OLSTEIN ALL CAP VALUE FUND CLASS C          | B   | 0.00                 | 59.64               | 0.00               | 59.64             | 45.0 | 26.84                |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |           |  |     | <b>\$0.00</b>        | <b>\$255.04</b>     | <b>\$0.00</b>      | <b>\$255.04</b>   |      | <b>\$114.77</b>      |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                |           |  |     | <b>\$-63,145.91</b>  | <b>\$627.04</b>     | <b>\$60.00</b>     | <b>\$567.04</b>   |      | <b>\$255.17</b>      |

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|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|-------------------|------|----------------------|

ADJUSTMENTS

|                           |  |                                  |  |        |        |        |        |  |          |
|---------------------------|--|----------------------------------|--|--------|--------|--------|--------|--|----------|
| 10/31/2017                |  | OTHER: COMPLIANCE AND TECHNOLOGY |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -20.00   |
| 10/31/2017                |  | OTHER: OTHER-360 OFFICE          |  | 0.00   | 0.00   | 0.00   | 0.00   |  | -8.00    |
| *** ADJUSTMENTS TOTAL *** |  |                                  |  | \$0.00 | \$0.00 | \$0.00 | \$0.00 |  | \$-28.00 |

BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$255.17 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$-28.00 |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$604.90 |
| FINRA Assessment      | \$-0.78  |
| SIPC Assessment       | \$-1.57  |

|                       |          |
|-----------------------|----------|
| Check Amount          | \$829.72 |
| Year-to-date Earnings | \$897.25 |