

COMMISSION STATEMENT

July 31, 2018

STEPHEN MOSS
1336 MARYLAND AVENUEBROKER #: V05 A05
BRANCH: FULCRUM GROUP

HAVERTOWN, 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

07/09/2018 (None)	VARIOUS, MOSS	MASS MUTUAL	B	0.00	148.85	0.00	148.85	50.0	74.43
07/16/2018 (None)	VARIOUS, MOSS	529 PLAN	B	0.00	3.50	0.00	3.50	50.0	1.75
07/24/2018 (None)	VARIOUS, MOSS	529 PLAN	B	0.00	16.87	0.00	16.87	50.0	8.44
07/24/2018 (None)	VARIOUS, MOSS	MASSMUTUAL	B	0.00	8.22	0.00	8.22	50.0	4.11
* MUTUAL FUNDS SUBTOTAL *				<u>\$0.00</u>	<u>\$177.44</u>	<u>\$0.00</u>	<u>\$177.44</u>		<u>\$88.73</u>

PRODUCT CATEGORY: STOCKS

06/29/2018 75501532	LUMSDEN, CECILIA	SPDR INDEX SHS FDS S&P EMERGING MAR B		141.26	0.00	0.00	0.00	50.0	0.00
06/29/2018 75501532	LUMSDEN, CECILIA	SPDR INDEX SHS FDS S&P WORLD EX-US B		182.46	0.00	0.00	0.00	50.0	0.00
06/29/2018 75501532	LUMSDEN, CECILIA	SPDR RUSSELL 1000 ETF	S	192.00	0.00	0.00	0.00	50.0	0.00
06/29/2018 75501532	LUMSDEN, CECILIA	SPDR RUSSELL 2000 ETF	S	129.21	0.00	0.00	0.00	50.0	0.00
06/29/2018 75501532	LUMSDEN, CECILIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B		139.35	0.00	0.00	0.00	50.0	0.00
06/29/2018 75501532	LUMSDEN, CECILIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B		27.30	0.00	0.00	0.00	50.0	0.00
06/29/2018 75501796	MOSS, KATHLEEN	ISHARES U S HEALTHCARE ETF	S	2,866.08	0.00	0.00	0.00	50.0	0.00
06/29/2018 75501796	MOSS, KATHLEEN	ISHARES U S CONSUMER SERVICES ETF	S	2,923.09	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	INVESCO EXCHANGE TRADED FD TR II IN B		1,193.74	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	INVESCO QQQ TR UNIT SER 1	B	2,659.05	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES FLOATING RATE BOND ETF	B	7,639.35	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES MSCI EAFE ETF	S	5,454.40	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES MSCI EMERGING MARKETS ETF	S	4,955.62	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES RUSSELL 2000 ETF	B	9,250.99	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES S&P SMALL CAP 600 VALUE ETF B		9,282.34	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES S&P SMALL CAP 600 GROWTH ET B		9,182.86	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES S&P500 GROWTH INDEX FD	B	2,346.82	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES TR S&P MIDCAP 400 GROWTH	S	5,773.75	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES U S FINANCIALS ETF	S	11,255.56	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES U S HEALTHCARE ETF	S	5,755.15	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES U S ENERGY ETF	B	5,771.09	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES U S REAL ESTATE ETF	S	4,981.41	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES U S CONSUMER SERVICES ETF	B	5,754.98	0.00	0.00	0.00	50.0	0.00
07/10/2018 75501801	JOHN W SCHULTZ TTEE	ISHARES U S BASIC MATERIALS ETF	S	11,454.20	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										
07/10/2018	75501801	JOHN W SCHULTZ TTEE	ISHARES U S TECHNOLOGY ETF	S	7,397.60	0.00	0.00	0.00	50.0	0.00
07/10/2018	75501801	JOHN W SCHULTZ TTEE	SPDR DOW JONES INDL AVERAGE ETF TR	S	6,226.75	0.00	0.00	0.00	50.0	0.00
07/10/2018	75501801	JOHN W SCHULTZ TTEE	SPDR S&P 500 ETF TRUST	S	5,573.65	0.00	0.00	0.00	50.0	0.00
07/10/2018	75501801	JOHN W SCHULTZ TTEE	SPDR SER TR BLOOMBERG BARCLAYS INTL	S	6,535.74	0.00	0.00	0.00	50.0	0.00
07/10/2018	75501801	JOHN W SCHULTZ TTEE	SPDR SERIES TRUST SPDR BLOOMBERG BA	S	7,435.80	0.00	0.00	0.00	50.0	0.00
07/10/2018	75501801	JOHN W SCHULTZ TTEE	VANECK VECTORS ETF TR HIGH YIELD MU	B	7,880.55	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501813	IRWIN, LYNDA	SPDR INDEX SHS FDS S&P EMERGING MAR	B	70.63	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501813	IRWIN, LYNDA	SPDR INDEX SHS FDS S&P WORLD EX-US	B	60.82	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501813	IRWIN, LYNDA	SPDR RUSSELL 1000 ETF	S	64.00	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501813	IRWIN, LYNDA	SPDR RUSSELL 2000 ETF	S	64.60	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501813	IRWIN, LYNDA	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	55.74	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501876	ROHRBACH, EDWARD	SPDR INDEX SHS FDS S&P EMERGING MAR	B	35.31	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501876	ROHRBACH, EDWARD	SPDR INDEX SHS FDS S&P WORLD EX-US	B	60.82	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501876	ROHRBACH, EDWARD	SPDR RUSSELL 1000 ETF	S	96.00	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501876	ROHRBACH, EDWARD	SPDR RUSSELL 2000 ETF	S	32.30	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501876	ROHRBACH, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	27.87	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501876	ROHRBACH, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	27.30	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	INVESCO EXCHANGE TRADED FD TR II IN	B	12,459.04	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES FLOATING RATE BOND ETF	B	560.34	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES MSCI EMERGING MARKETS ETF	S	10,702.76	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES RUSSELL 2000 ETF	B	12,564.00	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES S&P SMALL CAP 600 VALUE ETF	B	12,596.24	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES S&P SMALL CAP 600 GROWTH ET	B	12,465.91	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES U S FINANCIALS ETF	S	5,977.50	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES U S HEALTHCARE ETF	B	6,271.30	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES U S INDUSTRIALS ETF	S	5,995.84	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	ISHARES U S ENERGY ETF	B	6,266.78	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	SPDR DOW JONES INDL AVERAGE ETF TR	S	12,122.60	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	SPDR S&P 500 ETF TRUST	S	12,464.21	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	SPDR SERIES TRUST SPDR BLOOMBERG BA	S	12,852.65	0.00	0.00	0.00	50.0	0.00
07/11/2018	75501907	HESTON, EUGENE	VANECK VECTORS ETF TR HIGH YIELD MU	B	848.54	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501932	CUNICELLI, EDWARD	SPDR INDEX SHS FDS S&P EMERGING MAR	B	35.31	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501932	CUNICELLI, EDWARD	SPDR RUSSELL 1000 ETF	S	64.00	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501932	CUNICELLI, EDWARD	SPDR RUSSELL 2000 ETF	S	32.30	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501932	CUNICELLI, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	55.74	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501945	EDWARD W CUNICELLI	SPDR INDEX SHS FDS S&P EMERGING MAR	B	176.57	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501945	EDWARD W CUNICELLI	SPDR INDEX SHS FDS S&P WORLD EX-US	B	152.05	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501945	EDWARD W CUNICELLI	SPDR RUSSELL 1000 ETF	S	192.00	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501945	EDWARD W CUNICELLI	SPDR RUSSELL 2000 ETF	S	129.21	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501945	EDWARD W CUNICELLI	SPDR SERIES TRUST SPDR BLOOMBERG BA	B	83.61	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									
06/29/2018	75501945	EDWARD W CUNICELLI	SPDR SERIES TRUST SPDR BLOOMBERG BA B	27.30	0.00	0.00	0.00	50.0	0.00
06/29/2018	75501994	MCCOACH, MARY	SPDR INDEX SHS FDS S&P WORLD EX-US S	30.40	0.00	0.00	0.00	50.0	0.00
08/08/2018	75501994	MCCOACH, MARY	SPDR SERIES TRUST SPDR BLOOMBERG BA B	83.30	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502094	VERBITSKI, MAUREEN	SPDR INDEX SHS FDS S&P INTERNATIONALA B	34.39	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502094	VERBITSKI, MAUREEN	SPDR INDEX SHS FDS S&P EMERGING MAR B	141.26	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502094	VERBITSKI, MAUREEN	SPDR INDEX SHS FDS S&P WORLD EX-US B	212.87	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502094	VERBITSKI, MAUREEN	SPDR RUSSELL 1000 ETF S	192.00	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502094	VERBITSKI, MAUREEN	SPDR RUSSELL 2000 ETF S	161.51	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502094	VERBITSKI, MAUREEN	SPDR SERIES TRUST SPDR BLOOMBERG BA B	139.35	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502094	VERBITSKI, MAUREEN	SPDR SERIES TRUST SPDR BLOOMBERG BA B	27.30	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR INDEX SHS FDS DOW JONES GLOBAL S	48.16	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR INDEX SHARES FUNDS SPDR S&P EM B	47.42	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR INDEX SHS FDS S&P INTERNATIONALA B	34.39	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR INDEX SHS FDS S&P EMERGING MAR B	388.46	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR INDEX SHS FDS S&P WORLD EX-US B	334.51	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR RUSSELL 1000 ETF S	384.00	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR RUSSELL 2000 ETF S	290.72	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR SERIES TRUST SPDR BLOOMBERG BA B	139.35	0.00	0.00	0.00	50.0	0.00
06/29/2018	75502174	SCHMIDT, JAMES	SPDR SERIES TRUST SPDR BLOOMBERG BA B	27.30	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *				\$278,770.03	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITIES									
07/10/2018	(None)	VARIOUS, MOSS	LINCOLN B	0.00	324.85	0.00	324.85	50.0	162.43
07/11/2018	(None)	VARIOUS, MOSS	JACKSON B	0.00	15.91	0.00	15.91	50.0	7.96
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$340.76	\$0.00	\$340.76		\$170.39
PRODUCT CATEGORY: LIFE INSURANCE									
07/16/2018	(None)	VARIOUS, MOSS	BRIGHTHOUSE FINANCIAL B	0.00	712.66	0.00	712.66	50.0	356.33
* LIFE INSURANCE SUBTOTAL *				\$0.00	\$712.66	\$0.00	\$712.66		\$356.33
PRODUCT CATEGORY: MISCELLANEOUS									
07/31/2018	VARIOUS, MOSS	STATE STREET PROG FEE	B	0.00	473.22	0.00	473.22	50.0	236.61
* MISCELLANEOUS SUBTOTAL *				\$0.00	\$473.22	\$0.00	\$473.22		\$236.61
PRODUCT CATEGORY: RIA									
07/01/2018	75501796	MOSS, KATHLEEN	FAS FEES PT. I/III B	-148.63	50.08	0.00	50.08	50.0	25.04
07/01/2018	75501797	HERTEN, TIMOTHY	FAS FEES PT. I/III B	-114.91	38.71	0.00	38.71	50.0	19.36
07/01/2018	75501799	HERTEN, TIMOTHY	FAS FEES PT. I/III B	-112.20	37.80	0.00	37.80	50.0	18.90
07/01/2018	75501801	JOHN W SCHULTZ TTEE	FAS FEES PT. I/III B	-381.40	128.51	0.00	128.51	50.0	64.26
07/01/2018	75501802	MCELREAVEY, DANIEL	FAS FEES PT. I/III B	-192.74	64.94	0.00	64.94	50.0	32.47
07/01/2018	75501873	BESETH, DAVID	FAS FEES PT. I/III B	-435.52	146.75	0.00	146.75	50.0	73.38

COMMISSION STATEMENT for STEPHEN MOSS

[illegible]

COMMISSION STATEMENT for STEPHEN MOSS

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

ADJUSTMENTS

07/31/2018		DEUNB:UNBUNDLED QTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-37.50
07/31/2018		ADD FEE: REV- UNBUNDLED FEES 2/3 3/		0.00	0.00	0.00	0.00		517.78
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-249.89

BROKER COMMISSION TOTALS

Broker Transactions	\$2,151.42
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-249.89
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.90
SIPC Assessment	\$-7.80

Check Amount	\$1,889.83
Year-to-date Earnings	\$17,279.61