

COMMISSION STATEMENT

November 30, 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 AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION | |
|---|-----------|----------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|----------|----------------------|----------|
| BROKER TRANSACTIONS | | | | | | | | | | |
| PRODUCT CATEGORY: STOCKS | | | | | | | | | | |
| 11/27/2017 | QGW018467 | PALUMMO, CARMINE | AFTERMASTER INC COM | S | -2,247.64 | 71.00 | 10.00 | 61.00 | 45.0 | 27.45 |
| 11/27/2017 | QGW018467 | PALUMMO, CARMINE | AIRWARE LABS CORP COM | B | 1,628.00 | 71.00 | 10.00 | 61.00 | 45.0 | 27.45 |
| 11/01/2017 | QGW038929 | M. LENNIE GST, | BITCOIN INVT TR SHS | B | 88,999.50 | 80.73 | 10.00 | 70.73 | 45.0 | 31.83 |
| * STOCKS SUBTOTAL * | | | | | \$88,379.86 | \$222.73 | \$30.00 | \$192.73 | | \$86.73 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | | | |
| 11/14/2017 | QGW016115 | MAYER, MURRAY | MFS GOVERNMENT SECURITIES FUND CLAS B | B | 0.00 | 48.43 | 0.00 | 48.43 | 45.0 | 21.79 |
| 11/16/2017 | QGW016123 | DEMSKO, DARYL | PUTNAM HIGH-YIELD FUND CLASS A | B | 0.00 | 11.34 | 0.00 | 11.34 | 45.0 | 5.10 |
| 11/13/2017 | QGW016131 | TUERS, ERIC | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 1.25 | 0.00 | 1.25 | 45.0 | 0.56 |
| 11/09/2017 | QGW016305 | PEDDICORD TRUST, | ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 18.66 | 0.00 | 18.66 | 45.0 | 8.40 |
| 11/17/2017 | QGW016347 | AGAR REVOCABLE TRST, | NUVEEN CORE BOND FUND CLASS A | B | 0.00 | 6.34 | 0.00 | 6.34 | 45.0 | 2.85 |
| 11/09/2017 | QGW016354 | PEDDICORD, JANE | ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 11.29 | 0.00 | 11.29 | 45.0 | 5.08 |
| 11/09/2017 | QGW016412 | MERGED TRUST, CARA | ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 16.82 | 0.00 | 16.82 | 45.0 | 7.57 |
| 11/20/2017 | QGW016511 | JASON, LAURIE | THE BOND FUND OF AMERICA-A | B | 0.00 | 0.01 | 0.00 | 0.01 | 45.0 | 0.00 |
| 11/13/2017 | QGW016628 | KRAUSS, SHARON | FRANKLIN INCOME FUND CLASS C | B | 0.00 | 21.39 | 0.00 | 21.39 | 45.0 | 9.63 |
| 11/13/2017 | QGW024150 | GORDON, ARLENE | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 5.60 | 0.00 | 5.60 | 45.0 | 2.52 |
| 11/13/2017 | QGW036626 | MIRZOEFF, DANA | SELECTED AMERICAN SHARES CLASS S | B | 0.00 | 6.76 | 0.00 | 6.76 | 45.0 | 3.04 |
| 11/09/2017 | QGW038721 | GST TRUST, HEATHER | ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 2.27 | 0.00 | 2.27 | 45.0 | 1.02 |
| 11/09/2017 | QGW038739 | A. BAKER | ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 1.59 | 0.00 | 1.59 | 45.0 | 0.72 |
| 11/09/2017 | QGW038911 | M. LENNIE | ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 1.23 | 0.00 | 1.23 | 45.0 | 0.55 |
| 11/09/2017 | QGW038929 | M. LENNIE GST, | ALLIANCEBERNSTEIN LARGE-CAP GROWTH | B | 0.00 | 2.27 | 0.00 | 2.27 | 45.0 | 1.02 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | | | \$0.00 | \$155.25 | \$0.00 | \$155.25 | | \$69.85 |
| *** BROKER TRANSACTIONS TOTAL *** | | | | | \$88,379.86 | \$377.98 | \$30.00 | \$347.98 | | \$156.58 |

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

ADJUSTMENTS

| | | | | | | | | | |
|---------------------------|--|----------------------------------|--|--------|--------|--------|--------|--|----------|
| 11/30/2017 | | OTHER: COMPLIANCE AND TECHNOLOGY | | 0.00 | 0.00 | 0.00 | 0.00 | | -20.00 |
| 11/30/2017 | | 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 | \$156.58 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-28.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$829.71 |
| FINRA Assessment | \$-0.47 |
| SIPC Assessment | \$-0.94 |

| | |
|-----------------------|------------|
| Check Amount | \$956.88 |
| Year-to-date Earnings | \$1,024.42 |