

**COMMISSION STATEMENT****April 30, 2017**

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

**BROKER #:**  
**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
BROKER TRANSACTIONS									
PRODUCT CATEGORY: STOCKS									
04/25/2017	75500751	GANGE, RICHARD	APPLE INC	S	18,106.25	486.00	25.00	461.00	80.0 368.80
04/20/2017	75500788	CAFIERO, RENEE	TEREX CORP	S	29,214.00	732.00	25.00	707.00	80.0 565.60
04/20/2017	75500789	CAFIERO, RENEE	TEREX CORP	S	58,392.00	1,368.00	25.00	1,343.00	80.0 1,074.40
04/20/2017	75500846	YELLAND, MARGARET	TEREX CORP	S	48,675.00	1,164.00	25.00	1,139.00	80.0 911.20
04/20/2017	75501042	DUFFY, TRENT	TEREX CORP	S	35,684.00	836.00	25.00	811.00	80.0 648.80
04/25/2017	75501078	OETTEL, BRYAN	APPLE INC	S	28,974.00	757.00	25.00	732.00	80.0 585.60
04/20/2017	75501086	CHARLES & MARK	TEREX CORP	S	87,588.00	2,019.00	25.00	1,994.00	80.0 1,595.20
04/20/2017	75501100	KINNEY, SAMUEL	TEREX CORP	S	58,266.00	1,368.00	25.00	1,343.00	80.0 1,074.40
04/20/2017	75501129	PALMER, JEANNE	TEREX CORP	S	19,422.00	469.00	25.00	444.00	80.0 355.20
04/20/2017	75501130	PALMER, JEANNE	TEREX CORP	S	17,847.50	468.00	25.00	443.00	80.0 354.40
04/25/2017	75501131	CAMPOS, CHRISTOPHER	APPLE INC	S	50,697.50	1,298.00	25.00	1,273.00	80.0 1,018.40
03/31/2017	75501279	GELBERT,	GENERAL MOTORS COMPANY	B	1,772.50	28.00	25.00	3.00	80.0 2.40
04/20/2017	75501279	GELBERT,	TEREX CORP	S	14,584.50	361.00	25.00	336.00	80.0 268.80
04/20/2017	75501283	PEIFFER, DAVID	TEREX CORP	S	7,136.80	192.00	25.00	167.00	80.0 133.60
* STOCKS SUBTOTAL *					\$476,360.05	\$11,546.00	\$350.00	\$11,196.00	\$8,956.80

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

04/11/2017	75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.51	0.00	2.51	80.0	2.01
04/11/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	13.61	0.00	13.61	80.0	10.89
04/11/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B	B	0.00	13.88	0.00	13.88	80.0	11.10
04/11/2017	75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	6.89	0.00	6.89	80.0	5.51
04/11/2017	75500755	DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	5.36	0.00	5.36	80.0	4.29
04/11/2017	75500755	DENNENY, MICHAEL	MIDCAP GROWTH - CLASS C	B	0.00	69.34	0.00	69.34	80.0	55.47
04/11/2017	75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	26.06	0.00	26.06	80.0	20.85
04/11/2017	75500756	DENNENY, MICHAEL	**HENDERSON GLOBAL TECHNOLOGY	B	0.00	27.69	0.00	27.69	80.0	22.15
04/11/2017	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	42.56	0.00	42.56	80.0	34.05
04/11/2017	75500756	DENNENY, MICHAEL	AIM EUROPEAN GROWTH FUND - CLASS A	B	0.00	20.16	0.00	20.16	80.0	16.13
04/11/2017	75500756	DENNENY, MICHAEL	AIM INTERNATIONAL GROWTH FUND - CL	B	0.00	62.81	0.00	62.81	80.0	50.25
04/11/2017	75500756	DENNENY, MICHAEL	AIM TECHNOLOGY FUND - CLASS A	B	0.00	12.59	0.00	12.59	80.0	10.07
04/11/2017	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	24.77	0.00	24.77	80.0	19.82
04/11/2017	75500756	DENNENY, MICHAEL	EHV 277902813	B	0.00	8.18	0.00	8.18	80.0	6.54

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
04/24/2017	75500756	DENNENY, MICHAEL	**FINANCIAL INVS TR	B	0.00	83.51	0.00	83.51	80.0	66.81
04/11/2017	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.70	0.00	9.70	80.0	7.76
04/11/2017	75500848	O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.40	0.00	1.40	80.0	1.12
04/11/2017	75500848	O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.90	0.00	0.90	80.0	0.72
04/26/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.90	0.00	1.90	80.0	1.52
04/26/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.21	0.00	1.21	80.0	0.97
04/11/2017	75500880	VAZ, CHRISTINE	EHV 277902813	B	0.00	1.61	0.00	1.61	80.0	1.29
04/11/2017	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR B	B	0.00	2.97	0.00	2.97	80.0	2.38
04/11/2017	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	11.66	0.00	11.66	80.0	9.33
04/11/2017	75501025	HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	2.50	0.00	2.50	80.0	2.00
04/11/2017	75501041	DUFFY, TRENT	**DEUTSCHE HEALTH AND WELLNESS	B	0.00	29.85	0.00	29.85	80.0	23.88
04/11/2017	75501074	ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES	B	0.00	7.16	0.00	7.16	80.0	5.73
04/26/2017	75501079	OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.21	0.00	0.21	80.0	0.17
04/11/2017	75501088	SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL	B	0.00	3.61	0.00	3.61	80.0	2.89
04/11/2017	75501088	SILBERMANN, SHARON	**HENDERSON GLOBAL TECHNOLOGY	B	0.00	17.91	0.00	17.91	80.0	14.33
04/11/2017	75501088	SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	22.34	0.00	22.34	80.0	17.87
04/11/2017	75501088	SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI B	B	0.00	14.22	0.00	14.22	80.0	11.38
04/11/2017	75501088	SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	13.53	0.00	13.53	80.0	10.82
04/11/2017	75501088	SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	7.37	0.00	7.37	80.0	5.90
04/24/2017	75501088	SILBERMANN, SHARON	**FINANCIAL INVS TR	B	0.00	56.95	0.00	56.95	80.0	45.56
04/26/2017	75501088	SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	4.25	0.00	4.25	80.0	3.40
04/11/2017	75501167	FORTE, SUZETTE	EHV 277902813	B	0.00	1.36	0.00	1.36	80.0	1.09
04/19/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	9.68	0.00	9.68	80.0	7.74
04/19/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	2.18	0.00	2.18	80.0	1.74
04/19/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	8.09	0.00	8.09	80.0	6.47
04/19/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	1.88	0.00	1.88	80.0	1.50
04/17/2017	QGW028722	SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	2.82	0.00	2.82	80.0	2.26
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$657.18	\$0.00	\$657.18	\$525.76	
*** BROKER TRANSACTIONS TOTAL ***					\$476,360.05	\$12,203.18	\$350.00	\$11,853.18	\$9,482.56	

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ADJUSTMENTS

04/30/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
04/30/2017		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		-40.00
04/30/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-5.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-65.00

BROKER COMMISSION TOTALS

Broker Transactions	\$9,482.56
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-65.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-15.25
SIPC Assessment	\$-228.81

Check Amount	\$9,173.50
Year-to-date Earnings	\$38,543.18