

COMMISSION STATEMENT

June 09, 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	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
05/19/2017	75500768	BLASIUS, CHARLES	SPDR S&P 500 ETF TRUST	S	47,760.00	1,231.00	25.00	1,206.00	80.0	964.80
05/01/2017	75500789	CAFIERO, RENEE	APPLE INC	S	146,170.00	3,685.00	25.00	3,660.00	80.0	2,928.00
05/19/2017	75500846	YELLAND, MARGARET	BJS RESTAURANTS INC	S	69,712.50	1,658.00	25.00	1,633.00	80.0	1,306.40
05/01/2017	75500847	YELLAND, MARGARET	APPLE INC	S	64,341.20	1,639.00	25.00	1,614.00	80.0	1,291.20
05/01/2017	75501038	VANARSDALE,	APPLE INC	S	26,328.60	673.00	25.00	648.00	80.0	518.40
05/01/2017	75501041	DUFFY, TRENT	APPLE INC	S	58,508.00	1,492.00	25.00	1,467.00	80.0	1,173.60
05/19/2017	75501086	CHARLES & MARK	BJS RESTAURANTS INC	S	69,900.00	1,761.00	25.00	1,736.00	80.0	1,388.80
05/01/2017	75501100	KINNEY, SAMUEL	APPLE INC	S	80,454.00	2,044.00	25.00	2,019.00	80.0	1,615.20
05/01/2017	75501130	PALMER, JEANNE	APPLE INC	S	58,512.00	1,492.00	25.00	1,467.00	80.0	1,173.60
* STOCKS SUBTOTAL *					\$621,686.30	\$15,675.00	\$225.00	\$15,450.00		\$12,360.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

05/09/2017	75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.45	0.00	2.45	80.0	1.96
05/09/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	13.10	0.00	13.10	80.0	10.48
05/09/2017	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B	B	0.00	13.27	0.00	13.27	80.0	10.62
05/09/2017	75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	6.75	0.00	6.75	80.0	5.40
05/09/2017	75500755	DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	5.17	0.00	5.17	80.0	4.14
05/09/2017	75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	25.62	0.00	25.62	80.0	20.50
05/01/2017	75500756	DENNENY, MICHAEL	**FINANCIAL INVS TR	B	0.00	27.84	0.00	27.84	80.0	22.27
05/09/2017	75500756	DENNENY, MICHAEL	**HENDERSON GLOBAL TECHNOLOGY	B	0.00	27.19	0.00	27.19	80.0	21.75
05/09/2017	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	41.73	0.00	41.73	80.0	33.38
05/09/2017	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	23.48	0.00	23.48	80.0	18.78
05/09/2017	75500756	DENNENY, MICHAEL	EHV 277902813	B	0.00	7.91	0.00	7.91	80.0	6.33
05/09/2017	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.64	0.00	9.64	80.0	7.71
05/09/2017	75500848	O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.35	0.00	1.35	80.0	1.08
05/09/2017	75500848	O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.84	0.00	0.84	80.0	0.67
05/26/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.82	0.00	1.82	80.0	1.46
05/26/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.18	0.00	1.18	80.0	0.94
05/09/2017	75500880	VAZ, CHRISTINE	EHV 277902813	B	0.00	1.56	0.00	1.56	80.0	1.25
05/09/2017	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR B	B	0.00	2.87	0.00	2.87	80.0	2.30
05/09/2017	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	11.26	0.00	11.26	80.0	9.01

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<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
05/09/2017	75501025	HARRISON, JUDITH		EATON VANCE TAX MANAGED GROWTH FUND B	0.00	2.41	0.00	2.41	80.0 1.93
05/09/2017	75501074	ROSENFELD, CAROL		**TETON WESTWOOD MIGHTY MITES B	0.00	7.02	0.00	7.02	80.0 5.62
05/26/2017	75501079	OETTEL, BRYAN		**VICTORY PORTFOLIOS MUNDER B	0.00	0.20	0.00	0.20	80.0 0.16
05/01/2017	75501088	SILBERMANN, SHARON		**FINANCIAL INVS TR B	0.00	18.98	0.00	18.98	80.0 15.18
05/09/2017	75501088	SILBERMANN, SHARON		**AMG MANAGERS ESSEX SMALL B	0.00	3.51	0.00	3.51	80.0 2.81
05/09/2017	75501088	SILBERMANN, SHARON		**HENDERSON GLOBAL TECHNOLOGY B	0.00	17.59	0.00	17.59	80.0 14.07
05/09/2017	75501088	SILBERMANN, SHARON		**TETON WESTWOOD MIGHTY MITES B	0.00	21.90	0.00	21.90	80.0 17.52
05/09/2017	75501088	SILBERMANN, SHARON		BLACKROCK HEALTH SCIENCES OPPORTUNI B	0.00	13.74	0.00	13.74	80.0 10.99
05/09/2017	75501088	SILBERMANN, SHARON		DAVIS SERIES INC FINANCIAL FUND CL B	0.00	12.83	0.00	12.83	80.0 10.26
05/09/2017	75501088	SILBERMANN, SHARON		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	7.26	0.00	7.26	80.0 5.81
05/26/2017	75501088	SILBERMANN, SHARON		**VICTORY PORTFOLIOS MUNDER B	0.00	4.08	0.00	4.08	80.0 3.26
05/09/2017	75501167	FORTE, SUZETTE		EHV 277902813 B	0.00	1.32	0.00	1.32	80.0 1.06
04/19/2017	QGW028615	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS 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	0.00	2.18	0.00	2.18	80.0 1.74
04/19/2017	QGW028615	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS 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	0.00	2.18	0.00	2.18	80.0 1.74
05/17/2017	QGW028615	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	9.53	0.00	9.53	80.0 7.62
05/17/2017	QGW028615	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	2.15	0.00	2.15	80.0 1.72
04/19/2017	QGW028623	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS 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	0.00	1.88	0.00	1.88	80.0 1.50
04/19/2017	QGW028623	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS 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	0.00	1.88	0.00	1.88	80.0 1.50
05/17/2017	QGW028623	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	7.96	0.00	7.96	80.0 6.37
05/17/2017	QGW028623	HARRISON, LISA		GOLDMAN SACHS TOLLKEEPER FUND CLASS B	0.00	1.85	0.00	1.85	80.0 1.48
04/17/2017	QGW028722	SOLE, ABIGAIL		DAVIS SERIES INC FINANCIAL FUND CL B	0.00	2.82	0.00	2.82	80.0 2.26
04/17/2017	QGW028722	SOLE, ABIGAIL		DAVIS SERIES INC FINANCIAL FUND CL B	0.00	2.82	0.00	2.82	80.0 2.26
05/15/2017	QGW028722	SOLE, ABIGAIL		DAVIS SERIES INC FINANCIAL FUND CL B	0.00	2.67	0.00	2.67	80.0 2.14
				* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$409.33	\$0.00	\$409.33	\$327.45
				*** BROKER TRANSACTIONS TOTAL ***	\$621,686.30	\$16,084.33	\$225.00	\$15,859.33	\$12,687.45

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ADJUSTMENTS

06/09/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
06/09/2017		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		-40.00
06/09/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-68.00

BROKER COMMISSION TOTALS

Broker Transactions	\$12,687.45
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-68.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-20.11
SIPC Assessment	\$-301.58

Check Amount	\$12,297.76
Year-to-date Earnings	\$50,840.94