

COMMISSION STATEMENT

August 31, 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 TRANSACTIONSPRODUCT CATEGORY: STOCKS

08/01/2017 75500750	GANGE, RICHARD	GENERAL MOTORS COMPANY	B	13,904.00	345.00	25.00	320.00	80.0	256.00
08/24/2017 75500750	GANGE, RICHARD	ARCHER-DANIELS-MIDLAND CO	B	28,938.00	683.00	25.00	658.00	80.0	526.40
08/24/2017 75500750	GANGE, RICHARD	LEGGETT & PLATT INC	B	31,696.00	747.00	25.00	722.00	80.0	577.60
08/25/2017 75500750	GANGE, RICHARD	CARDINAL HEALTH INC	B	33,160.00	777.00	25.00	752.00	80.0	601.60
08/25/2017 75500751	GANGE, RICHARD	COCA COLA COMPANY (THE)	B	13,710.00	342.00	25.00	317.00	80.0	253.60
08/25/2017 75500751	GANGE, RICHARD	WILLIAMS SONOMA INC	B	13,761.00	343.00	25.00	318.00	80.0	254.40
08/24/2017 75500788	CAFIERO, RENEE	LEGGETT & PLATT INC	B	54,312.00	1,254.00	25.00	1,229.00	80.0	983.20
08/24/2017 75500789	CAFIERO, RENEE	ARCHER-DANIELS-MIDLAND CO	B	90,728.00	2,076.00	25.00	2,051.00	80.0	1,640.80
08/24/2017 75500847	YELLAND, MARGARET	ARCHER-DANIELS-MIDLAND CO	B	49,536.00	1,149.00	25.00	1,124.00	80.0	899.20
08/24/2017 75500863	FICHTER, WM	ARCHER-DANIELS-MIDLAND CO	B	10,300.00	261.00	25.00	236.00	80.0	188.80
08/24/2017 75500907	STRACHAN, DEREK	ARCHER-DANIELS-MIDLAND CO	B	28,840.00	683.00	25.00	658.00	80.0	526.40
08/24/2017 75501038	VANARSDALE,	ARCHER-DANIELS-MIDLAND CO	B	24,719.46	586.00	25.00	561.00	80.0	448.80
08/24/2017 75501042	DUFFY, TRENT	ARCHER-DANIELS-MIDLAND CO	B	37,160.73	867.00	25.00	842.00	80.0	673.60
08/24/2017 75501042	DUFFY, TRENT	LEGGETT & PLATT INC	B	36,232.00	847.00	25.00	822.00	80.0	657.60
08/25/2017 75501042	DUFFY, TRENT	CARDINAL HEALTH INC	B	33,160.00	777.00	25.00	752.00	80.0	601.60
08/01/2017 75501078	OETTEL, BRYAN	GENERAL MOTORS COMPANY	B	12,166.00	303.00	25.00	278.00	80.0	222.40
08/24/2017 75501078	OETTEL, BRYAN	ARCHER-DANIELS-MIDLAND CO	B	32,952.00	776.00	25.00	751.00	80.0	600.80
08/24/2017 75501078	OETTEL, BRYAN	CORNING INC	S	25,740.00	808.00	25.00	783.00	80.0	626.40
08/24/2017 75501101	KINNEY, SAMUEL	ARCHER-DANIELS-MIDLAND CO	B	28,924.00	683.00	25.00	658.00	80.0	526.40
08/24/2017 75501130	PALMER, JEANNE	ARCHER-DANIELS-MIDLAND CO	B	37,071.00	867.00	25.00	842.00	80.0	673.60
08/24/2017 75501131	CAMPOS, CHRISTOPHER	ARCHER-DANIELS-MIDLAND CO	B	28,843.99	683.00	25.00	658.00	80.0	526.40
08/24/2017 75501131	CAMPOS, CHRISTOPHER	LEGGETT & PLATT INC	B	31,682.00	745.00	25.00	720.00	80.0	576.00

* STOCKS SUBTOTAL * \$697,536.18 \$16,602.00 \$550.00 \$16,052.00 \$12,841.60

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

08/09/2017 75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.67	0.00	2.67	80.0	2.14
08/09/2017 75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	14.16	0.00	14.16	80.0	11.33
08/09/2017 75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B	B	0.00	14.20	0.00	14.20	80.0	11.36
08/09/2017 75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	7.65	0.00	7.65	80.0	6.12
08/09/2017 75500755	DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	5.58	0.00	5.58	80.0	4.46
08/09/2017 75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	28.07	0.00	28.07	80.0	22.46

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: MUTUAL FUND 12B1 TRAILS										
08/09/2017	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	44.88	0.00	44.88	80.0	35.90
08/09/2017	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	25.70	0.00	25.70	80.0	20.56
08/09/2017	75500756	DENNENY, MICHAEL	EHV 277902813	B	0.00	8.67	0.00	8.67	80.0	6.94
08/09/2017	75500756	DENNENY, MICHAEL	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	28.71	0.00	28.71	80.0	22.97
08/09/2017	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	9.93	0.00	9.93	80.0	7.94
08/09/2017	75500848	O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.48	0.00	1.48	80.0	1.18
08/09/2017	75500848	O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.90	0.00	0.90	80.0	0.72
08/25/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	2.00	0.00	2.00	80.0	1.60
08/25/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.24	0.00	1.24	80.0	0.99
08/09/2017	75500880	VAZ, CHRISTINE	EHV 277902813	B	0.00	1.71	0.00	1.71	80.0	1.37
08/09/2017	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR	B	0.00	3.22	0.00	3.22	80.0	2.58
08/09/2017	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	11.73	0.00	11.73	80.0	9.38
08/09/2017	75501025	HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND	B	0.00	2.60	0.00	2.60	80.0	2.08
08/09/2017	75501074	ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES	B	0.00	7.55	0.00	7.55	80.0	6.04
08/25/2017	75501079	OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.22	0.00	0.22	80.0	0.18
08/09/2017	75501088	SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL	B	0.00	3.95	0.00	3.95	80.0	3.16
08/09/2017	75501088	SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	23.55	0.00	23.55	80.0	18.84
08/09/2017	75501088	SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI	B	0.00	15.36	0.00	15.36	80.0	12.29
08/09/2017	75501088	SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	14.04	0.00	14.04	80.0	11.23
08/09/2017	75501088	SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	8.18	0.00	8.18	80.0	6.54
08/09/2017	75501088	SILBERMANN, SHARON	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	18.58	0.00	18.58	80.0	14.86
08/25/2017	75501088	SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	4.47	0.00	4.47	80.0	3.58
08/09/2017	75501167	FORTE, SUZETTE	EHV 277902813	B	0.00	1.44	0.00	1.44	80.0	1.15
08/21/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	10.74	0.00	10.74	80.0	8.59
08/21/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.41	0.00	2.41	80.0	1.93
08/21/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	8.98	0.00	8.98	80.0	7.18
08/21/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.08	0.00	2.08	80.0	1.66
08/14/2017	QGW028722	SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	2.93	0.00	2.93	80.0	2.34
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$339.58	\$0.00	\$339.58		\$271.65
*** BROKER TRANSACTIONS TOTAL ***					\$697,536.18	\$16,941.58	\$550.00	\$16,391.58		\$13,113.25

COMMISSION STATEMENT for IRENE SULLIVAN

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

ADJUSTMENTS

08/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
08/31/2017		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		-40.00
08/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
08/31/2017		OTHER: OTHER-RBC		0.00	0.00	0.00	0.00		-76.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-144.00

BROKER COMMISSION TOTALS

Broker Transactions	\$13,113.25
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-144.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-21.18
SIPC Assessment	\$-42.35

Check Amount	\$12,905.72
Year-to-date Earnings	\$44,112.15