



COMMISSION STATEMENT

April 16, 2018

RICHARD PASCALE
321 Grover Avenue North
Massapequa Park, NY 11762

BROKER #: 981
BRANCH #01033 - 33 - PASCALE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/05/2018	***-**-7975 - VAGLIO, JOSEPH	FA 529 COLLEGE PORT-CL C	250.00	1.25	0.00	1.25	90.0	1.13
	ACCOUNT #: 00701694614	BUY 16 Units @15.2900						
		* MUTUAL FUNDS SUBTOTAL *	\$250.00	\$1.25	\$0.00	\$1.25		\$1.13
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
04/09/2018	***-**-0205 - RESK, 10	PACIFIC LIFE ABRB DTCC	91.00	0.91	0.00	0.91	90.0	0.82
	ACCOUNT #: VP71054550	BUY 0 Units @0.0000						
04/09/2018	***-**-0205 - RESK, 10	PACIFIC LIFE ABRB DTCC	9.00	0.09	0.00	0.09	90.0	0.08
	ACCOUNT #: VP71054550	BUY 0 Units @0.0000						
04/11/2018	***-**-285P - MORMINO, STEVE	PACIFIC LIFE ABRB DTCC	181.67	1.82	0.00	1.82	90.0	1.64
	ACCOUNT #: VP71053490	BUY 0 Units @0.0000						
04/12/2018	***-**-1539 - SPADARO, VICTOR	PACIFIC LIFE ABRB DTCC	400.00	2.00	0.00	2.00	90.0	1.80
	ACCOUNT #: VP71039250	BUY 0 Units @0.0000						
		* VARIABLE ANNUITIES SUBTOTAL *	\$681.67	\$4.82	\$0.00	\$4.82		\$4.34
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/01/2018	***-**-728I - GOMES, FLORBELA	AIM MODERATE ALLOCATION - CLASS A	0.00	0.26	0.00	0.26	90.0	0.23
	ACCOUNT #: 02500057319	BUY 0 Units @0.0000						
04/16/2018	***-**-1593 - CUSTODIAN, JOHN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	0.40	0.00	0.40	90.0	0.36
	ACCOUNT #: LSR101435	BUY 1 Units @0.0000						
04/16/2018	***-**-0664 - CUSTODIAN, JOHN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	0.35	0.00	0.35	90.0	0.32
	ACCOUNT #: LSR101443	BUY 1 Units @0.0000						
04/16/2018	***-**-8546 - KALANTZOPOULOS,	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	2.00	0.00	2.00	90.0	1.80
	ACCOUNT #: LSR101451	BUY 1 Units @0.0000						
04/16/2018	***-**-3854 - TAYLOR, KATHLEEN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	4.77	0.00	4.77	90.0	4.29
	ACCOUNT #: LSR103144	BUY 1 Units @0.0000						
04/16/2018	***-**-9101 - PASCALE, DEBRA	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	2.35	0.00	2.35	90.0	2.12
	ACCOUNT #: LSR107220	BUY 1 Units @0.0000						
04/16/2018	***-**-64IN - KALANTZOPOULOS,	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	0.08	0.00	0.08	90.0	0.07
	ACCOUNT #: LSR012577	BUY 1 Units @0.0000						
04/16/2018	***-**-93IN - KALANTZOPOULOS,	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	0.10	0.00	0.10	90.0	0.09
	ACCOUNT #: LSR012578	BUY 1 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
04/16/2018	***-**-9101 - PASCALE, DEBRA	ALLIANZ RCM GLOBAL SMALL-CAP FUND C	0.00	2.73	0.00	2.73	90.0	2.46
	ACCOUNT #: LSR107220	BUY 1 Units @0.0000						
03/31/2018	***-**-28RI - MORMINO, STEVEN	CAPITAL APPRECIATION A	0.00	4.78	0.00	4.78	90.0	4.30
	ACCOUNT #: 03203227719	BUY 0 Units @0.0000						
04/01/2018	***-**-728I - GOMES, FLORBELA	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	0.21	0.00	0.21	90.0	0.19
	ACCOUNT #: 02500057319	BUY 0 Units @0.0000						
04/01/2018	***-**-728I - GOMES, FLORBELA	INVESCO INCOME ALLOCATION FUND - CL	0.00	0.28	0.00	0.28	90.0	0.25
	ACCOUNT #: 02500057319	BUY 0 Units @0.0000						
03/31/2018	***-**-28RI - MORMINO, STEVEN	MAIN STREET FUND A	0.00	5.36	0.00	5.36	90.0	4.82
	ACCOUNT #: 07000187368	BUY 0 Units @0.0000						
04/16/2018	***-**-1729 - PRICE, LOUIS	NATIXIS FUNDS TRAILS	0.00	4.99	0.00	4.99	90.0	4.49
		BUY 0 Units @0.0000						
03/31/2018	***-**-285P - MORMINO, STEVE	REAL ESTATE FUND A	0.00	3.41	0.00	3.41	90.0	3.07
	ACCOUNT #: 05901086316	BUY 0 Units @0.0000						
04/16/2018	***-**-451I - LUCCHI, PAUL	SAMMONS MF TRAILS	0.00	2.61	0.00	2.61	90.0	2.35
	ACCOUNT #: 7200003233	BUY 0 Units @0.0000						
04/16/2018	***-**-971I - MEEHAN, JULIE	SAMMONS MF TRAILS	0.00	5.08	0.00	5.08	90.0	4.57
	ACCOUNT #: 7200009839	BUY 0 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$39.76	\$0.00	\$39.76		\$35.78
	*** BROKER TRANSACTIONS TOTAL ***		\$931.67	\$45.83	\$0.00	\$45.83		\$41.25

SPLIT TRANSACTIONS

BROKER: JEFFREY MORRISON

04/16/2018	***-**-4673 - PEPE, JOANN	ABERDEEN US EQUITY I FUND CLASS A	0.00	3.54	0.00	3.54	90.0	3.19
	ACCOUNT #: LSR105562	BUY 1 Units @0.0000						
04/11/2018	***-**-018I - WATSON, BURTON	AGNC INVT CORP COM UNSOLICITED ORDE	1,879.90	27.00	12.00	15.00	90.0	13.50
	ACCOUNT #: LSR105902	BUY 100 Units @18.7990						
04/16/2018	***-**-8826 - LAFRANCE,	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	0.61	0.00	0.61	90.0	0.55
	ACCOUNT #: LSR100145	BUY 1 Units @0.0000						
04/11/2018	***-**-1623 - BECCE, MARIA	CELGENE CORP	1,696.70	27.00	9.00	18.00	90.0	16.20
	ACCOUNT #: LSR101028	SELL 19 Units @89.3000						



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<u>SPLIT TRANSACTIONS (continued)</u>								
<u>BROKER: JEFFREY MORRISON (continued)</u>								
04/11/2018	***-**-1623 - BECCE, MARIA	ETF SER SOLUTIONS LONCAR CANCER	2,807.20	27.00	8.50	18.50	90.0	16.65
	ACCOUNT #: LSR101028	BUY 100 Units @28.0720						
04/11/2018	***-**-1182 - WATSON	EUROPACIFIC GROWTH FUND-A	1,199.97	25.50	9.00	16.50	90.0	14.85
	ACCOUNT #: LSR106160	BUY 20 Units @60.1400						
04/11/2018	***-**-2838 - WATSON	GLOBAL FUND A	1,000.03	23.75	9.00	14.75	90.0	13.28
	ACCOUNT #: LSR106100	BUY 10 Units @102.1900						
04/11/2018	***-**-9481 - WATSON	GLOBAL FUND A	1,000.03	23.75	9.00	14.75	90.0	13.28
	ACCOUNT #: LSR106135	BUY 10 Units @102.1900						
04/13/2018	***-**-05IN - SREEKUMAR,	GRIFFIN AMERICAN HEALTH CARE REIT	10,000.00	150.00	0.00	150.00	90.0	135.00
		BUY 0 Units @0.0000						
04/01/2018	***-**-443P - SIEGEL, JILL	INVESCO STRUCTURED CORE FUND -CLASS	0.00	2.19	0.00	2.19	90.0	1.97
	ACCOUNT #: 05037382511	BUY 0 Units @0.0000						
04/10/2018	***-**-08TR - WEITMAN TTEE,	LINCOLN FIN VA 533786166	1,611.99	80.60	0.00	80.60	90.0	72.54
	ACCOUNT #: 4892820	BUY 0 Units @0.0000						
04/10/2018	***-**-08TR - WEITMAN TTEE,	LINCOLN FIN VA 533786166	1,611.99	80.60	0.00	80.60	90.0	72.54
	ACCOUNT #: 4892820	BUY 0 Units @0.0000						
04/11/2018	***-**-1182 - WATSON	NEW PERSPECTIVE FUND-A	1,200.00	25.50	9.00	16.50	90.0	14.85
	ACCOUNT #: LSR106160	BUY 26 Units @46.6800						
03/31/2018	***-**-66IN - COHEN, ESTA	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.28	0.00	0.28	90.0	0.25
	ACCOUNT #: 02802133395	BUY 0 Units @0.0000						
04/12/2018	***-**-809I - YANKILEVICH,	PACIFIC LIFE EXCE 5A DTCC	350.00	3.50	0.00	3.50	90.0	3.15
	ACCOUNT #: VP65924490	BUY 0 Units @0.0000						
04/09/2018	***-**-8240 - CHOWDHURY, NAHID	PACIFIC LIFE EXEC II DTCC	350.00	1.75	0.00	1.75	90.0	1.58
	ACCOUNT #: VP65523640	BUY 0 Units @0.0000						
04/09/2018	***-**-8240 - CHOWDHURY, NAHID	PACIFIC LIFE EXEC II DTCC	350.00	1.75	0.00	1.75	90.0	1.58
	ACCOUNT #: VP65523640	BUY 0 Units @0.0000						
04/11/2018	***-**-18IN - WATSON	RESOURCE CREDIT INCOME FUND C	4,200.00	21.00	9.00	12.00	90.0	10.80
	ACCOUNT #: LSR010183	BUY 376 Units @11.1600						
04/11/2018	***-**-75IN - WATSON, SANDRA	RESOURCE CREDIT INCOME FUND C	11,000.00	55.00	9.00	46.00	90.0	41.40
	ACCOUNT #: LSR011049	BUY 986 Units @11.1600						
* JEFFREY MORRISON SUBTOTAL *			\$40,257.81	\$580.32	\$83.50	\$496.82		\$447.16
*** SPLIT TRANSACTIONS TOTAL ***			\$40,257.81	\$580.32	\$83.50	\$496.82		\$447.16



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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ALAN FISHMAN</u>								
04/01/2018	***-**-305P - BLUMEN, ROBERT	AIM SMALL CAP GROWTH FUND - CLASS A	0.00	113.89	0.00	113.89	7.5	8.54
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
04/01/2018	***-**-19IN - BLUMEN, IAN	AIM SMALL CAP GROWTH FUND - CLASS A	0.00	7.76	0.00	7.76	7.5	0.58
	ACCOUNT #: 05066338392	BUY 0 Units @0.0000						
03/31/2018	***-**-427I - FISHMAN, ALAN	INTERNATIONAL SMALL COMPANY A	0.00	62.14	0.00	62.14	7.5	4.66
	ACCOUNT #: 08150696707	BUY 0 Units @0.0000						
04/01/2018	***-**-305P - BLUMEN, ROBERT	INVESCO AMERICAN FRANCHISE FUND -CL	0.00	75.95	0.00	75.95	7.5	5.70
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
04/01/2018	***-**-305P - BLUMEN, ROBERT	INVESCO VAN KAMPEN MID CAP GROWTH A	0.00	87.57	0.00	87.57	7.5	6.57
	ACCOUNT #: 05056135477	BUY 0 Units @0.0000						
03/31/2018	***-**-427I - FISHMAN, ALAN	MAIN STREET FUND A	0.00	25.79	0.00	25.79	7.5	1.93
	ACCOUNT #: 07004434301	BUY 0 Units @0.0000						
03/31/2018	***-**-427I - FISHMAN, ALAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	50.32	0.00	50.32	7.5	3.77
	ACCOUNT #: 07852994145	BUY 0 Units @0.0000						
03/31/2018	***-**-427I - FISHMAN, ALAN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	24.53	0.00	24.53	7.5	1.84
	ACCOUNT #: 02512697684	BUY 0 Units @0.0000						
* ALAN FISHMAN SUBTOTAL *			\$0.00	\$447.95	\$0.00	\$447.95		\$33.59
*** OVERRIDE TRANSACTIONS TOTAL ***			\$0.00	\$447.95	\$0.00	\$447.95		\$33.59



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				GROSS	CLEARING	NET	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
<div><div></div><div>BROKER COMMISSION TOTALS</div></div>							
						Broker Transactions	\$41.25
						Split Transactions	\$447.16
						Override Transactions	\$33.59
						Adjustments	\$0.00
						Payroll Draw	\$0.00
						Base Salary	\$0.00
						Prior Period Balance	\$0.00
						FINRA Assessment	\$0.00
						SIPC Assessment	\$0.00
						Net Commission Earned	\$522.00
						Year-to-date Earnings	\$17,689.95