

## COMMISSION STATEMENT

February 28, 2018

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
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BROKER TRANSACTIONSPRODUCT CATEGORY: STOCKS

02/20/2018	75500750	GANGE, RICHARD	DUKE ENERGY CORPORATION HOLDING COM B	37,490.00	873.00	25.00	848.00	80.0	678.40
02/20/2018	75500789	CAFIERO, RENEE	DUKE ENERGY CORPORATION HOLDING COM B	82,533.00	1,878.00	25.00	1,853.00	80.0	1,482.40
02/20/2018	75501038	VANARSDALE,	GENERAL ELECTRIC CO B	26,636.04	634.00	25.00	609.00	80.0	487.20
02/20/2018	75501041	DUFFY, TRENT	DUKE ENERGY CORPORATION HOLDING COM B	41,250.00	961.00	25.00	936.00	80.0	748.80
02/20/2018	75501078	OETTEL, BRYAN	DUKE ENERGY CORPORATION HOLDING COM B	30,004.00	714.00	25.00	689.00	80.0	551.20
02/20/2018	75501130	PALMER, JEANNE	DUKE ENERGY CORPORATION HOLDING COM B	37,480.00	874.00	25.00	849.00	80.0	679.20
* STOCKS SUBTOTAL *				\$255,393.04	\$5,934.00	\$150.00	\$5,784.00		\$4,627.20

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/09/2018	75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A B	0.00	2.79	0.00	2.79	80.0	2.23
02/09/2018	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B	0.00	16.35	0.00	16.35	80.0	13.08
02/09/2018	75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B	0.00	16.20	0.00	16.20	80.0	12.96
02/09/2018	75500755	DENNENY, MICHAEL	GLOBAL FUND A B	0.00	8.51	0.00	8.51	80.0	6.81
02/09/2018	75500755	DENNENY, MICHAEL	MAIN STREET FUND A B	0.00	5.71	0.00	5.71	80.0	4.57
02/09/2018	75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND INC CL F1 B	0.00	7.61	0.00	7.61	80.0	6.09
02/09/2018	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES B	0.00	45.97	0.00	45.97	80.0	36.78
02/09/2018	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL B	0.00	28.16	0.00	28.16	80.0	22.53
02/09/2018	75500756	DENNENY, MICHAEL	EHV 277902813 B	0.00	8.85	0.00	8.85	80.0	7.08
02/09/2018	75500756	DENNENY, MICHAEL	JANUS INVT FD HENDERSON GLOBAL TECH B	0.00	33.06	0.00	33.06	80.0	26.45
02/09/2018	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A B	0.00	9.49	0.00	9.49	80.0	7.59
02/09/2018	75500848	O'LEARY, JENNIFER	EHV 277902813 B	0.00	1.51	0.00	1.51	80.0	1.21
02/09/2018	75500848	O'LEARY, JENNIFER	REGIONAL BANK A B	0.00	1.01	0.00	1.01	80.0	0.81
02/26/2018	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER B	0.00	2.28	0.00	2.28	80.0	1.82
02/26/2018	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS B	0.00	1.25	0.00	1.25	80.0	1.00
02/09/2018	75500880	VAZ, CHRISTINE	EHV 277902813 B	0.00	1.74	0.00	1.74	80.0	1.39
02/09/2018	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR B	0.00	3.47	0.00	3.47	80.0	2.78
02/09/2018	75500959	KAUFMAN, DORIS	CAPITAL INCOME A B	0.00	11.68	0.00	11.68	80.0	9.34
02/09/2018	75501025	HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND B	0.00	3.00	0.00	3.00	80.0	2.40
02/09/2018	75501074	ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES B	0.00	7.73	0.00	7.73	80.0	6.18
02/26/2018	75501079	OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER B	0.00	0.25	0.00	0.25	80.0	0.20
02/09/2018	75501088	SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL B	0.00	4.02	0.00	4.02	80.0	3.22

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
02/09/2018	75501088	SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	24.13	0.00	24.13	80.0	19.30
02/09/2018	75501088	SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI	B	0.00	16.09	0.00	16.09	80.0	12.87
02/09/2018	75501088	SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	15.38	0.00	15.38	80.0	12.30
02/09/2018	75501088	SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	8.95	0.00	8.95	80.0	7.16
02/09/2018	75501088	SILBERMANN, SHARON	JANUS INVT FD HENDERSON GLOBAL TECH	B	0.00	21.38	0.00	21.38	80.0	17.10
02/26/2018	75501088	SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	5.10	0.00	5.10	80.0	4.08
02/09/2018	75501167	FORTE, SUZETTE	EHV 277902813	B	0.00	1.47	0.00	1.47	80.0	1.18
02/16/2018	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	12.66	0.00	12.66	80.0	10.13
02/16/2018	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.59	0.00	2.59	80.0	2.07
02/16/2018	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	10.58	0.00	10.58	80.0	8.46
02/16/2018	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS	B	0.00	2.23	0.00	2.23	80.0	1.78
02/16/2018	QGW028722	SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	3.21	0.00	3.21	80.0	2.57
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$344.41	\$0.00	\$344.41		\$275.52
*** BROKER TRANSACTIONS TOTAL ***					\$255,393.04	\$6,278.41	\$150.00	\$6,128.41		\$4,902.72

**ADJUSTMENTS**

02/28/2018		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
02/28/2018		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		-40.00
02/28/2018		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
02/28/2018		OTHER: OTHER-RBC		0.00	0.00	0.00	0.00		-76.00
<b>*** ADJUSTMENTS TOTAL ***</b>					<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$-144.00</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$4,902.72
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	\$-7.85
SIPC Assessment	\$-15.70

<b>Check Amount</b>	<b>\$4,735.17</b>
<b>Year-to-date Earnings</b>	<b>\$20,435.51</b>