



COMMISSION STATEMENT

March 26, 2018

ALAN FISHMAN
3 Buckley Place
SUITE 615
Hartsdale, NY 10530

BROKER #: 851
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> | | | | | | | | |
| 03/12/2018 | ***-**-19IN - BLUMEN, IAN | AIM SMALL CAP GROWTH FUND - CLASS A | 25.00 | 1.25 | 0.00 | 1.25 | 75.0 | 0.94 |
| | ACCOUNT #: 05066338392 | BUY 1 Units @42.1300 | | | | | | |
| | | * MUTUAL FUNDS SUBTOTAL * | \$25.00 | \$1.25 | \$0.00 | \$1.25 | | \$0.94 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/26/2018 | ***-**-17IN - QUARANTO, JAMES | VICTORY TRAILS | 0.00 | 0.45 | 0.00 | 0.45 | 75.0 | 0.34 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 03/26/2018 | ***-**-067J - SOMMO, WILLIAM | VICTORY TRAILS | 0.00 | 0.15 | 0.00 | 0.15 | 75.0 | 0.11 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 03/26/2018 | ***-**-17IN - QUARANTO, JAMES | VICTORY TRAILS | 0.00 | 1.21 | 0.00 | 1.21 | 75.0 | 0.91 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 03/26/2018 | ***-**-955P - VICARI, | VICTORY TRAILS | 0.00 | 0.88 | 0.00 | 0.88 | 75.0 | 0.66 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 03/26/2018 | ***-**-9623 - SELKIN, ARTHUR | VICTORY TRAILS | 0.00 | 0.71 | 0.00 | 0.71 | 75.0 | 0.53 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 03/26/2018 | ***-**-690I - LEIFER, JONATHAN | VICTORY TRAILS | 0.00 | 62.93 | 0.00 | 62.93 | 75.0 | 47.20 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 03/26/2018 | ***-**-17IN - QUARANTO, JAMES | VICTORY TRAILS | 0.00 | 1.18 | 0.00 | 1.18 | 75.0 | 0.89 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 03/26/2018 | ***-**-067J - SOMMO, WILLIAM | VICTORY TRAILS | 0.00 | 0.01 | 0.00 | 0.01 | 75.0 | 0.01 |
| | | BUY 0 Units @0.0000 | | | | | | |
| | | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | \$0.00 | \$67.52 | \$0.00 | \$67.52 | | \$50.65 |
| | | *** BROKER TRANSACTIONS TOTAL *** | \$25.00 | \$68.77 | \$0.00 | \$68.77 | | \$51.59 |



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|--|--------|------------|----------------------|---------------------|-----------------------|-------------------|------|----------------------|
| <div>BROKER COMMISSION TOTALS</div> | | | | | | | | |
| | | | | | Broker Transactions | | | \$51.59 |
| | | | | | Split Transactions | | | \$0.00 |
| | | | | | Override Transactions | | | \$0.00 |
| | | | | | Adjustments | | | \$0.00 |
| | | | | | Payroll Draw | | | \$0.00 |
| | | | | | Base Salary | | | \$0.00 |
| | | | | | Prior Period Balance | | | \$0.00 |
| | | | | | FINRA Assessment | | | \$0.00 |
| | | | | | SIPC Assessment | | | \$0.00 |
| Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD | | | | | Balance Forward | | | \$0.00 |
| | | | | | Year-to-date Earnings | | | \$0.00 |