

## COMMISSION STATEMENT

September 29, 2017

STEPHEN MOSS  
1336 MARYLAND AVENUEBROKER #: 60  
BRANCH: HOME OFFICE

HVERTOWN, PA 19082

COMMISSION STATEMENT for STEPHEN MOSS

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

09/01/2017	75501796	MOSS, KATHLEEN	ISHARES TR S&P MIDCAP 400 GROWTH	S	2,361.96	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501796	MOSS, KATHLEEN	ISHARES U S BASIC MATERIALS ETF	S	2,608.76	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501796	MOSS, KATHLEEN	ISHARES U S REAL ESTATE ETF	B	5,047.89	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501796	MOSS, KATHLEEN	ISHARES U S UTILITIES ETF	B	5,075.66	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501796	MOSS, KATHLEEN	ISHARES U S FINANCIALS ETF	S	4,906.46	0.00	0.00	0.00	50.0	0.00
09/18/2017	75501798	HERTEN, TIMOTHY	FIREEYE INC COM	S	1,378.60	50.00	0.00	50.00	50.0	25.00
09/01/2017	75501802	MCELREAVEY, DANIEL	ISHARES TR S&P MIDCAP 400 GROWTH	S	2,952.00	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S BASIC MATERIALS ETF	S	3,261.30	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S REAL ESTATE ETF	B	6,357.59	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S UTILITIES ETF	B	6,311.66	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501802	MCELREAVEY, DANIEL	ISHARES U S FINANCIALS ETF	S	6,107.50	0.00	0.00	0.00	50.0	0.00
09/26/2017	75501813	IRWIN, LYNDIA	SPDR INDEX SHS FDS DOW JONES GLOBAL B		47.71	0.00	0.00	0.00	50.0	0.00
09/26/2017	75501813	IRWIN, LYNDIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B		57.91	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501873	BESETH, DAVID	ISHARES TR S&P MIDCAP 400 GROWTH	S	5,908.20	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501873	BESETH, DAVID	ISHARES U S BASIC MATERIALS ETF	B	6,244.39	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501873	BESETH, DAVID	ISHARES U S REAL ESTATE ETF	B	13,192.73	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501873	BESETH, DAVID	ISHARES U S UTILITIES ETF	B	12,893.03	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501873	BESETH, DAVID	ISHARES U S INDUSTRIALS ETF	S	12,745.21	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501873	BESETH, DAVID	ISHARES U S CONSUMER GOODS ETF	S	12,514.52	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501907	HESTON, EUGENE	ISHARES TR S&P MIDCAP 400 GROWTH	S	4,722.48	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501907	HESTON, EUGENE	ISHARES U S BASIC MATERIALS ETF	S	5,308.41	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501907	HESTON, EUGENE	ISHARES U S REAL ESTATE ETF	B	10,183.33	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501907	HESTON, EUGENE	ISHARES U S UTILITIES ETF	B	10,150.57	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501907	HESTON, EUGENE	ISHARES U S FINANCIALS ETF	S	9,927.42	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501922	HAFENMAIER, HELEN	ISHARES TR S&P MIDCAP 400 GROWTH	S	3,150.24	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501922	HAFENMAIER, HELEN	ISHARES U S BASIC MATERIALS ETF	B	3,262.00	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501922	HAFENMAIER, HELEN	ISHARES U S REAL ESTATE ETF	B	7,010.51	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501922	HAFENMAIER, HELEN	ISHARES U S UTILITIES ETF	B	6,990.56	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501922	HAFENMAIER, HELEN	ISHARES U S INDUSTRIALS ETF	S	6,844.21	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501922	HAFENMAIER, HELEN	ISHARES U S CONSUMER GOODS ETF	S	6,804.70	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501924	CUNNINGHAM, WENDY	ISHARES TR S&P MIDCAP 400 GROWTH	S	4,922.00	0.00	0.00	0.00	50.0	0.00

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
09/01/2017	75501924 CUNNINGHAM, WENDY	ISHARES U S BASIC MATERIALS ETF	B	4,847.43	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501924 CUNNINGHAM, WENDY	ISHARES U S REAL ESTATE ETF	B	10,005.63	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501924 CUNNINGHAM, WENDY	ISHARES U S UTILITIES ETF	B	10,148.35	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501924 CUNNINGHAM, WENDY	ISHARES U S INDUSTRIALS ETF	S	10,589.17	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501924 CUNNINGHAM, WENDY	ISHARES U S CONSUMER GOODS ETF	S	10,327.71	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501937 BERG, ELIZABETH	ISHARES TR S&P MIDCAP 400 GROWTH	S	6,103.28	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501937 BERG, ELIZABETH	ISHARES U S BASIC MATERIALS ETF	B	6,432.17	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501937 BERG, ELIZABETH	ISHARES U S REAL ESTATE ETF	B	13,358.88	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501937 BERG, ELIZABETH	ISHARES U S UTILITIES ETF	B	13,303.54	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501937 BERG, ELIZABETH	ISHARES U S INDUSTRIALS ETF	S	13,146.71	0.00	0.00	0.00	50.0	0.00
09/01/2017	75501937 BERG, ELIZABETH	ISHARES U S CONSUMER GOODS ETF	S	13,000.16	0.00	0.00	0.00	50.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$300,512.54</b>	<b>\$50.00</b>	<b>\$0.00</b>	<b>\$50.00</b>		<b>\$25.00</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>									
09/05/2017	(None) VARIOUS, MOSS	JACKSON	B	0.00	14.04	0.00	14.04	50.0	7.02
09/08/2017	(None) VARIOUS, MOSS	LINCOLN	B	0.00	300.86	0.00	300.86	50.0	150.43
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$314.90</b>	<b>\$0.00</b>	<b>\$314.90</b>		<b>\$157.45</b>
<b><u>PRODUCT CATEGORY: MISCELLANEOUS</u></b>									
/ /	VARIOUS, MOSS	<<ENTER PRODUCT DESCRIPTION>>	B	0.00	10.61	0.00	10.61	50.0	5.31
/ /	VARIOUS, MOSS	<<ENTER PRODUCT DESCRIPTION>>	B	0.00	11.06	0.00	11.06	50.0	5.53
09/29/2017	VARIOUS, MOSS	ADVISORY INCOME	B	0.00	2,173.00	0.00	2,173.00	50.0	1,086.50
09/29/2017	VARIOUS, MOSS	COLLEGE 529	B	0.00	3.50	0.00	3.50	50.0	1.75
<b>* MISCELLANEOUS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$2,198.17</b>	<b>\$0.00</b>	<b>\$2,198.17</b>		<b>\$1,099.09</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
09/01/2017	00089036403 PA/TOD	GROWTH PORTFOLIO-A	B	0.00	1.85	0.00	1.85	50.0	0.93
09/01/2017	01209597006 WEISMAN, ELI	WASHINGTON MUTUAL INVESTORS FUND-52	B	0.00	7.69	0.00	7.69	50.0	3.85
09/12/2017	75501795 SPILLANE, TIMOTHY	FRANKLIN MODERATE ALLOCATION FD CL	B	0.00	0.69	0.00	0.69	50.0	0.00
09/12/2017	75501815 TAMBURRO, ALBERT	**JPMORGAN TR I	B	0.00	1.22	0.00	1.22	50.0	0.61
09/12/2017	75501874 ULIRCUIS, WILLIAM	MFS PENNSYLVANIA MUNICIPAL BOND FUN	B	0.00	0.31	0.00	0.31	50.0	0.00
09/12/2017	75502016 WEST, JEFFREY	**GABELLI EQUITY SERIES FUNDS	B	0.00	0.48	0.00	0.48	50.0	0.00
09/12/2017	75502016 WEST, JEFFREY	TEMP GLOBAL BOND FND - CL A	B	0.00	0.16	0.00	0.16	50.0	0.00
09/12/2017	75502017 WEST, KELLY	**GABELLI EQUITY SERIES FUNDS	B	0.00	0.48	0.00	0.48	50.0	0.00
09/12/2017	75502017 WEST, KELLY	TEMP GLOBAL BOND FND - CL A	B	0.00	0.16	0.00	0.16	50.0	0.00
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$13.04</b>	<b>\$0.00</b>	<b>\$13.04</b>		<b>\$5.39</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>				<b>\$300,512.54</b>	<b>\$2,576.11</b>	<b>\$0.00</b>	<b>\$2,576.11</b>		<b>\$1,286.93</b>

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ADJUSTMENTS

09/29/2017		OTHER: OTHER-ADVISORY FEES FROM RBC		0.00	0.00	0.00	0.00		-222.83
		*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$-222.83

BROKER COMMISSION TOTALS

Broker Transactions	\$1,286.93
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-222.83
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-0.47
SIPC Assessment	\$-0.94

Check Amount	\$1,062.69
Year-to-date Earnings	\$5,350.26