



# COMMISSION STATEMENT

April 16, 2018

RONALD CIOTOLI  
3401 E Main St.  
Endwell, NY 13760

BROKER #: A89  
BRANCH #01016 - 16 - CASPER

| DATE  | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                               |                              |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                               |                              |                      |                     |                    |                   |      |                      |
| 04/02/2018  | ***-**-923I - MILLER, DENISE  | AMERICAN BALANCED FUND-A     | 100.00               | 3.75                | 0.00               | 3.75              | 60.0 | 2.25                 |
|   | ACCOUNT #: 00068752100        | BUY 4 Units @27.6300         |                      |                     |                    |                   |      |                      |
| 04/02/2018  | ***-**-5000 - CRAWFORD,       | THE INCOME FUND OF AMERICA-A | 190.00               | 3.80                | 0.00               | 3.80              | 60.0 | 2.28                 |
|   | ACCOUNT #: 00067346436        | BUY 8 Units @23.0500         |                      |                     |                    |                   |      |                      |
| 04/02/2018  | ***-**-5000 - CRAWFORD,       | THE INCOME FUND OF AMERICA-A | 57.00                | 1.14                | 0.00               | 1.14              | 60.0 | 0.68                 |
|   | ACCOUNT #: 00067346436        | BUY 2 Units @23.0500         |                      |                     |                    |                   |      |                      |
| * MUTUAL FUNDS SUBTOTAL *                               |                               |                              | <b>\$347.00</b>      | <b>\$8.69</b>       | <b>\$0.00</b>      | <b>\$8.69</b>     |      | <b>\$5.21</b>        |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                               |                              |                      |                     |                    |                   |      |                      |
| 04/10/2018  | ***-**-630I - ROMA, JAMES     | JACKSON 468511530            | 300.00               | 15.75               | 0.00               | 15.75             | 60.0 | 9.45                 |
|   | ACCOUNT #: 1200802832         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| * VARIABLE ANNUITIES SUBTOTAL *                         |                               |                              | <b>\$300.00</b>      | <b>\$15.75</b>      | <b>\$0.00</b>      | <b>\$15.75</b>    |      | <b>\$9.45</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                              |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-213I - CASTELLUCCI,    | CAPITAL APPRECIATION A       | 0.00                 | 22.18               | 0.00               | 22.18             | 60.0 | 13.31                |
|   | ACCOUNT #: 02704872989        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-213I - CASTELLUCCI,    | CAPITAL APPRECIATION A       | 0.00                 | 0.07                | 0.00               | 0.07              | 60.0 | 0.04                 |
|   | ACCOUNT #: 03203076865        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-338O - DENTON, KELLI   | CAPITAL APPRECIATION A       | 0.00                 | 7.61                | 0.00               | 7.61              | 60.0 | 4.57                 |
|   | ACCOUNT #: 03210124708        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-850I - BERG, SCOTT     | CAPITAL APPRECIATION A       | 0.00                 | 11.31               | 0.00               | 11.31             | 60.0 | 6.79                 |
|   | ACCOUNT #: 03210694585        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-258I - JOHNSON,        | CAPITAL INCOME A             | 0.00                 | 28.01               | 0.00               | 28.01             | 60.0 | 16.81                |
|   | ACCOUNT #: 03009150416        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-793I - CIOTOLI, LOUIS  | DISCOVERY FUND C             | 0.00                 | 77.16               | 0.00               | 77.16             | 60.0 | 46.30                |
|   | ACCOUNT #: 07470601535        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-832I - FLETCHER, JAMES | EQUITY INCOME FUND, INC. A   | 0.00                 | 21.75               | 0.00               | 21.75             | 60.0 | 13.05                |
|   | ACCOUNT #: 08352369477        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-753I - BRYAN, DEBRA    | EQUITY INCOME FUND, INC. A   | 0.00                 | 4.99                | 0.00               | 4.99              | 60.0 | 2.99                 |
|   | ACCOUNT #: 08353019005        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/31/2018  | ***-**-793I - CIOTOLI, LOUIS  | EQUITY INCOME FUND, INC. C   | 0.00                 | 253.22              | 0.00               | 253.22            | 60.0 | 151.93               |
|   | ACCOUNT #: 08370088704        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-832I - FLETCHER, JAMES | GLOBAL FUND A                       | 0.00                 | 12.76               | 0.00               | 12.76             | 60.0 | 7.66                 |
|  | ACCOUNT #: 03307051794        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-753I - BRYAN, DEBRA    | GLOBAL FUND A                       | 0.00                 | 2.77                | 0.00               | 2.77              | 60.0 | 1.66                 |
|  | ACCOUNT #: 03307545892        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | GLOBAL FUND N                       | 0.00                 | 5.48                | 0.00               | 5.48              | 60.0 | 3.29                 |
|  | ACCOUNT #: 03330205810        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | GLOBAL FUND N                       | 0.00                 | 0.64                | 0.00               | 0.64              | 60.0 | 0.38                 |
|  | ACCOUNT #: 03330205810        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-832I - FLETCHER, JAMES | INTERNATIONAL BOND A                | 0.00                 | 5.93                | 0.00               | 5.93              | 60.0 | 3.56                 |
|  | ACCOUNT #: 08809946992        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | INTERNATIONAL BOND FUND N           | 0.00                 | 12.64               | 0.00               | 12.64             | 60.0 | 7.58                 |
|  | ACCOUNT #: 08790164604        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | INTERNATIONAL BOND FUND N           | 0.00                 | 3.42                | 0.00               | 3.42              | 60.0 | 2.05                 |
|  | ACCOUNT #: 08790164604        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-850I - BERG, SCOTT     | INTERNATIONAL GROWTH FUND A         | 0.00                 | 9.78                | 0.00               | 9.78              | 60.0 | 5.87                 |
|  | ACCOUNT #: 08254805537        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-258I - JOHNSON,        | MAIN STREET FUND A                  | 0.00                 | 30.16               | 0.00               | 30.16             | 60.0 | 18.10                |
|  | ACCOUNT #: 07006148794        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-7713 - KROH, CRYSTAL   | MAIN STREET FUND C                  | 0.00                 | 0.00                | 0.00               | 0.00              | 60.0 | 0.00                 |
|  | ACCOUNT #: 07024468992        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-354I - MASTRONARDI,    | OPP PORT SERIES: ACTIVE ALLOC A     | 0.00                 | 17.74               | 0.00               | 17.74             | 60.0 | 10.64                |
|  | ACCOUNT #: 05502014892        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-258I - JOHNSON,        | OPPENHEIMER CORE BOND FUND A        | 0.00                 | 26.61               | 0.00               | 26.61             | 60.0 | 15.97                |
|  | ACCOUNT #: 02852454661        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-258I - JOHNSON,        | OPPENHEIMER DISCOVERY CLASS A       | 0.00                 | 2.51                | 0.00               | 2.51              | 60.0 | 1.51                 |
|  | ACCOUNT #: 05001906223        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-850I - BERG, SCOTT     | OPPENHEIMER MAIN STREET SMALL CAP F | 0.00                 | 12.20               | 0.00               | 12.20             | 60.0 | 7.32                 |
|  | ACCOUNT #: 08476862416        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-753I - BRYAN, DEBRA    | OPPENHEIMER MAIN STREET SMALL CAP F | 0.00                 | 2.54                | 0.00               | 2.54              | 60.0 | 1.52                 |
|  | ACCOUNT #: 08477449156        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-832I - FLETCHER, JAMES | OPPENHEIMER SENIOR FLOATING RATE CL | 0.00                 | 6.50                | 0.00               | 6.50              | 60.0 | 3.90                 |
|  | ACCOUNT #: 02912380983        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | OPPENHEIMER SENIOR FLOATING RATE FU | 0.00                 | 20.97               | 0.00               | 20.97             | 60.0 | 12.58                |
|  | ACCOUNT #: 00100013223        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | OPPENHEIMER SENIOR FLOATING RATE FU | 0.00                 | 17.48               | 0.00               | 17.48             | 60.0 | 10.49                |
|  | ACCOUNT #: 00100013223        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-832I - FLETCHER, JAMES | OPPENHEIMER STRATEGIC INCOME FD CL  | 0.00                 | 47.46               | 0.00               | 47.46             | 60.0 | 28.48                |
|  | ACCOUNT #: 02306352283        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-753I - BRYAN, DEBRA    | OPPENHEIMER STRATEGIC INCOME FD CL  | 0.00                 | 9.37                | 0.00               | 9.37              | 60.0 | 5.62                 |
|  | ACCOUNT #: 02306960198        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | PORT SERIES: EQUITY INV FD A        | 0.00                 | 22.30               | 0.00               | 22.30             | 60.0 | 13.38                |
|  | ACCOUNT #: 05550672298        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | PORT SERIES: EQUITY INV FD B        | 0.00                 | 0.77                | 0.00               | 0.77              | 60.0 | 0.46                 |
|  | ACCOUNT #: 05560094699        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | QUEST CAPITAL VALUE FUND, INC. N    | 0.00                 | 9.60                | 0.00               | 9.60              | 60.0 | 5.76                 |
|  | ACCOUNT #: 08380094006        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | QUEST CAPITAL VALUE FUND, INC. N    | 0.00                 | 4.51                | 0.00               | 4.51              | 60.0 | 2.71                 |
|  | ACCOUNT #: 08380094006        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-850I - BERG, SCOTT     | RISING DIVIDENDS FUND A             | 0.00                 | 11.15               | 0.00               | 11.15             | 60.0 | 6.69                 |
|  | ACCOUNT #: 02253463944        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-832I - FLETCHER, JAMES | RISING DIVIDENDS FUND A             | 0.00                 | 22.80               | 0.00               | 22.80             | 60.0 | 13.68                |
|  | ACCOUNT #: 02253984684        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-354I - MASTRONARDI,    | RISING DIVIDENDS FUND A             | 0.00                 | 7.21                | 0.00               | 7.21              | 60.0 | 4.33                 |
|  | ACCOUNT #: 02254007586        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-753I - BRYAN, DEBRA    | RISING DIVIDENDS FUND A             | 0.00                 | 5.19                | 0.00               | 5.19              | 60.0 | 3.11                 |
|  | ACCOUNT #: 02254472149        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | RISING DIVIDENDS FUND, INC. N       | 0.00                 | 8.37                | 0.00               | 8.37              | 60.0 | 5.02                 |
|  | ACCOUNT #: 02350125422        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH   | RISING DIVIDENDS FUND, INC. N       | 0.00                 | 6.33                | 0.00               | 6.33              | 60.0 | 3.80                 |
|  | ACCOUNT #: 02350125422        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-354I - MASTRONARDI,    | ROCHESTER FUND MUNICIPALS A         | 0.00                 | 11.40               | 0.00               | 11.40             | 60.0 | 6.84                 |
|  | ACCOUNT #: 03652709938        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-258I - JOHNSON,        | SELECT VALUE FUND A                 | 0.00                 | 30.18               | 0.00               | 30.18             | 60.0 | 18.11                |
|  | ACCOUNT #: 06000784399        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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BRANCH #01016 - 16 - CASPER

| DATE   | CLIENT                       | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                              |                                |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                              |                                |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-793I - CIOTOLI, LOUIS | SMALL- & MID- CAP VALUE FUND C | 0.00                 | 98.61               | 0.00               | 98.61             | 60.0 | 59.17                |
|  | ACCOUNT #: 02530273031       | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH  | STRATEGIC INCOME FUND N        | 0.00                 | 28.41               | 0.00               | 28.41             | 60.0 | 17.05                |
|  | ACCOUNT #: 02330203984       | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ***-**-717I - EWING, JOSEPH  | STRATEGIC INCOME FUND N        | 0.00                 | 8.66                | 0.00               | 8.66              | 60.0 | 5.20                 |
|  | ACCOUNT #: 02330203984       | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                              |                                | <b>\$0.00</b>        | <b>\$948.75</b>     | <b>\$0.00</b>      | <b>\$948.75</b>   |      | <b>\$569.28</b>      |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                              |                                | <b>\$647.00</b>      | <b>\$973.19</b>     | <b>\$0.00</b>      | <b>\$973.19</b>   |      | <b>\$583.94</b>      |

## BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$583.94 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$50.03  |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

|                              |                   |
|------------------------------|-------------------|
| <b>Net Commission Earned</b> | <b>\$633.97</b>   |
| <b>Year-to-date Earnings</b> | <b>\$3,391.92</b> |