

All Companies  
**STATEMENT**  
May 20, 2018

FRANK AUDITORE  
19 WALDEN DR

BROKER #: 015  
BRANCH: LA BRANCH

EASTON, MA 02375-

COMMISSION STATEMENT for FRANK AUDITORE

| TRADE DATE | CLIENT | INVESTMENT | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

|                           |                  |                                   |   |          |         |        |        |         |      |        |
|---------------------------|------------------|-----------------------------------|---|----------|---------|--------|--------|---------|------|--------|
| 04/09/2018 #00088451605   | WOOSTER, TIMOTHY | FUNDAMENTAL INVESTORS INC CLASS A | B | 125.00   | 5.31    | 0.00   | 0.00   | 5.31    | 85.0 | 4.51   |
| 04/09/2018 #00088451605   | WOOSTER, TIMOTHY | WASHINGTON MUTUAL INVS FD CLASS A | B | 125.00   | 5.31    | 0.00   | 0.00   | 5.31    | 85.0 | 4.51   |
| * MUTUAL FUNDS SUBTOTAL * |                  |                                   |   | \$250.00 | \$10.62 | \$0.00 | \$0.00 | \$10.62 |      | \$9.02 |

PRODUCT CATEGORY: STOCKS

|                     |                   |                                     |   |              |            |          |        |            |      |            |
|---------------------|-------------------|-------------------------------------|---|--------------|------------|----------|--------|------------|------|------------|
| 04/06/2018 #        | GRUSKOWSKI, CRAIG | ***APHRIA INC                       | B | 8,035.10     | 379.50     | 19.95    | 0.00   | 359.55     | 85.0 | 305.62     |
| 04/09/2018 #        | SKEIBER, STANLEY  | TENCENT HOLDINGS LIMITED UNSPONSORE | B | 2,622.95     | 95.00      | 19.95    | 0.00   | 75.05      | 85.0 | 63.79      |
| 04/10/2018 #        | BLISS, JEFFREY    | BANK OF AMERICA CORP                | S | 6,104.84     | 195.00     | 19.95    | 0.00   | 175.05     | 85.0 | 148.79     |
| 04/10/2018 #        | BLISS, JEFFREY    | BOEING CO                           | S | 8,385.31     | 195.00     | 19.95    | 0.00   | 175.05     | 85.0 | 148.79     |
| 04/10/2018 #        | BLISS, JEFFREY    | BOSTON SCIENTIFIC CORP              | S | 5,616.56     | 195.00     | 19.95    | 0.00   | 175.05     | 85.0 | 148.79     |
| 04/19/2018 #        | ANN L CRAVEN      | GENERAL ELECTRIC CO                 | B | 13,807.80    | 595.00     | 19.95    | 0.00   | 575.05     | 85.0 | 488.79     |
| 04/23/2018 #        | ANN L CRAVEN      | AUTOLIV INC                         | S | 60,450.00    | 2,995.00   | 19.95    | 0.00   | 2,975.05   | 85.0 | 2,528.79   |
| * STOCKS SUBTOTAL * |                   |                                     |   | \$105,022.56 | \$4,649.50 | \$139.65 | \$0.00 | \$4,509.85 |      | \$3,833.36 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

|                         |                    |                                     |   |      |        |      |      |        |      |        |
|-------------------------|--------------------|-------------------------------------|---|------|--------|------|------|--------|------|--------|
| 04/01/2018 #08191066942 | JOHNSTON, WILLIAM  | MASSACHUSETTS INVESTORS TRUST-CL A  | B | 0.00 | 289.08 | 0.00 | 0.00 | 289.08 | 85.0 | 245.72 |
| 04/02/2018 #00227254758 |                    | PUTNAM MULTI CAP GROWTH FUND CL A   | B | 0.00 | 59.91  | 0.00 | 0.00 | 59.91  | 85.0 | 50.92  |
| 04/03/2018 #00957868270 |                    | PIONEER 724010103                   | B | 0.00 | 21.79  | 0.00 | 0.00 | 21.79  | 85.0 | 18.52  |
| 04/03/2018 #00959308513 |                    | PIONEER 724010103                   | B | 0.00 | 60.15  | 0.00 | 0.00 | 60.15  | 85.0 | 51.13  |
| 04/03/2018 #06414900401 |                    | PIONEER FUND INC-CL A               | B | 0.00 | 53.15  | 0.00 | 0.00 | 53.15  | 85.0 | 45.18  |
| 04/03/2018 #00081003604 |                    | PIONEER GROWTH OPPORTUNITIES FUND A | B | 0.00 | 9.13   | 0.00 | 0.00 | 9.13   | 85.0 | 7.76   |
| 04/03/2018 #00081003613 |                    | PIONEER GROWTH OPPORTUNITIES FUND A | B | 0.00 | 9.13   | 0.00 | 0.00 | 9.13   | 85.0 | 7.76   |
| 04/06/2018 #01485656068 | AUDITORE, MARK     | FIDELITY ADV BIOTECHNOLOGY-CL A     | B | 0.00 | 0.80   | 0.00 | 0.00 | 0.80   | 85.0 | 0.68   |
| 04/06/2018 #01488943000 | AUDITORE, MARK     | FIDELITY ADV BIOTECHNOLOGY-CL A     | B | 0.00 | 16.18  | 0.00 | 0.00 | 16.18  | 85.0 | 13.75  |
| 04/06/2018 #01485656068 | AUDITORE, MARK     | FIDELITY ADV HEALTH CARE-CL A       | B | 0.00 | 0.79   | 0.00 | 0.00 | 0.79   | 85.0 | 0.67   |
| 04/06/2018 #01488943000 | AUDITORE, MARK     | FIDELITY ADV HEALTH CARE-CL A       | B | 0.00 | 15.21  | 0.00 | 0.00 | 15.21  | 85.0 | 12.93  |
| 04/10/2018 #            | ROBERTS, FREDERICK | DAIN TRAILER                        | B | 0.00 | 4.48   | 0.00 | 0.00 | 4.48   | 85.0 | 3.81   |
| 04/10/2018 #            | ROBERTS, ELEANOR   | DAIN TRAILER                        | B | 0.00 | 8.46   | 0.00 | 0.00 | 8.46   | 85.0 | 7.19   |
| 04/10/2018 #            | ROBERTS, ELEANOR   | DAIN TRAILER                        | B | 0.00 | 7.72   | 0.00 | 0.00 | 7.72   | 85.0 | 6.56   |
| 04/10/2018 #            | JOHNSTON, WILLIAM  | DAIN TRAILER                        | B | 0.00 | 18.67  | 0.00 | 0.00 | 18.67  | 85.0 | 15.87  |
| 04/10/2018 #            | JOHNSTON, WILLIAM  | DAIN TRAILER                        | B | 0.00 | 15.53  | 0.00 | 0.00 | 15.53  | 85.0 | 13.20  |
| 04/10/2018 #            | JOHNSTON, WILLIAM  | DAIN TRAILER                        | B | 0.00 | 6.18   | 0.00 | 0.00 | 6.18   | 85.0 | 5.25   |

COMMISSION STATEMENT for FRANK AUDITORE

| TRADE DATE                                | CLIENT              | INVESTMENT                   | B/S | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | POSTAGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------------|------------------------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
| BROKER TRANSACTIONS                       |                     |                              |     |                      |                     |                    |         |                   |      |                      |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS |                     |                              |     |                      |                     |                    |         |                   |      |                      |
| 04/10/2018 #                              | BLISS, JEFFREY      | DAIN TRAILER                 | B   | 0.00                 | 5.16                | 0.00               | 0.00    | 5.16              | 85.0 | 4.39                 |
| 04/10/2018 #                              | MACDOUGALL, WILLIAM | DAIN TRAILER                 | B   | 0.00                 | 4.13                | 0.00               | 0.00    | 4.13              | 85.0 | 3.51                 |
| 04/10/2018 #                              | VARIES, CUSTOMER    | DAIN TRAILER                 | B   | 0.00                 | 0.01                | 0.00               | 0.00    | 0.01              | 85.0 | 0.01                 |
| 04/10/2018 #                              | VALLARIO, DEBRA-ANN | DAIN TRAILER                 | B   | 0.00                 | 4.45                | 0.00               | 0.00    | 4.45              | 85.0 | 3.78                 |
| 04/10/2018 #                              | SEMERARO, SHEILA    | DAIN TRAILER                 | B   | 0.00                 | 0.92                | 0.00               | 0.00    | 0.92              | 85.0 | 0.78                 |
| 04/10/2018 #                              | SEMERARO, SHEILA    | DAIN TRAILER                 | B   | 0.00                 | 0.93                | 0.00               | 0.00    | 0.93              | 85.0 | 0.79                 |
| 04/13/2018 #00090974478                   | JOHNSTON, WILLIAM   | DEUTSCHE CALIFORNIA TAX FREE | B   | 0.00                 | 145.14              | 0.00               | 0.00    | 145.14            | 85.0 | 123.37               |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *      |                     |                              |     | \$0.00               | \$757.10            | \$0.00             | \$0.00  | \$757.10          |      | \$643.53             |
| *** BROKER TRANSACTIONS TOTAL ***         |                     |                              |     | \$105,272.56         | \$5,417.22          | \$139.65           | \$0.00  | \$5,277.57        |      | \$4,485.91           |

ADJUSTMENTS

|                           |                                  |           |
|---------------------------|----------------------------------|-----------|
| 05/20/2018                | ADMIN FEE: ADMIN FEE             | -320.00   |
| 05/20/2018                | E & O INSURANCE: E & O INSURANCE | -179.00   |
| *** ADJUSTMENTS TOTAL *** |                                  | \$-499.00 |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$4,485.91 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$-499.00  |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|              |            |
|--------------|------------|
| Check Amount | \$3,986.91 |
|--------------|------------|