

COMMISSION STATEMENT

April 03, 2017

IRENE SULLIVAN
303 BEVERLEY ROAD
APT 9C
BROOKLYN, NY 11218

BROKER #:
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
<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: STOCKS									
03/28/2017 75500751	GANGE, RICHARD	HARMONIC INC	S	10,260.00	264.00	25.00	239.00	80.0	191.20
03/27/2017 75500753	HARRISON, LISA	TWILIO INC CL A	B	8,886.00	228.00	25.00	203.00	80.0	162.40
03/28/2017 75500753	HARRISON, LISA	COCA COLA COMPANY (THE)	B	8,494.00	227.00	25.00	202.00	80.0	161.60
03/28/2017 75500753	HARRISON, LISA	GILEAD SCIENCES INC	B	8,049.60	211.00	25.00	186.00	80.0	148.80
03/27/2017 75500754	HARRISON, LISA	TWILIO INC CL A	B	8,889.00	228.00	25.00	203.00	80.0	162.40
03/28/2017 75500754	HARRISON, LISA	COCA COLA COMPANY (THE)	B	8,494.00	227.00	25.00	202.00	80.0	161.60
03/28/2017 75500754	HARRISON, LISA	GILEAD SCIENCES INC	B	8,049.60	211.00	25.00	186.00	80.0	148.80
03/28/2017 75500768	BLASIUS, CHARLES	F N B CORP PA	B	58,480.00	1,347.00	25.00	1,322.00	80.0	1,057.60
03/28/2017 75500768	BLASIUS, CHARLES	TORONTO-DOMINION BANK	B	59,136.00	1,366.00	25.00	1,341.00	80.0	1,072.80
03/28/2017 75500768	BLASIUS, CHARLES	VALLEY NATIONAL BANCORP	B	57,350.00	1,318.00	25.00	1,293.00	80.0	1,034.40
03/28/2017 75500789	CAFIERO, RENEE	GILEAD SCIENCES INC	B	36,921.50	858.00	25.00	833.00	80.0	666.40
03/27/2017 75500846	YELLAND, MARGARET	TWILIO INC CL A	B	44,445.00	1,036.00	25.00	1,011.00	80.0	808.80
03/28/2017 75500847	YELLAND, MARGARET	HARMONIC INC	S	17,100.00	424.00	25.00	399.00	80.0	319.20
03/27/2017 75501026	HARRISON, JUDITH	TWILIO INC CL A	B	14,795.00	335.00	25.00	310.00	80.0	248.00
03/27/2017 75501038	VANARSDALE,	TWILIO INC CL A	B	8,874.00	227.00	25.00	202.00	80.0	161.60
03/28/2017 75501042	DUFFY, TRENT	CBS CORP CLASS B	S	50,932.50	1,176.00	25.00	1,151.00	80.0	920.80
03/28/2017 75501042	DUFFY, TRENT	HARMONIC INC	S	8,550.00	234.00	25.00	209.00	80.0	167.20
03/28/2017 75501075	ROSENFELD, CAROL	US GEOTHERMAL INC COMMON STOCK	S	6,797.28	186.00	25.00	161.00	80.0	128.80
03/27/2017 75501078	OETTEL, BRYAN	TWILIO INC CL A	B	23,640.00	561.00	25.00	536.00	80.0	428.80
03/28/2017 75501279	GELBERT,	TWILIO INC CL A	B	14,815.00	358.00	25.00	333.00	80.0	266.40
03/27/2017 75501283	PEIFFER, DAVID	TWILIO INC CL A	B	3,700.00	112.00	25.00	87.00	80.0	69.60
* STOCKS SUBTOTAL *				\$466,658.48	\$11,134.00	\$525.00	\$10,609.00		\$8,487.20

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/10/2017 75500755	DENNENY, MICHAEL	CAPITAL APPRECIATION A	B	0.00	2.21	0.00	2.21	80.0	1.77
03/10/2017 75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	12.08	0.00	12.08	80.0	9.66
03/10/2017 75500755	DENNENY, MICHAEL	EATON VANCE TAX MANAGED VALUE FD CL B	B	0.00	12.44	0.00	12.44	80.0	9.95
03/10/2017 75500755	DENNENY, MICHAEL	GLOBAL FUND A	B	0.00	6.04	0.00	6.04	80.0	4.83
03/10/2017 75500755	DENNENY, MICHAEL	MAIN STREET FUND A	B	0.00	4.76	0.00	4.76	80.0	3.81
03/10/2017 75500755	DENNENY, MICHAEL	SMALLCAP WORLD FUND-C	B	0.00	23.30	0.00	23.30	80.0	18.64
03/10/2017 75500756	DENNENY, MICHAEL	**HENDERSON GLOBAL TECHNOLOGY	B	0.00	24.17	0.00	24.17	80.0	19.34

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<u>BROKER TRANSACTIONS</u>									
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS									
03/10/2017	75500756	DENNENY, MICHAEL	**TETON WESTWOOD MIGHTY MITES	B	0.00	38.54	0.00	38.54	80.0 30.83
03/10/2017	75500756	DENNENY, MICHAEL	DAVIS SERIES INC FINANCIAL FUND CL	B	0.00	22.16	0.00	22.16	80.0 17.73
03/10/2017	75500756	DENNENY, MICHAEL	EHV 277902813	B	0.00	7.13	0.00	7.13	80.0 5.70
03/10/2017	75500788	CAFIERO, RENEE	AMT-FREE NEW YORK MUNICIPALS A	B	0.00	8.78	0.00	8.78	80.0 7.02
03/10/2017	75500848	O'LEARY, JENNIFER	EHV 277902813	B	0.00	1.22	0.00	1.22	80.0 0.98
03/10/2017	75500848	O'LEARY, JENNIFER	REGIONAL BANK A	B	0.00	0.82	0.00	0.82	80.0 0.66
03/28/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS MUNDER	B	0.00	1.70	0.00	1.70	80.0 1.36
03/28/2017	75500848	O'LEARY, JENNIFER	**VICTORY PORTFOLIOS	B	0.00	1.12	0.00	1.12	80.0 0.90
03/10/2017	75500880	VAZ, CHRISTINE	EHV 277902813	B	0.00	1.40	0.00	1.40	80.0 1.12
03/10/2017	75500880	VAZ, CHRISTINE	FIDELITY ADVISOR (FOCUS) HEALTH CAR B	B	0.00	2.62	0.00	2.62	80.0 2.10
03/10/2017	75500959	KAUFMAN, DORIS	CAPITAL INCOME A	B	0.00	10.51	0.00	10.51	80.0 8.41
03/10/2017	75501025	HARRISON, JUDITH	EATON VANCE TAX MANAGED GROWTH FUND B	B	0.00	2.22	0.00	2.22	80.0 1.78
03/10/2017	75501041	DUFFY, TRENT	COLUMBIA FDS SER TR MID CAP VALUE F B	B	0.00	11.25	0.00	11.25	80.0 9.00
03/10/2017	75501041	DUFFY, TRENT	FRANKLIN SMALL CAP VALUE C	B	0.00	15.92	0.00	15.92	80.0 12.74
03/10/2017	75501074	ROSENFELD, CAROL	**TETON WESTWOOD MIGHTY MITES	B	0.00	6.48	0.00	6.48	80.0 5.18
03/28/2017	75501079	OETTEL, BRYAN	**VICTORY PORTFOLIOS MUNDER	B	0.00	0.19	0.00	0.19	80.0 0.15
03/10/2017	75501088	SILBERMANN, SHARON	**AMG MANAGERS ESSEX SMALL	B	0.00	3.28	0.00	3.28	80.0 2.62
03/10/2017	75501088	SILBERMANN, SHARON	**HENDERSON GLOBAL TECHNOLOGY	B	0.00	15.64	0.00	15.64	80.0 12.51
03/10/2017	75501088	SILBERMANN, SHARON	**TETON WESTWOOD MIGHTY MITES	B	0.00	20.22	0.00	20.22	80.0 16.18
03/10/2017	75501088	SILBERMANN, SHARON	BLACKROCK HEALTH SCIENCES OPPORTUNI B	B	0.00	12.41	0.00	12.41	80.0 9.93
03/10/2017	75501088	SILBERMANN, SHARON	DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	12.10	0.00	12.10	80.0 9.68
03/10/2017	75501088	SILBERMANN, SHARON	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	6.47	0.00	6.47	80.0 5.18
03/28/2017	75501088	SILBERMANN, SHARON	**VICTORY PORTFOLIOS MUNDER	B	0.00	3.80	0.00	3.80	80.0 3.04
03/10/2017	75501139	KURTZ, ROSETTE	US GLOBAL LEADERS GROWTH A	B	0.00	0.37	0.00	0.37	80.0 0.30
03/10/2017	75501167	FORTE, SUZETTE	EHV 277902813	B	0.00	1.19	0.00	1.19	80.0 0.95
03/15/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	8.50	0.00	8.50	80.0 6.80
03/15/2017	QGW028615	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	1.92	0.00	1.92	80.0 1.54
03/15/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	7.10	0.00	7.10	80.0 5.68
03/15/2017	QGW028623	HARRISON, LISA	GOLDMAN SACHS TOLLKEEPER FUND CLASS B	B	0.00	1.65	0.00	1.65	80.0 1.32
03/13/2017	QGW028722	SOLE, ABIGAIL	DAVIS SERIES INC FINANCIAL FUND CL B	B	0.00	2.52	0.00	2.52	80.0 2.02
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$314.23	\$0.00	\$314.23	\$251.41
*** BROKER TRANSACTIONS TOTAL ***					\$466,658.48	\$11,448.23	\$525.00	\$10,923.23	\$8,738.61

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ADJUSTMENTS

04/03/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
04/03/2017		OTHER: OTHER-OFFICE SUPPLIES		0.00	0.00	0.00	0.00		0.00
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-20.00

BROKER COMMISSION TOTALS

Broker Transactions	\$8,738.61
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-20.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-14.31
SIPC Assessment	\$-214.65

Check Amount	\$8,489.65
Year-to-date Earnings	\$29,369.68