

COMMISSION STATEMENT

April 30, 2018

STEPHEN MOSS
1336 MARYLAND AVENUE

HAVERTOWN, PA 19082

BROKER #: V05 A05
BRANCH: FULCRUM GROUP

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: MUTUAL FUNDS

04/06/2018 (None)	VARIOUS, MOSS	MASSMUTUAL	B	0.00	142.77	0.00	142.77	50.0	71.39
04/12/2018 (None)	VARIOUS, MOSS	529 PLAN	B	0.00	3.50	0.00	3.50	50.0	1.75
04/24/2018 (None)	VARIOUS, MOSS	529 PLAN	B	0.00	16.56	0.00	16.56	50.0	8.28
04/24/2018 (None)	VARIOUS, MOSS	MASSMUTUAL	B	0.00	9.06	0.00	9.06	50.0	4.53
* MUTUAL FUNDS SUBTOTAL *				\$0.00	\$171.89	\$0.00	\$171.89		\$85.95

PRODUCT CATEGORY: STOCKS

03/29/2018 75501532	LUMSDEN, CECILIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B		28.16	0.00	0.00	0.00	50.0	0.00
03/29/2018 75501532	LUMSDEN, CECILIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B		35.18	0.00	0.00	0.00	50.0	0.00
03/29/2018 75501813	IRWIN, LYNDIA	SPDR SERIES TRUST SPDR BLOOMBERG BA B		28.16	0.00	0.00	0.00	50.0	0.00
03/29/2018 75501876	ROHRBACH, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA B		56.32	0.00	0.00	0.00	50.0	0.00
03/29/2018 75501876	ROHRBACH, EDWARD	SPDR SERIES TRUST SPDR BLOOMBERG BA S		55.74	0.00	0.00	0.00	50.0	0.00
04/12/2018 75501937	BERG, ELIZABETH	ISHARES U S FINANCIALS ETF	S	8,496.72	0.00	0.00	0.00	50.0	0.00
04/12/2018 75501937	BERG, ELIZABETH	ISHARES U S CONSUMER SERVICES ETF	S	8,560.70	0.00	0.00	0.00	50.0	0.00
04/12/2018 75501937	BERG, ELIZABETH	ISHARES U S INDUSTRIALS ETF	S	8,700.61	0.00	0.00	0.00	50.0	0.00
04/12/2018 75501937	BERG, ELIZABETH	ISHARES U S TECHNOLOGY ETF	S	9,090.04	0.00	0.00	0.00	50.0	0.00
03/29/2018 75501945	EDWARD W CUNICELLI	SPDR INDEX SHS FDS S&P EMERGING MAR S		39.35	0.00	0.00	0.00	50.0	0.00
03/29/2018 75501945	EDWARD W CUNICELLI	SPDR SERIES TRUST SPDR BLOOMBERG BA B		28.16	0.00	0.00	0.00	50.0	0.00
03/29/2018 75501994	MCCOACH, MARY	SPDR RUSSELL 1000 ETF	B	62.14	0.00	0.00	0.00	50.0	0.00
03/29/2018 75502094	VERBITSKI, MAUREEN	SPDR SERIES TRUST SPDR BLOOMBERG BA B		28.16	0.00	0.00	0.00	50.0	0.00
03/29/2018 75502094	VERBITSKI, MAUREEN	SPDR SERIES TRUST SPDR BLOOMBERG BA S		27.38	0.00	0.00	0.00	50.0	0.00
03/29/2018 75502174	SCHMIDT, JAMES	SPDR INDEX SHS FDS S&P EMERGING MAR B		39.38	0.00	0.00	0.00	50.0	0.00
03/29/2018 75502174	SCHMIDT, JAMES	SPDR INDEX SHS FDS S&P WORLD EX-US S		31.50	0.00	0.00	0.00	50.0	0.00
03/29/2018 75502174	SCHMIDT, JAMES	SPDR RUSSELL 1000 ETF	B	124.28	0.00	0.00	0.00	50.0	0.00
03/29/2018 75502174	SCHMIDT, JAMES	SPDR RUSSELL 2000 ETF	S	60.18	0.00	0.00	0.00	50.0	0.00
03/29/2018 75502174	SCHMIDT, JAMES	SPDR SERIES TRUST SPDR BLOOMBERG BA S		28.15	0.00	0.00	0.00	50.0	0.00
03/29/2018 75502174	SCHMIDT, JAMES	SPDR SERIES TRUST SPDR BLOOMBERG BA S		27.38	0.00	0.00	0.00	50.0	0.00
* STOCKS SUBTOTAL *				\$35,547.69	\$0.00	\$0.00	\$0.00		\$0.00

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>									
04/12/2018	(None) VARIOUS, MOSS	AMERICAN LEGACY ANNUNITY	B	0.00	296.01	0.00	296.01	50.0	148.01
04/13/2018	(None) VARIOUS, MOSS	HART LIFE & ANN	B	0.00	0.00	0.00	0.00	50.0	0.00
04/17/2018	(None) VARIOUS, MOSS	JACKSON	B	0.00	14.95	0.00	14.95	50.0	7.48
04/17/2018	(None) VARIOUS, MOSS	MLI USA	B	0.00	704.08	0.00	704.08	50.0	352.04
* VARIABLE ANNUITIES SUBTOTAL *				\$0.00	\$1,015.04	\$0.00	\$1,015.04		\$507.53
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>									
04/13/2018	(None) VARIOUS, MOSS	HARTFORD LIFE	B	0.00	57.14	0.00	57.14	50.0	28.57
* LIFE INSURANCE SUBTOTAL *				\$0.00	\$57.14	\$0.00	\$57.14		\$28.57
<u>PRODUCT CATEGORY: RIA</u>									
04/01/2018	75501796 MOSS, KATHLEEN	FAS FEES PT. I/III	B	-156.97	52.32	0.00	52.32	50.0	26.16
04/01/2018	75501797 HERTEN, TIMOTHY	FAS FEES PT. I/III	B	-112.41	37.47	0.00	37.47	50.0	18.74
04/01/2018	75501799 HERTEN, TIMOTHY	FAS FEES PT. I/III	B	-105.87	35.29	0.00	35.29	50.0	17.65
04/01/2018	75501801 JOHN W SCHULTZ TTEE	FAS FEES PT. I/III	B	-364.06	121.35	0.00	121.35	50.0	60.68
04/01/2018	75501802 MCELREAVEY, DANIEL	FAS FEES PT. I/III	B	-188.86	62.95	0.00	62.95	50.0	31.48
04/01/2018	75501873 BESETH, DAVID	FAS FEES PT. I/III	B	-411.06	137.02	0.00	137.02	50.0	68.51
04/01/2018	75501875 RALPH G BARTO TRUST	FAS FEES PT. I/III	B	-595.44	198.48	0.00	198.48	50.0	99.24
04/01/2018	75501877 MORRIS WEISMAN TTEE	FAS FEES PT. I/III	B	-1,625.83	541.94	0.00	541.94	50.0	270.97
04/01/2018	75501878 MORRIS WEISMAN TTEE	FAS FEES PT. I/III	B	-209.90	69.96	0.00	69.96	50.0	34.98
04/01/2018	75501907 HESTON, EUGENE	FAS FEES PT. I/III	B	-375.29	125.09	0.00	125.09	50.0	62.55
04/01/2018	75501922 HAFENMAIER, HELEN	FAS FEES PT. I/III	B	-293.37	97.79	0.00	97.79	50.0	48.90
04/01/2018	75501924 CUNNINGHAM, WENDY	FAS FEES PT. I/III	B	-339.20	113.06	0.00	113.06	50.0	56.53
04/01/2018	75501937 BERG, ELIZABETH	FAS FEES PT. I/III	B	-346.62	115.54	0.00	115.54	50.0	57.77
04/01/2018	75501944 EDWARD W CUNICELLI	FAS FEES PT. I/III	B	-309.11	103.03	0.00	103.03	50.0	51.52
04/01/2018	75502025 THIEU, MINH	FAS FEES PT. I/III	B	-468.31	156.10	0.00	156.10	50.0	78.05
04/01/2018	75502026 DAVID DIEU TTEE	FAS FEES PT. I/III	B	-314.41	104.80	0.00	104.80	50.0	52.40
04/01/2018	75502095 VERBITSKI, THOMAS	FAS FEES PT. I/III	B	-1,017.16	339.05	0.00	339.05	50.0	169.53
04/01/2018	75502176 DENNIN, MARY	FAS FEES PT. I/III	B	-230.13	76.71	0.00	76.71	50.0	38.36
* RIA SUBTOTAL *				\$-7,464.00	\$2,487.95	\$0.00	\$2,487.95		\$1,244.02
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
04/30/2018		FEE COUNT - 7		0.00	3.43	0.00	3.43	50.0	0.63
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *				\$0.00	\$3.43	\$0.00	\$3.43		\$0.63
*** BROKER TRANSACTIONS TOTAL ***				\$28,083.69	\$3,735.45	\$0.00	\$3,735.45		\$1,866.70

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>									
04/30/2018		CANCELLATIONS: UNBUNDLED FEES		0.00	0.00	0.00	0.00		507.20
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.26
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-68.97
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-37.97
04/30/2018		DEUNB:UNBUNDLED QRTRLY FEE (LPCM):		0.00	0.00	0.00	0.00		-25.00
04/30/2018		MISCELLANEOUS: OVERTRADING FEES -MA		0.00	0.00	0.00	0.00		-1,410.00
*** ADJUSTMENTS TOTAL ***				<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-1,410.00</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$1,866.70
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,410.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-4.60
SIPC Assessment	\$-9.20

Check Amount	\$442.90
Year-to-date Earnings	\$7,234.49