

## COMMISSION STATEMENT

December 31, 2017

MICHAEL BAROLOTTA  
57 EISENHOWER DRIVEBROKER #: 50  
BRANCH: HOME OFFICE

EAST QUOGUE, NY 11942

COMMISSION STATEMENT for MICHAEL BAROLOTTA

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
12/06/2017	75502134 HAUGHEY, LISA	BLACKROCK MUNI INTER DURATION FD IN B		66,565.13	0.00	0.00	0.00	80.0	0.00
12/06/2017	75502134 HAUGHEY, LISA	DREYFUS MUNICIPAL BOND INFRASTRUCTU B		66,656.97	0.00	0.00	0.00	80.0	0.00
12/06/2017	75502134 HAUGHEY, LISA	EATON VANCE N Y MUN BD FD II COM B		65,828.61	0.00	0.00	0.00	80.0	0.00
12/06/2017	75502134 HAUGHEY, LISA	EATON VANCE NEW YORK MUN INC TR SH B		65,693.73	0.00	0.00	0.00	80.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$264,744.44</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MISCELLANEOUS</u></b>									
12/31/2017	VARIOUS, BAROLOTTA	ADP	B	0.00	21,083.42	0.00	21,083.42	80.0	16,866.74
<b>* MISCELLANEOUS SUBTOTAL *</b>				<b>\$0.00</b>	<b>\$21,083.42</b>	<b>\$0.00</b>	<b>\$21,083.42</b>		<b>\$16,866.74</b>
<b><u>PRODUCT CATEGORY: RIA</u></b>									
12/01/2017	75502101 CORSO, JOSEPH	FAS FEES PT. I/III	B	1.47	-0.74	0.00	-0.74	80.0	-0.59
12/01/2017	75502101 CORSO, JOSEPH	FAS FEES PT. II/III	B	1.47	-0.74	0.00	-0.74	80.0	-0.59
12/01/2017	75502101 CORSO, JOSEPH	FAS FEES PT. III/III	B	1.47	-0.74	0.00	-0.74	80.0	-0.59
12/06/2017	75502134 HAUGHEY, LISA	FAS FEES PT. I/III	B	-47.59	47.59	0.00	47.59	80.0	38.07
12/06/2017	75502134 HAUGHEY, LISA	FAS FEES PT. II/III	B	-47.59	47.59	0.00	47.59	80.0	38.07
12/06/2017	75502134 HAUGHEY, LISA	FAS FEES PT. III/III	B	-47.59	47.59	0.00	47.59	80.0	38.07
<b>* RIA SUBTOTAL *</b>				<b>\$-138.36</b>	<b>\$140.55</b>	<b>\$0.00</b>	<b>\$140.55</b>		<b>\$112.44</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>									
12/11/2017	75501422 FROUXIDES, MENELAOS	AMERICAN BALANCED FUND INC CL F1	B	0.00	5.04	0.00	5.04	80.0	4.03
12/11/2017	75501422 FROUXIDES, MENELAOS	BLACKROCK EQUITY DIVIDEND FUND SVC	B	0.00	2.75	0.00	2.75	80.0	2.20
12/11/2017	75501422 FROUXIDES, MENELAOS	BOND FUND AMER INC CL F1	B	0.00	0.86	0.00	0.86	80.0	0.00
12/11/2017	75501422 FROUXIDES, MENELAOS	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.59	0.00	0.59	80.0	0.00
12/11/2017	75501422 FROUXIDES, MENELAOS	LORD ABBETT HIGH YIELD FUND CL-A	B	0.00	0.38	0.00	0.38	80.0	0.00
12/11/2017	75501422 FROUXIDES, MENELAOS	OPPENHEIMER SENIOR FLOATING RATE FU B		0.00	1.07	0.00	1.07	80.0	0.86
12/11/2017	75501426 FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	2.93	0.00	2.93	80.0	2.34
12/11/2017	75501426 FROUXIDES, NATIA	LORD ABBETT SHORT DURATION INCOME F B		0.00	0.49	0.00	0.49	80.0	0.00
12/11/2017	75501426 FROUXIDES, NATIA	OPPENHEIMER STRATEGIC INCOME FD CL	B	0.00	0.97	0.00	0.97	80.0	0.00
12/14/2017	75501426 FROUXIDES, NATIA	VAN ECK GLOBAL HARD ASSETS FD CLASS B		0.00	1.87	0.00	1.87	80.0	1.50
12/15/2017	75501426 FROUXIDES, NATIA	**ABERDEEN GLOBAL HIGH INCOME	B	0.00	0.60	0.00	0.60	80.0	0.00
12/11/2017	75501427 FROUXIDES, MENELAOS	BLACKROCK HEALTH SCIENCES FUND CLAS B		0.00	3.10	0.00	3.10	80.0	2.48

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BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
12/11/2017	75501427	FROUXIDES, MENELAOS	CAPITAL INCOME BUILDER FD CL F-1	B	0.00	2.70	0.00	2.70	80.0	2.16
12/11/2017	75501427	FROUXIDES, MENELAOS	CAPITAL WORLD BOND FUND CL F1	B	0.00	2.39	0.00	2.39	80.0	1.91
12/11/2017	75501427	FROUXIDES, MENELAOS	FIDELITY ADVISOR ENERGY CL A	B	0.00	1.70	0.00	1.70	80.0	1.36
12/11/2017	75501427	FROUXIDES, MENELAOS	FIRST EAGLE OVERSEAS FUND CLASS A	B	0.00	5.91	0.00	5.91	80.0	4.73
12/11/2017	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STRATEGIC INCOME FD CL	B	0.00	4.28	0.00	4.28	80.0	3.42
12/11/2017	75501427	FROUXIDES, MENELAOS	OPPENHEIMER STEELPATH MLP ALPHA FUN	B	0.00	0.78	0.00	0.78	80.0	0.00
12/14/2017	75501427	FROUXIDES, MENELAOS	VAN ECK GLOBAL HARD ASSETS FD CLASS	B	0.00	6.20	0.00	6.20	80.0	4.96
12/15/2017	75501427	FROUXIDES, MENELAOS	**ABERDEEN TOTAL RETURNBOND	B	0.00	4.96	0.00	4.96	80.0	3.97
12/11/2017	75501428	FROUXIDES, NATIA	BLACKROCK NAT RES TR CL A	B	0.00	1.54	0.00	1.54	80.0	1.23
12/11/2017	75501428	FROUXIDES, NATIA	DREYFUS INVT FDS STANDISH GLOBAL FI	B	0.00	3.75	0.00	3.75	80.0	3.00
12/11/2017	75501428	FROUXIDES, NATIA	DREYFUS NY TAX EXEMPT BOND FUND INC	B	0.00	2.62	0.00	2.62	80.0	2.10
12/11/2017	75501428	FROUXIDES, NATIA	FIRST EAGLE GLOBAL FUND CLASS A	B	0.00	7.62	0.00	7.62	80.0	6.10
12/11/2017	75501428	FROUXIDES, NATIA	INCOME FUND AMER INC CL F1	B	0.00	12.25	0.00	12.25	80.0	9.80
12/11/2017	75501428	FROUXIDES, NATIA	LOOMIS SAYLES BOND FUND RETAIL CLAS	B	0.00	6.18	0.00	6.18	80.0	4.94
12/11/2017	75501428	FROUXIDES, NATIA	OPPENHEIMER STEELPATH MLP INCOME FU	B	0.00	1.04	0.00	1.04	80.0	0.83
12/11/2017	75501428	FROUXIDES, NATIA	OPPENHEIMER SENIOR FLOATING RATE FU	B	0.00	5.17	0.00	5.17	80.0	4.14
12/11/2017	75501428	FROUXIDES, NATIA	US GOVT FUND CLASS A	B	0.00	1.50	0.00	1.50	80.0	1.20
12/11/2017	75501428	FROUXIDES, NATIA	WESTERN ASSET SHORT DURATION HIGH I	B	0.00	1.37	0.00	1.37	80.0	1.10
12/11/2017	75501565	GIANNIZZERO, THOMAS	PUTNAM 746444108	B	0.00	9.45	0.00	9.45	80.0	7.56
12/11/2017	75501566	GIANNIZZERO, LAURE	MFS TOTAL RETURN FUND-A	B	0.00	7.88	0.00	7.88	80.0	6.30
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$109.94	\$0.00	\$109.94	\$84.22	
*** BROKER TRANSACTIONS TOTAL ***					\$264,606.08	\$21,333.91	\$0.00	\$21,333.91	\$17,063.40	

**ADJUSTMENTS**

12/31/2017		DEUNC:UNBUNDLED NEW ACCT FEE (LPCM)		0.00	0.00	0.00	0.00		-26.72
12/31/2017		ADVANCE: ADVANCE		0.00	0.00	0.00	0.00		-16,000.00
12/31/2017		E & O INSURANCE: E & O INSURANCE		0.00	0.00	0.00	0.00		-200.00
12/31/2017		OTHER: COMPLIANCE AND TECHNOLOGY		0.00	0.00	0.00	0.00		-20.00
12/31/2017		OTHER: OTHER-WEALTH MANAGEMENT		0.00	0.00	0.00	0.00		-25.00
12/31/2017		OTHER: OTHER-360 OFFICE		0.00	0.00	0.00	0.00		-8.00
12/31/2017		OTHER: OTHER-FINRA AND SIPC CHARGES		0.00	0.00	0.00	0.00		-80.54
12/31/2017		OTHER: OTHER-STATE REGIST		0.00	0.00	0.00	0.00		-1,052.00
12/31/2017		OTHER: OTHER-ADVISORY EXPENSE		0.00	0.00	0.00	0.00		-115.33
<b>*** ADJUSTMENTS TOTAL ***</b>					<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-17,527.59</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$17,063.40
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-17,527.59
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-0.31
SIPC Assessment	\$-0.63

Please Retain for Your Records  
THERE WILL BE NO CHECK THIS PERIOD

<b>Balance Forward</b>	<b>\$-465.13</b>
<b>Year-to-date Earnings</b>	<b>\$33,111.05</b>