

All Companies  
**STATEMENT**  
April 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 |
|---|-------------------------------|-------------------------------------|-----|----------------------|---------------------|--------------------|---------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                               |                                     |     |                      |                     |                    |               |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                               |                                     |     |                      |                     |                    |               |                   |      |                      |
| 03/07/2018  | #00088451605 WOOSTER, TIMOTHY | FUNDAMENTAL INVESTORS INC CLASS A   | B   | 125.00               | 5.31                | 0.00               | 0.00          | 5.31              | 85.0 | 4.51                 |
| 03/07/2018  | #00088451605 WOOSTER, TIMOTHY | WASHINGTON MUTUAL INVS FD CLASS A   | B   | 125.00               | 5.31                | 0.00               | 0.00          | 5.31              | 85.0 | 4.51                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                        |                               |                                     |     | <b>\$250.00</b>      | <b>\$10.62</b>      | <b>\$0.00</b>      | <b>\$0.00</b> | <b>\$10.62</b>    |      | <b>\$9.02</b>        |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                  |                               |                                     |     |                      |                     |                    |               |                   |      |                      |
| 03/13/2018  | # KOLESINSKAS, MARK           | MOMENTA PHARMACEUTICALS INC         | S   | 9,397.50             | 295.00              | 19.95              | 0.00          | 275.05            | 75.0 | 206.29               |
| 03/22/2018  | # SKEIBER, STANLEY            | TENCENT HOLDINGS LIMITED UNSPONSORE | B   | 2,616.50             | 95.00               | 19.95              | 0.00          | 75.05             | 75.0 | 56.29                |
| 03/23/2018  | # GRUSKOWSKI, CRAIG           | MOMO INC ADR                        | B   | 10,762.51            | 495.00              | 19.95              | 0.00          | 475.05            | 75.0 | 356.29               |
| 03/23/2018  | # GRUSKOWSKI, CRAIG           | YY INC ADS REPSTG COM CL A          | S   | 12,234.64            | 495.00              | 19.95              | 0.00          | 475.05            | 75.0 | 356.29               |
| <b>* STOCKS SUBTOTAL *</b>                              |                               |                                     |     | <b>\$35,011.15</b>   | <b>\$1,380.00</b>   | <b>\$79.80</b>     | <b>\$0.00</b> | <b>\$1,300.20</b> |      | <b>\$975.16</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                                     |     |                      |                     |                    |               |                   |      |                      |
| 03/01/2018  | #00088451605 WOOSTER, TIMOTHY | FUNDAMENTAL INVESTORS INC CLASS A   | B   | 0.00                 | 2.94                | 0.00               | 0.00          | 2.94              | 85.0 | 2.50                 |
| 03/01/2018  | #00088451605 WOOSTER, TIMOTHY | WASHINGTON MUTUAL INVS FD CLASS A   | B   | 0.00                 | 2.86                | 0.00               | 0.00          | 2.86              | 85.0 | 2.43                 |
| 03/01/2018  | #00089801146                  | WASHINGTON MUTUAL INVS FD CLASS A   | B   | 0.00                 | 0.04                | 0.00               | 0.00          | 0.04              | 85.0 | 0.03                 |
| 03/07/2018  | #01485656068 AUDITORE, MARK   | FIDELITY ADV BIOTECHNOLOGY-CL A     | B   | 0.00                 | 0.69                | 0.00               | 0.00          | 0.69              | 85.0 | 0.59                 |
| 03/07/2018  | #01488943000 AUDITORE, MARK   | FIDELITY ADV BIOTECHNOLOGY-CL A     | B   | 0.00                 | 14.42               | 0.00               | 0.00          | 14.42             | 85.0 | 12.26                |
| 03/07/2018  | #01485656068 AUDITORE, MARK   | FIDELITY ADV HEALTH CARE-CL A       | B   | 0.00                 | 0.67                | 0.00               | 0.00          | 0.67              | 85.0 | 0.57                 |
| 03/07/2018  | #01488943000 AUDITORE, MARK   | FIDELITY ADV HEALTH CARE-CL A       | B   | 0.00                 | 13.41               | 0.00               | 0.00          | 13.41             | 85.0 | 11.40                |
| 03/09/2018  | # VALLARIO, DEBRA-ANN         | DAIN TRAILER                        | B   | 0.00                 | 3.98                | 0.00               | 0.00          | 3.98              | 85.0 | 3.38                 |
| 03/09/2018  | # SEMERARO, SHEILA            | DAIN TRAILER                        | B   | 0.00                 | 0.82                | 0.00               | 0.00          | 0.82              | 85.0 | 0.70                 |
| 03/09/2018  | # SEMERARO, SHEILA            | DAIN TRAILER                        | B   | 0.00                 | 0.82                | 0.00               | 0.00          | 0.82              | 85.0 | 0.70                 |
| 03/09/2018  | # VARIES, CUSTOMER            | DAIN TRAILER                        | B   | 0.00                 | 0.01                | 0.00               | 0.00          | 0.01              | 85.0 | 0.01                 |
| 03/09/2018  | # JOHNSTON, WILLIAM           | DAIN TRAILER                        | B   | 0.00                 | 5.60                | 0.00               | 0.00          | 5.60              | 85.0 | 4.76                 |
| 03/09/2018  | # BLISS, JEFFREY              | DAIN TRAILER                        | B   | 0.00                 | 4.38                | 0.00               | 0.00          | 4.38              | 85.0 | 3.72                 |
| 03/09/2018  | # MACDOUGALL, WILLIAM         | DAIN TRAILER                        | B   | 0.00                 | 3.68                | 0.00               | 0.00          | 3.68              | 85.0 | 3.13                 |
| 03/09/2018  | # ROBERTS, FREDERICK          | DAIN TRAILER                        | B   | 0.00                 | 4.01                | 0.00               | 0.00          | 4.01              | 85.0 | 3.41                 |
| 03/09/2018  | # ROBERTS, ELEANOR            | DAIN TRAILER                        | B   | 0.00                 | 7.11                | 0.00               | 0.00          | 7.11              | 85.0 | 6.04                 |
| 03/09/2018  | # ROBERTS, ELEANOR            | DAIN TRAILER                        | B   | 0.00                 | 6.30                | 0.00               | 0.00          | 6.30              | 85.0 | 5.36                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |                               |                                     |     | <b>\$0.00</b>        | <b>\$71.74</b>      | <b>\$0.00</b>      | <b>\$0.00</b> | <b>\$71.74</b>    |      | <b>\$60.99</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                |                               |                                     |     | <b>\$35,261.15</b>   | <b>\$1,462.36</b>   | <b>\$79.80</b>     | <b>\$0.00</b> | <b>\$1,382.56</b> |      | <b>\$1,045.17</b>    |

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 |
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|
|------------|--------|------------|-----|----------------------|---------------------|--------------------|---------|-------------------|------|----------------------|

ADJUSTMENTS

|                           |  |                                   |  |  |  |  |  |  |  |                  |
|---------------------------|--|-----------------------------------|--|--|--|--|--|--|--|------------------|
| 04/20/2018                |  | ADMIN FEE: ADMIN FEE              |  |  |  |  |  |  |  | -320.00          |
| 04/20/2018                |  | E & O INSURANCE: E & O INSURANCE  |  |  |  |  |  |  |  | -179.00          |
| 04/20/2018                |  | FINRA: FINRA ANNUAL ASSESMENT FEE |  |  |  |  |  |  |  | -215.00          |
| *** ADJUSTMENTS TOTAL *** |  |                                   |  |  |  |  |  |  |  | <u>\$-714.00</u> |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$1,045.17 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$-714.00  |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|              |          |
|--------------|----------|
| Check Amount | \$331.17 |
|--------------|----------|